

# CWP Policy and Procedure Manual

## **Section 2 – CWP General Program Policies**

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## A. Purpose

To provide guidance regarding the federal and state requirement that certain individuals must register with Selective Service as a condition of eligibility for some services. Citation: CTDOL WIOA Policy Manual Section 25 Selective Service Registration Requirements.

## B. Selective Service Registration Requirement

For the individuals describe in section C below, selective service registration is required for enrollment in federal and some State-funded education and training programs including all CWP's WIOA-funded programs, CYEP-funded programs, federal student grants and loans, State student aid, job training benefits, federal employment and U.S. citizenship.

## C. Individuals Who Must Register with Selective Service <https://www.usa.gov/register-selective-service>

Almost all men who are 18-25 years old and live in the United States must register for Selective Service. This includes:

1. U.S. citizens (U.S. born, dual citizens, and naturalized)
2. U.S. citizens who live outside of the country
3. Immigrants (legal permanent residents and undocumented immigrants)
4. Refugees and asylum seekers
5. Transgender people who were assigned male gender at birth
6. People with disabilities
7. See Selective Service's full list of who is required and exempt from registering at citation above.

## D. Individuals Who Do Not have to Register Selective Service

1. Males less than 18 years old
2. Males who are U.S. citizens and fall within one of the following categories:
  - a. Men who are serving in the military on full-time active duty
  - b. Men attending the service academies
  - c. Disabled men who are continually confined to a residence, hospital or institution
  - d. Men who are hospitalized, institutionalized, or incarcerated are not required to register during their confinement; however, they must register within 30 days after being released if they have not yet reached their 26th birthday.
  - e. Individuals who were born female and have changed their gender to male
  - f. Men who are **non-U.S. citizens** if the male falls within one of the following categories:
    - i. Non-U.S. male who came into this country for the first time after his 26th birthday and has acceptable supporting documentation which may include:
      - a) Date of entry stamp in his passport
      - b) I-94 with date of entry stamp on it
      - c) A letter from the U.S. Citizenship and Immigration Services (USCIS) indicating the date the man entered the United States presented in conjunction with documentation establishing the individual's age
    - ii. Non-U.S. male who entered the U.S. illegally after his 26th birthday (must provide proof that he was not living in the U.S. from age 18 through 25)
    - i. Non-U.S. male on a valid non-immigrant visa

**Note:** See quick reference chart regarding who must register at <https://www.sss.gov/wp-content/uploads/2020/11/WhoMustRegisterChart.pdf>

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## E. Documentation of Selective Service Registration

All males who are required to register with Selective Service to enroll in a CWP program must present documentation showing compliance with the Selective Service registration requirement. Acceptable documentation showing registration status includes:

1. Selective Service Acknowledgement letter
2. Form DD-214 "Report of Separation"
3. Screen printout of the Selective Service Verification on the Selective Service website at <http://www.sss.gov>. For males who have already registered this website can be used to confirm their Selective Service number as well as the date of registration, by entering a last name, social security number, and date of birth.
4. Selective Service Registration Card
5. Selective Service Verification Form (Form 3A)
6. Stamped Post Office Receipt of Registration

## F. Participant Turns 18 After Enrollment in a Program that Requires Selective Service Registration

1. Male participants who are age 17 or younger at the time of enrollment who subsequently turn age 18 while participating in the program must be registered for Selective Service by the **30th day** after their 18th birthday to remain eligible for services.
2. Funds expended on participants who are required to register with Selective Service but are not registered by the 30th day after their 18th birthday may be considered disallowed costs.
3. Any male youth participant who attains age 18 while enrolled in a CWP program and refuses to comply with Selective Service Registration requirements is exited from the program. Additionally, WIOA participants are not placed in follow-up.
4. A case note describing the reason for termination of services is placed in the participant's record.

## G. Registration Requirements for Males 26 Years and Over

1. Prior to being enrolled in a CWP program, all males 26 years of age or older, must provide documentation of compliance with the Selective Service registration requirement.
2. Individuals who did not register for the Selective Service or who cannot provide any of the documentation listed above must:
  - a. Obtain a *Status Information Letter* from Selective Service indicating whether he was required to register
  - Or
  - b. Describe, in detail, the circumstances that prevented him from registering (e.g., hospitalization, institutionalization, incarceration, military service) and provide documentation of those circumstances. The documentation should be specific as to the dates of the circumstances.
3. The *Request for Status Information Letter* and instructions can be accessed at <http://www.sss.gov>. The Status Information Letter is good for life and the individual should be encouraged to keep their original letter in a safe place for future reference. If the *Status Information Letter* indicates that an individual is not required to register for the Selective Service, then he is eligible to enroll in services.

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4. If the Status Information Letter indicates that the individual was required to register and now cannot because he is 26 or older, he is presumed to be disqualified from participation in federal and state-funded activities and services until it can be **determined that his failure to register was not knowing and willful**. All costs associated with services provided to non-eligible individuals may be disallowed.

### H. Determining Knowing and Willful Failure to Register

1. If an individual was required to register with Selective Service but failed to do so, he may only receive services if he provides evidence to establish that the failure to register was not knowing and willful.
2. Program providers will be responsible for evaluating the evidence presented by the individual and determining whether the failure to register was “knowing and willful.”
3. The individual is encouraged to offer as much evidence and in as much detail as possible to support his case. Evidence may include an applicant’s statement and supporting documentation of his circumstances at the time of the required registration and the reason for failure to register. Examples of documentation that may help in making a determination in these cases include:
  - a. Service in Armed Forces. Documentation verifying that a man has served honorably in the U.S. Armed Forces such as the DD Form 214 or his Honorable Discharge Certificate may be considered sufficient evidence that his failure to register was not willful or knowing.
  - b. Third Party Affidavits. Affidavits from parents, teachers, employers, doctors, etc. concerning reasons for not registering, are also acceptable documentation that may also be helpful to program providers determining whether the failure to register was willful and knowing.
4. In determining whether the failure was “knowing”, program providers should consider:
  - a. Was the individual aware of the requirement to register? If the individual knew about the requirement to register, was he misinformed about the applicability of the requirement to him (e.g., veterans who were discharged before their 26th birthday were occasionally told that they did not need to register)?
  - b. On which date did the individual first learn that he was required to register?
  - c. Where did the individual live when he was between the ages of 18 and 26?
  - d. Does the status information letter indicate that Selective Service sent letters to the individual at that address and did not receive a response?
5. In determining whether the failure was “willful”, program providers should consider:
  - a. Was the failure to register done deliberately and intentionally?
  - b. Did the individual have the mental capacity to choose whether or not to register and decided not to register?
  - c. What actions, if any, did the individual take when he learned of the requirement to register?
6. If based on the evidence, the determination is made that the individual did not knowingly and willfully fail to register, and the individual is otherwise eligible, services may be provided.
7. If based on the evidence, the determination is made that the individual knowingly and willfully fail to register, services must be denied. Individuals denied services must be advised of grievance procedures.
8. Case notes and documentation related to the determination are saved to the individual’s record.

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## A. Definitions

**Work experience:** A planned, structured learning experience that takes place in a workplace for a limited period of time. Subsidized employment, transitional employment and paid internships are types of work experience.

**Employer of Record:** The entity that serves as the employer for payroll, tax and Workers' Compensation Insurance purposes and for compliance with CWP's Policy and Procedures while the employee performs work for a different entity. For purposes of these policies and procedures, the employer of record is either CWP or CWP's subrecipient providing the work experience activity.

## B. General Provision

Work experience as administered by CWP is short-term, subsidized employment in the public, private or non-profit sectors where wages are paid by the employer of record (either CWP or CWP's subrecipient) and working conditions are consistent with the Fair Labor Standards Act as well as all applicable state and federal labor laws and regulations.

## C. Policy

### 1. Participant

- a. CWP's provision of work experience is used to address several work readiness and job search needs. Work experience activities provide:
  - i. Opportunity to develop good work habits and work skills for customers who have no or limited work experience.
  - ii. Opportunity to explore different work interests and try new skills and abilities in a work setting.
  - iii. Opportunity to develop and document success in the work place that will facilitate future job search efforts and employment retention.
  - iv. Opportunity to develop and expand a professional network.
- b. Work experience activities are assigned to participants based on the outcome of their career assessment.
- c. Generally, work experience placements are related to CWP's targeted employment sectors and/or the participant's individualized employment plan.
- d. The specific work experience assignment is coordinated with other program elements within the participant's overall employment plan or service strategy.
- e. Work experience is limited in duration, with the exact time limit determined by program goals and/or limitations.
- f. No participant is assigned to work for more than 40 hours per week. Minors and participants of specific programs have additional restrictions on their weekly hours and work schedule. See section D.6 of these policies for additional work restrictions for minors.  
In accordance with CT State Statute 31-51ii, participants assigned to seven and one-half (7½) or more consecutive hours are provided with a meal period of at least 30 consecutive minutes at some point in time after the first two hours and before the last two hours of the shift.

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- g. Participants are paid no less than the Connecticut minimum wage, but the pay rate may be higher based on individual program requirements and resources.
- h. Participants are paid for only the hours actually worked. Participants are not paid for time when they are out sick, on vacation, or for holidays, or for meal periods as defined at section C.1. g. of these policies.
- i. If participants are allowed to work overtime (exceeding 40 hours in a pay week), they must be paid the required overtime rate; however, CWP will not reimburse the service provider for the overtime pay.
- j. Participants are not allowed to “voluntarily” work additional hours without pay.
- k. The employer of record covers participants on its workers’ compensation policy, and pays their payroll taxes.
- l. Participants are provided in advance with their rights and responsibilities pertaining to the work experience activity.
- m. No participant is placed in a worksite where a member of that participant’s immediate family is directly supervised by or directly supervises that participant.

