

**Region 4 Workforce Board
WIOA Adult Individual Employment Plan (IEP)**

PURPOSE: An Individual Employment Plan (IEP) is an individual plan for a participant which includes an employment goal, appropriate achievement objectives and the appropriate combination of services for the participant based on the objective assessment. The IEP is used as the basic instrument for a local area to document appropriateness of decisions made about the mix and combination of services, including referrals to programs for specific activities.

REFERENCES: WIOA sec. 134(c)(2)(A)(xii)(II); :WIOA § 680.170

BACKGROUND: The individual employment plan (IEP) is an individualized career service that is developed jointly by the participant and the career planner when determined appropriate by the one-stop center or one-stop partner. The plan is an ongoing strategy to identify employment goals, achievement objectives, and an appropriate combination of services for the participant to achieve the employment goals.

The Individual Employment Plan (IEP) identifies employment goals, appropriate achievement objectives, and appropriate combination of services for the participant to reach the goals. The IEP should be based on the objective assessment and should reflect the expressed interests and needs of the participant. The goals identified must be mutually agreed upon between the case manager and the participant to ensure positive performance. The IEP is a "living document" and the actual plan remains open during participation until exit. The IEP Development activity should be opened and exited on the same day.

CONTENT: An IEP is a specific plan developed for each participant that is based on the objective assessment and identifies an employment goal (including, in appropriate circumstances, nontraditional employment), an educational goal, appropriate achievement objectives, and appropriate services for the participant.

- A. **Developing an IEP and Participation** - The IEP shall be developed in partnership (mutually agreed) with the participant. The IEP is the framework for justifying decisions concerning the appropriate service mix and sequence of services. The IEP must be signed by both the staff member and customer. The IEP is used as the basic instrument for the local area to document appropriateness of decisions made about the mix and combination of services, including referrals to other programs for specified activities. IEPs are one of the most effective ways to serve individuals with barriers to employment, and to coordinate the various services, including training services, they may need to overcome these barriers. **See attachment A.** Case notes may provide additional clarification regarding progress of plan.

In general the IEP should:

- Identify employment goals, training and educational goals, needs and barriers, objective assessment results including testing information, and appropriate services for the participant. **Both initial goals (ex. part-time employment, training) and long-term goals (Career) should be included.**
 - **Employment Goal** - The employment goal is determined as a result of an assessment consisting of an interview, evaluation, and/or testing. Determination of the employment goal will ensure participants are being trained in demand occupations that lead to self-sufficient wages.
 - **Needs and Barriers** - The assessment identifies potential needs and barriers that hinder the participant from achieving the selected employment goal. Needs and barriers may include, but are not limited to, assistive technology needs, supportive service needs, and skills gaps (including job search skills, job readiness skills, and job retention skills) with appropriate justification for all services to be provided.

- **Training Services:** When needed to achieve employment goals – the criteria in ITA policy must be met. The case file must contain a determination of the need for training services as determined through the interview, evaluation, or assessment, and career planning or any other career service received.

- As a reminder, the determination of the need for training services must be documented as part of the participant's Individual Employment Plan and/or case notes.

- **Action Plan** - The action plan outlines the participant's steps to complete their employment goal. This will include such things as job search activities, training and educational needs to assist them in attaining their employment goal through licensure, certification and/or skills development. The plan will include measurable steps and include timelines and who is responsible for completion of each step.

- Be based on the objective assessment and reflect the expressed interests and needs of the participant.
- Be jointly developed with the participant; meaning the participant's input shall be taken into account and the participant shall have full knowledge of its contents. The goals must be mutually agreed upon. Participant must sign IEP.
- It is a living document that should be added to or adjusted as the participant and case manager deem necessary.
- When reviewing the IEP, case managers should document a participant's progress, activities completed, benchmarks reached, and any other accomplishments. Case notes may provide information on progress.
- The IEP must be updated to reflect changes in long-term or short term goals, newly identified or changed barriers that would change objectives, or other life changes that may affect goal attainment.

Note: All participants who have received funding must have a signed copy of the IEP in their paper or scanned file.

- B. Update the IEP** –Review and update the IEP whenever there are significant changes in the participant's circumstances, goals or plan of action. Be sure to involve the participant in any modification of the IEP. Case manager and participant need to sign modification of IEP. A case note must be entered regarding the updated IEP.

Once an IEP is developed and approved, it can be used in the ongoing process of reevaluating the participant's progress toward his or her employment and educational goals. Case notes may be utilized to report on progress or areas of concern in meeting the goals of the IEP.

- C. Guidance on IEP Activity in Indiana Career Connect (ICC)
 - a. IEP activity should be completed in ICC.
 - b. Development of an IEP is an enter/exit activity and should be entered and exited on the same day as the activity. Exceptions may occur that would cause the IEP to be open for a short period of time. (note: select provider of service that you are employed by i.e. JobWorks, DWD)
 - c. An IEP activity should be entered each time a significant change is made to the IEP.

Effective: July 2018
May 2019

Region 4 Individual Employment Plan			
Customer Name:	Last 4 SS#	Date	
Program Enrollment: Adult <input type="checkbox"/> DW <input type="checkbox"/>			
Assessments and Testing			
Assessment Interview/Evaluation	WorkKeys if provided	Other – identify	
Date:	Date:		
Basic Employment Plan			
Employment Status:			
Work History: see ICC Work History information			
Goals:			
Action Plan: (Measurable steps to employment, responsible party, start and anticipated end dates)			
Goals:			
Action Plan: (Measurable steps to employment, responsible party, start and anticipated end dates)			
Needs and/or Barriers: (Transportation, Work Clothing, Child Care, training, etc.)			
Plan to Overcome:			
Training Plan			

Occupational Skill Training _____	On-the-Job Training _____	Customized Training _____
On Occupation in Demand List: _____ Y/N _____ Training approved for region 4 on ETPL: _____ Y/N _____		
Based on the assessment/evaluation, summarize:		
Customer is unable to obtain/retain employment that leads to self- sufficiency – because:		
Have skills/qualifications to successfully complete – examples are:		
Is in need of training- because:		
What other resources are available to assist?		
Community resources _____	State resource _____	
Partner resources _____	Federal resources (Pell, et.) _____	
Training Provider: _____		
Training Program: _____		ETPL Program ID: _____

OST Start Date _____
OST Actual End Date _____

OST Planned End Date _____

Supportive Service Needs:

What other resources are available to assist?

Budget and Financial Plan

See attachments B&C (must include other financial sources sought including Pell)

Commitment

Training Customer Responsibility Statement - **I understand that I must:**

1. Agree to contact the designated Case Manager at a minimum of once a month, or more, as needed.
2. Agree to receive and respond to text messages from WorkOne in regards to monthly contact and follow up.
3. If provided training resources, attend training regularly and make satisfactory progress.
4. Actively seek and accept training related employment upon completion of services.
5. Provide specific information regarding employment before leaving the program.
6. Respond to all surveys and other requests for information including follow-up interviews after leaving the program.
7. Notify the Case Manager of changes in:
 - Training Status
 - Employment Status (including part-time and temporary work)
 - Eligibility for Pell or other grants
 - Address or Phone Number

This plan has been jointly developed with the customer. The customer agrees to the above plan and will participate to the fullest extent possible. The customer understands that this is a plan subject to the availability of funds and that failure to actively participate in this plan may lead to loss of financial assistance and result in termination from the program.

Client Signature: _____

Date: _____

Case Manager Signature: _____

Date: _____

Significant Modifications/changes:

Client Signature: _____

Date: _____

Case Manager Signature: _____

Date: _____