

**NORTEC  
WIOA POLICY STATEMENT  
INDIVIDUAL TRAINING ACCOUNTS**

*Last Updated: January 5, 2018*

**PURPOSE**

The purpose of this policy is to provide guidelines to the Service Providers (NoRTEC Subcontractors) with respect to the provision of Individual Training Accounts (ITAs) to WIOA participants.

The following provides information on the minimum requirements for the provision of services. Service Providers may include additional elements in their local policies and procedures, as long as they are in conformance with this policy, WIOA, DOL Regulations, and State of California Directives.

**GENERAL INFORMATION**

An Individual Training Account (ITA) is a payment agreement established on behalf of a participant with a training provider. The ITA is for tuition and training related costs<sup>1</sup> noted as mandatory on a course description and/or class syllabus.

Additional items needed by the participant to complete the course of study may also be provided, but they must be classified as a supportive service and the participant's financial need for such items must be documented in the participant file.

Training providers are selected by Adult and Dislocated Workers in consultation/agreement with their case managers, after an assessment and the development of an Individual Employment Plan (IEP).

Training providers are selected by Out-of-School Youth in consultation/agreement with their case managers, after an assessment and the development of an Individual Service Strategy (ISS).

**PARTICIPANT ELIGIBILITY**

To be eligible to receive an ITA, the participant must:

1. Be enrolled in the Adult, Dislocated Worker, or Out-of-School Youth<sup>2</sup> program; and
2. Be assessed by a WIOA Service Provider staff member and be determined to be in need of training to secure or retain employment; and
3. Select an eligible training provider in consultation with a WIOA Service Provider staff member that is listed on the State of California's Eligible Training Provider List (ETPL); and
4. Have an IEP/ISS in the participant file showing the need for an ITA and confirmation that

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<sup>1</sup> Training related costs include, but are not limited to, such items as books, fees, tools, and other items required to complete the training program.

<sup>2</sup> An Out-of-School youth participant must be 16-24 years of age at the date of participation. Youth that are classified as In-School may not be provided an ITA.

completion of the training is likely to lead to employment; and

5. If the participant is an eligible Out-of-School Youth, assure that the training:
  - a. Is outcome orientated and focused on an occupation goal specified in the ISS;
  - b. Be of sufficient duration to impart the skills needed to meet the occupational goal; and
  - c. Results in the attainment of a recognized post-secondary credential.

## **PARTICIPANT TRACKING**

All participants will be tracked in the CalJOBS participant tracking system. Training activities shall be tracked as follows:

### **A. Adults/Dislocated Workers**

#### **1. Training Providers Listed on the ETPL**

- a. When an enrolled individual is participating in a training activity with a training provider listed on the ETPL, he/she shall be enrolled in ***Occupational Skills Training – (Approved ETPL Provider) – Activity Code 300***. Tuition and all appropriate training related costs may be charged as *Training Expenditures* as outlined in NoRTEC’s [Training Expenditure Policy Statement](#).
- b. When an enrolled individual is participating in a training activity with a training provider listed on the ETPL, and all or part of the tuition is being paid for with funding from a non-WIOA funding source, and the Service Provider is paying for the remaining training related costs, he/she shall be enrolled in ***Occupational Skills Training – (Approved ETPL Provider) – Activity Code 300***. All appropriate training related costs (including any part of the tuition not paid by non-WIOA funding source) may be charged as *Training Expenditures* as outlined in NoRTEC’s [Training Expenditure Policy Statement](#).

#### **2. Training Providers Listed on Another State’s ETPL**

When an enrolled individual is participating in a training activity with a training provider that is headquartered outside of California and does not have an in-state training facility, but the provider is listed on another State’s ETPL, he/she shall be enrolled in ***Out-of-State Training Provider Other ETPL – Activity Code 346***. Tuition and all appropriate training related costs may be charged as *Training Expenditures* as outlined in NoRTEC’s [Training Expenditure Policy Statement](#).

*Note: Service Providers must include a case note in the participant file explaining why this provider was chosen instead of a California ETPL provider, and include a printout from the Internet, with a date and time stamp on the printout, verifying the provider is listed on another State’s ETPL.*

#### **3. Training Providers Not Listed on the ETPL**

When an enrolled individual is participating in a training activity with a training provider that is not listed on the ETPL, he/she shall be enrolled in ***Occupational Skills Training (non ETPL provider) – Activity Code 328***. WIOA does not allow the payment of tuition (in

full or in part) through an ITA for a training provider that is not listed on the ETPL, but “training related” costs may be paid. These “training related” costs, however, may not be charged as *Training Expenditures* as outlined in NoRTEC’s [Training Expenditure Policy Statement](#). Instead, they must be charged to the “Supportive Services” cost category, and the financial need of the individual for such services must be documented in the participant file.

