



8.C.

South Florida Workforce Investment Board

February 24, 2011

Approval of an On-the-Job Training (OJT) Policy

RECOMMENDATION

The Economic Development & Industry Sector committee recommends to the Board the approval of the revised On-the-Job Training (OJT) Policy as set forth below.

BACKGROUND

SFWIB staff has developed the attached revised OJT Policy for the EDIS Committee's consideration. The purpose of the OJT Policy is to provide all SFWIB stakeholders with clear, uniform guidelines and parameters regarding the use of training funds through OJT agreements. The policy has three principal benefits: provide minimum standards and suggestions for implementing federally funded OJT, promote an increase in the region's utilization of OJT, and encourage Service Providers to develop standard protocol to streamline OJT agreements that best meet the needs of the local business community.

The following is a bulleted list of the critical sections of the revised policy:

- Section VI: Definitions
 - a. Conflict of Interest
 - b. Reverse Referrals
- Section VII: Eligibility
- Section VIII: OJT Agreement
 - a. Conditions
 - b. Duration
 - c. Compensation
- Section X: Exceptions

The Economic Development & Industry Sector committee discussed this item at its February 24, 2011 meeting. The Economic Development & Industry Sector committee recommends to the Board the approval of the revised On-the-Job Training (OJT) Policy.

Note that the policy will be implemented following approval by the SFWIB.

Attachment

SFWIB ON-THE-JOB TRAINING (OJT) POLICY

I. OF INTEREST TO

The On-the-Job Training (OJT) Policy should be of interest to members of the South Florida Workforce Investment Board (SFWIB), SFWIB staff, Contractors (Service Providers), Training Vendors, Businesses, Job Seekers, and Employees in Region 23 (Miami-Dade and Monroe counties).

II. SUBJECT

On-the-Job Training (OJT)

III. PURPOSE

The purpose of the OJT Policy is to provide all SFWIB stakeholders with parameters regarding the use of training funds through OJT agreements. As seen in the Agency for Workforce Innovation (AWI) Final Guidance 00-009, OJT is a required component of the SFWIB Training Master Plan.

IV. STATUTORY AUTHORITIES

Public Law 105-220, Workforce Investment Act of 1998 (WIA)

Florida Statutes, Title XXXI, Chapter 445, Workforce Innovation Act of 2000

V. BACKGROUND

The WIA includes OJT as one of its approved training services. SFWIB provides OJT services via an agreement with a business (public, private non-profit or private for-profit), Service Provider, and an eligible participant. Through OJT, businesses may receive funding to assist in offsetting the extraordinary costs of hiring and training a new employee.

VI. DEFINITIONS

A. *On-the-Job Training (OJT)*

Section 101 (31) of WIA defines On-the-Job Training as:

1. Provides knowledge or skills essential to the full and adequate performance of the job;
2. Provides reimbursement to the business a percentage of the wage rate for a participant(s), for the extraordinary cost of providing training and additional supervision related to the training; and
3. Is limited in duration as appropriate to the occupation for which the participant is being trained, taking into account the content of the training, the prior education and work experience of the participant, and the service strategy.

B. Conflict of Interest

1. SFWIB will not favor a referral from and/or to a member of the SFWIB over another business in the community. OJT placements shall be made based upon what will be most beneficial to the participant.
2. The SFWIB shall be notified whenever the OJT Agreement is connected to a SFWIB member, Service Provider or employee.
3. Service Providers are prohibited from recommending an agreement or making OJT referrals to businesses who are members of their immediate family or members of families of other Service Provider staff or SFWIB staff.
4. The contracted OJT business shall not hire a participant who is a relative (member of the family) of the business. Relative is defined as: father, mother, son, daughter, brother, sister, uncle, aunt, first cousin, nephew, niece, husband, wife, father-in-law, mother-in-law, son-in-law, daughter-in-law, brother-in-law, sister-in-law, stepfather, stepmother, stepson, stepdaughter, stepbrother, stepsister, half brother, or half sister. (Section 112.3135, Florida Statutes)

C. Credentials

Credentials include, but are not limited to, a high school diploma, including special diplomas; GED or other recognized equivalents; post-secondary degrees/certificates; recognized skill standards such as occupational completion points (OCP); licensure or industry-recognized certificates; and, successful completion of OJT and Customized Training.

D. Reverse Referrals

A reverse referral is when the business has identified someone they would like to hire but the individual has demonstrated skills deficiency related to the position's requirements. A business may refer a job applicant to the Service Provider for potential OJT enrollment. In the case of reverse referrals, the candidate must schedule an eligibility determination and assessment appointment with a Service Provider and must be eligible for WIA as a dislocated worker or adult. The Service Provider must utilize normal eligibility assessment and enrollment procedures.

Participant's eligibility must be determined prior to employment; no pre-hires or period of employment prior to the execution of an OJT agreement and participant training plan are acceptable.

VII. ELIGIBILITY

A. Business

Prior to entering into an agreement for OJT services with a business, the Service Provider shall ensure that the business is eligible.

Businesses that meet the following criteria are considered eligible and may, subject to available funding, enter into an OJT agreement:

1. Located in the State of Florida;
2. Hold valid business occupational license;

3. Maintains Workers Compensation Insurance (if applicable);
4. Active business as verified by Florida Department of State Division of Corporations (www.sunbiz.org);
5. Business has operated at current location for at least 120 days.

B. Participant (Unemployed)

Participants (unemployed adults and dislocated workers) that meet the following criteria may, subject to available funding, receive OJT through an executed OJT agreement:

1. Eligible under one of the SFWIB funded programs: WIA Youth, WIA Adult, WIA Dislocated, TANF, Refugee, etc. *Note: for OJT NEGs, eligibility is limited to dislocated workers only.*
2. Not fully skilled in the chosen occupation, is in need of Training Services, and has the skills and qualifications to successfully complete the OJT.
3. Under the WIA, has received at least one intensive service, such as development of an Individual Employment Plan (IEP) with a career advisor or individual counseling and career planning, before receiving OJT services.

C. Training Vendors

Service Providers may only refer OJT participants to SFWIB-approved Training Vendors.

VIII. OJT AGREEMENT

A. Conditions

1. Participants may not commence training and businesses may not hire prior to the execution of the OJT agreement. The agreement is executed when signed by all required parties, i.e., Service Provider, business, and participant.
2. The following three sections must be pre-negotiated and included in the OJT agreement:
 - a. Percent of Reimbursement;
 - b. Timeframe for achievement of competencies; and
 - c. Intervals at which the business will be reimbursed.
3. The appropriate signatory for the business shall be either the owner where the business is incorporated; a partner where the business is a partnership; or an officer if the business is a corporation. Corporations sometimes designate signatories other than their officers. In such instances, written authority transferring signatory responsibilities must be obtained by the individual responsible for developing the agreement.
4. Service Providers are responsible for reviewing the agreement with both the business and the participant prior to execution to assure that the business and participant wholly understand and are familiar with the requirements of the agreement.

5. The participant's attainment of competencies must be routinely documented by the business and Service Provider and placed in the participant's file.
6. OJT may be sequenced with, or accompanied by, other types of training, such as remedial education, basic skills training or occupational skills training.
7. Businesses shall establish and maintain records with respect to all matters covered by the OJT agreement. Businesses shall retain such records for at least five (5) years from the date of final payment, or until all related federal and state audits or litigation is completed, whichever is later. Businesses shall allow public inspection of all documents, papers, letters or other materials made or received by the business in conjunction with the OJT agreement, unless the records are exempt under federal or state law.
8. The OJT business shall comply with the nondiscrimination and equal opportunity provisions of federal or state law.

B. Duration

1. An OJT agreement shall be limited to the period of time required for a participant to become proficient in the occupation for which the training is being provided. In determining the appropriate length of the agreement, consideration should be given to the skill requirements of the occupation, the academic and occupational skill level of the participant, prior work experience, and the participant's IEP.
2. OJT agreements shall not exceed six months of training unless there is documented justification and written approval from the SFWIB Executive Director.
3. For OJT NEGs, the OJT duration caps at six months.
4. An OJT agreement may be written or extended beyond the initial periods under the following conditions:
 - a. A barrier to skills attainment is identified during training, which was not evident during the assessment.
 - b. The participant has been unable to master the skills within the agreement's time frame.
 - c. The training plan measures used during the assessment to identify participant's skills proficiencies prove to be inadequate based upon business evaluation after participant is placed on the job.
 - d. There is an upgrade in the participant's job description from that developed upon entry into training in which case the ending wage for the participant should be increased from the wage identified upon entry into training.

C. Compensation

1. Eligible Service Providers and Training Vendors may not execute OJT agreements exceeding a total possible business compensation of \$10,000 per participant without prior written SFWIB approval.

2. Participants employed under an OJT agreement shall be compensated by the business at the same rates, (including periodic increases) as similarly situated employees. In no event, however, shall OJT participants be paid less than the higher of the minimum wage specified under the Fair Labor Standards Act of 1938, as amended or the applicable state or local minimum wage.
3. Participants employed under a SFWIB OJT agreement shall receive the same fringe benefits and be subject to the same working conditions granted to regular employees under the same or similar occupational title. The business will bear the full cost of fringe benefits for OJT participants, including holiday pay, insurance, taxes, etc.
4. Payments to a business under an OJT agreement shall not exceed program specific guidelines, for the costs of providing the training and additional supervision related to the training; and reimbursement of the participant's wage rate.
5. OJT payments may not be based on overtime, shift differential, premium pay and other non regular wages paid by the business to participants.
6. Businesses may not pay OJT participants in cash.
7. Businesses shall submit certified payroll records, as part of the invoice process, in order to receive the applicable reimbursement.
8. Businesses will be reimbursed by Service Providers as competencies/skills are met with the final reimbursement upon the completion of the last competency and proper documentation has been provided. Reimbursement should coincide with the business pay period. The reimbursement amounts will be based upon the relevant funding stream requirements and any waivers at the time of the agreement. As seen in Section X of this policy, Service Providers may submit a written request to the SFWIB Executive Director to approve an exception to the reimbursement process.

IX. GRIEVANCES AND APPEALS

Service Providers shall advise participants of their right of appeal using either the business' grievance procedures, or those of the SFWIB, if previously agreed with the business. If a business elects to use its own grievance procedures, the business must agree to provide information to SFWIB as to actions taken under those procedures. If the participant is not satisfied with the outcome after using the business' grievance procedures, then he/she may elect to file a grievance with SFWIB under the SFWIB grievance procedures.

X. EXCEPTIONS

Exceptions to this policy, or any part thereof, must be approved in writing by the SFWIB Executive Director.

XI. PROHIBITIONS

1. Workforce participants who have previously received an Individual Training Account (ITA) for occupational training are ineligible to participate in OJT.
2. Participants shall not be employed to carry out the construction, operation, or maintenance of any part of any facility that is used or to be used for sectarian instruction or as a place for religious worship (except with respect to the maintenance of a facility that is not primarily or inherently devoted to sectarian instruction or religious worship, in a case in which the organization operating the facility is part of a program or activity providing services to participants).
3. OJT agreements shall not be written for part-time employment. Proof of full-time employment shall be established and documented by the business. Whether the participant is categorized as full-time shall be verified by the Service Provider.
4. OJT agreements shall not be written for jobs with a Specific Vocational Preparation (SVP) of two or under, except for participants who have a documented disability for whom such a placement would be appropriate or where written justification is provided to and approved by the SFWIB Business Services Manager. Documentation shall indicate the appropriateness of training and why the training is necessary to obtain the skills for the job. Lack of prior work history or non-English speaking are not to be considered disabilities for the purpose of complying with this provision, but may justify placement into a job with a low SVP.
5. The Service Provider shall not enter into agreement with a business who has previously exhibited a pattern of failing to provide OJT participants with continued long-term employment with wages, benefits, and working conditions that are equal to those provided to regular employees who have worked a similar length of time and are doing the same type of work.
6. OJT training funds shall not be spent on construction or purchase of facilities or buildings except:
 - a. To meet a recipient's obligation to provide physical and programmatic accessibility and reasonable accommodation as required by the Americans with Disabilities Act (ADA);
 - b. To fund repairs, renovations, alterations and capital improvements of property, including: (i.) State Employment Service Agency (SESA) real property, identified at WIA section 193, using a formula that assesses costs proportionate to space utilized; (ii.) Job Training Partnership Act (JTPA) owned property which is transferred to WIA Title I programs; and (iii.) Job Corps facilities, as authorized by WIA section 160(3)(B); and
 - c. To fund disaster relief employment on projects for demolition, cleaning, repair, renovation, and reconstruction of damaged and destroyed structures, facilities, and lands located within a disaster area. (WIA Sec. 173(d))

7. OJT funds shall not be used to encourage or induce a business, or part of a business, to relocate from any location in the United States, if the relocation results in any employee losing his or her job at the original location.

SOUTH FLORIDA WORKFORCE CAREER CENTERS

CAROL CITY CAREER CENTER

4690 NW 183rd Street
Miami, FL 33055
Tel: 305-620-8012
Fax: 305-623-3521
TTY: 305-623-3501

LITTLE HAVANA CAREER CENTER

701 SW 27th Avenue
Miami, FL 33135
Tel: 305-643-3300
Fax: 305-643-7240
TTY: 305-643-7231

HIALEAH DOWNTOWN CAREER CENTER

240 E 1st Avenue, Suite 208
Hialeah, FL 33010
Tel: 305-883-6925
Fax: 305-883-6910
TTY: 305-805-5191

MIAMI BEACH CAREER CENTER

833 6th Street, 2nd Floor
Miami Beach, FL 33139
Tel: 305-532-5350
Fax: 305-535-5462
TTY: 305-535-5406

HIALEAH GARDENS CAREER CENTER

2851 W 68th Street, Suite 14
Hialeah, FL 33016
Tel: 305-826-4011
Fax: 305-826-8022
TTY: 305-364-3182

NORTHSIDE CAREER CENTER

7900 NW 27th Avenue
Miami, FL 33147
Tel: 305-693-2060
Fax: 305-693-2071
TTY: 305-693-2079

HOMESTEAD CAREER CENTER

140 NE 8th Street
Homestead, FL 33030
Tel: 305-242-5373
Fax: 305-242-2438
TTY: 305-242-2548

NORTH MIAMI BEACH CAREER CENTER

633 NE 167th Street, Suite 200
North Miami Beach, FL 33162
Tel: 305-654-7175
Fax: 305-654-7188
TTY: 305-650-2329

KEY LARGO CAREER CENTER

103400 Overseas Highway, Suite 239
Key Largo, FL 33037
Tel: 305-853-3540
Fax: 305-853-3543
TTY: 305-453-1259

PERRINE CAREER CENTER

9555 SW 175th Terrace
Miami, FL 33157
Tel: 305-252-4440
Fax: 305-278-1066
TTY: 305-234-2232

KEY WEST CAREER CENTER

1111 12 Street, Suites 307 & 308
Key West, FL 33040
Tel: 305-292-6762
Fax: 305-292-6891
TTY: 305-292-6899

WEST DADE CAREER CENTER*

8485 Bird Road, 2nd Floor
Miami, FL 33155
Tel: 305-228-2300
Fax: 305-228-2321
TTY: 305-220-7505



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AGREEMENT				
This agreement is entered into by the Business and Service Provider below to provide On-the-Job Training (OJT). Either party may terminate this Agreement as outlined in the provisions set forth in the attached documents. Furthermore, this agreement is not binding until executed by all three parties: Business, Service Provider, and Trainee.				
Agreement Number:		Beginning Date:		
Funding Source:		Approximate End Date:		
BUSINESS		SFW SERVICE PROVIDER		
Name:		Name:		
Address:		Address:		
City	Zip:	City:	Zip:	
F.E.I.D. Number		Contact Person:		
NACIS Code		Title:		
Authorized Rep:		Telephone:	Fax:	
Telephone:		Email:		
E-mail:				
TRAINEE		TRAINEE OCCUPATION		
Name:		Title:		
SSN:		ONET-SOC Code		
Incumbent? <input type="checkbox"/> Yes <input type="checkbox"/> No		SVP Level ** requires approval		
		(**SVP 2 = up to – 160 hours) (SVP 4 = 481 – 1,040 hours)		
		(**SVP 5 -8 = 1,041 hours/ 6 months or more)		
		(SVP 3 = 161 – 480 hours)		
TRAINING FACILITY LOCATION		INSTRUCTOR		
Address:		Name:		
City:		Title:		
Zip:		Telephone Number:		
REIMBURSEMENT				
Reimbursement for wages under this agreement shall be based on the hourly wage and percent of reimbursement listed below, for the competencies/skills outlined in the Training Outline on page two of this agreement, and in accordance with the payment method detailed in Attachment A. Submission of original, signed, and dated competency certifications, an invoice, and authorized payroll records supporting the invoice, are required for reimbursement.				
(a)	(b)	(c)	(d)	
Total Number of Training Hours	Hourly Wage Rate	Rate of Reimbursement	Total Maximum Reimbursement	Hourly Wage Rate at Completion
Min (Min=161) Max 1,040			[d = a * b * c]	No less than OJT rate :
COLLECTIVE BARGAINING AGENT CONCURRENCE				
A. Does a collective bargaining agreement cover the operation offering employment and training?			<input type="checkbox"/> Yes	<input type="checkbox"/> No
B. If Yes, have you notified the appropriate collective bargaining representative as to the On-The-Job Training Program and the rates of pay associated herein?			<input type="checkbox"/> Yes	<input type="checkbox"/> No
C. If Yes, have you received any notice of non-concurrence from the appropriate collective bargaining representative?			<input type="checkbox"/> Yes	<input type="checkbox"/> No

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TRAINING OUTLINE & COMPETENCY CERTIFICATION	
Competencies/Skills to be acquired through OJT Label the last competency/skill to be attained "FINAL".	Approximate percent of time required per to attain Comp/Skill (Must total 100%)
TOTAL	
	0%
BUSINESS	SERVICE PROVIDER
<p>I understand and shall abide by this training agreement and all provisions of its attachments. The undersigned, as the duly authorized representative of the Business, has authority to commit the Business to this agreement. I certify that either I or a representative of this company shall provide On-the-Job Training in the manner described in the Training Outline for the time period specified in this agreement. I also certify that nepotism has been discussed with me by the Service Provider and is absent from the activities covered by this agreement. I further certify that employees trained under this agreement will be covered by worker's compensation insurance as is consistent with Chapter 440 of the State of Florida Statutes.</p> <p>If signature of person other than employer, a separate letter from the employer authorizing the signatory must accompany this contract.</p> <p>Signature: _____</p> <p>Date: _____</p> <p>Name: _____</p> <p>Title: _____</p>	<p>I certify that the customer to be trained under this agreement has been recruited by this office in compliance with SFW procedures; and, that nepotism has been discussed with both the participant and the employer and are absent from the activities covered by this agreement.</p> <p>Signature: _____</p> <p>Date: _____</p> <p>Name: _____</p> <p>Title: _____</p>
ATTACHMENTS	TRAINEE
<p>(Below are the documents to be given at time of agreement)</p> <p>A. Competencies and Certifications</p> <p>B. Business Qualification Checklist</p> <p>C. Business Handbook</p> <p>D. Assurances & Certifications</p>	<p>I hereby certify that I do not possess the skills to be acquired through this agreement; nor have I worked for this or another employer performing functions similar to those to be taught; and that the Service Provider has discussed nepotism and it is absent from the activities covered by this agreement.</p> <p>Signature: _____</p> <p>Date: _____</p> <p>Name: _____</p> <p>Title: _____</p>
	<p>0</p> <p>0</p>

Competency Certifications and Payment Method

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Trainee Name	Total OJT Hours	OJT hourly wage	Rate of Reimbursement	Total OJT Reimbursement					
0	0	\$0.00	0.00%	\$0.00					
Competency Skill Certification			Projected payment and percentage of time			Actual payment due for skills acquired			
Competencies/Skills to be acquired through OJT	Instructor/Supervisor Signature to attest achievement of competency	Date of skill achievement	Projected Hours of payment due	Percent of time and payment due for completion of hours for competency	Projected Payment Due	* Enter actual hours achieved per Comp/Skill acquired.	Percent of payment due for acquired skills	** Actual payment due	
1	0.00		0.00	0.00%	\$ -		#DIV/0!	\$ -	
2	0.00		0.00	0.00%	\$ -		#DIV/0!	\$ -	
3	0.00		0.00	0.00%	\$ -		#DIV/0!	\$ -	
4	0.00		0.00	0.00%	\$ -		#DIV/0!	\$ -	
5	0.00		0.00	0.00%	\$ -		#DIV/0!	\$ -	
6	0.00		0.00	0.00%	\$ -		#DIV/0!	\$ -	
7	0.00		0.00	0.00%	\$ -		#DIV/0!	\$ -	
8	0.00		0.00	0.00%	\$ -		#DIV/0!	\$ -	
9	0.00		0.00	0.00%	\$ -		#DIV/0!	\$ -	
10	0.00		0.00	0.00%	\$ -		#DIV/0!	\$ -	
			Totals	0.00	0.00%	\$ -	0	#DIV/0!	\$ -

Instructions: To determine payment due to employer enter in cells (1 6 through 1 15) actual OJT hours achieved for each Comp/Skill.

