



Missouri Division of Workforce Development
DWD Issuance 06-2013

Issued: August 20, 2013
Effective: August 20, 2013

Subject: Statewide Employment Plan Development Policy

1. Purpose: The Issuance is written to define the common data required to be included in Employment Plan (EP) of the Division of Workforce Development's (DWD) information management system.
2. Background: As a result of DWD's Programmatic Monitoring reviews and findings, it was necessary to establish a statewide policy that provides clear and consistent requirements that must be included for all EPs.
3. Substance: This policy provides a comprehensive guide to Missouri Career Center staff in the required elements in the development of EPs.
4. Action: The effective date of this policy is August 20, 2013. Each Missouri Career Center and Workforce Investment Board shall incorporate this policy into their daily operations.
5. Contact: Direct questions or comments regarding this issuance to Steve Reznicek, Manager, Compliance, Monitoring, and Training, by telephone at (573) 522-3015 or by email at steve.reznicek@ded.mo.gov.
6. Reference: Workforce Investment Act (WIA) of 1998 at 663.240, 663.240(a), 663.240(b), 663.245, and Subpart B-Intensive Services.

The Unemployment Compensation Amendments of 1993 (Public Law 103-152).

Trade Act of 1974 and Federal Regulations at Part 617, as amended, under:
 - Employment and Training Administration (ETA), Training and Employment Guidance Letter (TEGL) No. 11-02 and Changes 1-3, Operating Instructions for Implementing the Amendments to the Trade Act of 1974 Enacted by the Trade Act of 2002;
 - ETA, TEGL No. 22-08 and Change 1, Operating Instructions for Implementing the Amendments to the Trade Act of 1974 Enacted by the Trade and Globalization Adjustment Assistance Act of 2009; and
 - ETA, TEGL 10-11 and Changes 1-2, Operating Instructions for Implementing the Amendments to the Trade Act of 1974 Enacted by the Trade Adjustment Assistance Extension Act of 2011 (TAAEA).

DWD Issuance 24-2012, Missouri Employment Training Program (METP)
Employment Plan Policy, Revised.

DWD Issuance 19-2012, Objective Assessment and Individual Service
Strategies for WIA Youth.

DWD Issuance 11-2010, Statewide Service Note Policy.

7. Rescissions: None
8. Attachment: Missouri Division of Workforce Development Employment Plan Policy and
Procedures.

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Amy Sublett
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MISSOURI DIVISION OF WORKFORCE DEVELOPMENT EMPLOYMENT PLAN POLICY AND PROCEDURES

The Employment Plan (EP) is an ongoing “working document” jointly developed by the participant and Missouri Career Center (MCC) staff, based on assessment, that identifies training and employment goals, including barriers, strengths, and interest, and the appropriate combination of services for the participant to achieve overall employment goals.

Each program administered through the MCCs has different rules, regulations, requirements, and performance measures. Each case manager must follow the requirements of each program and other State, Division of Workforce Development (DWD), regional, and/or MCC policies.

To assist the MCC staff in developing an EP that meets the needs of all programs, the following guidance must be applied to DWD’s information management system records.

Required Case Management: Each program must follow the established case management criteria as outlined in regulation, issuance, operating instructions, etc. General case management services include:

- **Assessment of skill level and service needs used to identify employment barriers and goals.** The two types of assessments include:
 - 1) Interview, observation, and documentation
 - Identify education/training and work experience
 - Environment (Workforce Investment Act (WIA) Youth)
 - Evaluation of the participant
 - 2) Standardized measures/tools designed to provide information on skills, interests, knowledge, etc.
 - Assessment tools
 - Interest and skills surveys
 - Aptitude tests
- **Identify employment and/or training goals:**
 - Determine if the participant has credentials and/or marketable skills to obtain employment.
 - If the participant lacks the necessary skills to find employment, determine if the participant has a need for training.

