Sector Partnership (SP) National Emergency Grant (NEG)

NEG Electronic Application System (eSystem) User Guide

Complete applications must be received by
11:59 PM EDT on May 29, 2015
to be considered for funding

NOTE: The SP NEG application requests certain information that is not required for other types of NEGs, and does not require some information that must be provided for other types of NEGs. Because the Employment and Training Administration (ETA) must work within the current NEG eSystem to accept this type of application, please note that certain field titles may not directly correlate to the information being requested. Please read this guide carefully; as you **must** answer the questions as presented in this manual in order for ETA to consider your application.

Introduction

The NEG eSystem was designed in a user-friendly format, but efficient use of the system requires an understanding of the NEG application requirements, policy restrictions, and priorities that have been formalized in the NEG Application Guidelines and other guidance documents. This guide incorporates these requirements.

The User Guide is organized into the following major sections:

- **NEG eSystem User Authorization**, which provides basic information about accessing the NEG eSystem;
- **Accessing the NEG eSystem**, which provides the information necessary to log into the NEG eSystem using your Web browser;
- **Using the NEG eSystem**, which describes the basic format of the data entry screens in the NEG eSystem, how to navigate among sections, and the guidelines for successful data entry;
- **Preparing a SP NEG Application**, which describes which screens are utilized for this application and explains what types of data should be entered;
- **Finalizing and Submitting the Application**, which provides guidance regarding uploading documents, and validating and certifying the application.

The User Guide includes screen shots of the menus and data entry screens that you will see as you navigate through the NEG eSystem.

NEG eSystem User Authorization

All SP NEG applications must be submitted through the NEG eSystem, which requires that the system user has qualified for and has been provided with a NEG eSystem password, and has access to the NEG eSystem Personal Identification Number (PIN) that was issued to the state's NEG Primary Signatory/Authorized Representative.

- Send an e-mail to NEGEsystem@dol.gov if you are currently a NEG eSystem user, but cannot locate your password.

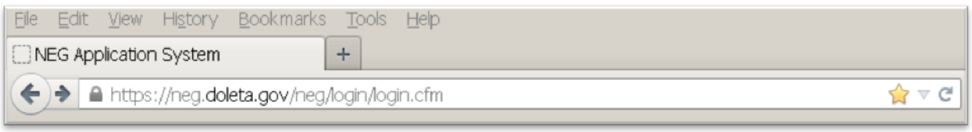
- Contact your servicing Regional Office if you are not a NEG eSystem user and wish to be recommended for access.

- The state's Primary Signatory can provide an authorized NEG eSystem user with the PIN. If the PIN cannot be located, the Primary Signatory should send an e-mail to NEGEsystem@dol.gov requesting that the PIN be reissued, or that a new PIN be provided.

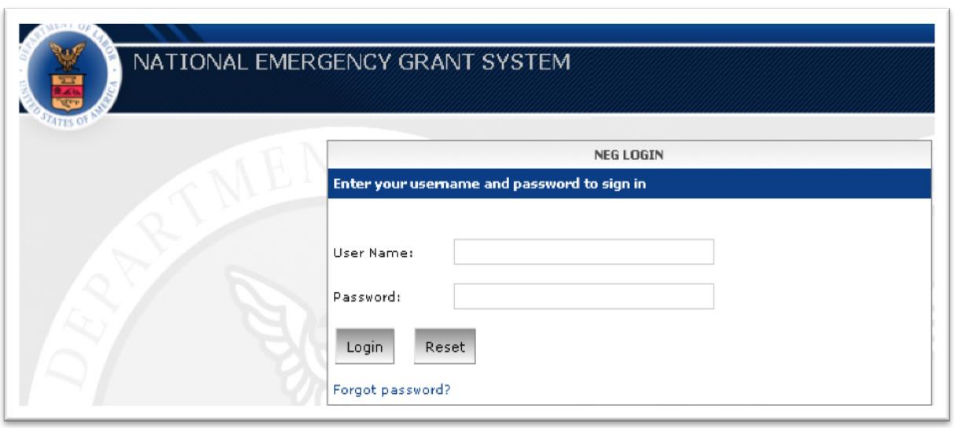
Accessing the NEG eSystem

To sign on to the NEG eSystem:

Open your Web browser and type this URL – neg.doleta.gov into the Address field. The application must be opened within a MS Internet Explorer, Firefox, or Chrome Web Browser.

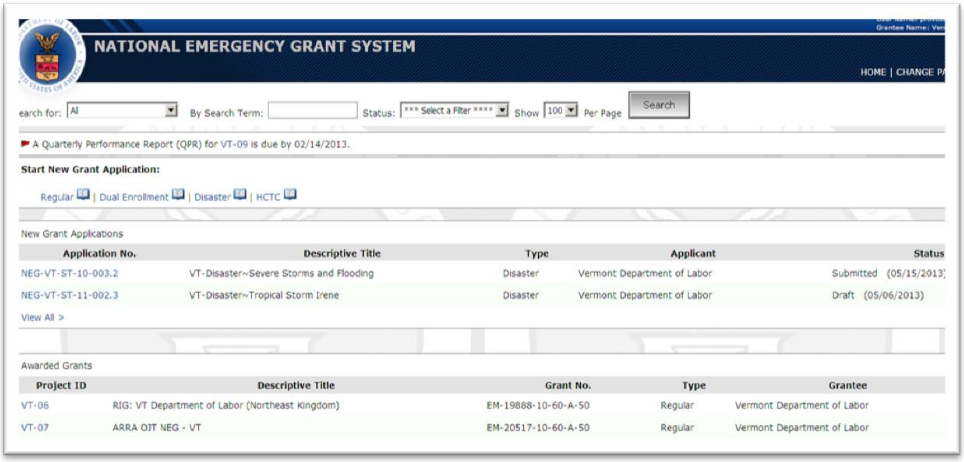


The **NEG Login screen** will be displayed



Enter your User Name and Password and click Login.

The **Home Page** is the next screen to appear.



The **Home page** serves as the beginning screen for most NEG eSystem functions. From this page, you can create and view New Grant Applications, and view Awarded Grants. An example of the **Home page** is displayed above that shows the primary areas:

- Alerts An alert is displayed at the top of the **Home page** directly under the search bar. These alerts draw your attention to action items that require a response, i.e., an application has been returned for clarification, or that a report is due on a specific date.

- New Grant Applications The status of the applications listed in this section are either:
  - Draft, which is a NEG request that is still in progress and is available for editing.
  - Pre-submission, which indicates that the draft has been completed and has been submitted to the Regional Office for review.
  - Submitted, which indicates that the pre-submission document has been accepted by the Regional Office and was submitted for final review and approval.

- Awarded Grants

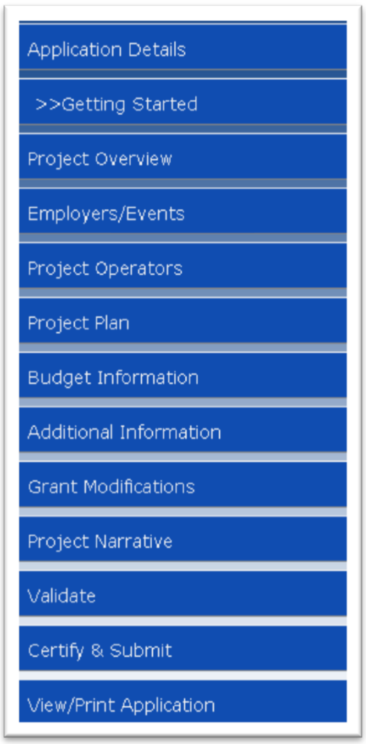
  This is a listing of the Grantee's approved active and inactive NEGs.

The **Home page** also displays the Start New Grant Application options. An explanation of the procedures for beginning the application creation process is found in the **Preparing a SP NEG Application** section of this guide.

Using the NEG eSystem

The NEG eSystem uses a standard format for all data entry screens:

On the upper left hand side of the screen is a Menu Box that lists all sections of the NEG eSystem that may be utilized to create an application. You can move from one section to another by clicking the identifier/name of the section you want to go to.



The bottom of the screen provides three actions related to data entry.

Click **SAVE** to store information that has been entered into the screen.
Click **CLEAR** to return the data entry fields to the previously saved values.
Click **CANCEL** to exit the screen without saving the entered information.

> **NOTE:** If you click **CANCEL**, all information that has been entered since the last **SAVE** action will be lost.

Data Entry Guidelines

The NEG eSystem requires that data be entered in a specific format in order to be saved. If an entry is not formatted correctly, the NEG eSystem will display a warning message and require that you re-enter the data.

Dates

All dates entered into the NEG eSystem must be in the mm/dd/yyyy format.

INCORRECT	CORRECT
05/25/15	05/25/2017
December 31, 2014	12/31/2017

Alternatively, a pop-up calendar is available for most of the NEG eSystem fields that require a date.

Dollar Amounts

All dollar amounts entered into the NEG eSystem must be whole numbers with no decimals, commas, or dollar signs.

INCORRECT	CORRECT
2000.00	2000
1,500	1500
$489	489

Additional Information Icon Alert

When an Additional Information icon appears, it indicates that an explanation must be provided to clarify a particular data entry. Either click on the icon, which will open a narrative box in which you may enter the requested explanation, or go to the **Additional Information** section where all of the required narratives are listed.

When all data has been entered, click SAVE at the bottom of the screen. This will return you to the menu, where you can then click the next section you want to complete.

Preparing a SP NEG Application

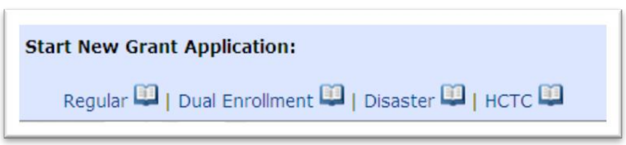
The application documents that are required for a SP NEG include:

- A SF-424
- A SF-424A
- A Project Synopsis
- A Planning Form
- A brief narrative

The NEG eSystem screens that must be completed to create the application are:

- Getting Started
- Project Overview
- Project Plan
- Budget Information
- Additional Information

To begin the SP NEG application, go to the Start New Grant Application section of the **Home page**.



Click on Regular which will take you to the **Getting Started** application screen.

NOTE: Only the state agency responsible for administering WIA title I activities including outlaying areas and entities eligible to receive funding under title 166 of WIA and WIOA section 166 (Native American Programs) are eligible to apply for a SP NEG. Individual Workforce Investment Boards (WIBs) are not eligible to apply directly. States or other eligible entities must partner with local area Workforce Investment Boards (or local Workforce Development Boards as Workforce Investment Boards have begun to transition to WIOA), which may be clustered to align with regional areas, on grant activities, including regional planning efforts, sector strategies, and enhanced dislocated worker services.

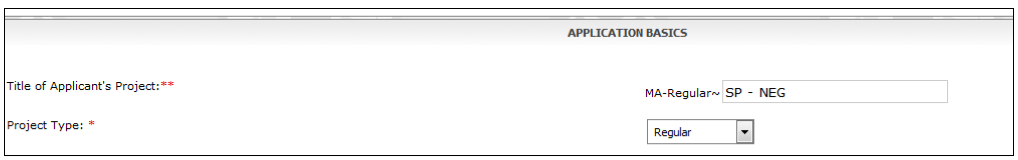
Applications must be received by 11:59 PM EDT, May 29, 2015 to be considered.

