



**Office of Strategic  
Workforce Development**



# **PAY FOR PERFORMANCE GRANT**

## 2023 PROGRAM GUIDELINES

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## I. PROGRAM BACKGROUND

The FY 2023 State Budget established a new **Office of Strategic Workforce Development (OSWD)** within Empire State Development (ESD), representing a shift in workforce development policy to better meet the needs of industry and create career opportunities for New Yorkers, particularly those from historically marginalized communities. Utilizing ESD’s relationships with employers, OSWD will work with workforce training providers to support industry-driven training to provide in-demand skills and direct job placement. The new office aims to support new economic opportunities for un/underemployed and underrepresented workers, while simultaneously meeting the needs of businesses in targeted industry sectors across the State. The office will take a holistic approach to workforce development by engaging other State agencies and regional experts to identify local jobs trends and opportunities.

Across New York State and the nation, the skills that businesses are looking for are rapidly evolving. In response, OSWD seeks to establish a ready and skilled workforce in New York to meet the needs of employers. A skilled workforce is a vital element of economic development, as businesses seek to locate in places that have the talent they need. Additionally, training New Yorkers in targeted sectors that are poised for growth helps to create opportunities for residents in all regions of the State. The Office aims to provide residents with skills training and credentials, particularly residents from historically marginalized communities.

As part of this new workforce strategy, \$150 million in new state funding is being provided through OSWD to be overseen by ESD. This funding is intended to meet employer needs, increase training capacity, and position New Yorkers to fill high-quality, in-demand jobs. This funding includes **\$115 million** for the new **Pay for Performance Grant Program (P4P)**. The P4P grants will help ensure eligible workforce training providers and their programs are able to respond in a timely way to industry needs and are training participants with the right skills for an evolving jobs landscape. Up to \$50 million of funding through P4P may be made available for programs in the renewable and clean energy sector.

## II. GOALS OF THE PROGRAM

The Pay for Performance Grant Program (“P4P” or “The Program”) will support the operational resource needs of training programs offering industry-recognized credentials, skills, and certificates in high-demand fields. The P4P Program will provide flexible funds through two distinct tracks: 1) flexible Operating Grants and 2) Capacity-Building Awards to workforce trainers for successfully placed trainees in a good job.

Applications must demonstrate that the training program will prepare participants for in-demand, good jobs with career advancement. Applicants will be asked to describe how their training leads to “good jobs,” or **skilled jobs that pay minimally a living wage for workers to support themselves**

**in the modern economy, allow for career and salary growth<sup>1</sup>, provide economic security<sup>2</sup>, and remove the need for public assistance.**

The Program will support the scaling of workforce development training programs across New York State serving populations and industries identified as priorities by ESD and the State's Regional Economic Development Councils (REDCs). Funding will help trainers expand workforce pipelines, create new opportunities for un/underemployed and underrepresented populations, and better prepare workers with the skills needed to obtain in-demand and high-paying jobs in high-growth industry sectors. ESD encourages applicants to provide proposals that fit within the goals of the Program, tailored to regional and community needs and opportunities.

The P4P will fund projects that help achieve the following:

- Responsiveness to industry needs and workforce challenges
- Support growing industries in New York by increasing the qualified workforce pipeline through training programs developed in partnership with industry
- Ensure workers of all skill levels, socioeconomic groups, racial and ethnic groups, gender identities and expressions, and geographies have opportunities to participate and progress in the labor force
- Create career pathway opportunities for entry-level and mid-skill workers
- Provide direct placement into job opportunities through partnerships with industry
- Increase the capacity of workforce training providers with a track record of results-oriented workforce training and fostering opportunity for underserved populations
- Invest in collaborative approaches to workforce training among industry, employers, training and education providers, and community-based organizations to better serve industry needs
- Improvements in data collection and impact tracking across funded programs

### III. FUNDING TRACKS

The Pay for Performance Grant Program will provide funding through two distinct tracks:

1. **Operating grants** that seek to cover programmatic expenses related to a new program or expansion of an existing program that implements in-demand skills training, catalyzes creative approaches to workforce development for long-term impact, and is responsive to

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<sup>1</sup> Anthony P. Carnevale, Kathryn Peltier Campbell, Ban Cheah, Artem Gulish, Michael C. Quinn, and Jeff Strohl. *The Uncertain Pathway from Youth to a Good Job: How Limits to Educational Affordability, Work-Based Learning, and Career Counseling Impede Progress toward Good Jobs*. Washington, DC: Georgetown University Center on Education and the Workforce, 2022. [cew.georgetown.edu/pathway](http://cew.georgetown.edu/pathway).

<sup>2</sup> Laura Jimenez and Livia Lam, *Good Jobs for All: How Federal Laws Can Create Pathways From Education and Training to Good Jobs*, Washington, DC: Center for American Progress, 2021

industries, ingenuity, and the needs of the people the training program intends to serve; and

2. **Capacity-Building Awards** that reward training programs who are successfully placing individuals who complete their program in a good job, further enabling the growth of high-performing workforce training organizations.

Together, these investments will help ensure a steady pipeline of skilled talent for employers by supporting the highest-performing workforce programs statewide and providing access to resources to innovate and grow with industry.

Specific information on each funding track is provided in the sections that follow. Applicants can apply for one or both P4P Program tracks.

## IV. OPERATING GRANTS

The Operating Grants track seeks to catalyze creative approaches to workforce development for long-term impact. Applicants can apply for **funding to be used for a variety of working capital and/or programmatic expenses related to a new program or expansion of an existing program** such as curricula development, instruction and instructional materials, technology, marketing, and/or trainee supports, etc.

### A. Eligible Applicants

Entities eligible to apply for assistance include community-based organizations, not-for-profit organizations, chambers of commerce and trade associations, certain governmental organizations (such as workforce development boards, Boards of Cooperative Educational Services (BOCES), municipalities, etc.), higher education institutions (public or private four-year colleges/universities, or two-year technical/community colleges), career and technical education providers, organized labor training programs, and for-profit training providers.

Not-for-profit applicants, prior to ESD Directors' approval and execution of a contract with ESD, must be registered and up to date on filings with the New York State Office of the Attorney General's Charities Bureau, the New York State Office of the State Comptroller's VendRep System, and must be prequalified in the New York State Grants Gateway.

Applicants will be required to complete the Consolidated Funding Application (CFA) to apply for the Pay for Performance Operating Grant Program. In addition to completing the Consolidated Funding Application, the following documents are required of each applicant:

- Organizational chart and resumes of key personnel involved in program implementation
- Full project budget using the provided budget template (please see "Eligible Uses of Funds" and "Use Restrictions" sections below for eligible and ineligible expenses)

- Detailed overview of the training to be offered for which the applicant is seeking assistance from this funding
- Letters of commitment from each of the industry partner companies listed in the grant application. Letters should explain the company's specific role(s) in the project such as financial commitment, involvement in curriculum development, instructional partner, apprenticeship/internship/job placement partner, recruitment of program trainees, projected hiring needs, etc.
- Three (3) years of most recent audited financial statements

Letters from non-industry partners in support of an application are optional. Beneficial letters of support could be from a partnering organization involved in the training and or job placement process, or external providers of wraparound services.

Applicants must have an established track record of effective training and trusted relationships within priority communities. This is demonstrated in the application through a variety of metrics including completion and placement rates, consistent and/or growing enrollment, and providing services that support participant success including wraparound services such as childcare, transportation, career coaching, etc.

Applicants must demonstrate the organizational and financial management expertise to successfully implement the project through previous experience. Applicants will be required to submit a detailed budget using a template provided by ESD outlining all sources and uses; as well as specifying the individuals involved in developing and implementing the project and their associated qualifications in prior workforce development projects of a similar nature.

Applicants will be required to submit a detailed program description and overview of the training curriculum.

