



EASTERN WORKFORCE INVESTMENT BOARD, INC.

Proudly serving Adair, Cherokee, McIntosh, Muskogee, Okmulgee, Sequoyah and Wagoner Counties in Oklahoma

INDIVIDUAL EMPLOYMENT PLAN POLICY AND PROCEDURES

EFFECTIVE OCTOBER 1, 2008
UPDATED FEBRUARY 17, 2009

EWIB is an Equal Opportunity Employer/Program
Auxiliary Aids and Services are Available upon Request to Individuals with Disabilities

GUIDANCE

The Workforce Investment Act of 1998 (P.L. 105.220) and 810 20 CFR 652 Workforce Investment Act; Final Rules will be used as the legislative and regulatory guidance for this document. OETI 14-2005 change 1 is the State of Oklahoma guidance for Individual Employment Plans.

POLICY:

1. Eastern Workforce Investment Board will ensure that services are provided to individuals who:
 - Meet the eligibility requirements for WIA;
 - This criterion includes the Local Priority Groups as determined by the Board which can be found in the current Adult and Dislocated Worker Service Delivery Policy and the Youth Services Delivery Policy at www.easternwib.com.
 - Are enrolled and actively participating in Staff-Assisted Core, Intensive and/or Training Services; and
 - Have been determined after case management to need assistance to complete training or obtain/ retain employment.
2. It shall be the policy of Eastern Workforce Investment Board, Inc. (EWIB), that the customer assessment and development of a Independent Employment Plan (IEP) shall be done in a manner that complies with the Workforce Investment Act (WIA), the implementing Federal regulations, other applicable State and Federal laws and regulations, and the Eastern Workforce Investment Board policies and procedures.
3. Eastern Workforce Investment Board will determine the annual contractor budget for the provision of services to complete an IEP contingent on the approval of EWIB Finance and Executive Committees after receiving the recommendation of the Board Staff.
4. On behalf of the Eastern Workforce Investment Board, the Board Staff will develop procedures based on this policy that conform to the pertinent legislation, regulation, state issued polices, and the Board's intent to provide quality customer services in a timely manner.
5. Individual Employment Plan Procedures based on the policies of Eastern Workforce Investment Board or any future modifications to the Individual Employment Plan Procedures are not required to be reviewed by Eastern Workforce Investment Board, the Policy and/ or Executive Committees; however, the Individual Employment Plan Procedures may be reviewed and modified at the request of the Board, the Policy and/ or Executive Committees.
6. Any modifications to the Individual Employment Plan Procedures will be based on federal and state legislation, regulation, state issued polices, and Eastern Workforce Investment Board policies.

Developing the Individual Employment Plan (IEP)

Customers who need and are eligible for WIA-funded Adult and Dislocated Worker Intensive or Training Service under Title 1 are required to develop an Individual Employment Plan (IEP) under the guidance of the State's IEP policy (**OETI #14-2005 Change 1**) and EWIB's IEP policies and procedures. The decision to develop an IEP is made when conducting the Plan Development interview and customers select an Occupational Skills product that requires WIA funding. The following procedures must be used to develop the IEP prior to the customer obtaining the product.

Comprehensive Assessment and Individual Employment Plan development must be conducted with all Workforce Oklahoma participants who wish to enter training and used in conjunction with one another. Although an Initial Assessment (core service) should be completed using the information as a basis for a comprehensive assessment before developing an IEP. The assessment and employment plan shall follow the logical order listed below:

- Determine the Employment Goal – Determine the occupational goal upon which the plan will be developed.
- Identifying Barriers and Needs – Determine the obstacles that participants need to address and overcome to attain their employment goal(s).
- Develop an Employment Plan – Assign services and training to address identified needs and barriers.
- Conduct Progress Reviews – Conduct periodic reviews of the participant and their plan to determine progress and any related problems that may arise.

The guidance for the Assessment/IEP process is the Oklahoma Service Link (OSL) Employment Plan. Supportive documentation for required fields must be organized in the same sequence as the fields in the OSL Employment Plan.

A. Determine Employment Goal(s)

Staff will review the BEP and/or EEP in Oklahoma Service Link. If the customer has not developed an employment goal, the staff member must follow the steps listed on the following page to assist the customer in creating one.

The employment goal shall be established by using a self-directed career decision-making or job matching process to determine the job match for training and services. This process will ensure participants are being trained in a demand occupation that leads to a self-sufficient salary and they have a probable chance for success. Procedures must provide a description of the process including supportive documentation maintained in the IEP section of the case file verifying how employment goals are determined.

