



## NEMO WORKFORCE DEVELOPMENT BOARD

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111 East Monroe • Paris, Missouri 65275 • Tel: 660.327.5125 • Fax: 660.327.5128 • TTY: Dial 7-1-1  
[www.nemowib.org](http://www.nemowib.org)

NEMO WDB ISSUANCE # 01-2017

ISSUED: April 16, 2018

EFFECTIVE: April 17, 2018

SUBJECT: ON-THE-JOB TRAINING POLICY AND GUIDELINES

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**Purpose:** To provide updated guidance pertaining to the On-The-Job Training policy in the Northeast Region and to follow the latest revision of the DWD Issuance 21-2017.

**Background:** OJT is a training option under the Workforce Innovation Opportunity Act (WIOA). OJT participants use it to achieve training and placement goals. The Workforce Innovation Opportunity Act (WIOA) defines OJT as:

The term "on-the-job training" means training, by an employer, provided to a paid participant while engaged in productive work in a job that—

(A) provides knowledge or skills essential to the full and adequate performance of the job;

(B) is made available through a program that provides reimbursement to the employer of up to 50 percent of the wage rate of the participant, except as provided in section [3174\(c\)\(3\)\(H\)](#) of this title, for the extraordinary costs of providing the training and additional supervision related to the training; and

(C) is limited in duration as appropriate to the occupation for which the participant is being trained, taking into account the content of the training, the prior work experience of the participant, and the service strategy of the participant, as appropriate.

**Substance:** **Changes to the OJT Practices and Procedures include:**

- Language referencing the Workforce Investment Act of 1998 (WIA) now refers to the corresponding or new sections of WIOA. References to OJT sections in the Code of Federal Regulations now cite the new proposed regulations implementing WIOA

- New language under “Participant Requirements” addresses short-term and long-term goals in the Employment Plans (EP)
- New language under “Reverse Referral” clarifies that any individual hired prior to an eligibility determination is not eligible to be a federally funded OJT participant.
- New language under “Determining Employer Eligibility”
  - Requires a pre-award review to verify that the employer is not relocating.
  - Prohibits entering an OJT program agreement with a State agency or any other unit of government that operates WIOA programs.
- “Program Agreement Minimum Requirements” clarify that the OJT Program Agreement must have beginning and ending dates, and conclude within one year.
- New language under “Training Plans Minimum Requirements” establishes:
  - Documentation of the Skills Gap Analysis must be sufficient to justify expenditure of federal OJT funds.
  - Variance in the Training Plan’s start and end dates requires a Supplemental Agreement.
  - The Training Plan, and the participant’s EP in the case management system, must document:
    - Short-term and long-term goals,
    - The skills gap between participant and occupation, and
    - The employer is not in layoff status.
- New language under “Monitoring” prescribes documentation of the attainment of skills and competencies.
- A new “Outcomes” section describes the case management system procedure for recording outcomes.
- OJT agreements also may be entered into with Registered Apprenticeship program sponsors or participating employers in Registered Apprenticeship programs for the OJT portion of such programs consistent with 20 CFR 680.700(a). Depending upon the length of the Registered Apprenticeship and upon State and Local Workforce Development Board (Local WDB) OJT policies, these funds may cover some or all of the duration of the Registered Apprenticeship.
- The Governor may increase the reimbursement rate for the OJT agreements funded through the statewide employment and training activities described in 20 CFR 682.2105 up to 75 percent.
- The NEMO WDB also may increase reimbursement rate for OJT agreements described in 20 CFR 680.320(a)(1) up to 75 percent with approval from NEMO WDB Director, dependent on funding available, if one or more of the following five circumstances exists:
  - The participant is an “individual with a barrier to employment” as defined in WIOA sec. 3(24) [29 U.S.C. 2102(24)]. This includes:

