

**North Central Counties Consortium (NCCC)
Local Eligible Training Provider List (ETPL) and
Individual Training Account (ITA) Procedure**

I. Purpose

The purpose of the NCCC ETPL/ITA Procedure is to provide guidelines to establish a NCCC ETPL/ITA system that is flexible and maximizes informed customer choice in selecting an eligible training provider. Additionally, this system will allow adult and dislocated worker job seekers to receive the training services that will allow for entry into unsubsidized employment in a demand occupation that leads to long-term self-sufficiency.

This procedure applies to all NCCC One Stop Career Centers, including mandated partners, who provide training services through the One Stop delivery system to eligible individuals funded under Title I of the Workforce Investment Act (WIA).

II. References

WIA Section 122	WIA Final Rule Section 663.420
WIA Final Rule Section 663.430	WIA Final Rule Section 663.500
WIA Section 134(a)(4)(G)(iv)	WIA Final Rule Section 663.508
WIA Section 134(d)(4)	WIA Section 195(12)
WIA Final Rule 664.510	NCCC WIA Strategic 5-Year Local Plan
WIA Final Rule Section 663.320	State of California ETPL Policy
WIA Final Rule Section 663.410	
WIAD04-4 – Recovery of WIA Tuition and Training Refunds	
NCCC Policy #14, Individual Training Account Policy	
NCCC Policy #15, Referral to Training Services	

III. NCCC Procedural Guidelines

- A. Training services are directly linked to occupations that are in demand* in the local area, or in another area to which an eligible adult or dislocated worker is willing to relocate. [WIA 134(d)(4)(G)(iii)]
**Demand occupations for NCCC are those occupations for which there are known job openings.*
- B. Training services shall be provided in a manner that maximizes consumer choice in the selection of an eligible provider of such services. [WIA 134(d)(4)(F)(i)]
- C. Training services shall be provided through the use of Individual Training Accounts (ITAs) as outlined within this document and shall be provided to appropriate eligible individuals through the One Stop delivery system. [WIA 134(d)(4)(G)(i)]
- D. Adults and dislocated workers meeting the eligibility requirements at WIA 134(d)(4)(A) and (B) shall be eligible to receive training services through the NCCC ETPL/ITA system, if appropriate.
- E. The provision of services shall be consistent with the State's Eligible Training Provider List Policy.

IV. Training Providers Subject to the NCCC ETPL/ITA Procedure

In order to receive Title I funds under the WIA for training services provided to eligible adults and dislocated workers and to be an eligible training provider, a provider must meet the following requirements. The provider shall be:

- A. A postsecondary educational institution that
 - 1. is eligible to receive Federal funds under Title IV of the Higher Education Act of 1965, and
 - 2. provides a program that leads to an associate degree, baccalaureate degree, or certificate; or
- B. An entity that carries out programs under the National Apprenticeship Act of 1937; or
- C. Another public or private provider of a program of training services*.

**Program of training services is one or more courses or classes, or a structured regimen that upon successful completion leads to:*

- 1. *A certificate, an associate degree, baccalaureate degree; or*
- 2. *The skills or competencies needed for a specific job or jobs, an occupation, occupational group, or generally, for many types of jobs or occupations, as recognized by employers and determined prior to training. [WIA Final Rule Section 663.508]*

V. Exclusions to the NCCC ETPL and ITA Process

- A. Contracts for services may be used instead of ITAs only when one of the following exceptions apply [WIA Final Rule Section 663.430]:
 - 1. Services provided are for On-the-Job Training (OJT) or customized training.
 - 2. The local WIB determines that there is a training services program of demonstrated effectiveness offered in the area by a Community Based Organization (CBO) or another private organization to service special participant populations that face multiple barriers to employment*.

**“Special participant populations that face multiple barriers to employment” means a population of low-income individuals that are included in one or more of the following categories: offenders, homeless and other hard-to-serve populations as defined by the Governor. [WIA 134(a)(4)(G)(iv) and WIA Final Rule Section 663.430]*

- B. For training programs with no tuition cost, e.g. ROP, etc., or those where the tuition cost is paid by non-WIA Title I funds, e.g. BEOG, Pell, etc. The training-related expenses, such as books, supplies, etc., may be paid consistent with the NCCC Supportive Services/Training Needs Procedure.

VI. Prohibitions and Limitations

- A. Individual training accounts are not an allowable activity under the WIA youth program. [Reference the “*Referral and Payment of Occupational Skills Training for Youth Procedure*”] However, individuals 18 years or older who are eligible under the adult and dislocated worker programs may receive ITAs under these programs. [WIA Final Rule Section 664.510]
- B. Under the WIA, access to training or any other services is not an entitlement. [WIA 195(12)]
- C. When paying for training and training-related expenses, One Stop staff is responsible for ensuring that actual costs are paid and that any refunds are returned to NCCC in accordance with section VII.C.5.

