



**NORTH CAROLINA DEPARTMENT OF COMMERCE
DIVISION OF WORKFORCE SOLUTIONS**

DWS POLICY STATEMENT NUMBER: PS 17-2013, Change 1

Date: October 9, 2013

**Subject: Program Year 2013 Incumbent Workforce
Development Program**

From:


Roger Shackleford, Assistant Secretary

Purpose: To provide updated guidance and criteria for the Program Year (PY) 2013 North Carolina Incumbent Workforce Development Program (IWDP).

Changes and Additions: **The following IWDP documents have been changed:**

IWDP PY 2013 Guidelines for Businesses

- Page 5 Who Is Not Eligible to Apply - Bulb #3
- Page 8 How Does a Business Submit an Application—Link to Local Workforce Development Boards Directed to NCWorks Online
- Page 8 How Can A Business Determine if its Parent Company and/or Subsidiaries Have Received an IWDP Grant? –Link to indicate Companies who have been awarded Incumbent Workforce Development Grants to date

IWDP PY 2013 Application Assessment

Training Component Assessment Page— Additional Criteria Question – Review the Allowable / Non-Allowable Costs for IWDP funding (Attachment A in the IWDP Guidelines or Attachment C of the IWDP Application).

The following IWDP documents have been added:

IWDP PY 2013 Guidelines for Local Workforce Development Boards

The Local Workforce Development Board Guidelines serve as guidance and instructions for operating the Incumbent Workforce Development Program.

IWDP PY 2013 Application Overview

The Application Overview will provide the Division of Workforce Solutions with the applicant and financial information necessary for maintaining the DWS Database. It is an electronic file that is completed and submitted for each application that the Board selects for funding.

IWDP PY 2013 Quarterly Report

The Quarterly Report provides financial information of the grant award, up to date expenditures, and number of trainees pertinent to each business.

IWDP PY 2013 Final Report

The Final Report provides the final expenditures of the grant, reports training outcomes and captures the business' comments on IWDP.

Action: Local Workforce Development Boards will use the attachments below for the PY 2013 Incumbent Workforce Development Program. All IWDP documents are provided below for accuracy, ease of access and are to be used for PY 2013.

Effective Date: Immediate

Expiration: June 30, 2014

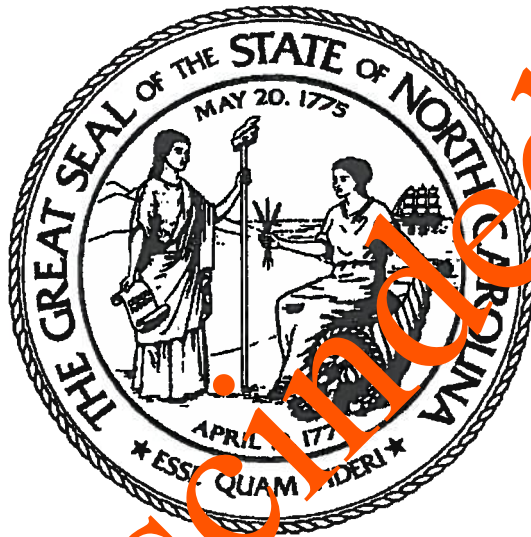
Contact: Business Services Specialist

Attachments:

- 1-IWDP PY 2013 Guidelines for Businesses
- 2-IWDP PY 2013 State of North Carolina Incumbent Worker Application
- 3-IWDP PY 2013 Application Assessment
- 4-IWDP PY 2013 Guidelines for Local Board
- 5-IWDP PY 2013 Application Overview
- 6-IWDP PY 2013 Quarterly Report
- 7-IWDP PY 2013 Final Report

Rescinded

**THE STATE OF NORTH CAROLINA
INCUMBENT WORKFORCE DEVELOPMENT
PROGRAM**



Rescinded

**GUIDELINES
PROGRAM YEAR
JULY 1, 2013 - JUNE 30, 2014**

**NORTH
CAROLINA**

DEPARTMENT OF COMMERCE

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(IWDP) GUIDELINES

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Rescinded

NORTH CAROLINA INCUMBENT WORKFORCE DEVELOPMENT PROGRAM GUIDELINES

KEY POINTS:

- The North Carolina Incumbent Workforce Development Program (IWDP) is a competitive, retention solutions grant that qualifying businesses can use to address employees' skills gaps, resulting in increased knowledge, certifications and value to the company. Addressing employees' skills gaps also contributes to a company's competitiveness in regional and global economies.
- North Carolina for-profit and not-for-profit businesses that have been in operation for a minimum of one year prior to the application date, are current on all federal and state tax obligations, and are financially viable are eligible to apply.
- IWDP grants are awarded on a competitive basis. The maximum amount is \$25,000 per grant, with a lifetime funding limit of \$40,000.
- The IWDP is cooperatively administered through the state's Local Workforce Development Boards (LWDB) and the North Carolina Department of Commerce's Division of Workforce Solutions (Division). Applications are submitted directly to a LWDB. A LWDB may request additional information or establish supplemental provisions and requirements for the training projects.
- | | |
|----------------------------------|---------------------------------|
| <i>State Submission Deadline</i> | <i>Grant Award Announcement</i> |
| October 31, 2013 | December 4, 2013 |
| April 1, 2014 | April 30, 2014 |
- For each funding cycle, each LWDB will set its own due date so that the state submission deadline can be met.
- Only complete IWDP applications will be considered for this competitive grant process.

Please see the information below for more details.

FREQUENTLY ASKED QUESTIONS

WHAT IS THE NORTH CAROLINA INCUMBENT WORKFORCE DEVELOPMENT PROGRAM?

The North Carolina Incumbent Workforce Development Program is a competitive, retention solutions grant. Qualifying businesses can use this grant to address employees' skills gaps, resulting in increased knowledge, certifications, and value to the company. Addressing employees' skills gaps also contributes to a company's competitiveness in regional and global economies.

WHAT IS AN INCUMBENT WORKER?

An incumbent worker is:

- A paid employee of the applicant business, or a person working for the business as a staffing agency employee;
- At least 18 years of age;
- A citizen of the United States or a non-citizen whose status permits employment in the United States; and
- An employee to be trained that works at a facility located in North Carolina or working for a staffing agency and placed at a North Carolina facility.

WHEN WOULD AN EMPLOYER UTILIZE THIS RETENTION SERVICE?

An employer can utilize this retention solutions grant when employees have identified skills gaps that need to be addressed through training, thus enhancing their continued employability.

WHICH EMPLOYEES WOULD BENEFIT FROM THE INCUMBENT WORKFORCE DEVELOPMENT PROGRAM TRAINING?

The Incumbent Workforce Development Program Training is beneficial to employees who have identified skills gaps, where eligible training addresses these gaps, allowing them to:

- Qualify for a job with changing skill requirements, or for higher paying jobs with their existing employers or other companies in the area; or
- Obtain the skills and knowledge to perform work that is at a higher level than their current positions.

Additionally, the training provides a significant step towards achieving an industry- or applicant-recognized certification or credential that increases the workers' overall employability.

WHO IS ELIGIBLE TO APPLY?

North Carolina for-profit and not-for-profit businesses that have been in operation for a minimum of one year prior to the application date, are current on all federal and state tax obligations, and are financially viable are eligible to apply.

WHAT IS A NOT-FOR-PROFIT BUSINESS?

A not-for-profit entity is a legally constituted organization whose primary objective is to support or to actively engage in activities of public or private interest without any commercial or monetary profit purposes. For the purpose of this grant, it is further defined as having the following characteristics: 1) has paid employees (volunteers are not eligible for training under this program), 2) pays required wage taxes; and 3) generates income through the production of products or the provision of services.

WHO IS NOT ELIGIBLE TO APPLY?

The following businesses are not eligible to apply for funds under this program:

- A business currently receiving training funds, either directly or indirectly, from North Carolina state government unless those training funds do not duplicate the training efforts outlined in the project application
- A business that has received funds either directly or indirectly from North Carolina state government under any previous training initiative, and the terms of the agreement for training have not been met
- A training provider, unless it is to address the skills gaps of the training provider's incumbent workers
- A Workforce Development Board or its administrative entity
- A labor union
- A government entity
- A company that has already met its lifetime limit (\$50,000 for grants awarded prior to July 1, 2008, or \$40,000 for grants awarded after July 1, 2008), unless it is part of a collaborative grant application

CAN A BUSINESS APPLY FOR AN IWDP GRANT IF IT IS ELIGIBLE FOR OTHER TYPES OF TRAINING RESOURCES, SUCH AS CUSTOMIZED TRAINING?

In addition to the IWDP, the North Carolina Community College System provides funds through the Customized Training Program. Introduced in 2008, the Customized Training Program is an integration of two prior programs: The New and Expanding Industry Program (NEIT) and the Focused Industrial Training Program (FIT). To maximize resources, the business must demonstrate that it is not eligible for, or has exhausted efforts to secure, funding through this or other existing programs (examples: agreement on an acceptable training schedule timeline; availability of funds to meet training timeframe).

WHAT KINDS OF TRAINING CAN BE FUNDED BY THE IWDP?

The following types of training can be funded:

- Occupational skills training designed to meet the special requirements of a business or a group of businesses
- Educational training including, but not limited to, workplace literacy, basic skills, soft skills, and English as a second language

Funds awarded for a project will be expended on training activities that take place only in North Carolina unless the Local Workforce Development Board approves training outside the state. If consent is given, all other rules and regulations of the IWDP still apply.

WHAT IS THE MAXIMUM AMOUNT FOR WHICH A BUSINESS CAN APPLY?

IWDP funds are limited, and are, therefore, awarded on a competitive basis. The maximum amount is \$25,000 per grant, with a lifetime funding limit of \$40,000. Businesses with locations in multiple areas of the state will be treated as a single company for the purposes of determining when the lifetime maximum has been met. The lifetime limit applies to the company, its parent company and subsidiaries. The business may apply for subsequent grants, based on the difference between the amount of a previous grant award(s), not total expenditures of previous grants, and the lifetime funding limit of \$40,000. A business must meet all criteria in order to apply for its remaining lifetime limit; receipt of a prior IWDP grant does not automatically make a business eligible for future grants.

WHAT IS THE LIFETIME LIMIT FOR THOSE WHO HAVE RECEIVED AN IWDP GRANT PRIOR TO JULY 1, 2008?