## 2. Employer of Record

- a. The employer of record must ensure compliance with the provisions of all applicable federal, state and local employment laws, statutes, ordinances, rules and regulations by all worksites.
- b. The employer of record must provide Workers’ Compensation coverage for all work experience participants.
- c. The employer of record must withhold Social Security, Federal Income and Connecticut State Income taxes.
- d. The employer of record must ensure compliance with section C.3-6. of these policies.
- e. The employer of record must ensure that participants have a safe working environment and ongoing worksite supervision.
- c. The employer of record must ensure time and attendance procedures are established for work experience activities and that participants are paid for all and only hours actually worked.
- d. The employer of record must ensure payroll distribution policies and procedures are established and utilized to ensure paychecks are issued in accordance with section D.3 of these procedures. Direct Deposit is the preferred method of payment.
- e. The employer of record must ensure that paper and electronic payroll records are securely stored according to standard HR practices and must adhere to CWP’s Protecting Personally Identifiable Information (PII) Policy.
- f. The employer of record must ensure that participants of work experience activities are informed of worksite expectations and their rights and responsibilities.
- g. The employer of record must provide each worksite with a document delineating its responsibilities to the participant and to the program.
- h. The employer of record must ensure that a CWP-prescribed worksite agreement is executed for each worksite prior to participants starting work experience at the worksite.
- i. For work that involves children, the employer of record must establish written guidelines and procedures regarding mandated reporting of suspected abuse and/or neglect and, where applicable, ensure the worksite supervisor implements said guidelines and procedures.

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### 3. Worksite

- a. Every worksite is to have a copy of the executed CWP worksite agreement on site.
- b. Every worksite must have supervisory oversight of participants at all times.
- c. Every worksite must adhere to established time and attendance policy and procedures.
- d. Every worksite is to adhere to the health and safety standards described in section C.6. of these policies

### 4. Safeguards to ensure that participants of work experience do not displace other employees

- a. A participant in a program or activity must not displace (including a partial displacement, such as a reduction in the hours of non-overtime work, wages, or employment benefits) any currently employed employee (as of the date of the participation).
- b. A program or activity must not impair existing contracts for services or collective bargaining agreements. When a program or activity would be inconsistent with a collective bargaining agreement, the appropriate labor organization and employer must provide written concurrence before the program or activity begins.
- c. A participant in a program or activity may not be employed in or assigned to a job if:
  - i. Any other individual is on layoff from the same or any substantially equivalent job;
  - ii. The employer has terminated the employment of any regular, unsubsidized employee or otherwise caused an involuntary reduction in its workforce with the intention of filling the vacancy so created with the participant; or
  - iii. The job is created in a promotional line that infringes in any way on the promotional opportunities of currently employed workers.

### 5. Wage and labor standards

- a. Individuals in work experience or individuals employed in activities must be compensated at the same rates, including periodic increases, as trainees or employees who are similarly situated in similar occupations by the same employer and who have similar training, experience and skills. Such rates must be in accordance with applicable law, but may not be less than the higher of the rate specified in section 6(a)(1) of the Fair Labor Standards Act of 1938 (29 U.S.C. 206(a)(1)) or the applicable State or local minimum wage law.
- b. Individuals in work experience or individuals employed in programs and activities must be provided benefits (excluding benefits currently provided through the granted state assistance) and working conditions at the same level and to the same extent as other trainees or employees working a similar length of time and doing the same type of work.
- c. Allowances, earnings, and payments to individuals participating in programs are not considered as income for purposes of determining eligibility for and the amount of income transfer and in-kind aid furnished under any Federal or Federally assisted program based on need other than as provided under the Social Security Act (42 U.S.C. 301 *et seq.*).

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## 6. Health and safety standards that apply to the working conditions of participants in work experience

- a. Health and safety standards established under Federal and State law otherwise applicable to working conditions of employees are equally applicable to working conditions of participants engaged in programs and activities.
- b. Workers' compensation must be provided to participants in programs and activities on the same basis as the compensation is provided to other individuals in the State in similar employment. Workers' compensation benefits must be available for injuries suffered by the participant in such subsidized employment.

## D. Procedures

### 1. General

The following procedures apply to all CWP work experience activities. All CWP work experience must comply with the Fair Labor Standards Act in regards to wages paid, hours worked and child labor regulations. Every work experience participant must complete and sign an I-9 in accordance with the Immigration Reform and Control Act prior to starting the work experience activity. Every work experience participant must complete a W-4. Employers of record must issue a W-2 to every participant of work experience.

Each program such as, but not limited to, WIOA Adult, WIOA Youth, JFES, or SYELP, may have program specific work experience procedures. See the specific program section of this policy and procedure manual for work experience procedures that are specific to each program.

### 2. Time and Attendance

The employer of record is to establish time and attendance policies that include the following elements. CWP can provide a time and attendance policy template upon request.

- a. Documentation of Attendance
  - i. Participant's daily time and attendance is recorded by a system that captures actual daily hours including start and stop times. The time and attendance system may be electronic or paper (time cards or time sheets).
  - ii. Meal breaks are unpaid; therefore participants are required to sign out at the start of each meal break and sign in at the end of the meal break. *(A meal break is required for shifts of seven and one-half (7½) or more consecutive hours. A meal break is required to be at least 30 consecutive minutes and is given at some point in time after the first two hours and before the last two hours of the shift.)*
  - iii. If a paper time and attendance system is used, both the participant and the site supervisor are required to sign and date each time card/time sheet after the work period is complete. Time cards/time sheets are never pre-signed or signed by the participant or supervisor before the participant has completed his/her hours for the pay period. If an electronic system is used, it must include a process to record employee and supervisor verification of hours worked.



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- b. **Employer of Record's Attendance Policy**

The employer of record is to establish policies and procedures that address the following questions and ensure that participants and worksite supervisors implement them as required.

  - i. **Hours and duration of work:** What are the assigned duration, schedule and hours of work?
  - ii. **Tardiness:** What is expected of the participant and site supervisor if the participant is tardy for the work experience assignment?
  - iii. **Absences:** What is expected of the participant and site supervisor if the participant is absent on an assigned work day?
  - iv. **Make-up Time:** Does the employer of record allow for the "make-up" of missed work time? If yes, what are the procedures for making up missed time?

### 3. Standard Wage Issuance

The following procedures apply to all work experience wage issuances.

- a. Every work experience participant is to complete a W-4.
- b. In accordance with Federal and State laws, the employer of record issues a W-2 to every work experience participant.
- c. All participants are paid no less than biweekly via paper check or direct deposit for actual hours of work during the previous week.
- d. Checks, whether paper or direct deposit, are distributed only to the participant to whom they are addressed, or to a representative with written authorization.
- e. The employer of record is to establish a check payment system that includes a process for check disbursement including frequency, method and location.
- f. If paid with paper checks instead of direct deposit, the following procedures are applied:
  - i. Checks are distributed in envelopes to protect confidentiality.
  - ii. Participants sign a distribution log to acknowledge receipt of their checks each week.
  - iii. Checks are never be distributed to any other person (including parents/guardians of minors) without the written permission by the participant on the program's Authorization Form.
  - iv. Any person authorized to pick up a participant's pay check must sign for it.

### 4. Worksite Agreements

- a. The employer of record is to execute a CWP-prescribed worksite agreement between the employer of record and the worksite.
- b. The employer of record is to submit the worksite agreement to the applicable CWP program manager for approval prior to participants starting work experience as a worksite.
- c. See Section 8 of the CWP Policy and Procedures Manual for the Worksite Agreement template.

### 5. Worksite Monitoring

The employer of record is required to conduct worksite monitoring to ensure participants are safe, performing work consistent with their job description, and supervised adequately, and to ensure that all CWP work experience policies and procedures are being followed.

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- a. Monitoring Frequency
  - i. Initial monitoring visit: Every worksite is to be monitored by the employer of record within an initial time frame prescribed by the program administering the work experience. At least one participant is to be present and observed working during this initial monitoring visit.
  - ii. Frequency of onsite worksite monitoring: The frequency of worksite monitoring by the employer of record may vary from weekly to a minimum of once every four weeks depending on several factors: monitoring requirements of the funding source, CWP subrecipient contract requirements, and level of risk to the participant based on the participant's age, the number of participants at the worksite, and the nature of the work at the worksite. The employer of record should contact CWP if it needs assistance determining the level of risk and the frequency of worksite monitoring visits.
- b. CWP Worksite Monitoring Checklist

The initial onsite worksite monitoring visit includes, at minimum, a review of the items on the CWP Worksite Monitoring Checklist. See Section 8 of the CWP Policy and Procedures Manual for the CWP Worksite Monitoring Checklist. The initial worksite monitoring visit includes, but is not limited to, a review of the following:

  - i. Signed worksite agreement is at the worksite.
  - ii. Worksite has adequate security, has a safe environment, is clean and adheres to safety standards.
  - iii. There is clear supervision and oversight in place.
  - iv. Participants have adequate tools and equipment to do their work.
  - v. The work being performed is as described in the worksite agreement.
  - vi. Participants have adequate work to keep them occupied.
  - vii. Participants understand their rights and responsibilities regarding their worksite assignment.
  - viii. Time and attendance policy is being followed.

## E. Additional Policy and Procedures Pertaining to Youth in Work Experience Activities

This section contains additional policy and procedures specifically for youth enrolled in paid work experience in CWP's programs.

### 1. Purpose

Work experience is an activity that provides youth with the opportunity to participate in the working world as an employee, with a job description, work schedule, rights and responsibilities. While the primary purpose of work experience is to help youth acquire career competency, participants perform real work that benefits the worksite, and must be paid. This differs from unpaid internships, wherein the primary purpose is the practice of occupational skills learned in a training program and/or acquisition of required hours for certification or licensure.

### 2. Objectives

Paid work experience shall be provided to youth with limited or no work history to increase their competitiveness in the job market, to increase their exposure to the world of work and to allow them to explore career opportunities within industry sectors targeted by Capital Workforce Partners.