Getting Started

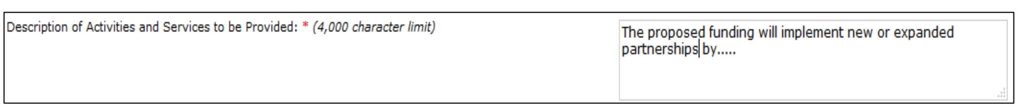
The Application Basics section of **Getting Started** records standard demographic data about the applicant. It is also where the applicant chooses the type of Project and the type of Application that is being created. Entering data into this screen partially creates the SF-424 for the application.

Note that some of the fields in the Applicant Information section have been auto-populated. However, you must also enter data in any field that is marked with either one or two red asterisks. See the asterisks explanation at the bottom of the **Getting Started** screen.

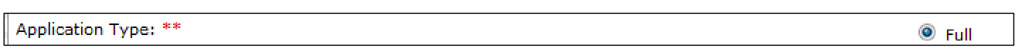
Complete the Title of Applicant's Project field as follows: SP NEG



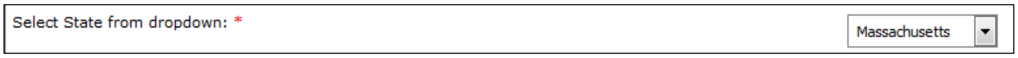
- To complete the Description of Activities and Services to be Provided: Describe how the proposed funding will implement new or expanded local and regional sector partnerships and sector strategies that provide workers opportunities to translate their skills into new sectors by participating in work-based training, or occupational training that results in an industry-recognized credential, and/or other non-training career services that will enable them to obtain employment in industry sectors with demonstrated demand. Do not include the amount requested or the number of planned participants in this Description entry.



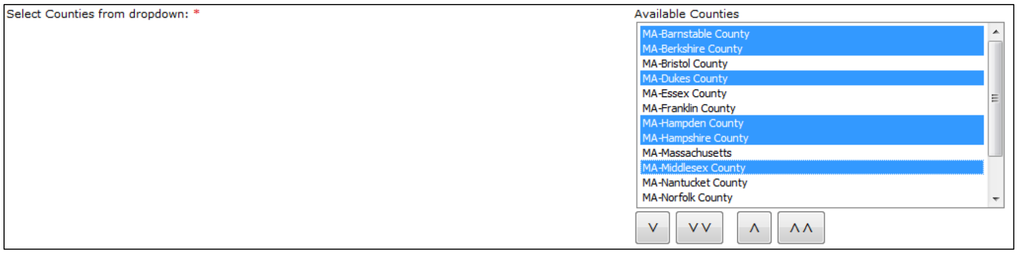
- Select "Full" as the Application Type



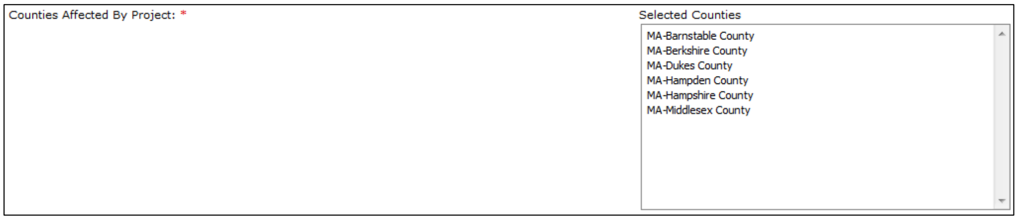
For Counties Affected By Project, click on the dropdown button to select your State.



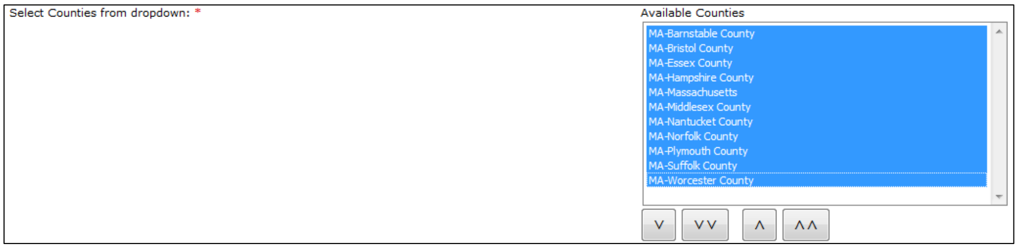
Highlight the Counties that will be included in the project.



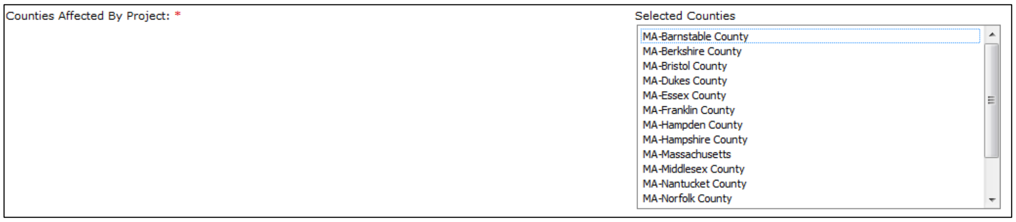
Next click the single arrow button on the far left to populate the Counties Affected By Project.



To accommodate a Statewide project, highlight all of the Available Counties.

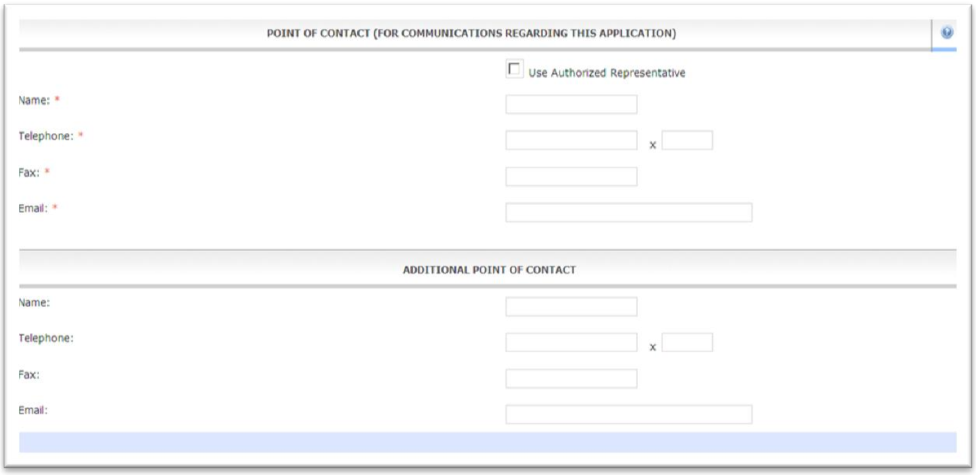


Next click the double down arrow button on the far left to populate the Counties Affected By Project.



To make revisions click on the up arrow buttons on the right.

Additional Applicant Information includes Points of Contact information. The Point of Contact section allows the applicant to enter into the NEG eSystem who, in addition to the Authorized Representative, should receive communications regarding this application.



When all data has been entered, click SAVE at the bottom of the screen. This will return you to the menu, where you can then click the next section you want to complete.

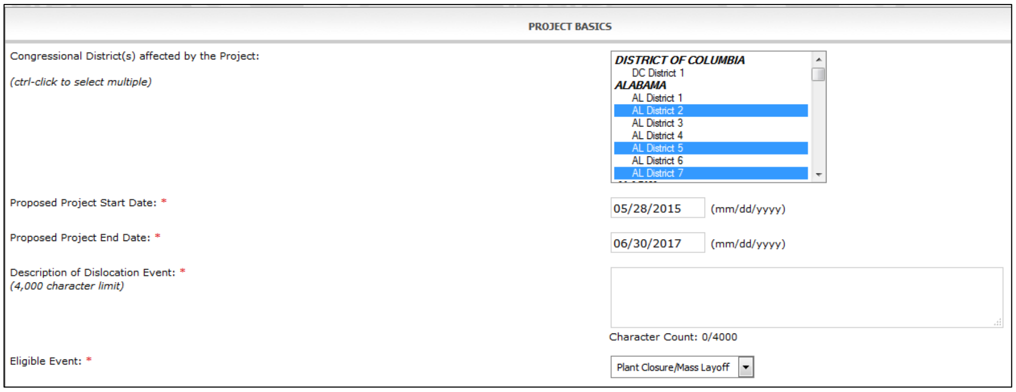
Project Overview

Data entered into this screen provides summary information on the planned project. Entering **Project Overview** data continues the creation of the SF-424 for the application.

To start, click on the Project Overview link in the Menu Box.

Project Basics

- Enter the Congressional District(s) affected by the Project by holding down the Ctrl key, scrolling down the entries and clicking on each applicable district.
- The Proposed Project Start Date and Proposed Project End Date must encompass the period in which the proposed grant will be in effect. Entering these dates drives the number of project quarters that will be included in the Project Plan. The proposed start date must be after 5/27/2015, but no later than 6/30/2015, and the proposed end date must be no later than 6/30/2017.
- Description of Dislocation Event: For purposes of a SP NEG application, enter the following: "Increasing capacity to implement new or expanded local and regional sector partnerships that will serve more dislocated workers and achieve better employment-related outcomes for this group of workers."
- Eligible Event: select "Plant Closure/Mass Layoff" from the dropdown menu for the field.



Funding Estimates

The entry in the Federal field should equal the amount of NEG funding being requested. Applicants should request funding at a level proportionate to its demonstrated need. SP NEG awards will range between $500,000 and $7 million.

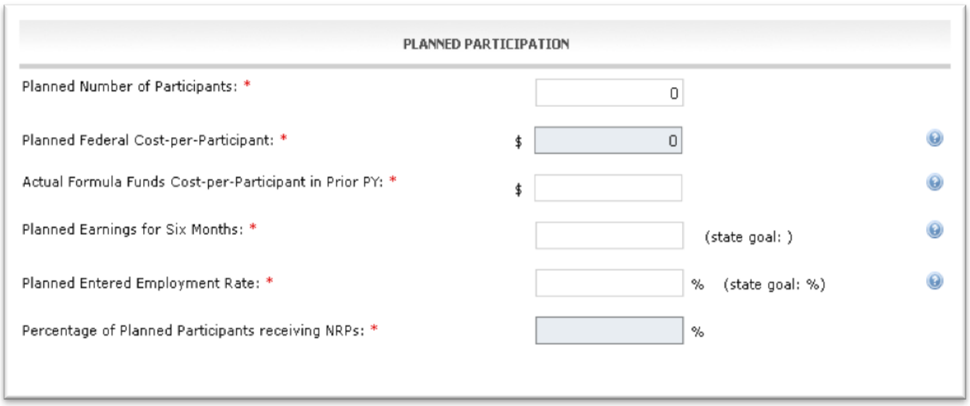
The Total Estimated Funding will calculate automatically.

If the project's work-based learning component contains On-the-Job Training, applicants should factor into their funding request wages for SP NEG placements that are at, or above, the Federal or State minimum wage, whichever is higher, and are based on estimated total wages to be paid based on an estimated average rate of employer reimbursement. Although a participant may receive a higher wage, reimbursement of participant wages will be capped at the state's average wage rate.