Businesses that received IWDP funds prior to July 1, 2008 and have not reached the lifetime funding limit that was set at \$50,000 are grandfathered under the \$50,000 lifetime limit. Thus, the eligible amount for which they can apply is based on the difference of the prior grant award, not total expenditures of previous grants, and \$50,000. A business must meet all criteria in order to apply for its remaining lifetime limit; receipt of a prior IWDP grant does not automatically make a business eligible for future grants.

If a company is awarded an Incumbent Worker grant but is unable to use any of the funds and forfeits the full grant amount, then that grant amount will not count against the total lifetime limit for that company.

CAN A BUSINESS APPLY FOR A GRANT THAT WILL SERVE DIFFERENT, MULTIPLE BUSINESSES WITH COMMON TRAINING NEEDS?

Yes, unique businesses can partner and apply for a collaborative training grant. The businesses pursuing this approach must consult with their Local Workforce Development Boards (LWDB), who will help coordinate this type of application.

LWDBs are also encouraged to work with unique businesses in high demand sectors within their region to complete collaborative applications. All businesses included in the application must meet all rules, regulations, and guidelines of the Incumbent Workforce Development Program.

The proposal for the common training must:

- Serve employees of at least two different businesses, with one of those businesses designated as the Lead Applicant. A non-business entity can apply on behalf of the businesses, but this non-business entity cannot be the training provider;
- Include information on each business that will be part of the training. The application has a specific section for this information;
- Include training descriptions and outcomes that address the employees from all businesses impacted by the proposed common training; and
- Be for a collective group of businesses of which *none* have ever received a collaborative training grant.

An application representing the training needs of **two (2) businesses** will be subject to the \$32,500 per grant funding limits previously set forth.

If **three (3) or more different businesses** apply for a collaborative training grant, then the funding request may be awarded for an amount up to \$40,000.

HOW IS A BUSINESS' LIFETIME FUNDING LIMIT AFFECTED IF IT IS PART OF A COLLABORATIVE APPLICATION?

The amount of the award will be equally portioned among the businesses included in the application as follows:

- For a business that has *not received* an Incumbent Workforce Development Program (IWDP) grant(s) *prior to July 1, 2008*, its portion of a collaborative award will apply towards its lifetime funding limit of \$40,000.

Example: Two businesses receive a collaborative training grant in the amount of \$20,000. These businesses have never received an IWDP grant; therefore, their lifetime funding limit is \$40,000 each. Each business will have \$10,000 credited towards its lifetime funding limit, leaving \$30,000 available for future IWDP grant(s) in which each business is the sole applicant.

- For a business that *has received* an IWDP award(s) *prior to July 1, 2008*, its portion of a collaborative grant award will *not* apply towards its lifetime funding limit of \$50,000. The business can still apply for its lifetime funding balance as a sole applicant.

Example: Two businesses receive a collaborative training grant in the amount of \$20,000. Business A has benefited from the IWDP *prior to July 1, 2008*. In determining each business's equal portion of the grant amount, Business A is considered in the denominator, but its portion is not applied towards the amount remaining, if any, in its lifetime funding limit of \$50,000.

WHAT COSTS CAN BE REIMBURSED BY THE IWDP?

See Attachment A for a list of allowable and non-allowable costs. Costs associated with the training that are not allowable can be included as part of the "Employer Contribution" column on the budget form.

WHAT OUTCOMES ARE EXPECTED FROM THE IWDP GRANT?

When workers lack needed training and businesses experience skills gaps in its workforce, the company's ability to compete, expand, and retain workers can be compromised. North Carolina's IWDP, funded by the federal Workforce Investment Act (WIA), addresses such needs. The specific outcomes of the training through the IWDP will address employees' skills gaps and result in increased knowledge, certifications, and value to the company.

HOW IS THE IWDP ADMINISTERED?

The IWDP is cooperatively administered through the state's Local Workforce Development Boards (LWDB) and the North Carolina Department of Commerce's Division of Workforce Solutions (Division). Within the framework established through the IWDP, a LWDB may request additional information for the applications.

HOW DOES A BUSINESS SUBMIT AN APPLICATION?

First the business must contact the Local Workforce Development Board (LWDB) that administers the Incumbent Workforce Development Training Program (IWDP) in its geographical area. The full listing for the NC LWDBs is available at NCWorks Online: www.ncworks.gov. From the link, select Resources and Services, then Local Workforce Area Contacts. This contact allows the business and the LWDB the opportunity to review the guidelines and eligibility requirements, highlight restrictions, discuss training priorities, understand the cost reimbursement procedures and the application time schedule, and other procedures and expectations.

Program applications for North Carolina's IWDP are available on the Department of Commerce website: <http://www.nccommerce.com/workforce/businesses/worker-training-program/how-to-apply/guidelines-applications-forms>. These documents are also available through LWDB staff and websites.

HOW CAN A BUSINESS DETERMINE IF ITS PARENT COMPANY AND/OR SUBSIDIARIES HAVE RECEIVED AN IWDP GRANT?

The business should work with its LWDB to determine this information. It may also view the following website, which has a complete listing of all companies that have received an IWDP grant: <http://www.nccommerce.com/workforce/businesses/worker-training-program/latest-grant-awards>. The list of total companies funded is updated within thirty (30) days from the announcement of awards for each round.

IS IT REQUIRED THAT THE APPLICANT USE THE APPLICATION FORM PROVIDED?

Yes. The application is provided as a Word document. *All* information is to be provided *within* the form. The space will expand to accommodate the information. Please do **not** include trainer's resumes or other excess information. Also, a trainer's qualifications, course descriptions and objectives should be summarized within the form. Incomplete applications will not be considered for review, however, the LWDB will assist the company as it deems appropriate, if the application is incomplete.

IS AN ELECTRONIC SIGNATURE ACCEPTABLE?

No. Electronic signatures will not be accepted. All sections requiring a signature must be original, handwritten signatures.

WHAT TECHNICAL ASSISTANCE IS AVAILABLE TO ASSIST THE BUSINESS?

The LWDB staff is available to provide technical assistance throughout the process.

CAN AN ENTITY APPLY FOR TRAINING ON BEHALF OF THE BUSINESS(ES)?

An individual or organization may apply for a grant on behalf of a business or group of businesses; however, the individual/organization may not be compensated with grant funds.

WHEN CAN A BUSINESS APPLY FOR AN IWDP GRANT?

State Submission Deadline

October 31, 2013

April 1, 2014

Grant Award Announcement

December 4, 2013

April 30, 2014

The LWDB will inform the business of its advanced submission date and other requirements necessary in order to meet the State's application submission deadline.

HOW WILL FUNDING DECISIONS BE MADE?

Using the Division's Criteria Check List, the LWDB will review the application for viability and make funding decisions based on the State's IWDP criteria. The LWDB will then work with the Division to access the funding.

The number of awards approved per round is based on the number of eligible applications and funding availability as determined by the Division.

IS A BUSINESS GIVEN ANY SPECIAL CONSIDERATION?

Yes, special consideration may be given if:

- The business is located in a Tier 1 county as specified by the NC Department of Commerce's 2013 County Tier Designation (see Attachment B); or if,
- The applicant's location has less than 100 employees and less than 250 employees throughout North Carolina.

HOW WILL I KNOW IF MY BUSINESS' APPLICATION IS APPROVED?

The Local Workforce Development Board (LWDB) will notify the business of action taken on its application. The LWDB will begin the process of developing a contract between it and the successful applicant, to be executed within 60 days of the date of the Notice of Funds Availability cover letter from the LWDB. The contract will set forth all processes and expectations for administering, implementing, and completing the training. If the contract is not executed within the aforementioned 60-day time frame, the grant award becomes null and void and the business will have to re-apply in a future round.

Each project will be monitored and evaluated by the LWDB, with outcomes reported to the Division.

HOW LONG DOES A BUSINESS HAVE TO CONDUCT THE TRAINING?

Training must be completed within 12 months from the date of the contract between the business and the LWDB.

CAN THE CONTRACT BE EXTENDED?

A business is expected to carefully assess its training needs so that it will apply only for the funds needed for training that addresses its employees' skills gaps and can be completed in a twelve (12) month time frame. Under extenuating circumstances, a request can be made by the business to the Local Workforce Development Board (LWDB) to extend the date of a contract. Each request is reviewed on a case-by-case basis. In any event, no extension will exceed 30 days past the end date of the original contract.

ONCE THE BUSINESS HAS BEEN AWARDED, AN IWDP GRANT, CAN IT CHANGE THE TYPE(S) OF TRAINING OR USE OF FUNDS APPROVED IN THE GRANT?

The Incumbent Workforce Development Training Program (IWDP) is a competitive retention solutions grant and each application is evaluated against program criteria.

If there is a need to request a change to the approved training, the business must contact the LWDB to discuss the best alternatives. Training changes must continue to address the employees' originally identified skills gaps, be completed within the original one-year timeframe, and meet the IWDP criteria. The LWDB will evaluate each request based on a case-by-case basis.

WHAT INFORMATION IS A BUSINESS REQUIRED TO SUPPLY TO THE LWDB ON THE EMPLOYEES TO BE TRAINED?

The LWDB will discuss with the business the employee information required on the trainees. Federal requirements mandate funded businesses provide the following data for each training participant:

- Social Security Number
- Complete Name and Contact Information
- Gender
- Date of Birth
- Citizenship (Right-to-Work Status)
- Selective Service Compliance
- Person with Disability
- Ethnicity and Race

It is possible that more information may be needed.

ARE ANY REPORTING REQUIREMENTS EXPECTED OF THE BUSINESS?

Yes. The Local Workforce Development Board (LWDB) will advise and discuss the reporting requirements for the grant award, to include content, time frame and other matters. A final report on the training is due no later than forty-five (45) days from the *end of the training*. It will be forwarded by the LWDB to the Division of Workforce Solutions.