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- a. Improve long-term employment retention by providing a real-world employment experience for participants that will increase their knowledge of the world of work and improve employment competency.
- b. Develop strategic partnerships within the business communities to ensure that resources and opportunities are accessible in order to help youth gain the skills and competencies necessary to transition into jobs and career pathways in high-growth and high-demand industries.
- c. Provide a reference from the employer for all participants who successfully complete the work experience component.
- d. Build participant resumes by adding real-world employment history in the local labor market.

### **3. Requirements Specifically for Youth Work Experience Activities**

- a. Paid work experience must be coordinated with other program elements, including literacy and numeracy instruction, career competency training and occupational skills training.
- b. Work experience placements should be related to the region's targeted industries and/or the youth's education and training experience or plan.
- c. Worksite development should be guided by the needs, interests, aptitudes and skill levels of the youth, and the ability and willingness of worksite management and staff to provide meaningful work and appropriate supervision to youth participants.
- d. A Worksite Agreement in the format prescribed by CWP must be executed for every worksite and submitted to CWP for approval at prior to placing any participant at the worksite.
- e. Participants must be hired as employees of the contractor, who will be the employer of record.
- f. Participants must be paid no less than the Connecticut minimum wage.
- g. Participants must be covered by workers compensation, and payroll taxes must be paid by the employer of record (the contractor).
- h. Work schedules must be flexible to the greatest degree possible to coordinate with other education and training activities, including adult education.
- i. The employer of record is required to conduct worksite monitoring to ensure youth participants are safe, performing work consistent with their job description, and supervised adequately, and to ensure that all CWP work experience policies and procedures are being followed.
- j. Monitoring Frequency
  - i. Initial monitoring visit: Every worksite is to be monitored by the employer of record within the first week of the work experience. At least one participant is to be present and observed working during this initial monitoring visit.
  - ii. Ongoing onsite worksite monitoring:
    - a) Youth participants who are minors (less than 18 years old)  
Every worksite is to be monitored weekly by the employer of record starting with the first week of the work experience. At least one participant is to be present and observed working during the monitoring visits.
    - b) Youth participants who are 18 to 24 years old  
The frequency of worksite monitoring by the employer of record may vary from weekly to a minimum of once every four weeks depending on several factors: monitoring requirements of the funding source, CWP subrecipient contract requirements, and level of risk to the participant based on the participant's age, the number of participants at the worksite, and the nature of the work at the worksite. The employer of record should contact CWP if it needs assistance determining the level of risk and

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the frequency of worksite monitoring visits. At least one participant is to be present and observed working during the monitoring visits.

- k. Employer of record must document worksite monitoring (see section D.5.b of this policy). Worksite monitoring documents are subject to review by CWP and by the state and federal Departments of Labor.
- l. Worksite supervisors must receive an interactive orientation prior to a youth placement at the worksite. Providers are required to use at a minimum, the CWP provided Worksite Supervisor Handbook.
- m. Work experience employer of record must have adequate time and attendance procedures to ensure that participants are paid only for hours actually worked.
- n. Work experience employer of record must have adequate payroll distribution policies and procedures to ensure that paychecks are issued only to the youth employee. Direct Deposit is the preferred method of payment.
- o. Work experience employer of record ensures compliance with the provisions of all applicable federal, state and local employment laws, statutes, ordinances, rules and regulations by all worksites as well as by the provider organization.
- p. Work experience employer of record ensures compliance with the provisions of all federal and state laws and regulations related to minors in the workplace as cited in section E below.

#### 4. Provisions for Minors

A minor is any individual under the age of 18. There are special federal and state employment laws and regulations that apply to minors. The employer of record must strictly adhere to employment laws and regulations pertaining to minors. The employer of record must ensure that worksites where minors are placed are aware of and adhere to these provisions. The special employment provisions for minors are listed below.

- a. Time and Hour Restrictions
  - i. Sixteen (16) and seventeen (17) year olds
    - a) Enrolled in school but during non-school weeks AND Not enrolled in school and Not graduated from a secondary institution
      - 1) No time restriction
      - 2) 8 hours per day
      - 3) 6 days per week
      - 4) No more than 48 hours per week
    - b) Enrolled in school, during school weeks
      - 1) 6 a.m. to 10 p.m.
      - 2) 6 hours per day Monday thru Thursday, 8 hours per day Friday, Saturday and Sunday
    - c) No more than 32 hours per week Under the age of 18 who graduated from high school allowed to work the same daily and weekly hours and times of day as adults.
  - ii. Fourteen (14) and fifteen (15) year olds enrolled in school
    - a) Limited to periods of school vacation.
    - b) 7 a.m. to 7 p.m. (exception: to 9 p.m. for 15 yr olds from July 1 to first Monday in September)
    - c) 8 hours per day
    - d) No more than 40 hours per week
- b. Occupation Restrictions

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i. All Minors

No minor under the age of eighteen (18) years shall be employed or permitted to work in any occupation which has been pronounced hazardous to the health by the Department of Public Health or pronounced hazardous in other respects by the Labor Department. For a list of prohibited occupations visit the CT Department of Labor, Wage and Workplace Standards Division webpage at <https://www.ctdol.state.ct.us/wgwkstnd/minors/wg18yrs.htm>.

ii. Fourteen (14) and Fifteen (15) year olds

Minors under the age of 16 years are prohibited from working in manufacturing, mechanical, mercantile (retail), or theatrical industries (except acting) or restaurants or bowling alleys. There are limited exceptions to this law for example, 15 year olds are allowed to work in retail as baggers, cashiers, or stock clerks.

# CWP Policy and Procedure Manual

<b>Program:</b> CWP General Program Policies	<b>Section:</b> 2-65	Page 1
<b>Subject:</b> On-the-Job Training (OJT)	<b>Effective Date:</b> 01/01/19 <b>Rev:</b> 02/17/22	

## A. General Provision

On-the-Job Training (OJT): OJT is occupational training provided by an employer to a participant hired to do productive work. OJT is provided under a contract with the employer in exchange for reimbursement for the extraordinary costs of providing the training and supervision related to the training and for potentially lower productivity of the participant and trainer(s) during OJT. (WIOA 3(44) and 20 CFR 680.700(a))

The intent of CWP's OJT activity is to help close the skills gap by providing participants with the knowledge and skills essential to obtain a position that provides a sustainable income while reimbursing the employer for a percentage of the participant's wages during the period of training and lower productivity. Employers must agree to hire the participants prior to the start of training. The duration of the training varies based on the complexity of the work required for the occupation and the participant's prior education, training and work experience.

## B. Policy and Procedures

Except where noted, the following policy and procedures apply to all OJT activities (either provided directly by CWP or through subrecipients). Separate programs such as, but not limited to, WIOA Adult, WIOA Youth, or JFES, may have program specific OJT policy and/or procedures.

### 1. Employer Contract

An OJT contract with the employer must be executed prior to the start of any OJT activity. Contract provisions are discussed with the employer or the employer representative prior to execution to ensure agreement and a successful OJT experience. Contract provisions for discussion include:

- a. Number of participants to be trained
- b. Position or job title of the participant
- c. Number of hours of training per participant
- d. Wage rate
- e. Reimbursement rate
- f. Training plan
- g. Maximum contract amount
- h. Beginning and end dates of the contract
- i. Beginning and end dates of the OJT
- j. Record-keeping and reporting requirements including attendance and payroll records
- k. Invoicing procedures
- l. Compliance requirements

An OJT contract contains the following elements:

- a. A completed On-the-Job Training Contract template signed by the employer and the CWP or subrecipient's signatory, as applicable
- b. Employer Information Form
- c. Financial and Billing Requirements and General Conditions of On-the-Job Training Contracts
- d. Training Plan<sup>1</sup> developed by the employer (See section B.7 of this policy for basic components of a training plan)

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- e. Participant Agreement<sup>1</sup> (See section B.8 of this policy for basic components of a participant agreement)
- f. Hiring Projection (when participant agreements are not available prior to contract execution)

The number of OJT positions included in a contract may vary depending on the employer's needs. An OJT contract with an employer may be written for one or for multiple participants in various types of training for various time periods. An OJT contract may be modified after execution to add positions and participants.

## 2. Eligibility and Suitability of Employers

Employers are to be determined eligible and suitable for OJT prior to the execution of a contract and the start of an OJT activity. Employers must meet the following criteria to be considered eligible and suitable for an OJT contract.

- a. The employer must meet all the requirements of the specific program and/or funding source (e.g., an employer in an industry specified by the funder).
- b. The employer agrees to the OJT contract terms and is willing to sign the OJT contract before OJT begins.
- c. The employer has a minimum of five employees prior to the execution of the contract.
- d. The employer maintains sufficient workers compensation and liability insurance coverage.
- e. The employer proposes training that is appropriate for employees newly hired for the position.
- f. The employer agrees that participant will be retained as a regular, permanent employee at no less than the same level of hours and pay upon completion of the training.
- g. The employer agrees to compensate OJT participants at the same rate (including periodic increases) as similarly situated employees.
- h. The employer complies with safeguards to ensure that participants of OJT do not displace other employees (see section B.9.a of this policy).
- i. The employer complies with wage and labor and health and safety standards as described in sections B.9.b and c of this policy.
- j. The employer is not currently in a labor dispute with a labor organization.
- k. The employer is not a prohibited employer as described in section B.4 of this policy.

## 3. Eligibility and Suitability of Applicants

In order to participate in an OJT activity, an applicant is to be determined eligible and suitable for OJT. Applicants must meet the following criteria to be considered eligible and suitable for OJT. The determination of eligibility and suitability is documented in the applicant's record.

- a. The applicant meets all the eligibility requirements of the specific program and/or funding source (see program specific policy).
- b. The applicant needs the training offered in the OJT to perform the job.
- c. The applicant does not already possess the knowledge, experience and/or skills necessary to perform the job.

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<sup>1</sup> Training plans and participant agreements may be included with the initial contract, or may be added as eligible participants are identified and hired by the employer.

