CareerSource SOUTH FLORIDA

PROCEDURE TRANSMITTAL

SUBJECT:	WIOA Individual Employment Plan (IEP) Requirement	Procedure/Guidance No.: #4 PY21-22
APPLIES TO:	One-Stop Operators and American Job Centers	Effective Date: Immediately
		Revised Date: none
		Expiration Date: Indefinite
REFERENCE:	Workforce Innovation and Opportunity Act (WIOA) Sec. 134(c)(2)(A)(xii)(II)	
	Workforce Innovation and Opportunity Act (WIOA) Law §129(c)(1)(B) & 134(b)(2)(A)(xii)(II)	
	20 Code of Federal Regulations §678.430 & §681.420	

I.   PURPOSE

The purpose of this procedural transmittal is to provide guidance on developing an Individual Employment Plan (IEP) for Workforce Innovation and Opportunity Act (WIOA) Adult and Dislocated Workers that will be used as a guide in assisting the participants in reaching employment goals.

II.   BACKGROUND

The IEP is an individualized career service, under WIOA that is developed jointly by the participant and career advisor when determined appropriate. The plan is an ongoing strategy to identify employment goals, achievement of objectives, and an appropriate combination of services for the participant to achieve the employment goals. This includes providing information on eligible providers of training services and career pathways to attain career objectives.

III. PROCEDURES

A. Completion of the Objective Assessment Summary (OAS)

When the Wagner Peyser (WP) registration has been completed the OAS must be completed for all participants to be used as a guide when assisting the participants in creating employment goals. When the WP participant has been deemed eligible to receive

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WIOA services, the Career Advisor will review the participant's OAS for their strengths, weaknesses, barriers to employment, aptitude ability, education and employment history. The completion of the OAS should serve as the baseline from which short- and long-term specific employment goals are established. A printout of the Employ Miami-Dade (EMD)/Employ Miami (EM) OAS signed by the participant and staff must be kept in their permanent case file, Section II.

B. Conducting Assessments

Assessment is a systematic approach to gathering information about the job seeker's strengths and assets, needs and challenges, interests and goals. This information, in turn, guides the development of the job seeker's IEP and all other case management activities. As such, assessment is considered the foundation of effective case management. Career Advisors must understand and use the various assessments available, be able to interpret the results of multiple assessments, and translate the information obtained through the assessment process into a plan of action.

A wide range of assessment tools are available to Career Advisors, from informal interviews to standardized, nationally recognized tests:

- Initial assessments (i.e., intake questionnaires)
- Interviews (i.e., unstructured and structured)
- Mental and physical ability tests (i.e., Learning Needs Screening Tool)
- Aptitude/abilities assessments (i.e., O*NET Ability Profiler)
- Interest measures (i.e., O*NET Interest Profiler, My Next Move)
- Personality inventories (i.e., Myers-Briggs Type Indicator)
- Occupation-specific assessments (i.e., ProveIt!)

The following guidelines outline the foundation for conducting productive, high-quality assessments:

- Use a comprehensive and exploratory approach that involves both informal and formal assessments.
- Make assessment an ongoing process, allowing multiple opportunities to reassess progress and barriers.
- Use assessment tools that are known to produce valid and reliable results.
- Conduct a variety of tests to understand what is being assessed and for what purpose.
- Administer assessment instruments properly and under conditions that do not adversely affect performance.

Formal assessments should be given in a quiet environment. Administering assessments in places with high traffic or other distractions can affect the job seeker's score and thus alter the reliability of the assessment. The Career Advisor should clearly explain the purpose of each assessment and how to complete it.

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C. Developing the Individual Employment Plan (IEP)

After the career advisor analyzes the results of multiple assessments and determines the participant's strengths, interests, abilities, and potential areas for further development, the Career Advisor and the job seeker will collaborate to develop an Individual Employment Plan (IEP).

The initial IEP shall be completed within 30 days of the initial individualized service. The IEP shall be updated to reflect when changes in activities take place, which alter the original plan of services.

Before creating, the IEP in EMD/EM the Career Advisor must ensure the following has been completed:

- The OAS has been completed.
- The WP participant must have been deemed eligible to receive WIOA services.
- The WIOA Participation has been completed.
- Participant should have completed career exploration and identified clear and specific employment goals.
- The participant's current skills should have been assessed through Basic Skills testing, review of credentials and an analysis of work history.
- Activity 205 for the IEP must be opened at the initiation of the Plan. The service start date should match the IEP creation date.

