



To: Indiana's Workforce System

From: Regina Ashley *REA*
Associate Chief of Operations for Policy

Date: August 17, 2015

Subject: MEMORANDUM
Workforce Policy Formation

Purpose

To provide guidance on the new protocol and format for workforce policies.

Rescissions

DWD Policy: General DWD P-1, Communications Protocol and Announcement of DWD Policy, Information, and Guidance Manual.

Content

The Indiana Department of Workforce Development (DWD) is in the process of reviewing all policy and technical assistance bulletins (TABs) related to workforce activities. Our goal is to rescind any policy and/or TAB that is no longer relevant given the enactment of the Workforce Innovation and Opportunity Act (WIOA). We are also working to issue needed policy and guidance for implementing WIOA.

Until such final review of all policy and TABs is completed, we will revert to the indexing system described in DWD Policy 2006-21. Thus, at this time, the "Communications Protocol and Announcement of DWD Policy, Information, and Guidance Manual" dated April 17, 2015, is no longer in effect.

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An Economic Development Partner

The below is the process that will be followed for issuance of policy related to workforce activities.

Formatting

DWD will format workforce policies as follows:

- TO: The options for the “To” line on any communication and the parties represented by each option will be:
 - **Workforce Development Board Chair:** the chair of each of the current local boards. Any policy issued to board chairs will be copied to Workforce Development Board Directors.
 - **Workforce Development Board Directors:** the lead staff person for each local board.
 - **WorkOne Operators:** the lead of the competitively procured one-stop operator for each WorkOne. Any policy issued to operators will be copied to Workforce Development Board Directors and to the DWD Regional Directors.
 - **Local Fiscal Officers:** the chief financial officers for each of the local workforce boards. Any policy issued to financial officers will be copied to Workforce Development Board Directors.
 - **Youth Coordinators:** the individuals at the local level responsible for administering youth programs, including JAG. Any policy issued to Youth Coordinators will be copied to the Workforce Development Board Directors.
 - **Regional Chief Local Elected Officials (RCEOs):** the CEO who is identified in the local elected officials’ agreement to be the single point of contact for all the CEOs in each region. Any policy issued to elected officials will be copied to Workforce Development Board Directors and Chairs.
 - **Adult Education Providers:** WIOA Title II adult education grantees. Any policy issued to adult education providers will be copied to Workforce Development Board Directors and the DWD Regional Coordinators.
 - **DWD Regional Directors:** the staff directors and formal managers for DWD staff in the field.
 - **The Workforce System:** all of the above.

NOTE: DWD Director level staff will be copied on all policies that are issued.

- **FROM:** The Commissioner or the Commissioner’s designee will sign policies.
- **DATE:** This field is the date the policy is distributed to the field.
- **SUBJECT:** The subject line will include a policy name and indexing number. The indexing number will consist of the program year and a sequential number (i.e. 2015-01 for the first DWD Policy issued in program year 2015).
- **PURPOSE:** This field explains the reason for the policy.
- **RESCISSION:** This field specifies policies and/or TABs made obsolete by the new communication.
- **REFERENCE:** This field will specify the laws, regulations, and/or USDOL communications that provide a basis for the communication.
- **CONTENT:** This field contains the body of the communication.
- **EFFECTIVE DATE:** This field specifies the date by which impacted recipients are accountable for adherence to the policy.
- **CONTACT FOR QUESTIONS:** Because staff and organizational configurations change, DWD will use a generic e-mail address that will be monitored by the policy unit. The policy unit will work with the appropriate subject matter experts in the agency for a response. The email address is policy@dwd.in.gov.
- **ACTION:** This section will specify what impacted recipients shall do.

Going forward, DWD will issue a policy clarification when the system is being given additional guidance related to a specific policy or when a slight revision is needed. The numbering system will be the original policy number with a “version 2” or the like following it.

Process for Development and Review of Workforce Policy

Process Flow	Policy
Document development	Any administrative unit (e.g., Policy, Field Operations, Finance, Workforce Strategic Initiatives, Legal, etc.)
First internal review	Head of administrative unit reviews, approves and sends draft to Policy unit.
Second internal review	Policy Unit sends the draft to the DWD Lead Team. Review time: no less than 1 week and no more than 2 weeks.
Revision based on internal review	Policy Unit coordinates with originator to make any revisions based on internal review.
Field and Partner Agency Review	Disseminated by the Policy Unit to potentially impacted field entities (e.g., Workforce Board Chairs and Directors, Chief Local Elected Officials, Adult Education Directors, WorkOne Operators, Works Council Chairs, etc.) and as applicable partner agencies (e.g., FSSA/DVR, FSSA/DFR, CHE, DOE, etc.) Review time: no less than 1 week and no more than 2 weeks.
Final draft	Policy Unit coordinates with originator to make any revisions based on external review and prepares ancillary document for head of originating unit listing comments received and why comments were either accepted or rejected in final policy.
Final Approval	Review by the head of the originating administrative unit.
Index assignment	Policy Unit assigns index number.
Final issuance	Policy Unit creates pdf, distributes to appropriate audiences, and posts to the DWD website.
Retention	Policy unit maintains “tickle list” of review dates for policies and notifies originating unit of need for review every two years. The unit identifies any communications with end dates, and on that date, requests the communications unit to change the status on the DWD website to “rescinded” and archives it.