



INDIANA
WORKFORCE
DEVELOPMENT
AND ITS **WorkOne** CENTERS

TO: Indiana's Workforce Investment System

FROM: Gina DeSanto, Ph.D. 
Senior Deputy Commissioner for Policy, Education, and Training

DATE: February 7, 2011

SUBJECT: DWD Policy 2010-11
Local Plan Instructions for Workforce Investment Boards and Regional Workforce Boards

Purpose

To provide workforce investment boards (WIBs) and regional workforce boards (RWBs) with local workforce investment plan instructions for the period July 1, 2011 through June 30, 2012

Rescission

DWD Policy 2007-27, Workforce Investment Boards and Regional Workforce Boards Plan Instructions, issued April 4, 2008

Content

Governor Mitchell E. Daniels, Jr. has made growing Hoosier jobs and personal income the organizing principles of his administration. In line with the Governor's overall agenda, he has laid out the following three priorities for the publicly funded workforce system:

- 1. Grow Hoosier jobs in Indiana**
- 2. Increase personal income of Hoosiers**
- 3. Deliver premier customer service**

To achieve meaningful success on these priorities, the State Workforce Innovation Council (SWIC) and the Indiana Department of Workforce Development (DWD) have established four strategic goals for workforce investment programs. All workforce investment initiatives and activities throughout the State of Indiana should cohere to the following four strategic goals:

- 1. *Ensure Hoosiers understand and achieve occupational goals that advance Indiana's economy.***

Provide relevant, reliable and visible career development for Hoosier adults and at-risk youth that includes career exploration, occupational training, workplace-skill development, and (re)employment assistance, with a focus on high-wage/high-demand jobs.

2. *Identify, align and connect Indiana employers with qualified workers.*

Ensure collaborative and integrated partnerships between the workforce investment system and the employment community, focusing on high-wage/high-demand sectors, that provide reliable and visible support to employers seeking qualified workers. Reciprocally, ensure partnerships that provide input to the educational and supportive programs and services provided to youth and adult learners and workers.

3. *Achieve a cohesive workforce investment system.*

Provide a workforce investment system whose education and support programs articulate with the state's public, private, nonprofit and community-based institutions to insure the delivery of highest-quality opportunities for career development and re(employment).

4. *Deliver optimal high quality and efficiency statewide.*

Ensure a workforce investment system delivered by professional staff who possess the knowledge and skills to support youth and adult learners in their career development.

All workforce investment boards and regional workforce boards are required to develop and submit local workforce investment plans, adhering to the guidelines established within this policy and the attached instructions. These plans are expected to be data driven and, as required by Section 118(a) of the Workforce Investment Act, must be consistent with Indiana's Strategic State Plan.

Because of Indiana's unique workforce investment governance structure, with a combination of workforce service areas and regional workforce areas, the regional workforce boards will follow the guidance in this policy in formulating their individual plans. Those plans will be combined into a single local workforce investment plan for the balance of state area. Workforce investment board plans and regional workforce board plans must be able to function as stand-alone plans, and must cohere to the requirements contained in this policy and any other State workforce investment policy.

Workforce Investment Boards' and Regional Workforce Boards' Workforce Investment Plan Timeline

April 29, 2011	WIBs and RWBs submit local workforce investment plans to DWD WIBs and RWBs public comment periods begin
June 2, 2011	Summary of public comments received by WIBs and RWBs is due to DWD Revisions of WIB and RWB local workforce investment plans due to DWD
June 30, 2011	WIB and RWB local workforce investment plans approved
July 1, 2011	WIA Program Year 2011 begins

Submission of Plans

Plans must be submitted to the State Workforce Innovation Council, c/o Indiana Department of Workforce Development, no later than 5 p.m. Eastern time on Friday, April 29, 2011.

The workforce investment board or regional workforce board must submit the plan electronically to the following email address: NKlinck@dwd.IN.gov

The Plan must be attached to the email as an editable Microsoft Word or Excel, as appropriate, document. Adobe Acrobat documents are only allowable for signature pages.