The IEP is an agreement between the participant and Career Advisor about how the job seeker will progress on the way to meeting his or her goals. IEPs are most effective when tailored to the specific needs of the job seeker, referenced often, and updated regularly to chart and reflect any changes. The Career Advisor will work with participants to develop the IEP that set specific, measurable, obtainable goals and provide reasonable timeframes. The Career advisor should use the content from the IEP as a roadmap to help the job seeker achieve employment. When planning a course of action for an IEP, the career advisor should consider the following:

- The job seeker's vision. Based on the job seeker's current situation, his or her vision is where he or she would like to be after the education, training, or other services are received.
- Next steps. These are the actions the job seeker needs to take at any point in the program or service strategy. This part of the IEP is dynamic and requires updating as the steps are being completed.
- Milestones. Milestones denote when a step in the IEP is complete or an objective has been achieved. They should be specific, measurable, and attainable within a designated timeframe.

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The career advisor should use information gathered during the assessment to understand the job seeker's current situation and how this affects his or her short and long-term plans. Short-term plans including goals, objectives, services, and milestones that are set for the period when services are rendered should be included in the IEP.

Labor market information (LMI) is another key resource for developing an IEP. LMI includes important information on the local job market, such as short-term job openings and wages, high-growth or in-demand occupations and industries, employment trends, and projections of future supply and demand in the labor market. LMI can be used to direct the participant toward careers in occupations or industries that are predicted to have relatively high demands for labor. Career Advisors review current positions in the participant's commuting area to ensure a sufficient number of job openings; and that they connect the available openings to occupations for participant. If the participant does not have the work history to match the available occupations, the Career Advisor refers the participant for more in-depth assessments.

The IEP must document and describe the following:
- The participant's employment goals
- The appropriate achievement objectives
- The determination of the need for training services:
    - Occupational Skills Training (OST)
    - On-the-Job Training (OJT)
    - Customized Training (CT)
    - Incumbent Working Training (IWT)
    - Transitional Jobs (TJ)
    - Pre-Apprenticeship
    - Paid Work Experience (PWE)
- The appropriate combination of services for the participant to achieve the employment objectives

The following must be documented in detail in the IEP for training services:
- The participant had an interview, evaluation, and/or assessment, including career planning, have been determined to be in need of training services,
- Unlikely or unable to obtain or retain employment that leads to economic self-sufficiency,
- In need of training services to obtain or retain employment that leads to economic self-sufficiency, and
- Have the skills and qualifications to successfully complete the program.

The following must be answered in detail in the IEP for all Workbased Training:
- Does the participant need to learn skills for the desired position, or have those skills already been acquired?
- Does the participant have a need for training?
- What is the best way for the participant to obtain the skills needed (i.e., OJT or occupational skills training)
- Can the position be obtained at this company without Workbased Training?
- Is the participant likely to succeed in training?

NOTE: When documenting the need for all training services an explanation of what, when, where, and how must be included. The more details that are added the clearer the roadmap will be in providing the appropriate services to the participant in reaching their employment goals.

A printout of the EMD/EM Career Plan signed by the participant and staff must be kept in their permanent case file, Section II.