ESD will require three years of audited financial statements. If an applicant is unable to meet this requirement, they may submit alternate documentation, including, but need not be limited to, at least three years of the applicant's completed Internal Revenue Service Form 990 (Return of Organization Exempt from Income Tax) and/or internally prepared financial statements. The applicant bears the full responsibility to demonstrate its financial stability/wherewithal and it is within ESD's purview to determine if such alternate documentation is sufficient to meet these objectives.

Applications must be developed in partnership with a business or multiple businesses to maximize industry focused curriculum development and promote direct job placement. The required letters of commitment from industry partners should explain the company's specific role(s) in the project such as financial commitment, involvement in curriculum development, instructional partner, apprenticeship/internship/job placement partner, recruitment of program trainees, projected hiring needs, etc.

Applications must include proactive approaches to addressing traditional barriers to training/educational success (i.e., “wraparound services”). Such programs could include utilizing a “career coach” approach that specifically tailors services to trainees’ needs (e.g., transportation, childcare, substance abuse counseling, financial literacy, supplies and uniform distribution, professional skills development).

Preference will be given to training programs that provide opportunities for direct job placement and those involving proactive placement approaches, such as job shadowing, internships, partnerships with companies that will hire participants for full-time employment, and programs that provide post-placement support.

Preference will be given to training programs that focus on workforce development in at least one of the statewide target industry sectors or in a regional priority industry sector from any region. For a full list of target industry sectors, please see **Appendix A**.

Preference will be given to training programs that support socially and economically disadvantaged groups and/or under-represented populations in the regional workforce including, but need not be limited to, those that are not in the labor force<sup>3</sup>, unemployed, underemployed<sup>4</sup>, and/or low-income individuals<sup>5</sup>.

Preference will be given to organizations that have secured matching funds from industry partners.

Preference will be given to training programs using multiple workforce development strategies including at least two of the following: on-the-job training, registered apprenticeships, career-focused training leading to a certification or similar credential, mentorships, services to increase job placement and retention, and wraparound services.

Applicants applying for funding through the P4P Operating Grant Program may also be eligible to apply for the Capacity-Building Awards track or the OSWD Workforce Development Capital Grant Program, provided their program meets the criteria detailed in those guidelines. For each of the three funding tracks (Capital Grants, P4P Operating Grants, and P4P Capacity-Building Awards) applicants will be allowed a maximum of two active projects underway per track at one time.

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<sup>3</sup> “Not in the labor force” is defined as people who do not meet the criteria to be classified as either employed or unemployed (<https://www.bls.gov/cps/definitions.htm#nilf>)

<sup>4</sup> Underemployed individuals as utilized in these guidelines refers to individuals in a job below their skill or educational level.

<sup>5</sup> Low-income individuals as defined under WIOA, <https://www.govinfo.gov/content/pkg/PLAW-113publ128/pdf/PLAW-113publ128.pdf> (page 11).

## B. Eligible Uses of Funds

Funding can be used for a variety of programmatic expenses related to a new program or expansion of an existing program. Eligible training program expenses include, but are not limited to:

- **Curricula development**
- **Instruction and instructional materials**
- **Technology specifically required for training**
- **Credentialing exam fees**
- **Marketing expenses or outreach activities** to foster participant recruitment of target populations
- **Services to foster job placement** and retention
- **Participant stipends, wraparound services, and trainee supports**, or activities that will be made available to program participants to reduce barriers to training (i.e., childcare, online programming, public transit passes or other transportation supports, career coaching, and professional skills or success skills training)
- **Impact data collection and analysis**

## C. Use Restrictions

Funds may only be used for expenses incurred after an ESD Incentive Proposal has been countersigned by the applicant.

