

MARYLAND WORKFORCE DEVELOPMENT SYSTEM

# Maryland Policy Issuance

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**Policy Issuance No. 03-2014**     **Policy**    **Information**    **Guidance**

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**To:** Workforce Investment Board Chairs  
Workforce Investment Board Directors  
Title I Administrators

**From:** Julie Squire, Assistant Secretary      
Department of Workforce Development and Adult Learning (DWDAL)

**Date:** February 25, 2014

**Effective Date:** April 4, 2014

**Expiration Date:** Until rescinded

**GWIB Approval Date:** N/A

**Authority:** CFR 663.240 (a) and (b), CFR 663.245

**Subject:** Individual Employment Plans (IEP)

**Purpose:** The State of Maryland is committed to a Workforce Investment Act (WIA) policy that provides effective comprehensive assessment and Individual Employment Plans (IEP) for participants enrolled in Adult and Dislocated Worker training under Title I. This policy establishes the minimum standards for procedures to be developed and adopted by each WIA Title I program. The state bases this policy on CFR 663.240 (a) and (b), CFR 663.245, and best practices.

**Background:** The Federal Register / Vol. 65, No. 156 / p 49294 and 49295/ Friday, August 11, 2000 / Rules and Regulations, describe the role of WIBs as one of "focusing on strategic planning, policy development and oversight of the local workforce investment system." This state policy is based on the Workforce Investment Act and provides minimum procedures for Individual Employment Plan (IEP) development for Local Workforce Investment Boards (LWIBs) to utilize in the development of their board policy and to direct their providers in the development of an IEP. The regulations call for states to "establish policies, interpretations, guidelines, and definitions to implement provisions of Title I of WIA." This policy includes the state's minimum requirements to LWIBs for the development of IEP procedures.

**Policy :**

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 the appropriate combination of services for the participant to achieve their employment goals. This policy contains the minimum required elements for development of an IEP. LWIBs are required to develop local policy that reflects the elements outlined in this issuance and may contain more detailed instructions.

The Individual Employment Plan is developed as a result of the Comprehensive Assessment and is flexible and on-going based on the participant's needs and must contain, at a minimum, the following elements:

- Employment Goal
- Needs and Barriers
- Training Goal
- Client Involvement Statement

**A. Employment Goal(s)**

The employment goal is determined as a result of a comprehensive assessment consisting of 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 and in which they have a probable chance for success.

**B. Needs and Barriers**

The comprehensive 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's needs, and skills gaps (including job search skills, job readiness skills, job retention skills) as defined by LWIB policy. In addition, all needs and barriers identified at the time of program enrollment must be addressed in the Service and Training Plan and/or Program Notes.

**C. Training Goals**

The goal(s) outlines the participant's training/educational needs to assist them in attaining their employment goal through licensure, certification and/or skills development. The training goal should be one that allows the participant to have a probable chance for successful completion and obtain gainful employment.

#### D. Client Involvement Statement

The Client Involvement Statement is an agreement signed by the participant and case manager that verifies that the IEP was jointly developed and is an on-going strategy. LWIBs may design their own Client Involvement Statement.

#### ADDITIONAL DOCUMENTATION REQUIREMENTS

##### Program Notes

Progress reviews of the IEP goals must be documented in the Program Notes. LWIB policy will determine the frequency and the content of the progress reviews.

##### Service and Training Plan

The IEP, upon development, must be entered as a quick service. In addition, most goals set in the IEP will require a service entered to the Service and Training Plan.

##### IEP Goal Update

Updates to the IEP goals are initiated as changes occur in the employment, training or needs and/or barriers goals. Prior to entering a new goal, any previous goal of the same type must be updated. Goal updates happen when the status of the current goal is no longer pending and/ or a new goal is set.

#### **Action Required by LWIB:**

This state policy is based on the Workforce Investment Act and provides minimum guidance for LWIBs in the development of their board policy and to direct their providers (if applicable) in the development of Assessment/IEP procedures. Providers should submit their Assessment/IEP procedures to the LWIB for review and approval. LWIB staff will conduct monitoring to assure that processes are being conducted in accordance with approved policies and procedures. The State will provide oversight to assure the LWIBs and their providers are in compliance with these guidelines.

#### **Inquiries:**

Assistant Secretary's Office  
Division of Workforce and Adult Learning  
1100 N. Eutaw Street  
Baltimore, Maryland 21201