Career Advisors should follow this IEP model when collaborating with the participant during the IEP process.
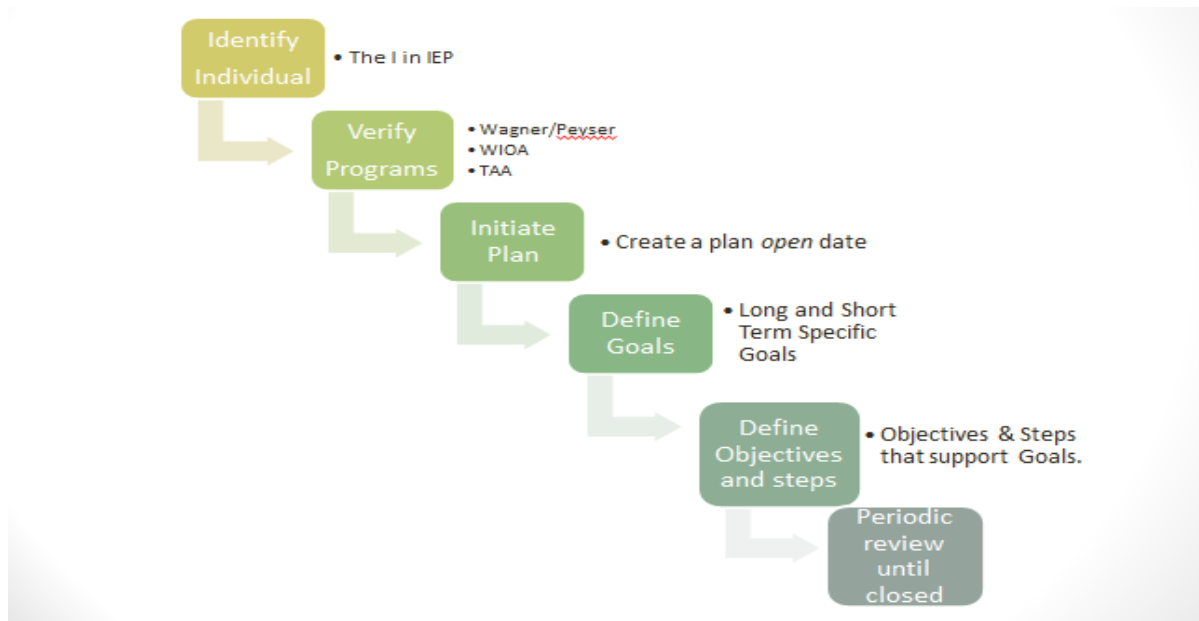
D. Navigation

i.   Creating Objective Assessment Summary (OAS)

Under Staff Profiles click on the Case Management Tab, Chose the Plan Tab, click on Create Objective Assessment Summary:

1. General information about the participant, program enrolled, and plan dates, Employment History and Education, comes from the Registration and Background information. Update as needed.

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2. Information about Employment History must be reviewed and up-dated if necessary.

3. Information about Education and Basic Skills, review and up-date as needed.

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4. Complete these Assessments.

Impression
□ Negative Attitude
□ Lacks Proper Attire
□ Need to Improve Communication Skills

Resume: □
□ Has Acceptable Resume
□ Resume Requires Revision
□ Does not Have Resume
□ Unable to Identify/Communicate Transferable Skills

Application Completion: □
□ Lacks Thoroughness
□ Needs to Address Sensitive Issues (i.e. Criminal Record)
□ Neatness
□ Difficulty Summarizing Skills/Work History

Appearance/Hygiene Issues:
Needs to Learn how to use □
Labor Market Information:

Workplace Behavior Assessment Summary: [Spell Check]

<<Back Cancel Finish Print Next>>

Microsoft Internet Explorer provided by South Florida W
/folders/case/iep/oas/oasemploymenthistory.asp?objectivesummaryidno=908
Objective Assessment Su...

👤 Services for Individuals 👥 Services for Employers

Please complete the Objective Assessment Summary information below. This information is valid for one (1) year.

(*) indicates required fields.   For help click the question mark icon next to each section.

Work Readiness

Dependent Care: □
□ Child Care
□ Special Needs Child
□ Adult Care
□ Not at This Time

Dependent Care Comments:
[Spell Check]

Transportation: □

Drivers License:
□ Has a Valid License
□ Does not have a License
□ Suspended
□ Restrictions
□ DUI

Automobile
□ Owns Automobile
□ Auto Needs Repair
□ Lacks Automobile Insurance
□ Cannot Afford Gasoline
□ Automobile Impounded

Objective Assessment Su...

