

**To:** Indiana's Workforce System

**From:** Indiana Department of Workforce Development (DWD)

**Date:** April 5, 2024

**Subject:** DWD Policy 2020-10, Change 1  
Workforce Innovation and Opportunity Act (WIOA) Title I Service Delivery

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## 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.

## Change 1 Summary

This policy includes the following changes:

- Additional clarification is now provided on unemployment insurance claimant assistance;
- The *Follow-Up Services* section has been updated to align with DWD TA 2023-10: *Follow-Up Services for WIOA Title I Adult and Dislocated Worker Program Participants*; and
- **Attachment B**, *Participation Level Services Chart for WIOA Title I Adult and Dislocated Worker*, has been added.

## Rescission

- DWD Policy 2020-10 *Workforce Innovation and Opportunity Act (WIOA) Title I Service Delivery*
- DWD Memorandum *Interim Guidance on the Delivery of WIOA Title I Adult and Dislocated Worker Services and the Impact on Participation and Exit Dates*, July 2, 2015

## References

See **Attachment A**.

## Content

### *Background*

WIOA provides individuals,<sup>1</sup> particularly those with barriers to employment, access to opportunities for the employment, education, training, and supportive services necessary to succeed in the labor market.<sup>2</sup> It is crucial to understand how appropriate assessment and career planning affects subsequent service

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<sup>1</sup> For details on how priority of service affects the delivery of career and training services, refer to DWD's *Adult Priority of Service* policy.

<sup>2</sup> WIOA Sec. 2.

delivery and outcomes. The proper assessment of a participant's skills and employment needs combined with effective career planning significantly improves the likelihood of successful outcomes and the efficient, effective, and appropriate use of finite funding.

### **Service Types<sup>3</sup>**

There are three types of career services: basic career services, individualized career services, and follow-up services. The provision of individualized career services must be based on the employment needs of the individual as determined jointly by the individual and the case manager. Although WIOA distinguishes between basic and individualized career levels of service, this distinction is not intended to imply that there is a sequence of services. These services can be provided in any order.<sup>4</sup> Career services under this approach provide local areas and service providers with flexibility to target services that meet the needs of the customer, while still allowing for the tracking of outcomes for reporting purposes.

#### **Basic Career Services**

Basic career services are universally accessible and must be made available to all individuals seeking services. Generally, these services involve less staff time and engagement. They include such services as: eligibility determinations, initial skill assessments, labor exchange services, provision of information on programs and services, and program referrals.

#### **Individualized Career Services**

Individualized career services must be provided to participants after WorkOne/American Job Center (WorkOne/AJC) staff determine that such services are required to retain or obtain employment. Generally, these services involve significant staff time and are customized to each individual's needs. Individualized career services include such services as: specialized assessments, developing an Individual Employment Plan (IEP), career counseling, and work experiences.<sup>5</sup>

#### **Follow-up Services<sup>6</sup>**

For a minimum of 12 months after the first day of unsubsidized employment, follow-up services must be provided to Adult and Dislocated Worker program participants who have exited the program, as determined appropriate by the Local WDB.<sup>7</sup> These services are designed to help individuals retain unsubsidized employment. The types of services and the duration of services must be determined based on the needs of the individual and, therefore, the type and intensity of follow-up services may differ for each participant.

#### **Training Services**

Training services are meant to improve a participant's knowledge, skills, and abilities that are required to retain or obtain employment. They may also lead to an industry recognized credential or degree required for employment. Training services may be made available to a participant only after an interview, evaluation or assessment determines that the individual is unlikely or unable, through career services alone, to retain or obtain employment that leads to economic self-sufficiency or wages

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<sup>3</sup> See **Attachment B** for additional guidance on service categories and program participation for WIOA Title I Adult and Dislocated Worker.

<sup>4</sup> 20 CFR 678.425(b).

<sup>5</sup> TEGL 19-16.

<sup>6</sup> See DWD's *Follow-Up Services for WIOA Title I Adult and Dislocated Worker Program* Participants technical assistance for additional guidance.

