

WORKFORCE INVESTMENT ACT (WIA)
STATE ADMINISTRATIVE ENTITY (SAE)
SAE INFORMATION NOTICE NO. 41-00
(SIN NO. 41-00)

**SUBJECT: POLICY AND GUIDELINES REGARDING DEVELOPMENT
AND IMPLEMENTATION OF AN ASSESSMENT AND
EMPLOYABILITY DEVELOPMENT PLAN (EDP)**

1. **PURPOSE:**

- a. To provide New Mexico Workforce Development Areas/Local Workforce Development Boards (NMWDAs/LWDBs) and Service Providers with procedures and guidelines on the development and implementation of an Assessment and an Employability Development Plan (EDP) for participants enrolled into WIA Title I Intensive and Training Services.

DISTRIBUTION:

NMWDA/LWDB and PIC Chairpersons	SAE EO Office
NMWDA/LWDB Administrative Entities	SAE/NMWDA/LWDB Legal Counsel
SAE Subrecipients	NMWDA/LWDB Subrecipients
USDOL Federal Representative	

- b. To provide sample Assessment and EDP formats for use by field staff (EXHIBIT A). NMWDAs/LWDBs may utilize their own formats as long as they contain the required elements and participant data specified herein, and are in conformance with the requirements at Section 134 (4)(A)(ii) of the WIA, Sections 662.240 (b)(3) and 664.400 of 20 CFR Part 652, et al.

This notice is intended to provide general guidance attendant to the development of the assessment and employability development plan (service strategy), and provide prototype Assessment and EDP forms that can be adopted or modified for use by NMWDAs/LWDBs and WIA Service Providers. This action does not create new state policy but merely transmits WIA participant assessment and service strategy requirements.

- 2. **BACKGROUND:** The WIA mandates that an assessment of adult, dislocated workers and eligible youth be provided as follows:

- a. **Adult and Dislocated Workers**

Section 134 (d) (2) (c) mandates that WIA Title I funds are to be used to provide **core services** to individuals who are adults or dislocated workers through the one-stop delivery systems which at minimum must also include an initial assessment of skill levels, aptitudes, abilities, and supportive service needs. Under Section 134 (d) (3) (C), eligible adults and dislocated workers who are unemployed and unable to obtain employment through core services may be provided **intensive services** which must include, as the first intensive service, a comprehensive and specialized assessment of participant skill levels and service needs. Additionally, training services consistent with 134 (d) (4) (A) (ii) shall be provided to adults and dislocated workers who after an interview, evaluation, or **assessment**, and case management, have been determined by the one-stop operator, as appropriate, to be in need of **training services** and to have the skills and qualifications to successfully participate in the selected program of training services.

- b. **Youth.**

Section 129(b)(2)(c)(1)(A) requires that an objective assessment of the academic levels, skill levels, and service needs of each participant be developed. Such assessment must include a review of basic skills, occupational skills, prior work experience, employability, interests, aptitudes (including interests and aptitudes for nontraditional jobs), supportive service needs, and developmental needs of the participant.

3.

ACTION:

- a. **Implementation.** New Mexico Workforce Development Areas/Local Workforce Development Boards (NMWDAs/LWDBS) shall develop a system to provide for an assessment of all participants enrolled into Title I Youth activities or adult and dislocated worker core and intensive services through the One-stop delivery centers. The assessment shall be used to develop an appropriate Employability Development (EDP) for each participant.
- b. **Assessment Content.** Generally the assessment process for youth, adult and dislocated workers must provide an examination of the capabilities, needs, and vocational potential of a participant to be used to develop an Employability Development Plan (EDP) and including an appropriate employment goal. Such assessment must be a client centered diagnostic evaluation of a participant's barriers, taking into account the family situation, work history, education, occupational skills, interests, aptitudes (including those relating to non-traditional occupations), attitude towards work, motivation, behavior patterns affecting employment potential, financial resources and needs, supportive services needs, personal employment information relating to local labor market shortages/demands, and other related information required to prepare the participant to obtain meaningful employment.
- (1) **Youth.** The assessment process for youth must identify the academic levels and service needs of each participant. At a minimum it must include:
- a review of basic and/or occupational skills;
 - prior work experience;
 - work/career interests and aptitudes (including interests and aptitudes for nontraditional jobs);
 - supportive service needs, and
 - developmental needs of the participant

EXCEPTION: A new assessment of a youth participant is not required if the service provider determines it is appropriate to use a recent assessment of the participant conducted pursuant to another education or training program.