Contacts: □
□ Telephone in Home
□ Access Telephone (Neighbor/Other)
□ Adequate Contact Person(s)
□ Transient History
□ Not at this time

Work Attire: □
□ Uniforms
□ Interviewing Clothes
□ Needs Work Tools/Equipment

Emergency Food/Nutritional Needs: □
Work Readiness Summary:
[Spell Check]

Workplace Behavior

Motivational Factors Affecting Employment: □
□ Negative Work Attitude
□ Punctuality Issues
□ Attendance Problems
□ Co-Worker Relations Issues

Career Decision Making (Clearly defined goals/plans): □
Interviewing Skills: □
□ Difficulty Making Positive First Impression

Objective Assessment Su...

information below. This information is valid for on

(*) indicates required fields.   For help click the question ma

Health & Behavioral Observations

Health: □
□ Lacks Medical Insurance C
□ Disclosed Disability
□ Needs Glasses
□ Needs Dental Work
□ Speech Impairment
□ Cannot Afford Medication
□ Reasonable Accommodati Required
□ Limitations in Ability to Wo Jobs
□ Health has been cause for Absences from Job
□ Pending Surgery or Medic
□ Not at this time

Behavior: □
□ Demonstrates Low Self-Esteem
□ Demonstrates Behavioral Problems
□ Requires Medication
□ Disclosed Disability
□ Required Therapy/Treatment
□ Not at this time

Substance Abuse: □
□ Seeks Referral for Treatment
□ Failed Drug Test
□ Not at this time

Objective Assessment Su...

Living Environment

Housing: ☑
☑ Homeless
□ Residing in Shelter
□ Facing Possible Eviction
□ Substandard Living Conditions
□ Needs Energy Assistance
□ Resides in Public Housing
□ Not at this time

Home Life: □
□ High Risk Family/Living Situation
□ Lacks Family Support System
□ Victim of Domestic Violence
□ Not at this time

Living Environment Assessment Summary:
[Spell Check]

Economic Factors / Financial Situation

Credit/Financial: ☑
☑ Bankruptcy
☑ Poor Credit History/Bad Debts
□ Needs Money Management Services
□ Needs Consumer Credit Counseling Services
□ Inability to be Bonde
□ Defaulted Student L
□ Not at this time

Economic

Objective Assessment Su...

Barriers To Employment

Lacks Significant Work History: □
Sporadic or Limited Work History: □
Restricted Commuting Distance: □
Restricted Work Schedule: □
Unrealistic Wage Requirements/Expectations: □
Legal Issues: □
□ Ex-Offender
□ Currently on Probation
□ Existing/Pending Workers Compensation Claims
□ Pending Court Appearances
□ Court Ordered to Pay Child Support
□ Wage Garnishment

Single Parent: □
Displaced Homemaker: □
Pregnant or Parenting Youth: □
Runaway Youth: □
LWIA Designated Barrier: □
Other: □
No Barriers to Employment/Work Readiness Issues: □
Employment Barriers Assessment Summary:

Objective Assessment Su...

Other Assistance Received

Public Assistance: □
□ Temporary Aide to Needy Families (TANF)
□ Food Stamps
□ Housing
□ SSI
□ Foster Care
□ Medicaid
□ Not at this time

Partner Services: □
□ Adult Education
□ Job Corps
□ MSFW
□ Native American
□ Veterans
□ TAA
□ NAFTA/TAA
□ Vocational Education
□ Vocational Rehabilitation
□ Wagner-Peyser
□ Community Services Block Grant
□ HUD
□ Older Workers
□ Food Stamp Employment and Training Activities
□ Other

Other Assistance Received Assessment:
[Spell Check]

Barriers To Employment

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5. Record Results of Tests and Assessments.

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6.

7. Printing the OAS: A completed OAS must be printed, signed and dated by the participant and Career Advisor, the original must be maintained in the case file and a copy provided to the participant. If this process is being conducted via an upload into EMD/EM then the email signature confirmation will suffice.

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Duties:
Prepare bodies for interment in conformity with legal requirements.

Health and Behavioral Observations:
Health: Yes
Behavior: Yes
Lacks Medical Insurance Coverage, Demonstrates Low Self-Esteem
Pending Surgery or Medical Leave
Substance Abuse: Yes
Seeks Referral for Treatment
Health and Behavior Observations Summary:
Living Environment:
Housing: Yes
Home Life:
Homeless
Living Enviroment Assessment Summary:
Economic and Financial Situation:
Credit Financial: Yes
Bankruptcy, Poor Credit History/Bad Debts
Economic Factors Situation Assessment:

☐ Reviewed With Customer   ☐ Agree ☐ Disagree
Comments: _____
_____
_____
_____

_____   _____
Customer Signature   Date

_____   _____
Case Manager Signature   Date

## ii.   Creating the Individual Employment Plan (IEP)

The IEP can be found under Staff profiles > Case Management profile > Plan > Create Individual Employment Plan/Service Strategy.

