

**SOP 21-01**  
**Workforce Innovation and Opportunity Act (WIOA)**  
**Service Delivery**  
**Standard Operating Procedures**  
**Grow Southwest Indiana Region 11**  
**Approval Date: 03/26/2021**

**Purpose**

To ensure that all WIOA Title I participants, including those participating through Dislocated Worker Grants (DWGS), are appropriately assessed to determine eligibility and need for individualized career and training services.

**Rescission**

None

**Action**

DWD Policy 2020-10 Workforce Innovation and Opportunity Act (WIOA) will be implemented as Region 11 SOP 21-01.

**Content**

***Background***

WIOA provides individuals with barriers to employment access to employment, education, training, and supportive services that are necessary to succeed in the labor market. Appropriate assessment of a participant's skills and employment needs combines with effective career planning to significantly improve the likelihood of successful outcomes and the efficient, effective, and appropriate use of finite funding.

***Service Types***

Career services are:

1. Basic,
2. Individualized, and
3. Follow- up.

Provision of individualized career services will be based on the employment needs of the participant as determined by the individual and the case manager. These three distinctions of service levels are not intended to imply that there is a sequence or services; these services may be provided in any order. This approach provides local areas and service provider with flexibility to target services that meet the customer needs and still allow for tracking of outcomes for reporting purposes.

### **Basic Career Services**

Universally accessible, Basic Career services will be made available to all individuals seeking services. Involving less staff time and engagement, they include such services as:

- Eligibility determinations,
- Initial skills assessment,
- Labor exchange services,
- Provision of information on programs and services, and
- Program referrals.

### **Individual Career Services**

After American Job Center staff determine that such services are required to retain or obtain employment, Individualized Career services will be provided to participants. Involving significant staff time and customized to each individual's needs, this category of career services includes such services as:

- Specialized assessment,
- Developing an Individual Employment Plan (IEP),
- Career counseling, and
- Work experiences.

### **Follow-up Services**

Follow-up services will be provided as appropriate for participants who are placed in unsubsidized employment for up to 12 months after the first day of employment. Follow-up services include services such as:

- Adult mentoring,
- Labor market information,
- Financial literacy education, and
- Referral to community resources.

### **Training Services**

To obtain or retain employment, Training services improve a participant's knowledge, skills, and abilities; they may also lead to an industry-recognized credential or degree required for employment. Only after an interview, evaluation, or assessment determines that an individual is unable or unlikely through career services alone to obtain employment that leads to economic self-sufficiency or wages comparable to or higher than wages from their previous employment, training services may be made available to a participant. Training services include such services as:

- Occupational skills training,
- On-the-job training and skills training, and

- Upgrading.

At a minimum, a participant will receive either an interview, evaluation or assessment, career planning, research, or any other method through which the WorkOne staff or partner staff can obtain enough information to determine whether the participant is eligible for training services under WIOA Sec. 134(c)(3)(A)(i). If appropriate and completed within the last six months, a recent interview, evaluation, or assessment, may be use for assessment purposes. Except for the career services referred to in this paragraph, there is no requirement that career services be provided as a condition to receiving training services.

### ***Individualized Career and Training Service Delivery***

To assist the participant in the selection of an appropriate employment goals, a case manager will be knowledgeable about the industry and occupational requirements of the jobs in the local area. If not familiar, then the participant and case manager will conduct career research utilizing local/regional labor market information.

If the participant has any barriers to employment that need to be addressed by additional career and/or training services, an objective assessment is required; the assessment purpose is to assist participants and case managers make decisions about the service strategies that are necessary to reach employment.

Assessment may include, but are not limited to:

- WorkKeys,
- ICE (Indiana Career Explorer),
- TABE (Test of Adult Basic Education), or
- Other approved assessment tools, and
- In-depth review of work and educational history.

This assessment will be thorough enough for the case manager and participant to develop an IEP. IEPs will be reviewed and updated on a regular basis, as established by local policy to document progress of goals and identification of new needs.

Assessment results, determination, IEP, and all additional career and training services provided will be documented in the state's case management system. Case notes are a critical part of documentation. Region 11 case mangers will follow local area case noting policies/procedures. Case notes will contain the determination of the need an eligibility for individualized career and/or training services as well as the justification for the determination. If career services, such as the assessment, are not provided before training, WorkOne staff will document the circumstances that justified the determination to provide training services without first providing career services.

**Action**

Region 11 will develop procedures that clearly enable staff to implement this policy. All staff will be trained on this policy and local area procedures. Region 11 will monitor effective training and that procedures are followed by staff. Contents of the policy will be part of the regular WIO monitoring conducted by DWD compliance.

**Effective Date**

Immediately

**Ending Date**

Upon Recission