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- d. The applicant is available, suitable and ready for OJT as determined by CWP or subrecipient, as applicable. The following questions for the applicant will facilitate the determination of the applicant's eligibility and suitability.
  - i. Is the applicant interested in the occupation offered by the OJT?
  - ii. Does the applicant already possess the occupational skills and/or experience necessary to perform the specific job so that the training being proposed in the OJT unnecessary?
  - iii. Is the applicant currently available to participate in the OJT?
  - iv. Is the applicant free from barriers such as the lack of transportation or reliable child care that would interfere with successful participation?
  - v. Does the applicant have the prerequisite skills necessary to begin the OJT in the specific occupation?
  - vi. Is the applicant work-ready with knowledge of the importance of attendance, punctuality and job performance, acceptable work attire and grooming, effectively working with others and a positive attitude toward employment?

#### 4. Prohibited Employers

OJT contracts are not to be entered into with employers who meet any of the following conditions.

- a. Under previous CWP or subrecipient contracts, the employer exhibited a pattern of failing to provide OJT participants with continued long-term employment as regular employees with wages and employment benefits and working conditions at the same level and to the same extent as other employees working a similar length of time and doing the same type of work. (Exceptions which will not necessarily result in the disqualification of employer's eligibility are short-term layoffs due to: seasonal conditions, upgrade of equipment, or other reasonably acceptable reasons; or situations that include the OJT participant quitting, being fired for cause, or being released due to unforeseen changes in business conditions.)
- b. Employer relocation within the last 120 days that resulted in lay-off of an existing employee or employees due to the relocation. The 120 days commences with the first day of operations in the new location.
- c. The employer is in violation of local, state or federal labor laws.
- d. Employment agencies, except at the discretion of the CWP CEO or designee under specific circumstances such as employment agencies who acts as an employer's human resource department.

#### 5. Reimbursement (20 CFR §680.720 – §680.740)

Reimbursements to employers are provided for the extraordinary costs of providing the training and supervision related to the training and for potentially lower productivity of the participant and trainer during the training period.

- a. Reimbursement is based on a percentage of actual wages or salary paid for the total hours of training. The standard reimbursement rate for an OJT contract is 50%, but may be increased up to 75% if allowed by the funding source or if a higher rate is justified based on the following factors:
  - i. Quality of the Employer-provided Training and Advancement Opportunities:



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The quality of employer-provided training is such that the participant will be eligible for advancement opportunities because:

- a) The OJT contract is for an in-demand occupation and will lead to an industry-recognized credential, and/or;
  - b) The employer commits to providing the participant with a substantial (at least 10%) increase in wages immediately upon completion of the training.
- ii. Size of the Employer:  
Employer has 50 or fewer employees.
  - iii. Registered Apprenticeship:  
The training is in an apprenticeable occupation, the employer is currently registered with the CT DOL to sponsor an apprenticeship in that occupation and the participant will be hired as an apprentice.
  - iv. Characteristics of the Participant:  
The higher reimbursement rate is available to encourage employers to hire individuals with barriers to employment as defined at WIOA Sec. 3 (24), expanding opportunities as intended by the statute.
- b. A reimbursement rate greater than 50% is subject to fund availability.
  - c. Reimbursement for any single OJT placement shall not exceed \$20,000.
  - d. Reimbursement rate is stipulated in the OJT contract with the employer.
  - e. Accrued payments (such as vacation time) that are paid upon termination of employment are not reimbursed.
  - f. For salaried positions, a wage rate for reimbursement purposes is calculated by converting the salary to an hourly rate using the following method. The gross monthly salary is multiplied by 12 to determine an annual amount. The annual amount is divided by 2080 hours (hours in a year at 40 hr/week) to arrive at the hour wage rate. (e.g., monthly salary = \$2,600 x 12 mos. = \$31,200 ÷ 2080 = \$15 per hour).

## 6. Duration of Training

- a. The duration of the OJT training is limited to the period of time required for the typical worker to become proficient in the position identified in the OJT contract. The time period required to become proficient in a position varies due to the:
  - i. skill required for the position,
  - ii. participant's academic and skill level,
  - iii. participant's prior work history, and
  - iv. complexity of employer's equipment and workflow.
- b. Unless the specific program or funding source stipulates a different time limit or methodology, CWP limits OJT training to no more than six (6) months or a maximum of 1040 hours.
- c. To determine the maximum number of reimbursable training hours in an occupation, consult the Occupational Information Network (O\*NET), labor market information and the following O\*NET methodology.
  - i. Using the O\*NET, locate the title of the occupation find the occupation's 5 or 6-digit occupational code. For example, Receptionist and Information Clerks code is 43-4171.

# CWP Policy and Procedure Manual

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- ii. Using the O\*Net code, find the Job Zone level in the O\*NET. For example, 43-4171 is Job Zone 2.
- iii. Use the following conversion chart for the O\*NET Zone levels as a reference.

**Job Zone Training Conversion Chart**

<u>Job Zone Level</u>	<u>Recommended # of Hours</u>	<u>FTE (40 hrs) Weeks</u>
1	400	10
2	800	20
3	1,200	30
4	1,600	40
5	2,080	52

- iv. Employers may propose training that exceeds the recommended number of hours, but CWP limits reimbursement to the number of hours recommended in the Job Zone Training Conversion Chart up to the limit of 1040 hours or 6 months. Employers can be reimbursed for Job Zone Levels 3 through 5 but only up to the maximum of 1040 hours or 6 months.
- v. Document the process for determining the duration of training in the participant's OJT record.

## 7. Training Plan

The employer is required to develop a training plan for each of its OJT participants. The plan is a formal, written document that includes a description of the position and the training needs or skills gap and the recommended training elements. At minimum, the training plan contains the following elements:

- a. Statement of need or skills gap.
- b. A brief description of position.
- c. A brief description of the recommended training.
- d. List of specific learning objectives with start and end dates.
- e. List of tools and technology to be mastered with start and end dates.
- f. Description of the pre- and post-training assessment of the participant's skills.

The employer is required to assess the OJT participant's skills pre and post training in order to evaluate the change in skills from the start to the end of the OJT.

## 8. Participant Agreement

The employer is required to complete and enter into an agreement with the participant that identifies the participant (trainee), the program, the employer contact information for purposes of this OJT, as applicable, either the CWP or subrecipient representative contact information and the following information about the training:

- a. O\*NET Job Title and Code
- b. Training start and end date
- c. Weekly hours
- d. Total training hours
- e. OJT hourly wage
- f. Total contract amount
- g. Trainer and participant signature and date signed

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## 9. Safeguards and Standards

- a. Safeguards to Ensure that Participants do not Displace Other Employees
  - i. A participant in a program or activity must not displace (including a partial displacement, such as a reduction in the hours of non-overtime work, wages, or employment benefits) any currently employed employee (as of the date of the participation).
  - ii. A program or activity must not impair existing contracts for services or collective bargaining agreements. When a program or activity would be inconsistent with a collective bargaining agreement, the appropriate labor organization and employer must provide written concurrence before the program or activity begins.
  - iii. A participant in a program or activity may not be employed in or assigned to a job if:
    - a) Any other individual is on layoff from the same or any substantially equivalent job;
    - b) The employer has terminated the employment of any regular, unsubsidized employee or otherwise caused an involuntary reduction in its workforce with the intention of filling the vacancy so created with the participant; or
    - c) The job is created in a promotional line that infringes in any way on the promotional opportunities of currently employed workers.
- b. Wage and Labor Standards
  - i. Individuals participating in On-the-Job Training must be compensated at the same rates, including periodic increases, as trainees or employees who are similarly situated in similar occupations by the same employer and who have similar training, experience and skills. Such rates must be in accordance with applicable law, but may not be less than the higher of the rate specified in section 6(a)(1) of the Fair Labor Standards Act of 1938 (29 U.S.C. 206(a)(1)) or the applicable State or local minimum wage law.
  - ii. Individuals in On-the-Job Training must be provided benefits (excluding benefits currently provided through the granted state assistance) and working conditions at the same level and to the same extent as other trainees or employees working a similar length of time and doing the same type of work.
- c. Health and Safety Standards
  - i. Health and safety standards established under Federal and State law otherwise applicable to working conditions of employees are equally applicable to working conditions of participants engaged in On-the-Job Training activities.
  - ii. Workers' compensation must be provided to participants in On-the-Job Training activities on the same basis as the compensation is provided to other individuals in the State in similar employment. Workers' compensation benefits must be available for injuries suffered by the participant in such On-the-Job Training activities.

## C. Monitoring

CWP or subrecipient staff, as applicable, provide on-going, workplace monitoring of the participant during the OJT. The purpose of the monitoring is to assist the participant with workplace adjustment, to troubleshoot and to provide technical assistance to the employer. At minimum, CWP or subrecipient staff, as applicable, check in with the participant within the first week, half-way through, and at the end of the OJT time period. The observations and results of the monitoring are documented in the participant's file.

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## A. General Provision

On-the-Job Training (OJT): OJT is occupational training provided by an employer to a participant hired to do productive work. OJT is provided under a contract with the employer in exchange for reimbursement for the extraordinary costs of providing the training and supervision related to the training and for potentially lower productivity of the participant and trainer during OJT.

The intent of the H-1B One Workforce Grant Program (H-1B) OJT activity is to bridge the divide between unemployment and employment by addressing the gap between an individual's skills and what is required for an occupation. Employers are reimbursed for a percentage of the participant's wages during the period of training and lower productivity and must agree to hire the participant prior to the start of training. The duration of the training varies based on the complexity of the work required for the occupation and the participant's prior education, training and work experience.

## B. Policy and Procedures

The following policy and procedures apply to OJT activities funded by the USDOL, Employment and Training, H-1B grant.

