

## **PY 2012 Incumbent Workforce Development Program Guidelines for Local Workforce Development Boards**

These Guidelines serve as additional support and guidance to the Incumbent Workforce Development Program Guidelines and Applications, and other applicable documents.

### **Application Submission**

Local Workforce Development Boards (LWDB) will establish the structure and time line of the local review process and use the standard project application and scoring criteria developed for the Incumbent Workforce Development Program. It is the LWDB's responsibility to insure that the application meets all requirements of the Incumbent Workforce Development Program prior to submission to the NC Division of Workforce Solutions (Division).

The Division will accept applications from LWDBs in the timeframes shown below:

#### ***State Submission Deadline***

September 28, 2012

February 28, 2013

#### ***Grant Award Announcement***

November 15, 2012

April 15, 2013

Each original application is to be submitted with a cover letter from the LWDB that includes:

- A statement of endorsement by the LWDB,
- The LWDB's priority ranking of each of the applications submitted,
- Acknowledgement and approval of any out-of-state travel, if applicable,
- The signature of the Chair of the Local Workforce Development Board. (If multiple applications are submitted by a LWDB, a single letter that endorses all of the applications will suffice.),
- Electronic signatures will not be accepted. All sections requiring a signature must be original, handwritten signatures.

The following is also to be submitted with each application:

- **One** completed Scoring Criteria form that shows the LWDB's **aggregate**, average score and LWDB representative signature.

The Scoring Criteria are attached to this Issuance for reference and use.

The applications are to be:

- Received by the Division by 5:00 PM on the submission deadline indicated above, and
- Received through the US Postal Service, other carrier or by hand delivery. No email or fax transmissions are allowed.

Late applications will not be accepted.

Execution of this process does not imply a start date for training.

## **Collaborative Grant Applications**

Multiple businesses may partner to apply for a collaborative training grant for the purpose of addressing common training needs. The following information further supports and explains the information contained in the IWDP Guidelines and Application:

- A business can benefit only once from a collaborative training grant award.
- The LWDB will contract with the Lead Applicant, as the contractor and responsible for the funds.

## **Acceptable Application Format**

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. The only attachments necessary are section IV and Attachment E, to be used when a collaborative training grant is submitted.

Please do not include trainer's resumes or other excess information. A trainer's qualifications, course descriptions and objectives should be summarized within the form.

## **Incomplete Applications**

It is important that the local review of each application include the identification and collection of missing pieces, to or information in, an application. If applications are not complete in the original submission, the LWDB Director and local IWDP representative(s) will be notified by email and given two (2) full business days from the date of the notification to work with the business and submit the missing information. The deadline will be 5:00 PM on the second business day. If the requested information is not received within that time frame, the application will be disqualified from the current funding round, but may be completed and submitted in a future round.

## **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. If consent is given, the LWDB must submit an acknowledgement and endorsement for all out-of-state training components. Should out-of-state training be allowed, all other rules and regulations of the IWDP still apply. Costs associated with conferences will not be allowed.

## **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>.

## **Grant Award Announcement**

Upon review and selection of the applications for funding by the Division, the LWDB will be notified in the following manner:

- An electronic letter of award announcement from the Assistant Secretary of the Division.
- A cover letter and Notice of Funds Availability from the LWDB's respective Division Planner, which will include the end date for the use of the funds. The date of this letter starts the 60-day time period within which the contract with the businesses is to be signed.

The LWDB may then notify its applicants as to the status of their applications, and begin the contract process.

## **Contract Process and Duration**

Funds for each approved project will be made available to the business through a contract with the LWDB. Although the Division may recommend funding, it is the LWDB's responsibility to assure that all questions regarding the proposal have been adequately addressed before entering into a contract.

Each contract will have a definite beginning and ending date, will include specific timeframes for training to be conducted, and include other required information by the LWDB. The LWDB and the business have sixty (60) days from the date of the Notification of Funds Availability cover letter to enter into the contract. If a contract is not executed within that time frame, the award becomes null and void and the entire grant award will be rescinded.

The contract is to be for no longer than twelve (12) months.

Below is the time line for the contract execution, completion of training, and funds availability.

### **PY 2012 Incumbent Workforce Development Program Funding Availability Time Line**

Due Date by Round	Expected Award Announcement Date	NFA Cover Letter Date*	Contract Execution Date**	Contract End Date ***	End Date for Funds Availability
9/28/12	11/15/12	11/ /2012	1/ /2013	1/ /2014	2/28/14
2/28/13	4/15/13	4/ /2013	6/ /2013	6/ /2014	7/31/14

\*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 cover letter.

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

## **Training Contract Extension and/or Changes**

### ***Time Extensions***

Under extenuating circumstances, a request can be made by a business to the Local Workforce Development Board (LWDB) to extend the date of the contract. The LWDB will evaluate the request and, if favorably reviewed, will submit the request in writing to the Division of Workforce Solutions for final review and decision.

Requests for contract time extensions are to be submitted as follows:

- Submit the request in writing by email (preferable), fax, or through the US Postal Service. The request is to be signed/sent by an authorized representative of the LWDB.
- Include the name of the business, the Program Year of the funds designated for the training, the amount of unexpended funds, the end date of the original contract, and the proposed end date for the contract extension.
- Include an explanation of why the extension is needed, to include confirmation that the training to be conducted during the extension is included in the approved application.