FUNDING ESTIMATES		
Federal: *	$	0
Applicant:	$	0
State:	$	0
Local:	$	0
Other:	$	0
Program Income:	$	0
Total Estimated Funding:	$	0

Planned Participation

- Enter the appropriate data in each of the non-shaded fields.
- The Planned Federal Cost per-Participant will auto-populate

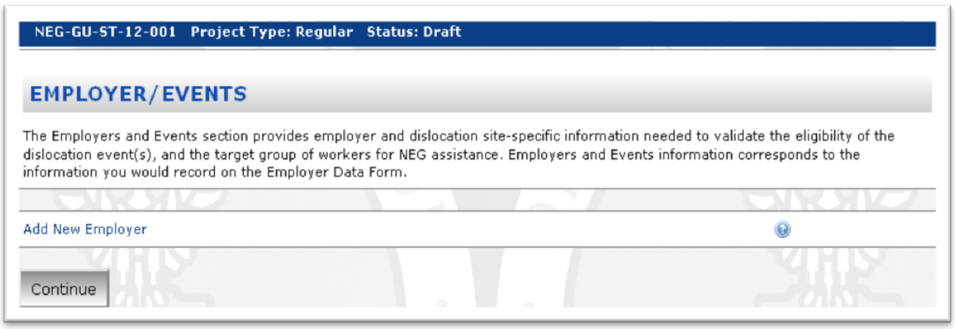


Note: The Planned Number of Participants must be the same number that is entered in the Employers/Event, Project Operator and the Project Plan.

When all data has been entered, click SAVE at the bottom of the screen. This will return you to the menu, where you can then click the next section you want to complete.

Employers/Event

To facilitate the creation of the SP NEG application, one Employer/Event form will be created. Start by clicking on the Employers/Events link in the Menu Box.


NEG-GU-ST-12-001 Project Type: Regular Status: Draft

EMPLOYER/EVENTS

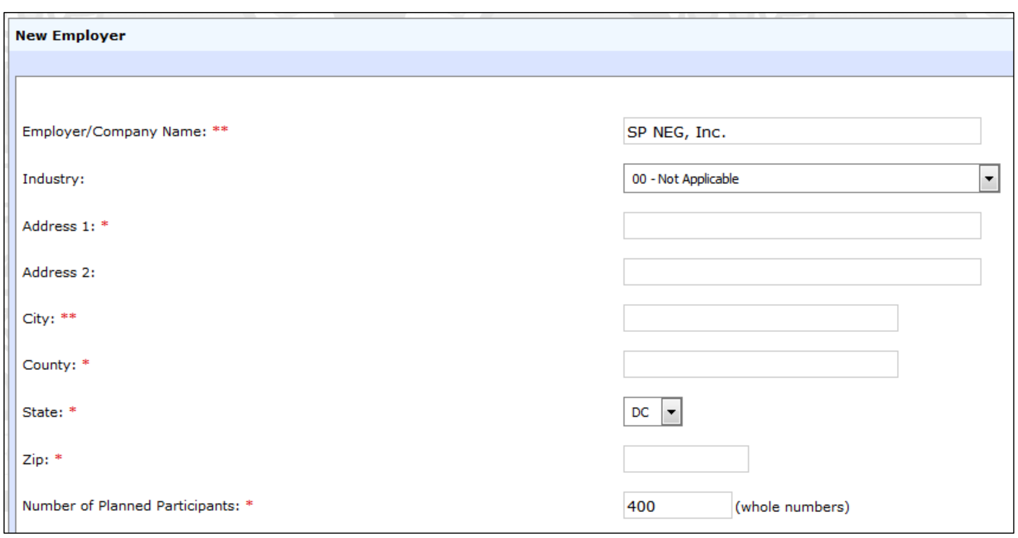
The Employers and Events section provides employer and dislocation site-specific information needed to validate the eligibility of the dislocation event(s), and the target group of workers for NEG assistance. Employers and Events information corresponds to the information you would record on the Employer Data Form.

Add New Employer

Continue

Click on Add New Employer.

In the New Employer section, all fields marked with a red asterisk, either one* or two** must be completed. The <u>Employer/Company Name</u> should be "SP NEG, Inc." and the address information should be the same as the applicant's. The <u>Number of Planned Participants</u> must be the same number that is entered in the Project Overview, Project Operator and the Project Plan.

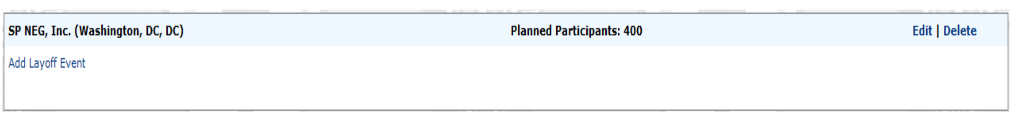

New Employer

Employer/Company Name: **	SP NEG, Inc.
Industry:	00 - Not Applicable
Address 1: *	
Address 2:	
City: **	
County: *	
State: *	DC
Zip: *	
Number of Planned Participants: *	400 (whole numbers)

For Notifications Issued and Date of Notification, click “None”

Below the Date(s) of Rapid Response Actions(s), in the Number of Workers Contacted* field, enter a number that is larger than the number of Planned Participants.

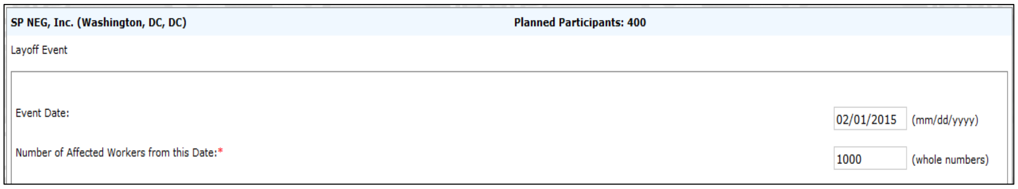
Click SAVE to display the Add Layoff Event screen.



Click on Add Layoff Event

Enter an Event Date that is prior to the Proposed Project Start Date

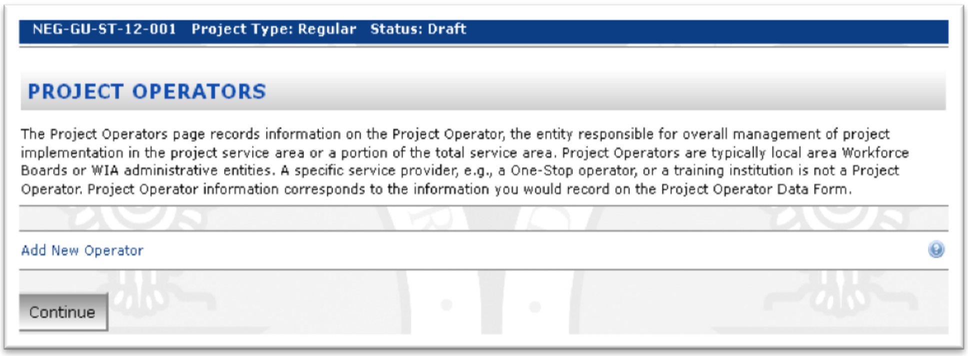
For the Number of Affected Workers from this Date enter a number that is more than twice the number of Planned Participants.



Project Operator

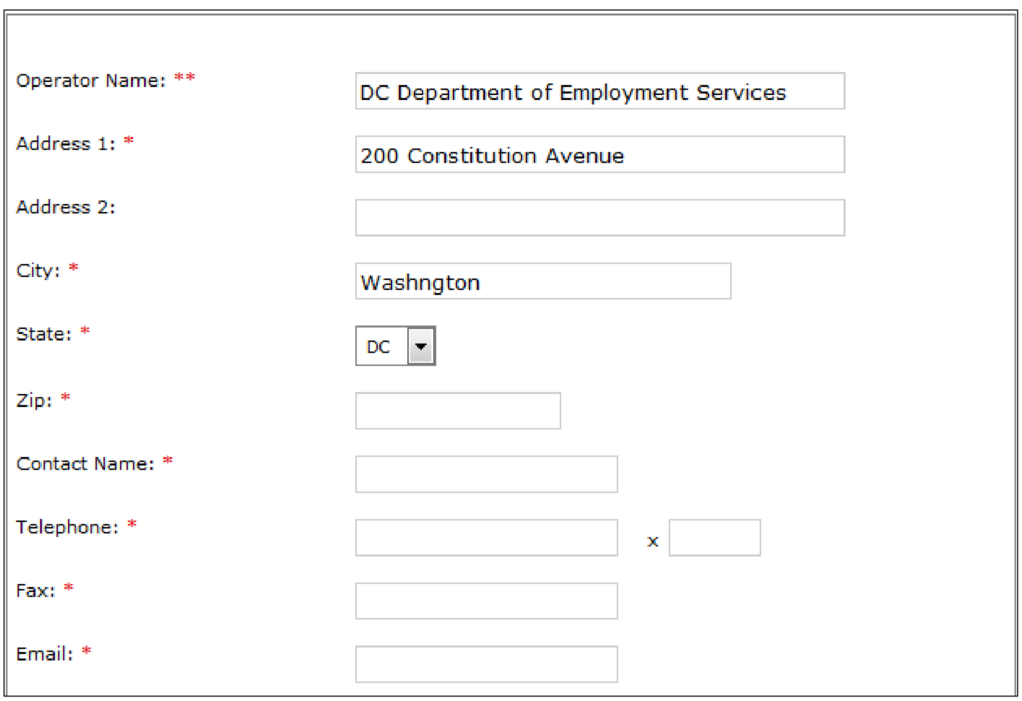
For a SP NEG, the applicant will also be the Project Operator.

To start, click on the Project Operator link in the Menu Box.



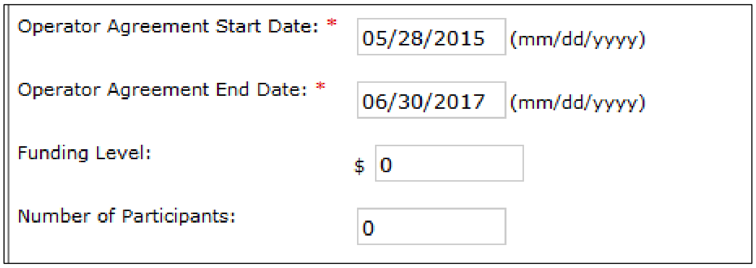
Click on Add Project Operator.

Complete <u>all fields</u> on the screen, again using appropriate information for the applicant's agency.



Specifically note that the:

- Operator Agreement Start Date** and Operator Agreement End Date** must be the same as the Proposed Project Start and End Dates entered in the Project Overview.
- Funding Level must be the same as the Total Expenditures: Project Operator Level on the Project Plan.
- Number of Participants must be the same number that is entered in the Project Overview, Employers/Event and the Project Plan.



- Counties covered by the Project Service Area must be the same as the entry for Counties Affected by Project in Getting Started.

When all data has been entered, click SAVE at the bottom of the screen. This will return you to the menu, where you can then click the next section you want to complete.