**The following items are not eligible for ESD funding and cannot be counted toward the matching funds presented in the budget:**

- General operating expenses or general staff expenses, except those directly related to the new/expanded program or project proposed in the application
- Indirect costs (including administrative costs not directly required for the delivery of the project, such as executive salaries, rent, mortgage and utilities)
- P-12 education programs that do not directly place graduates into the workforce
- Higher education degree programs
- Public sector training programs
- Recapitalization/refinancing
- Capital improvements
- Research projects
- Endowments
- Fundraising
- Political or lobbying activities

- Activities that have occurred, items acquired, or other expenses incurred prior to the start of the grant period

#### D. Funding Awards and Requirements

Funding assistance will follow these parameters:

- **Minimum level of assistance: \$50,000**
- **Maximum level of assistance: \$1,000,000**

ESD may provide up to seventy-five percent (75%) of total project cost. Preference will be given to applicants leveraging more than the minimum twenty-five percent (25%) of the project cost from additional sources. *Funding will be provided for activities not typically served by other sources of federal, state, or local funding such as those available through the Workforce Investment and Opportunity Act.*

Projects must be ready to commence within six months of award and funding must be utilized within two years. Extensions on awards may be considered on a case-by-case basis provided substantial progress has been made in the first 24 months. Applicants will be required to provide a timeline of project activities.

Activities and expenses to be covered by funds from ESD should not be incurred before funding awards have been announced or an ESD Incentive Proposal has been countersigned by the applicant. Expenses incurred prior to submission of an application should not be included in application project budgets nor should expenses that are incurred after submission of an application but prior to an announcement and/or countersigned Incentive Proposal.

There are no restrictions on projects receiving other state or federal funds, and other state funds can be used to meet matching requirements. However, projects will be evaluated on how much private or employer funding the project will leverage. Applicants must disclose whether they are pursuing or intend to pursue multiple NYS funding sources, including other NYS workforce program grants.

Applicants may only be awarded Operating Grant funding to assist the program specified in the application one time. However, additional awards, subject to availability of funds and at the discretion at ESD, may be available for organizations demonstrating consistently positive completion and placement metrics, and showing that they continue to achieve program goals while reaching priority populations. If awarded funding through the Operating Grant program, an applicant may still be eligible for funding through the Program for a different workforce training program it administers if it can provide sufficient information that the programs are distinct. Applicants will be allowed a maximum of two active awarded Operating Grant projects underway at one time.

Please note that there is a \$250 application fee for applications that are awarded funding. ESD will work with awardees to establish a detailed scope of work, budget, and information on additional sources of funding to determine the project-specific goals and milestones. A timeline and conditions for disbursement of grant funding will also be established.

### ***Reporting Requirements***

If awarded, applicants will be required to report outcomes data to demonstrate the impact of the award. OSWD will define standards for outcomes and impact reporting, including metrics and measurements.

Reporting metrics may include, but need not be limited to:

- Total enrollment and rate of completion
- Credentials earned
- Job placement rate within a set time (three and six months), and distribution of placement by employer type, occupation, and skill level
- Participant earnings pre- and post-placement
- Participant demographics (if demographic information is voluntarily reported)
- Job/earning outcomes by demographic group (if available)
- Job retention at three, six, and 12-month periods

**OSWD may also incorporate reporting requirements based on program-specific features of awarded projects and will work with awardees to define any additional metrics and milestones.**

## **E. Evaluation Criteria**

Applications for funding through the Operating Grants track will be evaluated on the extent to which they fulfill the goals of the program and meet the following criteria:

### ***Project Concept and Readiness***

- The training program provides career pathway opportunities for entry-level and mid-skill workers in high demand, good jobs as demonstrated by the detailed project description and industry partners.
- The training program targets un/underemployed, underrepresented, underserved populations, and/or incumbent workers.
- Applicant demonstrates sufficient planning to implement within the stated timeline as shown through application materials which will include a detailed project description and timeline for implementation with proposed actions and deliverables.
- The project can commence within six months of award.

### ***Project Budget and Sustainability***

- The submitted budget is complete, and all sources and uses of funds are clearly documented.
- The budget does not include any uses of funds listed in the Use Restrictions section above.
- The budget has matching funds from the private sector, including prospective financial contributions from industry partners benefitting from the training program (not required but preferred).
- There is evidence that the project can be sustained beyond the grant period.
- The budget and application narrative demonstrate a need for this funding that cannot be obtained through other sources.

