

EASTERN CAROLINA WORKFORCE DEVELOPMENT BOARD

INCUMBENT WORKER TRAINING GRANT



GUIDELINES AND APPLICATION

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An Equal Opportunity/Affirmative Action Employer

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GUIDELINES AND APPLICATION

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**EASTERN CAROLINA WORKFORCE DEVELOPMENT BOARD
INCUMBENT WORKER TRAINING GRANT
POLICY AND BUSINESS GUIDELINES**

KEY POINTS:

- The Eastern Carolina Workforce Development Board (ECWDB) will use no more than 20% of the combined Adult and Dislocated Worker funds from the Workforce Innovation & Opportunity Act (WIOA) to fund Incumbent Worker Training Grants (IWTG) for awarded businesses. The process for awarding IWTGs is outlined within this policy.
- The Incumbent Worker Training Grant is a competitive training grant through which qualifying businesses can address employees' skills gaps:
 - These skills gaps can be a result of an employee's changing responsibilities/requirements in his/her job, or for an employee whose job may potentially be eliminated and skill upgrading is needed to accept new responsibilities.
 - The training(s) should result in increased knowledge/skills for the employee and increase the stability and competitiveness of the employer.
 - Training(s) that results in, or provides, a significant step towards achieving an industry-recognized certification/credential will receive award preference.
- North Carolina for-profit businesses that have been in operation in North Carolina for a minimum of twelve months and have at least 5 employees are eligible to apply. Eligible employees must have been employed for a minimum of six months prior to beginning training.
- The maximum award amount is \$10,000 per grant, with a lifetime funding limit of \$60,000.
- Businesses can submit their applications at any point to the Business Services Consultant of the ECWDB but must adhere to the process for submission described below.
- Applications are scored for approval by the ECWDB on the 3rd Thursday of each month.
- After an award is announced, contact will be established and a business is expected to pay for the training in accordance with the budget set forth in their application. A request for reimbursement will be submitted by the business to the ECWDB with all receipts and appropriate documentation.

WHY WOULD AN EMPLOYER UTILIZE THIS GRANT?

An employer can utilize this competitive training solution when they have employees with identified skills gaps that need to be addressed through training, thus enhancing the employees' continued employability. Businesses that acknowledge the needs for employees' training in order to increase their competitiveness, efficiency, and/or stabilization should apply for this grant.

WHICH EMPLOYEES ARE ELIGIBLE TO BE TRAINED THROUGH THIS GRANT?

An eligible employee is:

- at least 18 years of age and a paid employee of the applicant business or businesses;
- in a relationship that meets the Fair Labor Standards Act (FLSA) requirements for an employer-employee:
 - The FLSA defines "employ" as the work that the employer directs or allows to take place. Workers who are economically dependent on the business of the employer and will receive a W-2 for tax filing purposes have an employer-employee relationship.
 - Individuals who do not meet the employer-employee relationship are:
 - those who will receive a 1099 for tax filing purposes

- those who are currently employed through a temporary agency
- an employee with an established employment history with the employer for 6 months or more (may include time spent as a temporary or contract worker);
- a citizen of the United States or a non-citizen whose status permits employment in the United States; and
- an employee to be trained who works at a facility located in North Carolina

WHICH EMPLOYEES WOULD BENEFIT FROM THE ECWDB INCUMBENT WORKER TRAINING GRANT?

This grant is beneficial to employees who have identified skills gaps, where eligible training addresses these gaps, improves employee retention, helps stabilize the business, and increases the competitiveness of the employee and employer. These employees either:

- need to upgrade skills and knowledge to retain their current job; or
- need to gain new skills and knowledge so they qualify for different jobs with their employer

WHAT BUSINESSES ARE ELIGIBLE TO APPLY?

A business that **is eligible** to apply for funds under this program:

- is a North Carolina for-profit business;
- has an employer-employee relationship with the trainee(s);
- has been in operation in North Carolina for a minimum of twelve months;
- has a minimum of five (5) employees;
- is current on all federal, state and local tax obligations; and
- is financially viable

Businesses that have previously received the Incumbent Worker Grant through the State of North Carolina are still eligible to apply for funding through this grant.