The two options below allow the customer more time and resources in considering their selected goal(s). Staff will ensure there are employment opportunities in the selected goal(s) and the average wage is an acceptable wage. Staff will visit with customers about their readiness to make decisions and select one of the career decision making options below:

Option 1: Directed at a customer who needs additional assistance with selecting an employment goal. This option matches job traits and occupations to determine a customer's suitability for a particular job. The tools in this process offer more in-depth assessment instruments, career exploration, and the use of systematic tools for selecting goals.

Option 2: Career Counseling Worksheet (CCW). Directed at a customer who struggled with the employment goal process in the Welcome Function. The CCW, with instructions, can be found on the web site <http://www.workforceok.ou.edu/>. If the customer is unable to make a decision, s(he) will need to switch to the Option 1 method.

In some cases, the customer may select an occupation in which the provider does not conduct training, there is no labor market demand, or there is other rationale for not providing training in the chosen occupation. A review may be conducted of that occupation's cluster and a related occupation may be jointly agreed to if the provider conducts training in that occupation. If individuals are not satisfied with that occupation, they may be directed to the resource room, where other financial aid may be researched for their chosen occupation. Documentation of this action must be provided in the "Additional Notes" field of the OSL Employment Plan.

If customers are currently in training with money from another source paying the training costs, the participant is not required to go through the job matching process. However, the following steps must be taken to verify that his/her employment goals meet the criteria for demand occupations, they have a probable chance for success, and the occupation wages should lead to a self-sufficient salary, before service or training can be received:

- Confirm that participants have an employment goal(s) and it matches their training. If not, they must proceed to the job matching process described in the providers' job matching procedures for determining an employment goal.
- Review the demand occupations list to determine if the occupation, for which they are training, is a demand occupation.
- Conduct a review of their training/education progress to assure that they have a probable chance to successfully complete the training.
- Use an occupational information source, such as the OKCIS occupations section, to allow the participants to review information about their employment goals such as wages, outlook, and other related occupations.

When the customer has completed a job matching process to determine his/her employment goal with another agency or institution, the provider is encouraged to use those results. However, to assure they have completed a quality process, the following steps must be taken:

- Review all career assessment results including codes or scores to assure probable chance for success and file a copy of codes or scores.
- Review the demand occupations list to determine if the occupation, for which they are training, is a demand occupation.
- Obtain the name of the LMI or occupational information used in the career research.

The reason the customer selected his/her particular employment goal must be entered in the OSL Employment Plan field "Justification for Employment Goal".

B. Vocational Goal

The vocational goal is the occupational skills training goal that will enable the customer to attain their employment goal(s). The goal is sanctioned by the staff as one in which the customer have a probable chance for success. Procedures must contain elements of the goal (e.g., training course title, expectation from training, etc.) If training is not being funded by WIA Title I, it should be noted in the OSL Employment Plan "Vocational Goal" field.

C. Plan for Identifying and Overcoming Barriers/Needs

The assessment of needs covers basic skills, job getting skills, occupational skills, and job keeping skills. Assessment/IEP procedures must include these 4 categories and ensure that participants are assessed for complete employability readiness. Once needs are identified, a plan of service/training must be developed to address them. These categories are listed below with explanations.

1. Plan for Identifying Barriers/Needs

- a) **Basic Skills** – Procedures must contain how basic educational skills will be assessed and what supportive documentation will be included in the IEP section of the case file. This process shall include the use of appropriate tests and any other relevant information. The method for determining need for assistance and how it is applied must be stated in the procedures (i.e., participants reading below an 8.9 grade level needs assistance).
- b) **Job Keeping Skills** – Procedures must contain how job keeping skills will be assessed and what supportive documentation will be included in the IEP section of the case file. The method for determining need for assistance and how it is applied should be stated in the procedures. An example includes the use of a criterion-based checklist that is completed along with an interview that reveals personal problems have interfered with past employment. This would indicate a need for assistance.
- c) **Occupational Skills** – Procedures must contain how basic occupational skills will be assessed and what supportive documentation will be included in the IEP section of the case file. A method for determining need for assistance and how it is applied must be stated in the procedures. One example includes the use of a criterion-based checklist completed in an interview and reveals participants have no job experience or training in their employment goal. This would indicate a need for assistance.
- d) **Job Getting Skills** – Procedures must contain how job getting skills will be assessed and what supportive documentation will be included in the IEP section of the case file. The method for determining need for assistance and how it is applied should be stated in the procedures. An example indicating a need for assistance includes the use of a criterion-based checklist completed along with an interview and reveals that the participant is unable to find suitable employment, regardless of having marketable occupational skills in their employment goal.

2. Plan for Overcoming Identified Barriers/Needs

Procedures must contain how the appropriate service/training is matched to the identified need for each of the four categories.