When you click the Create Individual Employment Plan/Individual Service Strategy button, four tabs will appear Plan, Goals, Objectives and Services. Completion of each tab is required to complete the IEP.

1. The Plan Tab contains general information about the participant, program they are enrolled in and plan dates.   Identifying Information: This section contains display-only information, including Plan ID Number, State ID, User ID, Name, Created By, Create On, Last Edited By, and Edited On fields.
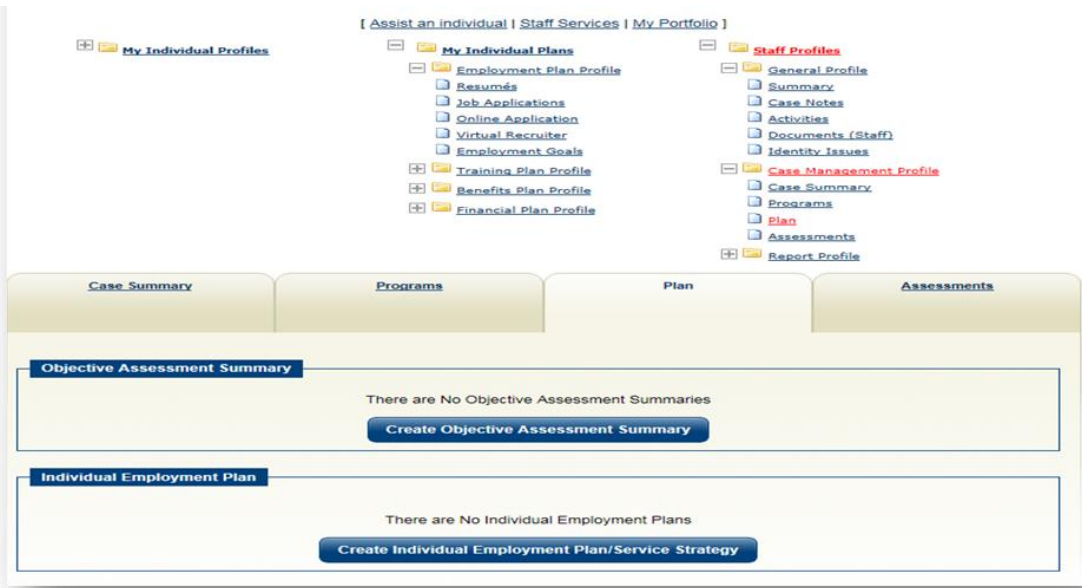
The Currently Participating tab: Displays the programs in which this participant is currently participating, along with application and participation dates.
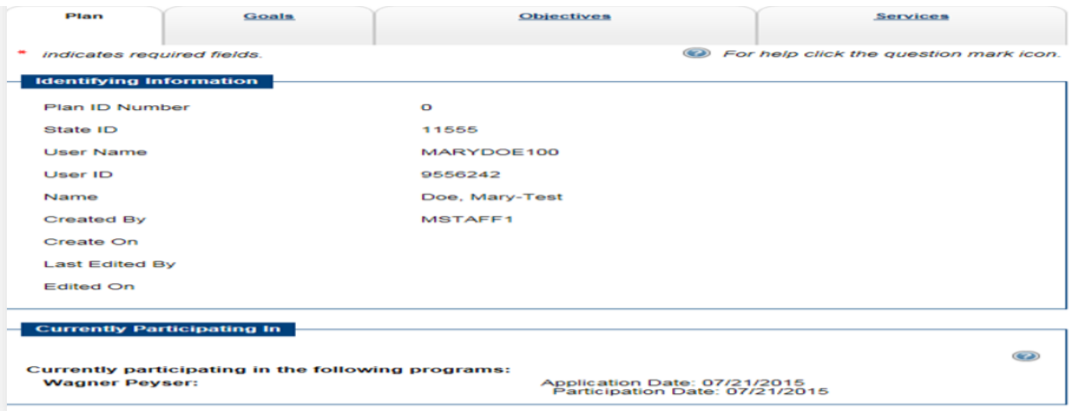
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Plan Information: From this screen, staff can enter or select information as follows: Complete required fields marked with a red asterisk (*).

