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**To:** WED Area Directors  
WED Regional Managers

**From:** Grey Parks, Assistant Executive Director – Workforce Operations   
Susan M. Boone – Chief Legal Officer 

**Subject:** Individual Employment Plan (IEP) Procedures for Trade Adjustment Assistance (TAA) Staff

**Date:** July 10, 2018

The Workforce Innovation and Opportunity Act (WIOA) places a strong emphasis on integration across multiple core and partner programs to ensure alignment in service delivery. In light of this, the primary purpose of an IEP is to outline the provision of services necessary for the participant to achieve his or her employment goals, regardless of program affiliation. The development of an IEP is an individualized process that is created in partnership with the participant and tailored to meet individual goals and needs. An IEP is a living document that will be continually revised and used by staff from multiple programs, as appropriate.

IEPs must be developed and managed in accordance with State Instruction 18-01. Additionally, TAA staff must complete an initial interview with the participant to determine the participant's goals and needs. The interview must be documented with a detailed case note and Activity Code 102: Initial Assessment must be entered in SCWOS prior to developing an initial IEP or amending an already existing IEP. Upon completion or amendment of an IEP, Activity Code 205: Development of Individual Employment Plan must be entered in SCWOS with a corresponding case note. An IEP must be created or revised for each separate TAA application. Furthermore, an IEP must be developed prior to a participant pursuing any training activities.

Procedures for developing and managing effective IEPs are attached to this memo and can be located in SCWOS under Staff Online Resources. State policy and technical guidance is available on the [State Policy and Technical Guidance](#) page in scworks.org. All TAA staff is required to read and acknowledge State Instruction 18-01 in the [DEW Policy Center](#) no later than July 31, 2018.

Questions regarding the IEP policy or procedures should be submitted to the applicable Regional Manager for communication to state level staff, as appropriate.

Attachment

## Individual Employment Plans in SCWOS

All IEPs must be developed and managed in accordance with State Instruction 18-01. State policy and technical guidance is available on the [State Policy and Technical Guidance](#) page in [scwos.org](#). Questions regarding the IEP policy or procedures should be submitted to the applicable Program Manager for communication to state level staff, as appropriate.

The Individual Employment Plan (IEP) is used to identify participant employment goals, achievement of objectives, and the appropriate combination of services needed for success. The IEP must identify a specific employment goal and the appropriate objectives and combination of services necessary to achieve the goal. An effective IEP uses the SMART principle to create Specific, Measurable, Attainable, Relevant, and Time-driven goals and objectives.

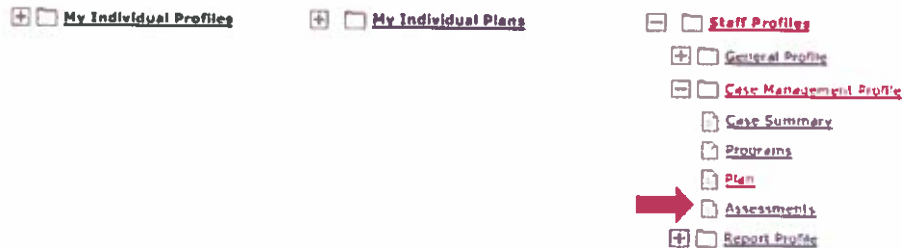
- **Specific:** Specific goals are easy to read and clearly indicate what the participant intends to do. Specific objectives clearly lay out action steps so participants know exactly what needs to be done in order to achieve their goals.
- **Measurable:** Measurable goals and objectives allow participants to see that they are achieving goals or completing objectives toward achieving a goal. Goals are measurable by the completion of objectives.
- **Attainable:** Specific goals and objectives are attainable if the participant can be realistically expected to complete the goal within the timeframe given.
- **Relevant:** Goals and objectives must be relevant to what the participant is trying to achieve. A relevant objective will be an action step toward completing a goal. A relevant goal is based on the participant's work history, education, training, special skills, interests, aptitudes, and reasons for coming to the SC Works Center.
- **Time-driven:** Each goal should be limited to a defined period of time and include a specific timeline for each step of the process. Goals are defined as short, intermediate, or long term. An attainable short term goal can be completed within six months; an intermediate goal can be achieved between six months and twelve months; and a long term goal can be completed after one year.

