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# Community Resources

**Date:** April 30, 2025

**To:** WIOA Subrecipients of the Orange County  
Workforce Development Board

**From:** Nancy Cook  
Director of Workforce and Economic Development

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**Subject:** WIOA Assessments and Individual Employment Plan (IEP)  
Policy  
Information Notice No. 25-OCWDB-04  
Supersedes Information Notice No. 21-OCWDB-06,  
15-OCWDA-03

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## PURPOSE

The purpose of this policy is to provide guidance on conducting comprehensive and specialized assessments and developing Individual Employment Plans (IEPs) for participants in the Workforce Innovation and Opportunity Act (WIOA) Adult and Dislocated Worker (DW) programs.

## EFFECTIVE DATE

This policy is effective immediately upon issuance.

## REFERENCES

- WIOA (Public Law 13-128) Sections 134(c)(2)(A) (xii)(II), (c)(3)(F)(ii)
- Title 20 Code of Federal Regulations (CFR) 680.170

## BACKGROUND

The WIOA mandates that comprehensive and specialized assessments be conducted to evaluate the skill levels and service needs of Adults and Dislocated Workers. WIOA also requires the development of Individual Employment Plans (IEPs) to establish employment goals, identify a customized personal service strategy aligned with the participant's strengths, barriers, and career objectives.

## POLICY

Service Providers must conduct assessments and develop Individual Employment Plans (IEPs) for all participant receiving Individualized Career Services and Training Services.

## Initial Assessment

The Initial Assessment is a preliminary evaluation to determine a participant's eligibility for WIOA Title I Programs, academic level, occupational skills and interests, and supportive service needs. When conducting an Initial Assessment, Service Providers shall do the following:



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- Follow guidance outlined in the Adult and Dislocated Worker Program Eligibility Policy to determine an individual's eligibility for WIOA programs.
- Document the development of the Initial Assessment in CalJOBS with a detailed case note and the appropriate activity codes when the WIOA application is completed.
- Adhere to the guidance outlined in the CalJOBS Document Imaging and Scanning Policy for managing eligibility documentation records.

### **Objective Assessment**

The Objective Assessment is a comprehensive evaluation of a participant's the academic skill levels and service needs. It must be completed before providing any Individualized Career or Training Services and should be completed within the first two weeks of program enrollment but no later than 30 days from the date of enrollment. When completing an Objective Assessment, Service Providers shall conduct the academic assessment utilizing one of the following assessments:

- Test of Adult Basic Education (TABE);
- Comprehensive Adult Student Assessment Systems (CASAS);
- Basic English Skills Test (BEST); or
- Massachusetts Adult Proficiency Test (MAPT).
- ACT WorkKeys will be used for training enrollment requirements only and is not intended to measure Educational Functioning Levels (EFL) for performance.

Academic assessments conducted prior to or as part of WIOA engagement can be utilized to assess an individual's academic skill levels if conducted within the last six months.

Individuals with a bachelor's degree or higher may be exempt from completing the academic assessment required for access to Individualized Career Services or Training Services, provided that verification is submitted. For verification, the participant must provide a copy of the degree or official transcripts, which must be uploaded by the Service Provider into CalJOBS. Detailed case notes must document the exemption and the participant's credentials in CalJOBS or the appropriate case management system. However, if the participant is unable to provide the required verifiable documentation, an academic assessment is required.

The development and updates to the Objective Assessment must be documented in CalJOBS through a detailed case note, along with the use of the appropriate activity codes.

### **Occupational Assessments**

Occupational Assessments offer opportunities for individuals to explore several different attributes that may influence their potential success and satisfaction with different career options and work environments. Occupational assessments help participants to assess and reflect on:

- Prior work experience
- Employability
- Interests
- Values
- Aptitudes

In conjunction, a resume shall be developed for all participants enrolled in Individualized Career Services and uploaded into CalJOBS. Resumes shall be reviewed and updated to remain

current. Resume modifications or updates must be documented in CalJOBS through a detailed case note and the appropriate activity codes.