- If the participant lacks the necessary skills to find employment, determine if the participant has training goals and if those goals are obtainable.
- **Identify barriers and/or needs:**
 - Identify any barriers or needs that may prevent the participant from obtaining employment or participating in training.
 - Include solutions such as:
 - ✓ Supportive services including needs-related payments
 - ✓ Participation in MCC offered workshops
 - ✓ Referral to partner agencies for assistance with child care, transportation, counseling, etc.
 - ✓ Develop Individual Service Strategies (ISS) for WIA Youth
- **Use of Labor Market Information (LMI):**
 - Use LMI to determine if the participant's credentials/skills and/or training goals score high ratings for job vacancies, in demand occupations, and potential earnings.
 - Staff are encouraged to use the Department of Economic Development's, Missouri Economic Research and Information Center (MERIC), LMI as identified in the region's local plan. The MERIC website can be accessed at <http://www.missourieconomy.org/>.
- **Case Review:**
 - Communicate with the participant, within program guidelines, to determine the status of the participant's training and/or employment goals, and new and previously identified barriers.

EP Development: Development of an individual EP, including assessment and required case management services, are required before a participant can be provided:

- A training service under the WIA program.
 - Under the WIA Adult and Dislocated Worker programs, the participant must receive at least one Intensive service before the individual may receive training services.
- A Support Service under the WIA program.
- A Trade Adjustment Assistance (TAA) enrollment.
- A Trade Act specific service or issued a waiver under the Trade Act program.
- Worker Profiling Reemployment Services (WPRS) intensive services.
- Any employment and/or training activity under Missouri Employment and Training Program (METP). For METP EP details, please reference DWD Issuance 24-2012, effective July 1, 2013.

At a minimum, the EP must contain:

- The **O*Net** of the participant's employment goal.
 - The O*Net helps to connect participants to job orders.
- The participant's employment and/or training **Goal**.
 - The Goal should be a measureable statement.
 - For METP, the EP must be employment focused.
- A **Justification** as to why the employment and/or training goal is appropriate for the participant.
 - This must be based on assessment information and an interview with the participant.

There are two general types of EPs that may be developed:

- 1) A **training-related** plan for participants who lack marketable skills and/or have educational or other types of barriers identified; and
- 2) An **employment-related** plan for participants who have credentials or marketable skills necessary to obtain suitable employment.

Training-Related EP: This type of EP must contain a **Goal** that outlines all required training components (remedial, pre-requisites, skills, etc.) necessary to reach the established training goal. The associated **Justification** must provide details that supports that the training goal is appropriate for the participant.

Examples of appropriate **Goals/Justifications** include:

- 1) **Goal:** The participant's goal is to become a LPN. She needs to obtain her GED, attend pre-requisite courses, and be accepted into and attend a LPN program.

Justification: The participant's assessment score shows that she is prepared for training. Her interest in a medical related field is verified through her aptitude test.

- 2) **Goal:** The participant's goal is to become a truck driver. He meets all education, physical, and mental requirement to participate in CDL truck driver training.

Justification: The participant has operated a variety of equipment, including a forklift and a front loader, at his previous employment. He was previously a school bus driver and has a school bus endorsement on his driver license.

- 3) **Goal:** The participant's goal is to become a Machinist. In order to obtain a Machinist Certificate in Missouri, he needs to attend Machinist school.

Justification: The participant previously worked in a shop owned by his mother. Machinist is listed in MERIC LMI as a grade B occupation.

Job Searching/Work-Related EP: This type of EP must contain a **Goal** that outlines the type of employment the participant is trying to obtain. The associated **Justification** must provide details that supports that the employment goal is obtainable for the participant.

Examples of appropriate **Goals/Justifications** include:

- 1) **Goal:** The participant's goal is to find employment in another vehicle manufacturing plant.

Justification: The participant has worked in the Ford (Fenton) plant for 15 years. The participant has requested to relocate to another Ford facility outside of Missouri. He qualifies for relocation allowance under the Trade Act program; and if he receives another job assignment with Ford, he will move outside his commuting area.