ATTACHMENT A

Reimbursable / Non-Reimbursable Training Costs

The following is a listing of reimbursable and non-reimbursable training costs for North Carolina's Incumbent Workforce Development Program (IWDP):

Allowable Training Costs:

- Instructors' / trainers' salaries
- Tuition costs for training courses
- Training that results in participants obtaining an industry-recognized certification or credential to include training preparation for certification exams. Funding must be requested for both the training and the certification exam and completed within the twelve (12) month contract
- On-line training
- Employee skills assessment that results in primary training funded through the grant
- Textbooks / manuals used 100% for the training activities
- Materials and supplies directly related to the funded training
- Computer software used 100% for the training activities, limited to 5% of the total request of the other eligible expenditures within the application
- Travel for trainers-if the requested training is not available within reasonable proximity to the business

Non-Allowable Training Costs:

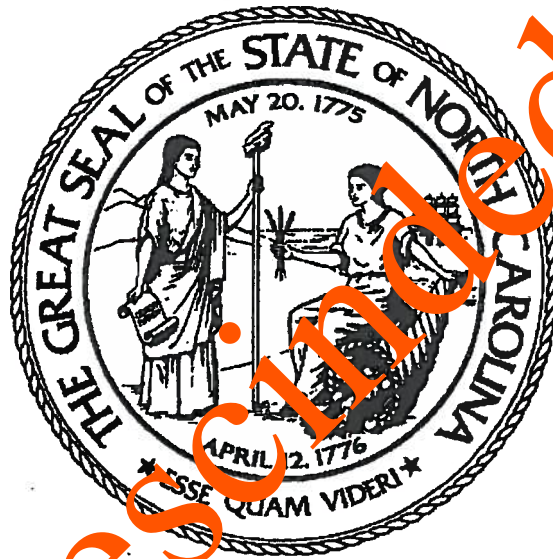
- Employee wages, fringe benefits, travel, and process improvement or quality-related training
- Training-related costs incurred prior to the beginning date of the contract with the LWDB or after the contract ends.
- Training which is reimbursed / required by other public agencies or departments, such as but not limited to OSHA, Worker's Compensation, etc.
- Continuing Education Units (CEUs) and other training that is specifically required for an employee or entity to remain licensed or certified
- Employment or training in sectarian activities
- Curriculum design and/or training program development
- Any costs associated with in-house company trainers to include parent company employees, also to include employees of collaborative businesses, if applicable
- Trainers must not be employed by any business whose employees are being trained
- Purchase of employee assessment systems or systems usage licenses (ex., site licenses)
- Company website design and development, website hosting, and maintenance, software or hardware upgrades, advice on computer selection for purchase and upgrade
- Compensation or consultant fees not directly related to the provision of training
- Any costs that would normally be considered allowable, but for which there is no request / cost for training related to the item(s) within the application
- Capital improvements, purchase of real estate, to include the construction or renovation of facilities or buildings, and capital equipment or other durable (long lasting and/or reusable) training materials
- Business relocation or other similar / related expenses
- Travel outside of contiguous United States or costs associated with bringing a trainer into the country
- General office supplies and non-personnel services costs, i.e., postage and photocopying
- Membership fees / dues
- Food, beverage, entertainment, and/or celebration related expenses
- Job / position profiling
- Publicity / public relations costs
- Costs associated with conferences

Attachment B

NC DEPARTMENT OF COMMERCE 2013 COUNTY TIER DESIGNATIONS

TIER 1		TIER 2		TIER 3
Alleghany	Northampton	Alamance	Person	Brunswick
Anson	Richmond	Alexander	Pitt	Buncombe
Bertie	Robeson	Ashe	Polk	Cabarrus
Bladen	Rockingham	Avery	Randolph	Carteret
Burke	Rutherford	Beaufort	Rowan	Chatham
Caldwell	Scotland	Catawba	Sampson	Durham
Camden	Swain	Cleveland	Stanly	Forsyth
Caswell	Tyrrell	Craven	Stokes	Franklin
Cherokee	Vance	Cumberland	Surry	Haywood
Chowan	Warren	Currituck	Transylvania	Henderson
Clay	Washington	Dare	Wayne	Iredell
Columbus	Wilkes	Davidson	Yadkin	Johnston
Edgecombe	Wilson	Davie		Mecklenburg
Gates	Yancey	Duplin		Moore
Graham		Gaston		New Hanover
Halifax		Granville		Orange
Hertford		Greene		Pender
Hoke		Guilford		Union
Hyde		Hurlett		Wake
Jackson		Lee		Watauga
Jones		Lincoln		
Lenoir		Macon		
Martin		Madison		
McDowell		Nash		
Mitchell		Onslow		
Montgomery		Pamlico		
		Pasquotank		
		Perquimans		

THE STATE OF NORTH CAROLINA
INCUMBENT WORKFORCE DEVELOPMENT
PROGRAM



RESERVED

APPLICATION

PROGRAM YEAR
JULY 1, 2013 - JUNE 30, 2014

NORTH
CAROLINA

DEPARTMENT OF COMMERCE

North Carolina Incumbent Workforce Development Program Application

Note: For an application to be considered, all requested and applicable information must be provided.

SECTION I. BUSINESS INFORMATION

The sections of the application are to be completed by the Applicant. Please complete within the form; the space will expand.

If the application is for a collaborative grant, the companies included in the grant, but **not** the lead applicant, are to also complete Attachment F.

A. Applicant Information

Business Name:			
Street/Mailing Address:			
City/State:		Zip:	County:
Company Contact Person:		Title:	
Phone:	Ext:	Fax:	
E-Mail Address:		Company Web-site:	
Description of Business Product(s) or Service(s):			
Years in business at training location:	Total number of paid employees at this location:	Total number of paid employees throughout NC:	NAICS Code:
Legal Structure of Business:	<input type="checkbox"/> Sole Proprietor	<input type="checkbox"/> Partnership	<input type="checkbox"/> Corporation (Designation) _____
Tax Status of Business:	<input type="checkbox"/> For-profit	<input type="checkbox"/> Not-for-profit (Designation) _____	Other: _____
Employer's Federal ID #:		Unemployment Insurance ID #:	

B. Parent Company

Is your company a subsidiary of another company or affiliated with a parent company? Yes No

If "Yes," please provide the following information about the corporate office/parent company, if different from above, or indicate "SAME."

Parent Company Name:		
Street/Mailing Address:		
City/State:	Zip:	County:
Authorized Representative:		Title:
Phone:	Ext:	Fax:
E-Mail Address:	Company Website:	

C. Business Status Checklist

- Has the company been in operation in the State of North Carolina during the entire twelve-month period immediately preceding the date of application? Yes No
- Is your company current on all North Carolina state taxes? Yes No
- Is your company current on all federal taxes? Yes No
- Is your company current on all county, city and local taxes? Yes No
- Is your company subject to a collective bargaining agreement? Yes No
(If "Yes," please attach a letter of endorsement from the authorized union official)

SECTION II. AVAILABILITY AND/OR USE OF OTHER FUNDS

In addition to the IWDP, the North Carolina Community College System provides funds through the Customized Training Program. Introduced in 2008, the Customized Training Program is an integration of two prior programs: The New and Expanding Industry Program (NEIT) and the Focused Industrial Training Program (FIT). To maximize resources, the business must demonstrate that it is not eligible for, or has exhausted efforts to secure, funding through this or other existing programs (examples: agreement on an acceptable training schedule timeline; availability of funds to meet training timeframe).

- A. Please describe the results of your communication with a local community college or publicly-funded college or university concerning the availability of resources through: 1) The Customized Training Program, and/or 2) other potential training resources that could fund the training described herein.

Contact: _____

Institution: _____

Outcome of discussion: _____

NOTE: If more than one contact was made, supply the same information for each contact.

B. Are any of the training components described in this application available from any publicly-funded community college or university? Yes _____ No _____

C. Has your company previously received any training grants, such as the Customized Training Program, New and Expanding Industry Training or Focused Industrial Training or other training grants from any government sources? Yes _____ No _____

If YES, please provide the following information about each grant received:

Funding Source:	Amount of Award:	Dates of Grant Period:
Types of training provided:		
Have the terms and agreements of the training been completed? Yes No (If no, explain.)		
Summary of the outcome(s) from the training:		
Explain the relationship, if any, to the training described in this application:		

Funding Source:	Amount of Award:	Dates of Grant Period:
Types of training provided:		
Have the terms and agreements of the training been completed? Yes No (If no, explain.)		
Summary of the outcome(s) from the training:		
Explain the relationship, if any, to the training described in this application:		

D. Has your company previously received any Incumbent Workforce Development Training Grants? _____ Yes _____ No

If YES, please provide the following information about each grant received:

Local Workforce Development Board:		
Amount of Award:	Dates of Grant Period:	
Types of training provided:		
Have the terms and agreements of the training been completed? Yes No (If no, explain.)		
Summary of the outcome(s) from the training:		
Explain the relationship, if any, to the training described in this application:		

Local Workforce Development Board:		
Amount of Award:	Dates of Grant Period:	
Types of training provided:		
Have the terms and agreements of the training been completed? Yes No (If no, explain.)		
Summary of the outcome(s) from the training:		
Explain the relationship, if any, to the training described in this application:		

SECTION III. TRAINING PLAN

Training Summary

Anticipated Project Start Date: _____

Project Length: _____ (to be no longer than 12 months from date of contract)

Amount of Funds Requested: _____

Number of Employees who will attend **only** an orientation/introduction of the training: _____
(Do not count this number in the "Number of Employees to be trained")

Number of Employees to be trained (Count each **one** time): _____

B. Collaborative Grant

If this is a Collaborative Grant, please provide the following for each company, including the lead applicant:

Company Name:	Number to be Trained (unique count)

C. Training Components

See Attachment A for the Training Component Template. The form can be replicated as many times as necessary to include all Training Components requested for funding. If the application is for a collaborative grant, the companies included in the grant, but not the lead applicant, are to also complete Attachment F.

D. Incumbent Worker Defined

An incumbent worker is:

- A paid employee of the applicant business, or a person working for a business as a staffing agency employee;
- At least 18 years of age;
- A citizen of the United States or a non-citizen whose status permits employment in the United States; and
- An employee to be trained that works at a facility located in North Carolina or working for a staffing agency and placed at a North Carolina facility.

Are all employees to be trained an eligible Incumbent Worker as described above? Yes No

E. Project Abstract

Please provide the following information on Attachment B:

1. Background information on the company;
2. Overview of the training (not to exceed 1/2 page) and information to support the request and need for training;
3. Description of how the training plan will lead to employee retention and company competitiveness; and reason for requesting financial assistance to conduct the training.

SECTION IV. BUDGET

A. The applicant is encouraged to apply only for the amount of funds needed to meet its immediate training needs. The project budget should clearly support and relate to the training plan and itemize how the award will be used. **The amount under the “Grant Funds Requested” column below should equal the total of the amounts shown under “Component Cost Charged to Grant” for all Training Components listed in Section III C. Training Components, Attachment A.** All proposed expenses must be allowable, reasonable and necessary (see Attachment C). Please provide the required information on this budget form, rather than submitting attachments.

The applicant is encouraged to place a monetary value on the contributions that will be made to this training request, if funded. These contributions may be in-kind, cash, etc. A column has been provided for this information.

NOTE: Shaded areas represent expenses not eligible to be funded through the IWDP. See Attachment C for additional information on allowable costs.