Note: * Actual OJT hours may not exceed total projected OJT hours in agreement.

** Actual OJT payment due may not exceed total employer reimbursement

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OJT: BUSINESS QUALIFICATION REQUIREMENTS

Business Name: 0
 Business Address: 0
0 0

#	QUESTION	ANSWER		SUPPORTING DOCUMENTATION	
		NO	YES	DESCRIPTION	Initials
1	Business located in the State of Florida			Date business established: ____/____/____	
2	Business holds valid business license to operate			Occupational License or Corporate License Renewal Date: ____/____/____	
3	Business maintains Workers Compensation Insurance (if applicable)			Effective Dates: ____/____/____ to ____/____/____	
4	Active business as verified by the Florida Department of State Division of Corporations (www.sunbiz.com)			Number of Current Employees: _____	
5	Has the business relocated within the last 120 days and dislocated any employee from the previous community?			If answer is yes to question 5, business will be disqualified for OJT	
6	Has the participant ever worked for this company?			If answer is yes to question 6, business will be disqualified for OJT	
7	What is the frequency of the payroll? (Please put a check mark next to the appropriate response)	<input type="checkbox"/> Weekly	<input type="checkbox"/>	Please indicate source: _____	
		<input type="checkbox"/> Bi-Weekly	<input type="checkbox"/>		
		<input type="checkbox"/> Monthly	<input type="checkbox"/>		

I hereby certify that all documents stated herein are current with State and Federal requirements. I understand that all documents are subject to audit.

Signature of Business Representative

Date

Name of Business Representative

Title of Business Representative

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EMPLOYEE QUALIFICATION DOCUMENT (WIA)

Business Name: _____ 0 FEID#: _____ 00-0000000

Employee Name: _____ 0 SSN: _____ 000-00-0000

JOB TITLE

HOURLY WAGE

Current: _____

Post Training: _____ 0 _____ \$0.00

STATEMENT OF TRAINING QUALIFICATION

Please check the (one) reason that the employee named above qualifies for training:

- Self-Sufficiency: Employee and his family (if applicable) do not meet the South Florida Workforce definition of Self-Sufficiency.
- Job Retention: Employee cannot retain employment without further training or services.

Describe the employee's aptitude and interest for training:

Note: This form is only applicable with employed worker training OJT agreement

Authorized Business Name

Title

Signature

Date

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OPTIONAL TIME SHEET
The time sheet documenting the number of hours worked is maintained at the employer's place of business. Any kind of time keeping system is acceptable, as long as it verifies the hours submitted for reimbursement on the monthly invoice.

0 _____ 0
 BUSINESS NAME TRAINEE NAME

0 0 0 000-00-0000
 TRAINING LOCATION TRAINEE SS#

HOURS WORKED BY MONTH _____ Total Hours 0

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	

HOURS WORKED BY MONTH _____ Total Hours 0

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	

HOURS WORKED BY MONTH _____ Total Hours 0

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	

Total OJT Hours **0**

I hereby certify that this time sheet is a true statement of the time worked by the above trainee and that he/she was compensated at the rate shown on the training agreement (Statements are subject to audit).
--

 Business Name Business Signature Date

0 _____
 Trainee Name Trainee Signature Date

Invoice for OJT Training (OJT) Wage Reimbursement

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Business _____ 0

Employee _____ 0 SS# _____ 000-00-0000 _____ OJT CONTRACT NO: _____ 0

Check No.	From	To	Number of Hours	Gross Amount	W/H Taxes, FICA, Other	Net	Employee Signature
						\$ -	
						\$ -	
						\$ -	
						\$ -	
						\$ -	
						\$ -	
						\$ -	
						\$ -	
						\$ -	
						\$ -	
Total Amount						\$ -	
Applicable wage reimbursement						0%	
Total reimbursement request							

<p>I certify that the above information is true and correct</p> <p>_____ Signature of Business Representative</p> <p>_____ Name of Business Representative</p>	<p>I certify that I have verified the above information against time sheets provided by the employer that this request agrees with the applicable OJT contact(s)</p> <p>_____ Signature of Service Provider Representative</p> <p>_____ Name of Service Provider Representative</p>
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On-the-Job Training (OJT) Service Provider Monitoring Checklist				
General Information				
Service Provider Name	<input style="width: 95%;" type="text" value="0"/>			
Contract Number	<input style="width: 40%;" type="text" value="0"/>	Date of Review	<input style="width: 40%;" type="text"/>	
Business Name	<input style="width: 40%;" type="text" value="0"/>	Worksite Address	<input style="width: 95%;" type="text" value="0"/>	
Participant Name	<input style="width: 40%;" type="text" value="0"/>		<input style="width: 95%;" type="text" value="0"/>	
OJT Begin Date	<input style="width: 40%;" type="text" value="1/0/1900"/>	Social Security Number	<input style="width: 95%;" type="text" value="000-00-0000"/>	
OJT Approximate End Date	<input style="width: 40%;" type="text" value="1/0/1900"/>			
Contract Reimbursement Computation				
	No.	Yes	No	Comments/Other
1 Number of Training hours completed				
2 Do Time Sheets Match # of training hours completed?				
3 Training hours completed as per contract				
4 Hourly wages paid as per contract				
5 Do Paystubs match the negotiated pay rate?				
6 Is the required 7.65% FICA correctly withheld?				
7 Was the frequency of payroll verified?				
Training Outline				
	No.	YES	NO	Comments/Other
1 Number of Competencies in the Training Outline				
2 Number of Competencies Achieved				
3 Trainee monthly evaluation completed				
4 Participant indicated during interview that training was received as shown above.				
Employee Retention				
	Yes	No	Comments/Other	
1 Was the employee retained for employment upon completion of training, if no skip to question #6				
2 What is the name of the position in which the participant was hired?				
3 Is the position a promotion?				
2 Is the employment fulltime				
3 What is the hourly wage				
4 Does the hourly wage represent an increase in pay compared to the OJT wage?				
5 What is the amount of increase in hourly wage?				
6 Date of termination				
7 Reason for termination				
Signature	<input style="width: 100%;" type="text"/>		Date	<input style="width: 100%;" type="text"/>
Typed Name	<input style="width: 40%;" type="text" value="0"/>	Title	<input style="width: 40%;" type="text" value="0"/>	

**INSERT SERVICE PROVIDER LOGO
HERE**

TRAINEE EVALUATION		
0 _____ BUSINESS NAME	0 _____ TRAINEE NAME	
0 _____ TRAINING LOCATION	000-00-0000 TRAINEE SS#	
<p>The Service Provider is responsible for making sure that each trainee learns as much, and performs as well as possible, on the job. In order to do this most effectively, the Service Provider needs to know how the trainee is doing. Please complete this form as accurately as possible so that any problems can be solved <u>immediately</u>. The signature of both the supervisor and the trainee are required.</p>		
CRITERION	GRADE (See Key) (1)	COMMENT
1. Acceptance of responsibility (follows direction).		
2. Displays initiative in his or her work.		
3. Tact, courtesy, cooperation, relationship with others.		
4. Degree of accuracy (thorough and efficient).		
5. Promptness in reporting to work.		
6. Regularity in reporting to work.		
7. Personal grooming.(Proper appearance and dress for work situation)		
8. Good judgment.(Makes appropriate decisions)		
9. Job knowledge (Skills used on the job)		
(1) GRADING KEY: A: Superior B: Good C: Average D: Poor		
Supervisor Name _____	Trainee Name _____	0
Supervisor Signature _____	Trainee Signature _____	
Date _____	Date _____	

[Florida Employment Referral \(Click Here to Link EFM\)](#)

Referral Date:

Job Referral Number:

Applicant: Please see the instructions below labeled "Application Methods Accepted by Employer:" to see how to apply for this job.

If you are selected to be interviewed by the employer, give this referral form to the employer. For those applicants who are collecting Unemployment Compensation benefits, failure to report to the employer when selected for an interview may affect your unemployment benefits.

INTRODUCING:

For Job As:

Appointment Date:

TO:

REFERRED BY:

Contact Name:

Employer Name:

Employer Address:

Phone:

Fax:

Email:

Fax:

Email:

Application Methods Accepted by Employer: **Call For Appointment, Fax**

Application Process Description:

EMPLOYER: Go to www.employflorida.com log in under your User ID and Password and complete the results under Job Order Applicants (Click on Applicants to bring up the list.) OR Fax or mail referral results within 10 days from interview date to the Referral Office above.

1. Hired. Date started:

3. Failed to report to interview:

6. Not hired:

Starting Salary:

4. Failed to report to work:

7. Not qualified:

2. Refused Job:

5. Position filled:

8. Considering this candidate:

Do you wish to interview more applicants? ____ Yes ____ No

Comments: **Job Applicant is Eligible for On the Job Training (OJT)**

(Employer Signature) _____

Eligible for training and/or employment under Workforce Investment Act (WIA). ____ Yes ____ No

Eligible for On The Job Training (OJT). ____ Yes ____ No

Eligible for Welfare-to-Work (W2W) tax credit. ____ Yes ____ No

Eligible for Work Opportunity Tax Credit (WOTC). ____ Yes ____ No

Certifiable under the Enterprise Zone (EZ). ____ Yes ____ No

Provided company application as a service, but not reviewed. ____ Yes ____ No

Applicant was referred through _____, a private, fee-charging employment agency.

This agency has agreed that applicants secured through Job Center will not be required to pay fees. ____ Yes ____ No

Applicant has been terminated or a labor dispute exists and that employment opening did not result from issue. ____ Yes ____ No

(If answer is "Yes", please specify in comments kept by Job Center)

I have read and reviewed the qualifications with a One Stop staff person and meet all the posted requirements for the above position:

(Applicant Signature) _____

INFORMATION NOT VERIFIED:

The One-Stop Center does not guarantee the accuracy of information obtained from the applicant or employer.

OJT PROCEDURES

OVERVIEW

Unlike traditional occupational training, wherein the participant attends classroom training at an approved training partner's facility, on-the-job Training (OJT) is provided by an employer, at the employer's work site, while paying the participant standard wages and benefits for the position. Upon successful completion of this type of training, the expectation is full-time employment, preferably at a higher wage.

In order to compensate the employer for the extraordinary cost of training, three partners enter into a legal agreement: the service provider, the participant, and the employer. The agreement details the occupational training the employer will provide to the participant, the wages the employer will pay the participant, and the reimbursement due to the employer in exchange for the training.

Numerous funding streams (WIA Adult, WIA Dislocated, TANF, Refugee, etc.) can be used to fund OJT. Service partners using an OJT agreement must follow all eligibility, reporting, file maintenance, and documentary requirements of SFW and the funding stream paying for the training.

As with traditional occupational training, service partners may use OJT to serve both unemployed and employed workers. In either case, participants must not already possess the skills for the position, and must require training above and beyond the type of training usually provided to new employees. One should also note that OJT may be sequenced with, or accompanied by, other types of training, such as remedial education, basic skills training, or occupational training.

The procedures that follow, outline the major steps in executing and implementing an OJT agreement, and provide answers to frequently asked questions. Service partners must use the official SFW OJT documents, attachments, and forms to implement OJT. These documents can be accessed by clicking on hyperlinks found throughout the procedures. Hyperlinks are underlined text that will open the named document when clicked. A complete list of such documents is also detailed below.

OFFICIAL SFW OJT DOCUMENTS

1. [Policy](#)
2. [OJT Forms](#)
3. [Employer Handbook](#)
4. [Assurance & Certifications](#)
5. [Definitions & Certifications](#)
6. [Grievance Policy and Receipt](#)
7. [Self-Sufficiency Standard](#)

OJT ... STEP BY STEP

Every OJT opportunity is unique. For this reason, it is possible for the sequence of some steps to change slightly, from one opportunity to the next. This is particularly true in steps 1-7, but less likely in steps 8-24. The steps that follow assume that the SFW service partner has already identified both the employer and the likely trainee.

1. OJT COORDINATOR

Before beginning the process of executing an OJT agreement, we strongly recommend that the service provider assign a single individual to coordinate the entire OJT process, regardless of who implements a particular step in the process. This improves accountability and communication during the process.

2. OCCUPATION

The service partner must obtain all of the occupation's information (e.g. wage rate, title, SVP, training time, reimbursement percentage, etc.). For a complete list of the required information, see the OJT Agreement [Contract Body](#).

3. PERFORMANCE/EMPLOYMENT PLAN

The service partner must determine if the occupation meets SFW performance needs and the individual's employment plan. This includes any and all assessments required of the funding stream to be utilized.

4. FUNDING

Based on the Occupation information, the service partner must determine if sufficient money ("Available to spend") is available to fund the training. OJT is funded from the same allocation of training dollars in SAMS that service partners use to fund occupational training through Individual Training Accounts (ITA)/Educational Scholarships.

5. INDIVIDUAL ELIGIBILITY

The service partner must determine if the individual is eligible for training through an available SFW funding stream; and, make sure to consider whether the individual is unemployed. Then the service partner must ensure that the individual's eligibility matches the available training funds.

6. **TRAINEE REFERRAL**

If the service partner will refer multiple individuals to the employer at the same time, the service partner should provide the employer with an Employ Florida Job Referral generated from EFM for each individual. Whether referring multiple individuals or only one, the service partner must also provide the employer with one copy of the [OJT Employer Handbook](#) and one copy of the [OJT Agreement](#) with all of the attachments.

7. **EMPLOYER ELIGIBILITY**

The service partner must determine if the employer meets SFW eligibility by completing the [Employer Qualification Checklist](#) and obtaining the required supporting documentation. These documents must be maintained in a file for the employer. The checklist and supporting documentation must be updated once every program year.

8. **AGREEMENT**

In preparation for signatures, the service partner should fill-in the main [Contract Body](#). This document includes the Training Outline and Competency Certifications. Using the Training Outline as a guide, the service partner must also prepare Attachment A, the [Payment Method](#).

9. **SFW APPROVAL**

If the Total Maximum Reimbursement surpasses the maximum allowed by [OJT Policy](#), then the service partner must obtain written SFW approval for the OJT. An e-mail, fax, or letter via post from the WIA/TANF Manager of Adult Programs

10. **SIGNATURES**

- a. Contract Body: Have the employer, the individual, and the service partner read, sign, and date the OJT Agreement [Contract Body](#)
- b. Attachment D – Have the employer read, sign, and date the [Assurances and Certifications](#), in blue ink.
- c. Employee Qualification Document: If the employer that is party to the OJT already employs the individual (i.e. OJT for an employed worker) and the WIA funding stream is funding the training, then have the employer read, complete, sign, and date the [Employee Qualification Document](#), in blue ink.
- d. Grievance: The individual's signed receipt of the SFW [Grievance Policy](#) must be documented in the individual's file.

11. INDIVIDUAL ENROLLMENT

Register and enroll the job seeker in the appropriate program. Follow all required procedures and requirements for that program (i.e. eligibility, supporting documentation, electronic data entry, file creation, etc.)

12. BUDGET

The service partner must enter a budget for the OJT in SAMS.

13. VOUCHER

The service partner must create a voucher for the Total Maximum Reimbursement to the employer.

14. EMPLOYER ENROLLMENT

The service partners must register the employer in the appropriate system(s).

15. TRAINING

The individual begins training and working with the employer. Note that training may not commence prior to the execution of the OJT agreement.

16. EMPLOYER DOCUMENTATION

The employer must document the participant's attendance, earnings, and competencies during the OJT period. The instructor shall sign and date the competency certification upon the trainee's achievement of the competency, so that service partner monitoring can document the trainee's progress.

17. MONITOR

The service partner must visit the participant at least once during the OJT and document the observations in the participant's file using the [Monitoring Worksheet](#).

18. EMPLOYER INVOICE

The employer must compile records of attendance, paid earnings, and competency certification records created during step 16 above. The employer must then create an [Invoice](#) based on these documents and submit the original documents to the service partner for reimbursement.

19. EMPLOYER REIMBURSEMENT

Once the service partner receives original documentation as detailed in step 18 and verified, the service partner can process reimbursement as agreed to the employer.

20. SERVICE PARTNER REIMBURSEMENT

After the service partner receives their cancelled check to the employer. The service partner can prepare a reimbursement package for SFW, which includes copies of the Training Outline and Competency Certification, the original SAMS generated voucher signed by the employee. A service partner invoice detailing all documentation in total amount invoice to SFW and a copy of their cancelled check. SFW will review reimbursement package and process payment to service partner.

21. REPEAT

Steps 15-20 may be repeated depending on the negotiated frequency of reimbursement detailed in the [Payment Method](#).

22. CREDENTIAL

Assuming successful completion of the OJT, the service partner must enter the credential in the participant's file and into the electronic system(s) required by the funding stream paying for the training.

23. PLACEMENT

If the individual was unemployed upon commencement of training, the employer should retain the individual in permanent employment, and the service partner should enter a placement into the appropriate electronic system.

24. FOLLOW-UP

Based on the requirements of SFW and the funding stream paying for the training, the service partner must perform follow-up, document the follow-up, and enter this information into the appropriate electronic system. If the service partner learns that the employer does not retain the former trainee, without apparent cause, then the service partner should make note of this in the participant's file and advise SFW in writing. Employers that exhibit a pattern of non-retention may be disqualified from participating in future OJT agreements.

FREQUENTLY ASKED QUESTIONS (FAQ)

1. How do I assign a Contract Number?

Each Service Provider shall employ the following unique, consecutive contract numbering system [OJT-“PY”-“code”-“##”].

PY = Y1Y1Y2Y2 (e.g. 0809, 0910, or 1011)

<u>LOCATION</u>	<u>“CODE”</u>
Carol City:	CC
North Miami Beach:	NMB
Hialeah Gardens:	HG
Northside:	NS
Hialeah Downtown:	HD
Miami Downtown:	MD
Miami Beach:	MB
West Dade:	WD
Little Havana:	LH
Perrine:	P
Homestead:	H
Monroe County	ME

“##” (e.g. 01, 02, 10, 11, etc.)

Complete Examples:

OJT – 0809 – CC – 01

OJT – 0910 – WD – 12

OJT – 1011 – NS – 09

2. What if we provide services out of a location not detailed above?

If you provide services at a location not listed above, please inform the WIA/TANF Manager and/or Employer Services Manager, either of which can create a unique code for your location, update the list above, and release the updated Procedures to the field.

3. Who is responsible for each step in the OJT?

It is up to the service provider to determine the individual best suited to coordinating the overall OJT and the individuals that will execute each step; but, feel free to use the following recommendations to guide these decisions.

OJT Coordinator:	Steps - 1, 6, 7, 8, 10, 14, 16, 17, & 18
Career Counselor:	Steps 2, 3, 4, 5, 11, 12, 13, 14, 15, 17, 22, 23, & 24
Center Director:	Steps 9, 19, 20, & 21

4. Must the OJT agreement last for the exact duration in the agreement?

No. The end date of the agreement is an approximate date. A participant may achieve the full set of competencies early. The agreement cannot be extended beyond the approximate end date. Should the trainee require more time to achieve certain competencies, the service partner may, at its discretion, enter into a new OJT agreement with the employer to complete the remaining competencies. However, the total number of training hours reimbursed between both agreements shall not exceed those detailed in the first agreement. Furthermore, the service provider may only reimburse the employer for those training hours, competencies, and amounts detailed in the Payment Method. Under no circumstance will the reimbursement exceed the maximum detailed in the agreement, nor will the service partner reimburse the employer for more training hours than the maximum detailed in the current SFW OJT Policy.

