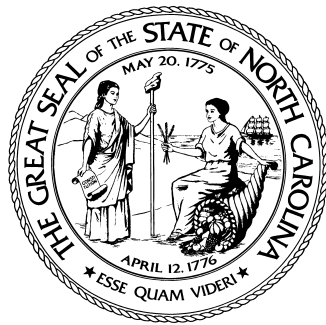


**North Carolina**

**INCUMBENT WORKFORCE DEVELOPMENT  
PROGRAM**



**GUIDELINES**

**Revised August 2005**

# **North Carolina Incumbent Workforce Development Program Guidelines**

## **Overview**

North Carolina's Incumbent Workforce Development Program under the federal Workforce Investment Act broadens the scope of the state's existing incumbent worker initiative. An Incumbent Worker is an employed individual who is served with statewide Workforce Investment Act funds. The Program provides funding to established North Carolina businesses to provide 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 growth. 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 Commission on Workforce Development, the Division of Employment and Training, 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 Workforce Development Commission promulgates program guidelines and the Local Workforce Development Board's contract with business. 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. A positive relationship 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 any of its subsidiaries may receive in all 24 Local Workforce Development Boards. There is a lifetime maximum of \$50,000 per business entity.

## **Availability of Project Application and Guidelines**

The Commission on Workforce Development will use the 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/workforce/>. Additionally, these documents are available from Local Workforce Development offices (see listing in Appendix A) or by contacting the Commission on Workforce Development at 919-715-3300.

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

### **Application Submission**

Applications will not be considered unless the company has contacted the Local Workforce Development Board prior to completing the application, and received the Board's support for submission. This contact gives the company 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 Commission on Workforce Development, in Raleigh. All applications must go through the Local Workforce Development Board for review and approval before submission to the Commission.

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 Commission for review. Each application must be accompanied by a letter of endorsement signed by the chairman of the Local Workforce Development Board. Completed applications submitted by the Local Boards to the Commission are reviewed and scored using standardized review criteria established by a committee comprised of Local Workforce Development Board Directors and/or staff and representatives of the Department of Commerce. The Commission's funding decision may take into consideration others factors, including grants already approved in a given Local Workforce Development Board and the availability of funds. The Review Committee will include a representative from the North Carolina Department of Commerce---specifically Economic Development, the North Carolina Commission on Workforce Development, and the North Carolina Division of Employment and Training.

**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 Commission'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 Commission on Workforce Development will accept applications from Local Workforce Development Boards in the timeframes shown below:

#### **Submit to Commission**

September 30, 2005  
January 31, 2006  
April 28, 2006

#### **Announcement**

October 31, 2005  
February 28, 2006  
May 31, 2006

After Commission action, 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 be on:

- 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, and 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 to happen 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.

## **Application Process**

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

Although the Commission 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 company 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 and its subsidiaries is \$50,000. This maximum is inclusive of all 24 Local Workforce Development Boards.

## **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, or the university system, such as the New and Expanding Industries Program and the Focused Industrial Training Program. If the company has received such training funds, the company 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
- 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.

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 revenue and provide a tangible service within a specific market and reinvest any profits back into the business in order to provide the highest quality service at the lowest possible price. Examples: Duke University Medical Center and Blue Cross/Blue Shield of North Carolina.

All trainees must be currently employed by the business. 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

## **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 company 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 Commission that these provisions have been discussed with the company 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. The local community college should be considered for available training.
- A business will disclose any funds it has received for training from any government source within the last three years 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 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.
- A contract for a project 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)
  - Military Selective Service Registration (verified through the Selective Service web site using the social security number)
  - Trainee must be a current employee of the business
  - Trainee must submit the above information and a social security card/number to the Local Workforce Development Board to be entered into the Management Information System
- The company 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.
- **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 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.

### **Reimbursable Training Cost**

- Instructors'/trainers' salaries
- Tuition and fees
- Training materials and training supplies
- Textbooks/manuals
- Training certifications, certificates, licenses, and credentials must be described if an associated cost is in the budget
- Training related software and technology--- limited to 5% of the total grant awarded
- Training related equipment----limited to 5% of the total grant awarded
- Travel

### **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 trainers
- 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

## 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 Commission.

**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](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.
- 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 or completed.
- 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.**