Category	Grant Funds Requested	Employer Contribution (in-kind, cash, etc.) expressed in (\$)	Explanation and Detail Please place a “G” after all explanation of costs to be paid by IWDP funds and Itemize the cost of each Training Component.
Instructor Wages/Tuition			Example: CAD training \$300 x 10 employees=\$3000)
Manuals/Textbooks (itemize)			Example: 10 Microsoft manuals at \$30 each=\$300)
Training Certifications, Certificates, Credentials, Licenses			(Specify number and type)
Materials/Supplies			(Itemize and describe)
Software (used 100% for the training; limited to 5% of total of other grant - eligible expenses)			

Category	Grant Funds Requested	Employer Contribution (in-kind, cash, etc., expressed in \$)	Explanation and Detail
Training equipment purchase (can be employer contribution)			
On-site facility usage (can be employer contribution)			
Employees' travel, food, lodging (can be employer contribution)			
Employees' wages (can be employer contribution)			
Total Funds (Both Grant and EC)	\$	\$	TOTAL TRAINING INVESTMENT (Grant + EC): \$

Rescinded

The Local Workforce Development Board and the NC Division of Workforce Solutions reserve the right to remove or adjust any part of the budget prior to grant approval.

SECTION V. AUTHORIZATION AND CERTIFICATION

A. Authorized representative of the Business submitting this application, I hereby certify that:

- I have read the Incumbent Workforce Development Training Program Guidelines and coordinated this application with the Local Workforce Development Board;
- The Business meets the requirements and is eligible to submit this application;
- The information contained in this application is true and accurate and reflects the intentions of the Incumbent Workforce Development Training Program;
- I am aware that any false information, intentional omissions, or misrepresentations may result in rejection of the application and possible disqualification for future funding;
- I am aware that any false information, intentional omissions, or misrepresentations may subject the Business to civil or criminal penalties;
- I understand that training materials purchased with funds awarded under this project will be in the public domain and will be available for use by other eligible entities at no costs;
- The Business agrees to adhere to all reporting requirements; and to respond to a Customer Satisfaction Survey(s), if asked; and
- The Business agrees to provide all requested data elements as required for federal reporting.

Further, this business shall not discriminate against any employee, applicant for employment, applicant or Workforce Investment Act participant, subcontractor or potential beneficiaries of employment and training programs or projects because of race, color, disability, religion, age, sex, national origin, political affiliation or belief.

_____	_____
Print Name	Title
_____	_____
Signature	Date

Rescinded

ATTACHMENT A
TRAINING COMPONENT # _____

Course Title:	
Course Description and Objectives:	
Training Schedule (# hours of training):	Estimated Training Dates:
Number of Trainees for Component:	
Training Location:	
Component Cost:	Component Cost Charged to Grant:
Please provide information for the training provider.	
Name of Training Provider:	
Name of Training Provider Contact:	Phone:
Address:	
City:	State: Zip:
E-Mail Address:	
Provide the following information for <u>each</u> Instructor of this Component.	
Name of Trainer/Instructor:	
Qualifications of Trainer/Instructor to Teach Component:	
Please provide the information requested in questions 1-3	
1.	Please identify the skills gaps of the employees to be trained.
2.	<p>Explain how the training will address those skills gaps by either:</p> <p>Qualifying the trainees for a job with changing skill requirements or for a higher paying job with the existing employer or other companies in the area?</p> <p style="text-align: center;">OR</p> <p>Helping the trainee obtain the skills and knowledge to perform work that is at a higher level than their current position?</p>
3.	How will this training component impact the employees' opportunity for advancement in the company and/or wage increases?

NOTE: This template is to be replicated for each Training Component. Duplicate information in additional components that appears in a prior component may be noted as "Same as Component # _____" in the appropriate subsection.

**ATTACHMENT B
PROJECT ABSTRACT**

SECTION VI.

Please provide the following information, not to exceed three (3) pages:

1. Background information on the company;
2. Overview of the training (not to exceed ½ page) and information to support the request and need for training;
3. Description of how the training plan will lead to employee retention and company competitiveness; and
4. Reason for requesting financial assistance to conduct the training.

Rescinded

ATTACHMENT C

Reimbursable / Non-Reimbursable Training Costs

The following is a listing of reimbursable and non-reimbursable training costs for North Carolina's Incumbent Workforce Development Program (IWDP):

Allowable Training Costs:

- Instructors' / trainers' salaries
- Tuition costs for training courses
- Training that results in participants obtaining an industry-recognized certification or credential to include training preparation for certification exams. Funding must be requested for both the training and the certification exam and completed within the twelve (12) month contract.
- On-line training
- Employee skills assessment that results in primary training funded through the grant
- Textbooks / manuals used 100% for the training activities
- Materials and supplies directly related to the funded training
- Computer software used 100% for the training activities, limited to 5% of the total request of the other eligible expenditures within the application
- Travel for trainers-if the requested training is not available within reasonable proximity to the business

Non-Allowable Training Costs:

- Employee wages, fringe benefits, travel, and process improvement or quality related training
- Training-related costs incurred prior to the beginning date of the contract with the LWDB or after the contract ends.
- Training which is reimbursed / required by other public agencies or departments, such as but not limited to OSHA, Worker's Compensation, etc.
- Continuing Education Units (CEUs) and other training that is specifically required for an employee or entity to remain licensed or certified
- Employment or training in sectarian activities
- Curriculum design and/or training program development
- Any costs associated with in-house company trainers to include parent company employees, also to include employees of collaborative businesses, if applicable
- Trainers must not be employed by a business whose employees are being trained
- Purchase of employee assessment systems or systems usage licenses (ex., site licenses)
- Company website design and development, website hosting, and maintenance, software or hardware upgrades, advice on computer selection for purchase and upgrade
- Compensation or consultant fees not directly related to the provision of training
- Any costs that would normally be considered allowable, but for which there is no request / cost for training related to the item(s) within the application
- Capital improvements, purchase of real estate, to include the construction or renovation of facilities or buildings, and capital equipment or other durable (long lasting and/or reusable) training materials
- Business relocation or other similar / related expenses
- Travel outside of contiguous United States or costs associated with bringing a trainer into the country
- General office supplies and non-personnel services costs, i.e., postage and photocopying
- Membership fees / dues
- Food, beverage, entertainment, and/or celebration-related expenses
- Job / position profiling
- Publicity / public relations costs
- Costs associated with conferences

ATTACHMENT D

NC WORKFORCE DEVELOPMENT BOARD CONTACT INFORMATION

<http://support.nccommerce.com/joblink/default.aspx?var=workforcedevboards>

Rescinded

ATTACHMENT E

NC DEPARTMENT OF COMMERCE 2013 COUNTY TIER DESIGNATIONS

TIER 1		TIER 2		TIER 3
Alleghany	Northampton	Alamance	Perquimans	Brunswick
Anson	Richmond	Alexander	Person	Buncombe
Bertie	Robeson	Ashe	Pitt	Cabarrus
Bladen	Rockingham	Avery	Polk	Carteret
Burke	Rutherford	Beaufort	Randolph	Chatham
Caldwell	Scotland	Catawba	Rowan	Durham
Camden	Swain	Cleveland	Sampson	Forsyth
Caswell	Tyrrell	Craven	Stanly	Franklin
Cherokee	Vance	Cumberland	Stokes	Haywood
Chowan	Warren	Currituck	Surry	Iredell
Clay	Washington	Dare	Transylvania	Johnston
Columbus	Wilkes	Davidson	Wayne	Mecklenburg
Edgecombe	Wilson	Davie	Yadkin	Moore
Gates	Yancey	Duplin		New Hanover
Graham		Gaston		Orange
Halifax		Granville		Pender
Hertford		Greene		Union
Hoke		Guilford		Wake
Hyde		Harnett		Watauga
Jackson		Lee		
Jones		Lincoln		
Lenoir		Macon		
Martin		Madison		
McDowell		Nash		
Mitchell		Onslow		
Montgomery		Pamlico		
		Pasquotank		

**ATTACHMENT F
MULTIPLE BUSINESS COLLABORATIVE FORM**

Please complete Attachment F for each additional business that is part of a collaborative grant, but not the lead applicant. This attachment(s) is to be included as part of the completed application.

A. Applicant Information

Business Name:			
Street/Mailing Address:			
City/State:		Zip:	County:
Business Contact Person:		Title:	
Phone:	Ext:	Fax:	
E-Mail Address:		Company Website:	
Description of Business Product(s) or Service(s):			
Years in business at training location:	Total number of paid employees at this location:	Total number of paid employees throughout NC:	NAICS Code:
Legal Structure of Business:	<input type="checkbox"/> Sole Proprietor	<input type="checkbox"/> Partnership	<input type="checkbox"/> Corporation (Designation) _____
Tax Status of Business:	<input type="checkbox"/> For-profit	<input type="checkbox"/> Not-for-profit (Designation) _____	Other: _____
Employer's Federal ID #:		Unemployment Insurance ID #:	

B. Is your company a subsidiary of another company or affiliated with a parent company? Yes No

If YES, please provide the following information about the corporate office/parent company, if different from above, or indicate 'SAME.'

Parent Business Name:		
Street/Mailing Address:		
City/State:		Zip:
Authorized Representative:		Title:
<input type="checkbox"/> none:	Ext:	Fax:
E-Mail Address:		Company Website:

C. Business Status Checklist

- Has the company been in operation in the State of North Carolina during the entire twelve-month period immediately preceding the date of application? _____ Yes _____ No
- Is your company current on all North Carolina state taxes? _____ Yes _____ No
- Is your company current on all federal taxes? _____ Yes _____ No
- Is your company current on all county, city and local taxes? _____ Yes _____ No
- Is your company subject to a collective bargaining agreement? _____ Yes _____ No
(If YES, please attach a letter of endorsement from the authorized union official)

D. Has your company previously received an Incumbent Workforce Development Training Grant(s)?
_____ Yes _____ No

If YES, please provide the following information about each grant received:

Local Workforce Development Board:		
Amount of Award:	Dates of Grant Period:	
Types of training provided:		
Have the terms and agreements of the training been completed?	Yes	No (If no, explain.)
Summary of the outcome(s) from the training:		
Explain the relationship, if any, to the training described in this application:		

Local Workforce Development Board:		
Amount of Award:	Dates of Grant Period:	
Types of training provided:		
Have the terms and agreements of the training been completed?	Yes	No (If no, explain.)
Summary of the outcome(s) from the training:		
Explain the relationship, if any, to the training described in this application:		

E. What are the identified skills gaps of your employees and how does this training address these skills gaps and bring value to the company?