Businesses that have already met the maximum lifetime limit of \$60,000 through previous versions of the state-sponsored Incumbent Worker Training Grant are eligible to apply for funding through the ECWDB Incumbent Worker Training Grant and start with a balance of zero.

WHAT BUSINESSES ARE NOT ELIGIBLE TO APPLY?

A business that is **not eligible** to apply for funds under this program:

- is currently receiving training funds, either directly or indirectly, from the North Carolina state government, unless those training funds do not duplicate the training efforts outlined in this grant application;
 - This includes trainings that are offered through the North Carolina Community College's Customized Training Program.
- has received funds, either directly or indirectly, from the North Carolina state government under any previous training initiative where the terms of the agreement for training have not been met;
- is a Workforce Development Board or its administrative entity;
- is a labor union; or
- is a government entity, including publicly-funded organizations

HOW DO BUSINESSES IDENTIFY THE TRAINING(S) MOST RELATED TO THE NEEDS OF THEIR EMPLOYEES?

Businesses understand their training needs best and are, therefore, invited to submit any training that applies to their employees' skills gaps, as long as it fits within the reimbursable requirements listed below. The Business Services Consultant (BSC) at the ECWDB can assist businesses with the identification of training topics, training instructors, training dates, training locations, etc. Grant funds will be expended on training activities that take place only in North Carolina unless the ECWDB approves training outside the state. Businesses are invited to apply for as many trainings, for one or more employees, as they wish in one grant application as long as the total cost for all trainings does not exceed \$10,000.

WHAT OUTCOMES ARE EXPECTED FROM THE INCUMBENT WORKER TRAINING GRANT (IWTG)?

When businesses experience a skills gap in their workforce, the company's stability can be compromised. The IWTG, funded by the federal Workforce Innovation and Opportunity Act (WIOA), addresses such needs by increasing workers' skills, wages, advancement opportunities, knowledge, and certification.

All businesses that are eligible are encouraged to apply for the IWTG. A specific outreach focus for this grant will reach employers that are aligned to the growing industries of our region, which include those around which our career pathways are built: Advanced Manufacturing (NCWorks Certified), Health Sciences (NCWorks Certified), Transportation & Logistics (NCWorks Certification process to begin soon), and Skilled Trades. Small businesses are also a specific focus of this grant and the trainings that this grant will fund should have an impact on the company's stability and competitiveness and give the employees an opportunity for career growth.

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

Yes, unique businesses can partner and apply for a collaborative training grant. The proposal for the common request must:

- train employees of at least two different businesses, with one of those businesses designated as the Applicant;
- include employees of the Lead Applicant in the training;
- include training descriptions and outcomes that address the employees from all businesses impacted by the proposed common training; and
- include information on each business that will be part of the training (the application has a specific section for this information)

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

The maximum amount is \$10,000 per grant. An application representing common training needs of two or more businesses (collaborative grant) will be subject to \$12,500 per training grant. In a collaborative grant, the amount of the award will be equally portioned among the businesses included in the application.

WHAT IS THE LIFETIME LIMIT FOR BUSINESSES RECEIVING THE IWTG?

The lifetime limit is \$60,000. Businesses with locations in multiple areas of the state will be treated as a single company for the purposes of determining when this maximum is met. The lifetime limit applies to the company, its parent company and subsidiaries. This applies to all applicants, whether or not they have previously received a grant.

The business may apply for subsequent competitive grants, but receipt of a prior grant does not automatically guarantee an award of future grants. If a company is awarded the ECWDB Incumbent Worker Training 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.

IS THE BUSINESS REQUIRED TO CONTRIBUTE TO THE COST OF THE TRAINING?

The employer, or group of employers, must pay for a portion of the cost of providing training to incumbent workers.

The employer portion is defined as the “non-federal share”*. The non-federal share provided by an employer participating in the program may include the amount of the wages paid by the employer to a worker while the worker is attending a training program. The employer may provide the share in cash or in kind, fairly evaluated.

