



PEE DEE LWDA INSTRUCTION NUMBER: 17 - 010

To: Pee Dee Local Workforce Development Area Businesses

Subject: Incumbent Worker Training Funding Policy

Issuance Date: November 29, 2017

Effective Date: November 7, 2017

Purpose: The purpose of this instruction is to transmit the SC Department of Employment and Workforce's Instruction Number 17-03 regarding Incumbent Worker Training (IWT) and the Pee Dee Workforce Development Area's additional requirements for IWT funding.

Background: IWT provides both workers and employers with the opportunity to build and maintain a quality workforce. Training is intended to assist with expansion, new technology, retooling, new services/product lines, and/or new organizational structuring, or to be used as a layoff aversion strategy. IWT can be used to either:

- Help avert potential layoffs of employees, or
- Obtain the skills necessary to retain employment, such as increasing the skill levels of employees so that they can be promoted within the company and create backfill opportunities for less-skilled employees.

IWT is not permitted to be used to provide the occupational training a new hire needs. IWT may be provided using local funds, state reserve funds granted to local workforce areas to serve multiple businesses, or state rapid response funds to assist an individual business in averting layoffs.

Policy: State Instruction #17-03 will govern the IWT activities conducted in the Pee Dee Workforce Development Area. It is incorporated into the local area's policy by reference and is attached. Furthermore, the following additional guidelines will apply to businesses requesting IWT funds in the Pee Dee LWDA:

1. IWT Awards to a single business or consortium will be limited to no more than \$30,000.
2. Priority consideration will be given to businesses that did not receive IWT funding in the award cycle immediately preceding the cycle for which a new application is made
3. Priority consideration will be given to businesses that use other services of SC Works to meet their hiring and retention needs

The Pee Dee LWDA's additional requirements will not apply to businesses who are applying for a layoff-aversion IWT.

Action: Businesses seeking "traditional" IWT funding (i.e. not for layoff aversion) should complete the WIOA Incumbent Worker Training Program Application and submit it to the LWDA in accordance with the requirements published in the LWDA's request for applications. The availability of IWT funding is advertised on the SC Works Pee Dee website at www.scworksppeedee.org, the SC Works Pee Dee Facebook page, through each county's economic developer, the local technical colleges, Pee Dee Workforce Development Board members, and other interested parties upon specific request. The policies and procedures detailed in State Instruction 17-03 should be followed with regards to request of rapid response (layoff aversion IWT).

Inquiries: Businesses that wish to be placed on a list to be directly notified regarding the availability of IWT funds or anyone that has questions pertaining to this instruction should contact Dianne Herrington at (843) 687-0091.



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Henry McMaster
Governor

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STATE INSTRUCTION NUMBER 17-03

To: Local Workforce Development Board Chairs
Local Workforce Area Signatory Officials
Local Workforce Area Administrators

Subject: Incumbent Worker Training

Issuance Date: October 25, 2017

Effective Date: Immediately

Purpose: To provide guidance on the use of Workforce Innovation and Opportunity Act (WIOA) funds for Incumbent Worker Training (IWT) services.

Background: IWT provides both workers and employers with the opportunity to build and maintain a quality workforce. Training is intended to assist with expansion, new technology, retooling, new services/product lines, and/or new organizational structuring, or to be used as a layoff aversion strategy. IWT can be used to either:

- help avert potential layoffs of employees, or
- obtain the skills necessary to retain employment, such as increasing the skill levels of employees so they can be promoted within the company and create backfill opportunities for less-skilled employees.

IWT is not permitted to be used to provide the occupational training a new hire needs.

IWT may be provided using local funds, state reserve funds granted to local workforce areas to serve multiple businesses, or state rapid response funds to assist an individual business in averting layoffs.

Policy: Regardless of the source of WIOA funds used for IWT, there are common requirements related to business eligibility, worker eligibility, and reporting IWT in the SC Works Online Services (SCWOS) system.