(2) **Adult and Dislocated Workers.** Assessments to be provided to adult and dislocated worker participants receiving core, intensive and/or training services must at a minimum include as follows:

i. **Core services.** Participants seeking core services through the local area One-Stop Center may receive an initial assessment of:

- skill levels,
- aptitudes and abilities, and
- supportive service needs

ii. **Intensive services.** Participants, who after receipt of core services, require intensive services in order to obtain employment must be provided more comprehensive and specialized assessments of skill levels and skill needs that may include:

- diagnostic testing and the use of other assessment tools; and
- in-depth interviewing and evaluation to identify employment barriers and appropriate employment goals;

iii. **Training Services.** Participants who have met the eligibility requirements for, and are determined as appropriate for enrollment into training services, shall be provided a comprehensive assessment which includes applicable assessment elements as specified herein

NOTE: To ensure successful completion of training objectives, assessments need to be developed in partnership with the participant, reviewed periodically and updated as necessary.

c. **Employability Development Plan (EDP) Service Strategy.** NMWDAs/LWDBs and/or other service providers shall develop an EDP service strategy for each participant enrolled in a WIA Title I funded youth activity or adult/dislocated worker intensive and training activity.

(1) **Youth.**

The EDP service strategy shall identify an employment goal (including, in appropriate circumstances, nontraditional employment), appropriate achievement objectives, and appropriate services for the participant taking into account assessment results and other relevant information.

EXCEPTION: A new EDP service strategy is not required if the service provider determines it is appropriate to use a recent service strategy developed under another education or training program.

NOTE: For purposes of this part, most recent assessment or EDP means an assessment or EDP done within the last 12 months.

(2) **Adult and Dislocated Worker.**

- i. **Intensive Services.** The development of an individual employment plan shall be the first service provided at the intensive services level to adults and dislocated workers who, after receiving core services, need additional assistance in obtaining meaningful employment. The EDP, at a minimum, shall identify the employment goals, appropriate achievement objectives, and appropriate combination of services for the participant to achieve the employment goals.
- ii. **Training Services.** An EDP shall be developed with participants who, after assessment, have been determined by the one-stop operator or partner, as appropriate, to be in need of training, and the required training is available. The EDP shall identify the training programs that are directly linked to the employment opportunities in the local area or in another area in which the adult or dislocated worker is willing to relocate.

NOTE: Although the EDP must be developed in partnership with the participant, decisions concerning appropriate services must ultimately remain with the participant who must be given the broadest range of choice as possible. NMWDAs/LWDBs must ensure that the participant is not excluded from available training or career options consistent with applicable nondiscrimination and equal opportunity requirements.

- d. **Confidentiality of information and records.** All personal information disclosed by the applicant or participant during the application and assessment process shall be kept confidential. Participant information and records shall NOT be released to other person(s) or agencies without the written consent of the applicant or participant. All participant records shall be maintained in a manner to sufficiently safeguard the confidentiality of information.

- 4. **EFFECTIVE DATE:** This Notice is effective July 1, 2000.
- 5. **RESCISSIONS:** None.
- 6. **CONTACT ENTITY:** Inquiries regarding this Notice should be directed to the SAE State Policy, Planning and Technical Assistance (SPPTA) Bureau in Santa Fe at (505) 827-6827.

CLINTON D. HARDEN, JR.
Secretary

EXHIBITS: (1) Workforce Investment Act (WIA) Assessment and Employability Development Plan

III. GOALS – SHORT TERM/LONG TERM:

IV. SERVICE STRATEGY: Core Services Intensive Services Training Services

A. Supportive Services Recommended (check all that apply):

- Housing Transportation Financial Counseling Referrals Family Care
 Other _____

Justification:

B. Recommendations:

Primary Activity: _____
Vocational/Employment Training: _____
Activity Location/Address: _____
Planned Start Date: _____ Planned End Date: _____

Secondary Activity: _____
Vocational/Employment Training: _____
Activity Location/Address: _____
Planned Start Date: _____ Planned End Date: _____

C. Revised Service Strategy:

Vocational/Employment Training: _____
Activity Location/Address: _____
Planned Start Date: _____ Planned End Date: _____

V. PARTICIPANT UNDERSTANDING/MANAGER ATTESTATION

The information I have provided for the completion of this form is true and correct to the best of my knowledge. I understand and agree with the service strategy necessary to achieve my employment/training goal(s) and understand that my participation in a WIA program does not create an entitlement to services. I agree to follow through with this plan to the best of my ability and to cooperate with my case manager to achieve the goal(s) as listed herein.

Participant Signature

Date

WIA Staff Signature

Date