(Cell will expand as you type.)

F. Explain how the training will address those skills gaps by: qualifying the trainees for a job with changing skills requirements, or for higher paying jobs; OR allowing the trainees to obtain the skills and knowledge to perform work that is at a higher level than their current position.

(Cell will expand as you type.)

AUTHORIZATION AND CERTIFICATION FOR ATTACHMENT F

As authorized representative of the Collaborative Business submitting this application, I hereby certify that:

- I have read the Incumbent Workforce Development Training Program Guidelines and coordinated this application with the Local Workforce Development Board;
- The Business meets the requirements and is eligible to submit this application;
- The information contained in this application is true and accurate and reflects the intentions of the Incumbent Workforce Development Training Program;
- I am aware that any false information, intentional omissions, or misrepresentations may result in rejection of the application and possible disqualification for future funding;
- I am aware that any false information, intentional omissions, or misrepresentations may subject the Business to civil or criminal penalties;
- I understand that training materials purchased with funds awarded under this project will be in the public domain and will be available for use by other eligible entities at no costs;
- The Business agrees to adhere to all reporting requirements: and to respond to a Customer Satisfaction Survey(s), if asked; and
- The Business agrees to provide all requested data elements as required for federal reporting.

Further, this business shall not discriminate against any employee, applicant for employment, applicant or Workforce Investment Act participant, subcontractor or potential beneficiaries of employment and training programs or projects because of race, color, disability, religion, age, sex, national origin, political affiliation or belief.

Print Name

Title

Authorized Signature
(Collaborative Business Representative)

Date

Rescinded

APPLICATION ASSESSMENT

NORTH CAROLINA INCUMBENT WORKFORCE DEVELOPMENT PROGRAM

PROGRAM YEAR JULY 1, 2013 – JUNE 30, 2014

PURPOSE: The purpose of this document is to provide a common assessment methodology for each application submitted for the Incumbent Workforce Development Program (IWDP).

INSTRUCTIONS:

- 1) Complete **one form per application** received by the Local Workforce Development Board (LWDB). Each form will be used to assess the application for adherence to criteria and completeness.
- 2) LWDBs are responsible for assessing the quality of the information and assuring that the information addresses and supports the eligibility criteria.

There are **two** types of review required.

A) **Criteria Eligibility** – noted by “C” in front of the appropriate questions

- A “NO” on a criteria question indicates that the application is not viable for IWDP, with the possible exception of the training component assessments.
- A “NO” on a training component criteria question indicates that the specific training component is not eligible for funding.
- The LWDB is encouraged to work with a business in revising the application if it deems that the business has misunderstood, skipped or inaccurately answered criteria questions, if time and conditions allow.

B) **Quality Review** – noted by “Q” in front of the appropriate questions

- Incomplete applications are not eligible
- LWDBs have two options for incomplete applications
 - Work with the business to complete the application, or
 - Defer the business to the next round.

North Carolina Incumbent Workforce

Development Program Application Assessment For PY 20 _____

Local Workforce Development Board (LWDB) _____

Round Date _____

Business Name _____

Amount Requested _____

Assessed by _____ Date _____

Complete one form for each application submitted.

Section I. Business Information			
A. Applicant Information	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Q--Have all fields been completed?			
Q--Does the company qualify for special consideration by being located in a Tier One (1) county?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Q--Does the applicant qualify for special consideration for small business by having less than 100 employees at the applicant's location AND less than 250 employees throughout North Carolina?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
B. Parent Information	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Comments
Q--Is the company a subsidiary of another company or affiliated with a parent company?			
Q--If Yes, has the company provided all information about the corporation, parent company?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Comments
C. Business Status Checklist:	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Comments
C--Has the company been in operation in North Carolina during the previous 12 months preceding the date of the application?			
C--Is the company current on all North Carolina state taxes, federal taxes, county, city, and local taxes?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Comments
Q--Is the business subject to collective bargaining?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Comments
C--If Yes, is a letter of endorsement included?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Does the company meet ALL eligibility criteria in this section? <input type="checkbox"/> Yes <input type="checkbox"/> No If no, the application is not eligible for funding.			

Section II. Availability And / Or Use Of Other Funds

A. C--Does the application support the required communication and outcomes of the applicant with the local community college and/or a publicly-funded college or university demonstrating that it is not eligible for or has exhausted efforts to secure funding?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Comments
B. Q--Is the training requested in this application available from any publicly-funded community college or university?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Comments
C. Q--Has the applicant previously received funding from the Customized Training Program, New and Expanding Industry Training or Focused Industrial Training, or other training grants? 1. Q--If so, has the applicant provided complete information pertaining to the Funding Source, Award Amount, Dates of Grant Period, terms of the Grant, outcomes, and the relationship to the training requested in this application?	<input type="checkbox"/> Yes <input type="checkbox"/> Yes	<input type="checkbox"/> No <input type="checkbox"/> No	Comments
D. Q--Has the applicant previously received any Incumbent Workforce Development Training Grant funding? 1. Q--If so, has the applicant completed the information indicating the Board Name, Amount of Award, Dates of the Grant, types of training that were provided, terms of the Grant, outcomes, and the relationship to the training received and the relevance to training requested in this application?	<input type="checkbox"/> Yes <input type="checkbox"/> Yes	<input type="checkbox"/> No <input type="checkbox"/> No	Comments
Does the information provided meet ALL eligibility criteria in this section? <input type="checkbox"/> Yes <input type="checkbox"/> No			
If no, the application is not eligible for funding.			

Section III. Training Plan

A. Training Summary

Does the application:

- 1. Q--Provide all Information? Yes No
- 2. C--Indicate that the project will occur after the beginning date of the contract with the LWDB, and before the contract ends? Yes No
- 3. C--Signify that the training will be completed within 12 months? Yes No
- 4. C--Reflect the number of employees to be trained to be less than or equal to the number of paid employees? Yes No

B. Collaborative Grant

Q--Is this a Collaborative Grant Application?

Yes No

(If yes, Attachment F of the application must be completed for each non-lead participating business. Attachment B of the Application Assessment must also be completed.)

- 1. C--If Yes, have the names of all the companies and the number to be trained (unique count) been provided? Yes No

C. Training Components – Fill out one assessment for each Training Component. See Attachment A.

D. Incumbent Worker is defined as:

- A paid employee of the applicant business, or a person working for the business as a staffing agency employee;
- At least 18 years of age;
- A citizen of the United States or a non-citizen whose status permits employment in the United States; and
- An employee to be trained that works at a facility located in North Carolina or working for a staffing agency and placed at a North Carolina facility.

C--Has the applicant confirmed that all employees to be trained meet the definition of an Incumbent Worker as described above?

Yes No

E. Project Abstract

C--Has the applicant supplied a Project Abstract?

Yes No

C--Does it provide background information on the company, and an overview of the training that is requested?

Yes No

C--Does the abstract describe how the requested training leads to employee retention and company competitiveness?

Yes No

C--Is the rationale justifiable for requesting financial assistance for this training?

Yes No

Does the information provided meet ALL eligibility criteria in this section?

Yes No

If no, the application is not eligible for funding.

Section IV. Budget

C--Does the amount listed in the "Grant Funds Requested" column equal the total of the amounts shown under the "Component Cost Charged to Grant" found in each of the training components?

Yes No

C--Have funds been requested for instructor wages / tuition?

****Note** This is a training grant and no other expenses can be considered without this grant expense.**

Yes No

C--If funds are requested for certifications, certificates, and licenses, is it a direct result of the training requested?

Yes No

C--Of the software requested, is it 5% or less of the total request of the other eligible expenditures?

Yes No

C--If software is requested, is it 100% for the eligible training activities described in the grant?

Yes No

C--Are all other grant-related expenses directly related to the requested training?

Yes No

C--Are all granted-requested cost reasonable and allowable?

Yes No

C--Is the requested funding within the criteria limits (less than, or equal to: \$25K per grant and the business' lifetime limit)?

Yes No

Does the application meet ALL eligibility criteria in this section?

Yes No

If no, the application is not eligible for funding.

Section V. Authorization and Certification

C--By way of a signature, has a company-authorized representative certified the information provided within the application?

Yes No

If no, the application is not eligible for funding.

ATTACHMENT A
Training Component # _____
Complete One Sheet Per Training Component

Q--Is there a course title and course description and objectives for the training component?
 Yes No

Q--Has the applicant provided the training schedule and the estimated training dates?
 Yes No

Q--Has the applicant provided the number of trainees and training location?
 Yes No

Q--Does the application state the cost of the component and what portion of the cost will be charged to the grant?
 Yes No

****Note** The "Component Cost Charged to the Grant" should capture all cost to be charged to the grant.**

Q--Has the applicant named the Training Provider, Training Provider Contact with contact information to include address, phone number, and email address?
 Yes No

Q--Does the application provide the name of the trainer / instructor that will teach the training component and state her / his qualifications?
 Yes No

C--Do the qualifications support the selection of the instructor for delivering the training?
 Yes No

Questions 1-3

1. C--Does the application identify the skill gaps of the employees to be trained?
 Yes No

2. C--Does the application explain how the training will address those skill gaps by either:

Yes Qualifying the trainees for a job with changing skill requirements or for higher paying jobs with the existing employer or other companies in the area?

OR

Yes Helping the trainees obtain the skills and knowledge to perform work that is at a higher level than their current position?

3. C--Does the application describe how this training will impact the employees' opportunities for advancement in the company and / or wage increases?
 Yes No

Review the Allowable / Non-Allowable Costs for IWDP funding (Attachment A in the IWDP Guidelines or Attachment C of the IWDP Application).

C--Is this Training Component allowable for reimbursement?
 Yes No

If no, the Training Component is not eligible for funding. If this is the only Training Component submitted, the application is not viable.

Does this training component meet **ALL** the eligibility criteria in this section?
 Yes No

If no, the Training Component is not eligible for funding. If this is the only Training Component submitted, the application is not viable.

ATTACHMENT B

**North Carolina Incumbent Workforce
Development Program
Collaborative Application Assessment
For PY 20 _____**

Complete **ONE** Collaborative Application Assessment for **each business** included in the application that is not the lead applicant.

This form correlates with Attachment F of the Application.