### ***Project Partnerships and Innovation***

- The project has been developed in partnership with a business or multiple businesses to ensure it trains for in-demand skills and to maximize job placement following training.
- The project employs multiple workforce development strategies to address diverse and complex worker issues.
- The project utilizes effective and innovative outreach and recruitment methods for target populations.
- If the applicant organization does not primarily serve a target population, they have developed partnerships with community-based organizations to ensure diverse and equitable access to training and education programs.

### ***Program Impact***

- The applicant presents evidence that there is a need for the project to address a specific challenge in both the industry it will assist and the population it will serve.
- The applicant demonstrates industry buy-in through letters submitted by partner companies listed in the application that explain the company's involvement in the program, including anticipated hiring needs, potential commitment to provide interviews for trained candidates, internships, or job shadowing.
- The applicant demonstrates actions to ensure a high job retention rate such as availability of wraparound services.
- The applicant demonstrates an effective way to measure the impact of the program.
- The applicant demonstrates a commitment to serving historically marginalized communities or has meaningful partnership(s) with organizations serving these communities to ensure diverse and equitable access to training and education programs.

### **Support Services**

- The project includes meaningful trainee supports (“wraparound services”), or activities that will be made available to program participants to reduce barriers to 1) training access or effectiveness, and 2) retaining a job. These may include childcare, online programming, public transit passes or other transportation supports, career coaching, professional skills or success skills training, free or reduced programming, etc.

### **Applicant Experience, Qualifications, and Capacity**

- The applicant and affiliated partners demonstrate they have the capacity to complete the project.
- The project partners have previously successfully completed projects of a similar scale.
- The applicant has an established track record of effective training and trusted relationships within the communities it serves.
- ESD funding will increase the capacity of this organization to enable its future success.

## **V. CAPACITY-BUILDING AWARDS**

The Capacity-Building Awards track seeks to reward and expand the operations of successful workforce training programs. Applicants may receive an award **for successfully placing<sup>6</sup> trainees that complete a workforce training program in a good job utilizing skills from their training.** Using achievement-based awards, workforce training organizations will be provided with funding for operations that will allow them to expand the capacity of current successful programs with high placement rates and increase scale to continue to provide value to priority populations.

### **A. Eligible Applicants**

Entities eligible to apply for awards include community-based organizations, not-for-profit organizations, chamber of commerce and trade associations, certain governmental organizations (such as workforce development boards, Boards of Cooperative Educational Services (BOCES), municipalities, etc.), higher education institutions (public or private four-year colleges/universities, or two-year technical/community colleges), career and technical education providers, and for-profit training providers.

Not-for-profit applicants, prior to ESD Directors’ approval and execution of a contract with ESD, must be registered and up to date on filings with the New York State Office of the Attorney General’s Charities Bureau, the New York State Office of the State Comptroller’s VendRep System, and must be prequalified in the New York State Grants Gateway.

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<sup>6</sup> Successful placement is defined as achieved when the trainee is placed in a position utilizing skills from their training and remain employed in their position three months after placement.

Applicants will be required to complete the Consolidated Funding Application (CFA) to apply for the Pay for Performance Capacity-Building Awards Program. In addition to completing the Consolidated Funding Application, the following documents are required of each applicant:

- Detailed overview of the program curriculum
- Detailed overview of current success metrics for both the current and previous calendar year including number of cohorts per year, number of participants enrolled, number of participants who completed, and number of participants placed in good jobs
- Detailed budget explaining how additional funding would expand program capacity
- Detailed overview of any support services or “wraparound services” available to trainees
- Letters from each of the industry partner companies who have employed program trainees that includes number of employees hired from the training program, average wages, average retention, career pathway opportunities, and projected future staffing demands
- Three (3) years of most recent audited financial statements

ESD will require three years of audited financial statements. If an applicant is unable to meet this requirement, they may submit alternate documentation, including, but need not be limited to, at least three years of the applicant’s completed Internal Revenue Service Form 990 (Return of Organization Exempt from Income Tax) and/or internally prepared financial statements. The applicant bears the full responsibility to demonstrate its financial stability/wherewithal and it is within ESD’s purview to determine if such alternate documentation is sufficient to meet these objectives.