### Additional IEP Requirements by Program:

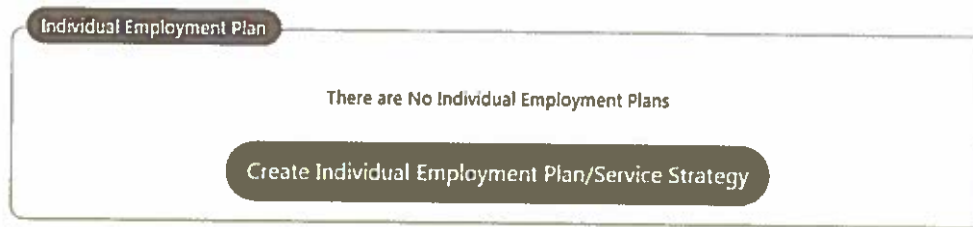
- **WP/Veterans' Services** – Staff must complete the Objective Assessment in SCWOS prior to developing an initial IEP. If an IEP currently exists in SCWOS, but the Objective Assessment has not been completed, the Objective Assessment must be completed prior to updating the IEP. Activity code 203: Comprehensive Specialized Assessment is system-generated upon completion of the Objective Assessment.
- **Ticket-to-Work** – Staff must comply with additional requirements under the Social Security Administration (SSA). This includes the completion of an Individual Work Plan (IWP), a paper-based document that must be kept in the participant's locked file.
- **TAA** – Staff must complete an initial interview with the participant to determine the participant's goals and needs. The interview must be documented with a detailed case note and Activity Code 102: Initial Assessment must be entered in SCWOS prior to developing an initial IEP. An IEP must be created or revised for each separate TAA application. Furthermore, an IEP must be developed prior to a participant pursuing any training activities.

### Initial IEP Creation

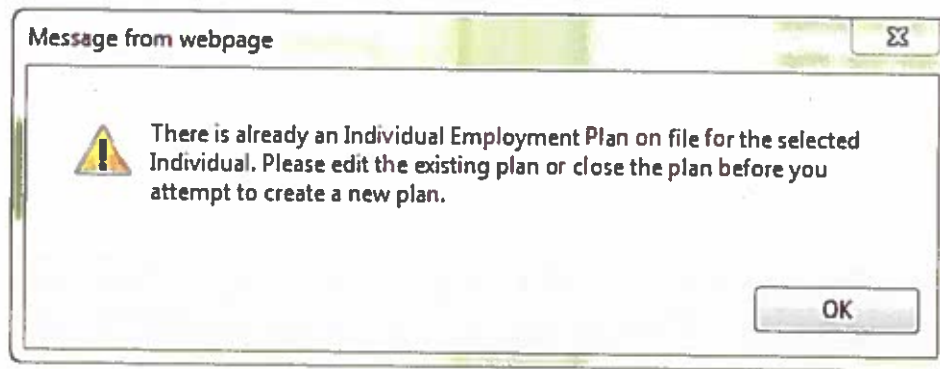
Select the individual in SCWOS for whom you need to create an IEP. Expand the **Staff Profiles** link; expand the **Case Management Profile**; and select **Plan**.



Under the **Plan** tab of the Case Management Profile, staff must click the **Create Individual Employment Plan/Service Strategy** button.



A participant may have only one plan open at any given time. If Staff selects the create IEP/ISS button when a plan is already open, an error message will appear, indicating that a plan is already open and that Staff will need to close out the plan before attempting to create a new plan.



Once staff has clicked the create IEP/ISS button, staff must enter or select information as follows:

- Enter the **Plan Start Date** using the MM/DD/YYYY format.
- Select the **LWIA/Region** from the drop-down menu.
- Select the **Plan Started in Office Location** from the drop-down menu.
- Review other fields for information.

- Click the **Next** button to save and continue with this IEP record. The next screen will open to Goal Information in order to create your first goal. You may also go to the Goals tab to create a new goal as explained below.

## Goals



Goals must be created using the SMART principle discussed above. Goals must be based on the participant's work history, education, training, interests, and aptitudes.

Under the Goals tab, click the **Add New Goal** link to enter the participant's desired goal.



Goals must be added before objectives. Complete the required fields marked with a red asterisk. Select options from the drop-down lists or checkboxes:

- **Select a LWDB/Region.**  
This should prepopulate from information entered on the Create IEP/ISS page.
- **Select an Office.**  
This should prepopulate from information entered on the Create IEP/ISS page.

