

September 30, 2009
ST. LAWRENCE COUNTY WORKFORCE INVESTMENT BOARD
Resolution No. 09-09-20
Executive Committee: 09/30/2009

INDIVIDUAL TRAINING ACCOUNT (ITA) APPROVAL POLICY

WHEREAS, with the Federal government's increased investment in workforce development, there is a clear expectation that the One-Stop system will increase the number of individuals receiving training services, and that implementation of an ITA policy will optimize the system's training approval process, ensure seamless delivery of service, and enhance the system's capacity to target resources for training in priority demand occupations, and

WHEREAS, NYS Workforce Development System Technical Advisory 09-2 outlined the establishment of a Individual Training Account policy as a mechanism to fund training, and

WHEREAS, the policy is intended to expedite and streamline the delivery of training services through the Workforce Investment One-Stop system by ensuring that customers identified with skills gaps (and having a training program to remediate the skills gap) are quickly approved for an ITA, to the extent that other mechanisms for providing the training are not available, and

WHEREAS, the policy also outlines necessary procedures so that staff who have responsibility for providing comprehensive assessment services also have the knowledge and authority to develop an ITA and submit it for funding approval, and

NOW, THEREFORE, BE IT RESOLVED that the St. Lawrence County Workforce Investment Board (SLCWIB) does hereby adopt the attached "Individual Training Account Approval Policy."

Pursuant to WIB Bylaws, Article IX, Section 2:

[WIB Executive Committee Approval: 09/30/2009: Daddario/Caswell; 5/0/0]

INDIVIDUAL TRAINING ACCOUNT APPROVAL POLICY

Approved September 30, 2009 (Resolution 09/09/20)

Section I:

Assessment and Services Process for Customers of the St. Lawrence County One-Stop Workforce Investment System

There are four (4) main service categories: (i) Job Search Ready Services; (ii) Career Development Services; (iii) Job Match Services; and (iv) Self-Service.

The following represents the process by which customers will receive the services cited above:

All customers, except the Self-Service customer and Work Exempt UI customer will receive an Initial Assessment. The Initial Assessment (Attachment, Element List A) is documented in OSOS with a corresponding comment that indicates whether the customer needs Job Search Ready Services (JSRS) or Career Development Services (CDS).

The Initial Assessment (and subsequent assessments) will determine if the customer is in need of JSRS. Services may then include Job Matching Services (JMS), resume preparation, career guidance (short term), job staff planning, job development contact, workforce information services when staff assisted, and orientation to the full array of services in the One-Stop system.

The Initial Assessment (and/or subsequent assessments) will determine if the customer is in need of CDS. These services may include: counseling services (significant staff time required); supportive services; prevocational services; skill development and upgrading services; occupational skills training (results in an Individual Training Account Voucher); workplace training (Work Experience); On-the-Job Training; and other intensive and training services as defined. Customers in need of CDS will work with a counselor to develop an Individual Employment Plan. All services developed under CDS will require a comprehensive assessment that builds upon the Initial Assessment and justifies the services with a "Determination of Need" for all Intensive and Training services, and has as its outcome the Individual Employment Plan.

Self-Service is not an actual service. It does not involve significant staff assistance. OSOS registration is the only requirement to receive self service. It involves the use of any of the resources in the One-Stop Resource Room and is essentially accessed by the customer without Career Center staff assistance.

There are two (2) main types of assessments: (i) Initial Assessment and (ii) Comprehensive Assessment.

The Initial Assessment is an exploration by the Counselor utilizing the questions on the Initial Assessment document, a review of OSOS registration information, a resume review, a review of the UI Profile score and professional judgment as to whether the customer is Job Search Ready or the customer is in need of Career Development Services. The exception to this will be for the UI customer with a Profile Score between 70 and 100. Staff must then record this customer's initial

assessment determinations as Career Development Services and schedule the customer for services.

Customers not possessing a relevant employment goal with the necessary knowledge, skills and abilities and/or who have a barrier to employment will be determined to be in need of Career Development Services. All others will be determined to be Job Search Ready.

The Comprehensive Assessment is developed with the information obtained from the Initial Assessment with further consultation with the customer; with career assessments; with a determination of need for Intensive and/or Training services; and with identification of those services that are most likely to overcome any barriers to employment and fill skill gaps. Furthermore, the comprehensive assessment will help the customer develop a relevant employment goal, and help the customer acquire those skills, knowledge, and credentials that will lead to meaningful employment. (Attachment, Element List B).

All customers receiving Intensive and/or Training services will participate in Comprehensive Assessment. When the Comprehensive Assessment leads to any service requiring a financial commitment of WIA Training or Training-related dollars such as an Individual Training Account or Supportive Services, strict documentation procedures will be followed with a documentation review by the One-Stop Manager or Senior Employment Coordinator.

Section II: Individual Training Account (ITA) Approval Policy
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The first step in the approval of all Individual Training Accounts (ITAs) will be the completion of the Initial Assessment and Comprehensive Assessment as outlined under the “Assessment and Services Process for Customers of the SLC One-Stop.” This provides justification for the “need” for Intensive and Training services when Workforce Investment Act (WIA) financial assistance is to be offered in support of a training plan.

When justification and need for training have been established and documented, **and** when funds are available, an ITA may be issued upon documentation of eligibility for one or more funding categories. The establishment of eligibility is determined by the following: (i) SLC WIB policy “Self-Sufficiency”; (ii) SLC WIB policy “Priority of Service” and (iii) NYS WDS Technical Advisory 08-8.