- The non-federal share is based on the following limits:
 - No less than 10% of the cost, for employers with no more than 50 employees
 - No less than 25% of the cost, for employers with more than 50 employees but no more than 100 employees; and
 - No less than 50% of the cost, for employers with more than 100 employees

The numbers of employees is based on all business locations within the state of North Carolina. The business will be required to calculate its actual non-federal share at the conclusion of the training. Should the non-federal share not meet the limits, the funds could potentially have to be repaid.

*“Non-federal share” is defined as the following in ECWDB’s IWTG policy. Non-Federal share can also be referred to as an “in-kind” contribution. This may include the amount of wages paid by the employer to a worker while the worker is attending a training. Other examples may include facility fee rental for the training, meals, travel for the employees participating in the training, and/or any training equipment purchases not covered as a reimbursable expense. For example, if a training costs \$5,000 and your business has less than 50 employees (which requires a 10% non-federal requirement), the minimum non-federal share required would be \$500.

WHAT IS THE PROCESS FOR SUBMITTING AN APPLICATION AND HOW ARE FUNDING DECISIONS MADE?

The application process is:

1. A Pre-Award Checklist is first provided to the business by the ECWDB Business Services Consultant (BSC).
2. After completing this checklist and receiving feedback from the BSC, the business will receive an application template.
3. The ECWDB staff will review the application and provide feedback to the business on suggested edits as needed.
4. Businesses will then have up to two weeks to complete a second draft of their application and resubmit it to the review committee. Failure to comply with the two week timeframe may result in delayed review.
5. Following the submission of this draft, the BSC will convene a review team, comprised of ECWDB staff and Board representatives, to review the application and determine a funding decision using a standardized application assessment form.

6. The BSC will notify the business of the decision of the review committee no later than two weeks following the approval of their final application.

WHAT HAPPENS AFTER A BUSINESS IS AWARDED THE GRANT?

1. A contract is established between the ECWDB and the awarded business within a month following the review committee's decision. The committee meets on the 3rd Thursday of each month.
2. ECWDB holds the funds for training until the training is complete.
 - a. Training must be completed within 12 months from the date of the contract between the business and the ECWDB.
3. A business may submit a request for reimbursement of approved expenses at any point during the training period along with proof of payment.
4. After completion of the training, the business will submit a reimbursement request with their invoice and proof of payment to the training provider, a goal attainment report, and trainee roster to the ECWDB in order to receive reimbursement for the training.

Note: If there is an extenuating circumstance that leads to a need to request a change to the approved training, the business must contact the BSC to discuss the best alternatives. Changes in the training(s) will not necessitate a new application but the business will need to complete an amended training form and submit to the BSC as soon as possible. If necessary, the BSC may convene the grant review committee to review these changes as it relates to the purpose of this grant, including the trainees' originally identified skills gaps. The training will still need to be completed within the one year timeframe.

REIMBURSABLE/NON-REIMBURSABLE TRAINING COSTS

The following is a listing of reimbursable and non-reimbursable training costs for ECWDB's IWTG:

Allowable Training Costs

- Instructors'/trainers' salaries – trainers must not be employed by any business whose employees are being trained
- Tuition
- Training materials and training supplies
- Textbooks/manuals – limited to course of study
- Training that results in participants obtaining an industry-recognized certification or credential, or that provides a significant step towards achieving such credentials that increase the worker's overall employability
- Travel for trainers - if the requested training is not available within reasonable proximity to the business. The terms of "reasonable proximity" should be discussed with the ECWDB BSC before application submission.
- On-line training

Non-Allowable Training Costs

- Employee wages and fringe benefits
- Compensation or consultant fees not directly related to the provision of training
- 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 or costs associated with bringing a trainer into the country
- Curriculum design and/or training program development
- General office supplies and 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
- Purchase of employee assessment systems or systems usage licenses (ex. site licenses)
- Employee travel
- Basic occupational health and safety training, to include OSHA training
- Any training that a company is mandated to provide on a regular basis to its employees by federal, state, or local laws
- Equipment
- Food, beverage, entertainment, and/or celebrations
- Job/position profiling
- Publicity/public relations costs
- Costs associated with conferences

**EASTERN CAROLINA WORKFORCE DEVELOPMENT BOARD
INCUMBENT WORKER TRAINING GRANT
PRE-AWARD CHECKLIST**

Date: _____

Business Name
and Address: _____

Point of Contact: _____ Phone: _____ Email: _____

What types of training are you interested in for your employees? (List all)

- | | |
|---------|---------|
| • _____ | • _____ |
| • _____ | • _____ |
| • _____ | • _____ |
| • _____ | • _____ |

Do you need assistance from the ECWDB in exploring training topics, finding a training provider, etc.?