Business Eligibility

- Each business must have at least one full-time employee and be current on all state tax obligations.
- Third parties or consortia acting on behalf of a group of employers are eligible recipients of IWT. Common examples of consortia include: business associations, industry councils, chambers of commerce, or downtown/community development corporations.
- Training entities/training providers are not eligible for IWT funding or to act on behalf of a business or group of businesses as a third party.

- City, county and state governments are not eligible for IWT funding.
- A business receiving services through ReadySC is not eligible for IWT funding.
- A business that has relocated resulting in the loss of jobs at the original location is not eligible for IWT funding. Such a business becomes eligible once operational in the new location for 120 days.

Worker Eligibility

- The incumbent worker must be employed by the business and meet the Fair Labor Standards Act requirements for an employer-employee relationship.
- The incumbent worker must have an established employment history with the employer for six months or more (which may include time spent as a temporary or contract worker performing work for the employer receiving IWT funds), with the following exception:
 - When IWT is being provided to a cohort of employees, not every employee in the cohort must have an established employment history with the employer for six months or more as long as a majority of those employees being trained meet the employment history requirement.
- Local Workforce Development Boards (LWDBs) must develop a process for documenting the six-month work history requirement for IWT recipients with the employer. The contract/agreement between the LWDB and the employer must include this as a term of the contract/agreement.
- An incumbent worker does not have to meet the eligibility requirements for participation in the Adult or Dislocated Worker program, unless also enrolled as a participant in the WIOA adult or dislocated worker program.

Performance Accountability and Reporting

All IWT activity must be reported in the SCWOS system. This includes both employer and trainee information. Individuals receiving only IWT are not considered participants for the purpose of inclusion in WIOA performance indicator calculations. However, the US Department of Labor (DOL) requires that all individuals receiving IWT be included in federal reporting. The required elements for IWT individuals are limited to basic information and the elements needed to calculate IWT performance indicators. Therefore, DOL encourages the collection of incumbent worker SSNs as part of the training contract/agreement with the employer so that wage records will be available for these individuals. If no SSN is available, LWDBs may utilize supplemental wage information to verify the wages reported.

Use of Local Funds

LWDBs may use up to 20 percent of their combined total adult and dislocated worker allocated funds for the cost of providing IWT.

In addition to the *Business Eligibility* criteria noted above, LWDBs must also take into account the following factors when determining eligibility for participation in IWT:

- The characteristics of the individuals who would receive training (e.g. individuals with barriers to employment); NOTE: Staff must maintain and store Equal Opportunity information in a manner that ensures confidentiality in accordance with 29 CFR §38.41 and State Instruction Number 16-11.

- Whether the training improves the labor market competitiveness of the employees or both the employees and the employer; and
- Other factors the LWDB may consider appropriate, including:
 - the number of employees participating in the training;
 - wage and benefit levels of those employees (both pre- and post-training earnings);
 - the existence of other training and advancement opportunities provided by the employer;
 - credentials and skills gained as a result of the training;
 - layoffs averted as a result of the training;
 - utilization as part of a larger sector and/or career pathway strategy; or
 - employer size.

Employers participating in IWT are required to pay for a share of the cost of providing the training to incumbent workers. LWDBs must establish policies regarding the employer share.

- The employer share can be met through cash payments, fairly evaluated in-kind contributions, or both.
- The employer share must not come out of any other Federal funds.
- The employer share may include the wages the employer pays to the incumbent worker trainee while the worker is attending training.
- In establishing the employer share of the IWT cost, LWDBs must take into consideration such factors as:
 - the number of employees participating in training;
 - the wage and benefit levels of these employees (at the beginning and anticipated upon completion of the training);
 - the relationship of the training to the competitiveness of the employer and employees; and
 - the availability of other employer-provided training and advancement opportunities.
- The minimum amount of employer share in the IWT depends on the size of the employer and may not be less than:
 - 10 percent of the cost, for a business location with not more than 50 employees;
 - 25 percent of the cost, for a business location with more than 50 employees but not more than 100 employees; and
 - 50 percent of the cost, for a business location with more than 100 employees.
- Employer shares must be reported on the Financial Status Report (FSR).

