

North Carolina

INCUMBENT WORKFORCE DEVELOPMENT PROGRAM



GUIDELINES



NORTH CAROLINA
the state of minds

Revised August 2007

North Carolina Incumbent Workforce Development Program Guidelines

Overview

North Carolina's Incumbent Workforce Development Program funded under the federal Workforce Investment Act, provides opportunities to the state's businesses and workers. An Incumbent Worker is an employed individual who is served with Workforce Investment Act resources. The Incumbent Workforce Development Program provides funding to established North Carolina businesses for educational and skills training for current workers. It is designed to benefit businesses by enhancing the skills of employees, thereby increasing employee productivity and the potential for company competitiveness. Training in portable skills results in a more highly skilled and versatile workforce that contributes to North Carolina's ability to attract new business and creates an environment conducive to expansion.

The North Carolina Department of Commerce's Division of Workforce Development, the North Carolina Commission on Workforce Development, and the state's 24 Local Workforce Development Boards, established under the Workforce Investment Act, cooperatively administer the Incumbent Workforce Development Program. Businesses develop proposals with technical support from the Local Workforce Development Board staff as requested. This support is available to businesses that meet applicant eligibility requirements. The Division of Workforce Development issues program guidelines and the Local Workforce Development Boards contract with businesses. The Local Workforce Development Boards are responsible for administration, oversight, reporting, and monitoring. Within the framework established through the Incumbent Workforce Development Program, Local Workforce Development Boards may request additional information or establish supplemental provisions for projects. Collaboration between the business and the Local Workforce Development Board is crucial to the success of the Incumbent Workforce Development Program. To determine Local Workforce Development Board affiliation for each of North Carolina's 100 counties, see Appendix A.

Maximum funding for any project is \$37,500 plus a 5% grant service fee for the appropriate Local Workforce Development Board to manage and oversee the training project. A business may apply for more than one grant as long as the total for all grants in a program year does not exceed \$37,500. This amount includes grants the business and its parent and any of its subsidiaries may receive in all 24 Local Workforce Development Board areas. There is a lifetime maximum of \$50,000 per business entity.

Availability of Project Application and Guidelines

The Commission on Workforce Development will use resources available through the North Carolina Department of Commerce to publicize the availability of the funds. The standard project application and guidelines are available at <http://www.nccommerce.com/workforceservices/findinformationforemployers>. Additionally, these documents are available from Local Workforce Development offices (see listing in Appendix A) or by contacting the Division of Workforce Development at 919-329-5240.

Local Workforce Development Boards may use additional methods to publicize the Incumbent Workforce initiative.

Application Submission

Applications will not be considered unless the business has contacted the Local Workforce Development Board prior to completing the application, and received the Board's support for submission. This contact gives the business and the appropriate Local Board staff the opportunity to review the Incumbent Worker Program Guidelines, highlight restrictions, discuss priority of training as it relates to the needs of the company, explain cost reimbursement, and discuss the time schedule for application submission to the Division of Workforce Development in Raleigh. All applications must go through the Local Workforce Development Board for review and approval before submission to the Division of Workforce Development.

Local Workforce Development Boards establish the structure of the local review process. Applications recommended for funding are ranked in priority order and submitted to the Division of Workforce Development for review. Each application must be accompanied by a letter of endorsement signed by the Chair of the Local Workforce Development Board. Completed applications submitted by the Local Boards to the Division of Workforce Development are reviewed and ranked using review criteria established by a committee comprised of Local Workforce Development Board Directors and/or staff and representatives of the Department of Commerce. The Division of Workforce Development's funding decision may take into consideration others factors, including the number of grants already approved in a given Local Workforce Development Board area and the availability of funds.

Local Workforce Development Boards will establish a deadline for the submission of applications to their respective offices in order to accommodate the local review process and meet the Division of Workforce Development's deadlines. Execution of this process does not imply a start date for training. The Local Board will notify the business in writing when training may begin.

The Division of Workforce Development will accept applications from Local Workforce Development Boards in the timeframes shown below:

Submit to Division of Workforce Development

September 28, 2007
January 31, 2008
May 30, 2008

Anticipated Announcement

October 31, 2007
February 29, 2008
June 30, 2008

Every effort will be made to adhere to the announcement date. After approval action by the Commission on Workforce Development; the Local Workforce Development Board and the business will enter into a formal contract for the operation of the training project.