## APPENDIX A

### Local Area Affiliation for North Carolina's 100 Counties

COUNTY	LOCAL AREA
<b>Brunswick Columbus New Hanover Pender</b>	<b>Cape Fear Workforce Development Consortium</b> 1480 Harbour Drive Wilmington, North Carolina 28401 Margie Parker (910) 395-4553 <a href="mailto:mparker@capefearcog.org">mparker@capefearcog.org</a>
<b>Johnston Wake</b>	<b>Capital Area Workforce Development Consortium</b> Post Office Box 550 Raleigh, North Carolina 27602 Regina Crooms (919) 856-6040 <a href="mailto:rmcrooms@co.wake.nc.us">rmcrooms@co.wake.nc.us</a>
<b>Durham</b>	<b>Durham Local Area</b> 101 City Hall Plaza Durham, North Carolina 27701 Pat Sturdivant (919) 560-4965 <a href="mailto:Pat.sturdivant@durhamnc.gov">Pat.sturdivant@durhamnc.gov</a>
<b>Anson Cabarrus Iredell Lincoln Rowan Stanly Union</b>	<b>Centralina Workforce Development Consortium</b> Post Office Box 35008 Charlotte, North Carolina 28235 David Hollars (704) 348-2717 <a href="mailto:dhollars@centralina.org">dhollars@centralina.org</a>
<b>Mecklenburg</b>	<b>Charlotte/Mecklenburg Workforce Development Consortium</b> 700 Parkwood Avenue Charlotte, North Carolina 28205 Deborah L. Gibson (704) 336-3952 <a href="mailto:dgibson@ci.charlotte.nc.us">dgibson@ci.charlotte.nc.us</a>
<b>Cumberland</b>	<b>Cumberland County Local Area</b> Post Office Box 1829 Fayetteville, North Carolina 28302 Pat Hurley (910) 323-3421 <a href="mailto:patrick.hurley@ncmail.net">patrick.hurley@ncmail.net</a>
<b>Davidson</b>	<b>Davidson County Local Area</b> Post Office Box 1067 Lexington, North Carolina 27293 Pat Everhart (336) 242-2065 <a href="mailto:peverhar@co.davidson.nc.us">peverhar@co.davidson.nc.us</a>

**Carteret  
Craven  
Duplin  
Greene  
Jones  
Lenoir  
Onslow  
Pamlico  
Wayne**

**Eastern Carolina Job Training Consortium**  
1341 South Glenburnie Road  
New Bern, North Carolina 28562  
Tammy Childers (252) 636-6901  
[childers@ecwdb.org](mailto:childers@ecwdb.org)

**Gaston**

**Gaston County Local Area**  
330 N. Marietta Street  
Gastonia, North Carolina 28052  
Julie Armstrong (704) 862-7931  
[jarmstrong@co.gaston.nc.us](mailto:jarmstrong@co.gaston.nc.us)

**Guilford**

**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](mailto:lillian.plummer@greensboro-nc.gov)

**Caswell  
Franklin  
Granville  
Person  
Vance  
Warren**

**Kerr-Tar Interlocal Cooperative Consortium for Job Training**  
Post Office Box 709  
Henderson, North Carolina 27536  
Vincent Gilreath (252) 436-2040  
[vgilreath@kerrtarco.org](mailto:vgilreath@kerrtarco.org)

**Bladen  
Hoke  
Robeson  
Scotland**

**Lumber River Job Training Consortium**  
4721 Fayetteville Road  
Lumberton, North Carolina 28358  
Dana Powell (910) 618-5533  
[dana.powell@LRCOG.dst.nc.us](mailto:dana.powell@LRCOG.dst.nc.us)

**Chatham  
Harnett  
Lee  
Sampson**

**Mid-Carolina Local Workforce Investment Area**  
Post Office Drawer 1510  
Fayetteville, North Carolina 28302  
Denise Day (910) 323-4191  
[deniseday@mccog.org](mailto:deniseday@mccog.org)

**Buncombe  
Henderson  
Madison  
Transylvania**

**Mountain Local Area**  
Post Office Box 729  
Asheville, North Carolina 28802  
Helen Beck (828) 250-4760  
[helen.beck@ncmail.net](mailto:helen.beck@ncmail.net)

**Camden  
Chowan  
Currituck**

**Northeastern Workforce Investment Consortium**  
Post Office Box 646  
Hertford, North Carolina 27944

Dare  
Gates  
Hyde  
Pasquotank  
Perquimans  
Tyrrell  
Washington

Carter C. Dozier (252) 426-5753  
[CCDozier@NCjoblink.org](mailto:CCDozier@NCjoblink.org)