Applicants applying for funding through the P4P Capacity-Building Award may also be eligible to apply for the P4P Operating Grant track or the OSWD Workforce Development Capital Grant Program, provided their program meets the criteria detailed in those guidelines. For each of the three funding tracks (Capital Grants, P4P Operating Grants, and P4P Capacity-Building Awards) applicants will be allowed a maximum of two active projects underway per track at one time.

## **B. Eligible Projects**

Workforce training programs eligible to receive funding are those providing New York residents training resulting in industry-recognized credentials, skills, or certificates in high-demand fields.

Applications must demonstrate the training program has strong industry partnerships and employs a curriculum developed in partnership with industry, to maximize potential for direct job placement.

Applications must demonstrate the training program’s use of wraparound services that mitigate barriers to traditional training/educational success and job retention. Such programs could include utilizing a “career coach” approach that specifically tailors services to trainees’ needs (e.g., transportation, childcare, substance abuse counseling, financial literacy, supplies and uniform distribution, professional skills development).

Preference will be given to training programs that focus on workforce development in at least one of the statewide target industry sectors or in a regional priority industry sector from any region. For a full list of target industry sectors, please see **Appendix A**.

Preference will be given to training programs that support socially and economically disadvantaged groups and/or under-represented populations in the regional workforce including, but need not be limited to, those that are not in the labor force<sup>7</sup>, unemployed, underemployed<sup>8</sup>, and/or low-income individuals<sup>9</sup>.

### C. Eligible Uses of Funds

Awards will be provided in the amount of \$1,500 – \$4,000 per person successfully completing the workforce training program and placed in a good job (based on both current and previous calendar year data) and is required to be reinvested into the operations of the training program in order to 1) expand provider capacity to serve more New Yorkers and/or 2) increase program efficacy.

Eligible uses of funds to expand program capacity include:

- **Instruction and instructional materials**
- **Technology specifically required for training**
- **Credentialing exam fees**
- **Marketing expenses or outreach activities** to foster participant recruitment of target populations
- **Services to foster job placement** and retention
- **Participant stipends, wraparound services, and trainee supports**, or activities that will be made available to program participants to reduce barriers to training (i.e., childcare, online programming, public transit passes or other transportation supports, career coaching, and professional skills or success skills training)
- **Impact data collection and analysis**

### D. Use Restrictions

Awards received cannot be used by the recipient organization to be applied to organizational profits, or for programs other than the one for which they were awarded. Funds may only be used for expenses incurred after an ESD Incentive Proposal has been countersigned by the applicant.

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<sup>7</sup> Not in the labor force is defined as people who do not meet the criteria to be classified as either employed or unemployed (<https://www.bls.gov/cps/definitions.htm#nilf>)

<sup>8</sup> Underemployed individuals as utilized in these guidelines refers to individuals in a job below their skill or educational level.

<sup>9</sup> Low-income individuals as defined under WIOA, <https://www.govinfo.gov/content/pkg/PLAW-113publ128/pdf/PLAW-113publ128.pdf> (page 11).

The following items are not eligible for funding and should not be included in the budget:

- General operating expenses or general staff expenses, except those directly related to the expanded program or project proposed in the application
- Indirect costs (including administrative costs not directly required for the delivery of the project, such as executive salaries, rent, mortgage, and utilities)
- P-12 education programs that do not directly place graduates into the workforce
- Higher education degree programs
- Public sector training programs
- Recapitalization/refinancing
- Incumbent worker training
- Capital improvements
- Research projects
- Endowments
- Fundraising
- Political or lobbying activities
- Activities that have occurred, items acquired, or other expenses incurred prior to the start of the grant period