Program Focus

The program focus should include:

- Upgrading employee skills
- Upgrading employee skills and wages
- Training in portable skills, and/or
- Business retention efforts

An applicant may describe any other local considerations that may influence the selection of the project.

Program Outcomes

A business identifies project performance outcomes in the funding application and explains how each outcome is important to the business and its employees and how the project will produce the outcome. The Incumbent Workforce Development Program focuses resources on strengthening the profitability and competitiveness of businesses and increasing worker skills that lead to wage gains and job security. The list below identifies outcomes that are consistent with the purpose of the program and that are expected to result from incumbent workforce development projects. All outcomes listed are not expected from every project.

The outcome measures are developed as logical outcomes from projects that are consistent with the stated purpose of the Incumbent Workforce Development Program. Each funding application must address at least one employee related outcome measure and one employer related outcome measure, whether from the list below or another employee related outcome measure identified by the applicant.

Employee Related Outcome Measures

- Increases skill level of trained workers
- Increases wage level of trained workers

Employer Related Outcome Measures

- Averts a layoff or loss of jobs
- Lowers employee turnover
- Increases the profitability of the business
- Enhances the competitiveness of the business
- Avoids business relocation or consolidation that results in a loss of local jobs

Outcomes must be written in clear terms that indicate what is expected as a result of the training and how attainment of the outcome will be accomplished. The criteria used to determine the outcome must be clearly defined.

Performance outcomes for projects operated under the Incumbent Workforce Development Program will not be subject to Workforce Investment Act performance measures mandated for WIA formula programs; however, each project will be monitored and evaluated by the Local Workforce Development Board. Evaluations are to be forwarded to the Division of Workforce Development upon completion.

Application Process

Local Workforce Development Boards will use the standard project application and scoring criteria developed for the Incumbent Workforce Development Program. Applications that merit recommendation by a Local Workforce Development Board are submitted to the Division of Workforce Development.

Although the Division of Workforce Development may recommend funding, it is the Local Workforce Development Board's responsibility to assure that all questions regarding the proposal have been adequately addressed before entering into a contract. The contract is between the Local Workforce Development Board and the business.

Funds for each approved project will be made available to the business entity through a contract between that business and the Local Workforce Development Board. A 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.

Project applications shall not exceed a maximum funding level of \$37,500. A business may apply for more than one grant as long as the total for all grants awarded does not exceed \$37,500 in a program year. The lifetime maximum funding for a company, its parent and subsidiaries is \$50,000. This maximum is inclusive of all 24 Local Workforce Development Boards. The business must submit a synopsis of the previous grant and the results of the training program, if a subsequent grant is requested.

SECTION I. APPLICANT QUALIFICATION and ELIGIBILITY

In order to maximize resources, the business must state that it is not eligible for or has exhausted efforts to secure funding through existing incumbent worker training programs in the North Carolina Community College System, such as the New and Expanding Industries Program and the Focused Industrial Training Program, or the university system. If the business has received such training funds, the business should indicate the amount received, the year, and a brief description of how the funds were used.

Applications for the Incumbent Workforce Development Program are open to all companies conducting business in North Carolina meeting the guidelines listed below. A business applying for funding:

- Must be private for-profit, or private not-for-profit business which generates substantial revenue
- Must have been in operation in the State of North Carolina during the entire twelve month period immediately preceding the date of application
- Must be current on all North Carolina tax obligations
- Must be current on all applicable county, city, and local taxes
- Must propose training for employees at a North Carolina facility

A “broker” may apply for a grant on behalf of a business or group of businesses; however, compensation to a broker from the grant proceeds is not an allowable cost. Local Area staff is available to provide assistance in completing the IWP application.

The inclusion of private not-for-profit agencies as “businesses” eligible to receive funding under the Incumbent Workforce Development Program is intended to allow not-for-profit agencies engaged in commerce to apply for such funds. Eligible not-for-profits must generate substantial revenue and provide a tangible service within a specific market. Duke University Medical Center and Blue Cross/Blue Shield of North Carolina are examples of not-for-profit revenue generating businesses. Memberships and dues are not considered revenue for this purpose.

All trainees must be currently employed by the business or working for the business through a staffing agency. Volunteers and board members of businesses are not eligible for the Incumbent Workforce Development Program.