- \* Displaced homemakers;
- \* Low-income individuals;
- \* Indians, Alaska Natives, and Native Hawaiians;
- \* Individuals with disabilities, including youth who are individuals with disabilities;
- \* Older individuals;
- \* Ex-offenders;
- \* Homeless individuals, or homeless children and youths;
- \* Youth who are in, or have aged out of, the foster care system; <sup>2</sup> Individuals who are English language learners, individuals who have low levels of literacy, and individuals facing substantial cultural barriers;
- \* Farmworkers (as defined at WIOA sec. 167(i) and Training and Employment Guidance Letter (TEGL) No. 35-14, Change 1);
- \* Individuals within two years of exhausting lifetime eligibility under the Temporary Assistance for Needy Families (TANF) program;
- \* Single parents (including single pregnant women); and or
- \* Long-term unemployed individuals.
- \* The OJT employer qualifies as a small business, as defined by the U.S. Small Business Administration.
- \* The Local WDB's Local Plan identifies the industry sector that includes the OJT occupation in its sector strategies. *NEMO WDB has identified the following industry sectors: Advanced Manufacturing with Welding, Transportation and Logistics, Healthcare, and Agriculture Related Occupations.*
- \* The occupation rates an "A" or "A+" rating in the Missouri Economic Research and Information Center (MERIC) Missouri Occupational Outlook Projections for 2014–2024.
- \* Other factors approved by the DWD OJT Coordinator, which may include the number of employees participating, wage and benefit levels of the employees (both at present and after completion), and relation of the training to the competitiveness of the participant. *The identified circumstance from the above list, used to justify the increased OJT reimbursement rate, must be recorded as a participant or employer Case Note, as appropriate, in the statewide electronic case management system.*
- \* Eliminates a requirement for Local WDB due process procedures pertaining to testing for controlled substances because there is no similar State policy that must be copied.

Updated, fillable PDF versions of the following forms used to administer the OJT program are available at <https://jobs.mo.gov/dwdprograms> or at <http://nemowib.org/providers/>:

- OJT Program Agreement DWD-PO-213;
- OJT Outline and Job Description DWD-PO-214;
- OJT Supplemental Agreement DWD-PO-215;
- OJT Eligibility Notification DWD-PO-217;
- OJT Monitoring Report DWD-PO-219-A (Employer);
- OJT Monitoring Report DWD-PO-219-B (Participant); and
- OJT Monthly Invoice DWD-PO-220.

In addition to the forms above, NEMO WDB will also utilize the following forms:

- ATTACHMENT A – Employer Questionnaire
- ATTACHMENT D – OJT Trainee Orientation
- ATTACHMENT E – OJT Employer Orientation
- ATTACHMENT I – Request for Union Concurrence
- ATTACHMENT J – Employer Pre-Award Review Form
- ATTACHMENT K – Youth Competencies Evaluation Form

As noted in the above list, to clarify the filing purpose, the DWD-PO-219 monitoring report is now two separate forms, one for monitoring OJT provider activities, and one for monitoring participant progress.

The DWD Forms can be found at <https://jobs.mo.gov/dwdprograms> and all forms can be found at <http://nemowib.org>

**The NEMO Workforce Development Board will follow the DWD ON-THE-JOB TRAINING PRACTICES AND PROCEDURES MANUAL (Revision March 2018), along with the additional local guidance as noted below. [DWD Issuance 21-2017](#)**

Recession: NEMO WIB Issuance 01-2012



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Diane Simbro, Executive Director  
NEMO Workforce Development Board

## **I. Criteria and Requirements for Adult, Dislocated Workers, and Youth**

NEMO WDB Staff and Sub-Contractors will follow the *Criteria for Adults and Dislocated Workers and Youth Work Experience* as written on Pages 4 and 5 and *Participant Requirements* on Page 6 of the DWD ON-THE-JOB TRAINING PRACTICES AND PROCEDURES MANUAL with the following additions:

### **A. Assessment**

1. A thorough assessment will be provided in which the skill requirements of the occupation, the academic and occupational skill level of the participant, and the participant's prior work experience will assist in executing the training plan and determining the length of the training.
2. The assessment of the participant for an OJT assignment shall be entered in Case notes in the State Case Management System. This will include the information formerly gathered through the *Appropriateness Tab* in the Toolbox system. Staff should document contacts with the participant and the employer, report changes of a participant's circumstances, and document the provision of Supportive Services in Case Notes.

