

SOP 21-01 Change 1
Workforce Innovation and Opportunity Act (WIOA)
Service Delivery
Standard Operating Procedures
Grow Southwest Indiana Region 11
Revision Date: 05/17/2024

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 used 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 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 managers will follow local area case noting policies/procedures. Case notes will contain the determination of the need and 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.

Unemployment Insurance Claimant Assistance

Unemployment insurance claimants are to be provided "meaningful assistance" defined as providing assistance by phone or via other technology, as long as the assistance is provided by trained and available staff and within a reasonable time.

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 procedures followed by staff. Contents of the policy will be part of the regular WIO monitoring conducted by DWD compliance.

Attachments

Attachment A – References

Attachment B - Participation Level Services Chart for WIOA Title I Adult and Dislocated Worker

Effective Date

Immediately

Ending Date

Upon Recission

Attachment A

References

- WIOA Section 2 and 134
- 20CFR 678.425 and 678.430
- 20 CFR 680.210 and 680.220
- *TEGL 19-16 Guidance on Services provided through the Adult and Dislocated Worker Programs under the Workforce Innovation and Opportunity Act (WIOA) and the Wagner-Peyser Act Employment Services (ES), as amended by Title III of WIOA, and for implementation of the WIOA Final Rule, Attachment II - Participation Level Services Chart WIOA Title I Adult and Dislocated Worker*
- *DWD Technical Assistance 2023-10 Follow Up Services for WIOA Title I Adult and Dislocated Worker Program Participants*
- *DWD Policy 2019-04, Change 2 Workforce Innovation and Opportunity Act (WIOA) Title I Adult Priority of Service*

Attachment B
Participation Level Services Chart
for WIOA Title I Adult and Dislocated Worker

Adult/DW Service Type [WIOA sections 134 (c)]	Does this service trigger inclusion as a participant?	Service Category
Eligibility Determination	No	Basic Career Service
Outreach, Intake, Orientation	No	Basic Career Service
Initial assessment of skill level & other service needs	Yes	Basic Career Service
Job search assistance (self-directed)	No	Basic Career Service
Job search assistance (staff-assisted)	Yes	Basic Career Service
Placement assistance (includes “Referred to Employment”) (Staff-assisted)	Ye	Basic Career Service
Career Counseling (includes “Staff-assisted career guidance”)	Yes	Basic Career Service
Providing info on in-demand sectors, occupations, or nontraditional employment	No	Basic Career Service
Provision of referrals and associated coordination of activities with other programs and services	Yes	Basic Career Service
Provision of workforce and labor market employment statistics information	No	Basic Career Services
Provision of info on job vacancies	No	Basic Career Services
Provision of info on job skills necessary to fill vacancies	No	Basic Career Services
Provision of info on local demand occupations, with earning, skill requirement, and opportunities for advancement for those jobs	No	Basic Career Services
Provision of performance and program cost info for providers of education and training	No	Basic Career Services
Provision of info on local performance	No	Basic Career Services
Provision of info on availability of supportive services or assistance	No	Basic Career Services
Referral to supportive services	No	Basic Career Services

Adult/DW Service Type [WIOA sections 134 (c)]	Does this service trigger inclusion as a participant?	Service Category
Provision of information and meaningful assistance filing for UI	Yes	Basic Career Services
Assistance establishing eligibility for financial aid	Yes	Basic Career Services
Comprehensive and specialized assessments	Yes	Individualized Career Service
Development of IEP	Yes	Individualized Career Service
Group counseling	Yes	Individualized Career Service
Individual counseling	Yes	Individualized Career Service
Career planning	Yes	Individualized Career Service
Short-term prevocational services	Yes	Individualized Career Service
Internships and work experiences including transitional jobs	Yes	Individualized Career Service
Workforce preparation activities	Yes	Individualized Career Service
Financial literacy services	Yes	Individualized Career Service
Out-of-area job search assistance and relocation assistance	Yes	Individualized Career Service
English-language acquisition and integrated education and training programs	Yes	Individualized Career Service
Training service under WIOA section 134 (c) (3)(D) with exception of section 134 (c) (3) (D) (iii) (incumbent worker training)	Yes	Training
Follow up services	n/a (must be a participant first to receive)	Follow up service
Incumbent Worker Training	No*	Training

*Although incumbent worker training is not a self-service or information only service, individuals are not required to meet eligibility requirements for the Adult or Dislocated Worker programs to receive incumbent worker training.