

U.S. Department of Education
Washington, D.C. 20202-5335

APPLICATION FOR GRANTS
UNDER THE

FY 2020 Education Stabilization Fund: Reimagine Workforce Preparation (ESF-RWP) Grants Program

CFDA # 84.425G

PR/Award # V425G200023

Grants.gov Tracking#: GRANT13191899

OMB No. , Expiration Date:

Closing Date: Aug 24, 2020

PR/Award # V425G200023

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This application was generated using the PDF functionality. The PDF functionality automatically numbers the pages in this application. Some pages/sections of this application may contain 2 sets of page numbers, one set created by the applicant and the other set created by e-Application's PDF functionality. Page numbers created by the e-Application PDF functionality will be preceded by the letter e (for example, e1, e2, e3, etc.).

Application for Federal Assistance SF-424

* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	* If Revision, select appropriate letter(s): <input type="text"/> * Other (Specify): <input type="text"/>
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* 3. Date Received: <input type="text" value="08/24/2020"/>	4. Applicant Identifier: <input type="text"/>
--	--

5a. Federal Entity Identifier: <input type="text"/>	5b. Federal Award Identifier: <input type="text"/>
--	---

State Use Only:

6. Date Received by State: <input type="text"/>	7. State Application Identifier: <input type="text"/>
---	---

8. APPLICANT INFORMATION:

* a. Legal Name: <input type="text" value="New York State Department of Labor"/>	
* b. Employer/Taxpayer Identification Number (EIN/TIN): <input type="text" value="REDACTED"/>	* c. Organizational DUNS: <input type="text" value="REDACTED"/>

d. Address:

* Street1:	<input type="text" value="State Office Campus Building 12, Room 516"/>
Street2:	<input type="text"/>
* City:	<input type="text" value="Albany"/>
County/Parish:	<input type="text" value="Albany"/>
* State:	<input type="text" value="NY: New York"/>
Province:	<input type="text"/>
* Country:	<input type="text" value="USA: UNITED STATES"/>
* Zip / Postal Code:	<input type="text" value="12240-0001"/>

e. Organizational Unit:

Department Name: <input type="text"/>	Division Name: <input type="text"/>
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f. Name and contact information of person to be contacted on matters involving this application:

Prefix: <input type="text" value="Mr ."/>	* First Name: <input type="text" value="Jack"/>
Middle Name: <input type="text"/>	
* Last Name: <input type="text" value="Dougherty"/>	
Suffix: <input type="text"/>	

Title: <input type="text" value="Director of Finance"/>

Organizational Affiliation: <input type="text"/>

* Telephone Number: <input type="text" value="REDACTED"/>	Fax Number: <input type="text" value="REDACTED"/>
---	---

* Email: <input type="text" value="REDACTED"/>
--

Application for Federal Assistance SF-424

*** 9. Type of Applicant 1: Select Applicant Type:**

A: State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

Department of Education

11. Catalog of Federal Domestic Assistance Number:

84.425

CFDA Title:

Education Stabilization Fund

*** 12. Funding Opportunity Number:**

ED-GRANTS-062320-001

* Title:

Office of Career, Technical, and Adult Education (OCTAE): FY 2020 Education Stabilization Fund: Reimagine Workforce Preparation (ESF-RWP) Grants Program CFDA Number 84.425G

13. Competition Identification Number:

84-425G-2020-1

Title:

FY 2020 Education Stabilization Fund: Reimagine Workforce Preparation (ESF-RWP) Grants Program (84.425G)

14. Areas Affected by Project (Cities, Counties, States, etc.):

Add Attachment

Delete Attachment

View Attachment

*** 15. Descriptive Title of Applicant's Project:**

New York State's Education Stabilization Fund: Reimagine Workforce Preparation (ESF-RWP) Grant

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

Application for Federal Assistance SF-424

16. Congressional Districts Of:

* a. Applicant

* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

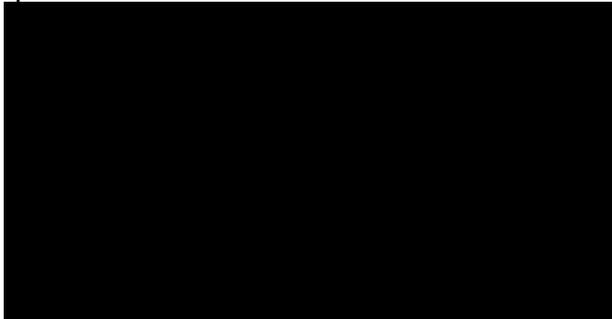
View Attachment

17. Proposed Project:

* a. Start Date:

* b. End Date:

18. Estimated Funding (\$):



*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

a. This application was made available to the State under the Executive Order 12372 Process for review on

b. Program is subject to E.O. 12372 but has not been selected by the State for review.

c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

Yes No

If "Yes", provide explanation and attach

Add Attachment

Delete Attachment

View Attachment

21. *By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: * First Name:

Middle Name:

* Last Name:

Suffix:

* Title:

* Telephone Number: Fax Number:

* Email:

* Signature of Authorized Representative: * Date Signed:

**U.S. DEPARTMENT OF EDUCATION
BUDGET INFORMATION
NON-CONSTRUCTION PROGRAMS**

OMB Number: 1894-0008
Expiration Date: 08/31/2020

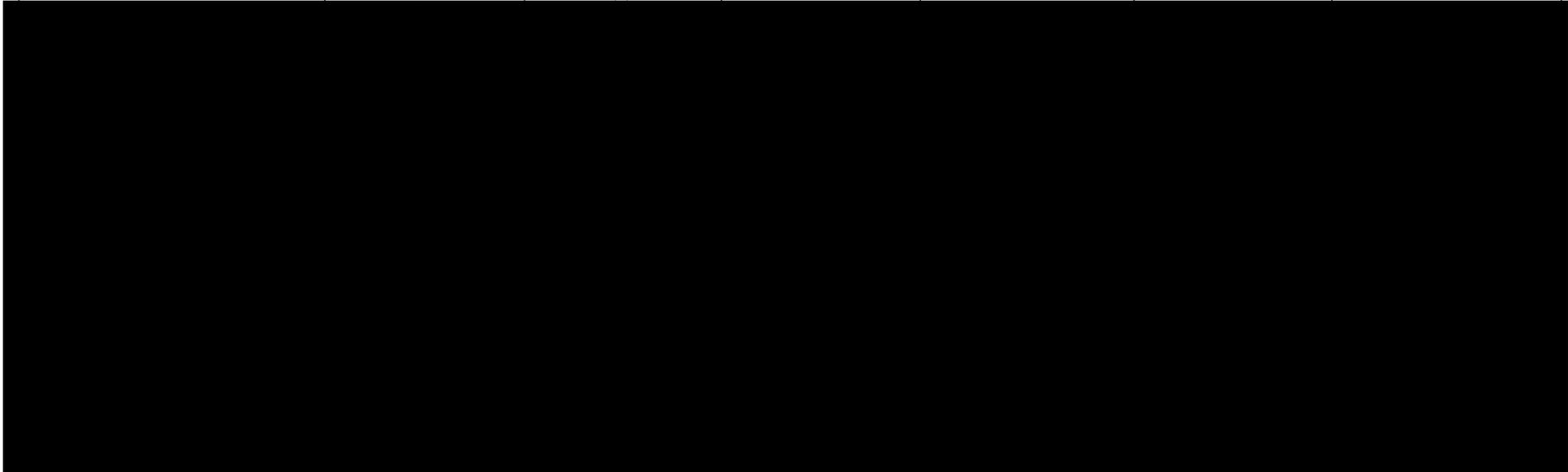
Name of Institution/Organization

New York State Department of Labor

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A - BUDGET SUMMARY
U.S. DEPARTMENT OF EDUCATION FUNDS**

Budget	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
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***Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

(1) Do you have an Indirect Cost Rate Agreement approved by the Federal government? Yes No

(2) If yes, please provide the following information:

Period Covered by the Indirect Cost Rate Agreement: From: To: (mm/dd/yyyy)

Approving Federal agency: ED Other (please specify):

The Indirect Cost Rate is %.

(3) If this is your first Federal grant, and you do not have an approved indirect cost rate agreement, are not a State, Local government or Indian Tribe, and are not funded under a training rate program or a restricted rate program, do you want to use the de minimis rate of 10% of MTDC? Yes No If yes, you must comply with the requirements of 2 CFR § 200.414(f).