### **B. Employment Plan (EP) or Youth Individual Service Strategy (ISS)**

1. The participant and the frontline workforce staff will jointly develop the Employment Plan (EP) or Youth Individual Service Strategy (ISS). Place the participant in an OJT opportunity that is consistent with the occupational goal of the participant's EP or ISS. Refer to [DWD Issuance 18-2017](#) Statewide Individual Employment Plan Development Policy.
2. If a need for OJT cannot be documented, a direct placement or referral to other services should be considered. If a need for OJT has been determined and recorded on the EP, a referral may be made to appropriate employers. EP documentation of a participant's appropriateness for OJT is required PRIOR to employer selection.
3. The information on the EP or ISS should have back up documentation, when appropriate. This may include copies of the various testing and assessment materials given to the participant. Service notes, entered in the State Case Management System, will be used to document the EP update process and should be clearly identified as such.

4. Missouri Job Center Staff is required to keep the EP or ISS updated according to NEMO WDB standards.

### C. Youth On-The-Job Training (WIOA)

NEMO WDB shall follow the DWD policy on Youth Work Experience with the following additions.

OJT positions in most cases are not an appropriate work experience activity for youth participants under age 18. Local Title I Youth Program Operators may choose to use this service strategy for eligible youth, when appropriate, based on the needs identified by the objective assessment of an individual youth participant

An OJT employee must never replace an existing employee, and the participant's compensation should be equivalent to other workers employed in the same occupation by the employer but who are not recipients of OJT funding. Permanent, unsubsidized employment is the goal for those that successfully complete an OJT Training Plan.

An OJT should be targeted to Older Youth and Young Adults, recent graduates of post-secondary schools and training programs, and eligible veterans. OJT is not to be utilized for Youth who have not reached age 18 and are not recipients of a high school diploma or its equivalent.

For youth, all participants shall have general workplace competencies evaluated **once per month** during the training program. General workplace competencies shall be documented on the *Youth General Workplace Competencies Evaluation (Attachment K)*.

The Contracting Agency will ensure that all participants develop and demonstrate general workplace competencies to include at a minimum:

- Participant's progress relative to any employment barriers identified earlier on the Individual Service Strategy.
- Participant's progress towards demonstrating basic work competencies to include: (to be evaluated by employer on Youth General Workplace Competencies Evaluation)
  - (i) acceptable work habits i.e., attendance, punctuality, use of time, use of privileges and use of property;

- (ii) acceptable work attitude to include cooperation, relationship to other employees, dependability, initiative and attitude towards directions and instruction;
  - (iii) acceptable work quality and quantity to include accuracy, knowledge of work, learning speed, application of instruction to work, and amount of work produced in terms of the particular job;
- Counseling Services to include:
  - (i) ensuring that participants and employers are adjusting to the training activity;
  - (ii) developing an atmosphere for participant/employer communication to provide a network for the resolution of problems;
  - (iii) assistance toward identifying and resolving any potential problems
- Participants will be informed of their deficiencies in general workplace competencies after each review and counseling activity. Work competency results, observations and/or recommendations shall be documented and become a part of the participant's file.

When properly justified on the Individual Service Strategy (ISS) as a participant in need, the OJT may also be used in combination with Classroom Occupational Training and/or Tutoring, Study Skills Training and Instruction activities, when appropriate.

- (a) When a combination enrollment is warranted, OJT can provide tuition costs for classroom occupational training focused around job specific skills related to the OJT. Allowable classroom occupational training would include courses to expand job specific skills, certification courses for job specific skills, and short-term courses.
- (b) Supportive services may also be provided for up to one month to cover initial travel and childcare expenses until receipt of sufficient pay whereby there is a reasonable expectation that the participant could bear these costs him/herself. Extension for supportive services over the one-month limitation may be requested through a waiver from the NEMO WDB.