- 2) **Goal:** The participant's goal is to find employment within the HVAC field or as a facility maintenance worker.

Justification: The participant currently possesses an HVAC certificate. He was a facility maintenance worker at the Hostess plant in Columbia for five years. The participant is willing to relocate within the state of Missouri for employment. LMI shows there are a large number of HVAC openings in the Central Region with a medium salary competitive to the participant's wages at Hostess.

- 3) **Goal:** The participant wants to obtain employment within the Accounting/Book Keeping field or as a general office worker.

Justification: The participant obtained an associate degree in Accounting in 2002. She has worked in the Accounting/Book Keeping field for 11 years. The last eight years she was responsible for the financial records for a local private owned company. She lost her job due to the closing of the business.

- 4) **Goal:** The participant's goal is to obtain a job in the medical field making at least \$15 per hour.

Justification: This will help the customer to discontinue receiving public assistance and provide a steady income for his family.

Service Notes: The EP allows staff to present general information about the participant's training and/or employment goals. Service Notes must be used to provide detailed information about the participant's goals, experience, and current work status. (Please refer to DWD Issuance 11-2010, Statewide Service Note Policy for additional guidance.)

- **Training Program Details:** Based on the training goal outlined on the EP, the Service Notes must provide additional details about all necessary steps to achieve the goal. This includes all training components necessary, length of training, funding of training, LMI, etc. It must also identify any barriers and goals to overcome those barriers to participate in training.
 - **Trade Act** requires the documentation of forms' status, research of similar or like training, UI/Trade Readjustment Assistance eligibility, financial statement (if applicable), LMI, invoices, etc.
- **Supplemental Information:** Include any action items agreed upon by the case manager and participant.
 - Follow up documentation such as completed forms, school enrollment information, etc.
- **Job Search and Employment Details:** Participants, who are referred to employment opportunities, must have their job searches documented with results. It must also identify any barriers and goals to overcome those barriers to job search or obtain employment.
 - **Trade Act** offers Reemployment Trade Adjustment Assistance (RTAA), Job Search Allowance, and Relocation Allowance benefits.
 - For **Job Search Allowance** requests, the staff is required to document the date of the request, whether or not the job meets "suitable employment," and whether or not the interview is outside the participant's "commuting area."
 - For **Relocation Allowance** requests, the staff is required to document the date of the request, whether or not the job meets "suitable employment," and whether or not the employment is outside the participant's "commuting area."
 - For **RTAA** requests, the staff is required to document whether or not the participant will pursue full-time RTAA or part-time RTAA with full-time Trade approved training. If available, staff must also note the date of RTAA request(s) to the Division of Employment Security.
- **Changes in Training and/or Employment Goals/Justification:** When a participant has a change in training and/or employment goals/justification, the changes must be entered on the EP. Before the information is changed, staff must enter a Service Note about the participant's previous goals/justification, and why it was necessary to be changed.
 - If the participant did not attend training that was scheduled to accept employment, the participant may later return for training assistance. If the employment provided marketable skills, this may influence the participant's employment goal(s) and justification.
 - If the participant participates in pre-requisite training, but is not accepted into the related training program, the participant may pursue training in a related field that includes the use of the pre-requisite training.

- After participating in remedial (GED, ABE, etc.) training, the participant's employment and/or training goals change due to a new skill, interest, or aptitude discovered during training.
- **Miscellaneous:** Information about all required items to be included in DWD's information management system must be directed to the appropriate program staff/coordinator(s). Below are miscellaneous items that are required for a program or programs:
 - An EP must not be modified without the agreement of the MCC case manager (or staff) and the participant.
 - If there is a program requirement that the EP must be signed by the participant, the original is kept in the participant's hard copy file and a copy given to the participant.
 - Worker Profiling requires the EP to be retained for one benefit year.