(4) If you do not have an approved indirect cost rate agreement, do you want to use the temporary rate of 10% of budgeted salaries and wages?
 Yes No If yes, you must submit a proposed indirect cost rate agreement within 90 days after the date your grant is awarded, as required by 34 CFR § 75.560.

(5) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:
 Is included in your approved Indirect Cost Rate Agreement? Or, Complies with 34 CFR 76.564(c)(2)? The Restricted Indirect Cost Rate is %.
PR/Award # V425G200023

Name of Institution/Organization New York State Department of Labor	Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.	
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**SECTION B - BUDGET SUMMARY
NON-FEDERAL FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
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SECTION C - BUDGET NARRATIVE (see instructions)

ED 524

NOTICE TO ALL APPLICANTS

OMB Number: 1894-0005
Expiration Date: 04/30/2020

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may

be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.
- (4) An applicant that proposes a project to increase school safety might describe the special efforts it will take to address concern of lesbian, gay, bisexual, and transgender students, and efforts to reach out to and involve the families of LGBT students.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Estimated Burden Statement for GEPA Requirements

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Public Law 103-382). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email ICDOcketMgr@ed.gov and reference the OMB Control Number 1894-0005.

Optional - You may attach 1 file to this page.

	Add Attachment	Delete Attachment	View Attachment
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CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

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

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

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

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

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

* APPLICANT'S ORGANIZATION New York State Department of Labor	
* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
Prefix: Mr.	* First Name: Jack Middle Name:
* Last Name: Dougherty	Suffix:
* Title: Director of Finance	
* SIGNATURE: Jack Dougherty	* DATE: 08/24/2020

**U.S. DEPARTMENT OF EDUCATION
SUPPLEMENTAL INFORMATION
FOR THE SF-424**

1. Project Director:

Prefix: Ms.	First Name: Karen	Middle Name:	Last Name: Coleman	Suffix:
----------------	----------------------	--------------	-----------------------	---------

Address:

Street1:	State Office Campus Building 12
Street2:	
City:	Albany
County:	Albany
State:	NY: New York
Zip Code:	12240-0001
Country:	USA: UNITED STATES

Phone Number (give area code)	Fax Number (give area code)
	

Email Address:


--

2. Novice Applicant:

Are you a novice applicant as defined in the regulations in 34 CFR 75.225 (and included in the definitions page in the attached instructions)?

Yes No Not applicable to this program

3. Human Subjects Research:

a. Are any research activities involving human subjects planned at any time during the proposed Project Period?

Yes No

b. Are ALL the research activities proposed designated to be exempt from the regulations?

Yes Provide Exemption(s) #: 1 2 3 4 5 6

No Provide Assurance #, if available:

--

c. If applicable, please attach your "Exempt Research" or "Nonexempt Research" narrative to this form as indicated in the definitions page in the attached instructions.

	Add Attachment	Delete Attachment	View Attachment
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Abstract

The abstract narrative must not exceed one page and should use language that will be understood by a range of audiences. For all projects, include the project title (if applicable), goals, expected outcomes and contributions for research, policy, practice, etc. Include population to be served, as appropriate. For research applications, also include the following:

- Theoretical and conceptual background of the study (i.e., prior research that this investigation builds upon and that provides a compelling rationale for this study)
- Research issues, hypotheses and questions being addressed
- Study design including a brief description of the sample including sample size, methods, principals dependent, independent, and control variables, and the approach to data analysis.

[Note: For a non-electronic submission, include the name and address of your organization and the name, phone number and e-mail address of the contact person for this project.]

You may now Close the Form

You have attached 1 file to this page, no more files may be added. To add a different file, you must first delete the existing file.

* Attachment:

ESF-RWP PROJECT ABSTRACT

Under attached proposal for Education Stabilization Fund-Reimagine Workforce Preparation (ESF-RWP) funds, the New York State (NYS) Workforce Investment Board (SWIB), the NYS Office of Workforce Development (OWD), and the NYS Department of Labor (NYSDOL) will partner with the Empire State Development Corporation (ESD), Governor Cuomo's 10 Regional Economic Development Councils (REDC's), the State and City Universities of New York (SUNY and CUNY), and to create, develop, implement, and take to scale short-term educational programs and training courses or programs, and/or career pathways programs, including those focused on facilitating and strengthening entrepreneurship and small business ownership (Absolute Priority One).