The Senior Employment Coordinator or the One-Stop Manager will review all documentation regarding eligibility and all documentation necessary for issuing an ITA.

The ITA maximum amount is established by local WIB resolution. An ITA may be approved up to the WIB's established maximum. When issuing an ITA and determining the amount to be committed (up to the maximum), the following factors must be taken into consideration:

- The actual cost of tuition and training-related expenses, less any applicable grants.
- The funds available for training and the anticipated number of individuals in the local area requiring training within the program year.
- The availability of any other funding sources to help the customer meet the cost of training.

ITAs may only be issued to training agencies or institutions that are listed in the New York State Eligible Training Provider list.

ITAs may only be issued for training within an occupation that is in "demand" in either the Local Workforce Region or in demand in the area in which the customer has a viable plan of relocation. An occupation will be considered to be in demand when any of the following criteria are met:

- The occupation is currently listed on the New York State Department of Labor website for occupations in demand in the North Country Region.
- The individual provides a verifiable letter of hire from an employer that demonstrates that a job is available to this individual upon completion of training.
- The individual has a reasonably developed plan of business that is likely to lead to meaningful self-employment upon completion of training.
- The individual has a reasonable plan for relocation to a specific area in which it can be determined through the local One-Stop in that area that the occupation for which they are training is in demand.
- The Local WIB has approved, through resolution, priority of training funding for a "section" of the local economy, such as the "Green Jobs" SLC WIB Resolution 09-03-05.

All ITAs will first be approved by a career counselor training in the policies and procedures mentioned above. The Senior Employment Coordinator, One-Stop Manager, or the Executive Director of the WIB will be required to sign the ITA before it is sent to the WIB's Fiscal Department for obligation.

SLC WIB Policy No. 3 outlines ITA maximums and guidelines. This policy should always be consulted before issuing an ITA.

ATTACHMENT
(Element List A)

<i>Initial Assessment, with Comprehensive Assessment and Individual Employment Plan</i> <i>(Document Elements)</i>
Name
Date
Presenting Need
Comment
Ability & Skills
Employment History
Job Search
Working with Any Other Agencies
Health
Financial Situation
Support Services
Additional Barriers
Resume

(Element List B)

<i>Core Services Provided (Document Elements)</i>
Assessment Interview, Initial Assessment
Counseling – Career Guidance
Job Search Planning
Resume Preparation Assistance
Bonding Assistance
Job Development Contact
Job Search Planning
Job Search Workshop
Workforce Information Services, Staff Assisted LMI
Orientation (other)
Orientation (Rapid Response)
Referral to Outside Job Listing

<i>Comprehensive Assessment: Determination of Need for Intensive and/or Training Services</i> <i>(Document Elements)</i>
Customer has skills that are not competitive in the local labor market.
Customer has little or no work history.
Customer has conducted an extensive, independent and staff-assisted job search and is unable to find employment.
Customer has significant barrier(s) to employment.
Customer is employed, but has not achieved self-sufficiency.
Customer is unemployed or has not achieved self-sufficiency, and is in need of training and training is available.
Customer is not benefiting from information-only services.

Customer is deficient in one or more basic skill areas to include computer skills.
Customer has entered employment, but requires support to retain employment.
Customer is in need of skills upgrade to improve upon an existing skill or to advance to a job requiring a higher level of skill.
Customer is in need of training to reflect a response to a change in the economy. The purpose is skill or knowledge development that may lead to a new occupation.
Trade Act Eligible (See Employment Plan)
Trade Act Waiver

<i>Determination of Self-Sufficiency (Document Elements)</i>			
Customer is:	Employed?	Unemployed?	
If employed, determination of self-sufficiency standard worksheet has been completed and is attached.	Yes, No, N/A		
Customer	Is Self Sufficient?	Is Not Self Sufficient?	N/A

<i>Intensive Services Provided (Document Elements)</i>	
Assessment – Comprehensive	
Counseling – Intensive	
Individual Employment Plan (IEP)	
Short-term pre-vocational skills (prepare for employment or training)	
Test Administration	
Job Coaching	
Needs-Related Payments	
Child Care	
Dependent Care	
Housing	
Transportation	
Other	
Referred to Supportive Services	

<i>Training Services Provided (Document Elements)</i>	
Combined Workplace Learning with Related Instruction	
Entrepreneurial Training	
Occupational Skills Training (ITA)	
Skills Upgrading and Retraining	
Training Programs Operated by the Private Sector	
Workplace Training (Work Experience)	
Academic Learning * (Prerequisite course)	
Basic Skills / Life Skills * (e.g. APC)	
English as a Second Language *	
Literacy Training *	
Mobility Training *	
Work-Related/ Job Readiness Training *	
On-the-Job Training	
Customized Training	

* Intensive/Training: These are intensive services that can be considered training only if linked to an ITA or non-ITA training by Program Service Type on NY OSOS/Services Module/Services Screen.

<i>Individual Employment Plan (Document Elements)</i>
Employment Goal
Goal Justification
Plan Date
Goal #1
Training Provider
Location
Start Date
Anticipated Completion Date
Actual Completion Date
Outcome
Certification Received
Estimated Training Cost
On-the-Job Training Cost
Supportive Services
Child Care
Transportation
Meals/Lodging
Needs-Related Payments
Other