Use of State Reserve Funds

In addition to the *Business Eligibility* criteria noted above, LWDBs must also take into account the following factors when determining eligibility for participation in IWT:

- The characteristics of the individuals who would receive training (e.g. individuals with barriers to employment); NOTE: Staff must maintain and store Equal Opportunity information in a manner that ensures confidentiality in accordance with 29 CFR §38.41 and State Instruction Number 16-11.
- Whether the training improves the labor market competitiveness of the employees or both the employees and the employer; and

- Other factors the LWDB may consider appropriate, including:
 - the number of employees participating in the training;
 - wage and benefit levels of those employees (both pre- and post-training earnings);
 - the existence of other training and advancement opportunities provided by the employer;
 - credentials and skills gained as a result of the training;
 - layoffs averted as a result of the training;
 - utilization as part of a larger sector and/or career pathway strategy; or
 - employer size.

Employers participating in IWT are required to pay for a share of the cost of providing the training to incumbent workers. LWDBs must establish policies regarding the employer share.

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- The employer share may include the wages the employer pays to the incumbent worker trainee while the worker is attending training.
- In establishing the employer share of the IWT cost, LWDBs must take into consideration such factors as:
 - the number of employees participating in training;
 - the wage and benefit levels of these employees (at the beginning and anticipated upon completion of the training);
 - the relationship of the training to the competitiveness of the employer and employees; and
 - the availability of other employer-provided training and advancement opportunities.
- The minimum amount of employer share in the IWT depends on the size of the employer and may not be less than:
 - 10 percent of the cost, for a business location with not more than 50 employees;
 - 25 percent of the cost, for a business location with more than 50 employees but not more than 100 employees; and
 - 50 percent of the cost, for a business location with more than 100 employees.
- Employer shares must be reported on the Financial Status Report (FSR).

Use of Rapid Response Funds

In addition to the *Business Eligibility* criteria noted above, state rapid response funds may only be used for IWT to assist an individual business in averting layoffs. A layoff is considered averted when:

- a worker's job is saved with an existing employer that is at risk of downsizing or closing; or
- a worker at risk of dislocation transitions to a different job with the same employer or a new job with a different employer and experiences no or a minimal period of unemployment.

The use of Rapid Response funds for IWT requires criteria to determine a layoff risk, and when and whether IWT is an appropriate response. Consideration must be given as to whether, absent the

training, a good job will be lost or degraded, and whether with the training the job will be retained or improved. The following employer and worker group assessment criteria must be used in making such determinations.

Employer Assessment

- The company remains open, but it is phasing out a function which will lead to layoffs unless the workers can be retrained to perform new functions.
- A worker's job has changing skill requirements as a result of external economic or market forces, significant changes in technology or operating processes, rapidly changing industry or occupational job requirements, or emergence of new products.
- The changing skill requirements are outside of normal skill growth and upkeep that would be provided by the employer.
- Training programs reasonably prepare workers to address skill gaps.
- The employer demonstrates a commitment to retain employees or otherwise provide a tangible benefit to employees who receive IWT.

Worker Group Assessment

- Unless provided with training, the potentially laid-off workers do not have marketable, in-demand skills.
- The new skills can be attained in a reasonable period of time.
- The workers have not received formal layoff notices. Such workers can be served with regular WIOA dislocated worker funds.
- There exists a strong possibility of jobs, either with the existing employer or a new employer, if the potentially laid-off workers attain new skills.

IWT provided with rapid response funds must adhere to the following requirements.

- A no-cost, competitiveness review of the business will be conducted by the South Carolina Manufacturing Extension Partnership (SCMEP) prior to the completion of an IWT application. Such review will:
 - reveal/confirm limiting factors holding the business back;
 - provide a snapshot of how the business is performing in comparison to other companies; and,
 - provide a roadmap to improve competitiveness, performance and the bottom line.The results of the review must reveal that layoffs would be imminent without intervention. The roadmap for improvement must confirm a need for employee training and identify the specific training needs in order to utilize funds for IWT.
NOTE: A substantially similar review recently conducted of the business, by a third party, may be used in lieu of a review conducted by SCMEP.
- Training providers are to be chosen at the discretion of the employer.
- Training must be completed within 12 months.
- Employers are not required to pay for a share of the cost of providing the training to incumbent workers.