NYS is applying for [REDACTED] in federal funding to deliver a multi-pronged initiative designed to respond to the economic and workforce consequences resulting from the global coronavirus pandemic. Our approach will consist of four distinct, yet intertwining elements that will run concurrently: 1) training in the field of digital transformation and exponential technologies for NYC residents; 2) scaling and increased implementation of statewide community college training initiatives; 3) boot camps and workshops for new and established entrepreneurs; and 4) solicitations, including RFA's, to fund NYS businesses and other training providers in identifying and developing remote trainings, and/or transitioning trainings which already exist to remote, didactic formats. In addition to training and employment services, supportive services will be offered to participants throughout the period of performance, and project coordinators will be hired to ensure that project goals and objectives are met.

Project Narrative File(s)

* Mandatory Project Narrative File Filename:

[Add Mandatory Project Narrative File](#)

[Delete Mandatory Project Narrative File](#)

[View Mandatory Project Narrative File](#)

To add more Project Narrative File attachments, please use the attachment buttons below.

[Add Optional Project Narrative File](#)

[Delete Optional Project Narrative File](#)

[View Optional Project Narrative File](#)

ESF-RWP PROJECT NARRATIVE

Contents

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Project Services and Project Design – Absolute Priority One 5
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Management Plan and Resources 16
Implementation Plan and Timeline for Key Grant Activities 16
Performance and Project Specific Measures 18
Baseline Data 20
Performance Targets 21
Data Collection and Reporting 22

Project Description: On behalf of New York State (NYS) Governor Andrew Cuomo and the NYS Workforce Investment Board (SWIB), the NYS Department of Labor (NYSDOL) is submitting the following application for ESF-RWP funding for review and consideration. NYS is applying for [redacted] in federal funding to deliver a multi-pronged initiative designed to respond to the economic and workforce consequences resulting from the global coronavirus pandemic. The SWIB and NYSDOL will partner with the Empire State Development Corporation (ESD), Governor Cuomo’s 10 Regional Economic Development Councils (REDCs), and the State and City Universities of New York (SUNY and CUNY). Led by the NYS Office of Workforce Development (OWD), Governor Cuomo’s statewide coordinator of agency workforce projects, this partnership, comprised of economic and workforce entities, is poised to respond quickly to workforce need. With an abundance of forethought and reliant on the

combined experience of the project partnership, NYS presents this proposal as the best approach to support its economic recovery. This proposal has the strong support of NYS business and economic leaders, including the Business Council of NYS, the Partnership for New York City (NYC), and the NYS Regional Economic Development Councils.

COVID-19 may have permanently changed the way that we can safely conduct business in NYS. It is certain that, for the time being, things cannot go back to the way they were. This new reality will create a swell of opportunity for dislocated workers, entrepreneurs and existing businesses poised to seize them. NYS's proposed approach consists of four elements.

Element One – As NYC has been the hardest hit by COVID-19 with over half of the total cases in NYS – 227,724 cases out of 427,803 as of August 20th, 2020 – the CUNY system will train NYC residents for in-demand digital transformation sectors such as data analytics, cybersecurity, advanced logistics/supply chain, digital marketing and communications, and software development.

Element Two – SUNY will leverage its existing “Stay Near, Go Far” initiative to train participants in any one of its 30 community colleges throughout the balance of NYS. The training will focus on high growth areas including technology, healthcare, and advanced manufacturing initially, with growth into other areas including, but not limited to, entrepreneurial skills. Elements one and two are critical, because one thing that workforce development professionals agree on is the need for emphasis on training in exponential technologies such as artificial intelligence; augmented and virtual reality; data science; digital biology and biotech; medicine; nanotech and digital fabrication; networks and computing systems; robotics; and autonomous vehicles. The proposed trainings align with compelling research on the future of work conducted by the Lumina Foundation, Opportunity America, and JPMorgan Chase

demonstrating that shorter, more accessible, and affordable trainings are critical to creating new opportunities for adult learners and workers.ⁱ

Element Three – ESD will train entrepreneurs through a series of intensive workshops and boot camps so that they can more effectively establish and run their own business in this new environment. Elements one through three, when combined, will leave NYS poised to launch a host of upskilled workers and new business entrepreneurs ready to respond to the urgent needs of New Yorkers.