In addition to assessments of a participant's interests, skills, and values, the Service Provider and participant must consider occupational assessments in the context of local labor market information. Assessment strategies shall center around helping individuals to identify, prepare for, and meet performance competencies associated with their long-term occupational interests, including assessments focused on:

- Analysis of Labor Market Information that aligns the participant's goals with local job market opportunities and expands career objectives
- Structured and/or unstructured in-depth interviews
- Evaluations or assessments completed by partner program
- Performance Assessments (e.g., skills or work samples, including those that measure interest and capability to train in nontraditional employment)
- Interest measures (e.g., Campbell Interest and Skill Survey, Holland Self-Assessment Interest Survey, O\*NET Interest Profiler, My Next Move)
- Career guidance instruments
- Work and personal measures
- Personality inventories
- Occupation-specific assessments
- Skills and aptitude assessments/ tests, or basic skills tests

### **Supportive Service Assessment**

An evaluation of additional barriers to employment must be conducted beyond barriers specific to academic or occupational skill levels. This assessment focuses on the circumstances that may affect a participant's ability to engage in education or employment opportunities, including specific developmental needs. Assessment processes must include a holistic review of an individual's life experiences. For example, childcare, transportation, and/or basic needs.

The supportive service assessment must also include an evaluation of technology needs and the access of individuals to computers and high-speed internet, as well as digital literacy. A supportive services assessment should identify WIOA services that can help support an individual as part of a service strategy, as well as identify additional programs and resources that could offer additional targeted supports. The purpose and goal of this assessment is to ensure participants receive comprehensive assistance that supports long-term success in their employment and training plans.

### **Individual Employment Plan**

The IEP is an individualized career service and an ongoing strategy, that is developed jointly by the participant and the Service Provider. The purpose of the plan is to identify employment goals, achievement objectives, and an appropriate combination of services for the participant to achieve their employment goals. The IEP must be based on the results of the assessment. All elements of the IEP must focus on career goals, education goals, and overcoming barriers to employment. The IEP must provide a framework including timeframes, resources, and incremental steps for the participant to achieve the overall goals. Before creating an IEP, the Service Provider must verify eligibility and ensure the Initial and Objective Assessment are conducted and documented in CalJOBS.

The IEP is a "living document" that must be reviewed regularly and updated at a minimum of every 30 days or as needed based on the participant needs. These updates must reflect

progress on goals, benchmarks, objectives, changes in activities or services, revisions to short-term and/or long-term goals, new achievements and barriers identified during ongoing consultation with the participant.

### **Documentation**

The IEP must be signed and dated by both the participant and Service Provider to reflect mutual agreement and be revised as needed. Participant must be provided a copy, either in print or electronic format, based on the participant's preference. The signed IEP must be uploaded in the CalJOBS documents section with a linked case note to document changes.

All revisions to the IEP must be made collaboratively with the participant's consent. The IEP revisions must be initialed by both the participant and Service Provider and be recorded in CalJOBS using the appropriate activity codes. Detailed case notes must also be entered to summarize changes made or progress achieved.

The IEP must be closed when the participant exits WIOA Title I Services. This includes:

- Closing all associated goals, objectives, and activities in the system.
- Ensuring documentation is complete and outcomes are recorded in the case notes.
- Communicating with the participant about the closure of the plan.

### **Handling Personally Identifiable Information (PII)**

Any personal information pertinent to the Initial Assessment, Objective Assessments, and IEP shall be collected and stored in compliance with the Personally Identifiable Information (PII) Policy, ensuring confidentiality and adherence to applicable regulations regarding private information.

### **System Downtime Protocols**

In cases where CalJOBS may be unavailable, paper forms shall be utilized in lieu of CalJOBS (refer to Attachment I and Attachment II). When CalJOBS is restored, the Objective Assessment Section and IEPs should be updated to match the paper documents. All paper forms must be scanned and uploaded into CalJOBS in the documents section with a substantial case note documenting the reason for the paper forms. Refer to the CalJOBS Document Imaging and Scanning Policy for guidelines on the secure destruction of paper documents after digitization and upload.

### **Electronic Signature Capabilities**

Service Providers must utilize one of the following approved methods to collect electronic signatures from participants:

- CalJOBS signature feature: Use the built-in signature functionality in CalJOBS (refer to Attachment III for detailed instructions).
- Alternative platforms: Platforms such as DocuSign or Adobe Sign may be used as alternatives to facilitate electronic signatures, as allowable per applicable regulations.
- Wet signatures: Scan the signed documents and upload into CalJOBS.

### **ACTION**

Bring this policy to the attention of all staff and all relevant parties.

### **INQUIRIES**

If you have any questions regarding this policy, please email [info@ocworkforcesolutions.com](mailto:info@ocworkforcesolutions.com).

## **ATTACHMENTS**

Attachment I – Objective Assessment Template

Attachment II – Individual Employment Plan Template

Attachment III – Electronic Signature Instructions