



Local Instruction 23-06 IEP (Replaces Local instruction 18-01) Change 2

To: Local Catawba Workforce Development Area
Subject: Individual Employment Plans
Issuance Date: July 6, 2018
Updated: May 7, 2024
Effective Date: Immediately

Purpose: To issue local policy for the development and effective use of Individual Employment Plans (IEP) for Workforce Innovation and Opportunity Act (WIOA) Title I, Wagner-Peyser (WP), Trade Adjustment Assistance (TAA), Reemployment Services and Eligibility Assessment (RESEA), and Veterans' Services participants.

References:

- Workforce Innovation and Opportunity Act, Public Law 113-128 5134(c)(2)(XII)(II), 20 CFR 5617.20(b), 5678.430(b), 5680.170
- Unemployment Insurance Program Letter (UIPL) 3-17
- Training and Employment Guidance Letters (TEGLs) 16-16, 19-16
- State Instruction 18-01 Individual Employment Plans
- State Instruction 18-06 Youth Objective Assessments and Individual Service Strategies

Background: WIOA merges core and intensive services into "career services" and eliminates the sequence of services model. One category of career services is "individualized career services." Individualized career services may include the development of an IEP to identify participant employment goals, achievement of objectives, and the appropriate combination of services needed for success.

WIOA places a strong emphasis on integration across multiple core and partner programs to ensure alignment in service delivery. In light of this, the primary purpose of an IEP is to outline the provision of services necessary for the participant to achieve his or her employment goals, regardless of program affiliation. The development of an IEP is an individualized process that is created in partnership with the participant and tailored to meet individual goals and needs. An IEP is a living document that should be continually revised and used by staff from multiple programs, as appropriate.

Policy: The IEP must identify a specific employment goal, or goals, and the appropriate objectives and combination of services necessary to achieve the goal(s). An effective IEP uses the SMART principle to create Specific, Measurable, Attainable, Relevant, and Time-driven goals and objectives.

- **Specific**: Specific goals are easy to read and clearly indicate what the participant intends to do. Specific objectives are the action steps outlining exactly what the participant should do in order to achieve the goal.
- **Measurable**: Measurable goals have benchmarks allowing participants to see progress towards successfully achieving the goal. Goals are measurable by the completion of objectives.
- **Attainable**: Specific goals and objectives are attainable if the participant can be realistically expected to complete the goal within the timeframe given.
- **Relevant**: Goals and objectives must be relevant to what the participant is trying to achieve. A relevant goal is based on the participant's work history, education, training, special skills, interests, and aptitudes.
- **Time-driven**: Each goal should be limited to a defined period of time and include a specific timeline for each step of the process. Goals are defined as short, intermediate, or long term:
 - **Short Term**—the goal can be achieved within six months;
 - **Intermediate**—the goal can be achieved within seven to twelve months; and
 - **Long Term**—the goal will require more than one year to be achieved.

At a minimum, IEPs must include the following elements:

- Career goals based on the participant's work history, education, training, special skills, interests, and aptitudes;
- Clearly defined action steps/objectives to be implemented by the participant to meet the employment goal; and
- Any barriers to employment, supportive service needs, and planned methods to address barriers.

Information provided in the IEP should justify each identified career service being provided to the participant, including potential training. An IEP must be developed prior to a participant pursuing any training activities, which should be linked to in-demand industry sectors and occupations. The agreed-upon IEP must be signed by the participant and placed in the participant's file or saved in SC Works Online Services (SCWOS). IEPs developed under the RESEA program do not require a signature. All participants must receive a copy of the agreed upon IEP.

If there is a significant change to the IEP, the amended IEP must be signed by the participant and placed in the participant's file or saved in SCWOS. Significant changes include, but are not limited to, a change in training, work readiness, or participant's employment goal. Significant changes require participant and staff signatures, and a 205/413 to be entered. If extending goals and objectives dates only, a 205/413(Youth) activity must be entered at this time and corresponding case note explaining reason for extension. Alternatively, additional objectives to the same employment goal that are in line with what the participant has already agreed to in the original IEP are not considered a significant change and does not require a renewed participant signature, but an IEP activity code and case note.

Upon completion or amendment of an IEP, the program specific IEP activity code must be entered in SCWOS with a corresponding case note. At a minimum, the case note must include the following elements:

- The participant's occupational goal;
- The labor market outlook for the participant's occupational goal;
- A summary of the participant's existing skills, which may include transferable and occupational skills, including those gained from hobbies or volunteer work;
- A summary of the participant's skill gaps, remedial education, and supportive service needs, if applicable; and
- Justification for referrals to any partner programs or services.