## E. Funding Awards and Requirements

Awards will be provided in the amount of **\$1,500 – \$4,000 per person** successfully completed the workforce training program and placed in a good job; and will be paid out based on achieving verifiable outcomes for program graduates that demonstrate their successful placement in a good job. Amount of award determination will be based on the depth and breadth of the organization's services, including:

- Extent of wraparound services provided (i.e., childcare, online programming, public transit passes or other transportation supports, career coaching, and professional skills or success skills training)
- Need of the population served (i.e., serves individuals not in the labor force<sup>10</sup>, unemployed, underemployed<sup>11</sup>, and/or low-income individuals<sup>12</sup>)
- “Good job” placement is in a high-growth targeted industries listed on **Appendix A**

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<sup>10</sup> “Not in the labor force” is defined as people who do not meet the criteria to be classified as either employed or unemployed (<https://www.bls.gov/cps/definitions.htm#nilf>)

<sup>11</sup> Underemployed individuals as utilized in these guidelines refers to individuals in a job below their skill or educational level.

<sup>12</sup> Low-income individuals as defined under WIOA, <https://www.govinfo.gov/content/pkg/PLAW-113publ128/pdf/PLAW-113publ128.pdf> (page 11).

Project funding must be utilized within two years. Extensions on awards may be considered on a case-by-case basis provided substantial progress has been made in the first 24 months. Applicants will be required to provide a timeline of project activities.

The maximum payment amount to a training program may not exceed \$1,000,000 in a calendar year. Multi-year awards, up to three years and subject to availability of funds and at the discretion of ESD, may be available for organizations demonstrating consistently positive completion and placement metrics, and showing that they have achieved the goal of expanding program capacity while reaching priority populations.

Organizations may apply for and receive funding from the Capacity-Building Awards track for up to two specific training programs at one time. Applicants must be able to demonstrate the metrics are unique to a specific program and the program has its own unique budget for reinvestment of the funding. For example, an organization that provides training in advanced manufacturing and clean energy technologies may receive awards based on the performance of each of these unique programs.

Please note that there is a \$250 application fee for applications that are awarded funding. ESD will work with awardees to establish a detailed scope of work, budget, and information on additional sources of funding to determine the project-specific goals and milestones. A timeline and conditions for disbursement of grant funding will also be established.

### ***Reporting Requirements***

If awarded, applicants will be required to report outcomes data to demonstrate the impact of the award. OSWD will define standards for outcomes and impact reporting, including metrics and measurements.

Reporting metrics may include, but need not be limited to:

- Total enrollment and rate of completion
- Credentials earned
- Job placement rate within a set time (three and six months), and distribution of placement by employer type, occupation, and skill level
- Participant earnings pre- and post-placement
- Participant demographics (if demographic information is voluntarily reported)
- Job/earning outcomes by demographic group (if available)
- Job retention at three, six, and 12-month periods

**OSWD may also incorporate reporting requirements based on program-specific features of awarded projects and will work with awardees to define any additional metrics and milestones.**

## F. Evaluation Criteria

Applications for funding through the Capacity-Building Awards track will be evaluated on the extent to which they fulfill the goals of the program and meet the following criteria:

### *Program Concept*

- The training program is in at least one of the statewide and/or regional target industry sectors.
- The training program provides opportunities for entry-level and mid-skill workers in high-demand, good jobs.
- The training program targets disadvantaged populations and/or incumbent workers.

### *Partnerships and Innovation*

- The program was developed in partnership with a business or multiple businesses, is demonstrating its ability to train for in-demand skills and can demonstrate job placement following training.
- The program employs multiple workforce development strategies (such as skills training, wraparound services, mentoring, and professional skills development) to address a range of diverse and complex worker issues.
- The program reaches diverse populations for its program through utilizing effective and innovative outreach and recruitment methods.

### *Program Impact*

- The program has demonstrated an ability to address a specific challenge in both the industry it assists and the population it serves.
- The program demonstrates an ability to train and place participants in in-demand, good jobs.
- The program is demonstrating an ability for high job placement as a result of direct employer partnerships and a high retention rate through ongoing services.
- The applicant can demonstrate effective measuring of existing program impact.