#### **D. Administrative Responsibility**

1. Functional Leaders must ensure adequate systems and internal procedures are in place for OJT programs in order to ensure full compliance with all aspects of the program. The OJT Program must be managed efficiently with accountability. At a minimum, this means that:

- Clear procedures must be in place for the entire OJT process, from participant assessment to worksite monitoring.
  - Staff will provide counseling services and assessment of progress, at a minimum, monthly during the customer's actual participation in an OJT activity. Documentation of the dates and subject of counseling contacts will be documented in the State Case Management System Case Notes.
  - All customers shall have job specific competencies evaluated, at a minimum, twice during the training program. Job specific competencies shall be documented on the OJT Monitoring Report (Participant) DWD PO-219 B and the OJT Monitoring Report (Employer) DWD PO-219 A. Staff will discuss the results of the assessment with the employer and the customer. Customers will be informed of any deficiencies, and recommendations in overcoming identified barriers will be made. Results of the assessment will become a part of the participant file and a case note will be added to State Case Management System.
  - Reporting, monitoring, and record-keeping procedures must document that training plans and agreements are being correctly carried out.
2. Due to the new and emerging industries and the complexity of the skills, some jobs may require a combination of classroom training and on the job training. OJT can reimburse wages for an individual to attend up to 20% of the total OJT agreement hours (maximum 160 hours) of company sponsored classroom training. The training is conditional based upon the following provisions:
- a. the company is incurring the costs of the training
  - b. the training is not funded using other funding sources such as State or Federal training program funds
  - c. the training is directly related to the job and
  - d. the training is required of all individuals hired for this position

Documentation of the need for actual classroom training will be included on the training plan, the EP, and Service Notes and will be retained in the OJT participant's file.

3. Prior to WIOA OJT approvals, Functional Leaders should notify the Workforce Development Board of the company's use or intention to use State and Federal training funds such as the State's Customized Training funds. Notification to WDB should include: 1) name of business; 2) number of positions expected to be placed at the business; 3) job titles, and 4) estimated begin and end dates.

### **E. Reverse Referrals**

Many times a company identifies a potential OJT participant first. In these cases, the individual lacks skills the employer requires and is in need of OJT. The company must first refer the individual to the Job Center for eligibility determination **prior to beginning the hiring process**. Any individual hired prior to the eligibility determination is not eligible for the federally funded OJT program. It is the NEMO Workforce Development Board's policy to accept reverse referrals provided the referrals meet the following criteria:

1. Participant's eligibility must be determined prior to employment; no pre-hires or period of employment prior to development of an OJT agreement and participant training plan are acceptable; and
2. When an employer refers a potential participant to the Missouri Job Center prior to hiring, the Missouri Job Center staff must utilize normal eligibility assessment and enrollment procedures.

### **F. Priority of Service**

Priority of Service will be followed as defined in the NEMO WDB Local Plan.

## **II. OJT EMPLOYER OUTREACH AND EMPLOYER ELIGIBILITY**

**NEMO WDB shall follow the guideline in the DWD ON-THE-JOB TRAINING PRACTICES AND PROCEDURES MANUAL with the following additional requirements:**

NEMO WDB's Employer Engagement Committee is developing strategy to increase the outreach and marketing to develop OJT and Apprenticeships. Sub-contractors and WDB staff are attending area meetings to promote all of the services provided in the Job Centers. The website has been updated and WDB staff and Job Centers are utilizing social media to enhance the marketing of services. Through the ACCESS Committee, the WDB is reaching out to partners such as Vocational Rehabilitation, Department of Corrections, Area Schools, and Division of Family Support to actively recruit clients that would benefit by utilizing OJT.

### **A. Employer Eligibility, Considerations and Agreements**

NEMO WDB will follow DWD Issuance 21-2017 with additional guidance provided:

1. ATTACHMENT A – Completion of the Employer Questionnaire is required and will assist Missouri Job Center staff in determining if an OJT is appropriate for the job position and the employer.