### 1. Employer Contract

An OJT contract with the employer must be executed prior to the start of any OJT activity. Contract provisions are discussed with the employer or the employer representative prior to execution to ensure agreement and a successful OJT experience. Contract provisions for discussion include:

- a. Number of participants to be trained
- b. Position or job title of the participant
- c. Number of hours of training per participant
- d. Wage rate
- e. Reimbursement rate
- f. Training plan
- g. Maximum contract amount
- h. Beginning and end dates of the contract
- i. Beginning and end dates of the OJT
- j. Record-keeping and reporting requirements including attendance and payroll records
- k. Invoicing procedures
- l. Compliance requirements

An OJT contract contains the following elements:

- a. A completed On-the-Job Training (OJT) Contract template signed by the employer and Workforce Development Board (WDB) signatory
- b. Employer Information Form
- c. Financial and Billing Requirements and General Conditions of On-the-Job Training Contracts

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- d. Training Plan<sup>1</sup> developed by the employer (See section B.7 of this policy for basic components of a training plan)
- e. Participant Agreement (See section B.8 of this policy for basic components of a participant agreement)
- f. Hiring Projection (when participant agreements are not available prior to contract execution)

The number of OJT positions included in a contract may vary depending on the employer's needs. An OJT contract with an employer may be written for one or for multiple participants in various types of training for various time periods. An OJT contract may be modified after execution to add positions and participants.

## 2. Eligibility and Suitability of Employers

Employers are to be determined eligible and suitable for OJT prior to the execution of a contract and the start of an OJT activity. Employers must meet the following criteria to be considered eligible and suitable for an OJT contract.

- a. The employer must meet all the requirements of the specific program and/or funding source (e.g., an employer in an industry specified by the funder).
- b. The employer agrees to the OJT contract terms and is willing to sign the OJT contract before OJT begins.
- c. The employer has a minimum of five (5) employees prior to the execution of the contract.
- d. The employer maintains sufficient workers compensation and liability insurance coverage.
- e. The employer proposes training that is appropriate for employees newly hired for the position.
- f. The employer agrees that participant will be retained as a regular, permanent employee at no less than the same level of hours and pay upon completion of the training.
- g. The employer agrees to compensate OJT participants at the same rate (including periodic increases) as similarly situated employees.
- h. The employer complies with safeguards to ensure that participants of OJT do not displace other employees (see section B.9.a of this policy).
- i. The employer complies with wage and labor and health and safety standards as described in sections B.9.b and c of this policy.
- j. The employer is not currently in a labor dispute with a labor organization.
- k. The employer is not a prohibited employer as described in section B.4 of this policy.

## 3. Eligibility and Suitability of Applicants

In order to participate in an OJT activity, an applicant is to be determined eligible and suitable for OJT. Applicants must meet the following criteria to be considered eligible and suitable for OJT. The determination of eligibility and suitability is documented in the applicant's record.

- a. The applicant meets all the eligibility requirements of the specific program and/or funding source (see program specific policy).

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<sup>1</sup> Training plans and participant agreements may be included with the initial contract or may be added as eligible participants are identified and hired by the employer.

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- b. The applicant needs the training offered in the OJT to perform the job.
- c. The applicant does not already possess the knowledge, experience and/or skills necessary to perform the job.
- d. The applicant is available, suitable and ready for OJT as determined by the WDB. The following questions for the applicant will facilitate the determination of the applicant's eligibility and suitability.
  - i. Is the applicant interested in the occupation offered by the OJT?
  - ii. Does the applicant already possess the occupational skills and/or experience necessary to perform the specific job so that the training being proposed in the OJT unnecessary?
  - iii. Is the applicant currently available to participate in the OJT?
  - iv. Is the applicant free from barriers such as the lack of transportation or reliable child care that would interfere with successful participation?
  - v. Does the applicant have the prerequisite skills necessary to begin the OJT in the specific occupation?
  - vi. Is the applicant work-ready with knowledge of the importance of attendance, punctuality and job performance, acceptable work attire and grooming, effectively working with others and a positive attitude toward employment?

#### 4. Prohibited Employers

OJT contracts are not to be entered into with employers who meet any of the following conditions.

- a. Under previous WDB contracts, the employer exhibited a pattern of failing to provide OJT participants with continued long-term employment as regular employees with wages and employment benefits and working conditions at the same level and to the same extent as other employees working a similar length of time and doing the same type of work. (Exceptions which will not necessarily result in the disqualification of employer's eligibility are short-term layoffs due to: seasonal conditions, upgrade of equipment, or other reasonably acceptable reasons; or situations that include the OJT participant quitting, being fired for cause, or being released due to unforeseen changes in business conditions.)
- b. Employer relocation within the last 120 days that resulted in lay-off of an existing employee or employees due to the relocation. The 120 days commences with the first day of operations in the new location.
- c. The employer is in violation of local, state or federal labor laws.
- d. Employment agencies, except at the discretion of the WDB CEO under specific circumstances such as employment agencies who acts as an employer's human resource department.

#### 5. Reimbursement

Reimbursements to employers are provided for the extraordinary costs of providing the training and supervision related to the training and for potentially lower productivity of the participant and trainer during the training period.

- a. Reimbursement is based on a percentage of actual wages or salary paid for the total hours of training. The standard reimbursement rate for an OJT contract is 50% but may be increased based on employer size, as follows:

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- i. 50 percent for employers with more than 250 employees
- ii. Up to 75 percent for employers with 51-250 employees
- iii. Up to 90 percent for employers with 50 or fewer employees
- b. A reimbursement rate greater than 50% is subject to fund availability.
- c. Reimbursement rate is stipulated in the OJT contract with the employer.
- d. Accrued payments (such as vacation time) that are paid upon termination of employment are not reimbursed.
- e. For salaried positions, a wage rate for reimbursement purposes is calculated by converting the salary to an hourly rate using the following method. The gross monthly salary is multiplied by 12 to determine an annual amount. The annual amount is divided by 2080 hours (hours in a year at 40 hr/week) to arrive at the hour wage rate. (e.g., monthly salary = \$2,600 x 12 mos. = \$31,200 ÷ 2080 = \$15 per hour).

## 6. Duration of Training

- a. The duration of the OJT training is limited to the period of time required for the typical worker to become proficient in the position identified in the OJT contract. The time period required to become proficient in a position varies due to the:
  - i. skill required for the position,
  - ii. participant’s academic and skill level,
  - iii. participant’s prior work history, and
  - iv. complexity of employer’s equipment and workflow.
- b. Unless the specific program or funding source stipulates a different time limit or methodology, CWP limits OJT training to no more than six (6) months or a maximum of 1040 hours.
- c. To determine the maximum number of training hours in an occupation that CWP will reimburse, consult the Occupational Information Network (O\*NET), labor market information and the following O\*NET methodology.
  - i. Using the O\*NET, locate the title of the occupation find the occupation’s 5 or 6-digit occupational code. For example, Receptionist and Information Clerks code is 43-4171.
  - ii. Using the O\*Net code, find the Job Zone level in the O\*NET. For example, 43-4171 is Job Zone 2.
  - iii. Use the following conversion chart for the O\*NET Zone levels as a reference.

**Job Zone Training Conversion Chart**

<u>Job Zone Level</u>	<u>Recommended # of Hours</u>	<u>FTE (40 hrs) Weeks</u>
1	400	10
2	800	20
3	1,200	30
4	1,600	40
5	2,080	52

- iv. Employers may propose training that exceeds the recommended number of hours, but CWP limits reimbursement to the number of hours recommended in the Job Zone Training Conversion Chart up to the limit of 1040 hours or 6 months. Employers can be reimbursed for Job Zone Levels 3 through 5 but only up to the maximum of 1040 hours or 6 months.

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- v. Document the process for determining the duration of training in the participant's OJT record.

## 7. Training Plan

The employer is required to develop a training plan for each of its OJT participants. The plan is a formal, written document that includes a description of the position and the training needs or skills gap and the recommended training elements. At minimum, the training plan contains the following elements:

- a. Statement of need or skills gap.
- b. A brief description of position.
- c. A brief description of the recommended training.
- d. List of specific learning objectives with start and end dates.
- e. List of tools and technology to be mastered with start and end dates.
- f. Description of the pre- and post-training assessment of the participant's skills.

The employer is required to assess the OJT participant's skills pre and post training in order to evaluate the change in skills from the start to the end of the OJT.

## 8. Participant Agreement

The employer is required to complete and enter into an agreement with the participant that identifies the participant (trainee), the program, the employer contact information for purposes of this OJT, the WDB representative contact information and the following information about the training:

- a. O\*NET Job Title and Code
- b. Training start and end date
- c. Weekly hours
- d. Total training hours
- e. OJT hourly wage
- f. Total contract amount
- g. Trainer and participant signature and date signed

## 9. Safeguards and Standards

- a. Safeguards to Ensure that Participants do not Displace Other Employees
  - i. A participant in a program or activity must not displace (including a partial displacement, such as a reduction in the hours of non-overtime work, wages, or employment benefits) any currently employed employee (as of the date of the participation).
  - ii. A program or activity must not impair existing contracts for services or collective bargaining agreements. When a program or activity would be inconsistent with a collective bargaining agreement, the appropriate labor organization and employer must provide written concurrence before the program or activity begins.
  - iii. A participant in a program or activity may not be employed in or assigned to a job if:
    - a) Any other individual is on layoff from the same or any substantially equivalent job;



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- b) The employer has terminated the employment of any regular, unsubsidized employee or otherwise caused an involuntary reduction in its workforce with the intention of filling the vacancy so created with the participant; or
  - c) The job is created in a promotional line that infringes in any way on the promotional opportunities of currently employed workers.
- b. Wage and Labor Standards
- i. Individuals participating in On-the-Job Training must be compensated at the same rates, including periodic increases, as trainees or employees who are similarly situated in similar occupations by the same employer and who have similar training, experience and skills. Such rates must be in accordance with applicable law, but may not be less than the higher of the rate specified in section 6(a)(1) of the Fair Labor Standards Act of 1938 (29 U.S.C. 206(a)(1)) or the applicable State or local minimum wage law.
  - ii. Individuals in On-the-Job Training must be provided benefits (excluding benefits currently provided through the granted state assistance) and working conditions at the same level and to the same extent as other trainees or employees working a similar length of time and doing the same type of work.
- c. Health and Safety Standards
- i. Health and safety standards established under Federal and State law otherwise applicable to working conditions of employees are equally applicable to working conditions of participants engaged in On-the-Job Training activities.
  - ii. Workers' compensation must be provided to participants in On-the-Job Training activities on the same basis as the compensation is provided to other individuals in the State in similar employment. Workers' compensation benefits must be available for injuries suffered by the participant in such On-the-Job Training activities.
- C. Monitoring**
- WDB staff provide on-going, workplace monitoring of the participant during the OJT. The purpose of the monitoring is to assist the participant with workplace adjustment, to troubleshoot and to provide technical assistance to the employer. At minimum, WDB staff check in with the participant within the first week, half-way through, and at the end of the OJT time period. The observations and results of the monitoring are documented in the participant's file.