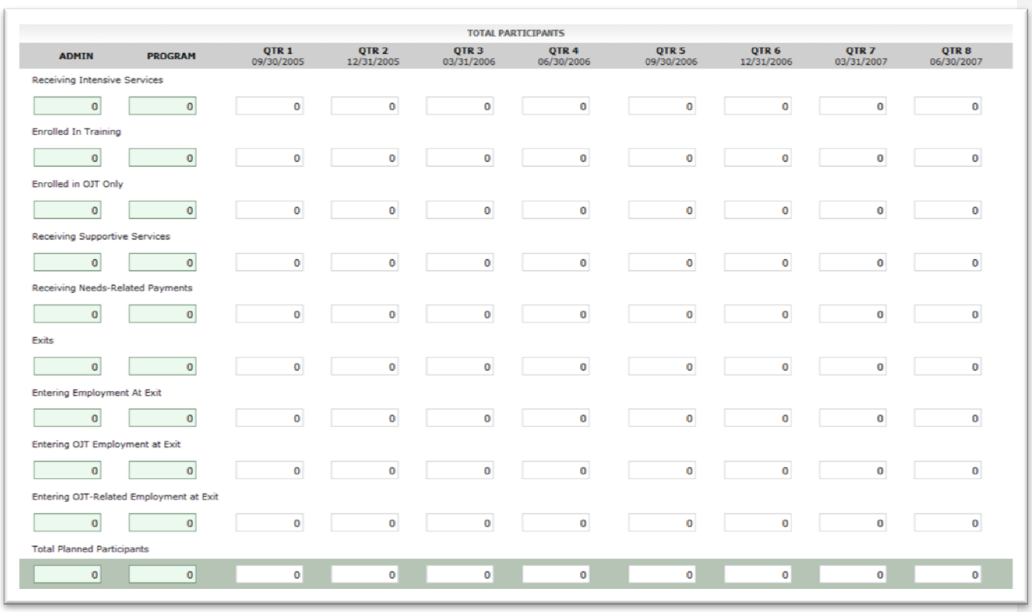
Project Plan

The Project Plan is the implementation schedule for the grant, providing a projection of participants and expenditures. The length of the project was determined by the planned start and end dates which were entered in the **Project Overview** screen.

To start, click on the Project Plan link in the Menu Box.

The Project Plan is divided into two major sections – **Planned Participants** and **Planned Expenditures**. Planned Expenditures is further divided into three subsections: **Grantee Level Expenditures**, **Project Operator Level Expenditures**, and **Total Expenditures**, which will automatically calculate from **Grantee Level and Project Operator Level Expenditures**.
All entries on this screen are **cumulative**. For each item, the entry in each subsequent quarter must be equal to, or greater than, the entry in the preceding quarter.

Planned Participants



					TOTAL PARTICIPANTS					
	ADMIN	PROGRAM	QTR 1 09/30/2005	QTR 2 12/31/2005	QTR 3 03/31/2006	QTR 4 06/30/2006	QTR 5 09/30/2006	QTR 6 12/31/2006	QTR 7 03/31/2007	QTR 8 06/30/2007
Receiving Intensive Services	0	0	0	0	0	0	0	0	0	0
Enrolled In Training	0	0	0	0	0	0	0	0	0	0
Enrolled in OJT Only	0	0	0	0	0	0	0	0	0	0
Receiving Supportive Services	0	0	0	0	0	0	0	0	0	0
Receiving Needs-Related Payments	0	0	0	0	0	0	0	0	0	0
Exits	0	0	0	0	0	0	0	0	0	0
Entering Employment At Exit	0	0	0	0	0	0	0	0	0	0
Entering OJT Employment at Exit	0	0	0	0	0	0	0	0	0	0
Entering OJT-Related Employment at Exit	0	0	0	0	0	0	0	0	0	0
Total Planned Participants	0	0	0	0	0	0	0	0	0	0

Total Planned Participants in the last quarter must be the same number that is entered in the Project Overview, Employers/Event and Project Operator.

The definitions of the entries for this section are as follows:

Receiving Enhanced Career Services: The cumulative number of grant participants who will receive enhanced career services funded by this NEG.

Comment [AR1]: Receiving Career Services? Intensive goes away under WIOA, we have proposed to label these services "Individualized Career Services", but it is still in the comment period.

Enrolled in Training (NEG-Funded Only): The cumulative number of grant participants who will receive training funded by this NEG. Training services may include Work-based learning.

- If an On-the-Job (OJT) component will be part of the minimum of 30 percent of the request that must be spent on work-based learning , **in addition** to completing the Enrolled in Training, Exits, and Entering Employment at Exit lines, each of the following OJT-specific lines must be also completed:
  - Enrolled in OJT ~~Only~~ (Only does not apply.)
  - Entering OJT Employment at Exit
  - Entering OJT-Related Employment at Exit

Comment [AR2]: Strikethrough?

NOTE: All Project Plan OJT-specific lines are inactive subsets. Data entered into the OJT-specific lines does not add into the total training figures.

Enrolled in OJT ~~Only~~: The cumulative number of grant participants who will receive OJT as a training service.

Comment [AR3]: I noticed a strikethrough here, didn't know if it was intended.

Receiving Supportive Services (NEG-Funded Only): The cumulative number of grant participants who will receive supportive services funded by this NEG.

Receiving Needs-Related Payments: The cumulative number of grant participants who will receive needs-related payments funded by this NEG, if any.

Exits: The cumulative number of grant participants who have not received a service funded by the SP NEG or a partner program for 90 consecutive calendar days and are not scheduled for future services. The date of exit is applied retroactively to the last day on which an individual received a service funded by the grant or a partner program. **However, all participants must be shown as exiting the project in the last quarter of the Project Plan.**

Entering Employment at Exit: The cumulative number of grant participants who are employed anytime once a participant begins receiving services from the SP NEG through completion of the NEG period of performance. Participants should be reported in the Entering Employment at Exit count for the report quarter in which they are also reported as exited and in any quarter thereafter. Participants can only be counted once in this field. Employment is defined as working any number of hours and making a wage greater than $0. OJT does not count as employment, for purposes of this definition.

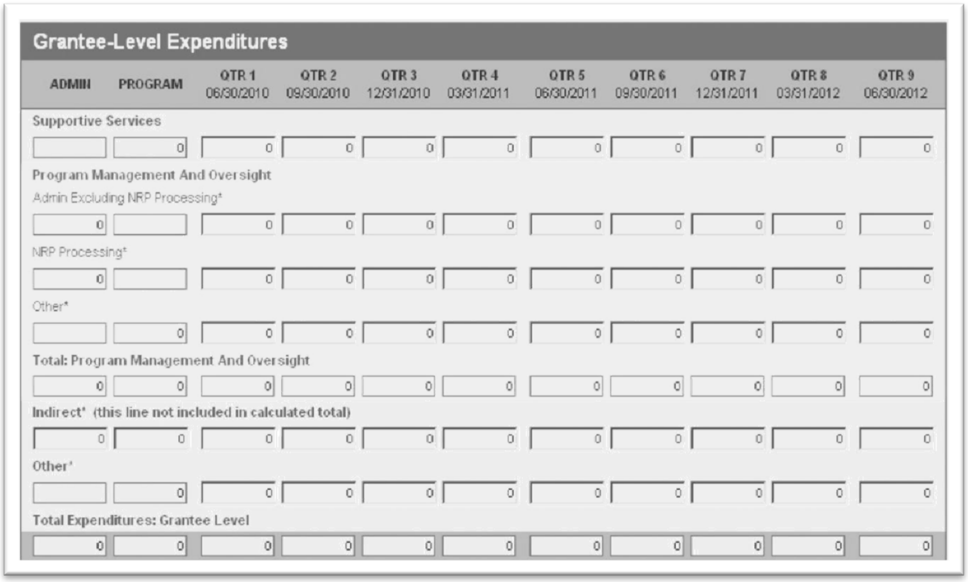
Entering OJT Employment at Exit: The planned cumulative number of grant participants who are expected to obtain unsubsidized employment, following an OJT placement, with the employer providing the OJT.

Entering OJT-Related Employment at Exit: The planned cumulative number of grant participants who are expected to obtain unsubsidized employment following an OJT placement, within an industry or occupation in which the individual uses a substantial portion of the skills acquired in the OJT; but who are not hired by the employer providing the OJT.

Total Planned Participants: The cumulative number of participants who are planned to receive services funded by this NEG. This number will not necessarily equal the sum of the number receiving each service (since the same individual may receive more than one service), but any individual who is included in the count for a specific service should be included in this number.

Grantee Level Expenditures
This section includes expenditures that will be incurred by the grantee directly. It does not include expenditures that will be incurred by project operators through subcontracts, or planned expenditures incurred by the grantee when the grantee acts as the project operator. Therefore, this section focuses on expenditures that relate to Program Management and Oversight activities.

Grantee-Level Expenditures



Grantee-Level Expenditures

	ADMIN	PROGRAM	QTR 1 06/30/2010	QTR 2 09/30/2010	QTR 3 12/31/2010	QTR 4 03/31/2011	QTR 5 06/30/2011	QTR 6 09/30/2011	QTR 7 12/31/2011	QTR 8 03/31/2012	QTR 9 06/30/2012
Supportive Services		0	0	0	0	0	0	0	0	0	0
Program Management And Oversight											
Admin Excluding NRP Processing*	0		0	0	0	0	0	0	0	0	0
NRP Processing*	0		0	0	0	0	0	0	0	0	0
Other*		0	0	0	0	0	0	0	0	0	0
Total: Program Management And Oversight	0	0	0	0	0	0	0	0	0	0	0
Indirect* (this line not included in calculated total)	0	0	0	0	0	0	0	0	0	0	0
Other*		0	0	0	0	0	0	0	0	0	0
Total Expenditures: Grantee Level	0	0	0	0	0	0	0	0	0	0	0

NOTE: As a reminder, the period of performance and associated expenditures for this SP NEG must end by 6/30/2017. In order to use SP NEG funds to cover associated costs of training, all OJT contracts with participating employers must end by 6/30/2017.

The definitions of the entries for this section are:

<u>Supportive Services</u>: The planned expenditures for supportive services **at the grantee level**. Entries in this line are relatively uncommon, as supportive services are usually administered at the project operator level.

Admin, Excluding NRP Processing*: The planned expenditures for allowable administrative activities (e.g., record keeping and reporting, financial management, procurement, audit and general grant management). Administrative costs must be reasonable and necessary costs (direct and indirect), which are not related to direct provision of services to participants, but relate to overall general administrative functions. This entry is limited to the use of funds expended at the grantee level.

NOTE: Administrative Costs - Up to 10 percent of the award may be used to cover administrative costs associated with operating the SP NEG at the state and project operator levels. The combined total administrative costs at the Grantee and Project Operator Level must not exceed 10 percent.

NRP Processing: The planned expenditures for needs-related payments processing **at the grantee level**.

Other*: Reasonable and necessary program costs that are not allocable to any other grantee level line item. These amounts are limited to the use of funds that will be expended at the grantee level, and does not include NEG funds that will be expended at the project operator level. **This may include grantee level costs associated with partnership development, employment tools, and the other allowable costs mentioned in the SP NEG TEGL that are not allocable to any of the other line items.**

Comment [AR4]: We have a line item for Regional Planning (up to 25% but not more than $500,000) should that be its own line item in here?

Total: Program Management and Oversight: This entry will auto-calculate based on entries for "Admin, excluding NRP Processing" and "Other".

Indirect*: The planned expenditures that have been calculated using a federally approved indirect cost rate or cost allocation plan. These costs will also be reflected in one or more of the preceding line items; this entry will not be included in the calculation of Total Expenditures: Grantee Level.

Other*: For purposes of SP NEGs, this line item is not an allowable cost category. Therefore, this line item must remain "0".

Total Expenditures: Grantee Level: Will auto-calculate based on entries for Total Program Management and Oversight. “Indirect” and the “Other” field below “Indirect” will not auto-calculate into this field.