## B. OJT Program Agreement

NEMO WDB will follow the DWD Issuance 21-2017 and utilize the DWD OJT forms and NEMO WDB OJT forms as listed below:

- 1) Completion of the Employer Pre-Award Review Form ATTACHMENT J is required and will assist MJC staff to verify that the employer is not relocating
- 2) Complete OJT Training Program Agreement (DWD-PO-213), which includes the Agreement, Legal Certifications, Non-Discrimination & Equal Opportunity Assurances, Affidavit of Work Authorization, and Contract General Assurances. Authorized Signature shall be the DWD Business Services Representative or DWD Regional Workforce Coordinator that negotiated the agreement. The agreement will also require the signature of the WDB Executive Director.
- 3) Complete an Employer Orientation (NEMO WDB Form ATTACHMENT E) with the employer and/or employer representative. Discuss the training provisions, general assurances, program monitoring, and invoicing procedures.
- 4) Review WIOA nondiscrimination requirements and complete/sign the WIOA Grievance Procedure Notice (DWD-EO 15).
- 5) The Program Agreement must have beginning and ending dates, and conclude within one (1) year. Variance in the dates will require completion of the OJT Supplemental Agreement (DWD-PO-215).
- 6) Review the policy on prohibition of employment in construction, operation, or maintenance of a facility primarily devoted to sectarian instruction or religious worship.
- 7) If applicable, a Request for Union Concurrence (ATTACHMENT I) must be completed and sent to the Union Representative prior to placing an individual with the OJT employer if the placement will impair an existing contract or collective bargaining agreements.

## C. Employer Performance

The NEMO Workforce Development Board and/or their subcontractors may not form agreements with OJT employers who, in two or more previous agreements, which were active within the preceding 18 months, failed to:

- I. Hire at least 75% of the participants trained (excluding those who voluntarily resigned, were terminated for cause in accordance with the employer's personnel practices or released due to unforeseen business reversals); and

- II. Provide continued long-term employment for those who were retained (6 months or longer upon completion of agreement) with wages, benefits (including scheduled pay increases and health insurance), and
- III. Provide working conditions to participants 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.

Employers who violate the retention elements as listed above are considered to be in violation of WIOA and may not be considered for an agreement for a period of 12 months from the ending date of their last agreement. Northeast Region may reconsider the employer for participation in the program if they can demonstrate they have taken appropriate corrective action to comply with WIOA.

#### **D. Ratio of OJT Positions to Overall Employees**

Businesses should have their own program for employee development, and should not be overly reliant on OJT or other federal or state funded programs. In the Northeast Region, the ratio of OJT positions to overall employees shall not exceed one out of four (1 in 4) unless a "*Request for Waiver*" has been approved by the NEMO Workforce Development Board prior to enrollment.

#### **E. Turnover Rate**

Agreements will not be made with employers that exhibit a consistent high turnover rate without existence of extraordinary circumstances.

#### **F. Financial Stability**

Agreements will not be made with any business that appears to be financially unstable. The "*Employer Questionnaire*" should be completed by the employer and Missouri Job Center staff should assess the businesses' financial stability.

#### **G. Employer Dispute**

To resolve any dispute regarding agreement issues the OJT Employer will notify the NEMO Workforce Development Board in writing. The NEMO Workforce Development Board will respond within ten (10) working days of receipt of the written notification. If contested, this disposition may be appealed under the issuance *DWD 09-2012 - Workforce Investment Act Complaint Resolution Policies*.

#### **H. Agreement Modifications**

This OJT agreement may be modified with concurrence from both parties. Modification to the agreement will generally be to increase training pay rate or increase/decrease training length.

**I. E-Verify:**

Functional Leaders must affirm the employer's enrollment and participation in the E-Verify federal work authorization program prior to forming an OJT agreement or pre-agreement.

**J. Nepotism:**

OJT cannot be used to hire a relative (by blood, marriage or adoption) or a relative of the employer's administrative staff.