5. Do we need to perform follow-up?

The service partner must comply with any and all performance, documentation, data entry, and file maintenance requirements of SFW and the funding stream used for the OJT. In the case of WIA Adult funds, for example, then yes, follow-up would be required. Keep in mind that OJT is not a separate program. It is simply another way to deliver training.

6. Where do I find the SFW and funding stream requirements for handling services like eligibility determination, assessment, data entry, and training?

See the following documents for guidance with respect to the programmatic and administrative requirements not specified herein.

WIA Adult	www. tbd
WIA Dislocated	www. tbd
WIA Youth	www. tbd
TANF	www. tbd
Refugee	www. tbd

U.S. Department of Labor

Assistant Secretary for
Employment and Training
Washington, D.C. 20210

JUN 21 2011

Information

OPB 6666

cc: Carrie O'R

Warren D.

EOL Group

AWI

RE: ↓



OFFICE OF THE GOVERNOR
CITIZEN SERVICES
11 JUN 28 PM 3:15

The Honorable Rick Scott
Governor of Florida
The Capitol
400 S. Monroe Street
Tallahassee, Florida 32399-0001

Dear Governor Scott:

This letter provides approval of the modification to Florida's State Plan for Title I of the Workforce Investment Act (WIA) and the Wagner-Peyser Act (W-P) for the period July 1, 2011 through June 30, 2012, Program Year (PY) 2011. The Employment and Training Administration (ETA) received the State's proposed modification on April 15, 2011. This letter also responds to Florida's requests for revised and extended waivers.

Training and Employment Guidance Letter (TEGL) No. 17-10, issued on December 30, 2010, provides guidance for states that choose to submit a modification of the existing State Plan for PY 2010 or submit requests for new waivers. We appreciate the State's responsiveness to this guidance.

Plan Review and Approval

ETA has reviewed the Florida State Plan modification in accordance with Title I of WIA, the Wagner-Peyser Act, the corresponding regulations, the WIA/W-P Planning Guidance (73 Fed. Reg. 72853, December 1, 2008), and as appropriate TEGL No. 17-10. Pursuant to 20 CFR 661.230(e), this letter constitutes a written determination under WIA Section 112 (29 USC 2822) that ETA is approving the modification to Florida's State Plan for the period July 1, 2011 through June 30, 2012. The State has already received its formula allotment for the WIA Youth program for PY 2011. The State is eligible to receive WIA formula allotments for Adult and Dislocated Worker programs and W-P initial base program allotments, effective July 1, 2011, under the PY 2011 annual funding agreement for WIA and the PY 2011/Fiscal Year 2012 annual funding agreement for W-P.

Performance Levels

Florida requested to extend its existing PY 2010 WIA and W-P performance goals for PY 2011. ETA has incorporated these performance goals, identified as PY 2011 performance goals, into the Regional and National Office copies of the State Plan. Please include these PY 2011 goals in the State's official copy of the State Plan.

Waivers

As part of Florida's modification of the WIA/W-P State Plan, and as described in TEGL No. 17-10, the State requested extensions of Florida's PY 2010 waivers of statutory and regulatory requirements under WIA for PY 2011. The disposition of the State's waiver extensions is outlined below. This action is taken under the Secretary's authority at WIA Section 189(i) to waive certain requirements of WIA Title I, Subtitles B and E, and Sections 8-10 of the Wagner-Peyser Act.

Waiver of WIA Section 133(b)(4) to increase the allowable transfer amount between Adult and Dislocated Worker funding streams allocated to a local area.

The State was previously granted a waiver to permit an increase in the amount a state is allowed to transfer between the Adult and Dislocated Worker funding streams. The State is granted an extension of this waiver through June 30, 2012. Under the waiver, transfer authority is limited to 50 percent. This limitation provides states flexibility while ensuring consistency with Congressional intent regarding the level of funding appropriated for the WIA Adult and Dislocated Worker programs.

Waiver to permit the State to replace the performance measures at WIA Section 136(b) with the common measures.

The State was previously granted a waiver that allows the State to replace the 17 performance measures under WIA Section 136(b) with the common measures. The State is granted an extension of this waiver through June 30, 2012.

This waiver permits the State to negotiate and report WIA outcomes against the common performance measures only, rather than the performance measures described at WIA Section 136(b). The State will no longer negotiate and report to ETA on the following WIA measures: WIA adult and dislocated worker credential rates; participant and employer customer satisfaction; older youth measures; and younger youth measures. The State will use the three adult common performance measures to negotiate goals and report outcomes for the WIA Adult and WIA Dislocated Worker programs. The State will use the three youth common performance measures to negotiate goals and report outcomes for the WIA Youth program. Workforce Investment Act Standardized Record Data system (WIASRD) item 619, Type of Recognized Credential, should be completed for each individual as appropriate, regardless of this waiver to report on common performance measure outcomes only.

Waiver of the required 50 percent employer contribution for customized training at WIA Section 101(8)(C).

The State was previously granted a waiver of the required 50 percent employer contribution for customized training to permit the use of a sliding scale for the employer contribution based on the size of the business. The State is granted an extension of this waiver through June 30, 2012. Under the waiver, the following sliding scale is permitted: 1) no less than 10 percent match for employers with 50 or fewer employees, and 2) no less than 25 percent match for employers with

51-250 employees. For employers with more than 250 employees, the current statutory requirements (50 percent contribution) continue to apply. When determining the funding source for customized training, the State must use the appropriate program funds for the appropriate WIA-eligible population. The State and local area may provide customized training to individuals over age 18 with WIA Adult funds and must provide priority to low-income individuals when funds are limited; the State and local area may provide customized training to dislocated workers with WIA Dislocated Worker funds. Customized training provided with statewide funds must serve WIA eligible individuals.

Waiver of WIA Section 134(a) to permit local areas to use a portion of local funds for incumbent worker training.

The State was previously granted a waiver to permit local areas to conduct allowable statewide activities as defined under WIA Section 134(a)(3) with local WIA formula funding, specifically incumbent worker training. The State is granted an extension of this waiver through June 30, 2012. Under this waiver, the State is permitted to allow local areas to use up to 20 percent of local Dislocated Worker funds for incumbent worker training only as part of a lay-off aversion strategy. ETA believes limiting incumbent worker training to the specified level and requiring it to be a part of layoff aversion is the best use of funds in the current economic climate where serving unemployed workers is a paramount responsibility of the workforce system. All training delivered under this waiver is restricted to skill attainment activities. Local areas must continue to conduct the required local employment and training activities at WIA Section 134(d), and the State is required to report performance outcomes for any individual served under this waiver in the WIASRD, field 309. TEGl No. 26-09, Section 7A, "Workforce Investment Act (WIA) Waiver Policy and Waiver Decisions for PY 2009 and 2010" and TEGl No. 30-09, "Layoff Aversion Definition and the Appropriate Use of Incumbent Worker Training for Layoff Aversion Using a Waiver" provide policy guidance related to implementation of this waiver.

Waiver of WIA Section 134(a)(1)(A) to permit a portion of the funds reserved for rapid response activities to be used for incumbent worker training.

The State was previously granted a waiver to permit use of rapid response funds to conduct allowable statewide activities as defined under WIA Section 134(a)(3), specifically incumbent worker training. The State is granted an extension of this waiver through June 30, 2012. Under this waiver, the State is permitted to use up to 20 percent of rapid response funds for incumbent worker training only as part of a lay-off aversion strategy. ETA believes limiting incumbent worker training to layoff aversion is the best use of funds in the current economic climate where serving unemployed workers is a paramount responsibility of the workforce system. All training delivered under this waiver is restricted to skill attainment activities. The State is required to report performance outcomes for any incumbent workers served under this waiver in the WIASRD, field 309. TEGl No. 26-09, Section 7A, "Workforce Investment Act (WIA) Waiver Policy and Waiver Decisions for PY 2009 and 2010" and TEGl No. 30-09, "Layoff Aversion Definition and the Appropriate Use of Incumbent Worker Training for Layoff Aversion Using a Waiver" provide policy guidance related to implementation of this waiver.

Waiver of 20 CFR 666 and 667.300(a) to reduce the collection of participant data for incumbent workers.

The State was previously granted a waiver of the requirements to reduce the data collection burden for employers participating in WIA-funded incumbent worker training programs. The waiver permits the State to discontinue the collection of the following WIASRD elements: single parent (117), unemployment compensation eligible status at participation (118), low income (119), TANF (120), other public assistance (121), homeless individual and/or runaway (125), and offender (126). The State is granted an extension of this waiver through June 30, 2012.

Waiver of WIA Section 101(31)(B) to increase the employer reimbursement for on-the-job training.

The State was previously granted a waiver to permit an increase in employer reimbursement for on-the-job training through a sliding scale based on the size of the business. The State is granted an extension of this waiver through June 30, 2012. Under the waiver, the following reimbursement amounts will be permitted: 1) up to 90 percent for employers with 50 or fewer employees, and 2) up to 75 percent for employers with 51-250 employees. For employers with more than 250 employees, the current statutory requirements (50 percent reimbursement) will continue to apply. When determining the funding source for on-the-job training, the State must use the appropriate program funds for the appropriate WIA-eligible population. The State and local area may provide on-the-job training to individuals over age 18 with WIA Adult funds and must provide priority to low-income individuals when funds are limited; the State and local area may provide on-the-job training to dislocated workers with WIA Dislocated Worker funds. On-the-job training provided with statewide funds must serve WIA eligible individuals.

Waiver of WIA regulations 20 CFR 662.240(b)(10) to allow One-Stop Career Center staff to perform intake and eligibility determination for additional programs.

The State was previously granted a waiver of 20 CFR 662.240(b)(10). The waiver permits the State to include three supportive workforce programs cited by the State: Temporary Assistance for Needy Families (TANF), Food Stamp Employment and Training (FSET), and Medicaid programs in the list of services specified in 20 CFR 662.240(b)(10). Under the waiver, intake and eligibility determination for these programs are considered to be WIA core services and can be paid for with WIA funds. The State is granted an extension of this waiver through June 30, 2012.

Waiver of the prohibition at 20 CFR 664.510 on the use of Individual Training Accounts for older and out-of-school youth.

The State was previously granted a waiver of the prohibition at 20 CFR 664.510 on the use of Individual Training Accounts (ITAs) for older youth and out-of-school youth program participants. The State is granted an extension of this waiver through June 30, 2012. Under this waiver, the State can use ITAs for older youth and out-of-school youth program participants. The State must continue to make the 10 youth program elements available as described at WIA

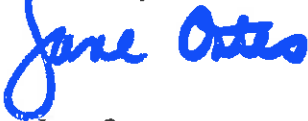
- 5 -

Section 129(c)(2). The State should ensure that funds used for ITAs are tracked and that the ITAs are reflected in the individual service strategies for these youth.

The approved waivers are incorporated by reference into the State's WIA Grant Agreement, as provided for under paragraph 3 of the executed Agreement, and this constitutes a modification of the State Plan. A copy of this letter should be filed with the State's WIA Grant Agreement and the approved State Plan. In addition, as described in TEGE No. 09-10, page 3, the State should address the impact these waivers have had on the State's performance in the WIA annual performance report, due on October 1 of each year.

We look forward to working together as you implement your WIA/W-P State Plan for PY 2011. If you have any questions related to the issues discussed above, please contact Brad Sickles, the Federal Project Officer for Florida, at (404) 302-5373 and Sickles.Brad@dol.gov.

Sincerely,



Jane Oates
Assistant Secretary

Enclosure

cc: Helen Parker, Regional Administrator, ETA Atlanta Regional Office
Brad Sickles, Federal Project Officer for Florida



Mary Lou Brunell, Vice Chair
Chris Hart IV, President

April 14, 2011

Division of Workforce System Support
Employment and Training Administration
U.S. Department of Labor
200 Constitution Ave., NW, Room S-4231
Washington, DC 20210
ATTN: Kimberly Vitelli

RE: Florida's 2011-2012 Workforce Investment Act Plan Modification

Dear Ms. Vitelli:

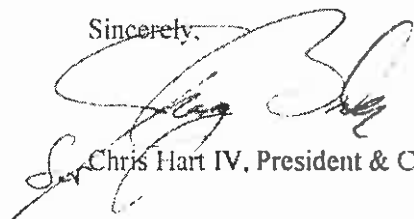
Pursuant to Training Guidance Letter (TEGL), No. 17-10 dated December 30, 2010, the State of Florida is submitting this request to modify the current State Work Investment Act and Wagner-Peyser Act State Plan including its intent to formally request new negotiated levels of performance for Program Year 2011 upon completion of review of performance of the previously agreed upon levels of performance. We are also requesting the extension of eight current state waivers, the discontinuation of one existing state waiver, and one new or modified waiver as detailed in the enclosures.

Florida is submitting a modification of our State Plan to reflect statewide strategies, derived from our recently adopted strategic plan with six major goals, and operational plans developed to address those goals. Since Florida has a new governor, Governor Rick Scott, policy and organizational changes are currently in progress that will be addressed in subsequent modifications.

A hard copy of the Governor's signature page with his original signatures is being sent via express mail.

All workforce entities, staff, partners and members of the public were invited to comment on this plan modification, waiver extensions, and waiver request. The current strategic plan and operational planning process has also been and continues to be an open public process. This modification has also been approved by the Workforce Florida, Inc. board in a March 9, 2011 public meeting. If you have questions or need any additional information, please contact Jay Barber (850) 921-1119 or via email at: jbarber@workforceflorida.com

Sincerely,



Chris Hart IV, President & CEO

Enclosures: Summary of Current Approved Waivers to be extended and discontinued
Waiver Request: Use of Local Dislocated Worker Funds for Incumbent Worker Training
Hard of Governor Scott's signature page

**STATE OF FLORIDA
AGENCY FOR WORKFORCE INNOVATION
CAREER ADVANCEMENT PROGRAM and
FOOD STAMP EMPLOYMENT AND TRAINING PROGRAM
COMMUNITY SERVICE WORK EXPERIENCE JOB SKILLS TRAINING PROGRAM
AGREEMENT**

THIS AGREEMENT is entered into between the State of Florida, Agency for Workforce Innovation (AWI), the Career Advancement Program (CAP) and Food Stamp Employment and Training (FSET) Service Provider, herein after referred to as the "Agency," and _____,
_____,
herein after referred to as the "Provider."

I. The Provider Agrees

- A. To develop and provide work sites designed to provide CAP and FSET participants referred by the Agency with a non-paid, job training experience commonly referred to as "Community Service Work Experience Job Skills Training."

The Provider shall not disclose the CAP or FSET participants' status as a recipient of public assistance to anyone other than personnel authorized by the Agency or Provider.

B. Services to be provided

1. The Provider will develop a Community Service Work Experience Job Skills Training Program Job Description (Attachment I) and provide training to participants to adequately perform the job.
2. Progress Reports and Notification - The Provider will notify the Agency of the status of CAP or FSET participants when one or more of the following situations occur:
 - a. The participant has failed to attend the initial interview, refused a suitable work site training offer, or voluntarily quit training.
 - b. The participant was not accepted in the Community Service Work Experience Job Skills Training program.
 - c. The participant has experienced absenteeism, sickness, or other problems.
 - d. The participant secured employment with the provider or with another entity.

C. Manner of Service Provision

1. The Job Description must be prior approved by the Agency for each participant.
2. The Provider must provide the necessary instructions, supervision and equipment necessary for the participant to perform the job duties.
3. The Provider will submit the completed Community Service Work Experience Job Skills Training Time Sheet (Attachment II).

D. **Special Provisions**

1. The Provider shall teach the participant the skills necessary for entry level work in the designated job title.
2. No participant may participate in Community Service Work Experience Job Skills Training funded by the Agency unless the Agency officially refers the participant to the Provider in accordance with this agreement.
3. The participant(s) under this agreement or any amendment hereto is to be provided with the same working conditions accorded to other employees presently in the Provider's work force. Workers' Compensation, but not benefits or salaries, will be provided as stated in section II.C.
4. No currently employed worker shall be displaced by a participant. This includes partial displacement such as reduction in the hours of non-overtime work, wages or employment benefits.
5. In the event the employees feel they have been displaced as a result of a Community Service Work Experience Job Skills Training participant's placement, the Provider will notify its employees of the steps they will take as a result of the displacement.
6. No participant shall be hired into or remain working in any position when the same or substantially equivalent position is vacant due to a hiring freeze or when any regular employee is on lay-off from the same or substantially equivalent position or when the regular employee has been bumped and has recall or bumping rights to that position pursuant to the Provider's personnel policy or collective bargaining agreement.

II. **The Agency Agrees:**

- A. The Agency shall refer eligible CAP and FSET participants to the Provider for consideration in employment in a Community Service Work Experience Job Skills Training Program.
- B. The Agency shall provide support services to the participant to the extent funds are available and the expense is authorized by law or regulation.
- C. The Agency will provide Worker's Compensation liability and or claims coverage for all participants who are Community Service Work Experience Job Skills Training participants.

III. **The Provider and the Agency Mutually Agree:**

A. **Effective Date:**

This agreement shall begin on _____ or the date on which this agreement has been signed by both parties, whichever is later.

B. **Termination:**

This agreement may be terminated by either party upon no less 15 days notice, without cause.

C. **Notice and Contact Information:**

The name, address, telephone, fax number, e-mail address of the **CAP representative** is:

The name, address, telephone, fax number, e-mail address of the **FSET representative** is:

The name, address, telephone, fax number, e-mail address of the **Community Service Work Experience Job Skills Training Site Representative** responsible for the administration of the program under this agreement is:

In the event that different representatives are designated by either party after execution of this agreement, notice of the name, address, telephone, fax number, and e-mail address of the new representative will be rendered in writing to the other party and said notification attached to originals of this agreement.

This agreement and its attachments as referenced, (Attachment I and Attachment II), contain all the terms and conditions agreed upon by the parties.

IN WITNESS THEREOF, the parties thereto have caused this 3 page agreement to be executed by their undersigned officials as duly authorized.