Element Four – Given NYS’s wide geographic and economic diversity, there is no way to specifically target just one area of need in the wake of this crisis. To address this diversity of industries and economic demand, we intend to work with Governor Cuomo’s 10 REDCs to issue solicitations, including Requests for Applications (RFAs), to identify industry-driven programs to train job seekers and small business owners to meet local employment needs. NYS’s 10 REDCs are the primary mechanism to identify local economic development opportunities and challenges, and are comprised of industry, academia, non-profits, and other local leaders who advise NYS on strategic regional economic investments. Solicitations that address the specific needs of these diverse communities will be designed using the REDCs local economic intelligence. These solicitations will also provide NYS with the flexibility to design programs during the grant period of performance that address economic and workforce development needs that do not exist at the present time.

Statement of Need – Corona Virus Burden

NYS has been, and continues to be, severely burdened by COVID-19. In addition to placing in the top quintile on elements measured in Appendix A of the ESF-RWP Application Instructions, NYS is faced with such issues as high numbers of COVID-19 related deaths;

widespread mass layoffs documented through WARN notices; and historically high unemployment.

NYS has the highest number of reported COVID-19 deaths in the country (32,553 as of 8/20/2020), and a record number of worker dislocations as evidenced by over-the-year change in Unemployment Insurance initial claims. An average of 151,611 people per week have filed a new claim since March 14, 2020 for a total of 3.48 million new claims. For the week ending August 15, 2020, initial claims for Unemployment Insurance (UI) increased over the past year by 414% (including out-of-state residents) in NYS. Initial claims for UI increased by a minimum of 208% in each of the 10 labor market regions in NYS. Many of these dislocations were also reported in Worker Adjustment and Retraining Notification (WARN) notices. In the five months from March to August 2020, over 1,800 WARN notices were reported to NYSDOL, far more (1233%) than the 135 reported during the same period in in 2019.

There are also immediate and anticipated long term effects on students, employers, non-profits, small businesses, and economic development in NYS. Social distancing and other public health directives to slow the spread of COVID-19 have severely disrupted everyday life for all New Yorkers. The need to socially distance and reduce participant density has created an environment where students have limited access to face to face education and training programs, and in many cases have lost family sustaining wages from programs (e.g., apprenticeships) designed to allow them to earn while they learn. This has increased the demand for and underscored the importance of remote learning opportunities, such as those included in elements one and two of this proposal.

NYS is in uncharted territory for businesses. The small business sector is a major contributor to the foundation of the NYS economy, accounting for 98 percent of all businesses in

NYS and employing more than 52 percent of the NYS private sector workforce. Today, NYS has more than 523,000 small business proprietors, employing more than four million people.ⁱⁱ Many of these businesses will remain closed permanently, increasing the need for entrepreneurship and small business ownership training offered in element three.

Project Services and Project Design – Absolute Priority One

NYS is applying for funding under Absolute Priority One, to create, develop, implement, and take to scale short-term educational programs and training courses or programs, and/or career pathways programs, (elements one, two, and four of this proposal) including those focused on facilitating and strengthening entrepreneurship and small business ownership (elements three and four of this proposal). As a large state with a diverse economy there is no one-size-fits-all approach to training that meets the needs of the NYS workforce, a matter further complicated by the continuing impact of the coronavirus pandemic. NYS is proposing a multi-pronged approach to address the diverse needs of NYS’s impacted business and workforce.

Regarding Competitive Preference Priority One (Distance Education), the reviewer will note that every element of this proposal includes didactic education, boot camps, and workshops that will principally be delivered remotely; this distance learning will allow individuals additional flexibility for attendance. In element four under this proposal, solicitation responses should propose trainings that may be, to the extent possible, based on job, skill, or industry, and delivered remotely. For those trainings which require in-person training, mechanisms for social distancing must be included. Allowable costs under the solicitation will include those associated with developing remote trainings, or transitioning those trainings which already exist to remote, didactic formats. Finally, expenses associated with providing to job seekers the technology necessary to access remote training may also be included in solicitation responses.

Regarding Competitive Preference Priority Two (Serving Lifelong Learners in Distressed Communities), the reviewer will also note that this proposal includes in it a focus on online, remote learning, in which participants can take part from any location across NYS. Therefore, participants in any of the 207 designated opportunity zones or rural communities in NYS (not including those in NYC) will have the same opportunities as those in more suburban or urban locations. In NYC there are 307 designated opportunity zones out of NYS's 514. CUNY's Upskilling Initiative (described in further detail below) will be able to conduct outreach to and train participants in each one of those 307 zones. Our partners' programmatic elements within this proposal will include hybrid courses of online and – as appropriate – safe, hands-on exposure to learning material, adding flexibility in response to the scheduling and/or technology needs of New Yorkers in opportunity zones. In element four of this proposal, solicitation responses should identify the Opportunity Zones and rural areas to be served, and methodology for recruiting hard-to-reach residents of these areas.