- IWT funds will be used only to address the training needs identified in the SCMEP, or other third party, review.
- All IWT delivered is restricted to skill attainment activities.
 - The training must result in skills that directly benefit the workers receiving the training by making them more qualified in their field of employment and/or providing new skills for new product lines or processes.
 - The skills attained through training should contribute to the maintenance of employment or increase in employment security for workers.
- Training should:
 - help to qualify workers for a job with changing skill requirements or for higher paying jobs with their existing employer or other companies in the area;
 - enable trainees to perform work that is at a higher level than their current positions; and
 - offer certification or other industry-recognized credentials.
- IWT applications must be reviewed and approved by the Department of Employment and Workforce. The attached form and documentation of a detailed business review must accompany each IWT application submitted to the State. This information will be used in ensuring that rapid response-funded IWT requests adhere to the above criteria.

Action: Ensure that all appropriate staff receive and understand this policy.

Inquiries: Questions may be directed to Nina Staggers at (803) 737-0543 or NStaggers@dew.sc.gov.



Patricia Sherlock, Director
Policies and Procedures

Attachment

WIOA Incumbent Worker Training Program

Application

The Incumbent Worker Training (IWT) Program provides funding to help cover the costs of training needed to retain a competitive workforce. Such training is meant to assist with expansion, new technology, retooling, new services/product lines, and/or new organizational structuring, or to be used as part of a layoff aversion strategy. IWT is funded by the Federal Workforce Innovation and Opportunity Act (WIOA).

ELIGIBILITY

Applications are open to all South Carolina employers. Additionally, third parties or consortia may apply on behalf of a group of employers. Common examples of consortia include: business associations, industry councils, chambers of commerce, or downtown/community development corporations. Employers applying for IWT funding must have at least one (1) full-time employee and be current on all state tax obligations.

Businesses receiving services through ReadySC™, training entities, and city, county and state governments are **not** eligible for IWT funding. IWT funds are not available to a business that has relocated, if that relocation resulted in the loss of jobs at the original location, until the company has operated at that new location for 120 days.

INCUMBENT WORKER DEFINED

To qualify as an incumbent worker, the incumbent worker needs to be:

- employed;
- meet the Fair Labor Standards Act requirements for an employer-employee relationship; and
- have an established employment history with the employer for six months or more, unless the training is being provided to a group/cohort of employees and the majority of employees have been employed with the business for six months or more.

Temporary employees that do not have an employer-employee relationship with the business are not considered incumbent workers. However, periods of temporary employment may count towards an employee's time with the company for the purposes of meeting the six month minimum requirement above.

An incumbent worker does not have to meet WIOA eligibility requirements unless they are enrolled as a participant in the WIOA Adult or Dislocated Worker program.

EMPLOYER MATCH

Employers share in the cost of training their incumbent workers with minimum contributions of:

- 10 percent of the costs for a business location with no more than 50 employees
- 25 percent of the costs for a business location with more than 50 employees, but no more than 100 employees
- 50 percent of the costs for a business location with more than 100 employees

Consortia share in the cost of training incumbent workers based on the total number of employees from all businesses in the consortium. The minimum contribution from each business in the consortium is determined by the consortia.

A business's/consortium's share of the cost may be paid in cash or in kind, fairly evaluated. Wages paid to incumbent workers while attending training may be considered that business's share of the cost.

No business/consortia match is required for Rapid Response funded IWT (RRIWT).

REPORTING

To eliminate the need for the business/consortium to provide the employee's full SSN to the LWDA, employees should register in SCWOS using their full SSN once identified as an IWT participant but no later than the first day of training.

Subsequent documentation provided by the business to the LWDA should only need to include the last four digits of the employee's SSN to identify the employee in SCWOS.