**COMMUNITY SERVICE WORK
EXPERIENCE JOB SKILLS TRAINING
REPRESENTATIVE**

CAP / FSET AGENCY REPRESENTATIVE

SIGNATURE

SIGNATURE

NAME: _____

NAME: _____

TITLE: _____

TITLE: _____

DATE: _____

DATE: _____



**COMMUNITY SERVICE WORK EXPERIENCE JOB SKILLS TRAINING PROGRAM
JOB DESCRIPTION**

1. Work Site Provider: _____

2. Work Site Address: _____

3. Work Site Telephone Number: _____ Fax Number: _____

4. Work Site Supervisor's Name: _____

5. Work Site Supervisor's Title: _____

6. Days and hours of operation when participants can do their Community Service Work Experience Job Skills Training hours:

Sun_____ Mon_____ Tues_____ Wed_____ Thurs_____ Fri_____ Sat_____

7. Start date of Community Service Work Experience Job Skills Training Program: _____

8. List the Job Title and Responsibilities for which training will be provided.
Use a separate sheet for each Job Title.

Job Title: _____

Responsibilities: _____

9. Number of positions available for this Job Title: _____

Work Site Authorized Signature **and** / Alternate Signature Date

CAP / FSET Service Provider's Signature Date

Participant's Signature Date

Print Participant's Name RFA Number



**COMMUNITY SERVICE
WORK EXPERIENCE & JOB SKILLS TRAINING
TIME SHEET**

Participant's Name _____ RFA # _____

Community Service Work Experience Job Skills Training Site _____

Work Site Supervisor _____ Title _____

Reporting Month and Year _____ Hours Required _____ Fax Number _____

Day	Hours Completed	Participant's Signature	Work Site Supervisor's Signature
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
13			
14			
15			
16			
17			
18			
19			
20			
21			
22			
23			
24			
25			
26			
27			
28			
29			
30			
31			
Total			

Is the participant progressing satisfactorily? Yes No _____

Career Advisor Signature _____ Work Site Supervisor _____ Date _____

MANDATORY EMPLOYMENT TRAINING SERVICES

Types of Services	Current CAP		Proposed CAP	
	Limitations	Restrictions	Limitations	Restrictions
	\$1000 YEARLY		\$1200 LIFETIME IN ADDITION \$600 OR 6 MONTHS LIFETIME TRANSPORTATION ONLY (IF CASE WAS CLOSED DUE TO EMPLOYMENT AND PARTICIPANT RE-OPENS AS MANDATORY)	
Auto Repair	Included	Lifetime limit - \$250	Removed from the Mandatory Support Services Matrix	
Auto Insurance	Included	Lifetime limit - \$250		
Transit Pass	Excluded	1 per month - \$37.50		
Transit Tokens	Excluded	Up to \$30 in Tokens per month (\$1.45 each)	Included	1 per month - \$50.00
Gas Card	Excluded	Max per month - \$100	Included	up to \$30 in Tokens per month (\$1.95 each)
Background / Fingerprinting	Included	Max per month - \$150	Included	Max per month - \$80
Expunge & Seal	Included	Lifetime limit - \$150	Included	Non-ITA Lifetime - \$150
Credential Validation / Translation	Included	\$150 per year	Included	Lifetime limit - \$150
Tools	Included	Non- ITA (required by school/employer) \$75	Included	\$350 per year
Work Permit	Included	Lifetime limit - \$150	Included	Non- ITA (required by school/employer) \$250 per year
Occupational License	Included	\$250 per year	Included	\$360 per year
Physical Exam	Included	\$100 per year	Included	\$250 per year
Uniforms	Included	Non ITA \$250	Included	Non ITA per year \$150
Clothing	Included	Per year \$300	Included	\$200 per year
Transit Vouchers	Excluded	\$250 per month - Monroe	Included	\$200 per year
Books and School Supplies	Included	Non ITA per year \$250	Included	\$250 per month - Monroe
Tuition, School Lab Fees	Excluded	Fees are established and posted on the SFW website (ITA Voucher)	Excluded	Non ITA per year \$250
Childcare	Excluded	Fees paid by the Early Learning Coalition	Excluded	Fees are established and posted on the SFW website (ITA Voucher)
Employment Incentive*	Excluded	30 Day Attainment - Fulltime\$100/Part-time\$50	Moved to Transitional Support Services	
Employment Incentive*	Excluded	90 Day Attainment - Fulltime\$150/Part-time\$75		
Employment Incentive*	Excluded	180 Day attainment - Fulltime\$250/Part-time\$125		

TRANSITIONAL SUPPORT SERVICES

Types of Services	Current CAP		Proposed CAP	
	Limitations	Restrictions	Limitations	Restrictions
	2 Years		\$600 OR 6 MONTHS LIFETIME	
Auto Repair	Included	\$300 once while a transitional customer	Removed from the Transitional Support Services Matrix	
Auto Insurance	Included	\$300 once while a transitional customer		
Transit Pass	Excluded	1 per month - \$37.50	Included	1 per month \$50.00
Transit Tokens	Excluded	Up to \$30 in Tokens per month (\$1.45 each)	Included	up to \$30 in Tokens per month (\$1.95 each)
Gas Card	Excluded	Max per month - \$100	Included	Max per month - \$100
Background / Fingerprinting	Included	Non ITA \$75 per year	Included	Non-ITA Lifetime - \$150
Expunge & Seal	Included	\$75 per year	Removed from the Transitional Support Services Matrix	
Credential Validation / Translation	Included	\$150 per year	Included	\$350
Tools	Included	Non- ITA (required by school/employer) \$75	Included	Non- ITA (required by school/employer) \$250
Work Permit	Included	\$150 per year	Included	\$360
Occupational License	Included	\$250 per year	Included	\$250
Physical Exam	Included	\$100 per year	Included	Non ITA \$150
Uniforms	Included	Non ITA \$250	Included	\$200
Clothing	Included	Per year \$300	Included	\$200
Transit Vouchers	Excluded	\$250 per month - Monroe	Included	\$250 per month - Monroe
Books and School Supplies	Included	Non ITA per year \$250	Included	Non ITA \$250
Tuition, School Lab Fees	Excluded	Fees are established and posted on the SFW website (ITA Voucher)	Excluded	Fees are established and posted on the SFW website (ITA Voucher)
Childcare	Excluded	Fees paid by the Early Learning Coalition	Excluded	Fees paid by the Early Learning Coalition
Employment Incentive*	Excluded	30 Day Attainment - Fulltime\$100/Part-time\$50	Removed from the Transitional Support Services Matrix	
Employment Incentive*	Excluded	90 Day Attainment - Fulltime\$150/Part-time\$75	Removed from the Transitional Support Services Matrix	
Employment Incentive*	Excluded	180 Day attainment - Fulltime\$250/Part-time\$125	Excluded	\$300 Job Retention Incentive for 180 days
Employment Incentive*	Not in Current Matrix		Excluded	\$300 Job Retention Incentive for 365 days

UNIVERSAL REFERRAL FORM



SECTION A: GENERAL PARTICIPANT INFORMATION			
Name:		Date:	
Mailing Address:			
City:	State:	Zip Code:	Telephone #:
Race:	Sex:	Date of Birth:	Military Veteran: <input type="checkbox"/> Yes <input type="checkbox"/> No
Highest Education Level Completed:		Currently Enrolled in School: <input type="checkbox"/> Yes <input type="checkbox"/> No	
E-Mail Address:		Name of School:	

SECTION B: REFERRED FROM	
Case Mgr. Name:	Date:
Agency:	Tel.#:
Address:	
City:	State: Zip Code:
E-Mail Address:	

SECTION C: PARTICIPANT EMPLOYMENT INFORMATION			
Currently Working? <input type="checkbox"/> Yes <input type="checkbox"/> No			
Current or Last Employer:			
Address:			
City:	State:	Zip Code:	
Telephone #:	Start Date:	End Date:	
Job Title:	Hours Per Week:	Salary:	
Job Description:			
Reason for Leaving:			

SECTION D: REFERRED TO	
Name:	Date:
Agency:	
Address:	
City:	State: Zip Code:
E-Mail Address:	
Purpose of Referral:	
Appointment Date:	Appointment Time:

SECTION E: RESULTS - Complete and Return to Originator in Section B	
<input type="checkbox"/> Registered	<input type="checkbox"/> Reported - Did not register <input type="checkbox"/> Did not keep appointment
<input type="checkbox"/> Referred to Job (List name of employer & address in Comments)	
Comments:	

Referring Agency:
 (1) E-Mail this form to agency shown in Section D prior to the appointment.
 (2) Give the participant a copy of this form.



Veteran Priority for Service Form

Name: _____
LAST FIRST

Indicate the type of Veteran that is receiving Priority for Services:

- A veteran who is an individual who served in the active military, naval, or air service, and who was discharged or released from such service under conditions other than dishonorable;
- A recently separated veteran is any veteran who applies for participation under WIA Adult within 48 months after the discharge or release from active military, naval, or air service; or
- The spouse of:
 - A veteran who died of a service connected disability;
 - A member on active duty who (at time of spouse’s application) is listed as missing in action, capture in the line of duty, or forcibly detained; or
 - A veteran with a total disability from a service connected disability or one who died while being evaluated for it.

PARTICIPANT

I acknowledge that I am a Veteran or an eligible spouse of a Veteran and I have been given priority for Intensive/Training services through the Workforce Investment Act (WIA) program.

Signature: _____ Date: _____

CARRER ADVISOR

I acknowledge that I have given priority to the above named Veteran or eligible spouse of a Veteran to receive Intensive/Training services through the WIA program.

Signature: _____ Date: _____



PROCEDURE TRANSMITTAL

SUBJECT:	Career Advancement Program (CAP) Work Activity Requirements	Procedural/Guidance No.: #1 PY08-PY09
APPLIES TO:	Career Center Operators	Effective Date: 8/1/2008
		Revised Date: 6/30/2008
		Expiration Date: Indefinite
REFERENCE:	Florida Statute 445.024, Deficit Reduction Act, 2005, Interim Final Rules, 2006	

OBJECTIVE

South Florida Workforce (SFW) is mandated to fulfill the requirements of the Temporary Assistance to Needy Families (TANF) Program by requiring that non-exempt recipients of Temporary Cash Assistance (TCA) work or be engaged in work activities and participate for a minimum number of hours per month as a condition of receiving ongoing TCA.

BACKGROUND

The October 1996 Federal Act: **The Personal Responsibility and Work Opportunity Reconciliation Act (PRWORA), Public Law 104-193**, eliminated the open-ended federal entitlement program, Aid to Families with Dependent Children (AFDC), and replaced it with the Temporary Assistance for Needy Families (TANF) welfare program. The TANF program changed the nation's welfare system from the receipt of cash assistance as an entitlement to one that requires work in exchange for time-limited assistance.

Federal law requires that the all regions within the State of Florida meet a specified participation rate each fiscal year in order to receive full federal TANF funding. In order to meet the work participation rate, each work eligible individual must be engaged in a countable work activity for at least the minimum number of hours required per week, averaged over the month.

The Deficit Reduction Act (DRA), 2005, Public Law 109-171, includes provisions to reauthorize TANF. It directs Secretary of Health and Human Services (HHS) to publish regulations to ensure consistent measurement of work participation rates, define work activities requirements, determine how to count and verify reportable hours and determines who is work eligible.

The Interim Final Regulations, 2006 implements the statutory changes enacted in the reauthorization of the Temporary Assistance for Needy Families (TANF) program in the Deficit Reduction Act of 2005.

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A. Work Eligible

Work-eligible individual means an adult (or minor child head-of-household) receiving assistance under TANF or separate State program or **a non-recipient parent** living with a child receiving such assistance (*usually a child-only case*) unless the parent is:

- A minor parent and not the head-of-household or spouse of the head-of-household;
- An alien who is ineligible to receive assistance due to his or her immigration status; or
- On a case-by-case basis, a recipient of Supplemental Security Income (SSI) benefits.
The term also excludes:
 - A parent providing care for a disabled family member living in the home, who does not attend school on a full-time basis, provided that the need for such care is supported by medical documentation.

To ensure that participation rates are met, it is critical that work eligible individuals are assigned to an appropriate work activity and that they are engaged for the minimum hours; it is equally important that the actual hours are entered accurately and timely into the One Stop Service Tracking System (OSST). If a participant fails to complete activities for the scheduled hours, or fails to complete any of the agreed upon steps to self-sufficiency, they must be immediately be informed of the failure and a pre-penalty must be entered in OSST. The Career Advisor must initiate reengagement and counseling.

B. OSST System

All actions taken must be documented in the OSST System. Some of the data for monthly performance reports, the balanced scorecard, legislative reports, and federal participation rate calculation, etc. are taken from the OSST System. Therefore, it is imperative that information is entered correctly and in a timely manner into the system. **It is equally important that valid supporting documentation is maintained in the participant's case file to support all entries.**

C. OSST System Entries

All activities, training, and services, whether countable or not, should be entered in OSST on the Skill Development Screen. Actual begin dates should not be entered until it has been documented that the individual actually began participating in the assigned activity. **All documents that are received from the participant must be date stamped upon receipt and placed in the case file.** The JPR screen must be updated weekly and the documentation received to substantiate data entry must be placed into participant's case file, regardless of when the documents are obtained.

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D. Work Registration

TANF applicants referred from DCF with the Communication and Work Activity referral form must complete CAP orientation, program related screenings and activities as part of the work registration process.

E. Orientation

An Orientation of applicants for Temporary Cash Assistance (TCA) must be completed during the work registration process. A personal to-do (25 days) must be created to know when the applicant becomes a mandatory participant as a reminder to update the Orientation on the skill development screen in OSST. This also applies to all cases that re-open or were transferred that have been closed for a period of six (6) months or longer.

F. Assessment

An initial assessment of all applicants for Temporary Cash Assistance (TCA) must be initiated during the work registration process. All assessments must be completed within 10 calendar days for each participant upon receipt of a new, re-open, or reassigned alert. The initial assessment must include participant's skills, prior work history and employability/capability of the participant to become employed. A budget planner in OSST and a resume in the Employ Florida Marketplace (EFM) must also be included as part of the required assessments. All supporting documentation must be signed and maintained in the participant's case file.

G. Individual Responsibility Plan (IRP)

An Individual Responsibility Plan (IRP) must be initiated within 10 day of a new alert, and must be completely developed with the participant and the career advisor or designated staff within thirty (30) calendar days from receipt of the case. ***If the case is a re-open or transfer case, the IRP must be immediately initiated and completed within ten (10) calendar days from the date of the alert.***

The initial assessment and all other assessments of the participant must be used when developing the IRP and shall, at a minimum, describe all employment goals, barriers and steps to self-sufficiency that should help the participant achieve goals, overcome barriers that were identified and indicate the supportive services to be provided. Steps to Self-Sufficiency must be identified for each participant and must clearly define the responsibility of both the participant and the career advisor.

As steps are achieved, discontinued or modified, the steps to self-sufficiency must be updated to reflect the changes. The new or revised action (steps) shall become a modification or addendum and must be printed, signed by both the participant and the career advisor or designated staff and placed in the case file.

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If the participant is sanctioned for non-compliance, all steps must be closed and a case note must be entered in OSST to indicate that the steps are closed due to non-compliance. When the participant complies a Notice of Counseling form must be completed, the steps must be re-evaluated to determine if the step will continue with new end dates, or the new steps must be initiated. The new or revised steps shall become a modification and must be printed, signed by both the participant and the career or designated staff and placed in the case file.

Both mandatory and transitional participants must have current steps which identify who is responsible for completing the step, what the responsible person is required to complete, when the step must be completed, when the responsibility begins, and when the responsibility ends. (Who, what, when, begin, end). If an end date for a step is identified, the step must be re-evaluated and closed as appropriate. If it is identified that the step has been achieved or will not continue, the step must be closed. All open steps must be reviewed at least every three months from the begin date of the step. A personal case note must be entered in OSST to document the date the review was completed. If a case closure alert is received all steps must be closed before closing the case.

H. Case Notes

The OSST System generates case notes whenever action is taken on a case; therefore, career advisors must ensure that there is sufficient information that is clear and concise that documents the progression of the participant via comments stated in the case notes.

The OSST Case Notes are accessible for review to anyone with the proper authorization to the system. Therefore, every effort must be made to protect the **participant's privacy**, while continuing to record the development of the participant. The OSST case notes should not make any reference to test results nor the medical condition of the participant. In instances where a participant may be the victim of domestic violence, a separate, hard copy case file must be maintained in a secure location and marked "confidential". TANF files, domestic violence victims' addresses, telephone numbers, and social security numbers are exempt from the open public records' requirement and should be kept confidential except as allowed by statute. Information that may jeopardize the safety of the domestic violence victim and the victim's children must be maintained in the separate file. OSST case notes should refer the reader to the confidential hard copy case file without making reference to the nature of the issue. **Note: Abbreviations should be used only if they are commonly used and are easily understood by all users of OSST.**

I. Families

1. Single Parent (Public Assistance – PA)

Each participant shall be required to participate in a work activity for a minimum of 30 hours per week in which 20 hours must be in a Core Activity.

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2. **Two-Parent** (Unemployed Parent –UP)

Consist of two individuals that count as one family

If the family is not receiving subsidized childcare, the family shall be required to participate in a work activity for a minimum of 35 hours per week in which 30 of the required hours must be in a core activity. **If the family is receiving subsidized childcare and neither parent is disabled,** the family shall be required to participate in a work activity for a minimum of 55 hours per week in which 50 of the required hours must be in a core activity.

When assigning the hours for a two-parent family the career advisor must assign one parent to complete 35 hours regardless of childcare. If the family is not receiving childcare and one parent is unable to participate (s) he may be assigned to an activity benchmark. The parent who is scheduled to compete the 35 hours may not be substituted with the other parent until the month has ended.

An Alternative Responsibility Plan (ARP) must be developed for the parent in a two-parent family who has been assigned to an activity benchmark. The ARP must clearly outline the responsibilities and steps the parent is required to complete while assigned to a benchmark.

An activity benchmark must be used to assist a family with goals or barriers, which cannot be achieved by assigning them to a countable activity. When the goal is achieved or the barriers are removed the participant must be placed in a countable activity. The career advisor must ensure that childcare is not provided to a family where one parent is in a benchmark.

3. **Minor Head of Household** (Teen Parent -TP) Cases

A Two-Parent family head of household under the age of 20 must be engaged in a work activity for a minimum of 20 hours per week for the month. Both parents must participate in order for hours to count in the participation rate.

The minimum required hours are based on the family type, PA, UP or Minor Head of Household. The number of Mondays in the month determines the total hours that each participant shall be required to participate in a work activity for the month unless a deferral or benchmark is granted.

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Minimum Work Activity Hours				
Families	4 Mondays	5 Mondays	Minimum Weekly Required Hours	Minimum Weekly Core Hours
Single Parent	120	150	30	20
Single Custodial Parent with a Child Under the Age of 6	120	150	30	20
Two-Parent Family	140	175	35	30
Two-Parent Family Receiving Federally Funded Childcare	220	275	55	50
Two-Parent Minor Heads of Household	80	100	20	20

The minimum required weekly hours must be met by requiring each participant to participate in a work activity. Participants must be assigned the **required hours and the core hours must be met** in order for the required hours to count in the participation rate. The required hours may include more than one core activity or a core activity with a core plus activity. Participants who fail (without good cause) to meet the minimum weekly assigned hours shall be notified immediately of the failure and the failure must be documented in OSST under the Alternative Plan section. The Career advisor or designated staff must begin counseling and reengagement of the participant. Counseling must be documented using Notice of Failure Counseling Form and the reengagement must be documented in case notes.

Note: *For Minor Head of Household, all education activities are core activities*

J. Calculating the Participation Rate

1. Who Calculates the Rate?

The Agency for Workforce Innovation (AWI) measures each region within the State of Florida on a monthly basis to determine if regions have met its objective for participation rate.

2. Data Entry Deadline

Career Advisors must enter accurate and verifiable (valid) data in the One Stop Service Tracking (OSST) by the 10th of the month to document the participant's completed work activity.

3. How is the Participation Rate Calculated?

The total number of participants who participated for the minimum required monthly hours divided by the total number of participants on the recurring payroll who received TCA minus participants subject to sanction.

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In order to receive participation credit for core plus activities, the participant must be assigned to a core activity for the total minimum hours. If the family receives federally funded childcare both parents must have core hours assigned in order to meet the 50 minimum core hours.

Work activities require daily supervision and cannot be assigned more than a maximum of **35** hours per week. *Exception: If the customer is assigned to unsubsidized employment and (s)he reports earnings that do not coincide with the hours on the employment verification form the career advisor or designated staff must adjust the assigned hours by determining the average hours of two (2) pay stubs. SFW Verification of Work Hours Receipt may only be used to document hours worked by a participant until the participant receives their first pays stub. The JPR screen must be updated to reflect actual hours completed. There are nine (9) core activities and three (3) core plus activities.*

Core Work Activities	Core Plus Work Activities
1. Unsubsidized Employment	1. Satisfactory Attendance at Secondary School
2. Subsidized Private Sector Employment	2. Education Directly Related to Employment
3. Subsidized Public Sector Employment	3. Job Skills Training
4. Job Search and Job Readiness	
5. Community Service Program	
6. Work Experience	
7. Providing Childcare	
8. Vocational Training	
9. On-the-Job Training (OJT)	

1. Unsubsidized Employment (Core)

a. Definition

Unsubsidized employment is full or part-time employment that is not directly supplemented by federal or state funds. Full-time employment is defined as 32 or more hours per week and part-time employment is less than 32 hours per week.

b. Time Limit

Unlimited

c. Verification of Employment -

Employment verifications are used to enter a placement in OSST Skill Development under Job Tracking Section and must include contact information such as the employer's name; date contacted, phone number, employee work days/hours, wage rate, employment start date.

- The Work Number System – automated confirmation either–online or fax documentation. The career advisor or designated staff will verify employment using the Work Number (TALX) system and document the information on the SFW Employment Verification form.

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Note: The costs for accessing the Work Number System is not provided by SFW.