- Enter the Plan Start Date in the field provided, using a MM/DD/YYYY format (i.e. 12/10/2003).
- You can also click on the calendar icon to select a date, or click the Today link to enter today's date.
- Select the LWDB- Region 23 (CareerSource South Florida) and Office Location from the drop-down menu.
- If you are viewing the information for a previously-created IEP, you will not be able to edit the "Plan start" date, LWDB, or office location.
- Leave plan closed date blank.
- Click the "When printing plan do you want to print services?" check box if you want to print the list of services provided with the IEP plan.

- Click the Next button to save and continue.

The Goal Tab allows you to establish or edit goals for an IEP. The primary goal for Adult/Dislocated Worker participants is unsubsidized employment. ALL Adult/Dislocated Workers must have a short and long term identified employment goal.

General Information: This section lists the Username, Name, and Plan Start Date for the individual you are assisting.
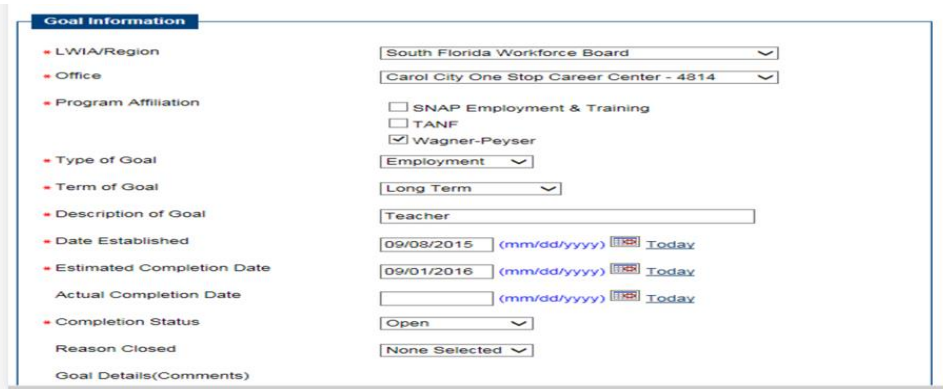
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Goal Information - This section allows you to enter information about the goal. Complete required fields marked with a red asterisk (*). Select a LWDB- Region 23 (CareerSource South Florida) and Office (American Job Center that is managing the IEP). If the participant is co-enrolled in a non-WIOA program staff should also select the co-enrolled program.

Select a Type of Goal: Employment for Adult/Dislocated Workers
- Enter the "Term of the Goal": Long term, short term or intermediate.
- Enter a "Description of the Goal": The description of the goal would include details of the type of employment.
- Enter the "Date Established" using the MM/DD/YYYY format.
- Enter the "Estimated Completion Date" using the MM/DD/YYYY format; the date must be equal to or greater than the "Date Established" field entry.
- Make sure the "Completion Status" is Open (because you are creating the goal).
- Enter additional information (STEPS) in the Goal Details (STEPS) textbox provided. (e.g. Client is interested in the food service industry. Client likes cooking and really wants to work in the food industry).
- Write Steps in the Details Box. Steps are required for every Objective as they relate to the participant. Remember WHO, WHAT, WHEN and WHERE in creating steps.
- Click the Save button.

Objective Details (Comments)

[Spell Check | Clear Text | Remove All Formatting]

Save   Cancel

- Click the Next button to save and continue.

After you save the goal, the Goals screen will refresh with the added goal. Proceed to the Objectives tab by clicking NEXT or by clicking the Objectives tab.

2. The Goal Tab allows you to establish or edit goals for an IEP. The primary goal for Adult/Dislocated Worker participant is unsubsidized employment and employment goals must be identified.

- General Information: This section lists the Username, Name, and Plan Start Date for the individual you are assisting.

- Goal Information - This section allows you to enter information about the goal.
- Complete required fields marked with a red asterisk (*).
- Select a LWDB- Region 23 (CareerSource South Florida) and American Job Center (AJC) that is managing the IEP. If the participant is co-enrolled in a non-WIOA program staff should also select the co-enrolled program.
- Select a Type of Goal: Employment for Adult/Dislocated Workers.

