

ST. LAWRENCE COUNTY
WORKFORCE DEVELOPMENT BOARD

www.slconestop.com

**WORKFORCE INNOVATION AND
OPPORTUNITY ACT**

**INDIVIDUAL TRAINING ACCOUNT
POLICY**

Adopted by the St. Lawrence County Workforce Development Board: September 9, 2015

September 9, 2015
ST. LAWRENCE COUNTY WORKFORCE DEVELOPMENT BOARD
Resolution No. 15-I09-15

AUTHORIZING THE ACCEPTANCE AND ADOPTION OF BYLAWS, POLICIES AND PROCEDURES, CONTRACTS AND LEASES/SUBLEASES, ADOPTED BUDGETS AND OTHER FINANCIAL RESPONSIBILITIES, TOGETHER WITH ALL OTHER CONTINUING RESPONSIBILITIES AND POWERS, FROM THE ST. LAWRENCE COUNTY WORKFORCE INVESTMENT BOARD

WHEREAS, coming into compliance with the Workforce Innovation and Opportunity Act of 2014 (WIOA) requires that Workforce Investment Boards become Workforce Development Boards; and

WHEREAS, WIOA has mandated several other changes in the organization of Workforce Investment Boards; and

WHEREAS, the St. Lawrence County Workforce Investment Board took actions at its June 10, 2015 meeting to initiate all these changes and to transfer its WIOA-compliant operations to the St. Lawrence County Workforce Development Board (WDB) ; and

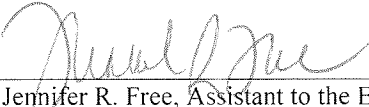
WHEREAS, at its August 3, 2015 meeting the St. Lawrence County Board of Legislators (BOL) took official action to replace the temporary WDB it had appointed at its July 7, 2015 meeting with membership that was fully compliant with WIOA requirements; and

WHEREAS, both the County BOL and the WDB recognize that the WDB is and should be the successor in due course to the WIB;

WHEREAS, now that a WIOA-compliant WDB is in place, it is appropriate and prudent for the WDB to officially accept and adopt the bylaws and all the policies and procedures, contracts and leases/subleases, and adopted budgets and other financial responsibilities, together with all other continuing responsibilities and powers, from the WIB ; and

NOW, THEREFORE, BE IT RESOLVED that the St. Lawrence County Workforce Development Board does hereby officially accept and adopt the bylaws and all the policies and procedures, contracts and leases/subleases, and adopted budgets and other financial responsibilities, together with all other continuing responsibilities and powers, from the St. Lawrence County Workforce Investment Board effective on July 1, 2015 and authorizes, empowers, and directs its staff to continue to operate the workforce development system in St. Lawrence County according to the precedents established prior to July 1, 2015 when and as appropriate and consistent with WIOA.

I, Jennifer R. Free, Assistant to the Executive Director of the St. Lawrence County Workforce Development Board, DO HEREBY CERTIFY, that I have compared this copy of this Resolution, adopted September 9, 2015; with the original record in this office and that the same is a correct transcript thereof and of the whole of said original record.



Jennifer R. Free, Assistant to the Executive Director
St. Lawrence County Workforce Development Board
September 9, 2015

INDIVIDUAL TRAINING ACCOUNT APPROVAL POLICY

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 search 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 WIOA Training or Training-related dollars such as an Individual Training Account of Supportive Services, strict documentation procedures will be followed with a documentation review by the WIOA Supervisor.

Section II: Individual Training Account (ITA) Approval Policy

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 Innovation and Opportunities Act (WIOA) 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 WDB policy “Self-Sufficiency”; (ii) SLC WDB policy “Priority of Service”; and (iii) NYS WDS Technical Advisory 08-8.

The WIOA Supervisor will review all documentation regarding eligibility and all documentation necessary for issuing an ITA.

The ITA maximum amount is established by local WDB resolution. An ITA may be approved up to the WDB’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 WDB has approved, through resolution, priority of training funding for a “section” of the local economy, such as the “Green Jobs” SLC WDB Resolution 09-03-05.

All ITAs will first be approved by a career counselor trained in the policies and procedures mentioned above. A WIOA Supervisor or the Executive Director of the WDB will be required to sign the ITA before it is sent to the WDB’s Fiscal Department for obligation.