- SFW Employment Verification Form – Original or fax documentation. The career advisor or designated staff will verify employment using the SFW verification form to verify employment with those employers who are not a part of the Work Number System. The original verification form must be maintained in the case file. Verifications that are faxed must have the employer stamp and/or fax stamp information. The acceptance of fax documents must be on a case-by-case basis.
- Verbal - The career advisor or designated staff may verify employment and hours by contacting the employer directly by telephone. This is not the preferred method and must only be used when staff is unable to secure employment hours by using the Work Number System or the employer does not return the SFW Verification form within two weeks from the original request date. A case note must be entered to document the prior approval from a supervisor to use this method.

d. Verification of Employment Hours

- Projecting Hours – in order to project hours a case closure alert must be received from DCF. Original or fax employment verification must be obtained and the participant must provide a pay stub with one full pay cycle to the career advisor. One full pay cycle is weekly, bi-weekly or monthly depending on how often the participant is paid. A case note must be entered in OSST to indicate that the hours are projected. When the required documents are secured the career advisor can begin to update the participants JPR to reflect the number of hours the participant is working as identified on the pay stub. The hours may be projected for up to six (6) months. Note: Anytime the career advisor receives information that the individual's actual hours of work have changed, or no later than the end of any six (6) month period, the career advisor shall re-verify the individual's current actual average hours of work and report the projected hours of participation for another six (6) month period. Hours cannot be projected for self-employment.
- The Work Number System – automated confirmation either–online or fax documentation. The career advisor or designated staff may contact the Work Number System and retrieve the work hours for a participant. This information will be used to update JPR's in OSST.

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- Self-Employment – copies of checks, money orders and the SFW Receipt Verification of Earned Income may be used to document self-employment earnings for each job performed by a participant. Hours of participation for self-employed participants must be determined by dividing the gross income minus business expenses by the applicable minimum wage as verified by documentation.

The following are considered unsubsidized employment.

a. Self-Employment

May include, but is not limited to, domestic work and childcare, and it may also include individuals that receive benefits for services rendered (i.e. rent). In order to earn participation credit for hours of self-employment, a participant must provide documentation that includes, but is not limited to gross income obtained minus business expenditures as substantiated by copies of the following:

- Record of business expenses
- Invoices for services rendered
- Receipt for payment of services

Calculating Hours Worked (Self employed)

Fair Labor Standard Act (FLSA) applies the higher of the two minimum wages (State / Federal). The Career Advisor will calculate the number of hours worked per week based on the following: Gross income minus business expenses is divided by the applicable minimum wage. **Example:** *Gross income = \$300.00 – business expenses = \$75.00 / minimum wage = \$6.79 total = 33 hours.*

b. Registered Apprenticeship

Registered apprenticeship is an organized program of instruction registered and approved by the U.S. Department of Labor. It provides both related instruction and on-the-job training for the purpose of preparing workers for a skilled occupation or trade. Through formal agreements, apprentices become paid employees during their learning period that is usually four years in length. Apprentices are taught by and work under experienced craft workers until trained employee or journey worker status is reached. The participant has the opportunity to work while learning and earning.

Note: Training funds must not be used to pay for apprenticeship programs.

c. Pre-apprenticeship

Pre-apprenticeship is a training program for out-of-school youths and adults who do not meet the requirements for entry into registered apprenticeship programs. The pre-apprenticeship program is usually one year in length. While in paid jobs, pre-apprentices receive employability skills training, work toward high school completion, develop work habits and skills and receive technical instruction related to their career path.

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d. Cooperative Education

Cooperative education is a structured method of secondary or post secondary job preparatory instruction consisting of 40 or more hours on the work site whereby students alternate or coordinate their studies with a paid job that is related to those studies. Instruction is based on written training and evaluation plans agreed to by the school and employer, and the student receives credit for both classroom and work experience.

e. Commission

Participants who work on commission are not paid a set salary and normally do not work a consistent number of hours per week. Career Advisors therefore need to determine the number of hours worked per week and the hourly salary, in order to update the JPR. The number of hours worked per week will be calculated based on the minimum wage. If the calculation comes out to less than the required minimum hours, then the Career Advisor must assign the participant to do additional hours to bring the participant up to the required minimum hours.

Calculating Hours Worked (Commission)

1. Determine the monthly income.
2. Divide the monthly income by \$6.79 (minimum wage).
3. Divide the resulting figure by 4.3 weeks, which will equal the number of hours worked per week.

Calculating Salary Earned (Commission)

1. Weekly: daily salary X # of days worked.
2. Monthly: weekly salary X 4.3 (weeks).
3. Hourly: divide monthly salary by 4.3 weeks, divided by number of weekly hours worked.

Calculating Hours Worked (Tips)

1. Determine the weekly earnings paid by employer.
2. Determine the weekly average earnings in tips.
2. Divide the combined total weekly income by wage rate.
3. This will equal the number of hours worked per week.

2. Subsidized Private Sector Employment (Core)

a. Definition

Employment for which the employer receives a subsidy from TANF or other public funds to offset some or all of the wages and costs of employing a participant

b. Time Limit

Must be assigned in six (6) month intervals
Maximum of twelve (12) months in a lifetime

c. Required Documentation

- Employment Verification
- Pay stub (must indicate hours and wages)
- Signed Time Sheets

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- Original timesheets must be collected weekly. Exception: A participant may fax timesheets to update the JPR but the original must be collected from the participant and placed in the file for each week that was faxed.

d. Tracking Participation

- Employment verification is used to enter placement in OSST Skill Development under Job Tracking Section. Daily supervision of hours must be submitted weekly and documented using timesheet or pay stubs. Valid supporting documentation must be maintained in the participant's case file. The participant must provide documentation on a weekly basis, and the actual hours of participation must be used to update JPR. If the participant is not meeting minimum required hours an additional activity must be assigned.

3. Subsidized Public Sector (Core)

a. Definition

Employment for which the employer receives a subsidy from TANF or other public funds to offset some or all of the wages and costs of employing a participant.

b. Time Limit

Must be assigned in six (6) month intervals.
Maximum of twelve (12) month lifetime limit.

c. Required Documentation

- Employment Verification
- Pay stub (must indicate hours and wages)
- Signed Time Sheets
- Original timesheets must be collected weekly. Exception: A participant may fax timesheets to update the JPR but the original must be collected from the participant and placed in the file for each week that was faxed.

d. Tracking Participation

- Employment verification is used to enter placement in OSST Skill Development under Job Tracking Section. Daily supervision of hours must be submitted weekly and documented using timesheet or pay stubs. Valid supporting documentation must be maintained in the participant's case file. The participant must provide documentation on a weekly basis, and the actual hours of participation must be used to update JPR. If the participant is not meeting minimum required hours an additional activity must be assigned.

e. Employment Follow-ups

The career advisor or designated staff must conduct an employment follow-up on all mandatory and transitional cases that are open in OSST for twelve (12) months, at 30, 60, 90, 180, and

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365 day intervals while the participant is employed. Documentation of the follow-up must be entered in the OSST System by updating the "Add/Edit Follow-Up Record" in the skill development section as follows:

- Date follow-up was conducted
- Name of Contact spoken to
- Wage per hour at follow-up
- Hours per week scheduled

The career advisor must discontinue follow-ups if the employment ends. If the customer obtains a new position while the case is open, the new follow up intervals must take place beginning at the 30-day interval, until employment is terminated. Note: Phone calls are the last option and must be documented in case notes.

4. Job Search/Job Readiness (Core)

a. Definition

The participant is actively seeking or obtaining employment, preparation to seek or obtain employment, including life skills training and substance abuse treatment, mental health treatment or rehabilitation activities for those who are otherwise employable.

- **In House - Job Readiness (Employment Preparation)** is designed to improve an individual's job seeking and retention skills, and provides support for job-seeking activities. Participants will receive credit for hours spent (hour for hour) participating in the activity. The following activities are acceptable as in-house job readiness: workshops, resource room, in-house job fairs, class hours, or other career center activities.
- **Substance Abuse and Mental Health (SAMH)** Some individuals are not able to get and keep a job because of substance abuse/mental health treatment or rehabilitation services. Hours must be documented and supervised by treatment program daily and valued as "hour for hour". In order to credit the hours of participation, qualified medical or mental health professionals stating that the treatment is necessary must verify the need for such treatment. The Career Advisor shall only count a participant's actual hours of participation in treatment or rehabilitation activities. The portion of the treatment or rehabilitation activities that meet a common-sense definition of another work activity may be credited as actual hour for hour in the appropriate allowable work category. Example: A participant who is able to work but for the need to reinforce substance abuse treatment into a special program also fulfills assigned supervised, documented work responsibilities for the benefit of all the residents, such as preparing meals, housecleaning, or scheduling group activities.

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b. Time Limit

Participation in Job Search and Job Readiness is limited to four (4) consecutive weeks, and no more than six (6) weeks total in a federal fiscal year (October through September). Reporting any hours of participation in a week as job search and job readiness assistance triggers the start of one week against the time limit.

c. Required Documentation

- Initial Assessment Database Print-Out
- Attendance Time Sheets
- SFW SAMH Treatment Daily Verification Form.
- Certification from qualified medical or mental health professional licensed and/or board certified in Florida (as applicable).

d. Tracking Participation

Each participant who participates in job search activities in the resource room must register the service into the “Initial Assessment Application (IAA). In order for the hours to count for participation the participant must also log out of the service. The Career Center staff must enter the service as job search. The participant must be entered in IAA using the last four digits of the participant’s social security number or by using the Pseudo SSN Procedure when the participant does not have a social security number or opts not to provide the number. Follow the IAA Procedures for instruction on use or adding a service.

Job Readiness activities such as workshops, in-house job fairs, class hours, or other career center activities must be tracked using attendance timesheets that demonstrate daily supervision.

Substance Abuse and Mental Health (SAMH) is documented as in-house and hours of participation shall be tracked using the SFW SAMH Treatment Daily Verification Form.

5. Community Service Program (must be for the benefit of the community) (Core)

a. Definition

Structured program in which TANF recipients perform work for the direct benefit of the community under the auspices of public or nonprofit organizations. Community Service programs must be limited to projects that serve a useful community purpose in fields such as health, social service, environmental protection education, urban and rural redevelopment, recreation, public facilities, public safety, and childcare.

b. Time Limit

- Community Service agreements shall be limited to a minimum of three (3) months and a maximum of six (6) months per assigned slot.
- **Participants must be re-assessed every (3) months**

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- 12 months in a lifetime.

c. Required Documentation

- Work-Site Agreement must have the approved holiday schedule attached and must include the job title, clear job description, and the authorized representative or alternate representative who is responsible for signing the timesheets must be identified.
- Attendance time sheets must document daily supervision and must be signed by the participant, authorized employer representative/alternate, and the career advisor.
- Detailed case notes and the hard copies of all documents must be in the participant’s case file.
- Original timesheets must be collected weekly. Exception: A participant may fax timesheets to update the JPR but the original must be collected from the participant and placed in the file for each week that was faxed.

d. Tracking Participation

Community Service should be entered in the OSST Skill Development Screen and the actual hours completed is entered in the Hours per Week field. A case note to identify the location of the work site, the number of hours at the work site, and the number of hours assigned must be entered in OSST.

The Career Center shall be responsible for establishing community service agreements and make referrals to worksites that are designed to improve the employability of the participant.

The career advisor must identify the participant’s prior training, experience and skills of the participant using the Initial Assessment Application information and all other assessment related information. This information must be taken into account prior to making assignments.

Community Service may be selected as an activity if the participant does not have any previous work history and needs to develop employability, interpersonal, and job-retention skills. Performance benchmarks must be developed for each participant and the progress must be re-evaluated at the 30th and the 60th day. The expected outcomes and performance benchmarks must be clearly outlined and must concentrate on the participant’s employment goals and must be monitored to track the participant’s progress.

The participant must be assigned to a community service activity prior to enrolling them into costly vocational education or training unless the training is self-initiated.

A participant cannot participate in the community service activity for more hours than is determined by the calculation [(Cash+Food Stamp amount)/minimum wage]/4.3. An example of the work hour calculation is \$100.00 plus \$225.00 = \$325.00, divided by \$6.79 = \$47.86, divided by 4.3 = 11 hours.

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- If community service is used as the primary activity the participant must be assigned to the exact hours as determined by using the Cash+Food Stamp calculation.
- If the hours are used as a secondary activity and in conjunction with another primary activity, the participant may be assigned up to the number of hours that are determined using the Cash+Food Stamp calculation.

The career advisor must ensure that the timesheet is complete and that the information and hours reported are accurate. The signatures of the authorized representative and the daily required signatures must be verified prior to recording hours of participation in OSST.

e. “MONTHLY DEEMING”

The All Family Rate requires 20 hours in a core activity; the Two-Parent Rate requires 30 or 50 hours in a core activity depending on the receipt of subsidized childcare. If the family’s calculation is less than the required core hours for Community Service, the individual is deemed to have met core hours if calculated hours are met.

Monthly Deeming – If the family’s monthly calculation is less than the required monthly core hours for Community Service, the individual must be deemed to have met core hours if calculated hours are met. A participant cannot participate in the community service activity for more hours than is determined by the calculation $[(\text{Cash}+\text{Food Stamp amount})/\text{minimum wage}]/4.3$.

The career advisor must determine the participant’s required monthly hours of participation and the participant must be assigned to complete hours every week. The participant may be allowed to make up hours during any week providing that the regular assigned hours and the make up hours do not exceed eight (8) hours per day. If the participant completes the weekly-required hours based on the calculation for the entire month, they must be deemed to meet the monthly core hours. The JPR must be updated at the end of the month to reflect that the participant completed the core hours.

Example (4 week month)

Sherry is a single parent.
 Her cash is \$241 and her food stamp amount is \$241.
 The calculation $[(\$241+\$241)/\text{minimum wage}]/4.3=16.5$ hours
 She must complete 64 hours for the month.
 She is assigned to complete 16 hours per week at a worksite.
 She turns in her timesheet every week indicating all 64 hours were complete.
 She is “deemed” to have completed her core requirement of 80 hours for the month.

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f. Recording “Deemed” Hours

Sherry’s JPR for the month was “80” hours

Her timesheet was placed in the case file and included:

- The appropriate dates;
- The appropriate signatures;
- The required hours, and
- The actual hours completed.

A case note states “Sherry” was required to complete 16 hours for each week and a total of 64 hours per month. She completed her required 64 hours based on the calculation, and documentation is in the file. She was “deemed” to complete 80. 80 hours are recorded on the JPR screen.

g. Participation in the AmeriCorp Program

Participation in the AmeriCorp counts as participation in COMMUNITY SERVICE. The number of hours of participation shall be dictated by the AmeriCorp Program and not determined by the same calculation as with COMMUNITY SERVICE. The participant must continue to receive the authorized TCA and food stamps in lieu of a wage.

6. Work Experience (Core)

(Including work associated with the refurbishing of publicly assisted housing)

a. Definition

A work activity performed in return for welfare combined with food stamps. This activity provides an individual with an opportunity to acquire the general skills, training, knowledge, and work habits necessary to obtain employment. It should be used to improve employability of those who cannot find unsubsidized employment. This is an appropriate work activity for participants who lack preparation for, or experience in, the workforce. It must be tied into the participant’s employment goals and must be designed to move the participant from the work experience to paid employment.

b. Time Limit

- Work Experience agreements shall be limited to a minimum of three (3) months and a maximum of six (6) months per assigned slot.
- **Participants must be re-assessed every (3) months**
- 6 months in a lifetime

c. Required Documentation

- Work-Site Agreement must have the approved holiday schedule attached and must include the job title, clear job description, and the authorized representative or alternate representative who is responsible for signing the timesheets must be identified

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- Attendance time sheets must document daily supervision and must be signed the participant, authorized employer representative/alternate, and the career advisor
- Detailed case notes and the hard copies of all documents must be in the participant's case file
- Original timesheets must be collected weekly. Exception: A participant may fax timesheets to update the JPR but the original must be collected from the participant and placed in the file for each week that was faxed

d. Tracking Participation

Work Experience must be entered in the OSST Skill Development Screen and the actual hours completed be entered in the Hours per Week field. A case note to identify the location of the work site, the number of hours at the work site, and the number of hours assigned must be entered in OSST.

The Career Center shall be responsible for establishing work experience agreements and make referrals to worksites that are designed to improve the employability of the participant.

The career advisor must identify the participant's prior training, experience and skills of the participant using the Initial Assessment Application information and all other assessment related information. This information must be taken into account prior to making assignments.

Work experience may be selected as an activity if the participant has previous work history and needs to further develop their employability, interpersonal, and job-retention skills. Performance benchmarks must be developed for each participant and must be re-evaluated at the 30th and the 60th day. The expected outcomes and performance benchmarks must be clearly outlined and must concentrate on the participant's employment goals and must be monitored to track the participant's progress.

The participant must be assigned to a work experience activity prior to enrolling them into costly vocational education or training, unless the training is self-initiated.

A participant cannot participate in the work experience activity for more hours than is determined by the calculation $[(\text{Cash} + \text{Food Stamp amount}) / \text{minimum wage}] / 4.3$. An example of the work hour calculation is $\$100.00 \text{ plus } \$225.00 = \$325.00$, divided by $\$6.79 = \47.86 , divided by $4.3 = 11$ hours.

- If work experience is used as the primary activity the participant must be assigned to the exact hours as determined by using the Cash+Food Stamp calculation.

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- If the hours are used as a secondary activity and in conjunction with another primary activity, the participant may be assigned up to the number of hours that are determined using the Cash+Food Stamp calculation.

The career advisor must ensure that the timesheet is complete and that the information and hours reported are accurate. The signatures of the authorized representative must be verified prior to recording hours of participation in OSST.

e. “MONTHLY DEEMING”

The All Family Rate requires 20 hours in a core activity; the Two-Parent Rate requires 30 or 50 hours in a core activity depending on the receipt of subsidized childcare. If the family’s calculation is less than the required core hours for Work Experience, the individual is deemed to have met core hours if calculated hours are met.

Monthly Deeming – If the family’s monthly calculation is less than the required monthly core hours for Work Experience, the individual is deemed to have met core hours if calculated hours are met. A participant cannot participate in the work experience activity for more hours than is determined by the calculation $[(\text{Cash}+\text{Food Stamp amount})/\text{minimum wage}]/4.3$.

The career advisor must determine the participant’s required monthly hours of participation and the participant must be assigned to complete hours every week. The participant may be allowed to make up hours during any week providing that the regular assigned hours and the make up hours do not exceed eight (8) hours per day. If the participant completes the monthly-required hours based on the calculation they may be deemed to have completed the monthly core hours. The JPR may be updated at the end of the month to reflect that the participant completed the core hours

Example (4 week month)

Sherry is a single parent.

Her cash is \$241 and her food stamp amount is \$241.

The calculation $[(\$241+\$241)/\text{minimum wage}]/4.3=16.5$ hours.

She must complete 64 hours for the month.

She is assigned to complete 16 hours per week at a worksite.

She turns in her timesheet each week indicating all 16 hours were complete.

She is “deemed” to have completed her core requirement of 80 hours.

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f. Recording “Deemed” Hours

Sherry’s JPR for the month was “80” hours

Her timesheet was placed in the case file and included:

- The appropriate dates;
- The appropriate signatures;
- The required hours, and
- The actual hours completed.
- A case note states “Sherry” was required to complete 16 hours each week and a total of 64 hours per month. She completed her required 64 hours based on the calculation, and documentation is in the file. She was “deemed” to complete 80. 80 hours are recorded on the JPR screen.

7. Providing Childcare (Core)

a. Definition

Participants may provide childcare services to an individual who is participating in a Community Service Program.

b. Time Limits

Unlimited

c. Required Documentation

- The Community Service Worksite Agreement.
- Community Service weekly time sheets that are signed by the participant and the authorized representative or alternate that is authorized to verify that the hours completed by the participant.
- Weekly case notes indicating that the participant completed the community service hours
- Original timesheets must be collected weekly. Exception: A participant may fax timesheets to update the JPR but the original must be collected from the participant and placed in the file for each week that was faxed

d. Tracking Participation

- The number of hours that is credited to the participant providing the childcare services is based on the number of hours that the Community Service participant is scheduled for the Community Service activity.
- Must be supervised daily through documentation of hours
- Documentation must be submitted every week
- Must have detailed case notes
- The hardcopy file and the IRP must be updated as necessary

Note: Only actual hours where the participant engaged in community service actually attends those community service hours may yield countable hours for the participant caring for the children.