VII. Referral of Participants to Eligible Training Providers

This section outlines the procedural steps required of NCCC One Stop Career Centers when referring individuals to eligible training providers to receive training services financed through an individual training account (ITA).

- A. Eligible training provider who wishes to provide training services to adults and dislocated workers whose training will be funded under Title I of the WIA, the provider’s training programs must be posted on the statewide ETPL before a local workforce investment area can refer WIA Title I participants to the training provider. To be considered for the statewide ETPL, the training provider must apply through a local workforce investment board (LWIB), such as NCCC.
 - 1. If the training provider wishes to redeem a NCCC ITA:
 - a. The provider must complete an on-line application hosted by the Northern California Employment Network (NCEN). See section VII.B. below. During the application process the provider and its training programs will be listed on the local NCEN ETPL as “Pending” until the provider is approved. Once approved, the status of the provider’s training programs on the NCEN ETPL is changed from “Pending” to “Active”. Once a training program is “active”, then NCCC One Stops may make referrals to the provider.
 - b. To assure customer access and flexibility, when a training provider and course(s) are not listed on the local NCEN ETPL as “Active” but are listed on the State’s ETPL, an ITA may be developed, with NCCC Administrative Office approval. Before the development of an ITA it will be the responsibility of the service providers to collect and submit to the NCCC Administrative Office the following:

1. A minimum \$1,000,000 liability insurance policy for each prospective training site, to cover accidental injury to students during regular attendance; and
2. A printout of the ETPL showing the vendor and the course of training.
3. A published copy of the Training Provider's Refund Policy.

B. How to Apply

Training providers may apply on-line by accessing the NCEN web page at <http://www.ncen.org> or requesting a pen and paper application from the NCCC Administrative Office.

C. Individual Training Account (ITA)

1. ITA Definition

The ITA is established on behalf of a participant. WIA Title I adult and dislocated workers purchase training services from eligible providers listed on the ETPL. The selection of a training provider will be done in consultation with the case manager. Payments from ITAs may be made using the voucher method described below in the "Payment Method" section. Payments may be made incrementally, through payment of a portion of the costs at different points in the training course. [WIA 134(d)(4)(G) and WIA Final Rule Section 663.410]

2. ITA Documentation

The ITA shall provide a record of each participant's overall training and training related expenses based upon the participant's documented training needs. At a minimum, the ITA information shall be documented in the Training and Service Log of the NCCC Individual Service Strategy (ISS).

3. Amounts and Duration of ITAs

NCCC Policy #14, Individual Training Account Policy states that ITAs written within NCCC may not exceed the following restrictions:

- ITA may not exceed ten thousand (\$10,000) dollars
- Maximum training time may not exceed twenty-four (24) months

A service provider must request, in writing, and receive permission from the NCCC Administrative Office to exceed the dollar or duration cap.

The case manager is to assist the participant in selecting the eligible training provider from which to purchase the training that will best meet his/her needs. In addition to meeting the needs of the participant, other considerations for selecting training

programs should include reasonableness of cost, available resources, training provider performance, and training for a demand occupation.

The availability of other funding resources, e.g. Rehabilitation Act funds, TANF, Pell Grants, and other federal and State funding, shall be investigated and if applicable, included in the development of the ITA. [WIA Final Rule Sections 663.320b and 663.420b&c]

4. ITA Payment Methods

Either a voucher and/or the supportive services/classroom training needs process shall be used to make payments for ITAs. Payments to eligible training providers for training costs, e.g. tuition, books, supplies, application/registration fees, etc. shall be made with an ITA voucher. Other training related payments such as childcare, mileage, etc. shall be made through the supportive services/classroom training needs process. Additionally, if there is no tuition cost or the tuition is being paid by non-WIA Title I funds, then the supportive services/classroom training needs process shall be used to pay for books, supplies, etc. Refer to the NCCC Supportive Service and Training Needs Procedure for further instructions.

- a. An ITA voucher (see Attachment A) issued by the One Stop staff to the selected training provider shall finance the eligible participants training expenses.

Note: Payments to training providers must be consistent with the providers published payment schedule, e.g. at registration, monthly, quarterly, upon completion, etc.

- b. Each ITA voucher shall be:
 - (1) Issued to the training provider prior to the start date of the participants training.
 - (2) On the One Stop Career Center's letterhead.
 - (3) Accurate and fully completed and typed, with no cross-outs or white out. All costs directly associated with training provided by the provider shall be itemized on the voucher, e.g. tuition, books and supplies, application/registration fee, test fees, etc.
 - (4) Signed by the designated One Stop Career Center staff person(s).
- c. To redeem the voucher, the training provider shall remit an invoice (see Attachment B) to the One Stop Career Center listed on the voucher. Upon receipt of the invoice, the One Stop Career Center staff shall review and process the invoice as follows:
 - (1) Ensure that it is an original signed invoice and not a copy.
 - (2) The invoice is accurately and fully completed. Invoice amounts must be consistent with the provider's documented training cost and payment schedule, e.g. monthly, quarterly, thirds, at registration, upon completion, etc.