Additionally, the business/consortium must provide a list of employees who will participate in training with sufficient documentation to identify the correct employee in SCWOS for completion of the WIOA application and entering relevant activities, including:

- Participant's name
- Date of birth
- Gender
- Ethnicity
- Veteran status
- Highest grade completed
- Training course name
- Actual training start date
- Last four of participant's SSN, or SCWOS User ID or State ID
- Disability status
- Race
- Limited English Proficiency
- Current hourly wage
- ONET code for training
- Projected training end date

The business/consortium must provide and maintain sufficient documentation of the training and resulting outcomes, including:

- Dates of training
- Title and a description of training
- Type and a description of the credential(s) earned
- Number of employees who completed the training program
- Number of employees who earned a credential
- Number of employees who earned a promotion
- Number of employees who earned a wage increase
- Number of existing jobs saved
- Number of new jobs created
- Layoff or closure
- Other outcomes

The business/consortium is required to submit to the LWDA Monthly Program Reports as required by the LWDA, including the Trainee Information and Cumulative Expenditures Forms, and a Final Program Report within 10 days of the training Actual End Date. The information listed above will be required for submission of these reports and SCWOS data entry, and may be needed for any additional reporting required by the LWDA.

REIMBURSABLE TRAINING EXPENSES:

- Tuition
- Instructor/Trainer salaries
- Textbooks/Manuals
- Consumable materials and supplies

APPLICATION

IWT funds (excluding Rapid Response funded IWT) are awarded on a competitive basis. The following applications are given priority:

- Applications that represent an upgrade in employee skills and/or employee wage increases as a result of the training
- Applications with training plans that emphasize occupational skills training
- Applications that represent a layoff avoidance strategy and provide retention opportunities
- Applications for businesses that have not already received an IWT agreement during the prior or current program year

Rapid Response funded IWT requires criteria to determine a layoff risk, and when and whether IWT is an appropriate response. Consideration must be given as to whether, absent the training, a good job will be

lost or degraded, and whether with the training the job will be retained or improved. The following employer and worker group assessment criteria must be used in making such determinations.

Employer Assessment

- The company remains open, but it is phasing out a function which will lead to layoffs unless the workers can be retrained to perform new functions.
- A worker's job has changing skill requirements as a result of external economic or market forces, significant changes in technology or operating processes, rapidly changing industry or occupational job requirements, or emergence of new products.
- The changing skill requirements are outside of normal skill growth and upkeep that would be provided by the employer.
- Training programs reasonably prepare workers to address skill gaps.
- The employer demonstrates a commitment to retain employees or otherwise provide a tangible benefit to employees who receive IWT.

Worker Group Assessment

- Unless provided with training, the potentially laid-off workers do not have marketable, in-demand skills.
- The new skills can be attained in a reasonable period of time.
- The workers have not received formal layoff notices. Such workers can be served with regular WIOA dislocated worker funds.
- There exists a strong possibility of jobs, either with the existing employer or a new employer, if the potentially laid-off workers attain new skills.

Complete the attached IWT Program Application to apply for funding. Any question(s) that cannot be answered in the space provided should be answered on a separate sheet of paper and attached to the back of the application form. Submit the signed, completed application to:

IT IS RECOMMENDED THAT YOU SUBMIT YOUR APPLICATION AT LEAST 30 DAYS PRIOR TO THE PROJECTED START DATE OF TRAINING.

If you have any questions or need assistance in completing the application, please contact:

Incumbent Worker Training Application

SECTION 1. Business Information					
Business Name:					
Authorized Business Representative:			Title:		
Phone:		Ext.:		Fax:	
Email:			Website Address:		
Street/Mailing:					
City:		ZIP:		County:	
For which business location are you seeking funding?					
Date of Inception:			Years in Business:		
Total Number of Full-time Employees:			Total Number of Part-time Employees:		
Total Number of Full-time Employees at this Business Location:			Total Number of Part-time Employees at this Business Location:		
Legal Structure of Business:		<input type="checkbox"/> Sole Proprietor		<input type="checkbox"/> Partnership	
				<input type="checkbox"/> Corporation (Designation:)	
Employer's Federal ID #:			Unemployment Comp ID #:		
South Carolina Sales Tax Reg. #:			NAICS Code:		
Is your business current on all State of South Carolina tax obligations?				<input type="checkbox"/> YES	<input type="checkbox"/> NO
Has your business received IWT funding before?				<input type="checkbox"/> YES	<input type="checkbox"/> NO
If yes, please indicate the training period:					
Is your business receiving/applying for other public training/consulting funds?				<input type="checkbox"/> YES	<input type="checkbox"/> NO
If yes, please identify the funding source and type of training/consulting services:					
Has there been a layoff at this site within the last 12 months?				<input type="checkbox"/> YES	<input type="checkbox"/> NO
If yes:	<input type="checkbox"/> Temporary Layoff		Number affected:	<input type="checkbox"/> Permanent Layoff	
				Number affected:	
Has the business or part of the business relocated operations within the last 12 months?				<input type="checkbox"/> YES	<input type="checkbox"/> NO
If yes:	Relocated from:		Relocated to:		Date of Relocation:
Does your business use SC Works services?				<input type="checkbox"/> YES	<input type="checkbox"/> NO
If yes, please check all applicable services:		<input type="checkbox"/> List Job Openings <input type="checkbox"/> Job Fairs <input type="checkbox"/> Testing & Assessment		<input type="checkbox"/> Mass Hires <input type="checkbox"/> Candidate Search <input type="checkbox"/> Other:	
<input type="checkbox"/> On-the-Job Training (OJT) Please note: employees cannot participate in both WIOA funded OJT and IWT simultaneously.					

Please describe your business, product(s) and/or service(s):

Our business is minority owned. (Please check one of the boxes below)

☐ Women owned

☐ Asian/American owned

☐ African/American owned

☐ Native/American owned

☐ Hispanic/American owned

☐ Other minority owned (specify):

Amount of Funding Requested: \$ 0.00

Number of Trainees:

Start Date:

End Date:

Type(s) of training proposed (ex: Maintenance, Quality, Computer, etc.):

How did you learn about Incumbent Worker Training?

SECTION 2. Eligibility Criteria**Please check all boxes that apply. Attach additional sheets if necessary.****Incumbent worker training is necessary due to:**

- | | |
|--|---|
| <input type="checkbox"/> Business expansion | <input type="checkbox"/> Changing industry requirements |
| <input type="checkbox"/> Retooling of our business process | <input type="checkbox"/> The introduction of new services/product lines |
| <input type="checkbox"/> New organizational structuring | <input type="checkbox"/> Avert a layoff |
| <input type="checkbox"/> New technology | <input type="checkbox"/> Competitive business expansion |

Please provide an explanation of the selections above:

The proposed training would:

- | | |
|---|---|
| <input type="checkbox"/> Significantly increase employee skills | <input type="checkbox"/> Save jobs within our business (How many?) |
| <input type="checkbox"/> Result in employee wage increases | <input type="checkbox"/> Help prevent business relocation |

Please provide an explanation supporting how the proposed training would accomplish the selections above:

SECTION 3. Training Provider Information:**If known, please answer the following.****Name of Training Provider Representative:****Address:****City:****State:****ZIP:****Phone:****Fax:**

SECTION 4. Training Project Information

Up to 6 training programs may be requested on each application. If you would like to request more, please complete additional applications as necessary. Please list in order of priority for your business

TRAINING #1**Name of Training:****Training Description:****Training Institution/School:****Address:****City:****State:****Zip:****Phone:****Name of Trainer (if in-house):****Anticipated training dates:****Projected Number of Hours
of Training:****Number of Trainees:****Job Title(s) and Length(s) of Employment:****Certification Earned:****BUDGET****Instructor Wages/Tuition:*****Materials/Supplies/Textbooks:*****Other Costs:****TOTAL COST:**

\$ 0.00

Please itemize costs related to materials, supplies, textbooks, and other costs here:*TRAINING #2****Name of Training:****Training Description:****Training Institution/School:****Address:****City:****State:****Zip:****Phone:****Name of Trainer (if in-house):****Anticipated training dates:****Projected Number of Hours
of Training:****Number of Trainees:****Job Title(s) and Length(s) of Employment:****Certification Earned:****BUDGET****Instructor Wages/Tuition:*****Materials/Supplies/Textbooks:*****Other Costs:****TOTAL COST:**