- **Select a Program Affiliation.**
- **Select a Type of Goal.**
- **Enter the Term of Goal.**  
Goals are defined as short, intermediate, or long term. An attainable short term goal can be completed within six months; an intermediate goal can be achieved between six months and twelve months; and a long term goal can be completed after one year.
- **Type the goal description in Description of Goal.**
- **Enter the Date Established** using the MM/DD/YYYY format.
- **Enter the Estimated Completion Date** using the MM/DD/YYYY format.  
This date should be consistent with the Term of Goal entry entered above.

- Make sure that the **Completion Status** is Open.  
If you were closing the goal you would select Closed and then indicate the Reason Closed, i.e., Successful or Unsuccessful.
- Enter specific information in the **Goal Details (Comments)** box, as appropriate.  
The Goal Details should be used in order to clarify the goal entered in the Description of Goal box. Remember the more specific and clear you can be here, the more useful the IEP will be for the participant reviewing the plan later and any other partners who may be working with the participant.
- Click the **Save** button.

After the goal is saved, the Goals screen will refresh with the added goal and a link on the right side to Edit or Delete the goal.

IEP Goals

#	Goal	Date Established	Est. date for Completion	Program	Staff	Status	Action
319861	Employment - Full-time, sustained employment as a law enforcement officer	05/24/2018	10/31/2019	WP	Smith, Jane	Open	<a href="#">Edit</a> <a href="#">Delete</a>
319862	Training - Obtain a GED	05/24/2018	01/16/2019	WP	Smith, Jane	Open	<a href="#">Edit</a> <a href="#">Delete</a>

[Add New Goal](#)

[Exit Wizard](#)

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Next >>

Proceed to the Objectives tab by clicking **Next** or by clicking the Objectives tab.

### Objectives



Click the **Objectives** tab. You can add a pre-defined objective or manual objective. Manual objectives are created from beginning to the end. You determine the title and nature of the manual objective. Pre-defined Objectives are less time-consuming.

**Objective Information**

Goal Description	Objective	Date Established	Review Date	Program(s)	Staff	Status
No Objective Records						
<a href="#">Add new objective</a> <a href="#">Select pre-defined objectives</a>						

For pre-defined objectives, click the **Select pre-defined objectives** link. Staff must enter or select the information as follows:

**Objective Information**

\* **Goal**  
 Obtain a GED ▼

\* **LWDB/Region**  
 WorkLink ▼

\* **Office Location**  
 Easley Center ▼

\* **Program Affiliation**  
 Title III - Wagner-Peyser (WP) ▼

- **Select the Associated Goal.**  
 LWDB/Region and Office Location should prepopulate from information entered earlier during registration.
- **Select the Program Affiliation.**
- **Check the box for the Pre-defined Objective to be created.**

<input type="checkbox"/> Practice WIN	<input type="text"/> <small>(mm/dd/yyyy)</small> Today	<input type="text"/> <small>(mm/dd/yyyy)</small> Today
<input checked="" type="checkbox"/> Take TABE	<input type="text" value="05/24/2018"/> <small>(mm/dd/yyyy)</small> Today	<input type="text" value="06/07/2018"/> <small>(mm/dd/yyyy)</small> Today
<input type="checkbox"/> Practice Aztec	<input type="text"/> <small>(mm/dd/yyyy)</small> Today	<input type="text"/> <small>(mm/dd/yyyy)</small> Today

- **Enter the Date Established.**
- **Enter the Review Date.**
- **Click Save or click Cancel to exit without saving.**  
 Comments can be added to a generic pre-defined objective after saving the pre-defined objective by selecting Edit next to the objective to be edited on the Objective tab.

For manual objectives, click the **Add new objective** link. Staff must enter or select the information as follows:

- **Select the Associated Goal.**  
The Goal Date Established will then prepopulate. LWDB/Region and Office Location should already be prepopulated.
- **Select the Program Affiliation.**
- **Type the specific Objective.**
- **Enter the Date Established** using the MM/DD/YYYY format.
- **Enter the Review Date** using the MM/DD/YYYY format.
- **Enter Objective Details (Comments)** to further clarify the objective, as appropriate.
- Click **Save** or click **Cancel** to exit without saving.