Entities Not Eligible To Apply

The following entities are not eligible to receive funds under this Incumbent Workforce Development 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 or completed
- A training provider
- A Workforce Development Board
- A labor union
- A local government entity
- A company that has already met its \$50,000 lifetime limit
- A not-for-profit agency that does not generate substantial revenue
- A Local Area administrative entity or grant recipient, subordinate, or subsidiary of the Local Area entity
- Entity whose administration is comprised of a majority of volunteers

SECTION II. PROJECT STRUCTURE

Training activities under the Incumbent Workforce Development Program include the following:

- Occupational skills training designed to meet the special requirements of a business or a group of businesses, and is conducted with employer commitment to continue to employ all trained individuals upon successful completion of the training
- Educational training including workplace literacy, basic skills, soft skills, and English as a second language. An applicant must demonstrate the effect of the training on business operations and identify the transferable skills acquired by employees

SECTION III. PROJECT SPECIFICATIONS

Project Requirements

- **The business must contact the Local Workforce Development Board and discuss the Incumbent Worker Program guidelines and procedures, restrictions, and cost-reimbursement procedures before completing or submitting a proposal. The Local Workforce Development Board will indicate in their cover letter to the Division of Workforce Development that these provisions have been discussed with the business prior to submission.**
- A business must describe how and where the training will be provided and identify the training provider(s) by name. The funding application must indicate how the training provider is selected/procured. Local community colleges and UNC system institutions should be considered for available training.
- The business and/or the training provider cannot hire an employee of the business to be the trainer.
- A business will disclose any IWP funds it has received for training; as well as from any government source and describe how the funds were used and the outcomes of such use as they relate to this application. Discovery of failure to disclose will result in rejection of the application and possible disqualification for future funding.
- A business currently receiving training funds, either directly or indirectly, from North Carolina state government, must demonstrate that this project application does not duplicate the purposes of such other funding.
- Training materials purchased or developed with funds under this project will be in the public domain and will be available for use by other entities at no cost.
- A business subject to a collective bargaining agreement must include a letter from the authorized union official indicating involvement in the planning and/or support of the proposed training project.
- Contracts for projects will be on a cost-reimbursement basis.
- Contracts for projects will be between the Local Workforce Development Board and the business recommended for funding by the North Carolina Commission on Workforce Development.
- A contract for a project will have a definite beginning and end date and will include specific timeframes for training to be conducted. **Unless otherwise approved in advance, training will be completed within 12 months.**
- The Workforce Investment Act requires that individuals receiving training meet the following criteria:
 - Age (must be 18 or older – self certification is acceptable)
 - Citizenship (A United States citizen or non-citizen whose status permits employment in the United States. The Local Workforce Development Board will review/copy the employer's I-9 document or obtain a signed statement from the employer that the company has a copy of the I-9 on file).
 - Military Selective Service Registration (verified through the Selective Service web site using the social security number)
 - Trainee must be a current paid employee of the business or working for the business placed by a staffing agency.

- Trainee must submit the above information and a social security card/number to the Local Workforce Development Board
- Data validation on Statewide Activities funds used for the IWP is not required as long as individuals are not co-enrolled in WIA formula or National Emergency Grant funds.
- The business must provide clear detail as to the total (unduplicated) number of individuals to be trained. Each component will indicate how many individuals to be trained. If an individual will be in one or more components, the company should also indicate this in the training narrative.
- The applicant must state clear performance outcomes for project evaluation.
- An applicant must be prepared to begin training activities within 60 days of approval notification and complete training within 12 months.
- A business that receives funding will submit a project performance report to the Local Area within 45 days of the contract end date, examining project results in relation to outcomes identified for the project in the funding application. The Local Area will forward this report to the Commission.
- The Local Area will establish the time frame for the business to submit all reports, including the final report assessing actual project results against program outcomes established in the funding application.
- Funds awarded for a project will be expended on program activities in North Carolina.
- A business that receives funding will provide the Local Area administrative/ fiscal agent with necessary trainee and fiscal information to fulfill reporting requirements.
- All proposed expenses must be reasonable and necessary and clearly relate to the purposes and activities of the project as described in the funding application.
- Each Incumbent Worker Program will be monitored by the Local Area.
- The Local Area and the business should work closely to determine a reasonable cost for training and that training vendors options have been discussed.
- The training provider must submit the actual trainer's name and credentials prior to contracting with the Local Area.