**III. JOB SELECTION STANDARDS**

Following are guidelines and/or requirements Missouri Job Center staff are to follow in selecting a job or occupation suitable for OJT:

1. The job must require specific occupational training, which can be learned while engaged in productive work.
2. The job, and its career pathway, must be a logical step in achieving the occupational objectives outlined in the participant's ISS/EP.
3. Staff should ensure that Equal Opportunity is provided in all services without regard to race, color, religion, sex (including pregnancy, childbirth, and related medical conditions, sex stereotyping, transgender status, and gender identity), national origin (including limited English proficiency), age, disability, or political affiliation or belief, and for beneficiaries only, citizenship or participation in a WIOA Title I financially-assisted program or activity. The regulations that implement these provisions are published at §1630.2 and 29 CFR Part 37 & 38.
4. OJT positions are encouraged in new/emerging and higher skill occupations appropriate to the participant's needs that lead to self-sufficiency by local definition.
5. OJT positions should be developed in high growth/high demand occupations in need of workers within the local economy.
6. The OJT position may not be for the same or comparable job as a participant has previously held at their current or previous employers.
7. The OJT position must include a formal, written program of structured job training that will provide participants with an orderly combination of instruction in work maturity skills, general employment competencies and occupationally specific skills.
8. The OJT position must have career advancement potential.
9. Should staff determine an OJT is inappropriate other options should be considered and appropriate referrals made.
10. OJT Agreements may be written for employed workers when the employee is not earning a self-sufficient wage as determined by the NEMO Workforce Development

Board *Self Sufficiency Definition* (NEMO WDB Issuance 02-2017). Positions must relate to the following criteria:

- Introduction of new technologies or
- Introduction to new production or service procedures, and
- Upgrading to new jobs that require additional skills, and
- Provide for a wage that allows self sufficiency

#### **IV. Training Plan Minimum Requirements**

NEMO WDB shall follow DWD Issuance 21-2017 regarding Training Plan Minimum Requirements and shall utilize the On-The-Job Training Outline and Job Description (DWD-PO-214) to develop the Training Plan.

The Training Plan and the Participant's EP in the case management system, **must clearly document:**

- Short-term and Long-term goals;
- The skills gap between participant and occupation;
- The training plan must be consistent with the training;
- The Employer is not in layoff status;
- The participant's length of training shall be based on the skills gap; and
- Training must not exceed 1,040 hours. Training Plan reimbursement rates must not exceed 50 percent of the wage rate of the participant.

##### **A. Training Length Consideration**

Specific Vocational Preparation (SVP) shall be used in the Northeast Region as a measure for the required level of specific occupational training and experience time.

The following table is the conversion between the SVP Level of the occupation and the maximum weeks of training allowed for an OJT participant. You can find the occupations and coordinating SVP levels at O\*net Online.

SVP Level	Maximum Duration of OJT
1	Short Demonstration Only
2	Up to 1 month
3	Up to 3 months
4 and up	Up to 6 months = 1040 maximum hours of training

#### **B. Minimum/Maximum Training Hours To Be Paid**

1. The minimum length of training in the Northeast Region for OJT shall not be less than 160 hours.
2. Regardless of the amount of training time established based on the SVP/O\*NET Job Zones and subsequent reductions in training length, an employer may only be reimbursed for up to a maximum of one (1) year of training or 1040 hours, whichever is arrived at first.

#### **V. Invoicing/Payments to Employer**

NEMO WDB will follow the guidance for Invoicing from Page 12 of DWD Issuance 21-2017. Staff will utilize DWD-PO-220 ON-THE-JOB TRAINING MONTHLY PROGRESS REPORT/INVOICE or their own forms as long as they meet all the required elements.

The number of hours to be reimbursed shall not exceed 40 hours per week. Employers cannot pay OJT participants in cash.

All information on documents related to the invoice must support the invoice information.

1. A copy of the timesheet or timecard showing daily hours worked which must be signed by both the employee and the immediate supervisor.
2. A copy of the payroll register, pay record, or check stub which shows computation of the gross wages and net wages paid. Note: Computation must agree to hours worked required in bullet above.