Results of this Identifying and Overcoming Barriers/Needs section shall be entered in the OSL Employment Plan field “Plan for Overcoming Barriers” according to instructions provided in the Individual Plan Reference Chart.

D. Economic Statement and Planning

Procedures must include a process for reviewing “other grant assistance” or any other income sources that will aid them in achieving their employment goal(s). Also, include resources such as food stamps, TANF, child support, housing subsidy, etc.

E. Supportive Service and Assistive Technology Needs

Procedures must contain how supportive service needs are identified, including any assistive technology needs. A best practice use would include administering a checklist with the most common needs (e.g., Disabled, Transportation, financial problems, etc.) followed with a discussion of those checked. Each provider may develop the list of needs used in their area.

F. Post Employment Needs

Procedures must describe the process for assessing post employment needs including follow-up services. These needs will not be addressed until after the participant exits. Because the OSL Employment Plan closes and cannot be opened after participants exit, any follow-up services planned after exit must be documented in the OSL Program Notes section.

G. Client Involvement Statement

According to the regulations, the IEP is “an ongoing strategy jointly developed by the participant and the Case Manager that identifies the participant’s employment goals, the appropriate achievement objectives, and appropriate combination of services for the participant to achieve the employment goals.” Workforce investment areas shall design their IEP procedures to involve participants in the employment planning process and create a client involvement statement to be signed by participants and Case Managers verifying their participation. This statement may appear in the “Client Involvement” field of the OSL Plan and verified with signatures after printing, or a separate hard copy page including the client involvement statement and the verification statement, found at the bottom of the OSL Plan, may be signed and filed with the plan. Case Managers should use their discretion to override participant decisions contrary to program policy or law. On these occasions, Case Managers will provide appropriate rationale in the “Additional Notes” section of the OSL Employment Plan.

H. Progress Review and IEP Modification

Progress Review – The IEP is an ongoing process jointly developed by the participant and the Case Manager. Periodic progress reviews shall be conducted and documented in the OSL Program Notes section. Procedures must describe how this ongoing process will be conducted. The WIB defines the term “periodic” as any type of contact concerning the participant at least once per month (e.g. the participant, supervisor, instructor, etc.) AND a face-to-face contact with the participant at least once per quarter. Additional progress reviews shall be initiated when a problem or change necessitates an IEP modification. An example of the modification process is provided in the “Client Progress Review” field.

I. Additional Notes

This field includes notes used to document details directly related to the original planning process (e.g., supportive services, occupational assessment, etc.). After the original planning process has been completed, notes regarding the OSL Employment Plan will be maintained in the OSL Program Notes sections. An example of how notes related to the original planning process should be recorded is provided in the “Additional Notes” field. Documentation in the “Additional Notes” field or Program Notes section will follow the guidelines listed below:

1. Date – Date the notes were written. If notes are related to an action in the plan, it should reflect the same date as the plan. Stating the date first will provide a method of tracking any notes from an OSL Employment plan field.

2. OSL Employment Plan Field – If the notes apply to an Employment Plan field such as “Justification for Employment Goal,” write the name of the field behind the date before adding the notes. Using the date and the field assists in tracking.

SUPPORT AND REQUIRED DOCUMENTATION FOR OSL EMPLOYMENT PLAN

Support documentation, with a copy of the OSL Employment Plan, will be maintained in the IEP section of the case file. The must follow the requirements listed below.

IEP Case Checklist – For tracking purpose, an IEP case checklist will be used as a cover sheet for the IEP Case section. It should be organized as follows:

- State the titles of each of the OSL Employment Plan fields in the same order as they are in the Employment Plan. If state policy or local procedures do not require support for a field, do not include it on the cover sheet.
- State the support document title (e.g., Supportive Service Checklist, SDS Score sheet, etc.) under the field title that it supports.
- When a document is filed it should be checked on the checklist allowing the Case Manager to know if the document is in the file and its location.

Required Documents for IEP:

1. IEP Case Checklist
2. Copy of the OSL Employment Plan
3. Copy of Program Notes (after initial IEP development)
4. Occupational Assessment and Career Research – Any career assessment instrument results or score sheets used.
5. Plan for Overcoming Identified Barriers – Documentation of how the needs were determined and the services and/or training was assigned to address those needs.
6. Economic Need Statement – Documentation of financial need and available resources.
7. Required Supportive Services During Active Participation – Documentation of how supportive service needs were identified (e.g., checklist)

Documentation in Oklahoma Service Link

Data validation will be documented in accordance with **OETI #14-2005 change 1**. The intensive service “Individual Employment Plan” is entered as a quick service. The IEP will be completed in the “OSL Client Notes” in the following format:

Instructions	Example
<p>Occupational Assessment and Career Research</p> <ol style="list-style-type: none"> Occupational Assessment – Using the selected combined career assessment program or career assessment instruments, record the instrument name(s) and results. If customers are currently enrolled in training, record “currently enrolled” Career Research – Record name of occupational information used 	<ol style="list-style-type: none"> <u>Assessment</u> – 08/23/2008 WorkKeys CRC Score: AM - 4, LI - 2, RI - 3 <u>Career Research</u> – CCW
<p>Justification for Employment Goal Record the employment goal resulting from a decision-making process and record the title with rationale for selection. If the goal cannot be sanctioned by the Case Manager, provide an explanation under the field “Additional Notes.”</p>	<p><u>Goal</u>: CNA <u>Rationale</u>: CNA was selected by the customer and occupational assessment and career research indicates that there is a demand and probable chance for success in the employment goal.</p>
<p>Justification for Vocational Goal If non-WIA training is provided: Record the occupational training goal and how it will assist in achieving the employment goal. Record source of funds. If no training products are selected, record “None.” If all other funds have been exhausted for training and customer is WIA eligible, an IEP must be completed in place of this EEP; Reference OETI #14-2005 Change 1.</p>	<p>Successfully completing the Connors State College Nursing program will assist Daffy in reaching his employment goal</p> <p>Funds: Pell Grant</p>
<p>Client Strength</p>	<p>Not in use</p>
<p>Plan for Overcoming Identified Barriers or Needs Record the following information</p> <ul style="list-style-type: none"> Date of plan Record the skills category Needs in the skills category Achievement objective Projected start and end dates <p>If there are no needs in a category, record the category and note that there is no deficiency.</p>	<p>Date: 9/15/04</p> <ol style="list-style-type: none"> <u>Basic Skills</u>– Foundational Skills – increase skill level in LI to at least a 3 using KeyTrain Start: 09/05/2008; End: 03/15/2009 <u>Job Keeping Skills</u> – Job Seeking Skills – complete Job Search Overview workshop Start: 01/05/2009; End: 05/15/2009 <u>Occupational skills</u> – Occupational Skills – Complete Connors State College RN coursework Start: 08/15/2009; End 07/31/2011 <u>Job Getting Skills</u> – WorkKeys – Take WorkKeys to receive CRCs in AM, LI, RI Start: 03/15/2009; End: 05/15/2009
<p>Assistive Technology Need for Achieving Goals Record the date of service. If the customer has a disability, identify it and describe any accommodations that will be made to assist customers in achieving their stated goal(s).</p>	<p>Date: 09/15/04 – Customer has been diagnosed with a hearing problem and has been referred to Vocational Rehabilitation for assistance with the purchase of a hearing aid.</p>
<p>Client Responsibilities and Agency Responsibilities</p>	<p>Optional</p>
<p>Economic Need Statement and Planning Record that the customer has exhausted other grant assistance to pay for training cost. List any other financial sources that will support and assist in the attainment of the employment goal.</p>	<p>WIA Title I Adult program funds will pay for the customer’s training cost. She is unable to obtain enough grant money for her training. Jane’s only other source of income is from SSA in the amount of \$632.00 per month.</p>
<p>Required Supportive Services During Active Participation Record date need was identified, any supportive service needs and supportive service provided.</p>	<p>Date: 09/15/04 – Transportation problems – OCIA will provide Jane with travel assistance money</p>
<p>Post Employment Needs Record the required information in the OSL Program Notes section</p>	<p>Record in OSL Program Notes section</p>
<p>Client Involvement Statement</p>	<p>In consulting with my Case Manager, I have determined that the employment goal and service strategy stated in the IEP is my choice and is consistent with my assessment results. I also understand that this is a general plan of services and training and it is neither an entitlement nor a contract between the program and the customer.</p>



INDIVIDUAL EMPLOYMENT PLAN CHECKLIST

CUSTOMER NAME: _____

OSL No. _____

I. PLANS

- OSL Service Link Employment Plan
- Program Notes

II. OCCUPATIONAL ASSESSMENT AND CAREER RESEARCH

- Career assessment and instruments score sheets

III. PLAN FOR OVERCOMING IDENTIFIED BARRIERS

- Basic Skills
 - Reading and Math Test Score Sheet
 - Inventory of Employment and Training Issues
- Job Keeping Skills
 - Employment History
- Occupational Skills
 - Employment History
- Job Getting Skills
 - Employment History

IV. ECONOMIC NEED STATEMENT

- Economic Needs Determination

V. SUPPORTIVE SERVICES NEEDS

- Supportive Services Determinations