In any event, an extension will not exceed thirty (30) days past the end date of the original contract.

The Division will inform the LWDB in writing (email preferable) of its decision within two full business days.

### ***Training Changes***

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 in. The LWDB will evaluate the request, determine if the proposed training change is part of a lay-off aversion strategy, and if favorably reviewed, submit the request in writing to the Division of Workforce Solutions for final review and decision.

The LWDB may make decisions and maintain documentation at the local level concerning the following types of changes:

- An increase or decrease in the number of employees to be trained,
- A request for **additional** training to that approved in the grant; and/or
- A request to change the training **vendor**.

Requests for all other changes concerning the originally approved training are to be submitted as follows:

- Submit the request in writing by email (preferable), fax, or through the US Postal Service. The request is to be signed/sent by an authorized representative of the LWDB.
- Include the name of the business and the beginning and ending dates of the contract.
- Include an explanation of why the change in training is needed. The explanation is to include a description of the approved training proposed for change, a description of the new training being requested and how the proposed new training will avert a lay-off.

The Division will inform the LWDB in writing (email preferable) of its decision within two full business days. NOTE: See Page 10 of the Guidelines and Application attached hereto for further explanation and clarification.

### **Employee Information and WorkforcePlus**

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

The above is the minimum information on trainees that the Division 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 WorkforcePlus.

See Attachment A for instructions for keying IW information in WorkforcePlus. Data must be entered within 30 days after training begins.

**Reporting Requirements**

Performance outcomes for projects operated under this 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 LWDB.

***Quarterly Reporting***

Each LWDB administering an Incumbent Workforce Development training grant must submit a quarterly report to the Division for each grant awarded after July 1, 2008. The first reporting time frame 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.

Quarter	Report Due Date
July – September 2012	October 31, 2012
October – December 2012	January 31, 2013
January – March 2013	April 30, 2013
April- June 2013	July 31, 2013

Quarterly reports are due as long as Incumbent Workforce Development Training contracts are in place, beginning with awards made after July 1, 2008.

The USDOL requires the Division to conduct a telephone customer satisfaction survey with businesses 60 days after Incumbent Worker training has been completed. The Division needs the most up-to-date contact information to fulfill this responsibility. In order to ensure the Division 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 this Issuance. 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 Division’s Business Services Unit.

***Final Reporting***

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

The Final Report is due to the Division within forty-five (45) days from the *end of the training or the end of the contract, whichever occurs first*. Page one of the final report contains a section that the LWDB is

responsible for completing. Submit the Final Report by email (preferable), fax, or through the US Postal Service. The Final Report is to be signed/sent by an authorized representative of the LWDB.

The Final Report form is attached to this Issuance.

### ***Incomplete Grant Awards***

If for any reason training is not completed, the LWDB will immediately notify the Business Services Coordinator in writing. This communication may be transmitted by email, fax, US Postal Service, or other carrier. Information to be contained in the communication is:

- LWDB name
- Business name
- Reason for not completing the approved training
- Amount of funds awarded (to **include** the administrative fee)
- Amount of funds to be returned (total funds awarded [to **include** administrative fee] minus total funds expended [to **include** administrative fee, if applicable])
- Request for the de-obligation of the funds

If any training has been provided, then a Final Report will be due for this grant. 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.

Examples for the need of this type of communication include, but are not limited to:

- The contract between the LWDB and business is not signed within the 60-day designated time frame.
- A decline of award by the business.
- The occurrence of extenuating circumstances such as a natural disaster or closing of a business.

### **Training Materials**

Training materials purchased or developed 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.

### **Administrative Fee**

A five percent (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.

## ATTACHMENT A

### KEYING IN PARTICIPANTS FOR INCUMBENT WORKER PROJECT IN WORKFORCEPLUS

All Incumbent Worker participants will be tracked in WorkforcePlus using the “Adult 15%” program. These participants will not be included in the standard WIA performance but we are required to submit the detail data to USDOL in our Quarterly WIASRD file. All WorkforcePlus system data requirements of a formula Adult WIA participant in WorkforcePlus will apply to the IWP participants (Adult Eligibility, Order of Activities, Leave Edit checks, System Exit).

- Add participant to WorkforcePlus using the Create Participant task
- Select program Adult 15% ( All 15% programs will not count in standard WIA performance)
- Complete entire Intake form
- Check Eligibility (Citizen/ SSA compliance/ >=18)
- Certify the Case
- Key in 1<sup>st</sup> Activity (I-Case Management)
  - Pick the Funding Source **IWP - State Incumbent Worker Grant**
  - Complete all other fields as appropriate.
- Key in T – Training<sup>1</sup>(if applicable) or other activity as needed
  - Choose SAME funding code for every activity you key in.
- Leave/Exit WIA when complete.

All Incumbent Worker participants will be included in our Quarterly WIASRD submission to DOL. These detailed records, which have many required fields, require that this data has to be accurate. Follow you local file structure policy for guidance.

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<sup>1</sup> If the project is for occupational skills training, the individual will be assigned to the "T- Skill Upgrading and Retraining" activity. If the project is Technical Assistance Package for educational training, the individual may be assigned to either the "T- Adult Education and Literacy" activity (including English as a second language) or the "T-Job Readiness Training (for "soft skills" training).