Section I. Business Information			
A. Applicant Information	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Q--Have all fields been completed?			
Q--Does the company qualify for special consideration by being located in a Tier One (1) county?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Q--Does the applicant qualify for special consideration for small business by having less than 100 employees at the applicant's location AND less than 250 employees throughout North Carolina?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
B. Parent Information			Comments
Q--Is the company a subsidiary of another company or affiliated with a parent company?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Q--If Yes, has the company provided all information about the corporation / parent company?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Comments
C. Business Status Checklist:			Comments
C--Has the company been in operation in North Carolina during the entire 12 months preceding the date of the application?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
C--Is the company current on all North Carolina state taxes, federal taxes, county, city, and local taxes?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Comments
C--Is the business subject to collective bargaining, and if so, is a letter of endorsement included?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Comments

<p>D. Q--Has the applicant previously received any Incumbent Workforce Development Training Grant funding?</p> <p>Q--If so, has the applicant completed the information indicating the Board Name, Amount of Award, Dates of the Grant, types of training that were provided, terms of the Grant, outcomes, and the relationship to the training received and the relevance to training requested in this application?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Yes	<input type="checkbox"/> No <input type="checkbox"/> No	<p>Comments</p>
---	--	--	------------------------

E. Has the collaborative business provided the following:

1. C-Identified the skills gaps of its employees to be trained?
Yes No

2. C-Explained how the training will address those skill gaps by:

Yes Qualifying the trainees for a job with changing skill requirements, or for higher paying jobs with the existing employer or other companies in the area?
OR
Yes Helping the trainees obtain the skills and knowledge to perform work that is at a higher level than their current position?

Does the company meet **ALL** eligibility criteria in this section?
Yes No

If no, this business is not eligible to participate in this collaborative application.

Collaborative Business (Non-Lead) Authorization and Certification

C--By way of a signature, has a company-authorized representative certified the information provided within Attachment F for its business?
Yes No

If no, this business is not eligible to participate in this collaborative application.

RESERVED

PY 2013 Incumbent Workforce Development Program Guidelines for Local Workforce Development Boards

These Guidelines serve as instruction and guidance to administering the Incumbent Workforce Development Program (IWDP). This retention solution remains a state-funded, competitive grant program that must adhere to state guidelines. However, the Local Workforce Development Board (LWDB) may require additional information as it deems appropriate.

I. Application Submission at the Local Board Level

The LWDB will establish the structure and timeline of the local review process so it can meet the submission deadline.

The Division of Workforce Solutions (DWS) will accept the LWDB's funding selection **by 5:00 pm** on:

DWS Submission Deadlines

October 31, 2013

April 1, 2014

II. Application Review at the Local Board Level

The LWDB will evaluate each application to ensure its viability, using the Business Guidelines, Application Assessment and other tools as deemed appropriate. It should consider only an accurate, completed application, which meets all of the criteria.

The LWDB is strongly encouraged to adopt a team or group decision-making process for the award selection in this competitive process.

A. Application Assessment

The purpose of the Application Assessment is to provide a common assessment methodology for each application submitted to the IWDP. Complete **one assessment per application** received by the LWDB. The results of this assessment determines the viability of the application. Refer to the Application Assessment in the IWDP Policy Statement 17-2013, Change 1 for more information.

B. Acceptable Application Package

The application is provided as a Word document. All information is to be provided within the form and should include the:

- Application;
- Attachment A (Training Component), replicated as necessary;
- Attachment B (Project Abstract);
- Additional information required by the LWDB; and
- Attachment F (Multiple Business Collaborative Form), if applicable.

A trainer's qualifications, course description and objectives should be summarized within the form. The trainer's resume or other excess information should not be included.

C. Determination of Prior IWDP Grants

A single lifetime funding limit applies to a business, its parent company and subsidiaries. A complete listing of all companies that have received an IWDP grant can be found at <http://www.nccommerce.com/workforce/businesses/worker-training-program/latest-grant-awards>. Determination of a former grant requires the LWDB to contact the DWS Business Services' IWDP Business Services Specialist to ensure that this request for funding does not exceed the lifetime funding limits.

D. Incomplete Applications

If the application does not meet all criteria, the LWDB can work with applicant to rectify incomplete or inaccurate applications, so they may be viable for consideration in the current round, or work with the applicant for submission in a later round.

Not all applications will be viable for IWDP.

E. Out-of-State Training

Funds awarded for a project will be expended on training activities that take place in North Carolina only **unless** the LWDB approves training outside the state. Should out-of-state training be allowed, all other rules and regulations of the IWDP still apply.

F. Collaborative Grant Applications

Multiple/unique businesses may partner and apply for a collaborative training grant. The LWDB is encouraged to work with unique businesses in high demand sectors within their region to complete collaborative applications. All businesses in the application must meet all IWDP criteria. The following information further supports and explains the information contained in the IWDP Application:

- A business can benefit only once from a collaborative training grant award.
- The LWDB will contract with the Lead Applicant.
- The LWDB will consult the DWS IWDP Business Services Specialist to ensure the funding request does not exceed lifetime funding limits.

G. Local Board Proportionate Share of Funding

Each LWDB can view its proportionate share of funding for the PY 2013 inclusive of the 2.5% administrative funding, at Attachment A. The LWDB will determine how to manage its proportionate share across the two rounds of the PY 2013 IWDP.

III. Funding Submission Request to DWS

The LWDB will submit the funding requests according to the DWS Submission Deadlines of October 31, 2013 and April 1, 2014 for PY 2013. Submissions received after 5pm on these dates will not be accepted.

The following documents are required for the funding submission request:

A. Cover Letter from the LWDB

The LWDB will submit a single cover letter, endorsed by the LWDB's Chairperson, addressing the application selected for funding. One letter for multiple selections will suffice.

The Cover Letter must include:

- The name of the business(es) selected for funding;
- Approval of out-of-state training, if applicable; and
- The presence of any collaborative grants selected for funding, if applicable.

The following documents are required for **each** application submitted for funding, in an individual application packet format:

B. Application Overview

The Application Overview captures key information. There are two worksheet tabs. One is an Instruction Worksheet; the other is the Input Application Data Worksheet. The Instruction Worksheet provides detailed instructions within the Application Overview for completion and directions for submission. One may not need to reference the Application Overview instructions after completing the form several times.

C. Training Component, Attachment A of the Application, replicated as needed – copies only

D. Budget – copies only

The request for funding from the LWDB to DWS is acceptable by email (preferred method), the US Postal Service, other carrier, fax, or hand delivered.

All documents regardless, of the method of delivery, must be received by the deadline date/time.

The date and time stamp of the submission are not to exceed 5:00 pm on the DWS Submission Deadline dates stated previously.

Execution of the review and submission process does not imply a start date for training. Contracts cannot be entered into until receipt of a congratulatory award letter from an authorized representative of DWS.

IV. DWS Grant Award Notification

The Award Notification occurs in two steps:

A. Award Letter

Upon review of the funding request, DWS will notify the LWDB in the following manner:

1. An electronic congratulatory award letter from an authorized official of DWS
 - LWDB may then notify its applicants as to the status of their applications, and begin the contract process.

B. Notice of Funds Availability (NFA)

The Notice of Funds Availability (NFA) is generated in Workforce Information System Enterprise

(WISE) from the respective DWS Planner. The dates within the NFA are important because:

1. The date of the NFA letter begins the 60-day time period within which the contract with the business must occur.
2. The NFA will include the end date for the use of the funds.

V. Contract Process and Duration

The LWDB is responsible for oversight of each contract to ensure alignment with the approved application and all regulatory requirements.

The LWDB works with the applicant to generate the contract within the 60-day time period from the date of the NFA Letter. Each contract will have a definite beginning and ending date not to exceed 12 months and will include other information required by the LWDB.

If a contract is not executed within that time frame, the award becomes null and void and the entire grant award will be rescinded. See Section X.B.

Payment to the business is on a cost reimbursement basis for grant costs in the approved application.

Below is the timeline for the contract execution, completion of training, and fund availability.

**PY 2013 Incumbent Workforce Development Program
Funding Availability Time Line**

DWS Submission Deadlines by Round	Expected Award Announcement Date	NFA Letter Date*	Contract Execution Date**	Contract End Date ***	End Date for Fund Availability
10/31/13	12/4/13	12/ /13	2/ /14	2/ /15	3/31/15
4/1/14	4/30/14	5/ /14	7/ /14	7/ /15	9/30/15

*Actual date will vary. The actual date will be used to calculate the Contract Execution Date deadline and the Contract End Date. See below.

**No later than 60 days from the date of the NFA letter.

***No later than 12 months from the Contract Execution Date.

VI. Training Contract Extension and/or Changes

The LWDB will maintain all documentation at the local level concerning all types of changes in training. Below are a few examples of changes that a LWDB may encounter, but are not all inclusive:

- An increase or decrease in the number of employees to be trained
- Change in the individual employees to be trained
- A request for **additional** training to that approved in the grant; and/or
- A request to change the training **vendor**
- A request to increase the number of trainees originally approved
- A change in the training components

A. Time Extensions

Under extenuating circumstances, a business may need to request an extension of the contract. The LWDB will evaluate the request and make the decision based on information received. In any event, an extension will not exceed thirty (30) days past the end date of the original contract.

1. If the Board agrees to the time extension requests, an email will be sent to DWS Business Services' IWDP Business Services Specialist within five (5) business days of the decision.
2. The email will include:
 - Business Name, Program Year and round date of the funds designated for the training, the end date of the original contract, and the end date for the contract extension
 - Explanation of why the extension is needed

The LWDB is to include the amended extension date in the next quarterly report that is submitted to DWS. This will enable DWS to properly maintain the IWDP database.

B. Changes in Training

Under extenuating circumstances, the business may make a request to the LWDB to change the originally approved training component(s), i.e., the essence on what the employees will be trained. Because this is a competitive process, changes should be carefully evaluated and considered against the Training Component and the Application Assessment as follows:

- Determine if the proposed training change is addressing the originally identified skills gaps,
- Conducted at the same or lesser cost,
- Complies with all guidelines of the IWDP, and
- Includes any other consideration as determined by the LWDB.

If favorably reviewed, LWDB will submit the decision by email to the DWS IWDP Business Services Specialist within five (5) business days of the decision.

The email will include:

- Business Name, Program Year and round date of the funds designated for the training;
- An explanation of why the extension is needed, to include confirmation that the training being requested addresses the originally identified skills gaps;
- Will meet all eligibility criteria;
- The training requested will be at the same or lesser cost; and
- Attachment A of the application addressing the new Training Component(s).

C. Other Change Requests

The LWDB may receive other types of change requests, which will need to be addressed on a case-by-case basis. The LWDB will need to contact the IWDP Business Services Specialist by email of these occurrences.

VII. Participant Data Entry

IWDP trainees will need to be entered into NCWorks Online.