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

Initial Assessment
With Comprehensive Assessment &
Individual Employment Plan

NAME:

DATE:

- I. Presenting Need (Job search assistance or Career Development Services):
- II. Comment on individuals stated or tested interests and aptitudes:
- III. Ability & Skills: (Be specific regarding relevancy to labor market and need for an upgrade to current skills or development of new skills):
- IV. Employment History: (Comment on last 10 years):
 - a. Job Search: (Is the person ready to seek work? Skills based resume? Able to seek work electronically and in person? Good interviewing skills?):
 - b. Working with any other agencies:
- V. Health: (any employment restrictions?):
- VI. Financial Situation: (Does this person have resources to support themselves while in training or while seeking work?):
- VII. Support Services Necessary:
- VIII. Additional barriers to employment: for example: age, legal issues, lack of basic skills, lack of transportation (gas money, license), lack of childcare (money, provider), employment related health concerns for themselves or family members, etc.:
- IX. Resume:

Core Services Provided

Assessment Interview, Initial Assessment	Date Provided	_____
Counseling – Career Guidance	Date Provided	_____
Job Search Planning	Date Provided	_____
Resume Preparation Assistance	Date Provided	_____
Bonding Assistance	Date Provided	_____
Job Development Contact	Date Provided	_____
Job Search Planning	Date Provided	_____
Job Search Workshop	Date Provided	_____
Workforce Information Services Staff Assisted (LMI)	Date Provided	_____
Orientation (Other)	Date Provided	_____
Orientation (Rapid Response)	Date Provided	_____
Referral to Outside Job Listing	Date Provided	_____

Comprehensive Assessment
Determination of Need for Intensive
and/or Training Services

Check all that apply:

- 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 computers skills.
- Customer has entered employment, but requires support to retain employment.
- Customer is in need of **skills upgrading** to improve upon an existing skill or to advance to a job requiring a higher level of skill.
- Customer is in need of **retraining** 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

Determination of Self-Sufficiency

Customer is: Employed Unemployed

If employed, determination of self-sufficiency standard worksheet has been completed and is attached:
Yes No Not Applicable

Customer is: is not self-sufficient Not Applicable

Intensive Services Provided

Assessment – Comprehensive	Date Provided	_____
Counseling – Intensive	Date Provided	_____
Individual Employment Plan (IEP)	Date Provided	_____
Short-term Pre-vocational Skills (prepare for Employment or Training)	Date Provided	_____
Test Administration	Date Provided	_____
Supportive Services/Payments:		
Job Coaching	Date Provided	_____
Needs Related Payments	Date Provided	_____
Supportive Services:		
Child Care	Date Provided	_____
Books, Fees and Supplies	Date Provided	_____
Housing	Date Provided	_____
Transportation	Date Provided	_____
Other	Date Provided	_____
Referred to Supportive Services	Date Provided	_____

Training Services

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

*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 NYOSOS/Services Module/Services Screen.

Individual Employment Plan (IEP)

Employment Goal:

Goal Justification:

Outlook for Occupational Goal:

Plan Date:

Goal #1:

Training Provider:

Location:

Start Date:

Anticipated Completion Date:

Actual Completion Date:

Outcome:

Certification Received: N/A Yes No

Estimated Training Cost:

On-the-Job Contract Cost:

Supportive Services

Child Care:

Transportation:

Meals/Lodging:

Books, Fees and Supplies:

Other:

December 11, 2013
ST. LAWRENCE COUNTY WORKFORCE INVESTMENT BOARD
Resolution No. 13-12-17

**AMENDING POLICY NO. 3:
DETERMINATION OF INDIVIDUAL TRAINING ACCOUNTS
UNDER THE WORKFORCE INVESTMENT ACT**

WHEREAS, on February 6, 2003 the St. Lawrence County Workforce Investment Board (WIB) passed Resolution No. 03-02-05 (Policy No. 3) approving \$8,000 as the maximum amount allowable for an Individual Training Account (ITA), and

WHEREAS, the resources available to the WIB have been steadily reduced since 2003, resulting in ITAs that have averaged about half of the maximum during the last two years, and

WHEREAS, the gap between the maximum and the actual ITA has become so wide that the WIB has decided to revise its ITA policy, and

NOW, THEREFORE, BE IT RESOLVED that the St. Lawrence County Workforce Investment Board approves amending Policy No. 3 by decreasing to \$4,000 the maximum amount allowable for an ITA in any program year (defined as July 1- June 30), subject to the following additional understandings and requirements:

- No recipient is guaranteed the maximum;
- The WIB's Executive Director (or his/her designee) is authorized to authorize ITAs in excess of the maximum in special cases based on his/her judgment, which shall take into consideration at least the following criteria:
 - The proposed skills to be attained;
 - Whether those skills are directly related to priority occupations;
 - Degree of shortage of the skills to be attained;
 - Whether the skills are In demand by a targeted industry; and
 - Available funds, and

BE IT FURTHER RESOLVED that all other conditions of Policy No. 3 shall remain in full force and effect.

[WIB Action: Approved 12/11/13; Blevins/Sutton; 12 ayes/0 nays/2 abstention]

I, Lori A. Barr, Secretary I of the St. Lawrence County Workforce Investment Board, DO HEREBY CERTIFY, that I have compared this copy of this Resolution, adopted December 11, 2013; with the original record in this office and that the same is a correct transcript thereof and of the whole of said original record.

Lori A. Barr, Secretary I
St. Lawrence County Workforce Investment Board
December 11, 2013

PCL XL error

Subsystem: IMAGE

Error: IllegalAttributeValue

Operator: ReadImage

Position: 9184