# CWP Policy and Procedure Manual

<b>Program:</b> CWP General Program Policies	<b>Section:</b> 2-66	Page 1
<b>Subject:</b> Incumbent Worker Training (IWT)	<b>Effective Date:</b> 10/1/19 <b>Rev:</b> 01/10/23	

## A. General

The following Incumbent Worker Training (IWT) policy and procedures apply universally to all CWP administered incumbent worker training. Individual programs may have additional IWT policies and procedures that are specific to that program. See the program sections of this manual for program-specific IWT policy and procedures.

Incumbent Worker Training is a type of work-based, employer-driven training for employees providing the skills that they need to either retain employment or to avert layoffs. IWT provides both employees and employers with the opportunity to build and maintain a quality workforce and increase both the workers' and employers' competitiveness. For purposes of this policy and procedures, the term "employer" represents any entity applying for and receiving IWT funds on behalf of an employer or group of employers.

IWT is designed to meet the special requirements of an employer or a group of employers for the purpose of acquiring training to:

1. Help avert potential layoffs of employees, or
2. Increase the skill levels of employees so they can be promoted within the company and create backfill opportunities. The training should, whenever possible, allow the trainee to gain industry-recognized training experience and ultimately lead to an increase in wages.

## B. Policy

### 1. Eligibility

For employers to be eligible for IWT funds, the following criteria must be met:

- a. The training must:
  - i. Be designed to meet the special requirements of an employer (or group of employers) to retain a skilled workforce or avert the need to lay off; and/or
  - ii. Provide the skills and/or knowledge to improve the competitiveness of the employee(s) or both the employee(s) and employer.
- b. The employee(s) must:
  - i. Be employed;
  - ii. Meet the Fair Labor Standards Act requirements for an employee-employer relationship; and
  - iii. Have an established employment history with the employer of six (6) months or more (includes time as a temporary or contract worker); or
  - iv. Be a member of a cohort of employees, where the majority (more than 50%) of those employees trained do meet the six-month employment history requirement.
- c. The incumbent worker does not have to meet the eligibility requirements for WIOA-funded career and training services for adults and dislocated workers unless he/she is also enrolled as a participant in the WIOA Adult or Dislocated Worker Programs.

# CWP Policy and Procedure Manual

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## 2. Allowable Costs

Allowable costs include the cost of an external trainer/instructor, tuition, instruction, books, materials and exams.

## 3. Unallowable Costs

Unallowable costs include the wages and benefits of employees (including employees facilitating the training), travel expenses of the trainer or trainee, training facilities or equipment. Although non-reimbursable, these costs can be applied toward the employer's cost-sharing requirement.

## 4. Cost-Sharing Requirement

Employers are required to pay a share of the cost of providing training to their incumbent workers. Cost of the training may include but is not limited to instruction, books, materials and exams. The employer's share of the costs of training can be through cash payments, fairly evaluated in-kind contributions, or both. In-kind contributions are wages paid to the incumbent worker trainee while the worker attends training or wages paid to an in-house trainer while providing the training. The minimum amount of the employer's share depends on the size of the employer but may not be less than the following percentages based on employer size.

% of the Cost of IWT	Size of Employer Based on the Number of Employees
10%	≤ 50 employees (equal to or less than 50)
25%	51 through 100 employees
50%	> 100 employees (greater than 100)

In accordance with the contract provisions, CWP reimburses the employer for the CWP share of the cost of training upon the employer's submission of a complete and accurate invoice along with the IWT Report documenting the results of the training and any other required documentation.

## 5. Union Consideration

Funds provided for IWT must not be used to directly or indirectly assist, promote or deter union organizing. Funds provided for IWT may not be used to directly or indirectly aid in the filling of a job opening which is vacant because the former occupant is on strike, being locked out or involved in a work stoppage in the course of a labor dispute.

## 6. Prohibited Employers

CWP will not enter into a IWT contract with employers who are in violation of local, state or federal labor laws or who failed to meet their obligations under a previous IWT contract.

## C. Procedures

### 1. Application

Employers who are interested in obtaining assistance funding IWT must submit an application to CWP providing detailed information regarding the proposed training, employees to be trained, cost sharing and intended outcomes for the employee and the employer. See Section 8 Forms of the CWP Policy and Procedures Manual for the CWP Application for Incumbent Worker Training form.

# CWP Policy and Procedure Manual

<b>Program:</b> CWP General Program Policies	<b>Section:</b> 2-66	Page 3
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## 2. Determining Employer Eligibility

CWP staff use the information from the application to determine if the employer(s) are eligible for IWT funds based on CWT IWT Policy. In evaluating whether the proposed training meets the CWP IWT eligibility criteria, CWP staff consider the following factors.

- a. Characteristics of the employee(s)
  - i. Barriers to employment
  - ii. Lack of skills and/or knowledge provided by the proposed training
- b. Relationship of the training to the competitiveness of the employee and employer
- c. Layoffs will be averted as a result of the training
- d. Employee advancement opportunities along with wage and benefits increase (pre and post-training earnings)
- e. Number of employees participating in the training
- f. Existence of other training and advancement opportunities provided by the employer
- g. Credentials and skills gained as a result of the training
- h. CWP's larger industry sector and/or career pathway strategy
- i. Employer size

## 3. Employer Contract

Once the Application for Incumbent Worker Training Funds is approved by CWP, a contract between CWP and the employer must be executed prior to the start of the IWT. CWP staff discuss the contract provisions with the employer prior to contract execution to ensure agreement and compliance with contract provisions.

- a. Contract provisions for discussion with the employer:
  - i. The amount of funds CWP will provide for the training and related costs
  - ii. The employer's required cost-sharing portion of the training and how that employer will meet this requirement
  - iii. Number of employees to be trained
  - iv. Requirement that trainees must have an established work history with the employer<sup>1</sup>
  - v. Agreement that CWP staff may collect registration information directly from trainees
  - vi. Anticipated outcome of the training
  - vii. Incumbent worker training contract provisions
  - viii. Financial and administrative contract provisions
  - ix. Contract specific terms
  - x. Position or job title of the trainees
  - xi. Number of hours of training per participant
  - xii. Beginning and end dates of the contract
  - xiii. Beginning and end dates of the training
  - xiv. Reporting requirements
  - xv. Invoicing procedures
- b. Components IWT contract:

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<sup>1</sup> Work history includes time as a temporary or contract worker.

# CWP Policy and Procedure Manual

<b>Program:</b> CWP General Program Policies	<b>Section:</b> 2-66	Page 4
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- i. A completed CWP Incumbent Worker Training (IWT) Contract template signed by the employer and CWP signatory
- ii. Exhibit, The approved CWP Application for Incumbent Worker Training Funds
- iii. Exhibit, Report Form
- iv. Exhibit, CWP Protecting Personally Identifiable Information Policy (PII)
- v. Additional exhibits deemed necessary by CWP

#### 4. Reporting

Employers are required to document and report to CWP the data elements contained on CWP Incumbent Worker Training (IWT) Report as required by the contract terms. The elements of the IWT Report include but are not limited to:

- a. Employer's name
- b. Title and type of training
- c. Training provider
- d. The following data elements applicable to each trainee: name, employment start date<sup>2</sup>, training start date, job title, post training job title (if promoted), credential earned, and amount of post-training wage increase, and any other information required of the IWT funding sources

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<sup>2</sup> Employee start date may include time as a temporary or contract worker.

# CWP Policy and Procedure Manual

<b>Program:</b> H-1B One Workforce Grant Program	<b>Section:</b> 2-66.1	Page 1
<b>Subject:</b> Incumbent Worker Training (IWT)	<b>Effective Date:</b> 5/17/21 <b>Rev:</b> 1/10/23	

## A. General

The following Incumbent Worker Training (IWT) policy and procedures apply to IWT activities funded by the USDOL, Employment and Training, One Workforce H-1B grant.

Incumbent Worker Training is a type of work-based, employer-driven training for employees who need training to upgrade their skills to secure full-time employment, advance in their careers, or retain their current employment in H-1B occupations and industries. IWT is developed in collaboration with the employer with which an individual is employed when they are determined eligible to participate in the grant. Employers are encouraged to backfill open positions that result from incumbent worker training with unemployed and underemployed individuals.

For purposes of this policy and procedures, the term “employer” represents any entity applying for and receiving IWT funds on behalf of an employer or group of employers and the term “employee” represents one or several employees.

## B. Policy

### 1. Eligibility

For employers to be eligible for H-1B IWT funds, the employee/trainee must meet the following criteria:

The employee must:

- a. Be employed by the entity requesting IWT funds,
- b. Be at least 17 years of age,
- c. Not currently enrolled in secondary school, and
- d. Meet the Fair Labor Standards Act requirements for an employee-employer relationship.

### 2. Allowable Costs

IWT funds pay for the cost of training including the cost of an external trainer/instructor, tuition/instruction, books, exams, and other materials needed for the training. The Workforce Development Board (WDB) reimburses the employer for these expenses upon the employer’s submission of a complete and accurate invoice along with an IWT report documenting the results of the training and any other required documentation.