Reimbursable Training Cost

- Instructors'/trainers' salaries – trainers must not be employed by the applicant business to receive reimbursements
- Tuition
- Training materials and training supplies
- Textbooks/manuals – limited to course of study
- Training certifications, certificates, licenses, and credentials must be described if an associated cost is in the budget
- Training related software --- limited to 5% of the total grant award and must be necessary for the training request
- Travel for trainers - if the requested training is not available within reasonable proximity to the business
- WorkKeys™ Assessment to the extent that it leads to primary training

Non-Reimbursable Training Costs

- Employee wages
- Employee fringe benefits
- Broker compensation
- Costs incurred prior to the approval date of the application
- Capital improvements and purchase of real estate, to include the construction or renovation of facilities or buildings
- Business relocation expenses
- Employment or training in sectarian activities
- Costs associated with in-house company trainers to include parent company employees
- Travel outside of contiguous United States
- Curriculum design and/or training program development
- Costs associated with bringing a trainer into the country
- General office supplies
- Non-personnel service costs, i.e., postage and photocopying
- Company website design and development, website hosting, and maintenance, software upgrade, advice on computer selection for purchase and upgrade
- Memberships fees/dues
- Employee assessment systems
- Consultant fees
- Employee travel
- OSHA training
- Equipment
- Food and celebrations
- Training space
- WorkKeys™ profiling

SECTION V. SCORING CRITERIA

The Local Workforce Development Board will score individual applications using the attached scoring criteria. In the event that a Local Board receives more than one proposal, the score will determine the Local Board priority for funding. The Local Board must submit a listing of recommended proposals in priority order to the Division of Workforce Development.

The Local Workforce Development Board must submit a rating/scoring criteria sheet with each application.

Minimum Requirements

Failure to meet any one of these minimum requirements will result in an automatic rejection of the application; the application will not be scored, and will be returned to the Local Workforce Development Board.

- = The applicant is a private for-profit or private not-for-profit business.
- = The business has been in operation in the State of North Carolina during the entire twelve month period immediately preceding the date of application
- = The business is current on all applicable county, city, and local taxes
- = The business is current on all state tax obligations. (*The N. C. Tax Debtor listing found at http://www.dor.state.nc.us/collect/debtor_info.html is one of the sources that may be referenced to ensure compliance.*)
- = The proposed training is for employees currently working at a facility that is located in North Carolina (or working for a staffing agency and placed at the North Carolina facility).
- = The company must contact the Local Workforce Development Board and discuss the Incumbent Worker Program Guidelines.
- = A letter of endorsement accompanies the application from the Local Workforce Development Board. The letter also states provisions of the Incumbent Worker Program have been discussed with the company.
- = The business assures that it has not received training funds, either directly or indirectly from North Carolina state government, under any previous training initiative, and the terms of the agreement for that training have been met.
- = If the business is subject to a collective bargaining agreement, a letter of endorsement from the authorized union official is attached to the application.
- = **The amount of the application does not exceed \$37,500, or the company lifetime limit of \$50,000.**

The State and the Local Area reserve the right to remove or adjust any part of the training narrative or budget amount.

APPENDIX A

Local Area Affiliation for North Carolina's 100 Counties

COUNTY	LOCAL AREA
Brunswick	Cape Fear Workforce Development Consortium
Columbus	1480 Harbour Drive
New Hanover	Wilmington, North Carolina 28401
Pender	Margie Parker (910) 395-4553 ext. 213 mparker@capefearcog.org
Johnston	Capital Area Workforce Development Consortium
Wake	Post Office Box 550 Raleigh, North Carolina 27602 Regina Crooms (919) 856-6040 rmcrooms@co.wake.nc.us
Durham	Durham Local Area 101 City Hall Plaza Durham, North Carolina 27701 Kevin Dick (919) 560-4965 kevin.dick@durhamnc.gov
Anson	Centralina Workforce Development Consortium
Cabarrus	Post Office Box 35008
Iredell	Charlotte, North Carolina 28235
Lincoln	David Hollars (704) 348-2717
Rowan	dhollars@centralina.org
Stanly	
Union	
Mecklenburg	Charlotte/Mecklenburg Workforce Development Consortium 700 Parkwood Avenue Charlotte, North Carolina 28205 Deborah L. Gibson (704) 336-3952 dgibson@ci.charlotte.nc.us
Cumberland	Cumberland County Local Area Post Office Box 1829 Fayetteville, North Carolina 28302 Pat Hurley (910) 323-3421 ext. 2121 patrick.hurley@ncmail.net