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8. Vocational Training (Core)

a. Definition

Organized educational programs that are directly related to the preparation of individuals for employment in current or emerging occupations requiring other than a baccalaureate or advanced degree. Vocational training programs should be limited to activities that give individuals the knowledge and skills to perform a specific occupation.

Participants who are enrolled in an educational program that is directly related to the preparation of individuals for employment, in a current or emerging occupations, may be enrolled at vocational technical area centers, community colleges offering certificate and AA degree programs and proprietary school. This may include basic skills if embedded in vocational program and short term.

Self-Initiated Education

Self-initiated education is where the participant enrolls in a training activity independent of SFW at the time of referral to the Career Center.

Exceptions are to be made to SFW policy requiring that participants enroll in an approved course of study at an approved training agent, when the participant enters the program already enrolled in a training program.

If the participant is attending and progressing satisfactorily the participant should be allowed to remain in the approved course of study and support services, excluding tuition should be provided, if necessary and if funds are available.

If the participant is enrolled in a non-approved course of study and is not progressing satisfactorily, the participant must be counseled and offered the opportunity to enroll in an approved course of study at an approved training agent. If the participant chooses to remain in the non-approved course of study, no support services will be paid until participant provides documentation of satisfactory progress.

Distance Learning

Courses in which the student accesses classroom training via the Internet without having to physically report to classroom training is considered distance learning. Participation in distance learning courses must be documented in the form of an official computer generated attendance sheet or a signed document, which verifies daily attendance.

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b. Time Limit / Limitation

- Vocational Training as a core work activity is limited to a total of 12 months during the participant's lifetime on assistance. When the work activity is entered into OSST as Vocational Education (Primary) on the Skill Development Screen it counts toward the 12-month limit, regardless of the number of hours assigned to the activity.
- The 12-month restriction applies to instruction in a vocational program. It does not include remediation of basic skills through adult basic education. Any necessary remediation should be completed before a participant is referred to Vocational Education.
- **ESOL cannot be used as the course name when assigning this activity unless the participant is employed and core hours are met.**

c. Required Documentation

- A daily attendance time sheet shall be completed and signed by the instructor of the educational institution, and maintained in the participant's case file and shall be used to document the hours entered in the OSST JPR screen. The attendance timesheet must be signed daily to document daily supervision.
- Attendance timesheets must include participant's name, the course and instructor's name, name of person certifying attendance and dates.
- Original timesheets must be collected weekly. Exception: A participant may fax timesheets to update the JPR but the original must be collected from the participant and placed in the file for each week that was faxed.
- Timesheets that are generated through an official computer generated attendance sheet are acceptable to meet the required daily supervision.
- Training Package which includes: TABE scores, Assessment results, Copy of Financial Aid Application(s), Training Options Selection Guide, Financial Support Form, Training Plan, and Analysis of Student Progress Report, note: Training Option Selection Guide is not required when enrollment is self-initiated.
- Detailed case notes and the hard copy case file must include supporting documents.
- The IRP must be updated as necessary.

d. Tracking Participation

- A participant engaged in vocational education or training must maintain a "C" average in order for the hours of participation to count. A periodic reassessment is required at least every six (6) months to determine if satisfactory progress is made. The participant's progress must be documented using the SFW Training Plan. Written verification of progress must be received on a quarterly or semester basis or as established by the training institution.

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- Each participant who wants to enroll in vocational education or training must receive Test for Adult Basic Education (TABE) prior to entry.
 - Attendance documentation must include the participant's name, course, instructors name, name of person certifying the hours/attendance and dates of attendance.
 - Unsupervised homework time cannot be counted however monitored study sessions hours are allowable if the hours of participation can be documented through supervision.
 - The career advisor must document each contact with a participant by entering a personal case note in OSST. A copy of hard copy documents must be maintained in the case file and the IRP must be updated as necessary.
- Note: SFW does not permit the use of funds to pay for AA degree programs.

9. On-the Job Training (OJT) (Core)

a. Definition

OJT is paid training in the public or private sector that is provided by an employer to an eligible participant while engaged in a job that allows the participant to acquire knowledge or skills essential to the full and adequate performance on the job.

All participants that are hired under an OJT agreement are not fully qualified for the job and require training above and beyond the type of training usually provided to new employees. OJT may be sequenced with, or accompanied by, other types of training such as remedial education, basic skills training or occupational training.

Infrequently, OJT may be combined with customized training. Normally a worker would not be simultaneously utilizing OJT and customized training services, however, it is possible that a worker might be a participant in OJT and simultaneously be a participant in off-the-job customized training such as classroom training. Combining these two services requires prior SFW approval.

b. Required Documentation

- Signed OJT Agreement form.
- OJT Package including a Financial Viability Checklist, Referral, Contract Body (A. Training Outline B. Competency Certification C. Payment Method D. Employer Handbook E. Assurances and Certifications, Monitoring Worksheet, OJT Invoice and Trainee Evaluation.
- OJT Contract -must include hourly wage, training hours, and total training days, start date—end date, signature of participant, authorized employer representative and the career advisor.
- Must be full-time 32-40 hours. The participant's pay stub must be in accordance with the pay schedule.

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- Timesheets signed by the participant, authorized employer representative or alternate and the career advisors must be received weekly.
- Original timesheets must be collected weekly. Exception: A participant may fax timesheets to update the JPR but the original must be collected from the participant and placed in the file for each week that was faxed.

c. Tracking Participation

- The Service Partner shall be responsible for establishing OJT Work-site agreements and must be full-time 32-40 hours.
- Daily supervision of the activity is required. Employment verifications must include the contact information such as the employer's name; date contacted, phone number, employee work days/hours, wage rate, employment start date, and the name of the staff person who verified the employment.

10. Satisfactory Attendance at a Secondary School (Adult Basic Education) and General Education Diploma (GED) (Core Plus)

a. Definition

Regular attendance, in accordance with the requirements of the secondary school or course of study, at a secondary school or in a course of study leading to a certificate of general equivalence, in the case of a recipient who has not completed secondary school or received such a certificate.

ABE, GED and high school credit programs provide opportunities for an individual to achieve a Diploma either through the GED testing program or the completion of high school credits required for graduation.

b. Time Limit / Limitations

Unlimited

ESOL cannot be used as the course name when assigning this activity unless the participant is employed and core hours are met.

c. Required Documentation

- Initial Assessment scores (TABE)
- School enrollment / Class schedule and class curriculum
- A daily attendance time sheet shall be completed and signed by the instructor of the educational institution, and maintained in the participant's case file.
- Attendance information must include participant's name, the course and instructor's name, name of person certifying attendance and dates.
- Attendance time sheet shall be used to document the hours entered in the OSST JPR screen and must be collected weekly.

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- Original timesheets must be collected weekly. Exception: A participant may fax timesheets to update the JPR but the original must be collected from the participant and placed in the file for each week that was faxed.
- Timesheets that are generated through an official computer generated attendance sheet are acceptable to meet the required daily supervision.
- Training Package which includes: TABE scores, and Analysis of Student Progress Report.
- Verification of progress – TABE Reassessment
- Detailed case notes and the hard copy case file must include supporting documents.
- The IRP must be updated as necessary.

d. Tracking Participation

- If adult head of household, must be in addition to the 20/30/50 core hours
- Must receive written verification of progress on a quarterly or semester basis or as established by the training institution. The participant must be making satisfactory progress in order for hours to count.
- Each participant who is engaged in a training program must receive Test for Adult Basic Education (TABE) prior to entry into a basic education or GED program. Satisfactory progress must be determined by grades from the training institution and a TABE reassessment is required for educational activities. Supervised homework and study sessions must be documented. Attendance must be collected weekly and maintained in the case file.
- Attendance documentation must include the participant's name, course, instructors name, name of person certifying the hours/attendance and dates of attendance.

11. Education Directly Related to Employment (Core Plus)

a. Definition

If a participant has not received a high school diploma or GED, (s) he may receive credit for hours by participating in education related to specific occupation, job or job offer. This includes courses designed to provide the knowledge and skills for specific occupations or work settings, but may also include adult basic education and ESOL. Where required as pre-requisite for employment by employers or occupation, this activity may also include education leading to a General Education Development (GED) or high school equivalency diploma.

b. Time Limit / Limitations

Unlimited

ESOL cannot be used as the course name when assigning this activity unless the participant is employed and core hours are met.

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c. Required Documentation

- Initial Assessment scores (TABE)
- School enrollment / Class schedule and class curriculum
- A daily attendance time sheet shall be completed and signed by the instructor of the educational institution, and maintained in the participant's case file.
- Attendance information must include participant's name, the course and instructor's name, name of person certifying attendance and dates.
- Attendance time sheet shall be used to document the hours entered in the OSST JPR screen and must be collected weekly.
- Original timesheets must be collected weekly. Exception: A participant may fax timesheets to update the JPR but the original must be collected from the participant and placed in the file for each week that was faxed.
- Timesheets that are generated through an official computer generated attendance sheet are acceptable to meet the required daily supervision.
- Training Package which includes: TABE scores, and Analysis of Student Progress Report.
- Verification of progress – TABE Reassessment
- Detailed case notes and the hard copy case file must include supporting documents.
- The IRP must be updated as necessary.

d. Tracking Participation

- Must receive written verification of progress on a quarterly or semester basis or as established by the training institution. The participant must be making satisfactory progress in order for hours to count.
- Each participant who is engaged in a training program must receive Test for Adult Basic Education (TABE) prior to entry into a basic education or GED program. Satisfactory progress must be determined by grades from the training institution and a TABE reassessment is required for educational activities. Supervised homework and study sessions must be documented. Attendance must be collected weekly and maintained in the case file.
- Attendance documentation must include the participant's name, course, instructors name, name of person certifying the hours/attendance and dates of attendance.

12. Job Skills Training directly Related to Employment (Core Plus)

a. Definition

Training or education for job skills required by an employer to provide an individual with the ability to obtain employment or to advance or adapt to the changing demands of the workplace. May include literacy training or language instruction when it is EXPLICITLY focused on skills needed for employment or combined in a unified whole with job training.

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b. Time Limit / Limitations

Unlimited

ESOL cannot be used as the course name when assigning this activity unless the participant is employed and core hours are met.

c. Required Documentation

- Initial Assessment scores (TABE)
- School Enrollment / Class Schedule and Class Curriculum
- A daily attendance time sheet shall be completed and signed by the instructor of the educational institution, and maintained in the participant's case file.
- Attendance information must include participant's name, the course and instructor's name, name of person certifying attendance and dates.
- Attendance time sheet shall be used to document the hours entered in the OSST JPR screen and must be collected weekly.
- Original timesheets must be collected weekly. Exception: A participant may fax timesheets to update the JPR but the original must be collected from the participant and placed in the file for each week that was faxed.
- Timesheets that are generated through an official computer generated attendance sheet are acceptable to meet the required daily supervision.
- Training Package which includes: TABE scores, and Analysis of Student Progress Report.
- Verification of progress (from training institution)
- Detailed case notes and the hard copy case file must include supporting documents.

d. Tracking Participation

- Must receive written verification of progress on a quarterly or semester basis or as established by the training institution. The participant must be making satisfactory progress in order for hours to count.
- Each participant who is engaged in a training program must receive Test for Adult Basic Education (TABE) prior to entry into a basic education or GED program. Satisfactory progress must be determined by grades from the training institution and a TABE reassessment is required for educational activities. Supervised homework and study sessions must be documented. Attendance must be collected weekly and maintained in the case file.
- Attendance documentation must include the participant's name, course, instructors name, name of person certifying the hours/attendance and dates of attendance.

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K. Excused Absence Unpaid Activities

- a. **Definition**
Unpaid activities-“actual hours completed” on the JPR screen for up to 10 absences (no more than 2 in any month) must be approved by SFW as “excused” during the federal fiscal year.
- b. **Required Documentation (as applicable)**
 - Self Attestation
 - Official notification(s) - letters - Dr’s appointment, conferences, re-certifications, court, etc.
- c. **Tracking Participation**
 - Excused hours will be credited as “actual hours” and are entered on the JPR screen if the participant was assigned to the activity before the date of the missed activity.
 - The participant can only receive credit for the hours that the participant was assigned to before the date of the missed activity.
 - Document excused hours on the Excused Absence/Holiday tracking form.
 - Detailed case notes
 - Update case file folder (hard copy)

L. Excused Absence Paid Activities

- a. **Definition**
Paid activities-“actual hours of participation” on the JPR screen for scheduled hours missed due to illness or other reasons where personal (including vacation) or sick leave is used.
- b. **Required Documentation (as applicable)**
 - Self Attestation
 - Official notification(s) - letters - Dr’s appointment, conferences, re-certifications, court, etc.
 - Approved leave request or other documentation verifying leave (notes, pay stubs, etc.).
- c. **Tracking Participation**
 - Excused hours will be credited as “actual hours” and are entered on the JPR screen if the participant was assigned to the activity before the date of the missed activity.
 - The participant can only receive credit for the hours that the participant was assigned to before the date of the missed activity.
 - Document excused hours on the Excused Absence/Holiday tracking form.
 - Detailed case notes
 - Update case file folder (hard copy)

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M. Holiday Unpaid Work Activities

- a. **Definition**
 - **Unpaid work activities** – participation hours for hours scheduled on holidays as identified on SFW Approved Leave.
- b. **Required Documentation**
 - SFW Approved Holiday Schedule.
 - Documentation verifying holidays (notes, pay stubs, etc.)
 - Documentation to support the provision will be required for the hours attributed to “actual hours of participation” recorded on the JPR screen.
- c. **Tracking Participation**
 - Holiday hours will be credited as “actual hours” and are entered on the JPR screen if the participant was assigned to the activity before the date of the holiday.
 - The participant can only receive credit for the hours that the participant was assigned to before holiday. Documentation to verify that the participant was not paid for the holiday must be maintained in the case file. (Notes, pay stubs, etc.)
 - Document holiday hours on the Excused Absence/Holiday tracking form.
 - Detailed case notes
 - Update case file folder (hard copy)

N. Holiday Paid Work Activities

- a. **Definition**

Paid work activities - “actual hours of participation” on the JPR screen for all hours missed due to a holiday listed as a SFW Approved Holiday.
- b. **Required Documentation**
 - SFW Approved Holiday Schedule.
 - Documentation verifying holidays (notes, pay stubs, etc.)
- c. **Tracking Participation**
 - Holiday hours will be credited as “actual hours” and are entered on the JPR screen if the participant was assigned to the activity before the date of the holiday.
 - The participant can only receive credit for the hours that the participant was assigned to before holiday. Documentation to verify that the participant did not work on the holiday must be maintained in the case file. (Notes, pay stubs, etc.)
 - Document holiday hours on the Excused Absence/Holiday tracking form.
 - Detailed case notes
 - Update case file folder (hard copy)

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FORMS ATTACHED

Analysis of Student Progress Report
Attendance Time Sheet rev.062908
Authorization to Obtain Confidential Employment Information
Employment Verification
[Initial Assessment Application Form](#)
[Initial Assessment Job Search Procedures](#)
Opportunities and Obligations
Participant's Informed Choice on Individual Training account (ITA)
Maintain Financial Support Form
SFW Approved Holiday Schedule
SFW SAMH Daily Treatment Verification
SFW Verification of Earned Income
SFW Verification of Work Hours Receipt
Training Options Selection Guide
Training Plan
Welfare Transition Orientation Acknowledgement
Work Activities Chart
Training Outline Worksite Agreement rev 062908
2008 HHS Poverty Guidelines rev 012408
Excused Absence/Holiday Tracking Form
Verification of Employment Procedures rev. 072308
WHP 2008 Income Guidelines

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INDIVIDUAL TRAINING ACCOUNT (ITA) POLICY

I. Of Interest to

The Individual Training Account (ITA) Policy should be of interest to members of the South Florida Workforce Investment Board (SFWIB), Region 23 (Miami-Dade and Monroe Counties) Career Center contractors (Service Providers), Training Vendors, Region 23 jobseekers, and SFWIB staff.

II. Definitions

- 1) Actual start date: the date that the participant commences classes.
- 2) Approved Training Program: a SFWIB approved area of study linked to an occupation seen on Region 23's current Targeted Occupations List.
- 3) Assessment: the process by which Career Center staff evaluates eligible participants before they enroll in a training program.
- 4) Completion: the participant's attainment of a certificate or degree or competencies needed for a specific job or occupational group at the conclusion of a course of study.
- 5) Economic Benefit per Placement: the return on investment per approved training program for each participant placed.
- 6) ITA (Individual Training Account): the scholarship to pay for enrolling in an approved training program.
- 7) ITA Limit/Maximum ITA Amount: a cap on the amount to be paid for each approved program.
- 8) ITA Voucher: the system-generated instrument used to pay for a training program; for the instrument to be valid, it must have all required signatures, i.e., participant, career advisor and supervisor signatures.
- 9) Occupational Training Area: an approved training program linked to the occupations listed on Region 23's Targeted Occupations List.
- 10) Pell Grant: the federal grant that eligible participants apply for to assist in paying for the costs of a training program.
- 11) Performance measures/standards: a set of federal, state and local standards for determining a Training Vendor's compliance with completion and placement requirements.
- 12) Placement: the number of participants that obtain unsubsidized employment following completion of a training program.
- 13) Remedial Courses: a course taken to prepare for a required course in an approved training program.
- 14) Service Account Management System (SAMS): the system for tracking participants'

training-related information, i.e., expenditures and performance data.

- 15) Targeted Industries: industries determined by the SFWIB as a priority for occupational training; currently, those industries are Aviation, Healthcare Services, Life Sciences/Bio-Tech, Green Jobs, Information Technology and Waste Water Management.
- 16) Targeted Occupations List (TOL): a State-compiled list of occupations that Regional Workforce Boards may offer training in.
- 17) Training-related placement: the number of participants that obtain unsubsidized employment in an occupational area relevant to the training program completed.

III. Subject

Training utilizing Individual Training Accounts (ITAs)

IV. Purpose

The purpose of the ITA Policy is to provide all SFWIB stakeholders with uniform guidelines regarding the use of training funds to pay for approved training programs and to determine subsequent program eligibility.

V. Background

An ITA is the vehicle through which SFWIB expends training dollars. ITAs may be used to pay for or help defray the cost of training at an approved SFWIB Training Vendor. ITAs may also be used to provide training in an occupation clearly linked to a priority industry that is in local demand or that appears on the Region's Targeted Occupations List (TOL). ITAs are available to customers eligible for WIA Adult, Dislocated Worker, Youth and Welfare Transition programs; however, note that an ITA is neither an entitlement nor a right.

VI. Assessment

Career Center staff is required to individually assess eligible participants for training prior to the issuance of an ITA voucher. The assessment process consists of examining a participant's academic and employment background as well as short- and long-term career interests. The intent of this process is to assist the participant in selecting a training program he/she is likely to succeed in and ultimately contribute to the achievement of economic self-sufficiency.

VII. Individual Training Account Fee Structure

A. ITA Cost

By May 15th of a Program Year (PY), Training Vendors are required to submit program cost modifications for the next PY to SFWIB staff. That information is used to update the program cost information seen on the SFWIB website and in SAMS. The maximum ITA amount for each PY is derived from the program cost information submitted by the public education Training Vendors.

Specifically, the ITA limit per public school training program is set at 100% of the public institutions' submitted cost information and 110% of the public institutions' cost information for private institutions' comparable programs. Where there is no comparable **regionally** approved public education institution program, the cost of the approved private Training Vendor's program will be based on occupational title, quadrant category and cost negotiation within the applicable quadrant category.

B. Individual Account Training Cap

The maximum cap for the Individual Training Account (ITA) is **\$10,000.00**.

C. ITA Amount for Occupational Training Areas

The ITA amount for each occupational training area is based on if the occupation is identified as High Wage/High Growth, High Wage/Low Growth, Low Wage/High Growth, and Low Wage/Low Growth.