B. Youth (Out-of-School Youth, Aged 16-24 Only)

1. Training Providers Listed on the ETPL

When an Out-of-School Youth, aged 16-24, is participating in a training activity with a training provider listed on the ETPL, he/she shall be enrolled in ***Occupational Skills Training – (Approved ETPL Provider) – Activity Code 416.***

Priority shall be given to training programs that lead to recognized post-secondary credentials, and that align with in-demand industry sectors or occupations in the local area.

Costs shall be charged as “program expenditures.”

2. Training Providers Listed on Another State’s ETPL

WIOA Youth funds may not be utilized to fund an ITA for Out-of-School Youth with a training provider that is headquartered outside of California and does not have an in-state training facility, even if the provider is listed on another State’s ETPL.

3. Training Providers Not Listed on the ETPL

When an Out-of-School Youth, aged 16-24, is participating in a training activity with a training provider that is not listed on the ETPL, tuition payments cannot be made with WIOA funding. The participant shall be enrolled in ***Enrolled Post-Secondary Education – Activity Code 421.***

The participant can be assisted with books, fees (not tuition), school supplies, and other necessary costs, and these costs shall be charged as “Supportive Services,” and the individual’s financial need must be documented in the participant file. Youth receiving this type of supportive service shall be enrolled in ***Supportive Service: Post-Secondary Academic Materials – Activity Code 493.***

C. Youth (In-School Youth, Aged 14-21)

WIOA funds may not be utilized to provide ITAs to In-School Youth. In-School Youth may, however, be assisted with books, fees (not tuition), school supplies, and other necessary costs, and these costs shall be charged as “Supportive Services,” and the individual’s financial need must be documented in the participant file. Youth receiving this type of supportive service shall be enrolled in ***Supportive Service: Post-Secondary Academic Materials – Activity Code 493.***

In-School youth who are attending post-secondary education that Subcontractors are supporting through supportive services as outlined in the previous paragraph should also be enrolled in ***Enrolled Post-Secondary Education – Activity Code 421.*** Even though

Subcontractors are not paying tuition on behalf of this participant, they are supporting the youth through this activity. As with any youth (In-School or Out-of-School) enrolled in ***Enrolled Post-Secondary Education – Activity Code 421***, monthly progress reports are required for as long as the youth is participating in post-secondary education and is enrolled in the WIOA program.

### **REQUIREMENTS/LIMITATIONS**

- A. The dollar amount of each ITA varies based upon local WIOA Service Provider policy, but shall not exceed \$10,000 per participant unless prior written approval is obtained from NoRTEC.
- B. ITAs are normally issued for providers that appear on the State of California's ETPL. If it can be justified (as outlined in section A.2. under the PARTICIPANT TRACKING section of this policy) to utilize a training provider in another state, the provider must be listed on the ETPL of its home state, and documentation of this listing must be included in the participant file.
- C. Each Service Provider shall develop and implement an Individual Training Account Policy that reflects local practice, including any additional restrictions beyond those outlined in this policy statement.
- D. It is the responsibility of the WIOA Service Provider to appropriately monitor a participant's progress in occupational classroom training (at least once each calendar month), and assure timely collection of tuition refunds<sup>3</sup> (as outlined in the training vendor's refund policy) when the participant is unable/unwilling to complete the training program.

### **MONITORING**

NoRTEC shall review a sample of charges included in an ITA during on-site and desk reviews to assure compliance with this policy.

Any costs that NoRTEC determines should not have been included as part of the ITA may be questioned, and Service Providers will have an option to transfer the charges to the Supportive Service cost category or pay for them with non-WIOA funding.

### **POLICY EXCEPTIONS**

Service Providers (NoRTEC Subcontractors) may make exceptions to this policy only with prior written authorization from the NoRTEC Administrative entity.

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<sup>3</sup> The responsibility for collection applies only to tuition payments made with WIOA funds. Collection of books, supplies, and other materials included in the ITA are subject to local WIOA Service Provider policy.