### 3. Unallowable Costs

Unallowable costs include the wages and benefits of employees (including employees facilitating the training), travel expenses of the trainer or trainee, training facilities or equipment. When these IWT-related expenses occur, they are considered the employer’s share of the costs of IWT and are documented and reported to the WDB as leveraged/matched contributions. See section C.4 of this policy for reporting procedures.

### 4. Union Consideration

Funds provided for IWT must not be used to directly or indirectly assist, promote or deter union organizing. Funds provided for IWT may not be used to directly or indirectly aid in the filling of a job opening which is vacant because the former occupant is on strike, being locked out or involved in a work stoppage in the course of a labor dispute.

# CWP Policy and Procedure Manual

<b>Program:</b> H-1B One Workforce Grant Program	<b>Section:</b> 2-66.1	Page 2
<b>Subject:</b> Incumbent Worker Training (IWT)	<b>Effective Date:</b> 5/17/21 <b>Rev:</b> 1/10/23	

## 5. Prohibited Employers

The WDB will not enter into an IWT contract with employers who are in violation of local, state or federal labor laws or who failed to meet their obligations under a previous contract.

## C. Procedures

### 1. Application

Employers who are interested in obtaining assistance funding IWT must submit a prescribed IWT application to the WDB providing detailed information regarding the proposed training, employees to be trained, cost sharing, and intended outcomes for the employee and the employer.

### 2. Determining Eligibility of Training

WDB staff use the information from the application to determine if the employer's proposed training is eligible for H-1B funded IWT. In evaluating whether the proposed training meets the IWT eligibility criteria of the H-1B grant, WDB staff consider the following questions:

- a. Does the training meet the special requirements needed for the employer (or group of employers) to retain a skilled workforce or avert the need to lay off in an H-1B industry?
- b. Does the training provide the skills and/or knowledge in an H-1B occupation to improve the competitiveness of the employee or both the employee and employer?
- c. Will the training provide for employee advancement opportunities along with wage and benefits increase (pre and post-training earnings)?
- d. Does the employer provide other similar training and advancement opportunities?
- e. Will the employee gain a credential and/or skills as a result of the training?

### 3. Employer Contract

Once the application for Incumbent Worker training funds is approved by the WDB, a contract between the WDB and the employer must be executed prior to the start of the IWT. WDB staff discuss the contract provisions with the employer prior to contract execution to ensure agreement and compliance with contract provisions.

- a. Contract provisions for discussion with the employer:
  - i. Amount of funds that the WDB will provide for the training and related costs
  - ii. Employer's share of the IWT costs
  - iii. Number of employees to be trained
  - iv. Agreement that WDB staff may collect registration information directly from trainees
  - v. Anticipated outcome of the training
  - vi. Incumbent worker training contract provisions
  - vii. Financial and administrative contract provisions
  - viii. Contract specific terms
  - ix. Position or job title of the trainees
  - x. Number of hours of training per participant
  - xi. Beginning and end dates of the contract
  - xii. Beginning and end dates of the training
  - xiii. Reporting requirements
  - xiv. Invoicing procedures

# CWP Policy and Procedure Manual

<b>Program:</b> H-1B One Workforce Grant Program	<b>Section:</b> 2-66.1	Page 3
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- b. Components IWT contract:
  - i. A completed Incumbent Worker Training (IWT) contract template signed by the employer and the WDB signatory
  - ii. An approved Application for Incumbent Worker Training Funds
  - iii. Report Form
  - iv. Protecting Personally Identifiable Information Policy (PII)
  - v. Additional exhibits deemed necessary by the WDB

#### 4. Reporting

Employers are required to document and report to the WDB the data elements as required by the contract terms. The elements include but are not limited to:

- a. Employer's name
- b. Title and type of training
- c. Training provider
- d. Employer's share of the IWT costs
- e. The following data elements applicable to each trainee: name, employment start date<sup>1</sup>, training start date, job title, post training job title (if promoted), credential earned, and amount of post-training wage increase, and any other information required by USDOL

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<sup>1</sup> Employee start date may include time as a temporary or contract worker.



# CWP Policy and Procedure Manual

<b>Program:</b> CWP General Program Policies	<b>Section:</b> 2-70	Page 1
<b>Subject:</b> Supportive Services for Non-WIOA Funded Programs	<b>Effective Date:</b> 04/03/23	

## A. Purpose

To provide policy and procedures for the provision of supportive services that are necessary to enable individuals to participate in employment and training activities provided by non-WIOA and non-JFES funding.

## B. Policy

### 1. Eligibility for Supportive Services

Supportive services are only provided to individuals who are:

- a. Eligible according to the specific program requirements, and
- b. Participating in program activities, and
- c. Are compliant with program policies during the applicable period of enrollment.

### 2. Assessment

The results of an objective assessment are used to determine if supportive services are necessary to enable an individual to participate in program services/activities. The assessment identifies any barriers that the participant might have that interfere with participation in training or with accepting or retaining employment. The assessment establishes whether the participant is eligible for, and able to obtain, supportive services from any other non-CWP source, if required by funding source. The results of the assessment are documented in the participant's program record.

### 3. Type of Supportive Services Allowed

The type of supportive services allowed depends on the policy of the specific program, grant agreement and/or funder.

Examples of Supportive services include, but are not limited, to the following:

- a. Linkages to community services
- b. Assistance with transportation
- c. Assistance with childcare and dependent care (must be a licensed provider)
- d. Assistance with housing
- e. Assistance with educational testing
- f. Reasonable accommodations for individuals with disabilities
- g. Legal aid services
- h. Referrals to health care
- i. Assistance with uniforms or other appropriate work attire and work-related tools, including such items as eyeglasses and protective eye gear
- j. Assistance with personal grooming essentials to become work-ready such as personal hygiene products, toiletries and haircuts.
- k. Assistance with books, fees, school supplies, and other necessary items for students enrolled in postsecondary education classes
- l. Payments and fees for employment and training-related applications, tests, and certifications

### 4. Parameters of Supportive Services Payment Issuance

- a. Supportive services must be provided equitably, i.e., supportive services must be made available to all eligible participants in accordance with this policy and these parameters.
- b. Supportive services issuance must be approved by the program supervisor or manager prior

# CWP Policy and Procedure Manual

<b>Program:</b> CWP General Program Policies	<b>Section:</b> 2-70	<b>Page</b> 2
<b>Subject:</b> Supportive Services for Non-WIOA Funded Programs	<b>Effective Date:</b> 04/03/23	

- to issuance.
- c. Supportive services may be provided either directly to, or on behalf of, participants as necessary to reduce or eradicate barriers to obtaining or retaining employment, to maintain training participation.
  - d. The participant may request that the payment be issued later but may not claim a retroactive payment **for a service or item purchased prior to program enrollment.**
  - e. The amount of a supportive service payment must be determined based on the actual cost of the service or item, or a reasonable estimate based on available information.
  - f. No further payments are issued if the participant fails to participate without good cause.
  - g. The total amount of supportive services per individual participant shall not exceed the limit set forth by the specific program policy, grant agreement and/or funder.
  - h. Issuance of supportive services payments is subject to fund availability.
  - i. Participant's self-disclosure or declaration of expenses without documentation is not allowable.

## C. Procedures for Supportive Services Issuance

### 1. Assessment of Need and Resources to Address Need

If after conducting an objective assessment and/or during participation in program activities, a barrier to participation in career or training activities becomes apparent, program staff explore the availability of local resources to resolve the barrier to participation. A description of the barrier and how it prevents participation in career and training activities, or the acceptance of or retention in employment, is documented in the case notes in the participant's record.

### 2. Requesting Supportive Services Payment

If after exploring all available non-CWP resources, the barrier to participation is not resolved, program staff request a supportive service that will resolve the barrier and allow the individual to participate in career or training activities. Program staff request supportive services by completing a supportive service request, signed by both the participant and program staff person, and submitting it to their supervisor for consideration and approval. The request for supportive services is documented in the case notes section of the participant's record and the supportive services request is saved in the participant's record. See section 5 of this policy for more instructions on recording and documenting barriers.

### 3. Review and Approval

After the request is approved by the supervisor, it is reviewed by program management staff to confirm that the participant is eligible for the supportive service, the assessment was documented, the item or service is allowable, and the cost was properly determined. All approved, signed documents are saved in the participant's record.

### 4. Method of Issuance

Once the request is approved by program management staff, supportive services payments are issued by one of the following methods.

#### a. Purchase of item or service by program staff (preferred method of issuance)

The program staff member purchases the item or service directly from a vendor in accordance with that agency's financial policy and procedures. Supportive service items purchased via the internet or phone order are delivered directly to the participant's

## CWP Policy and Procedure Manual

<b>Program:</b> CWP General Program Policies	<b>Section:</b> 2-70	Page 3
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residence. If delivery to the participant's residence is not an option, the item is delivered to the program location. Documentation of the purchase (invoice/receipt) and/or electronic notification of delivery is saved in the participant's record. The purchase is recorded in the case notes section of the participant's record.

b. Check to merchant or service provider

A written request for check issuance is submitted to the applicable agency's (CWP or program provider) finance department in accordance with that agency's financial policy and procedures.

The request to finance must include the following details:

- i. Name of the participant
- ii. Name of the merchant or service provider
- iii. Fund source
- iv. Item/service to be purchased
- v. Purpose of the supportive services
- vi. Amount of payment
- vii. Date payment is required

A copy of the approved supportive services request is included with the request for check issuance.

c. Reimbursement check to participant

A written request for check issuance to the participant is submitted to the applicable agency's (CWP or program provider) finance department in accordance with that agency's financial policy and procedures.

The request to finance must include the following details:

- i. Name of the participant
- ii. Description of the purchased item or service
- iii. Item/service to be purchased
- iv. Purpose of the purchase
- v. Fund source
- vi. Amount and date of the purchase

A copy of the receipt for the item or service and the approved supportive services request is included with the request for check issuance.

d. Merchant gift card (physical card or e-gift card):

Program-funded gift cards are purchased in accordance with applicable agency's (CWP or program provider) financial policy and procedures. When gift cards are issued to participants, details of the gift card issuance are included on a supportive services log which is signed by the participant. If issuance is an emailed e-gift card, the staff confirms receipt of the gift card through email with the participant. A copy of the issuing email and the participant's email confirming receipt are saved to the participant's record.