## **A. OJT WITH REGISTERED APPRENTICESHIP**

Depending on the length of the Registered Apprenticeship and State and Local WDB OJT policies and available funding, OJT funds may cover some or all of the duration of the registered apprenticeship.

OJT Contracts may be written with registered apprenticeship programs or participating employers in registered apprenticeship programs for the OJT portion of the registered apprenticeship program consistent with 20 CFR §680.700. Depending on the length of the registered apprenticeship and the local funding available, these funds may cover some or all of the registered apprenticeship training 20 CFR § 680.740.

When training is proposed for apprenticeable occupations, the provider should, with the knowledge and approval of the employer, consult with the appropriate DWD apprenticeship representative regarding the coupling of training with apprenticeship programs. The purpose is to provide individuals who receive OJT training with the opportunity to participate in a structured training program that lasts beyond the limits of the WIOA OJT training, and provides for an incremental increase in wages if funding allows.

OJT contracts may be written for eligible employed workers when: (a) The employee is not earning a self-sufficient wage or wages comparable to or higher than wages from previous employment, as determined by Local WDB policy; (b) The requirements in §680.700 are met; and (c) The OJT relates to the introduction of new technologies, introduction to new production or service procedures, upgrading to new jobs that require additional skills, workplace literacy, or other appropriate purposes approved by NEMO WDB and dependent upon funding available.

§680.750 There is no Federal prohibition on using both ITA and OJT funds when placing participants into a registered apprenticeship program. See §680.330 on using ITAs to support participants in registered apprenticeship.

## **VI. Monitoring**

NEMO WDB will follow the guidance regarding monitoring of OJT Contracts as stated on Page 14 of DWD Issuance 21-2017, along with the additional guidance provided below.

### **1) Monitoring Conducted By Functional Leader**

The Functional Leader shall comply with monitoring and documentation requirements as outlined in DWD Issuance 15-2017 Statewide Sub-State Monitoring and the NEMO Workforce Development Board Sub-State Monitoring Plan.

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NEMO WDB Issuance 01-2017 On The Job Training Practices and Procedures Manual  
*The NEMO Workforce Development Board is an equal opportunity employer/program. Auxiliary aids and services are available upon request to individuals with disabilities. Relay 711.*

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## 2) Monitoring within the Northeast Region

- A. Certification by employer that employee was not employed prior to the beginning of the OJT agreement. (Applicable to first reimbursement request for each OJT employee only.)
- B. A copy of the payroll register, pay record, or check stub which shows hours worked and rate of pay. (To be submitted with each invoice.)
- C. The Program Operator shall randomly select a sample of OJT participants for monitoring. For agreements with four (4) or less participants 100% must be monitored. For agreements with five (5) to ten (10) participants, 50% must be sampled. For agreements with ten (10) or more participants, 25% must be sampled for monitoring.
- D. The monitoring shall, at a minimum, include verification of the following:
  - Time and attendance record used to prepare payroll of employer
  - A copy of payroll register, pay record, or check stub that sets out hours worked and rate of pay
  - The employer personnel action, which shows official date of hire, if the employer or another form that could closely verify employment date uses such a form. (Example: I-9 form; W-4 Form or MO W-4)
- E. NEMO WDB will perform both programmatic and fiscal monitoring at least annually as outlined in DWD Issuance 15-2010 and NEMO WDB Sub-State Monitoring Plan.
- F. Ensure any discrepancies noted are either sufficiently explained and/or repaid, if appropriate.
- G. The NEMO Workforce Development Board requires that an onsite monitoring be conducted, **at a minimum**, at mid-term and upon completion. During the onsite monitoring, attainment of skills documented in the Training Plan must be noted on the DWD On-The-Job Monitoring Report (DWD-PO-219 A and DWD-PO-219 B). In addition, the percentage of competencies completed must be noted on the Training Plan. Service notes are required to be placed in the case management system to document the onsite monitoring.
- H. The required elements are meant to identify areas of concern regarding employee training, as well as documentation of successful training. Any problems noted concerning the training of the OJT trainee should be dealt with as they arise, so that immediate corrective action may be taken.