\$ 0.00

***Please itemize costs related to materials, supplies, textbooks, and other costs here:**

TRAINING #3		
Name of Training:		
Training Description:		
Training Institution/School:		
Address:		
City:	State:	Zip:
Phone:		
Name of Trainer (if in-house):		
Anticipated training dates:		
Projected Number of Hours of Training:	Number of Trainees:	
Job Title(s) and Length(s) of Employment:		
Certification Earned:		
BUDGET	Instructor Wages/Tuition:	*Materials/Supplies/Textbooks:
	*Other Costs:	TOTAL COST: \$ 0.00
*Please itemize costs related to materials, supplies, textbooks, and other costs here:		

TRAINING #4		
Name of Training:		
Training Description:		
Training Institution/School:		
Address:		
City:	State:	Zip:
Phone:		
Name of Trainer (if in-house):		
Anticipated training dates:		
Projected Number of Hours of Training:	Number of Trainees:	
Job Title(s) and Length(s) of Employment:		
Certification Earned:		
BUDGET	Instructor Wages/Tuition:	*Materials/Supplies/Textbooks:
	*Other Costs:	TOTAL COST: \$ 0.00
*Please itemize costs related to materials, supplies, textbooks, and other costs here:		

TRAINING #5		
Name of Training:		
Training Description:		
Training Institution/School:		
Address:		
City:	State:	Zip:
Phone:		
Name of Trainer (if in-house):		
Anticipated training dates:		
Projected Number of Hours of Training:	Number of Trainees:	
Job Title(s) and Length(s) of Employment:		
Certification Earned:		
BUDGET	Instructor Wages/Tuition:	*Materials/Supplies/Textbooks:
	*Other Costs:	TOTAL COST: \$ 0.00
*Please itemize costs related to materials, supplies, textbooks, and other costs here:		

TRAINING #6		
Name of Training:		
Training Description:		
Training Institution/School:		
Address:		
City:	State:	Zip:
Phone:		
Name of Trainer (if in-house):		
Anticipated training dates:		
Projected Number of Hours of Training:	Number of Trainees:	
Job Title(s) and Length(s) of Employment:		
Certification Earned:		
BUDGET	Instructor Wages/Tuition:	*Materials/Supplies/Textbooks:
	*Other Costs:	TOTAL COST: \$ 0.00
*Please itemize costs related to materials, supplies, textbooks, and other costs here:		

SECTION 5. Training Program Budget

Please note: businesses/consortia must contribute to the cost of the training project, with minimum contributions of:

- (1) 10 percent of the cost for business locations or consortia with no more than 50 employees
- (2) 25 percent of the cost for business locations or consortia with more than 50 employees, but no more than 100 employees
- (3) 50 percent of the costs for a business location or consortia with more than 100 employees

BUDGET CATEGORY	TRAINING ASSISTANCE REQUESTED	BUSINESS MATCHING CONTRIBUTION	TOTAL
INSTRUCTOR WAGES/TUITION			\$ 0.00
MATERIALS/SUPPLIES/ TEXTBOOKS			\$ 0.00
WAGES PAID WHILE ATTENDING TRAINING*	XXXXXXXXXXXXXXXXXX		\$ 0.00
OTHER EMPLOYER CONTRIBUTIONS TO THE COST OF TRAINING	XXXXXXXXXXXXXXXXXX		\$ 0.00
OTHER COSTS (describe)			\$ 0.00
TRAVEL	XXXXXXXXXXXXXXXXXX	XXXXXXXXXXXXXXXXXX	XXXXXXXXXXXXXXXXXX
TOTAL	\$ 0.00	\$ 0.00	\$ 0.00

***Note:** Wages paid to employees while attending training may be used as the business's/consortium's contribution to the cost of training

SECTION 6. Certification by Authorized Business Representative

I hereby certify that I am an authorized representative of the business named above, with the authority to commit the business to legally binding contracts and agreements. I further certify that the information given as part of and attached to this application is true and accurate. I am aware that any false information or intended omissions may subject me to civil or criminal penalties for filing of false public records and/or forfeiture of any funds approved through this program.