Public Review and Comment Requirements

Section 118(c) of the Workforce Investment Act of 1998 contains the following requirements for public review and comments of proposed local workforce investment plans - "Prior to the date on which the local board submits a local plan under this section, the local board shall:

- (1) Make available copies of a proposed local plan to the public through such means as public hearings and local news media;
- (2) Allow members of the local board and members of the public, including representatives of business and representatives of labor organizations, to submit comments on the proposed local plan to the local board, not later than the end of the 30-day period beginning on the date on which the proposed local plan is made available; and
- (3) Include with the local plan submitted to the Governor under this section any such comments that represent disagreement with the plan."

Workforce investment boards and regional workforce boards must ensure that the development of their local workforce investment plan provides ample opportunity for interested members of the public to provide input into the development of the plan, as well as the opportunity to review and comment on the completed plan. WIBs and RWBs must, at minimum, post the plan on a public website for a minimum of 30 days, notify local media of the plan's availability, and provide a method (both via traditional mail and electronic mail) for members of the public to provide comments.

It is anticipated that WIBs and RWBs will make the plans available for public review and comment between April 29 and May 28, 2011, and will provide the State Workforce Innovation Council with a summary of any comments received throughout the review period no later than June 2, 2011.

Plan Review and Approval

Staff from the Department of Workforce Development, working on behalf of the State Workforce Innovation Council and the Governor, will review the submitted plans for content and completion, and will request additional information as needed from WIBs and RWBs.

The SWIC will review and vote on approval of the submitted plans at its June 2011 meeting. Following approval or denial by the SWIC, WIBs, RWBs, and their respective chief elected officials will be notified of the final decisions and of any required “next steps” prior to July 1, 2011.

Effective Date

Immediately

Ending Date

Upon rescission

Ownership

DWD Policy
Indiana Department of Workforce Development

Action

The workforce investment boards and the regional workforce boards are to develop and submit local workforce investment plans in accordance with the guidance set forth in this policy and in the attached “Instructions for Local Workforce Investment Plans.”

Contact Person

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Attachment

Instructions for Local Workforce Investment Plans, Program Year 2011

Instructions for Local Workforce Investment Plans Program Year 2011

The local workforce investment plans will cover Program Year 2011 (July 1, 2011 through June 30, 2012). The plans will be due to the State Workforce Innovation Council, c/o the Indiana Department of Workforce Development by 5:00 p.m. Eastern on Monday, May 2, 2011.

Plans must be submitted in an editable electronic format (MS Word or Excel, as appropriate), with signature pages in Adobe Acrobat, to:

NKlinck@dwd.IN.gov

Plan Contents

All workforce investment plans will consist of seven (7) sections:

- 1) Executive Summary
- 2) Labor Market Analysis
- 3) Operational Plans
- 4) Key Partnerships
- 5) Budget
- 6) Governance and Structure
- 7) Program Contact Persons and Signature Page

Each plan will address the entire area that comprises the WIB's workforce service area or RWB's regional area, strongly cohering to the State's strategic workforce investment goals, and closely supportive to the most relevant labor market data and analysis.

All questions or items contained within these instructions must be addressed within the plan in the order they are presented.

1) Executive Summary

The Executive Summary should provide a concise description of the entirety of the plan. It should be able to function as a stand-alone document that provides key stakeholders and partners with the key themes, initiatives, and actions to be taken by the workforce investment board or regional workforce board during Program Year 2011 (July 1, 2011 – June 30, 2012).

(The Executive Summary should not exceed two pages.)

2) Labor Market Analysis – all responses should be strongly supported by available data.

- What are the area’s primary business sectors by business size?
(Response should not exceed one page.)
- What are the current and projected employment opportunities within the local area?
(Response should not exceed one page.)
- What are the area’s high-demand, high-wage occupations, and what job skills and educational attainment are needed for those occupations? (Please attach area’s “demand occupation” list or policy.)
(Response should not exceed one page, not including attachment.)
- What industries and occupations within the local area’s economy are expected to grow or decline within the next three years and within the next ten years?
(Response should not exceed one page.)
- Does the area have any “targeted” business sectors that are unique from other areas within the State? If so, describe the information and process utilized to establish the “targeted” sector.
(Response should not exceed one page.)
- What does the area’s workforce look like statistically along the following categories?
 - Demographics (Age, Gender, Race)
 - Educational Attainment (HSD/GED, Associate, Bachelor, Advanced Degree)
 - Current HS Graduation Rate
 - Employed/Unemployed numbers and percentages*(Response should not exceed one page.)*
- Based upon labor market information and demographics, what makes the area unique to its contiguous areas and within the State as a whole?
(Response should not exceed one page.)