The maximum ITA amounts are as follows:

- Occupations identified as High Growth/High Wage **up to and including \$10,000.00**
- Occupations identified as Low Growth/High Wage **up to and including \$7,500.00**
- Occupations identified as High Growth/Low Wage **up to and including \$5,000.00**
- Occupations identified as Low Growth/Low Wage **up to and including \$2,500.00**

The formula to determine whether an occupation is high wage/high growth, low/wage growth, etc. is based on the State of Florida LMI data for the fastest growing occupations within Region 23 by growth rate and salary rate. Annually, the average growth rate and average salary rate will be determined for the identified occupations, sorted by growth rate and average salary, and then placed in the appropriate category.

D. ITA Voucher

A voucher will be issued covering up to and including 50 percent of the maximum approved ITA amount. In order for the voucher to be submitted for payment, the actual start date must be entered in SAMS and the participant must attend class for 14 consecutively scheduled classes. The 14-day period begins to run by entering participant information in SAMS, such as actual start date and length of program.

Upon the participant's completion of up to and including 50 percent of the training program, a voucher will be issued for the remaining maximum ITA amount. **Note: The payment of the** remaining amount is contingent on the Training Vendor's submission to the applicable Service Provider of documentation evidencing the participant's attendance records.

All vouchers must be issued within the same Program Year in which service(s) was/were rendered.

Please refer to the SFWIB Performance Reporting Requirements Policy & Procedures for more information.

VIII. Duration of Training for Individual Training Accounts

Individual Training Accounts can only be used to cover the cost of **up to and including** one year of training. This is a lifetime limit.

Exception: Those programs that the SFWIB have identified as targeted industries are exempt from the one-year limitation.

If the SFWIB participant's training cost is covered by another funding source, for example, Pell Grants or scholarships, of the maximum ITA amount approved only **up to and including** \$2,000 may be issued via voucher to offset the costs of books, certification examination/testing fees, etc., for **up to and including** one year of training. Note that this \$2,000 sum is not separate from the approved maximum ITA amount.

SFWIB participants that elect a training program that is more than one year in length, i.e., an Associate in Science (A.S. Degree) program, will be responsible for all training costs beyond the one year covered by the ITA.

Associate of Arts (A.A. Degree) and Bachelor Degree programs are not covered by ITAs.

IX. Financial Aid

A. Pell Grants

All SFWIB participants requesting training using an ITA are required to apply for the Pell Grant (Title IV) by completing the Free Application for Federal Student Aid (FAFSA).

SFWIB participants pending PELL Grant approval/award may be enrolled in training through an ITA voucher. If subsequently awarded, the Pell Grant proceeds will be applied toward the tuition costs, with the ITA paying only for costs in excess of the Pell award. In the case that the Pell award covers the cost of the training, the Training Vendor will reimburse SFWIB the amount of tuition paid by SFWIB.

B. Other Financial Aid/Student Loans

If a SFWIB participant has another grant or scholarship, the ITA funds will be available only after the other grant or scholarship has been utilized.

SFWIB participants that elect to attend training programs may be required to obtain student loans and/or other grants to cover the cost of the program that they wish to enroll in if the ITA amount and the Pell Grant, if eligible for Pell, do not cover the full cost of the program. If the SFWIB participant is not Pell eligible, or the school or program is not Title IV eligible, the SFWIB participant will be required to obtain student loans and/or other financial aid to cover the cost of the program not covered by the ITA amount. SFWIB will not be responsible for any debts that a SFWIB participant incurs.

X. Limitations

- 1) Only one training program per SFWIB participant can be paid through the ITA; participants are limited to one lifetime ITA.
- 2) The SFWIB participant must enroll in school half-time or full-time as defined by the Training Vendor.

- 3) The ITA can only be used for courses that are specifically required for the program of study.
- 4) SFWIB will only pay once for each required class in an approved training program. SFWIB will not pay for re-takes. This one-time payment includes remedial courses.
- 5) SFWIB will only pay once for each required certification examination.
- 6) In the case of those occupational training areas where the State licensing and/or certification examinations are offered only in the English language, SFWIB participants enrolled in such training shall be taught in English.
- 7) Associate of Arts (A.A. Degree) and Bachelor Degree programs are not covered by the Individual Training Account.

XI. Service Account Management System (SAMS)

Approved SFWIB Training Vendors shall utilize the SFWIB SAMS Training Vendor screen to submit information on training status (drop, withdrawals, Pell information, etc.), attendance, training progress, placement, credential attainment information and performance information on a regular basis. The Training Vendor will provide credential information to the Service Provider and any follow-up data required.

Service Provider case managers shall track SFWIB participants' training performance through SAMS.

Please refer to the SFWIB Performance Reporting Requirements Policy & Procedures for more information on the responsibilities of Training Vendors and Service Providers relevant to SAMS data reconciliation.

XII. Performance Measures

Training Vendors that agree to accept ITAs from SFWIB will be required to meet a **minimum of two of the listed** SFWIB performance standards. The table below lays out the performance measures.

Performance Measure	Performance Standard
Completion Rate	70%
Placement After Training	70%
Training-Related Placement	70%
Economic Benefit Per Placement	Quadrant Benchmark
Low Growth / Low Wage	\$14,785
High Growth / Low Wage	\$12,493
Low Growth / High Wage	\$31,542
High Growth / High Wage	\$29,201

A. Completion Rate

This measure examines the percentage of participants who successfully complete training in an approved SFWIB program.

B. Placement after Training

This measure examines those SFWIB participants who completed training and have been placed in unsubsidized employment within **180** days of training completion.

C. Training-Related Placements

This measure examines those SFWIB participants who completed training and obtained unsubsidized employment within **180** days of completion in a training-related occupation.

D. Economic Benefit per Placement

This measure examines the percentage of the return on investment per approved training program for each participant placed. **The approved program must meet and/or exceed the standard economic benefit per placement by quadrant.**

E. Subsequent Eligibility

For an approved training program to be considered for renewal, the program must meet or exceed a minimum of two of the performance measures. Programs neither meeting nor exceeding a minimum of two of the measures will be removed from SFWIB's approved offerings list. For a removed program to return to the approved offerings list, that program must be resubmitted for a programmatic review and Board-approval a year from the date of removal.

XIII. Roles and Responsibilities

Training Vendors and Service Providers are required to input data relevant to each of the above measures into SAMS. Additionally, Vendors and Providers are required to input wage data per placement into SAMS. Note that supporting documentation for each system entry must be readily available for review. Please refer to the SFWIB Performance Reporting Requirements Policy and Procedures for more information.

SFWIB INDIVIDUAL TRAINING ACCOUNT (ITA) PROCEDURES

I. Purpose

The purpose of the ITA Procedures is to provide an updated process for Training Vendors and SFWIB Contractors (hereinafter sometimes referred to as service providers or authorized representatives) as it pertains to the administration of ITAs, including the refund process.

II. Performance

A. **Training Vendors** are required to satisfy a **minimum of two (2)** of the following performance measures relevant to each training program offered:

Performance Measure	Definition	Performance Standard
Completion Rate	The percentage of participants who successfully complete training in an approved SFWIB program.	70%
Placement After Training	SFWIB participants who completed training and have been placed in unsubsidized employment within 180 days of training completion.	70%
Training-Related Placement	SFWIB participants who completed training and obtained unsubsidized employment within 180 days of completion in a training-related occupation.	70%
Economic Benefit Per Placement	The percentage of the return on investment per approved training program for each participant placed.	Quadrant Benchmark*

*The approved program must meet and/or exceed the standard economic benefit per placement by quadrant as shown in the table below:

Growth and Salary Rate Category	Quadrant Benchmark
Low Growth / Low Wage	\$14,785
High Growth / Low Wage	\$12,493
Low Growth / High Wage	\$31,542
High Growth / High Wage	\$29,201

Annually, South Florida Workforce Investment Board (SFWIB) Office of Continuous Improvement (OCI) shall conduct a performance audit to determine Training Vendors' compliance with the above measures. Training Vendor programs failing to meet the minimum required performance measures will be removed from the list of SFWIB approved offerings. For a program to return to the approved offerings list, it must be resubmitted for a programmatic review and SFWIB approval, no earlier than a year from the date of removal.

B. SFWIB Contractors are required to meet contractual performance measures as set forth in the SFWIB Balanced Scorecard. A contractual percentage hold back is applied to Contractors failing to satisfy the measures.

III. Definitions:

Actual end date: The date that the participant successfully completes the approved training program.

Actual start date: The date that the participant commences classes.

Authorized party: Person or persons duly authorized to sign on behalf of a Training Vendor or Contractor. Authorized parties are documented on the Organizational Responsibility Form submitted with the Training Vendor Agreement or Contract.

Assessment: The process whereby individuals are interviewed and/or tested to determine their employability, motivation, aptitude, abilities and interests in order to develop a career plan for the attainment of the individual's career goals.

Balanced Scorecard: A performance metric used to show Contractors' compliance with Workforce Investment Act (WIA), Wagner-Peyser, Welfare Transition and employer-related measures.

Completion: The participant's attainment of a credential, i.e. certificate or degree or competencies needed for a specific job or occupational group at the conclusion of the approved training program.

Eligibility: The process whereby a participant is determined to meet the requirements of the Workforce Investment Act, Temporary Assistance to Needy Families (TANF), or any SFWIB funded program in order to receive training services.

Employment: An unsubsidized occupational activity or service performed for an entity (i.e., government, not-for-profit, and for-profit) for compensation.

Employment Verification Form: The system-generated universal form that employers complete and sign verifying participant's placement information, i.e., job title, hourly wage, beginning date, and employer information.

Enrollment date: The date the Service Provider enrolls a participant in an approved training program; for the Training Vendor, it is the date that it receives the Individual Training Account (ITA) voucher from a participant and enrolls that participant in an approved training program.

Estimated start date: The date the Service Provider anticipates the Training Vendor's enrollment of the participant in the approved training program; this date must be **entered before a voucher can be issued** (can be no greater than three months from date of data entry).

Estimated end date: Based on the program's length, it is the date that the Service Provider anticipates the participant's completion of the program; this date must be **entered before a voucher can be issued** (can be no greater than two (2) years from the estimated start date).

Individual Training Account (ITA): A training funds account that is established for individuals who have been determined eligible by the SFWIB authorized representative, or Contractor, to receive SFWIB funded training, in approved training activities at an approved Training Vendor.

License: Following the completion of an approved training program, the licensure attained upon the passing of a regulatory body's examination requirements.

Office of Continuous Improvement: The SFWIB Department that monitors conformance with established rules, policies, procedures, and performance measures.

Participant Attestation of Training: The system-generated form given to the participant by the Training Vendor, completed and signed by the participant, certifying the participant's completion of the approved training program.

Participant Refund/Drop/Withdrawal Form: The system-generated form that is completed and signed by the Training Vendor detailing the reason for drop/withdrawal/refund and the applicable refund amount as set forth in SFWIB's Standardized Refund Policy.

Pell Grant: The federal grant that eligible participants are required to apply for to assist in paying for the costs of a training program.

Performance measures: Local standards to measure a Contractor's and Training Vendor's compliance with federal and state training requirements.

Placement rate: The number of participants that obtain unsubsidized employment following completion of a training program.

Prerequisite: Courses that must be successfully completed before other courses within the program may be taken.

Reconciliation requirements: The review process whereby Contractors and Training Vendors identify, compare and check data for input into the Service Account Management System (SAMS) to ensure data accuracy.

Remedial: A course taken to prepare for a required course in an approved training program; **participants may take up to two program-related remedial courses.**

Reverse referral: Where an individual is enrolled in an approved training program and seeks workforce assistance (an ITA voucher) without following statutory protocol, i.e. undergo core and intensive services.

SAMS: Service Account Management System; the system for tracking participants' training-related information, i.e., expenditures and performance data.

Termination Date: The participant's last date of actual attendance in an approved training program.

Training Program: A Board-approved area of study linked to an occupation seen on Region 23's current Targeted Occupations List.

Training-related placement rate: The number of participants that obtain unsubsidized employment in an occupational area relevant to the training program completed.

Voucher: The system-generated instrument issued to pay for an approved training program for which an ITA has been established. For the instrument to be valid, it must have all required signatures i.e., participant, authorized representative and supervisor signatures.

Withdrawal/Drop date: When the Training Vendor determines, or is informed by the participant, that the participant will stop attending and not continue training.

IV. Procedures:

A. Training Vendor Roles and Responsibilities:

1. Each Training Vendor is responsible for assessing participants referred to its program to ensure that the participant will be successful in the program prior to enrollment.
2. Before a Training Vendor may receive a voucher, the Vendor must provide the Service Provider documentation evidencing all applicable program requirements and cost information.
3. The Training Vendor shall ensure that the voucher received is issued in the Training Vendor's name, and it is properly signed before it is invoiced; all invoiced vouchers received failing to comply with the procedures set forth herein will be returned to the Training Vendor unpaid.
4. Each Training Vendor is responsible for entering training-related data into SAMS, specifically the following fields:
 - a. Enrollment date (Enroll): The date that the Training Vendor receives the Individual Training Account (ITA) voucher from a participant and enrolls that participant in a training program.
 - b. Estimated start date: (Can be no greater than three months from date of data entry).
 - c. Estimated end date: (Can be no greater than two (2) years from the estimated start date).
 - d. Actual start date: The date that the participant commences classes.

- i. To submit the voucher to SFWIB for payment, the actual start date must be entered in SAMS and the participant must attend 14 consecutively scheduled classes.
 - ii. Entering the date in the “actual start date” field will activate the 14-day invoicing requirement.
 - iii. Documentation that the participant has fulfilled 14 consecutively scheduled classes shall be furnished by the Training Vendor to the applicable Service Provider **before** an invoice is submitted for payment to SFWIB.

Caution: The **14-day** invoicing clock resets each time this field is updated.
 - e. Pell Grant information (for eligible participants)
 - i. Pell Eligible (yes or no):

If eligibility is unknown at the time of enrollment, the field may be left blank.
The field shall be completed no later than the 50% completion of training date.
 - ii. Amount Awarded:

If the award is unknown at the time of enrollment, the field may be left blank.
The field shall be completed no later than the 50% completion of training date.
 - f. Training progress information
 - i. 25% completion of total program hours
 - ii. 50% completion of total program hours
 - iii. 75% completion of total program hours
 - iv. 100% completion of total program hours
5. Each Training Vendor is responsible for verifying employment and entering employment-related data into SAMS, specifically the following:
- a. Employment information (required to close the training enrollment)
 - i. Employment attainment date (hired date)
 - ii. Employer’s name
 - iii. Occupation title
 - iv. Hourly wage
 - b. Completion of the SFWIB Employment Verification Form (EVF)
 - i. The Training Vendor has the option to use the standard EVF containing the SFWIB logo or to insert its own logo into the EVF; both forms are accessible from SAMS under the Employment Section.
 - ii. Send the EVF to the employer and perform follow-up:
 - a) The original form must be submitted or returned by the employer via US Mail, e-mail or fax to the Training Vendor.
 - b) If the form is received through US Mail, the form must be date stamped or the envelope in which it was received shall be kept on file.
 - c) If the form is received through e-mail, a copy of the email must be printed and attached to the form and placed in the participant’s file.
 - d) If the form is received via fax, the form must have the employer’s name and telephone number imprinted on the header.
 - e) A copy of the form must be submitted by the Training Vendor via e-mail or sent by fax to the Service Provider.
6. Each Training Vendor is responsible for entering completion information into SAMS,

specifically the following fields:

- a. Actual End Date: The date that the participant successfully completes the approved training program.
- b. Training Outcome:
 - i. Successful Completion:

The participant completes and signs the **SFWIB Participant Attestation of Training Completion Form** and provides it to the Training Vendor who then submits a copy of the Form to the Service Provider via e-mail (scanned) or fax.
 - ii. Credential Attained Date
 - iii. Dropped/Never Attended:

If the participant drops or never attends, the Training Vendor shall complete the **Participant Refund/Drop/Withdrawal Form** which shall be submitted with the applicable refund check to SFWIB. Refer to the **Refund Procedures in Section IV – E** below. The Training Vendor shall submit via e-mail or fax a copy of the form to the Service Provider.
- c. Certification of Completion
- d. Credential Attainment date
- e. Type of Credential attained

B. Service Provider Roles and Responsibilities:

1. The Service Provider is required to individually assess program eligible participants for training prior to the enrollment and issuance of an ITA voucher. The assessment process consists of examining a participant's academic and employment background as well as short- and long-term career interests. The intent of this process is to assist the participant in selecting a training program he/she is likely to succeed in.
2. If an eligible participant is determined to need remedial courses, SFWIB will only assist in covering the tuition costs of **up to two (2) remedial courses** linked to an approved training program; vouchers issued to cover the costs of remedial course(s) will be subtracted from the maximum allowable ITA amount.
3. The Service Provider must be in receipt of the appropriate program and cost documentation from the Training Vendor before the Service Provider issues a voucher.
4. The Service Provider shall ensure that the voucher is issued only to eligible participants, to an approved Training Vendor, for the correct approved training program and it is properly signed.
5. Service Providers are responsible for entering training-related data into SAMS, specifically the following:
 - a. Enrollment in a SFWIB approved training program
 - b. Issuance of a voucher
 - i. Enrollment date; the date that the participant is enrolled in an approved program.
 - ii. Estimated start date (can be no greater than three months from date of data entry).
 - iii. Estimated end date (can be no greater than two (2) years from the estimated start date).
 - iv. Upon successful entry of the estimated start and end dates, a voucher may be issued covering up to and including 50 percent of the maximum approved ITA amount.
 - v. At the midpoint, or 50% of the training program, a voucher may be issued for the remaining maximum ITA amount; this voucher cannot be issued until the Service

Provider receives documentation showing the participant is at the training program's actual midpoint.

Note: SAMS calculates the midpoint by using the actual start date and the estimated end date entered by the Training Vendor.

a. Pell information (for eligible participants)

i. Pell Eligible:

- If eligibility is unknown at the time of enrollment, the field may be left blank.
- The field shall be completed no later than the 50% completion of training date.

ii. Amount Awarded

- If award is unknown at the time of enrollment, the field may be left blank.
- The field shall be completed no later than 50% of completion of training date.

7. Each Service Provider is responsible for verifying employment and entering employment-related data into SAMS, specifically the following:

i. Employment information (required to close the training enrollment):

- a) Employment attainment date (hired date)
- b) Employer's name
- c) Occupation title
- d) Hourly wage

ii. Completion of the SFWIB Employment Verification Form (EVF):

- a) The Training Vendor has the option to use the standard EVF containing the SFWIB logo or to insert its own logo into the EVF; both forms are accessible from SAMS under the Employment Section.
- b) Send the EVF to the employer and perform follow-up:
 - The original form must be submitted or returned by the employer via US Mail, e-mail or fax to the Training Vendor.
 - If the form is received through US Mail, the form must be date stamped or the envelope in which it was received shall be kept on file.
 - If the form is received through e-mail, a copy of the email must be printed and attached to the form and placed in the participant's file.
 - If the form is received via fax, the form must have the employer's name and telephone number imprinted on the header.
 - A copy of the form must be submitted by the Service Provider via e-mail or sent by fax to the Training Vendor.

8. Each Service Provider is responsible for entering completion information into SAMS, specifically the following fields:

a. **Actual End Date:** The date that the participant successfully completes the approved training program.

b. **Training Outcome:**

i. **Successful Completion:**

The Training Vendor submits a copy of the Form to the Service Provider via US Mail, e-mail (scanned) or fax.

ii. **Credential Attained Date**

iii. **Dropped/Never Attended:**

The Training Vendor submits a copy of the Form to the Service Provider via US Mail, via e-mail (scanned) or fax.