This application does not constitute a contractual agreement. If any portion of the application is approved, a formal agreement between parties will be executed to obligate funds for the approved training. Training may not start prior to the effective date of the agreement.

Signature:	Title:
Print Name:	Date:

Incumbent Worker Training

Layoff Aversion Assessment

Incumbent Worker Training (IWT) funded through state rapid response funds may be used to assist an individual business in averting layoffs. A layoff is considered averted when: a worker's job is saved with an existing employer that is at risk of downsizing or closing, or a worker at risk of dislocation transitions to a different job with the same employer or a new job with a different employer and experiences no or a minimal period of unemployment.

The use of Rapid Response funds for IWT requires a determination of layoff risk, and when and whether IWT is an appropriate response. Consideration must be given as to whether, absent the training, a good job will be lost or degraded, and whether the job will be retained or improved with the training.

This form should be used by the local area to assess whether layoff aversion IWT is an appropriate response to current business circumstances.

1. Business Information
Business Name:
Address:
Please describe the business, its product(s) and/or service(s):

2. Employer Assessment		
In addition to IWT, explain the other components of the business's layoff aversion strategy.		
Do business circumstances point to probable layoffs? <i>For example: the business is phasing out a function or the business has recently lost a major contract</i>	<input type="checkbox"/> yes	<input type="checkbox"/> no
If yes, please describe the business's circumstances:		
Are the workers' jobs threatened by changing skill requirements?	<input type="checkbox"/> yes	<input type="checkbox"/> no

If yes, please describe the changing skill requirements:		
Are the skill requirements outside the normal growth and upkeep that would be provided by the employer?	<input type="checkbox"/> yes	<input type="checkbox"/> no
If yes, please explain below:		
Does the employer demonstrate a commitment to retain employees who receive training?	<input type="checkbox"/> yes	<input type="checkbox"/> no

3. Worker Group Assessment

Have the workers received formal layoff notices? (If yes, serve these workers with regular WIOA Dislocated Worker funds.)	<input type="checkbox"/> yes	<input type="checkbox"/> no
Does the IWT program as proposed address the employees' existing skills gap?		
	<input type="checkbox"/> yes	<input type="checkbox"/> no
If yes, please explain how below:		
Is there a strong possibility of jobs, either with the existing employer or a new employer, if the workers attain new skills?	<input type="checkbox"/> yes	<input type="checkbox"/> no
If no, please describe the benefit(s) received from this proposed training:		
Can the threatened workers attain the required skills in a reasonable period of time (i.e., no longer than 12 months)?	<input type="checkbox"/> yes	<input type="checkbox"/> no
If no, please describe why:		

4. Training Assessment

Does the training proposed match the training needs identified in the SCMEP or other third party business review?	<input type="checkbox"/> yes	<input type="checkbox"/> no
Is the training proposed restricted to skill attainment activities?	<input type="checkbox"/> yes	<input type="checkbox"/> no
If no, please explain below:		

Will the training result in making workers more qualified in their field of employment?	<input type="checkbox"/> yes	<input type="checkbox"/> no
If no, please explain the benefit(s) received from this proposed training:		
Does the training offer certification or other industry-recognized credentials?	<input type="checkbox"/> yes	<input type="checkbox"/> no
If no, please explain the benefit(s) received from this proposed training:		

5. Local Review		
Based on information regarding the business, worker group(s) and training proposed, this IWT application appears to meet the requirements for using WIOA funds restricted to layoff aversion.	<input type="checkbox"/> yes	<input type="checkbox"/> no
Comments		
Completed by:		
Title:	Date:	
Date SCMEP Competitiveness Review (or similar review of business) completed:		
Business review attached:	<input type="checkbox"/> yes	<input type="checkbox"/> no

6. State Authorization		
Based on the above information and the business review conducted with the company, it has been determined that the company is at risk of a layoff and that IWT is an appropriate response. Further, the requirements for using WIOA funds restricted to layoff aversion have been met.	<input type="checkbox"/> yes	<input type="checkbox"/> no
Comments		
Signature:		
Title:	Date:	