Davie  
Forsyth  
Rockingham  
Stokes  
Surry  
Yadkin

**Northwest Piedmont Job Training Consortium**  
400 West Fourth Street, Suite 400  
Winston-Salem, North Carolina 27101  
Theresa Reynolds (336) 761-2111  
[treynolds@nwpcog.org](mailto:treynolds@nwpcog.org)

Montgomery  
Moore  
Richmond

**Pee Dee Region Workforce Consortium**  
Post Office Box 1883  
Asheboro, North Carolina 27204  
Janice Scarborough (336) 629-5141  
[JScarborough@RegionalCS.org](mailto:JScarborough@RegionalCS.org)

Cleveland  
McDowell  
Polk  
Rutherford

**Region C Workforce Development Consortium**  
Post Office Box 841  
Rutherfordton, North Carolina 28139  
Bill Robertson (828) 287-0262  
[brobertson@regionc.org](mailto:brobertson@regionc.org)

Alleghany  
Ashe  
Avery  
Mitchell  
Watauga  
Wilkes  
Yancey

**Region D Workforce Development Consortium**  
Post Office Box 1820  
Boone, North Carolina 28607  
Carole Coates (828) 265-5434  
[ccoates@regiond.org](mailto:ccoates@regiond.org)

Edgecombe  
Halifax  
Nash  
Northampton  
Wilson

**Region L Workforce Development Consortium**  
Post Office Drawer 2748  
Rocky Mount, North Carolina 27802  
Pamela Whitaker (252) 446-0411  
[pwhitaker@ucpcog.org](mailto: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@midwestcom.org](mailto:wdorsey@midwestcom.org)

**Alamance  
Orange  
Randolph**

**Regional Partnership Consortium**  
Post Office Box 1883  
Asheboro, North Carolina 27204  
Janice Scarborough (336) 629-5141  
JScarborough@RegionalCS.org

**Cherokee  
Clay  
Graham  
Haywood  
Jackson  
Macon  
Swain**

**Southwestern Workforce Development Consortium**  
Post Office Drawer 850  
Bryson City, North Carolina 28713  
Vicki Greene (828) 488-9211  
Vicki@RegionA.org

**Alexander  
Burke  
Caldwell  
Catawba**

**Western Piedmont Job Training Consortium**  
Post Office Box 9026  
Hickory, North Carolina 28603  
Sheila Dotson (828) 485-4218  
Sheila.dotson@wpcog.org

## **APPENDIX B**

### **2005 Tier Designations**

**TIER 1  
TIER 2  
TIER 3  
TIER 4  
TIER 5**

**ALLEGHANY  
BEAUFORT  
BERTIE**

EDGECOMBE  
GATES  
GRAHAM  
HALIFAX  
HERTFORD  
HYDE  
JONES  
MARTIN  
NORTHAMPTON  
PERQUIMANS  
RICHMOND  
SCOTLAND  
TYRRELL  
VANCE  
WARREN  
WASHINGTON  
YANCEY  
ANSON  
BLADEN  
BURKE  
CALDWELL  
CASWELL  
CLEVELAND  
COLUMBUS  
MCDOWELL  
MITCHELL  
ROBESON  
ROCKINGHAM  
RUTHERFORD  
SWAIN  
ALEXANDER  
ASHE  
AVERY  
CAMDEN  
CATAWBA  
CHEROKEE  
CHOWAN  
CLAY  
CURRITUCK  
DARE  
DUPLIN  
GASTON  
GRANVILLE  
GREENE  
HOKE  
JACKSON  
LENOIR  
MACON  
MADISON  
MONTGOMERY  
PAMLICO  
PASQUOTANK  
PERSON  
POLK  
ROWAN  
SAMPSON  
STANLY  
STOKES  
SURRY  
TRANSYLVANIA  
WAYNE  
WILSON  
YADKIN  
ALAMANCE  
CABARRUS  
CRAVEN  
CUMBERLAND  
DAVIDSON  
GUILFORD  
HARNETT  
HAYWOOD  
LEE  
LINCOLN  
NASH  
PENDER  
PITT  
RANDOLPH  
WATAUGA

WILKES  
BRUNSWICK  
BUNCOMBE  
CARTERET  
CHATHAM  
DAVIE  
DURHAM  
FORSYTH  
FRANKLIN  
HENDERSON  
IREDELL  
JOHNSTON  
MECKLENBURG  
MOORE  
NEW HANOVER  
ONslow  
ORANGE  
UNION  
WAKE