- Enter the Term of the Goal: Long term, short term or intermediate.
- Enter a Description of the Goal: The description of the goal would include details of the type of employment or education.
- Enter the Date Established using the MM/DD/YYYY format.
- Enter the Estimated Completion Date using the MM/DD/YYYY format. This date must be equal to or greater than the Date Established field entry.
- Make sure the Completion Status is Open (because you are creating the goal).
- Enter additional information in the Goal Details (Comments) textbox provided. (e.g. Client is interested in the food service industry. Client likes cooking and really wants to work in the food industry).
- Click the Save button.

After you save the goal, the Goals screen will refresh with the added goal. Proceed to the Objectives tab by clicking "Next" or by clicking the Objectives tab.

3. The Objectives Tab allows for the objectives associated with an IEP to be added. Creating a New Objective.

General Information - This section lists the User Name and Name of the individual you are currently assisting.

Objective Information – If the participant has objectives that are not included in the pre-defined objectives list, you can create a free-form objective by clicking the Add new objective link.

Please note that the established date cannot be earlier than the current date.
- Complete required fields marked with a red asterisk (*).
- Select the associated Goal: Employment or Educational.
- Enter the Objective Date Established.
- Select the Region and American Job Center (AJC) that is managing the IEP.
- Select Program Affiliation: Workforce Innovation and Opportunity Act (WIOA) Program.
- Type the specific Objective.
- Type the Date the objective was established using the MM/DD/YYYY format. You may also click the calendar icon to select the date.
- Type the Review Date using the MM/DD/YYYY format. You may also click the calendar icon to select the date. This date must be equal to or greater than the Date Established field entry.
- Click Save when you are finished.

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Note: The suitability for ITA Training should be documented in the Case Note section entitled "Suitability for Training". The objectives required for ITA:
- Research LMI & Occupations
- Research Training Providers & Programs
- Submit ITA Approval Documents
- Attend Occupational Training
- Click next.

4. The Service Tab displays all services provided for the participant, including Universal (WP), WIOA and Generic. All services provided should relate back to the Objectives and Goals in the IEP.

   General Information - This section displays the User Name and Name of the individual you are currently assisting.

- IEP Services - This section lists the services associated with the IEP. Information displayed includes the App # - program, Service/Activity code, Begin Date, End Date, Provider, and the Staff who recorded the service. Click finish.

5. Results: A completed IEP will populate, this is an agreement between both the participant and the Career Advisor and becomes a living document that can be modified as needed. Goals, Objectives and Services must be updated throughout the participant's active participation while receiving WIOA services. This document becomes the road map to helping the participant reach their goal.

6. Printing the IEP: A completed IEP must be printed, signed and dated by the participant and Career Advisor, the original must be maintained in the case file and a copy provided to the participant. If this process is being conducted via an upload into EMD/EM then the email signature confirmation will suffice.

iii.   Working with Existing Plans

1. If a participant's IEP record exists in the EMD/EM system, the screen that displays is shown below:

#	LWIA/Region	Office Location	Status	# of Goals	Staff	Date	Action
512618	South Florida Workforce Board	CareerSource South Florida - 4810 - West Dade	OPEN	2	Pastrana, Victor	04/03/2018	Edit Delete Display/Print

Create Individual Employment Plan/Service Strategy

Return to the Directory of Services

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2. Click the Edit link to review or modify the existing record.
   - Review or modify an existing goal by accessing the Goal Tab. Enter the modification and/or objectives on the screen that displays and click "Save" to save changes.
   - Review or modify an existing objective.
   - Review services provided to the participant.
   - Click Save to save all changes.
   - Click Print to print the modified IEP.

Note: The objectives and services should be closed as they occur.

iv. **Closing the IEP**

1. When the participant is no longer receiving WIOA services the IEP should be closed at that time. The Objectives will be closed first, followed by the associated Goal(s) and then the Plan itself.

To close the IEP, perform the following tasks.
   - Before closing an IEP all Services, Objectives and Goals associated with the Plan must be closed. A warning message appears if the Services, Objectives and Goals have not been closed.
   - Enter a date to close the IEP in the Plan closed field. Click the calendar icon to select the date or enter a date using the MM/DD/YYYY format.
   - Click the Save button to save entered information.

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