☐ Yes ☐ No

Approximately how many employees would participate in training?

Indicate number: _____

Have these employees been employed with your business for at least six months prior to the anticipated start date for training(s)?

☐ Yes ☐ No

Has the company been in operation in NC for 12 Months?

☐ Yes ☐ No

What is your estimated timeline for the training(s) to occur?

Indicate timeline: _____

Please indicate location of business *(must be in the ECWDB region which includes the counties of: Carteret, Craven, Duplin, Greene, Jones, Lenoir, Onslow, Pamlico and Wayne).*

| | | | | | | | | |
|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Carteret | Craven | Duplin | Greene | Jones | Lenoir | Onslow | Pamlico | Wayne |

Have you contacted the appropriate NC Community College's Customized Training Department or Small Business Center regarding the availability of free training programs for employees related to the training you're interested in through this grant?

☐ Yes, but there are no free trainings available to meet my needs *(you must make contact and mark this answer before you can proceed to the application).*

☐ Yes, there are trainings available to meet my needs.

☐ No, there are no trainings available to meet my needs.

Comments: _____

Is your company current on all federal, state and local taxes?

☐ Yes ☐ No

Has your company previously received an NCWorks Incumbent Worker Training Grant?

☐ Yes ☐ No

Has your company established an employer account on the State's online workforce system – www.ncworks.gov? If not, please set up your free account before submitting this form.

☐ Yes ☐ No

Additional Comments:

**EASTERN CAROLINA WORKFORCE DEVELOPMENT BOARD
INCUMBENT WORKER TRAINING GRANT
APPLICATION**

SECTION I: BUSINESS INFORMATION

Business Name: _____
 Street/Mailing Address: _____
 City: _____ State: _____
 Zip Code: _____ County: _____
 Company Contact Person: _____ Title: _____
 Email: _____ Phone: _____ Fax: _____

Description of Business Product(s) or Services (3-5 sentences):

Years in business: _____ Total Number of paid employees at this location: _____

Legal Structure of Business: ☐ Sole Proprietor ☐ Partnership ☐ Corporation ☐ LLC
☐ Other: (indicate) _____

Tax Status of Business: ☐ For-profit ☐ Not-for-profit

Employer's Federal ID #: _____ Unemployment Insurance ID #: _____

Parent Company? (If yes, please indicate business names in space provided.) ☐ Yes ☐ No

Parent Company Name: _____

Representative: _____ Phone: _____ Email: _____

List Subsidiary Company(ies):

| | |
|--|--|
| • _____ • _____ • _____ • _____ | • _____ • _____ • _____ • _____ |
|--|--|

Is this a collaborative grant? (If yes, please indicate business name in space provided.) ☐ Yes ☐ No

Business Name: _____

Representative: _____ Phone: _____ Email: _____

SECTION II: TRAINING SUMMARY

If applying for more than one training, request another training summary template from the ECWDB, do not combine training information.

Training Topic/Course Title: _____

Course Description and/or Objectives:

Estimated Training Date(s): _____ Number of Trainees: _____

Training Location: _____

Name of Training Provider (*Organization – if applicable*): _____

Name of Trainer/Instructor: _____

Street Address: _____

City: _____ State: _____ Zip Code: _____

Email: _____ Phone: _____

Qualifications of Trainer/Instructor to Teach Component (*2-3 sentences*):

SECTION III: BUDGET

INSTRUCTIONS:

If applying for more than one training, request another budget template from the ECWDB, do not combine budget information for multiple trainings.