Project Operator Level Expenditures

This section should include the planned expenditures for direct participant services that will be incurred by the project operator(s) and that are not included in the **Grantee-Level Expenditures** section.

TOTAL EXPENDITURES: PROJECT OPERATOR LEVEL

	ADMIN	PROGRAM	QTR 1	QTR 2	QTR 3	QTR 4	QTR 5	QTR 6	QTR 7	QTR 8
Core And Intensive Services	0									
Training	0									
OJT Training Employer Reimbursement (This line does not add into calculated total) (this line not included in calculated total)										
Supportive Services	0									
NRPs*	0									
Program Management & Oversight										
Admin Excluding NRP Processing*		0								
NRP Processing*		0								
Other*	0									
Total: Program Management And Oversight										
Other*	0									
Total Expenditures: Project Operator Level										

The definitions of the entries for this section are:

Career Services: The planned expenditure of SP NEG funds to provide career services to grant participants. This entry is limited to the use of funds expended at the project operator level. **At least 20 percent of the total request (the minimum amount for enhanced dislocated worker services under SP NEGs) must be entered on this line.**

Comment [AR5]: Should we change this to Career Services to reflect WIOA and the grant application?

Training: The planned expenditure of SP NEG funds for training of grant participants. **At least 30 percent of the total request (the minimum amount for work-based learning under SP NEGs) must be entered on this line; however, not more than 10 percent of the total grant funds may be used for incumbent worker training (IWT) or transitional jobs depending on the amount of other activities listed in the SP NEG TEGL that the grantee decides to undertake under its SP NEG.** This entry is limited to the use of funds expended at the project operator level.

OJT Training Employer Reimbursement: The planned amount to be paid to employers to cover the costs of OJT. This line item is intended to be a subset of "Training" expenditures.

Supportive Services: The planned expenditure of SP NEG funds to provide supportive services to grant participants. This entry is limited to the use of funds expended at the project operator level.

Needs-Related Payments: The planned expenditure of SP NEG funds to provide needs-related payments to grant participants. This entry is limited to the use of funds expended at the project operator level.

Other*: Reasonable and necessary program costs that are not allocable to any other project operator level program line items. These amounts are limited to the use of funds that will be expended at the project operator level, and does not include SP NEG funds that will be expended at the grantee level. **This may include project operator level costs associated with partnership development, employment tools, and the other allowable costs mentioned in the SP NEG TEGL that are not allocable to any of the other line items.**

Admin, Excluding NRP Processing*: The planned expenditures for allowable administrative activities (e.g., record keeping and reporting, financial management, procurement, audit and general grant management) as defined in 20 CFR 667.220.

Administrative costs must be reasonable and necessary costs (direct and indirect), which are not related to direct provision of services to participants, but relate to overall general administrative functions. This entry is limited to the use of funds expended at the project operator level.

NOTE: Administrative Costs - Up to 10 percent of the award may be used to cover administrative costs associated with operating the SP NEG at the state and project operator levels. The combined total administrative costs at the Grantee and Project Operator Level must not exceed 10 percent.

NRP Processing: The planned expenditures for needs-related payments processing at the project operator level, if any.

Other*: For purposes of SP NEGs, this line item is not an allowable cost category. Therefore, this line item must remain "0".

Total: Program Management and Oversight: This entry will auto-calculate based on entries for "Admin, Excluding NRP Processing."

Total Expenditures: Project Operator Level: Will auto-calculate from the above entries.

Administrative Program Requirements: All grantees will be subject to all applicable Federal laws, regulations—including the OMB Uniform Guidance, and the terms and conditions of the award.

When all data has been entered, click SAVE at the bottom of the screen. This will return you to the menu, where you can then click the next section you want to complete.

Budget Information

The Budget Information section displays the expected Administration and Program costs for the project. Entering data into this screen creates the SF-424A. As data is entered, a narrative icon will appear, prompting applicants to provide an explanation for each cost category. Completing the narratives creates the SF-424 Budget Narrative.

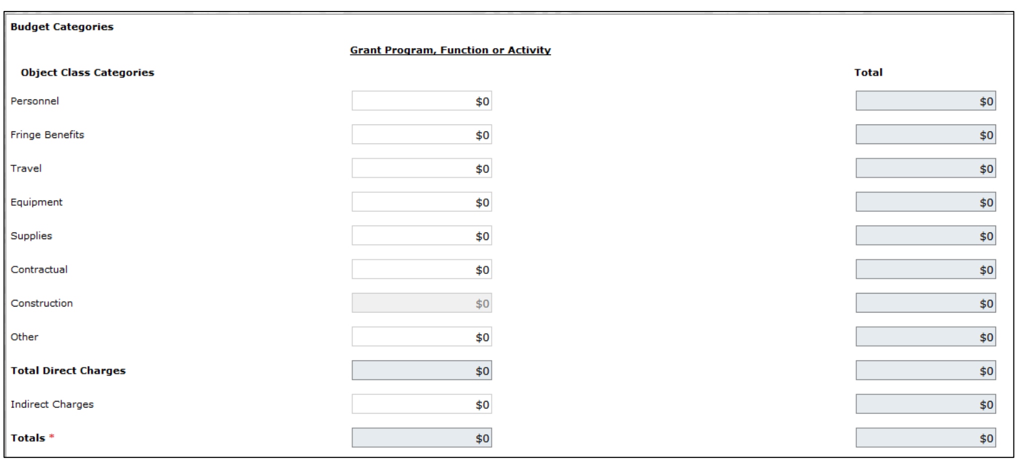
The Budget Information section is made up of four components:

- Budget Categories
- Budget Narrative
- Additional Budget Information
- Indirect Charges

To start, click on the Budget Information link in the Menu Box.

Budget Categories

This section displays the data entry fields for “Object Class Categories” costs. The project costs (the total of Admin and Program) should be entered in the column on the left.



Budget Categories

Object Class Categories	Grant Program, Function or Activity	Total
Personnel	$0	$0
Fringe Benefits	$0	$0
Travel	$0	$0
Equipment	$0	$0
Supplies	$0	$0
Contractual	$0	$0
Construction	$0	$0
Other	$0	$0
Total Direct Charges	$0	$0
Indirect Charges	$0	$0
Totals *	$0	$0

Budget Narrative

All **Budget Information** must be accompanied by an appropriate **Budget Narrative** that provides sufficient detail to allow reviewers to make judgments on cost reasonableness. The Budget Narrative should include explanatory detail on such items as Personnel, Fringe Benefits, Travel, Equipment, Supplies, Contractual, Other and Indirect Costs:

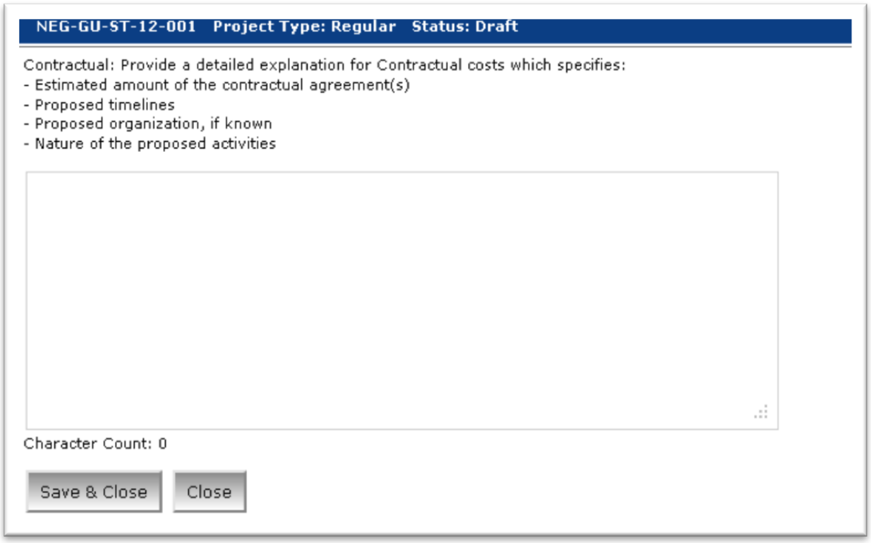
- "Contractual" costs must provide narrative detail which lists:
    - Estimated amount of the contractual agreement(s)
    - Proposed timelines
    - Proposed organization, if know, and,
    - Nature of the proposed activities

When an amount is entered into the field for an Object Class, an Additional Information icon/ will appear to the right of the category.

Budget Categories

Object Class Categories	Grant Program, Function or Activity	Total
Personnel	$20,000	$20,000
Fringe Benefits	$20,000	$20,000
Travel	$20,000	$20,000
Equipment	$15,000	$15,000
Supplies	$25,000	$25,000
Contractual	$110,000	$110,000
Construction	$0	$0
Other	$750,000	$750,000
Total Direct Charges	$960,000	$960,000
Indirect Charges	$0	$0
Totals *	$960,000	$960,000

Click on the icon to open the **Narrative Explanation Entry** box for that cost category. The label at the top of the explanation box specifies the **Budget Narrative** information to be entered. When all of the Narrative boxes have been completed, the Budget Narrative has been created.



The **Narrative Explanation Entry** boxes are also accessible on the Additional Information screen.

Additional Budget Information

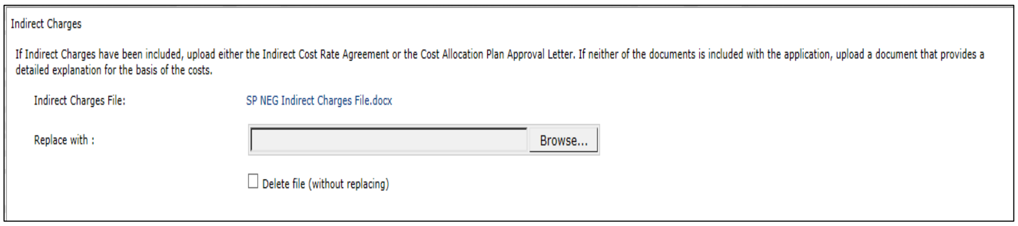
If an application includes Incumbent Worker training as part of its service strategy, the required employer matching costs must be included in the Additional Budget Information box.

This section may also be used to further clarify budget entries/provide additional budget-related information the applicant wishes to give to the reviewers.

Indirect Charges

“Indirect” charges must be based on the State’s federally approved Indirect Cost Rate or Cost Allocation Plan approved by the cognizant Federal agency.

A copy of the approval document must be uploaded if the applicant has entered Indirect Costs within the Project Plan and Budget Information sections.



When all data has been entered, click SAVE at the bottom of the screen. This will return you to the menu, where you can then click the next section you want to complete.

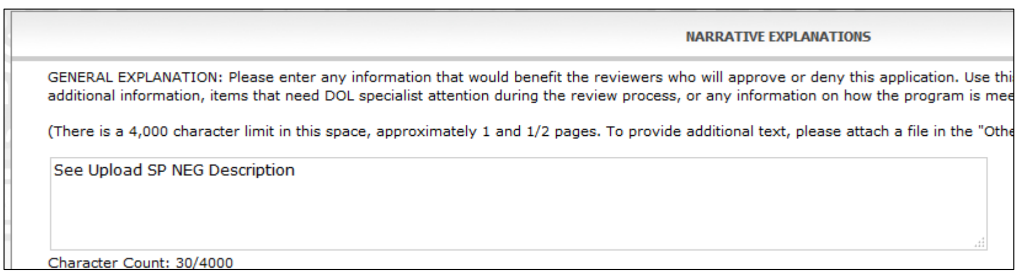
Additional Information

The Additional Information section contains two parts, **Narrative Explanations** and **Uploaded Files**.