The, SWIB, NYS OWD and NYSDOL will partner with ESD, REDCs, SUNY, and CUNY to implement the four distinct, yet intertwining elements mentioned above. Across all elements, NYSDOL and OWD will coordinate with our partners to identify the best central mechanism to ensure that all credentials and competencies awarded under this proposal meet the ESF-RWP requirements of full transparency and interoperability.

Partners and Planned Activities

NYSDOL/SWIB - Through its network of Local Workforce Development Boards (LWDBs), Career Centers will make services available to all participants that meet WIOA eligibility criteria. Services will complement and/or extend the partner ESF-RWP activities discussed below and will include, but not be limited to, initial and comprehensive assessments;

employment counseling; job search assistance; and supportive services during and after ESF-RWP participation.

CUNY Upskilling Initiative – CUNY is the nation’s largest urban public university. With 25 colleges spread across the NYC’s five boroughs, CUNY provides a first-rate public education to 275,000 degree-seeking students of all ages, means, and backgrounds. More than 80 percent of graduates stay in NYC, making CUNY a transformative engine of social mobility in NYS.

The CUNY Upskilling Initiative will be created and delivered in partnership with businesses and training providers to offer short-term skill and competency-based trainings which yield credentials in fields such as software development; digital marketing; data analytics; and user experience design. These credentials are recognized and respected by CUNY’s business partners, with the trainings themselves incorporated into their hiring process.

Unemployed and underemployed adults are the target population under this element. All marketing will be focused on low wage workers; alumni; stopped-out adult students; and dislocated workers from industries deeply impacted by COVID-19, including food, retail, and accommodations. Through social media channels and targeted email and text campaigns, CUNY will micro-target potential trainees and will also work with large business, associations, and union partners (e.g., Marriott, DC37, 1199SEIU, Hilton, Aramark) who have access to dislocated workers.

The pandemic has revealed in sharp relief the economic disparities that exist in communities of color. More likely to live in under-resourced economically distressed communities, underrepresented in higher wage occupations that can be worked remotely, and overrepresented in low wage direct service professions, communities of color have been and will continue to be hardest hit by COVID-19. According to the Center for an Urban Future, food

service, retail, and accommodation (sectors that pay low wages and employ more individuals of color) saw employment declines of over 70% in the past few months, while sectors like technology only experienced declines of 6%. The technology sector has historically drawn less than 10% of its workforce from underrepresented communities. Providing stable pathways out of poverty is precisely why CUNY is focused on Information Technology trainings to begin the Upskilling Initiative.

Trainings will focus on high-growth areas of digital transformation and exponential technologies. This initiative proposes to train 25,000 individuals by 2024 and will take to scale and sustain the CUNY Upskilling effort that is currently poised to yield 5,000 training completers in FY21ⁱⁱⁱ. To deliver this training, CUNY will be engaged with business partners such as Accenture, EY, Google, Salesforce, General Assembly, Northwell Health, Microsoft, IBM, and Revature, as well as educational providers such as General Assembly, IBM University, Salesforce.org, Amesite, and Coursera.

Courses currently being delivered under Upskilling efforts are done so remotely, as this tends to work best for adults in that program. Any scaling that takes place will continue to focus on remote learning, with possible hybrid courses incorporated to add flexibility in response to the scheduling needs for a wider variety of New Yorkers. Outreach will be made to participants who are likely to need training and upskilling, including, but not limited to, recent high school and college graduates; essential workers; residents of public housing; dislocated workers; and individuals in designated federal opportunity zones.

Supportive services under this program will include job coaching, retention coaching, and tutoring. They will be offered through the online platform technology that identifies struggling students. In addition to technology tools, instructors, support staff, and student success coaches

will be leveraged to ensure student recruitment and retention. It will be through CUNY’s business partnerships with the NYC CEO Council, mentoring programs, and technologies that use artificial intelligence (e.g., People Grove, Pymetrics, VMOCK) that CUNY will be sure to meet the increased demands of scale that this initiative will require.