NOTE: Activity code 205 (Adult & DW) & 413 (Youth): Development of Individual Employment Plan is system-generated when an IEP is created in SCWOS for the WP, Veterans' Services and RESEA programs.

The IEP must be reviewed periodically to evaluate the progress of each participant in meeting the identified objectives and must be updated to reflect any changes. Staff, with the exception of the RESEA program, should set alerts for all IEP goals and objectives under "My Staff Resources" in SCWOS. These alerts will notify staff when any objective or goal is nearing the estimated review or completion date. The participant should be contacted and the objectives and/or goal must be updated accordingly by the review or estimated date of completion. To ensure IEPs are being reviewed and updated in accordance with this policy, supervisory staff should monitor alert settings for case managers by running the "Staff Alerts" report under "Detailed Reports" in SCWOS.

IEP Alerts			
	Alert Description	Days	Notify
<input checked="" type="checkbox"/>	IEP Goals Alert This alert will notify you when any IEP goal is nearing the Estimated Date of Completion.	15 days prior None Selected 1 day prior 5 days prior	<input checked="" type="radio"/> On the day only <input type="radio"/> Everyday after
<input checked="" type="checkbox"/>	IEP Objectives Alert This alert will notify you when any IEP Objective is nearing the Review Date of Completion.	15 days prior 30 days prior	<input checked="" type="radio"/> On the day only <input type="radio"/> Everyday after
<input checked="" type="checkbox"/>	IEP Objectives Nearing Review Date of Completion for Case Managers This alert will notify you when any IEP Objective is nearing the Review Date of Completion.	None Selected	<input checked="" type="radio"/> On the day only <input type="radio"/> Everyday after
<input checked="" type="checkbox"/>	IEP Goals Nearing Estimated Completion Date for Case Managers This alert will notify you when any IEP Goal is nearing the Estimated Date of Completion.	None Selected	<input checked="" type="radio"/> On the day only <input type="radio"/> Everyday after

As a participant completes goals and objectives affiliated with a program, those goals and objectives must be closed in the IEP. The plan itself must be closed by the last case manager assigned to the participant upon exit from the remaining program in which the participant is enrolled. A new IEP should be opened upon program reentry, as appropriate.

Due to the nature and schedule of the RESEA program, goals and objectives developed by RESEA staff will remain open unless closed during the subsequent RESEA appointment, which may or may not occur. The intent of the RESEA program is to provide Unemployment Insurance (UI) claimants entry to a wide array of available resources that support reemployment and connect claimants to the direct provision of individualized career services, as appropriate. Thus, RESEA participants are required to be enrolled in the WP program. IEPs

developed as part of the RESEA initial appointment will be affiliated with the WP program in SCWOS. A corresponding case note must be entered in accordance with this policy. If an individual returns for a subsequent RESEA program appointment, RESEA staff must review and update the IEP goal(s) and objectives, as appropriate and enter a corresponding case note. Should an individual in the RESEA program become assigned to another staff member's caseload, the assigned case manager, regardless of program affiliation, is able to update and revise the IEP, to include closing old or completed goals and objectives.

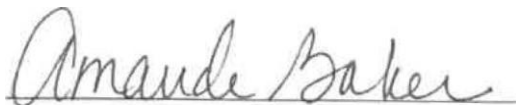
To avoid duplicative goals by partner programs for co-enrolled participants, multiple programs should be selected under "Program Affiliation(s)" when adding to the IEP, as appropriate, Objectives to the goals are program specific, but must be updated rather than duplicated. Co-enrollment may result in different goals and objectives in the IEP, but only one IEP can be open per participant.

Goals and Objectives Established:

Goal #	Program Affiliation(s)	Type Of Goal	Term Of Goal	Date Established	Estimated Completion Date	Actual Completion Date	Status
1	WIOA, WP	Employment	Intermediate Term	2/17/2018	10/30/2018		Open
Goal Description: Obtain full-time, sustainable employment in welding							

Action: Program Managers are responsible for ensuring IEPs are developed and managed in accordance with this policy for their respective programs.

Inquiries: Local questions may be directed to Amanda Baker at 803.327.9041 or abaker@catawbacog.org.



Amanda Baker, WIOA Administrator