<sup>7</sup> Follow-up services do not trigger or extend participation.

comparable to or higher than wages from their previous employment.<sup>8</sup> Training services include such services as: occupational skills training, on-the-job training and skills training, and upgrading.

A participant must, at a minimum, receive either an interview, evaluation or assessment, career planning, research, or any other method through which the WorkOne/AJC 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). Where appropriate, a recent interview, evaluation, or assessment, may be used for assessment purposes, if it has been completed within the last six months. 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***

A case manager must be knowledgeable about the industry and occupational requirements of the jobs in their local area to assist the participant in selecting an appropriate employment goal. If the case manager is not familiar with the industry and/or occupation being considered, then the participant and the case manager must conduct career research utilizing local/regional labor market information.

An objective assessment is required to determine if the participant has any barriers to employment that need to be addressed by additional career and/or training services. The purpose of the assessment is to help participants and case managers make decisions about the service strategies necessary to reach the employment goal.

Assessments may include but are not limited to: WorkKeys, Indiana Career Explorer, TABE, or other approved assessment tools as well as an in-depth review of work and educational history. The assessment must be thorough enough for the case manager and participant to develop an appropriate IEP. Once developed, IEPs are to be reviewed and updated on a regular basis, as established by local policy, to document progress and identify new needs.

The assessment results, determinations, IEP, and all additional career and training services that are provided must be documented in the state's case management system. A critical component of documentation is case noting. Case managers should follow established local area case noting policies and/or procedures. When the participant's service strategy includes individualized career and/or training services, case notes must contain the determination of the need and eligibility for those services, under 20 CFR 680.210, as well as the justification for the determination. If career services, such as the assessment, are not provided before training, WorkOne AJC staff must document the circumstances that justified the determination to provide training services without first providing career services.<sup>9</sup>

### ***Unemployment Insurance Claimant Assistance***

Unemployment insurance claimants seeking assistance at a WorkOne/AJC are to be provided "meaningful assistance." 20 CFR 678.430(a)(10)(i)(B) defines "meaningful assistance" as:

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<sup>8</sup> 20 CFR 680.210.

<sup>9</sup> 20 CFR 680.220(b).

- 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

Each local area must develop procedures that clearly enable staff to implement the content of this policy. All staff must be trained in the implementation of this policy and local area procedures. Local areas must ensure that effective training has taken place and that procedures are consistently being followed by staff. The content of this policy is subject to routine WIOA 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 rescission.

## Additional Information

Questions regarding the content of this publication should be directed to [policy@dwd.in.gov](mailto:policy@dwd.in.gov).

## Attachment A References

- WIOA Sections 2 and 134
- 20 CFR 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<sup>10</sup>Participation Level Services Chart for WIOA Title I Adult and Dislocated Worker<sup>11</sup>

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)	Yes	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 Service
Provision of info on job vacancies	No	Basic Career Service
Provision of info on job skills necessary to fill vacancies	No	Basic Career Service
Provision of info on local demand occupations, with earnings, skill requirements, and opportunities for advancement for those jobs	No	Basic Career Service
Provision of performance and program cost info for providers of education and training	No	Basic Career Service
Provision of info on local performance	No	Basic Career Service
Provision of info on availability of supportive services or assistance	No	Basic Career Service
Referral to supportive services	No	Basic Career Service
Provision of information and meaningful assistance filing for UI	Yes	Basic Career Service
Assistance establishing eligibility for financial aid	Yes	Basic Career Service

<sup>10</sup> TEGL 19-16, Attachment II.

<sup>11</sup> This table does not include all available services that may be provided, but rather those services specifically authorized under WIOA sec. 134(c)(2). **NOTE: Per TEGL 19-16, Attachment II, while supportive services and follow up services do not trigger participation, these services can only be provided to someone who has already received a participant-level service.**

<b>Adult/DW Service Type (WIOA sections 134(c))</b>	<b>Does this service trigger inclusion as a participant?</b>	<b>Service Category</b>
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 services 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 services
Incumbent Worker Training	No <sup>12</sup>	Training

<sup>12</sup> 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.