**Working with Existing Plans**

Expand the Staff Profiles link; expand the Case Management Profile; and select Plan. An existing IEP will appear under the Individual Employment Plan section of the Plan tab. Staff may edit the plan by selecting the Edit link on the right side of the IEP listed.

Individual Employment Plan							
#	LWIA/Region	Office Location	Status	# of Goals	Staff	Date	Action
186834	WorkLink	Easley Center	OPEN	2	Smith, Jane	05/24/2018	<a href="#">Edit</a> <a href="#">Delete</a> <a href="#">Display/Print</a>

To avoid duplicative goals by partner programs for co-enrolled participants, multiple programs should be selected under "Program Affiliation(s)" when adding to the IEP, as appropriate. Objectives to the goals are program specific, but must be updated rather than duplicated. Co-enrollment may result in different goals and objectives in the IEP.

Goal #	Program Affiliation (s)	Type of Goal	Term of Goal	Date Established	Estimated Date of Completion	Actual Completion Date	Status
1	WIOA, WP	Employment	Intermediate Term	2/17/1018	10/30/2018		Open
Goal Description: Full-time, sustainable employment in welding							
Comments:							

**Closing an IEP**

As a participant completes goals and objectives affiliated with a program, those goals and objectives must be closed in the IEP. The IEP must be closed by the last case manager for the participant upon exit

from the remaining program in which the participant is enrolled. A new IEP should be opened upon program reentry, as appropriate.

Before closing an IEP, you must close all remaining goals and objectives listed in the IEP. If you do not close the goals and objectives first, you will receive a warning message advising you to close all goals and objectives before closing the plan.

To **close an objective**, return to the objectives tab and select Edit beside the goal to be closed.

Action

Edit Delete

- Enter the **Actual Completion Date**.
- Change the **Completion Status** to Closed.
- Select the **Reason Closed**, i.e., Successful or Unsuccessful.
- If appropriate, add comments in the **Objective Details** text box to provide further details or to explain a successful/unsuccessful close.

To **close a goal**, return to the Goals tab and select Edit beside the goal to be closed.

- Enter the **Actual Completion Date**.
- Change the **Completion Status** to Closed.
- Select the **Reason Closed**, i.e., Successful or Unsuccessful.
- If appropriate, add comments in the **Objective Details** text box to explain a successful/unsuccessful close.

To **close the IEP**, return to the Plan tab.

- Enter the **Plan closed on date** using the MM/DD/YYYY format.
- Click the **Next** button at the bottom. This will save the entry.
- Click the **Exit Wizard** link.
- Click **Okay** when the system warns about closing without saving. By clicking the next button prior to selecting the exit wizard, changes were saved.

Plan	<u>Goals</u>	
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On the Plan tab under the Case Management Profile, the IEP status will now indicate that the IEP status as CLOSED.

Individual Employment Plan							
#	LWIA/Region	Office Location	Status	# of Goals	Staff	Date	Action
186834	WorkLink	Easley Center	CLOSED	2	Smith, Jane	05/24/2018	<a href="#">Edit</a> <a href="#">Delete</a> <a href="#">Display/Print</a>

If an IEP is closed in error, it can be reopened.

- Select Edit beside the closed IEP.
- Remove the date from the Plan closed on box.
- Click the Next button at the bottom. This will save the entry.
- Click the Exit Wizard link.
- Click Okay when the system warns about closing the exit wizard without saving. By clicking the next button prior to selecting the exit wizard, changes were saved.
- The Plan Status will then read as OPEN.



Upon completion or amendment of an IEP, the following IEP activity code should be entered in SCWOS according to the program of service:

- WIOA Adult/Dislocated Worker, WP/VET, RESEA, TTW, TAA – activity code 205: Development of Individual Employment Plan
- WIOA Youth – activity code 413: Develop Service Strategies

NOTE: Activity code 205: Development of Individual Employment Plan is system-generated when an IEP is created or amended in SCWOS for the WP, Veterans' Services and RESEA programs.

Additionally, a corresponding IEP case note must be entered in SCWOS. At a minimum, the case note must include the following elements:

- The participant's occupational goal;
- The labor market outlook for the participant's occupational goal;
- A summary of the participant's existing skills, which may include transferable and occupational skills, including those gained from hobbies or volunteer work;
- A summary of the participant's skill gaps, remedial education, and supportive service needs, if applicable; and
- Justification for referrals to any partner programs or services.