Refer to the attachment "Reimbursable/Non-Reimbursable Training Costs" for specific costs that can be included in the budget request.

| Category | Grant Funds Requested | Explanation/Detail |
|--|-----------------------|--------------------|
| Training/Course Registration | \$ | |
| Manuals/Textbooks | \$ | |
| Training Certifications, Certificates, Credentials, Licenses | \$ | |
| Materials and Supplies | \$ | |
| Travel Expenses <i>(see ECWDB policy)</i> | \$ | |
| Total Amount Requested: | \$ | |

Employer's Non-Federal Share *(indicate only one with information in corresponding table)*

☐ My business has less than 50 employees; a 10% non-federal share is required for this grant.

| | | | |
|--|---------------|--------------|------------------------------|
| Wages: | Facility Fee: | Meal/Travel: | Training Equipment Purchase: |
| \$ | \$ | \$ | \$ |
| Total non-federal share: \$ <input type="text"/> ≥ 10% of the above amount requested | | | |

☐ My business has between 50-100 employees; a 25% non-federal share is required for this grant.

| | | | |
|--|---------------|--------------|------------------------------|
| Wages: | Facility Fee: | Meal/Travel: | Training Equipment Purchase: |
| \$ | \$ | \$ | \$ |
| Total non-federal share: \$ <input type="text"/> ≥ 25% of the above amount requested | | | |

☐ My business has more than 100 employees; a 50% non-federal share is required for this grant.

| | | | |
|--|---------------|--------------|------------------------------|
| Wages: | Facility Fee: | Meal/Travel: | Training Equipment Purchase: |
| \$ | \$ | \$ | \$ |
| Total non-federal share: \$ <input type="text"/> ≥ 50% of the above amount requested | | | |

SECTION IV: TRAINING ABSTRACT

Please provide the following information.

1. Background information on the company:

2. Overview of the training and information to support the request and need for training:

3. Description of how the requested training will address the identified skills gaps, improve employee retention, impact company stability, and increase the competitiveness of the employee and employer:

4. Reason for requesting financial assistance to conduct the training:

AUTHORIZATION AND CERTIFICATION

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

- I have read the ECWDB Incumbent Worker Training Grant guidelines/policy.
- The Business meets the requirements of the policy in regard to business and employee eligibility and is eligible to submit this application.
- The information contained in this application is true and accurate.
- I am aware that any false information, intentional omissions, or misrepresentations may result in rejection of the application and possible disqualification for future funding.
- The Business agrees to adhere to all reporting requirements requested by ECWDB upon notification of award.
- The Business agrees to provide all data elements as required for federal reporting.
- The Business agrees to resubmit this application if ECWDB requests edits within the designated timeframe.
- The request training expense is in accordance with the reimbursable requirements outlined in the IWTG policy.
- Trainee applications for all employees seeking training are attached to this application.

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

Employer Representative Print Name: _____

Employer Representative Signature: _____

Date: _____

**Certification Regarding Drug-Free
Workplace Requirements**

- A. The grantee certifies that it will or will continue to provide a drug-free workplace by:
- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
 - (b) Establishing an ongoing drug-free awareness program to inform employees about - -
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
 - (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
 - (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will - -
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
 - (e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
 - (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
 - (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

- B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (street address, city, county, state, zip code):

| |
|--|
| |
| |
| |

Check ☐ if there are workplaces on file that are not identified here.

29 CFR Part 98, Subpart F
Appendix C

Company

ECWDB Incumbent Worker Training
WIOA Program Title

Name of Certifying Official and Title

Signature/Date

**CERTIFICATION REGARDING LOBBYING
CERTIFICATION FOR CONTRACTS, GRANTS, LOANS,
AND COOPERATIVE AGREEMENTS**

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal Contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal Contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal Contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants and Contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and discuss accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

| | |
|--|--|
| <hr style="border: none; border-top: 1px solid black;"/> Company | <hr style="border: none; border-top: 1px solid black;"/> ECWDB Incumbent Worker Training WIOA Program Title |
| <hr style="border: none; border-top: 1px solid black;"/> Name of Certifying Official and Title | <hr style="border: none; border-top: 1px solid black;"/> Signature/Date |

29 CFR Subtitle A (7-1-99 Edition)
Part 93, Appendix A