### *Support Services*

- The project includes meaningful trainee supports (“wraparound services”), or activities that will be made available to program participants to reduce barriers to 1) training access or effectiveness, and 2) retaining a job. These may include childcare, online programming, public transit passes or other transportation supports, career coaching, professional skills or success skills training, free or reduced programming, etc.

### ***Applicant Experience, Qualifications, and Capacity***

- The applicant and affiliated partners demonstrate they have the capacity to continue the program and achieve a high-level of results.
- The applicant has demonstrated their established track record of effective training and trusted relationships within the target communities, as evidenced by its existing program performance.
- ESD funding will increase the capacity or efficacy of this organization to enable its future success.

## **VI. APPLICATION SUBMISSION PROCESS & REVIEW**

Applications will be accepted on an ongoing basis and batched for review and awards announced every three months. Quarterly deadlines and important dates will be posted on the OSWD website (<https://esd.ny.gov/workforce>).

All applications must be submitted electronically online through New York State's Consolidated Funding Application portal (<https://apps.cio.ny.gov/apps/cfa/index.cfm>). If the applicant does not have an existing CFA Project Profile, they will be required to create one through the CFA Portal website.

Applications will be reviewed for compliance with priorities established for the program and Office of Strategic Workforce Development. Review of applications and award announcements are expected on a quarterly basis. Dates of future rounds will be announced and published once determined. Empire State Development reserves the right to issue an addendum on these Guidelines, if required.

## VIII. APPENDICES

### Appendix A – Target Industry Sectors

This program prioritizes employer-driven workforce development in statewide high-growth industries with high-quality jobs, as well as each region’s key clusters of targeted industry sectors. Priority will be given to applicants demonstrating their program prepares trainees for jobs in at least one regional or statewide target industry sector as outlined below or included in the REDC Workforce Inventory.

The Office of Strategic Workforce Development has identified the following as **statewide** high-growth target industry sectors:

- Advanced Manufacturing and Materials
- Biotech and Life Sciences
- Cleantech and Renewable Energy
- Construction
- Electronics and Optics, Photonics, and Imaging (OPI)
- Film and Television Production and Post-Production
- Software and Digital Media

#### REGIONAL INDUSTRIES:

- **Capital Region:** Biotech and Life Sciences, Cleantech and Renewable Energy, Tech and Electronics, Software and Digital Game Development, and Materials Processing
- **Central New York:** Advanced Manufacturing, Smart Systems, Homeland and Cybersecurity, Agribusiness, Biotech and Life Sciences, Unmanned Systems, Tourism, Software and Digital Media, and Logistics
- **Finger Lakes:** Advanced Manufacturing, Optics, Photonics and Imaging, Agribusiness, Cleantech and Renewable Energy, Biotech and Life Sciences, Software and Digital Media
- **Long Island:** Advanced Manufacturing, Biotech and Life Sciences, Cleantech and Renewable Energy, Craft Beverage, Tourism, and Agribusiness
- **Mid-Hudson:** Advanced Manufacturing and Logistics, Biotech and Life Sciences, Financial and Business Services, Agribusiness, Craft Beverage, Tourism, Film and Television Production, and Information Technology
- **Mohawk Valley:** Agribusiness, Financial Services and Insurance, Advanced Manufacturing, Tech and Electronics, Materials Processing, Logistics, Homeland and Cybersecurity
- **New York City:** Software and Digital Media, Biotech and Life Sciences, Offshore Wind, Financial Services and Insurance, and Tourism
- **North Country:** Advanced Manufacturing, Agribusiness, Cleantech and Renewable Energy, Transportation Equipment, and Tourism
- **Southern Tier:** Advanced Manufacturing, Agribusiness, Homeland and Cybersecurity, Logistics, and Healthcare
- **Western New York:** Advanced Manufacturing, Software and Digital Media, Biotech and Life Sciences, Agribusiness, Tourism, Cleantech and Renewable Energy



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