3) Operational Plans

- Provide the address, phone number, and hours of operations for each WorkOne office located within the area. Identify which offices are “full-service” and “express.”
- Does the WIB/RWB use any performance metrics in addition to Common Measures? If so, describe those metrics.
(Response should not exceed one-half page.)
- Describe how the WIB/RWB will track actual performance against performance goals.
(Response should not exceed one-half page.)

WIA Adult and Dislocated Worker Services

- Complete WIA Adult and Dislocated Worker Services Matrix
(A sheet of directions and a formatted template sheet to complete in Excel are available at this link: [WIA Adult and Dislocated Worker Services Matrix](#).)

- Describe the criteria to be used by the WIB/RWB to determine if WIA Annual Adult Funds shall be considered “limited.”
 - Info to be considered when determining if criteria is necessary:
 - Has the area requested additional WIA funds/discretionary funds for Adult programs in previous three program years?
 - Has the area transferred any WIA Dislocated Worker Funds into the WIA Adult program within previous three program years?
 - Does the area regularly expend over 90% of its WIA Annual Adult Funds?
 - Describe how the WIB/RWB will be involved in the process of determining when WIA Adult Funds are “limited.”
(Response should not exceed one page.)

- Describe the process that the WIB/RWB will use to ensure priority is provided to veterans and veterans’ spouses, low income individuals, and recipients of public assistance when WIA Adult Funds become “limited.”
(Response should not exceed one-half page.)

WIA Youth Services

- Complete WIA Youth Services Matrix.
(A sheet of directions and template sheet to complete in Excel are available at this link: [WIA Youth Services Matrix](#).)

- Indicate the number of WIA Youth service staff persons located within the area.

- Describe specific outreach activities targeted to Youth within the area.
(Response should not exceed one-half page.)

- How does WIB/RWB measure the success of Youth service providers?
(Response should not exceed one-half page.)

Other Services

- How does the WIB/RWB ensure that local staff coordinate activities with the State Rapid Response team/Dislocated Workers Unit to perform the following:
 - Securing and sharing information when there is a possibility of a mass layoff (50 or more workers)?
 - Coordinating activities where a layoff involves a company that is Trade certified?
(Response should not exceed one page.)

- How does the WIB/RWB ensure the coordination of the following programs, at minimum, at each WorkOne?
 - Unemployment Insurance
 - Trade Act
 - Title 38 Veterans' Programs (LVER, DVOP)
 - Worker Profiling and Reemployment Services (WPRS) and Reemployment and Eligibility Assessment (REA)

(Response should not exceed two pages.)

- Briefly describe the business services, specifically job recruitment, job posting, and job matching services, that are offered within the area.

(Response should not exceed one page.)

- Describe how the WIB/RWB will ensure that veterans' priority of service will be carried out within the local area.

(Response should not exceed one-half page.)

4) Key Partnerships

- Complete Key Workforce Investment Board/Regional Workforce Board Partnership Matrix (The template to complete in Excel is available at this link: [Key WIB/RWB Partnership Matrix.](#))
- Attach One-Stop Partners' Memorandum of Understanding (MOU). **WIBs only need to respond.** *(Must follow guidance contained within DWD MOU Policy – sample MOU provided in policy.)*
- Describe how the WIB/RWB partners with economic development entities within the local area and at the state level.
(Response should not exceed one-half page.)

5) Budget

- Attach a copy of the WIB's or RWB's, and its WIA service providers' proposed budgets for Program Year 2011 using 2010 allocation information.
(The budget template sheets are available to complete in Excel at this link: [WIB or RWB Budget and Service Provider Budgets.](#))
- Describe how the WIB/RWB monitors its annual budget and the budget of its service providers.
(Response should not exceed one page.)
- Describe how the WIB/RWB will ensure that administrative spending is kept to a minimum.
 - Explain how WIA administrative funds will be utilized, including projected expenditures for the following categories:
 - Staffing (Administrative Cost)
 - Travel
 - Outreach
 - Other (describe)

- Provide any policies/procedures the WIB/RWBs will utilize to approve the following:
 - Hiring of staff
 - Travel

(Response should not exceed two pages, not including any attached policies.)