The above is the minimum information on trainees that DWS is requiring; a LWDB may collect more if it so chooses. It is up to the LWDB as to how it will collect this information for required data entry in NCWorks Online and record retention.

The LWDB must collect the following information for every trainee:

- Social Security Number
- Complete Name and Contact Information
- Gender
- Date of Birth
- Citizenship (Right to Work Status)
- Selective Service Compliance
- Person with Disability
- Ethnicity and Race

Detailed instructions for data entry will follow at a later date.

VIII. Reporting Requirements

The LWDB will be expected to monitor and evaluate each training grant. DWS Business Services' IWDP Business Services Specialist will provide technical support and conduct grant reviews.

A. Quarterly Reporting

Each LWDB administering an Incumbent Workforce Development training grant must submit a quarterly report to DWS. The first reporting timeframe is to begin in the quarter in which the cover letter to the Notice of Funds Availability is dated. All quarterly reports are due no later than thirty (30) days after the end of the calendar quarter.

Examples:

Quarter	Report Due Date
July – September 2013	October 31, 2013
October – December 2013	January 31, 2014
January – March 2014	April 30, 2014
April – June 2014	July 31, 2014

Quarterly reports are *due as long as* Incumbent Workforce Development Training *contracts are in place*. To ensure that DWS has current contact information for Incumbent Worker Grantees, please update changes to the Point of Contact as specified in the Quarterly Report.

The Quarterly Report form and additional instructions are attached to the Policy Statements and changes thereto. The LWDB may collect additional information for its records as it deems appropriate.

Once the training is complete, a Final Report is due to the IWDP Business Services Section of DWS.

B. Final Reporting

At the conclusion of the training, the LWDB will submit a Final Report on the Incumbent Workforce Development project. The LWDB is responsible for ensuring that all information requested in the Final Report is provided and is encouraged to assist the business in its completion. The LWDB may also collect additional information for its records as it deems appropriate.

The Final Report is due to DWS within forty-five (45) days from the end of the training or the end of the contract, whichever occurs first. The final financial data included on the Final Report must be completed by the LWDB and must agree with the fund status reported in WISE. The Final Report is to be signed/sent by an authorized representative of the LWDB, preferably by email.

The Final Report form is attached to the Policy Statement and changes thereto.

IX. Record Retention

IWDP records include the following documents and must remain in the office for a minimum of five (5) years after the expiration of the grant.

A. IWDP Records

IWDP records may be in paper and/or electronic formats and include:

- Email correspondence relevant to each application;
- Cover letter;
- Completed application, to include all attachments;
- Application Assessment;
- Application Overview;
- Award letter;
- Notice of Funds Availability; and
- Other documents required by the LWDB.

IWDP Records must remain in the office for five (5) years after expiration of the grant, if no litigation, claim, audit, or other official action involving the record has been initiated.

NOTE: If the LWDB's record retention is more stringent than DWS's retention policy, the LWDB must follow the most stringent regulation.

X. Incomplete Grant Awards

When training is not completed as approved in the grant, the LWDB will need to address the de-obligation of unspent funds and the appropriate reporting process. The appropriate process is determined by whether or not training occurred.

Examples of when incomplete awards may occur are, but not all inclusive:

- Lack of contract with the business within the 60-day deadline;
- Decline of award by the business;
- Occurrence of extenuating circumstances, such as a natural disaster or closing of the business; or
- Lack of federal funds.

A. Training has Occurred

1. If any training has been provided, then a Final Report will be due for this grant and the normal de-obligation process through WISE will be followed.

B. No Training has Occurred

1. If a company is awarded an IWDP but is unable to expend any of the funds and forfeits the full grant amount, then:
 - The grant amount will not count against the total lifetime limit for that company.
 - The entire amount will be de-obligated through WISE.
 - The LWDB will notify DWS by email within five (5) business days of the event.

2. Email notification to DWS

The email notification, to the DWS IWDP Business Services Specialist, will include the:

- Business Name,
- Round Date,
- Training Award Amount,
- Reason for the grant not being used, and
- LWDB's decision on keeping the administrative fee.

C. Unused Grant Awards

Due to the competitiveness of the IWDP retention solution and need for fairly administering the program across all applicants, substitution of unused grant awards to unsuccessful applicants, or other businesses, is not allowed. Unused funds are to go through the de-obligation process with DWS. Businesses may apply for the IWDP during the normal competitive funding rounds.

XI. Training Materials

Training materials purchased with the funds awarded through this Program will be in the public domain and will be available for use by other eligible entities at no cost. It is the LWDB's choice concerning the retrieval of materials from its grant recipient.

XII. Administrative Fee

A two and one-half percent (2.5%) grant servicing fee is added to the funding for each approved project under the Incumbent Workforce Development Program. The fee covers Local Workforce Development Board management and oversight associated with the project.

Rescinded

Attachment A
PY 2013 IWDP: Local Board Proportionate Share of Funding

LWDB and Counties	2012 # Establishments*	Adjusted Share of Funds with \$75K Floor	Administrative Fee at 2.5% of Adjusted Share	PY 2013 Total Share per LWDB (Incl Admin)
Cape Fear	11757	\$100,028	\$2,501	\$102,529
Capital Area	32492	\$276,441	\$6,911	\$283,352
Centralina	19338	\$164,527	\$4,113	\$168,640
Charlotte Works	32715	\$278,338	\$6,958	\$285,296
Cumberland	6082	\$75,000	\$1,875	\$76,875
Davidson Works	2734	\$75,000	\$1,875	\$76,875
Durham	7321	\$75,000	\$1,875	\$76,875
Eastern	12718	\$108,204	\$2,705	\$110,909
Gaston	4007	\$75,000	\$1,875	\$76,875
Greensboro/HP/Guilford	13912	\$118,363	\$2,959	\$121,322
High Country	5061	\$75,000	\$1,875	\$76,875
Kerr-Tar	3984	\$75,000	\$1,875	\$76,875
Lumber River	4425	\$75,000	\$1,875	\$76,875
Mountain Area	11777	\$101,198	\$2,505	\$102,703
Northeastern	4874	\$75,000	\$1,875	\$76,875
Northwest Piedmont	14303	\$121,689	\$3,042	\$124,731
Region C	4478	\$75,000	\$1,875	\$76,875
Region Q	6166	\$75,000	\$1,875	\$76,875
Regional Partnership	12505	\$106,392	\$2,660	\$109,052
Southwestern	5067	\$75,000	\$1,875	\$76,875
Triangle South	5353	\$75,000	\$1,875	\$76,875
Turning Point	6007	\$75,000	\$1,875	\$76,875
Western Piedmont	7658	\$75,000	\$1,875	\$76,875

Total All Counties 235,074 \$2,424,180 \$60,605 \$2,484,785

*BLS Quarterly Census of Employment and Wages Data; Total All industries, Private, All Establishment Sizes; 2012 Annual Average

North Carolina Incumbent Workforce Development Program Application Overview

Purpose of this Form: The Application Overview is designed to provide the Local Workforce Development Board (LWDB) with an electronic file for submitting the data for each Incumbent Workforce Development Program (IWDP) Application that the Board selects for funding. The information will be imported into the Division of Workforce Solutions (DWS) IWDP Database.

Directions for Completing:

- * There is one document with instructions and one worksheet. It is recommended that these instructions be printed for ease of use.
- * **All of the fields in the Input Application Data Worksheet have to be completed, with the exception of:** Parent Business Name, if the business is not a subsidiary of another business or affiliated with a parent company, there will be no entry. Type of Training and Training Provider, if not applicable. All fields will not be filled, if the application is requesting less than five Training Components.

- * All information can be found in the completed application with instructions for proper formatting and noting where the information is located.

- * The following fields include drop down menus for selection:

Local Area Name
Round Date
Small Business
North American Industry Classification System (NAICS)
County
For Profit
Not for Profit

Collaborative Grant
Lead Applicant
Previous Award

Directions for Submission:

- * Submit one Application Overview for each application selected for funding and submit as instructed in LWDB Guidelines. **The following is a crosswalk for completing the Input Application Data Worksheet, to show where the pertinent information is located in the application. It is recommended that you print these for future reference as you complete the worksheet. One may not need the Application Overview after completion of several applications.**

BUSINESS INFORMATION DATA (CELLS A2 through K2)

Cell A2: Local Area Name

Full Name of the LWDB will be selected from the drop down.

Cell B2: Round Date

Round Date for PY 2013, is either: 10/31/2013 or 04/01/2014. Choose the appropriate date from the drop down.

Cell C2: Business Name

Section I. Business Information A. Applicant Information - Business Name

Cell D2: Type of Business

Section I. Business Information A. Applicant Information - Description of Business Product(s) or Service(s)

Cell E2: Small Business

Section I. Business Information A. Applicant Information - Does the business applying for the grant have less than 100 total paid employees at this location. Employees at the applicant's location AND is the Total Number of Paid Employees throughout NC less than 250? If the answer is yes to both criteria, select Y, otherwise select N from the drop down.

Cell F2: NAICS Codes and Description

Section I. Business Information A. Applicant Information - North American Industry Classification System (NAICS) Code for applicant will be selected from the drop down.

Cell G2: County

Section I. Business Information A. Applicant Information - County - will be selected from the drop down.

Cell H2: Total Number of Paid Employees

Section I. Business Information A. Applicant Information - Total Number of Paid Employees at this location.

Cell I2: For Profit

Section I. Business Information A. Applicant Information - Select Y for Yes or N for No from the drop down.

Cell J2: Non Profit

Section I. Business Information A. Applicant Information - Select Y for Yes or N for No from the drop down.

Cell K2: Parent Business Name

Section I. Business Information B. Parent Company - Provide the Name of the Parent Company, if your company is a subsidiary of another company or affiliated with a parent company, provide the Parent Company Name.

TRAINING INFORMATION DATA (CELLS L2 through W2)

Cell L2: Number to be Trained

Section III. Training Plan A. - Number of Employees to be Trained (Count Each One Time)

Cell M2: Type of Training 1

Attachment A: Training Component # 1 – Course Title

Cell N2: Training Provider 1

Attachment A: Training Component #1 - Name of Training Provider

Cell O2: Type of Training 2

Attachment A: Training Component #2 – Course Title

Cell P2: Training Provider 2

Attachment A: Training Component #2 - Name of Training Provider

Cell Q2: Type of Training 3

Attachment A: Training Component # 3 - Course Title

Cell R2: Training Provider 3

Attachment A: Training Component #3 - Name of Training Provider

Cell S2: Type of Training 4

Attachment A: Training Component # 4 - Course Title

Cell T2: Training Provider 4

Attachment A: Training Component #4 - Name of Training Provider

Cell U2: Type of Training 5

Attachment A: Training Component # 5 - Course Title

Cell V2: Training Provider 5

Attachment A: Training Component #5 - Name of Training Provider

Cell W2: Training Comments

NOTE: If there are more than five training components, all must be captured. Examples of how this can be done are:

Combine components with like title and same training provider into one component (Excel I, Excel II, Excel III, if provided by the same training provider, can be shown as Excel I-III and put in one "Type of Training"). Training components that are related, but not necessarily similar titles as in #1 above, AND have the same training provider can be clustered to fit within the five "Types of Training."
If there are still components not recorded after clustering, put the information in "Training Comments."