To start, click on the Additional Information link in the Menu Box.

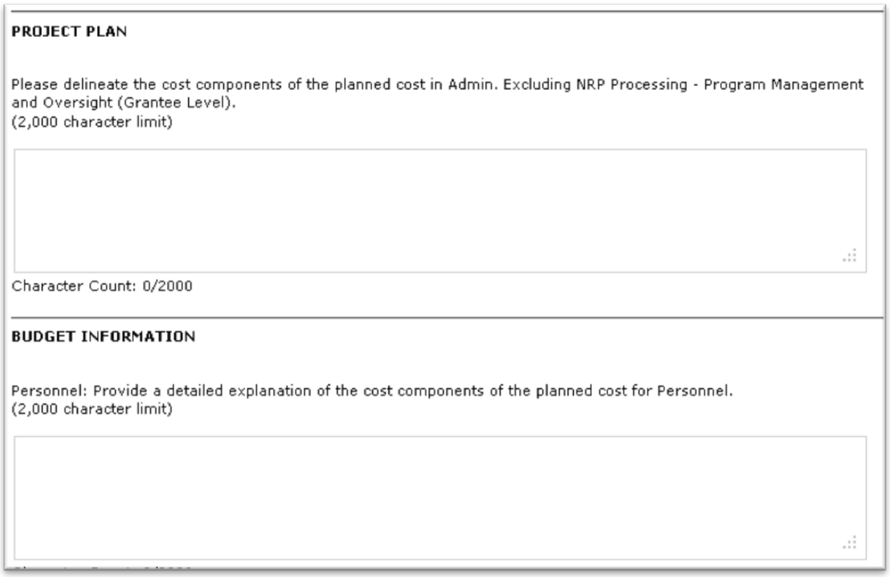
The **Narrative Explanations** part of this section contains a GENERAL EXPLANATION narrative box and smaller narrative response boxes which are defined below.

For purposes of the SP NEG, the applicant should enter the following into the GENERAL EXPLANATION narrative box: "See uploaded SP NEG Description."



The smaller narrative response boxes were created when an Additional Information icon/ appeared on one of the previous data entry screens, indicating that clarification of a particular data entry item was required.

Displayed above each narrative box is the title of the component (i.e., Project Plan) and the statement that specifies what additional information is required. The applicant should review these entries to ensure that they are accurate and/or provide the needed narratives, if they were not completed on previous screens.



PROJECT PLAN

Please delineate the cost components of the planned cost in Admin. Excluding NRP Processing - Program Management and Oversight (Grantee Level).
(2,000 character limit)

Character Count: 0/2000

BUDGET INFORMATION

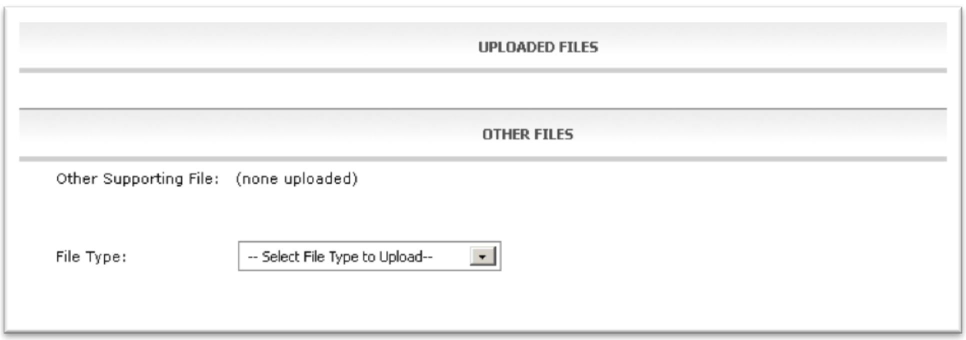
Personnel: Provide a detailed explanation of the cost components of the planned cost for Personnel.
(2,000 character limit)

Finalizing and Submitting the Application

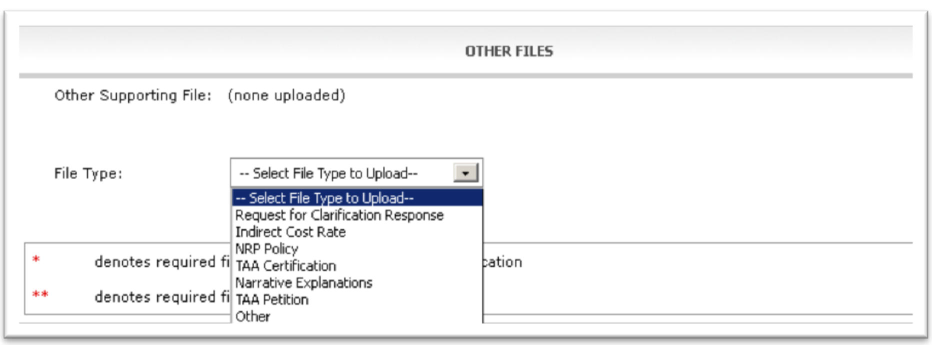
Uploaded Files

The **Uploaded Files** section facilitates attaching additional information documentation that is needed for the SP NEG application.

To begin, click on the Additional Information link in the Menu Box and scroll down to the Uploaded Files section.



Click on the drop down button for --Select File Type to Upload--.



For a SP NEG application, only two files should be uploaded; an Other type for the SP NEG Narrative document, and an Indirect Cost Rate approval document, if applicable (which was uploaded in the Budget Information section).

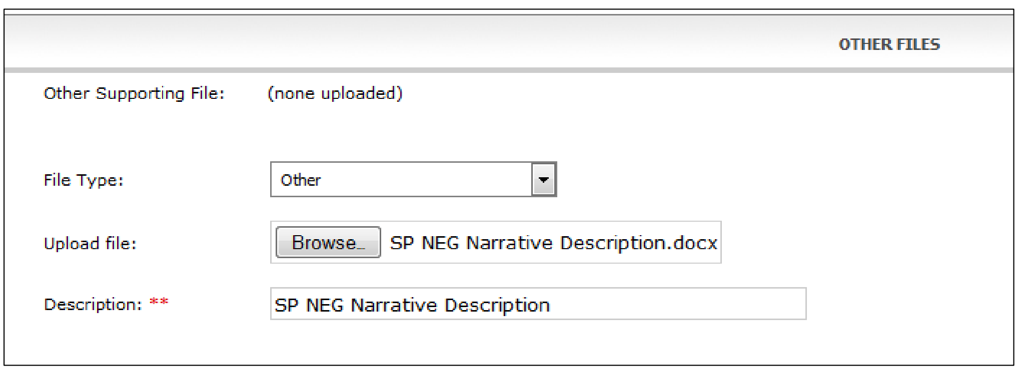
NOTE: File uploads are limited to only PDF files, Microsoft Word documents, and Microsoft Excel spreadsheets.

Click “Browse” to locate the document you want to upload from your computer.

Enter a description of the document in the Description field, i.e. SP NEG Narrative Description

Click the SAVE button at the bottom of the screen, which will return you to the Menu Box.

Click on the Additional Information screen link. The title of the uploaded document will be displayed in the Other Supporting File: location.



SP NEG Narrative Description

As part of the SP NEG application, applicants must attach a narrative that addresses the following points contained in Section 5 of the SP NEG TEGL:

Partnerships

Applicants must address partnerships the applicant has, or will create, with local area Workforce Investment Boards or Workforce Development Boards to conduct the planned grant activities, including the regional planning efforts and sector strategies, and the delivery of enhanced dislocated worker services. Applicants also must identify current or targeted multiple (at least three) employer partners that represent a significant percentage of the jobs in the sector of focus which will be engaged in proposed sector strategies, regional planning, and/or work-based learning activities.

In-Demand-Occupations

Proposed strategies should be developed around activities that ultimately result in employment in in-demand occupations that have been identified using available labor market information. Applicants must identify these targeted occupations or industries.

Regional Planning and Strategies - (Up to 25 percent of total funds, but not more than $500,000)

One of the Employment and Training Administration's (ETA) priorities is to increase the number of states and regions that actively participate in regional planning and regional, industry-focused approaches to workforce and economic development that are commonly referred to as sector strategies. Regional planning and strategies support dislocated workers by assessing the regional economic landscape to identify new or growing employment opportunities in the region. They also help ensure partnerships and regional assets from the workforce investment system, industry, community colleges, labor unions, nonprofits and other stakeholders are aligned and integrated under strategies that can be used to respond to economic shocks, such as plant closings, natural disasters, and long-term unemployment within the regional workforce.

Sector Strategies represent a strategic and demand-driven way for workforce organizations to conduct business, moving from a “program administration” focus to a more proactive role building regional talent pipelines, addressing skill shortages, and creating meaningful career pathways for a range of workers in important regional industries. A demand-driven full-scale sector strategy means putting the business community in the middle, and thinking more broadly about what a workforce organization or intermediary can do to help businesses thrive and grow beyond simply placing workers in jobs and arranging training; resulting in the provision of new employment opportunities for dislocated workers.

Dislocated workers generally have a successful work history and have lost their employment through no fault of their own. These dislocations are caused by economic disruptions, industry decline, or a change of the type of workforce the business needs. Dislocated workers are unlikely to find work in their previous occupation or industry and could benefit greatly by receiving services that are strategically aligned with sector strategies and industry partnerships. States that have robust sector strategies in place are able to align resources to address the skills and other requisite needs of in-demand industries.

Recognizing WIOA’s emphasis on regional planning and sector strategies and the benefits these activities can provide in better serving job seekers, including dislocated workers, a portion of the SP NEG must be used to fund activities that support regional planning and sector strategies. These activities may support the development of new strategies or updates and expansion of preexisting plans and strategies.

Allowable uses of funds include but are not limited to:

- Partnership and program development with stakeholders, employers, apprenticeship programs, etc.
  - Including convening among regional partners, employers, or other stakeholders;
- Acquisition, analysis and utilization of workforce information to identify regional trends, including but not limited to labor market information and other state or private data;
- Asset mapping and other analysis, such as Strength, Weaknesses, Opportunities, and Threats (SWOT) analysis;
- Developing regional plans;
- Training for staff in State and local areas necessary to facilitate regional planning and implement regional strategies;
- Establishing social and/or peer learning networks among regions using sector strategies.
- Identifying and mapping the necessary skills and competencies for in-demand jobs
  o Assessing how well those skills and competencies are reflected in existing training programs and curricula
  o Identifying aligned industry credentials for those skills and competencies needed

Employers, regional industry representatives, and national industry representatives if applicable, should be actively engaged in designing and implementing the sector strategy in five key areas: (1) serving on the project's leadership team; (2) helping implement program strategies and goals; (3) identifying and mapping the necessary skills and competencies for the program(s); (4) assisting with curriculum development and designing the program; and (5) where appropriate, assisting with the design of an assessment or credential that will address industry skill needs.

The planning component of the grant will take place simultaneously with training and other service delivery activities. Up to 25 percent, but not more than $500,000 of the total funds may be used for regional planning activities. The applicant must describe how the funds will be used for planning and provide ETA with copies of any regional plans or other related grant products as a result of these funds upon completion of the grant.