- c. Certification of Completion
- d. Credential Attainment date
- e. Type of Credential attained

Joint Responsibilities of Service Providers and Training Vendors

1. All required fields as set forth below and in the Training Vendor and Service Provider Roles and Responsibilities sections above shall be reconciled on a monthly basis, i.e., Training Vendors and Service Providers shall communicate to verify the accuracy of the data entered in SAMS.
 - a. Estimated end date
 - b. Pell Grant information
 - c. Actual start date
 - d. Actual end date
 - e. Training Progress
 - f. Training Outcome
 - g. Certification of Completion
 - h. Credential Attainment date
 - i. Type of Credential obtained
 - j. Entered Employment Information
 - k. Employment attainment date (hired date)
 - l. Employer's name
 - m. Occupation title
 - n. Hourly wage
2. Training Program Reconciliation Requirements
 - a. Training Vendors and Service Providers must enter participants' training performance data in the Reconciliation Tool (Tool) found on the SAMS homepage.
 - b. The log-in for the Tool is the Training Vendors' and Service Provider's SAMS ID.
 - c. The Tool tracks whether a record has been reviewed and reconciled.
 - i. The reconciliation tool displays a **red flag** when:
 - a) The estimated end date is less than today's date and the actual end date field is empty; and/or
 - b) The estimated start date is less than today's date and the actual start date field is empty.
 - ii. The reconciliation tool displays a **yellow flag** when:
 - a) Today's date is greater than the actual start date of training plus two (2) years; and the actual end date field is empty.
 - d. The Tool generates a report detailing any field discrepancy between Training Vendors and Service Provider locations; this report is available from the 1st of each month.
3. **Data entry and reconciliation is an ongoing process, the following timeframes shall be followed to ensure data is reconciled monthly:**
 - a. From the 1st of the month through and including the 10th of the month:
 - The Training Vendor and the Service Provider's location have up to the 10th of each month to review and update participants' training data and placement information.

- b. From the 11th of the month through and including the 15th of the month:
 - The Training Vendor and the Service Provider location shall reconcile data starting no later than the **11th** of each month through and including the **15th** of the month utilizing the **Training Discrepancy Report** to review and update participants' training data and placement information.
- c. On the **16th** of the month, if the discrepancy report shows **any** discrepancy, both the Service Provider location and the Training Vendor have failed to comply, the Service Provider location will be barred from enrolling new participants into any training program and the Training Vendor will be barred from receiving ITAs for new participants from all Service Providers.
 - i. If the Training Vendor has complied by having entered and reviewed the required fields but the Service Provider location has failed to do likewise, that Career Center location will be barred from enrolling new participants into any training program.
 - ii. If the Service Provider location has complied by having entered and reviewed the required fields but the Training Vendor has failed to do likewise, the Training Vendor will be barred from receiving ITAs for new participants from all Career Centers.
- 4. **SFWIB Office of Continuous Improvement (OCI) will monitor compliance with performance requirements.**
- 5. Documentation supporting each field entry must be placed in the participant's file and be available for OCI's review. SFWIB Office of Continuous Improvement will review the following examples of supporting documentation to determine a Training Vendor's and Service Provider's compliance with the placement requirements:
 - i. Employment Verification Form completed by the employer; or
 - ii. For companies that use the Work Number system, attach the employer's printout to the Employment Verification Form; or
 - iii. Pay stub in conjunction with documented employer contact, or Employment Offer Letter; or
 - iv. New Hire Report in conjunction with documented employer contact to indicate actual start date of employment; or
 - v. The Unemployment Insurance (UI) system and/or SunTax with documented employer contact; or
 - vi. For Self-Employed individuals, attach Form 1099 – Misc (Miscellaneous Income) and/or Form W- 4.

C. Training Vendor Invoicing

14-day invoicing requirement: for a voucher to be submitted for payment to SFWIB the actual start date must be entered in SAMS and the participant must attend 14 consecutively scheduled classes.

- 1. The invoice submitted for payment to SFWIB must be signed and dated by an authorized party; authorized parties are documented on the Organizational Responsibility Form submitted with the Training Vendor Agreement.
- 2. In the event a SFWIB participant withdraws from the training within three (3) business days of signing the Training Vendor's enrollment contract the Training Vendor shall not submit an invoice, since the 14 days have not elapsed.

3. In the event a SFWIB participant withdraws from the training after the third (3rd) business day of signing the enrollment contract but prior to the first day of class, the Training Vendor shall invoice only the registration fee.
4. For Training Vendors with a drop/add period, in the event a SFWIB participant withdraws from training on or before the first week of class (posted drop/add period) the training vendor shall invoice only the registration fee, since this occurs within the 14 day period.

D. Training Vendor Refunds to SFWIB

1. Refund Types

a. PRO-RATED REFUND: For Training Vendors that currently use a pro-rata refund formula the following applies:

- i. Where withdrawal occurs after classes have commenced, but prior to fifty percent (50%) completion of the training a pro-rated refund of tuition, **less the registration fee** is computed based on the following:
 - a) Where the period of enrollment is computed on the basis of program-time elapsed, expressed in clock hours, the pro-rated refund of tuition computed on the number of hours completed to the total program hours.
 - b) Where SFWIB pays for training per term, quarter, semester, the pro-rated refund of tuition is computed based on the number of hours completed per term, quarter or semester to the total hours per term, quarter, or semester.
 - c) The guidelines listed below shall be followed by the Training Vendor when calculating the refund due SFWIB.

% of Program Completion	Tuition Refund due to SFWIB
1 to 10%	99 – 90%
11 to 20%	89 - 80%
21 to 30%	79 - 70%
31 to 40%	69 - 60%
41 to 50%	59 - 50%
Over 50%	0%

Note: if course is dropped prior to the 14th day, and no invoice was submitted to SFWIB, no refund is due. If an invoice was submitted, follow the table above to calculate refund amount.

- ii. After completing fifty percent (50%) or more of the program shall result in no refund, unless the school’s accreditation Board specifies a refund that is greater than 50%.

b. DROP/ADD REFUNDS: For Training Vendors that currently use drop/add the following applies:

- i. In the event a SFWIB participant withdraws after the posted drop/add period there is no refund due to SFWIB.
- ii. In the event a SFWIB participant is withdrawn from a class due to a class cancellation, SFWIB is entitled to a full refund.
 - If class is cancelled after the 3rd day but before the 14th day: no invoice is submitted;
 - If class is cancelled after the 14th day, and an invoice has been submitted and paid: a refund shall be submitted to SFWIB

2. Refund Process:

- a. The Training Vendor shall enter into SAMS the withdrawal date within **five (5) days** of the SFWIB participant's termination from training for the refund calculation.
- b. The Training Vendor shall notify in writing within **five (5) days**, the SFWIB participant's career advisor at their career center that the participant has **been terminated/withdrawn from school** and that a refund is or is not due to SFWIB. The training vendor will complete the system generated drop/withdrawal form and indicate the reason for the drop/withdrawal and provide the refund calculation.
- c. All refunds shall be submitted to SFWIB within **thirty (30) days** of the effective date of termination or withdrawal. Make check(s) payable to "South Florida Workforce Investment Board".

Note: Termination Date for Refund Computation Purposes - the last date of actual attendance by the participant shall be used as the termination date for refund computation purposes.

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III. Procurement

i. Procurement of Service Partners

A. Competitive Process for Awards to Service Partners

SFWIB competitive process is a set of rules that safeguard fair and objective decision-making when choosing Career Center Service Partners or awarding other grant funds to partners. These rules must comply with appropriate federal, state, and local requirements. Central to this process are the core values of *integrity, accountability, and a systems perspective*.

SFWIB complies with F.S. 287, OMB 122, 187 and A-110.

a.1 **Records Management**

In accordance with federal and state requirements, records are maintained for a minimum of three (3) years for each procurement process. These records include documentation for the purpose and rationale for the method of procurement, contractor selection or rejection, and a cost/price analysis.

a.2 **Rationale for Procurement Method**

For each competitive procurement, the method used for the procurement, (e.g., Request for Proposals, Invitation to Negotiate, etc.) is maintained on file. The rationale for all non-competitive procurements is documented according to applicable regulations, cost thresholds, type of service being procured and/or emergency procurement situations.

a.3 **Contractor Rejection or Selection**

The evaluation criteria are kept on file for each procurement effort, including the individual evaluation forms completed for each proposal submitted. In addition, copies of correspondence sent to Service Partners in regards to the procurement are kept, as is documentation of SFWIB actions concerning the selection or non-selection of partners.

a.4 **Basis for Contract Price**

The cost/price analysis and proposed cost of service serve as the basis for negotiation and final price for the proposed service of the contract price. Any miscellaneous correspondence regarding the proposed costs will be maintained in the appropriate file.

a.5 **Code of Conduct/Standard of Conduct/Conflict of Interest –Award/ Administration of Contracts**

SFWIB contract award and administration process follows Miami-Dade County’s conflict of interest guidelines. In addition, SFWIB adheres to the standard of conflict/conflict of interest governing the performance of employees, officers, and contractors engaged in the award and administration of contract as prescribed by the Florida Commission on Ethics, Guide to the Sunshine Amendment and Code of Ethics for Public Officers.

No individual (SFWIB permanent or temporary staff, authorized agent, or SFWIB member) shall participate in or cast a vote in the selection of, or in the award of a contract if a conflict of interest, real or apparent, is involved. Such a conflict would arise when the individual (SFWIB permanent or temporary staff, authorized agent, or SFWIB member), or any member of the individual’s immediate family, individual’s partner, or an organization which employs or about to employ any of the above, has a financial or other interest in the agency or organization selected for the award.

Furthermore, for SFWIB staff, Miami-Dade County code requires any employee seeking to have outside employment or other outside income producing business involvement must first obtain written approval from the SFWIB Executive Director. In this way it is possible for the SFWIB to control conflicts of interests.

In addition, SFWIB procurement process exercises further control of conflict of interest. Responses to the solicitations are evaluated by a team, which includes staff and may contain individuals outside SFWIB with expertise in the particular area, SFWIB members, using a point system based on evaluation criteria published in each solicitation. The evaluation criteria scoring sheet requires evaluation team members to declare a conflict of interest, and if a conflict is declared by a member in regards to an agency, then the scores of that member are not considered in the development of a total point score for that procurement. Recommendations developed by the evaluation/rating team in the Sunshine are subject to the SFWIB Committee structure with the SFWIB making the final funding decisions.

B. Method of Procurement and Procurement Process

To the extent possible, Service Partners for Region 23 are selected through a competitive procurement process in accordance with F.S. 287, OMB 122, 187, etc. Non-competitive with sole source and emergency procurements, may be authorized in accordance with F.S. 287, OMB 122, 187 and A-110.

b.1 Legal Notices

Notices of a solicitation are published in “The Miami Herald”, “The Miami Times”, “Diario Las Americas”, and the “Key West Citizen.” SFWIB maintains a bidders list that is updated on an on-going basis. Specialized or targeted solicitations may also be used. These solicitations are generally based on time requirements and/or specific expertise requirements. These specialized or targeted solicitations may be sent to limited mailings, for example current or specialized partners.

b.2 Cone of Silence

All parties to competitive procurements are limited by the “Cone of Silence” surrounding solicitations and prohibitions against ex parté communication. These policies prohibit

communications regarding this solicitation between a current or potential contractor and any SFWIB staff, or any other person serving as a selection committee member during this procurement process. Respondents directly contacting Board members, staff, or selection committee members risk elimination of their response from consideration.

b.3 Offerors Conference

All competitive procurements issued by SFWIB contain the requirement to hold an Offerors Conference and encourages potential respondents to a solicitation to attend since this is the only venue at which questions of a substantive nature can be answered. No substantive questions can be answered by staff outside of this public session(s).

b.4 Contract Terms

Specific contract terms, conditions, and method of payment are a component of the contract negotiation process and a respondent to the specific solicitation shall negotiate the final contract in good faith. Language may be written into the solicitation that would allow for an option to renew contracts on a year-to-year basis, up to the period identified in the original procurement. Contract renewal language states the contract requirement for renewal, which may include but is not limited to: meeting contract performance requirements; a review of the effectiveness of the services delivered; and, any other criteria that may be pertinent to the specific solicitation and/or procurement.

b.5 Evaluation Process and Selection of Service Partners

The primary consideration in the selection of Service Partners is the effectiveness of the agency or organization in delivering comparable or related services. This consideration is based on the following criteria: merits and quality of the technical proposal; demonstrated effectiveness and performance; ability to meet performance standards within reasonable cost parameters; and, fiscal accountability and management capabilities. Contract awards are made to the most responsive respondents; those with proposals that are most advantageous to the SFWIB after considering price, technical factors and other applicable criteria.

SFWIB conducts a comprehensive review of all the responses to each solicitation. Responses are evaluated first to ensure that all information required is complete and responses satisfactorily address each and all requirements. Responses are incomplete or do not satisfactorily address each and every requirement may be disqualified.

The evaluation process is designed to assess the respondent's ability to meet the SFWIB requirements and to identify those respondents most likely to satisfy them. The evaluation process is conducted in a thorough and impartial manner at a publicly noticed selection committee meeting held in the sunshine. All respondents to a particular solicitation are encouraged to attend this meeting.

While price is an important factor in selecting a respondent for an award, other factors in the competitive process may be considered and may take precedence over price. Those factors include but are not limited to: quality of service offered, operating characteristics, technical innovations, administrative capability, previous experience in providing the same or similar services and the ability to achieve the deliverables as specified in the solicitation.

Reasonableness of Cost

A cost or price analysis is performed for each procurement effort, in order for SFWIB to evaluate the reasonableness of the cost/price for the program. This analysis is done using a cost and/or price analysis worksheet that analyzes cost based on factors, i.e. units, amount, rates, etc.

b.6 Procurement Files

All documentation detailing the historical process of a specific procurement action is maintained in a procurement file for a minimum of three (3) years after the end of the contract.

C. Appeal Procedures

SFWIB Appeal Procedures, details the procedures in the event a respondent organization is not recommended for a funding award. A respondent organization that is not recommended for funding is formally notified of the non-funding recommendation and the reasons for this recommendation. There are two levels of appeal: 1) an Informal Resolution Conference, held before the SFWIB Executive Director and non-service provider members of the SFWIB. This informal process allows for clarification of issues and an initial decision as to whether any errors may have been made requiring revisions of the funding recommendations; and 2) the Formal Appeal Hearing before an appeal-hearing panel made up of representatives of the Board. Respondent organizations have the right to appeal to AWI, if the appeal is not successful at the local level.

a. Contract Signature Authority

The SFWIB Executive Director is the only individual authorized to sign and execute contractual agreements and modifications.

b. Contract Management

All organizations under contract with SFWIB receive ongoing support, technical assistance and quality assurance from SFWIB staff. Each contractual agreement requires the contractor to submit monthly invoices. SFWIB staff oversees contract performance, identifies continuous improvement opportunities and provides guidance to execute change.

e.1 Contract Files

A permanent contract file is maintained for each contract and will contain documentation of all actions relating to the administration of the contract. Each contract file contains at a minimum the following documentation: 1) original signed and executed copy of the contractual agreement, to include statement of work or scope of services and all attachments, and 2) original signed and executed copy of all approved contract modifications, if applicable. Contract files are maintained for a minimum of five (5) years.

e.2 Contract Close-out Report

Each contractual agreement requires the contracted organization to submit to SFWIB a contract close-out report and program income report within thirty (30) days of contract termination. The close-out report summarizes all contract expenditures incurred during the contract period. It also provides an inventory of all property valued over \$500.00 acquired with SFWIB funds during the term of the contract period.

SFWIB
Training Vendor/Agent (ITA)
APPROVAL PROCESS

June 2007

Training Vendor/Agent ITA APPROVAL PROCESS

New Training Vendor/Agent Approval:

1. Request for Training Vendor/Agent status to receive ITAs are approved on a **quarterly** basis, if possible.
2. Agencies requesting to receive ITAs will make their request in writing to the SFWIB. If telephone requests are made, these are to be followed up by a written request.
3. The Training Vendor/Agent must meet the following requirements:
 - A. To be and approved as a Training Vendor/Agent for ITAs the agency must be in business two years. This means that the agency must be in operation for two years.
 - B. That the agency must be a licensed school. (Note: Apprenticeship programs are not approved for ITAs per Policy passed by the Executive Committee on November 21, 2003.)
 - C. The training that is to be offered must appear on the Regional Targeted Occupations List unless the occupation identified has been removed from consideration for ITA expenditure by the Board, i.e. Flight Attendant, etc.
 - D. Training programs must be able to be cross-walked to the TOL.
 - E. The Training Vendor/Agent requesting approval for ITAs must meet the SFW programmatic on-site review requirements
 - F. The Training Vendor/Agent must meet the SFW Due Diligence review requirements.
 - G. The Training Vendor/Agent must meet any additional criteria required by SFWIB.
4. Upon receipt of the letter requesting Training Vendor/Agent ITA approval, the SFWIB staff responsible for handling the programmatic review requirement will provide a copy of the Training Vendor/Agent ITA Agent request to the OCI, so that the required due diligence review can be scheduled.
5. Copies of all review instruments will be provided to the requesting agency at their request.
6. Programmatic reviews are done on-site. The due diligence reviews may be done on-site or through the submission of documents requested by the OCI.
7. Results of the reviews are shared with the requesting institution. Institutions are advised of issues that are impacting their requests. Institutions can submit additional documentation, which are reviewed.

8. Results with positive reviews are forwarded to the designated SFWIB Committee (EDIS) for the Committee's recommendation for approval/disapproval action. The EDIS Committee forwards the Committee's recommendation(s) to the full SFWI Board for action.

In the case of ITA Agents requesting to serve Youth through Youth Vouchers, the approval/disapproval action is routed through the Youth Council and then to the other committees and then the full Board

9. Final copies of the institutional reviews, both programmatic and fiscal will be filed in the SFWIB office.
10. After approval action by the SFWIB Board the Training Vendor Agreements will need to be executed as soon as possible after the Board meeting.
11. SFWIB staff will update the training matrix containing all price information as soon as possible to reflect new training agents and programs with all associated costs.
12. SFWIB staff will notify the application development unit of the addition of new training agents and programs so that the ITA system can be updated with the latest information.
13. SFWIB staff will update the State's Eligible Provider to reflect the addition of a new Training Vendor to include all program and cost information.

Additions/Deletions to Training Vendor/Agent ITA Agent Approved Offerings:

All approved Training Vendor/Agent ITA Agents that want to add new training areas or delete training areas to their approved training offerings will:

1. Will make their request in writing to the SFW. If telephone requests are made, these are to be followed up by a written request.
2. Requests will be approved on a **quarterly** basis, if possible for additions. In the case of the deletion of a training area that action will take place as soon as SFW is notified.
3. The Training Vendor/Agent ITA must meet the following requirements if requesting the addition of new training areas:
 - A. The training that is to be offered must appear on the Regional Targeted Occupations List unless the occupation identified has been removed from consideration for ITA expenditure by the Board, i.e. Flight Attendant, etc.
 - B. Programs to be able to be cross-walked to the TOL.

- C. The Training Vendor/Agent ITA Agent must meet the SFW programmatic on-site review requirements
 - D. The Training Vendor/Agent ITA Agent must meet any additional criteria required by SFW.
4. For requests for additions, the programmatic reviews are done on-site.
 5. Results of the reviews are shared with the requesting institution. Institutions are advised of issues that are impacting their requests. Institutions can submit additional documentation, which are reviewed.
 6. Results with positive reviews are forwarded to the designated SFWIB Committee (EDIS) for the Committee's recommendation for approval/disapproval action. The EDIS Committee forwards the Committee's recommendation(s) to the full SFWI Board for action.

In the case of ITA Agents requesting to serve Youth through Youth Vouchers, the approval/disapproval action is routed through the Youth Council and then to the other committees and then the full Board

7. After approval action by the SFWI Board the existing Training Vendor Agreement will need to be modified to include the new additions. In the case that a Training Vendor/Agent for ITAs has requested the deletion of an approved training area the Training Vendor Agreement will be modified upon notification that the training area has been requested removed.
8. SFWIB staff will update the training matrix containing all price information as soon as possible to reflect new training areas with all associated costs and in the case of deletions, the removal of the approved training area.
9. SFWIB staff will notify the application development unit of the additions and/or deletions so that the ITA system can be updated with the latest information.
10. SFWIB staff will update the State's Eligible Provider to reflect the addition of a new Training Vendor to include all program and cost information.

ITA Price Structure:

SFWIB staff will maintain the Training Vendor/Agent .ITA cost structure and insure that all changes to costs are updated on the matrix and are forwarded to the application development unit.