FINANCIAL INFORMATION DATA (CELLS X2 through AC2)

Cell X2: Collaborative Grant

Section III. Training Plan B. Collaborative Grant - Provides additional information if the application is collaborative. Select Y for Yes or N for No.

Cell Y2: Lead Applicant

Section III. Training Plan B. Provides additional information if the application is collaborative. A collaborative grant only has one lead applicant, which is the Business in Section I. A. This will determine selection of a Y for Yes or N for No.

Cell Z2: Administration

This is a calculated number that is obtained from multiplying the Total Grant Funds Requested that is found in Section IV Budget, at the bottom of the budget column Grant Funds Requested and beside the row named Total Funds X 2.5%. Use rounding rules to adjust the amount up or down to a dollar amount (no cents). **NOTE: If the amount requested is adjusted to a lesser amount, then the lesser amount is to be used for calculating the Administration fee.**

Cell AA2: Training Award

This is a calculated number that is obtained from the Total Grant Funds Requested in Section IV Budget at the bottom of the budget column Grant Funds Requested and beside the row named Total Funds.

NOTE: Based on review of the application, the amount awarded may be less than requested. Use the lesser amount.

Cell AB2: Previous Award

Section II. Availability and/or Use of Other Funds 2 D. Select Y for Yes or N for No.

Cell AC2: Employer Contribution

This cell should be filled with the number in Section IV Budget, Employer Contribution column, in the Total Funds row.

RESCINDED

Quarterly Report for Incumbent Workforce Development Program

Quarter Ending: _____

Local Board Name: _____

Authorized Representative: _____

Signature: _____ Date: _____

1. Quarterly Reporting is required for every Incumbent Workforce Development Training Grant currently under contract. Once training has been completed the Final Report is due in 45 days.
2. If the company point of contact for the Incumbent Workforce Development Training Grant has changed please provide the new Company Contact Name and Phone Number in the spaces provided.

Company Name	Multi-Comp. App.	NFA Cover Letter Date	Contract Begin Date	Contract End Date	End Date for Funds Availability	Proposed Number to be Trained*	Training Award Amount (including admin.)	Funds Expended this Quarter	Funds Expended Previous Quarters	Total Training Funds Expended	% Funds Used	Training Complete
Contact Name:					Phone Number:					\$0.00		
Contact Name:					Phone Number:					\$0.00		
Contact Name:					Phone Number:					\$0.00		
Contact Name:					Phone Number:					\$0.00		
Contact Name:					Phone Number:					\$0.00		
Contact Name:					Phone Number:					\$0.00		
Contact Name:					Phone Number:					\$0.00		
Contact Name:					Phone Number:					\$0.00		
Contact Name:					Phone Number:					\$0.00		

*Count each employee one time only.

**North Carolina Incumbent Workforce Development Program
Final Training Project Report**

Please complete the requested information and submit to the Local Workforce Development Board representative within the timeframe requested. Space will expand as text is entered.

For internal LWDB use only. This is to be completed prior to submission to the Division of Workforce Solutions.

LWDB Name: _____

A. Amount of grant award (to **include** the administrative fee): _____

B. Actual funds expended (to **include** the administrative fee): _____

C. Amount to be de-obligated (A - B = C): _____

Signature of Authorized LWDB representative _____

Please complete the requested information and submit to the Local Workforce Development Board representative within the timeframe requested.

Company Information

Business Name: _____

Business Address: _____

Name of Business Representative Completing this report: _____

Title: _____

Phone Number: _____

Email Address: _____

Training Information

Complete the information for all participants in the training provided through this grant.

1. How did this training avert lay-offs?

2. Planned # of trainees (count each 1 time – do not include those who attended an overview/introduction to the training): _____
3. Actual # of trainees (count each 1 time – do not include those who attended an overview/introduction to the training): _____
4. How many trainees have kept their jobs as a result of this training?

Be as accurate as possible: _____

5. Was training provided to the employees as approved in the application? Yes/No _____

If no, please explain:

6. Was any of the training provided through this grant available from a publicly funded local community college or university? Yes/No _____

If yes, and you did *not* choose that source as a training vendor, please explain why:

7. How many businesses were involved in this training? _____

If more than one, did all businesses participate as proposed in the application?
Yes/No _____

If no, please explain:

Customer Satisfaction

1. How did you hear about the Incumbent Workforce Development Training Program?

2. Please briefly describe the company's overall experience with this training program.

3. Were you satisfied with the training that was provided? Yes/No _____

If no, please explain:

4. Would you recommend the Incumbent Workforce Development Training Program to other businesses? Yes/No_____

If no, please explain:

5. If this training was provided for a multiple business collaborative, please explain how it was or was not an effective training delivery method.

Training Outcomes

If the business's grant was awarded prior to September 2010 please fill out all Training Outcomes information

If grants awarded after September 2010 please only fill out the section that is specific to the type of grant the business received, Lay-Off Aversion through Skill Attainment or Lay-Off Aversion through Process Improvement.

For Grants awarded as Lay-Off through Skill Attainment

1. Describe how trainees' skill levels were increased as a result of the training.

2. Certifications/Licenses/Credentials: If applicable, list the type(s) and quantity of skill certifications/licenses/credentials received by the trainees. Do not include "Certificates of Completion".

TYPE	QUANTITY

3. Did any trainees receive a wage increase after completion of training? Yes/No_____

If yes, please complete the following:

# of Trainees	% of Increase
Ex: 3	5

4. Did any trainee advance to other job positions or perform other advanced job responsibilities as a result of the training? Yes/No _____

If yes, how many? _____

5. If other outcomes were realized, please describe.

Rescinded

Carpenter, Julie P

From: Spivey, Laura B
Sent: Tuesday, October 08, 2013 3:15 PM
To: LocalAreaDirectors; Barbara Darby; Brenda Williamson; crudd; Craig Cole; Crystal Taylor; Crystal Waugh ; Darrell Solomon; Dave Whitmer; Demone Frink; Eldon Meacham; Harry Brower ; Howie Snotherly (hsnotherly@regionalcs.org); jerryb; Greene, John; Joyce Stone ; Lipscomb, Keith; Harvey, Lisa; Lisa Hawk; Michael Ramey; Mike Peluso; Pat Bailey ; Peggy Byrd; Ricky Roten; Kehres, Bob; Steve Barrington; Tim Maness; Todd Douglas; Vail Carter; Wayne Rollins
Cc: Carpenter, Julie P; Gibson, Pryor; Spivey, Laura B
Subject: Advanced Copies - Phase III PY 2013 IWDP Documents
Attachments: 1-IWDP Guidelines for the Business FINAL 10-7-13.pdf; 2-PY 2013 State of North Carolina IW Applic FINAL 10-7-2013.docx; 3-IWDP Application Assessment FINAL 10-7-13.doc; 5-IWDP ApplicationOverview FINAL 10-7-2013.xlsx; 6-IWDP PY 2013 Quarterly Report FINAL 10-7-13.xls; 7-IWDP PY 2013 Final Report Final 10-7-2013.doc; A - DWS Policy Statement PS 17-2013 Change 1 Draft 10-7-13.docx; 4-IWDP PY2013 LWDB Guidelines FINAL 10-7-2013.docx

Importance: High

Hello All.

(Note – there may be formatting or grammatical errors in the documents that are *added* in Change 1. We are still fine tuning those types of things, but wanted to get this to you.)

Attached is an advanced copy of the documents that will be part of PS 17-2013, Change 1. A draft of Change 1 is also attached. Refer to the Draft PS 17-2013, Change 1 for references to minor changes in the Business Guidelines and the Application Assessment, and for a listing of the additional documents. These **are all** of the documents to be used for the PY 2013 IWDP and are in one place for your convenience. Please use these documents. Note that the Application has *not* changed.

The official posting of PS 17-2013, Change 1 will complete Phase III for the PY 2013 IWDP; there will be no more phases unless our collective experience in the October 31 round suggests that we need to make some immediate changes. This posting should occur in the next couple of days.

At this time, all IWDP trainees must be entered in NC Works. The necessary information to collect is included in the Local Board Guidelines; there could be more needed. Michael Hoskins is working with USDOL on some technical issues, so we will forward the instructions for data entry as soon as they are available.

Reminder: The LWDP funding requests are due to the by October 31, 2013, by 5:00 PM at DWS.

If you have any questions, please contact Julie Carpenter at julie.carpenter@nccommerce.com or 919-814-0327.

Laura B. Spivey

Manager of Business Services
Division of Workforce Solutions
NC Department of Commerce
919-814-0423
Fax: 919-814-0366

laura.spivey@nccommerce.com

E-mail correspondence to and from this address is subject to the North Carolina Public Records Act and may be disclosed to third parties unless made confidential under applicable law.

Rescinded

To: LWDB Directors and BSRs

Cc: PG & LS

Subject: Advanced Copy of Incumbent Worker PS 17-2013, Change 1

Hello All.

Attached is an advanced copy of the above-referenced Policy Statement. It includes all documents to be used for the PY 2013 IWDP. Any applications completed to date will be fine, as that document was not impacted by minor revisions. Also, Change 1 adds documents that incorporate guidance for administering the program and for reporting purposes.

The Local Board Guidelines are critical in carrying out the IWDP. It also includes the proportionate share of funding available to each Local Board for PY 2013. Please become familiar with this document.

At this time, all IWDP trainees must be entered in NC Works. The necessary information for doing so is included in the Local Board Guidelines. However, Michael Hoskins is working with USDOL on some technology issues. We will forward the instructions for entry as soon as they are available.

The official PS 17-2013, Change 1, will be announced in the near future by email. However, you can use the documents attached to this email as you continue to process your submission for the Division's submission deadline of October 31, 2013.

If you have any questions, please contact Julie Carpenter at julie.carpenter@ncommerce.com or 919-814-0327.

Rescinded