Program Services

ETA is interested in funding programs that can effectively recruit and serve a range of dislocated workers, and are built around a comprehensive, up-front assessment of participant skills relative to those required for employment and provide customized interventions across three tracks: 1) re-employment services such as comprehensive skills assessments, intensive coaching, relocation assistance, and other short-term, specialized services culminating in direct job placement; 2) short-term training and work-based learning opportunities such as OJT leading to employment; and 3) accelerated skills training, with a focus on work-based training, that leads to industry-recognized credentials and employment such as registered apprenticeship. ETA is particularly interested in programs that coordinate closely with Unemployment Insurance (UI) programs to ensure UI claimants, individuals who have exhausted UI benefits, and other dislocated workers encountering long-term unemployment are provided intensive, staff assisted counseling, reemployment services and assessments to help them navigate entry into new careers. SP NEG Program Services are categorized into two categories:

1. Enhanced Career Services to Dislocated Workers and
2. Training and Work-Based Training Models

Enhanced Career Services to Dislocated Workers– (At least 20 percent of total funds)

The enhanced dislocated worker services/career services provide the workforce system the opportunity to build on a customer-focused approach to service delivery. This opportunity is designed to provide dislocated workers with the range of services, training, and job placement assistance they need to fill middle and high-skill jobs in identified high demand sectors. Many of these workers may require re-employment services such as career coaching and assistance in adapting their skills and experience to new industries, while others at lower skill levels may benefit from short-term and even longer-term training to obtain jobs that can match their previous earnings. These workers may require targeted and customized employment assistance and counseling, training, and other specialized service interventions to succeed in the labor market as rapidly as possible.

These SP NEGs will be administered consistent with WIOA, which allows greater flexibilities in providing services to dislocated workers through career services. Applicants must describe the types of career services, consistent with WIOA and applicable state and local policies, to be undertaken in their proposal which include:

- Short-term prevocational services, including –
    - Development of learning skills
    - Communication skills
    - Interviewing skills
    - Punctuality
    - Personal maintenance skills
    - Professional conduct skills

- Internships or work experiences that are linked to careers
- Out-of-area job search assistance and relocation assistance, including the development and planning of policies for the provision of these services

- English-language acquisition programs in coordination with other activities, as appropriate for individuals to obtain unsubsidized employment
- Comprehensive and specialized assessments of the skill levels and service needs of adults and dislocated workers, which may include –
    - Diagnostic testing and use of other assessment tools; and
    - In-depth interviewing and evaluation to identify employment barriers and development of individual employment plans
- Career planning, job coaching and job matching services
- Identification of appropriate training programs
- Job development and placement
- Provision of referrals to, and coordination with, other programs and services.

ETA is interested in applications that make available these new career services allowed under WIOA, particularly focusing on more intensive services that have been reduced in recent years. Applicants are encouraged to develop policies in the provision of these services that also can be used to inform and support the implementation of WIOA policies in serving dislocated workers. Investments in technology enabled tools to support better skills assessments and job matching is allowed under the SP NEG.

Training and Work-Based Training Models - (At least 30 percent of total funds)

Similar to the Dislocated Worker Training (DWT) and Job-Driven (JD) NEGs, a key component of the SP NEGs will be training with an emphasis on work-based learning models, which research has shown to be effective in helping jobseekers to quickly reenter the workforce, learn the desired skills in the workplace, and obtain or retain employment utilizing the newly acquired skills and competencies. Applicants must discuss and provide a rationale for the types of work-based learning to be undertaken under the SP NEGs. Allowable training and work-based strategies under the SP NEGs are consistent with the expanded strategies authorized by WIOA and include:

- Increasing the use of On-the-Job Training, consistent with WIOA
- Development and provision of transitional job opportunities and policies
- Development and provision of Incumbent Worker Training (IWT) opportunities and policies that provide underemployed dislocated workers with opportunities for advancement and wage gains within their company or used to avert layoffs. IWT must include matching resources from the employer which may include the wages of the participant paid by the employer while in the training. The employer match may be provided in cash or in-kind.
- Pre-apprenticeship training for dislocated workers with linkages to Registered Apprenticeships
- Referrals and support in placing participants into Registered Apprenticeship programs, including development of policies for use of individual training accounts (ITAs) and supportive services to support participation in these programs
- Development of customized/cohort-based training to meet the needs of employers
- Development and provision of work support activities for workers with barriers to employment while in training, including low-wage workers and workers with disabilities, such as supportive services, activities during non-traditional hours, assistive technology, benefits planning, and the inclusion of onsite child care while participating in these activities
- Update curricula and train faculty in existing programs to be better aligned with employer needs
- Invest in transitioning to competency-based training strategies that result in stackable and/or latticed credentials that are industry recognized

A minimum of 30 percent of the total funds must be used for one or more of the training and work-based training models identified in the application narrative. Selected work-based training models must comply with the following requirements:

- OJT opportunities and customized training must be provided under a contract with an employer in the private-nonprofit or for-profit sector

  - Credential attainment is not required to be a part of OJT, and OJT will continue to be exempt from the Department's credential measure. However, grant recipients are strongly encouraged to prioritize OJT opportunities to include a formal training component that leads to a credential
  - The parameters associated with OJT in ETA's current OJT NEG guidance, TEGLs 4-10 and 16-12, apply to any OJT opportunities offered under the SP NEGs, notwithstanding the definition of prolonged unemployed contained in these guidance documents and the OJT reimbursement rate allowed in TEGL 4-10
  - Consistent with WIOA, the application should identify the wage cap for OJT. Generally it is 50 percent, however, the Governor or local board may increase it to 75 percent based on certain factors. If seeking an increase in the wage cap to 75 percent, the application should identify the factors it is using to make the determination, they may include:
    - Participant characteristics
    - Size of the employer or employers
    - Quality of the employer-provided training, as well as any advancement opportunities for participants
    - Other factors identified in the application

- Although the purpose of the SP NEGs is to provide support for dislocated workers who are currently unemployed, a portion of available funding may be used for incumbent worker training (IWT) strategies for underemployed workers—i.e., workers who would prefer full-time work but are working part-time for economic reasons. While these workers are employed, they have experienced a reduction in hours or a previous dislocation that has led them to accept reduced employment and often lower wages that may have a permanent effect on their careers. IWT strategies, if proposed by the applicant, must be described in the application narrative. These strategies must focus on increasing skills for underemployed frontline workers in an effort to advance these workers to more skilled positions with the same employer or industry sector leading to an increase in earnings through more work hours or an increase in pay. Once these workers advance, the employer must provide an opportunity to the local service provider to fill this now vacant position with a local dislocated worker. As part of the Incumbent Worker upskilling strategy, applicants must describe their upskill/backfill strategy in their application narrative. IWT training must be provided under an agreement with an employer in the private-nonprofit or for-profit sector. In addition:

  - Not more than 10 percent of the total funds may be used for Incumbent Worker training
  - Incumbent Worker training must have an employer match based on the size of the company. Wages paid to the participant while in training can be included as part of the match. The matching requirements are as follows:
    - At least 10 percent of the cost, for employers with 50 or fewer employees
    - At least 25 percent of the cost, for employers with 51 to 100 employees
    - At least 50 percent of the cost, for employers with more than 100 employees

- Transitional jobs opportunities must be provided under a contract with an employer in the private non-profit or for-profit sector, as well as non-federal public sector employers. Transitional jobs are time-limited work experiences that are subsidized for individuals with barriers to employment who are either chronically unemployed, long-term unemployed, or have an inconsistent work history. Successful transitional jobs strategies often include partnerships with other programs such as TANF. If transitional jobs are part of the proposal, they should be described in the application narrative.
  - **Not more than 10 percent of the total funds may be used for Transitional Jobs described in the application narrative.**

Alignment and Coordination with Other Resources

Applicants must describe how they will deliver services in coordination with at least two other federal, state, or local resources, which can include, but are not limited to:

- Unemployment Insurance
- Wagner-Peyser Employment Service
- WIA/WIOA Adult and DW programs
- Trade Adjustment Assistance
- State Apprenticeship Agencies
- Jobs for Veterans State Grants
- Homeless Veterans' Reintegration Program
- Career and Technical Education programs Authorized under the Carl D. Perkins Career and Technical Education Act.
- Employment and Training Activities carried out under the Community Service Block Grant Act
- Adult Education and English for Speakers of Other Languages (ESOL)
- Vocational Rehabilitation Services
- Temporary Assistance for Needy Families (TANF)
- Supplemental Nutrition Assistance Program (SNAP) Employment and Training
- Economic development, such as Manufacturing Extension Partnerships
- Transportation infrastructure, such as Transportation Investment Generating Economic Recovery (TIGER) grants and Innovative Public Transportation Workforce Development Program Ladders of Opportunity Initiative
- Child Care and Child Support programs operated at the state or local level
- State Medicaid Programs
- Other Federal agency supported job-driven workforce development initiatives, under the Departments of Transportation, Energy, Veterans Affairs, Housing and Urban Development, Interior, Health and Human Services, and Defense programs

Coordination with these programs may include the leveraging of funds, participant referrals, co-enrollment or other demonstrated formal partnerships (including planning and the development of formal agreements for service delivery). In addition to public funding streams, applicants are also encouraged to leverage resources and activities with relevant philanthropic and community-based organization efforts in their target communities. ETA is interested in proposals that build upon existing partnerships with particular interest in proposals that build new sustainable partnerships.

Evaluation

Applicants must acknowledge in their application that they understand that ETA may conduct an independent evaluation of the outcomes and benefits of these NEGs, and by accepting a SP NEG award, agree to participate in such an evaluation.

Use of Funds

Applicants must address the following parameters in their narrative, as well as complete the budget forms that are part of the application process described in Section 6 that show the requested funding being distributed according to these parameters. The percentages outlined represent that maximum or minimum levels for each category of services; applicants must customize the percentages to meet their specific needs.

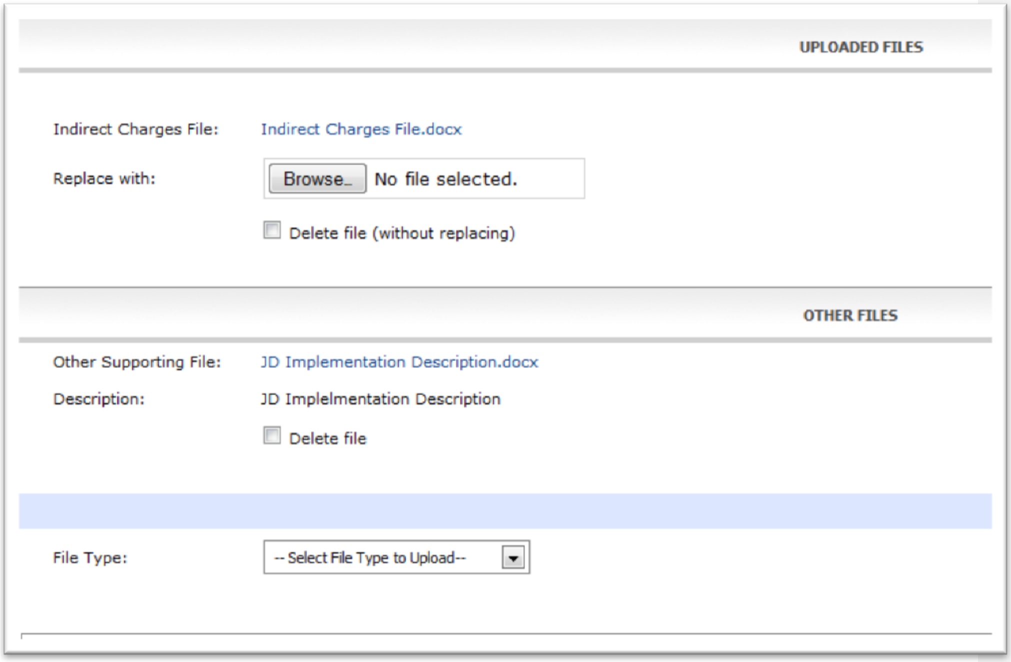
SP NEG Activity	**Allowable Percentages of Total Grant Funds**
Regional Planning	Up to 25 percent, but no more than $500,000
Enhanced Dislocated Worker Services	At least 20 percent
Work-based Training Models	At least 30 percent • Not more than 10 percent of total grant funds may be used for IWT • Not more than 10 percent of total grant funds may be used for Transitional Jobs
Administrative Costs	Up to 10 percent

- Administrative Costs – (Up to 10 percent of total funds)

Up to 10 percent of the funds may be used for administrative costs associated with operating the grant at the state and project operator levels. The applicant must describe how the 10 percent available for administrative activities will be distributed between the state and local project operators.