6) Governance and Structure

- Describe how the WIB/RWB consulted with members of the public, including local elected officials, representatives of business, labor, and economic development prior to the submission of this plan
(Response should not exceed one-half page.)
- Describe the role of the local elected officials in the governance and implementation of WIA programs in the local area. (Attach a copy of the Local Elected Officials' Agreement and the County Chief Elected Officials' Agreement.)
(Description should not exceed one-half page.)
- Who is the chief elected official for the area, and how is liability for the misuse of WIA funds assumed by the local elected officials? **WIBs only need to respond.**
(Response should not exceed one-half page.)
- Identify who the fiscal agent or entity responsible for the disbursement of WIA grant funds is in the local area.

Name:
Organization:
Address:
Telephone Number:
E-mail Address:

- Describe the nomination and selection process used to appoint members to the workforce investment board. **WIBs only need to respond.**
(Response should not exceed one-half page.)
- Using available workforce data, describe how business representatives that serve on the WIB are appointed to accurately reflect the employment opportunities (primary industries, business size) and the geographic diversity of the local workforce service area. **WIBs only need to respond.**
(Response should not exceed one-half page.)
- Attach a copy of the WIB/RWB Bylaws
 - The following information, at minimum, is required in the bylaws:
 - Quorum rules, establishing that at least 50% of members attending in-person constitutes a quorum
 - Attendance rules
 - Membership terms

- Identification of board officers and election procedures
 - Description and duties of any WIB/RWB subcommittees (Youth Council mandatory for WIBs)
 - Voting rules
 - Describe what constitutes a conflict of interest to a board member and what actions will be taken by the board member in the event of a conflict of interest.
 - Describe how the WIB/RWB and any of its subcommittees comply with Open Door Laws, including the requirement that WIB or RWB and subcommittees' minutes will be posted online for public inspection.
 - Rules for amending bylaws
- Provide a description of the WIB's/RWB's support and administrative staffing.
 - Complete a chart available in Word at this link: [Executive Compensation](#), indicating the compensation of the top five paid individuals employed by the WIB/RWB, or employed by any entities using WIA funds to provide administrative or staff support to the WIB/RWB.

Executive Compensation					
	Staff Person Name	Salary	Benefits	Bonuses	Total Annual Compensation
1		\$	\$	\$	\$
2					
3					
4					
5					

- Attach a WIB/RWB Organizational Chart, and provide a brief description of the key responsibilities of all WIB or Regional Operator staff persons.
(Response should not exceed one page.)
- Who is the area's One-Stop Operator (OSO), what are its roles and responsibilities, and describe the OSO designation process. **WIBs only need to respond.**
(Response should not exceed one page.)
- Identify what WIA services and activities will be awarded through competitive grants within the local area, and briefly describe the competitive process that was or will be utilized within each competition.
 - One-Stop Operator?
 - WIA Youth Service Providers?
 - WIA Adult Service Providers?
 - WIA Dislocated Worker Providers?
 - Other?*(Response should not exceed two pages.)*
- Describe the process the WIB/RWB utilizes to monitor any services/activities it procures, including WIA Service Provider
(Response should not exceed one page.)

- How does the WIB/RWB eliminate real or perceived conflict of interest in developing RFPs, scoring proposals, and issuing grant awards?
(Response should not exceed one-half page.)

7) Program Contact Persons and Signature Page

- Provide the name and contact information of the WIB/RWB's primary contact persons for the following:
 - WIA Adult and Dislocated Worker Programs
 - WIA Youth Programs
 - Fiscal management
 - Electronic/Information systems
 - Data collection/performance
 - WIA Equal Opportunity Officer
 - WIA program complaints
- The Local Workforce Investment Plan must be signed and dated by the following (include printed name and title, and contact information):
 - Workforce Investment Board/Regional Workforce Board Chairperson
 - Chief Elected Official

Attachments to be included

- 1) WIB/RWB Demand Occupations list or Policy
- 2) WIA Adult and Dislocated Worker Services Matrix
- 3) WIA Youth Services Matrix
- 4) Key WIB/RWB Partnership Matrix
- 5) Copy of One-Stop Partners' Memorandum of Understanding (MOU) (for WIBs only)
- 6) WIB or RWB Budget and Service Provider Budgets
- 7) Copy of Local Elected Officials' Agreement
- 8) Copy of County Chief Elected Officials' Agreement
- 9) Copy of WIB/RWB Bylaws
- 10) Executive Compensation
- 11) Any other attachments