**Note:** Pre-paid debit card (e.g. American Express or Visa) are not used as a method to pay for supportive services.

5. Documentation

a. Documentation of Need

The need for the supportive service is documented in the participant's record. The documentation of need includes a description of the following:

- i. Results of the assessment describing the need

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- ii. If applicable, the documentation required to determine eligibility
  - iii. Career and/or training activities assigned or the potential employment opportunity
  - iv. Results of the exploration of other available resources
  - v. Description of the barrier that necessitates the supportive service
  - vi. Description of how the supportive service will address the specific need
- b. Documentation of Amount
- The basis used to determine the amount of the payment is documented using one of the following options and attached to the supportive services request:
- i. Actual cost shown on a bill, invoice, order form or product description with price
  - ii. Estimated cost based on examples of similar services or items from websites or catalogues
  - iii. For gas cards, the standard amount is \$25 per week. **Requests for higher amounts must be approved by the program manager and calculated and documented as follows:**  
$$[\text{estimated miles to be driven}] \div [\text{miles per gallon}] \times [\text{price per gallon}].$$
- c. Documentation of Review and Approval
- The program management staff signs the supportive services request to document review and approval. The signed request is saved to the record.
- d. Documentation of Supportive Services Issuance
- A description of the supportive services issuance is documented in case notes and included on the supportive services log. The description in case notes and the supportive services log includes:
- i. Method of issuance (i.e., online order, gift card, or check)
  - ii. Name of the recipient (merchant, service provider or participant)
  - iii. Amount of the issuance
  - iv. Order number, check number or gift card id number
  - v. Date of issuance
- The supportive service log also includes the participant's name, case number and signature as well as the program staff member's signature. If issued via online order or an e-gift card and the participant's signature cannot be obtained on the supportive services log, a copy of the notification of delivery and a copy of an email from the participant confirming receipt is attached to the supportive services log.

# CWP Policy and Procedure Manual

<b>Program:</b> CWP General Program Policies	<b>Section:</b> 2-72	<b>Page</b> 1
<b>Subject:</b> Incentives	<b>Effective Date:</b> 05/01/23	

## A. Purpose

Incentives are awarded to recognize and encourage participation in activities tied to the program and/or for the attainment of the participant's employment-related goals.

## B. Policy

1. Incentive awards are provided to CWP program participants for:
  - a. Achievement and attainment of individual employment and training goals.
  - b. Completion of education and/or training-related services such as occupational skills training, on-the-job training, customized training, completion of a secondary school diploma or its equivalent and work readiness and workforce preparation training.
  - c. Making progress, achievements, or milestones in education and/or training-related service.
  - d. Attaining a nationally recognized credential related to training and/or an employment goal.
  - e. Obtaining full-time unsubsidized employment.
  - f. Participation in activities that are designed to improve program services, if permitted by the funder.
2. Criteria for providing an incentive award:
  - a. Sufficient program funds are available for awarding incentive payments consistently and equitably to all participants who are eligible, and incentive payments are allowed by the program funder.
  - b. If provided, incentives are provided consistently (same amount and method of issuance) and equitably to each individual eligible for the incentive for the same achievement.
  - c. The recipient of the incentive must be an active participant in the program providing the incentive at the time of reaching the milestone/goal described in the participant's employment plan.
3. Prohibited uses of incentive awards  
Incentive awards are not to be used for the following purposes:
  - a. Entertainment costs such as movies or sporting event tickets or gift cards to movies theaters or other venues whose sole purpose is entertainment. (2 CFR Part 200)
  - b. Program recruitment
  - c. Cost of obtaining eligibility documentation
  - d. Payment for hours of work
  - e. Used to pay a stipend for participation in program or work-related activities
  - f. Provision of supportive services
  - g. Reward for attendance in regularly scheduled activities
4. Method of issuance  
Incentives are issued in the form of cash or non-cash.
  - a. Cash incentives are issued in the form of a debit card or a check.
  - b. Non-cash incentives are issued in the form of gift cards, gift certificates to local retailers or other items such as plaques, framed certificates, class rings, tools related to participant's career goal, etc.

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5. Time period of issuance  
Incentives are paid as close as possible to the time of the achievement and no more than thirty (30) calendar days after the date of milestone/goal achievement.
6. Amount of incentive award
  - a. Incentive awards are only provided if there are sufficient program funds to award incentive payments consistently and equitably to all participants who are eligible.
  - b. Individual issuances of incentive awards amounts are set by the program provider but may be no less than \$10 or more than \$200 per issuance. The CWP Program Manager may approve incentive amounts that vary from these limits based on program provider's written request, including justification for the change. A program provider's executed contract budget containing incentive amounts that vary from these limits constitutes approval.
  - c. Program providers are to develop written standard incentive amounts for specific types of accomplishments and issue incentives fairly and consistently according to their standards. The written standard for incentive amounts for specific types of accomplishments is submitted to CWP for review and approval.
7. Documentation  
Information regarding the issuance of incentive awards is documented in the participant's case record and tracked on an issuance log. The following information must be recorded and tracked for each issuance.
  - a. Type (e.g., debit card, check, gift card, gift certificate, commemorative item)
  - b. Serial number (or other unique identifying number)
  - c. Amount
  - d. Documentation of milestone/goal achieved as required by CWP (e.g., certificate, diploma, CCS appraisal results, transcript or report card, verification of unsubsidized employment).
  - e. Name and signature of recipient
  - f. Date issued
  - g. Name and signature of staff providing the award to the recipient

## C. Procedures

1. Details including the method of issuance and amount of the incentive is written into the participant's record and tied to specific milestones or accomplishments prior to the individual's achievement of said milestones or accomplishments.
2. Upon achievement of a milestone or goal, program provider staff obtains documentation of the achievement for the record as required by CWP and issues the incentive amount to the participants within thirty (30) days of the date of the achievement.
3. The incentive is issued in either the form of cash or non-cash.
  - a. Cash incentives are issued in the form of a debit card or a check.
  - b. Non-cash incentives are issued in the form of gift cards, gift certificates to local retailers or other items such as plaques, framed certificates, class rings, tools related to training, etc,
4. Approval Process  
According to local program provider incentive issuance process, the incentive payment request from the program staff is reviewed by the program provider director, manager or supervisor for compliance with this policy and to confirm that the participant is eligible for the incentive

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payment. The provider's internal control document showing approval by designated program provider staff are uploaded to the case file.

5. Documentation

The following information regarding the issuance of incentive awards is documented in the participant's case record and tracked on an issuance log:

- a. Type (e.g., debit card, check, gift card, gift certificate, commemorative item)
- b. Serial number (or other unique identifying number)
- c. Amount
- d. Purpose of the incentive
- e. Name and signature of recipient
- f. Date issued
- g. Name and signature of staff providing the award to the recipient

6. Tracking Debit and Gift Cards and Gift Certificates

Debit and gift cards and gift certificates are purchased as needed and are accounted for. The number and value of gift cards on hand plus the properly recorded distributed cards are to reconcile to the original purchased number and value of debit/gift cards and gift certificates.

# CWP Policy and Procedure Manual

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<b>Subject:</b> Stipends	<b>Effective Date:</b> 07/01/23	

## A. Purpose

To help support program participants' participation in assigned education or training activities.

## B. Policy

### 1. Provision of stipends

Stipends are fixed, regular cash payments to program participants to support their participation in assigned education or training activities. Cash stipends are issued in the form of a check, debit card, or direct deposit to the participant's account.

### 2. Criteria for the provision of stipends

- a. Sufficient program funds are available for awarding stipend payments consistently and equitably to all program participants who are eligible.
- b. If provided, stipends are provided consistently (same amount) and equitably to each individual eligible for the stipend.
  - a. Participant must be active in the program and be satisfactorily participating in the assigned education or training activity.
  - b. The program provider must have a written attendance policy; the policy must be consistent with the requirements of the education or training provider when the provider does not provide training directly.
  - c. Program staff must review the attendance policy with participants before education or training activity begins and must provide a copy. Review of the attendance policy must be documented in case notes.
  - d. Stipends are paid only to participants with satisfactory attendance as defined in the attendance policy.
  - e. The provision of stipends for education or training activities must be described in the participant's case notes in the CWP designated management information system (MIS).

### 3. Amount of stipend

- a. Stipends are only provided if there are sufficient program funds to award stipend payments consistently and equitably to all participants who are eligible and participating in similar education or training activities.
- b. Stipend amounts are established within the program/contract budget as approved by CWP and/or funder.
- c. Stipends are not pro-rated. Participant must meet the minimum attendance standard for the daily, weekly, or bi-weekly period in accordance with provider's attendance policy.

### 4. Time period of stipend issuance

Stipends are paid directly to the participant at regular weekly or bi-weekly intervals. If the participant is a recipient of Temporary Family Assistance (TFA), the stipend amount for all weeks of participation, is paid in one single issuance.

## C. Procedures

1. Program provider staff confirm that participant is enrolled in the education or training activity.
2. Program provider staff follow local program provider procedures for requesting stipend issuances for the participant.



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3. Prior to issuing each regular stipend payment, the participant's attendance in the education or training activity is verified by program staff and documented in the participant's MIS record and in case notes. Stipend payments are issued for each weekly or bi-weekly period that the participant maintains satisfactory attendance until the activity is completed. If the participant is a recipient of Temporary Family Assistance (TFA), one stipend payment is issued for all weeks the participant maintained satisfactory attendance.
4. Program providers are to adhere to their local agency financial procedures for the issuance of stipends.
5. Stipend issuances are documented in participant's MIS record and in case notes.
6. Program staff are to advise participants that stipends are taxable and will be reported to the IRS in accordance with federal requirements.