### **3) Monitoring Records Outside the Northeast Region**

For OJT trainees whose payroll records are located outside the Northeast Region, the requirements listed below shall apply. The Program Operator shall conduct the review noted below before making payments instead of the procedures outlined in Section 2.

- a) All documentation as required in **Section 2** shall be submitted to the Program Operator.
- b) Conduct a "desk audit" of all documentation submitted by the employer, including normal mathematical computations and comparison of endorsements, if any, to participant's file.
- c) If possible, at least once during the participant's training, a face-to-face interview should be conducted with the employer and employee to verify the hourly wage, approximately how many hours were worked during the pay period, the start date at the company and to confirm that the participant is being paid in accordance with the agreement.
- d) The Functional Leader or designated Missouri Job Center Staff conducting the interview as mentioned above shall prepare a written report using the DWD On-The-Job Monitoring Report (DWD-PO-219-A & B) and shall note the time, place and information used to verify the OJT reimbursements.

### **4) Monitoring Content for OJT Files and State Case Management System**

The following will be reviewed for:

- a) Compliance with state and federal guidelines
- b) Appropriateness of training
- c) Progression of training
- d) Job descriptions contained in Training Plan must be consistent with the training
- e) Reasonableness of training time
- f) Specificity of description of skills, and
- g) Appropriate signatures on documents outlined in this On-the-Job Training Practices and Procedures Manual
- h) Updated Employment Plans/Individual Service Strategies
- i) Regular contact with the participant and service notes posted
- j) Completeness, including training plan and assurances
- k) Employer and Participant payroll records
- l) Invoicing and reimbursement documentation and service notes posted

## **5) NEMO Workforce Development Board Monitoring Oversight**

Monitoring of OJT programs is part of the NEMO Workforce Development Board's official oversight responsibility. The NEMO Workforce Development Board will conduct a sub-state monitoring of programs as outlined in NEMO WDB Sub-state monitoring plan with a minimum of 10% of OJT employers who have contracted with the program operator. OJT employer's payroll and training system records will be monitored to ensure on-going integrity and compliance with WDB standards.

## **6) Monitoring Requirements**

Programmatic and contractual compliance is structured to include, but not limited to, the following:

- a) Require the subcontractor to implement the system as outlined in the Northeast Workforce Development Board On-the-Job Training Practices and Procedures Manual for OJT programs funded under the Workforce Innovation and Opportunity Act (WIOA);
- b) Monitor OJT subcontractors at least annually as required by the Financial Manual and in compliance with the NEMO Workforce Development Board's Sub-state Monitoring Plan
- c) Prepare a written report on all monitoring activities and require explanation and/or repayment for any deficiencies noted.
- d) All corrective action responses provided by the Functional Leader shall be submitted to the One-Stop Committee and approved by the WDB board

## **6) Reporting**

Sub-Contractors of the NEMO WDB should report OJT as a program cost on their monthly Financial Contract Progress Report (CPR). Additionally, NEMO WDB reports OJT on a monthly and quarterly basis as a line item on the separate reporting tool provided by Financial Management System. Program compliance will be reviewed and included as part of the sub-state monitoring report.

## VII. Outcomes

When a participant completes the OJT activity, use one of the following **301 OJT Training Service** outcomes and definitions in the participant's case management record:

- Did Not Complete;
- OJT-Related Employment (Employed in the same occupation and/or industry as the OJT; however, not with the OJT employer).
- Non-OJT-Related Employment (Employed in a different occupation and/or industry as the OJT).
- Retained by OJT Employer; and/or
- OJT – Did Not Complete.

**It is important to select the correct OJT Training Service Outcome, as the outcome will effect Performance Measures. Only the outcomes in the bulleted list above are acceptable entries for OJT program participants.**