Uploading the SP NEG Narrative Description

- Be sure to make SP NEG Narrative Description the title of the document
- In the “File Type” drop down choose: Other
- Click “Browse” to locate the SP NEG Narrative Description document on your computer.
- In the Description** field, enter SP NEG Narrative Description
- Click the SAVE button at the bottom of the screen, which will return you to the Menu Box.
- Click on the Additional Information screen link. The title of the uploaded document will be displayed in the Other Support File: entry.

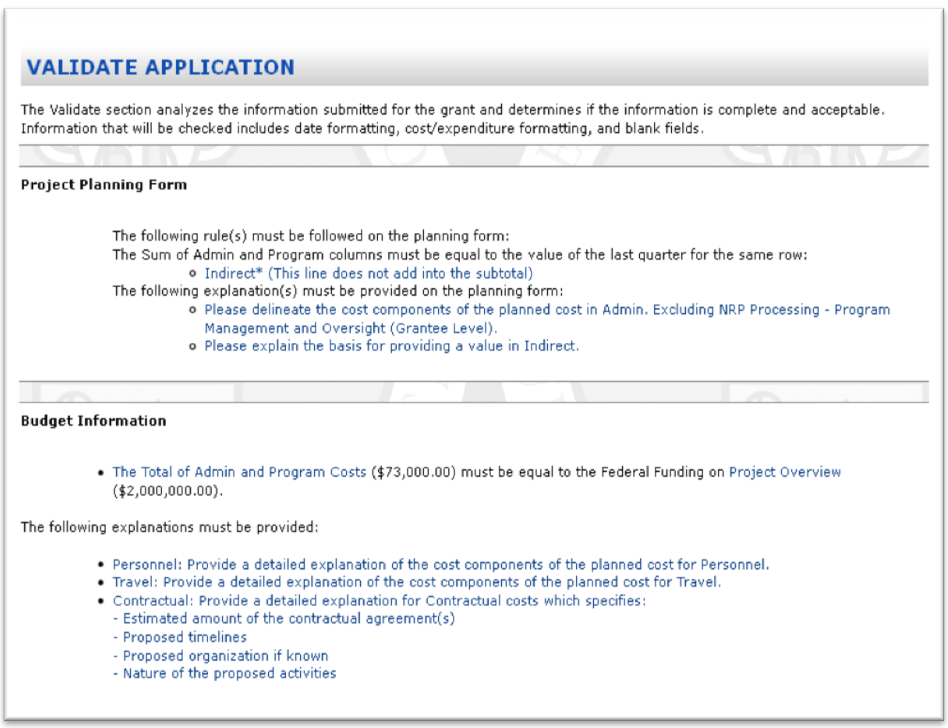


Validate

The Validate section compares information provided in the data entry screens for the grant and determines if the information is complete, consistent, and acceptable.

All of the validation issues that are described on the screen must be addressed, or the SP NEG application cannot be submitted.

NOTE: The NEG eSystem can only validate information that is entered into data fields. It cannot review narrative entries. If, for example, the number of participants passes validation (the same number is entered in all of the appropriate locations), but a different number is referenced in a narrative, this may result in a term and condition being applied to any grant award.



VALIDATE APPLICATION

The Validate section analyzes the information submitted for the grant and determines if the information is complete and acceptable. Information that will be checked includes date formatting, cost/expenditure formatting, and blank fields.

Project Planning Form

The following rule(s) must be followed on the planning form:
The Sum of Admin and Program columns must be equal to the value of the last quarter for the same row:
- Indirect* (This line does not add into the subtotal)

The following explanation(s) must be provided on the planning form:
- Please delineate the cost components of the planned cost in Admin. Excluding NRP Processing - Program Management and Oversight (Grantee Level).
- Please explain the basis for providing a value in Indirect.

Budget Information

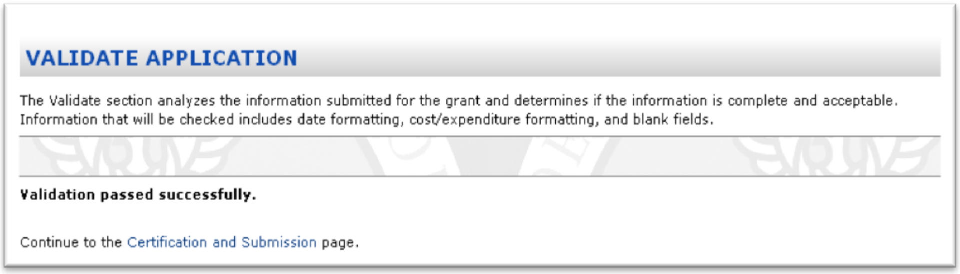
- The Total of Admin and Program Costs ($73,000.00) must be equal to the Federal Funding on Project Overview ($2,000,000.00).

The following explanations must be provided:

- Personnel: Provide a detailed explanation of the cost components of the planned cost for Personnel.
- Travel: Provide a detailed explanation of the cost components of the planned cost for Travel.
- Contractual: Provide a detailed explanation for Contractual costs which specifies:
  - Estimated amount of the contractual agreement(s)
  - Proposed timelines
  - Proposed organization if known
  - Nature of the proposed activities

Each of the bulleted entries on the Validate Application screen is a direct link to where the data needs to be revised. Click on each highlighted sentence to update the information.

When all of the corrections have been made, the application will pass validation.



Certify & Submit for Final Review

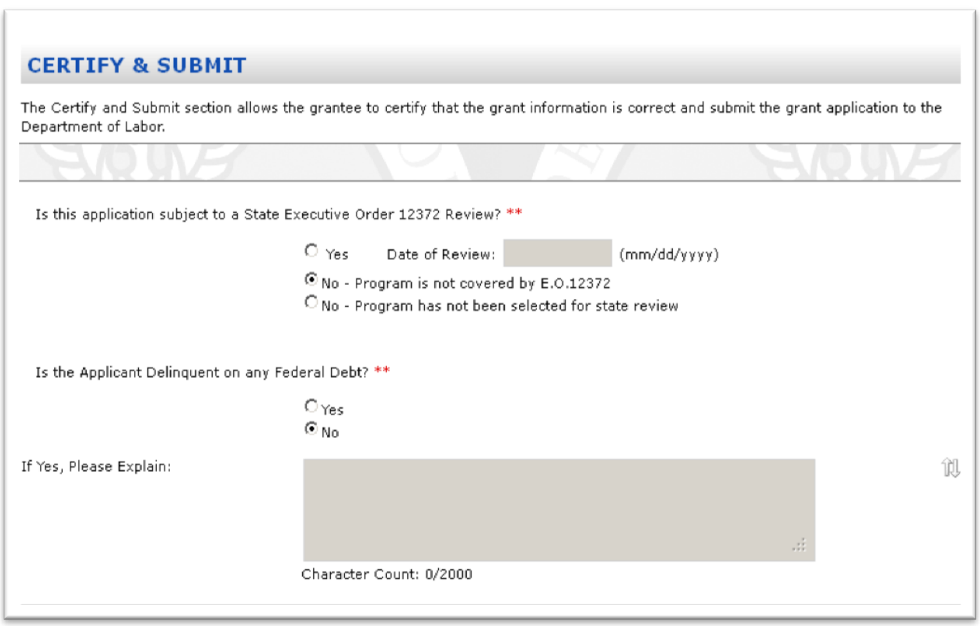
The Certify & Submit section allows the applicant to certify that the grant information is correct and to submit the grant application to the Department of Labor.

For the purposes of the SP NEG application, two components of the Certify & Submit section require action. **PLEASE NOTE: The Pre-Submission Review procedures (review of a draft by ETA's Regional Offices) used for all other NEG applications will not be utilized for SP NEG applications, as this funding opportunity is a semi-competitive process.**

The first Certify & Submit action is a "Yes" or "No" response for the two certification questions:

- "Is this application subject to a State Executive Order 12372 Review?"
- "Is the Applicant Delinquent on any Federal Debt?"

This information, which is displayed on the SF-424, is required by the Office of Management and Budget (OMB).


CERTIFY & SUBMIT

The Certify and Submit section allows the grantee to certify that the grant information is correct and submit the grant application to the Department of Labor.

Is this application subject to a State Executive Order 12372 Review? **

Yes Date of Review: (mm/dd/yyyy)
No - Program is not covered by E.O.12372
No - Program has not been selected for state review

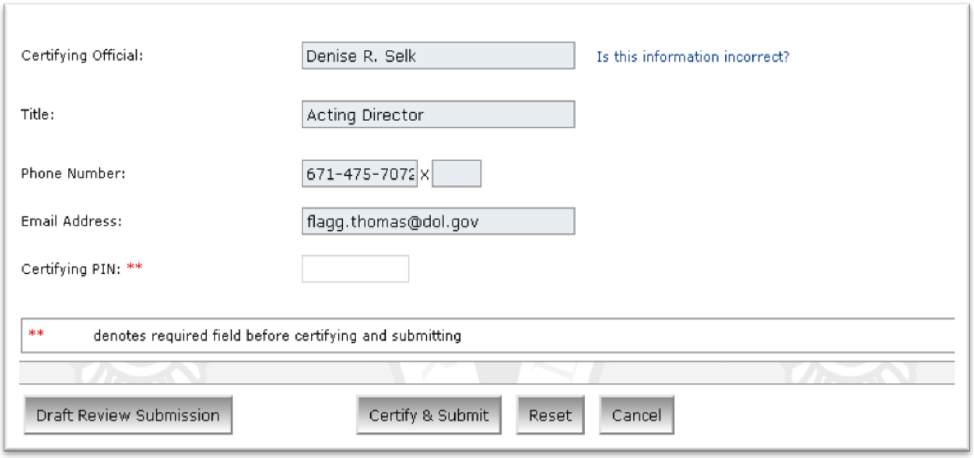
Is the Applicant Delinquent on any Federal Debt? **

Yes
No

If Yes, Please Explain:

Character Count: 0/2000

The second Certify & Submit action is to enter the PIN and submit.



The NEG eSystem will have displayed the name of the Certifying Official (Primary Signatory/Authorized Representative) and his/her Title, Phone Number, and E-mail Address.

The applicant should verify that the Certifying Official information is correct, then enter the PIN, and click on the Certify & Submit button.

The SP NEG application has now been submitted to ETA for consideration.