(3) Upon completion of the review, staff shall sign and date the “Authorization for Payment” box on the original invoice and submit it along with a copy of the voucher to NCCC for payment.

5. Refunds

- a. NCCC staff will ensure that prior to approval of the ETPL the refund policy of the training provider is reviewed and includes the following elements:
 - 1. Percentage of the advanced payment to be returned upon non-completion of courses
 - 2. Turnaround time of refund
 - 3. Time spent in training before a refund will no longer be honored
 - 4. Requirement for the training provider to notify the Career Center staff of early participant dropout
- b. The Career Center staff is responsible for acknowledging/determining a refund is due for early termination of a participant’s training.
- c. The Career Center staff is responsible for ensuring prompt return of any unused training monies.
- d. The Career Center staff is responsible for the collection process of any outstanding training and/or tuition refund.
- e. Make all refund checks payable to the North Central Counties Consortium and mail to the Career Center along with a detailed calculation of the refund from the provider. Upon receipt and review by the Career Center staff, forward the refund check, the detailed calculation of the refund, and a copy of the ITA voucher to NCCC.

6. Collection of Required Training Documentation

Career Center staff is required to collect monthly attendance and progress reports from the provider on each participant and to obtain a copy of each participant’s certificate of completion, diploma, etc. Copies of these documents shall be filed in each participant’s case file. It is the Career Center staff responsibility that training is being provided.

7. Amending the ITA Voucher

Amendments to the ITA voucher are required in the event that the terms of the voucher need to be changed, i.e. training program, training hours, start/end dates, training costs.

Amend the ITA voucher as follows:

- a. In the upper right corner of the voucher, beneath the Voucher Number, if applicable, type “Amendment No.” Each amendment, per participant, should be

numbered consecutively beginning with the number “1”; for example, “Amendment No. 1”.

- b. All the information in the amended voucher should be consistent with the initial voucher or the previous amendment, except for the information currently being amended. Identify all amended information with an asterisk, for example, Total Training Hours: 240*.
- c. Provide an explanation for the amendment in the “Explanation for Amendment” section on the ITA voucher.
- d. Process the amended ITA voucher as outlined in Section VII.C.4-ITA Payment Method.

VIII. Forms

The attached Individual Training Account (ITA) Voucher (Attachment A) provides a sample format of what is the minimally required information for this form. Career Center staff that chooses to design their own format must, at a minimum, include the information contained in the attached sample form.

The NCCC Eligible Training Provider Invoice (Attachment B) is a standardized NCCC form that all Career Center staff is required to use.

Individual Training Account (ITA) Voucher

The participant named below is eligible to receive the Workforce Investment Act (WIA) funded training services identified in this voucher.

REFERRING AGENCY

Please direct your questions to: *Insert the name, address, and contact person and phone number of the One Stop Center.*

PARTICIPANT

Name: _____ Soc.Sec. # _____

Address: _____ Phone: _____

TRAINING INFORMATION

Training Provider: _____

Address: _____

Contact Person: _____ Phone: _____

Training Program: _____ Total Training Hours: _____

Start Date: _____ Estimated Completion Date: _____

TRAINING COSTS	TOTAL AMOUNT	WIA AMOUNT	PELL GRANT	OTHER	
				AMOUNT	SOURCE
Tuition					
Registration Fee					
Books/Supplies					
Other: (list) _____					
TOTAL					

Explanation for Amendment:

Please remit the enclosed invoice form for payment.

Refunds: Make all refund checks payable to North Central Counties Consortium and mail along with a copy of this ITA Voucher and a detailed calculation of the refund to the Referring Agency listed above.

Signature of One Stop Staff Person

Title

Date

NCCC
Eligible Training Provider Invoice

Invoice Submission: All requests for payments must be made on this invoice form and must be consistent with the costs and billing schedule listed for the training provider. Submit the completed invoice, bearing an original signature, to the agency listed on the Training Voucher.

Refund Checks: Make all refund checks payable to the North Central Counties Consortium and mail along with a copy of the ITA Voucher and a detailed calculation of the refund to the Referring Agency listed on the Training Voucher.

TRAINING PROVIDER

Name _____
Address _____
Contact Person _____ Phone _____

PARTICIPANT INFORMATION

Name _____ SSN _____

BILLING SUMMARY

Billing Period _____ through _____							
Tuition	\$ _____	<table border="1"> <tr><td>Referring Agency Use</td></tr> <tr><td>Authorization for payment.</td></tr> <tr> <td>Authorized Signature _____</td> <td>Date _____</td> </tr> </table>		Referring Agency Use	Authorization for payment.	Authorized Signature _____	Date _____
Referring Agency Use							
Authorization for payment.							
Authorized Signature _____	Date _____						
Registration Fee	_____						
Books/Supplies	_____						
Other _____	_____						
TOTAL DUE	\$ _____						
Balance Remaining (after above payment)	\$ _____						
_____	Training Provider Signature	_____	Date				