Davidson	<p>Davidson County Local Area Post Office Box 1067 Lexington, North Carolina 27293 Nancy Borrell (336) 242-2065 nborrell@co.davidson.nc.us</p>
<p>Carteret Craven Duplin Greene Jones Lenoir Onslow Pamlico Wayne</p>	<p>Eastern Carolina Job Training Consortium 1341 South Glenburnie Road New Bern, North Carolina 28562 Tammy Childers (252) 636-6901 childers@ecwdb.org</p>
Gaston	<p>Gaston County Local Area 330 N. Marietta Street Gastonia, North Carolina 28052 Julie Armstrong (704) 862-7931 jarmstrong@co.gaston.nc.us</p>
Guilford	<p>Greensboro/High Point/Guilford County Workforce Development Consortium 342 N. Elm Street Greensboro, North Carolina 27401 Lillian Plummer (336) 373-8041 lillian.plummer@greensboro-nc.gov</p>
<p>Caswell Franklin Granville Person Vance Warren</p>	<p>Kerr-Tar Interlocal Cooperative Consortium for Job Training Post Office Box 709 Henderson, North Carolina 27536 Vincent Gilreath (252) 436-2040 vgilreath@kerrtarcog.org</p>
<p>Bladen Hoke Robeson Scotland</p>	<p>Lumber River Job Training Consortium 4721 Fayetteville Road Lumberton, North Carolina 28358 Dana Powell (910) 618-5533 dana.powell@lrcog.dst.nc.us</p>

Chatham	Mid-Carolina Local Workforce Investment Area
Harnett	Post Office Drawer 1510
Lee	Fayetteville, North Carolina 28302
Sampson	Denise Day (910) 323-4191 ext. 30 deniseday@mccog.org
Buncombe	Mountain Local Area
Henderson	Post Office Box 729
Madison	Asheville, North Carolina 28802
Transylvania	Helen Beck (828) 250-4760 helen.beck@ncmail.net
Camden	Northeastern Workforce Investment Consortium
Chowan	Post Office Box 646
Currituck	Hertford, North Carolina 27944
Dare	Carter C. Dozier (252) 426-5753 ext. 229 ccdozier@ncjoblink.org
Gates	
Hyde	
Pasquotank	
Perquimans	
Tyrrell	
Washington	
Davie	Northwest Piedmont Job Training Consortium
Forsyth	400 West Fourth Street, Suite 400
Rockingham	Winston-Salem, North Carolina 27101
Stokes	Althea Hairston (336) 761-2111 ahairston@nwpcog.org
Surry	
Yadkin	
Montgomery	Pee Dee Region Workforce Consortium
Moore	Post Office Box 1883
Richmond	Asheboro, North Carolina 27204 Janice Scarborough (336) 629-5141 jscarborough@regionalcs.org
Cleveland	Region C Workforce Development Consortium
McDowell	Post Office Box 841
Polk	Rutherfordton, North Carolina 28139
Rutherford	Bill Robertson (828) 287-0262 ext. 1245 brobertson@regionc.org

Alleghany
Ashe
Avery
Mitchell
Watauga
Wilkes
Yancey

Region D (High Country) Workforce Development Consortium
Post Office Box 1820
Boone, North Carolina 28607
Carole Coates (828) 265-5434 ext. 130
ccoates@regiond.org

Edgecombe
Halifax
Nash
Northampton
Wilson

Turning Point Workforce Development Consortium
Post Office Drawer 2748
Rocky Mount, North Carolina 27802
Pamela Whitaker (252) 446-0411 ext. 238
pwhitaker@ucpcog.org

Beaufort
Bertie
Hertford
Martin
Pitt

Region Q Workforce Investment Consortium
Post Office Drawer 1787
Washington, North Carolina 27889
Walter Dorsey (252) 974-1815
wdorsey@mideastcom.org

Alamance
Orange
Randolph

Regional Partnership Consortium
Post Office Box 1883
Asheboro, North Carolina 27204
Janice Scarborough (336) 629-5141
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Cherokee
Clay
Graham
Haywood
Jackson
Macon
Swain

Southwestern Workforce Development Consortium
125 Bonnie Lane
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Alexander
Burke
Caldwell
Catawba

Western Piedmont Job Training Consortium
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