In addition to funds acquired under the ESF-RWP, CUNY will be pursuing a United States Department of Labor (USDOL) Strengthening Community Colleges application due in October 2020 that will leverage many of these same ideas.

SUNY Stay Near, Go Far Initiative – SUNY is the largest comprehensive university system in the United States, spanning 64 college and university campuses located within 30 miles of every home, school, and business in NYS. Between September 2018 and August 2019 nearly 40,000 individuals registered for business and industry training at SUNY's 30 community colleges across NYS. Some were unemployed, while others were incumbent workers. Early this year, SUNY launched the “Stay Near, Go Far” campaign^{iv}, promoting SUNY's community colleges and workforce development programs. Building on that successful campaign, this grant will expand the workforce development training opportunities, targeting individuals impacted by COVID-19.

Under this ESF-RWP proposal, SUNY will train 1,800 individuals in partnership with SUNY’s 30 community colleges and training partners throughout the 36-month grant period. Staff will be hired to oversee and coordinate the initiative, identify industry training providers, and execute contracts with those providers. Each participant that successfully completes one of SUNY’s skills- and competency-based trainings will obtain a credential that is recognized and respected by industry employers. As training providers are identified, SUNY will partner with them and other partners under this proposal to ensure the credentials are interoperable. Some

SUNY colleges partner with Credly and IMS Global Learning Consortium. Post award, SUNY will determine the platform that best suits this initiative.

Trainings will focus on high growth areas including technology, healthcare, and advanced manufacturing initially, with growth into other areas including, but not limited to, entrepreneurial skills during the period of performance. In order to more effectively blend and braid funds, these programs can be listed on the Workforce Innovation and Opportunities Act (WIOA) eligible training provider list to ensure Career Centers can connect eligible participants with appropriate training funds, including ESF-RWP funds, to obtain these credentials.

Relationships currently exist with ed2go, MindEdge, Corning (Technician Pipeline Program), Northwell Health, and IBM. SUNY anticipates exploring relationships with additional training providers including, but not limited to, Amazon Web Services, Accenture, and Google. Each SUNY college works with businesses in their region and have advisory boards that provide input on program development. These relationships will be leveraged, and others will be explored.

Unemployed and underemployed adults are the target population for this program. Programs can be targeted to displaced workers and will prepare them with the skills necessary to immediately apply for employment. Outreach efforts will be further targeted to underserved/underrepresented populations; colleges can partner with local WDBs and CBOs to more effectively reach these populations. To support participants, SUNY's community colleges are engaged in Guided Pathways^v and Strong Start to Finish^{vi} projects focused on student success reforms, which will support getting students on a career pathway. Additionally, using the pathways framework, colleges will connect workforce training, apprenticeships, and noncredit programs with academic pathways focused on student completion. Some colleges are able to

provide bus passes and other transportation supports for students while enrolled. All SUNY community colleges have either a food pantry or stigma-free food access available to students. Finally, colleges can partner with Community Based Organizations in their communities to assist with other supports; many already have established relationships. The gaps and weaknesses in services, infrastructure, and opportunities identified under Element One also apply to the Stay Near, Go Far initiative.

ESD Entrepreneur Assistance – ESD has a proven track record of success with training new business owners. In 2019, ESD Entrepreneurship Assistance Centers (formerly known as the Entrepreneurial Assistance Program) provided instruction, training, technical assistance, and support services to individuals who had recently started their own business or were interested in starting a business. These centers assisted more than 2,050 entrepreneurs, developed over 300 business plans and exceeded 5,900 hours of counseling sessions. In 2018, the ESD Innovation Hot Spot and Incubator program supported over 400 companies creating 882 new jobs and retaining 432 jobs in NYS (2019 impacts still being collected).

ESD's element under this proposal will have two layers of oversight. First, a Project Manager at the ESD Division of Small Business and Technology Commercialization will be hired to spearhead and track boot camps and workshops, as well as engage community stakeholders to support this effort. Second, a Dean or Vice President of adult education will be the main implementation partner at each participating college campus. Under this proposal, ESD will create a series of entrepreneur boot camps and workshops to train and support displaced workers starting a business during and post-COVID-19. The boot camp series and workshops will teach foundational concepts, as well as more technical entrepreneurial topics including the foundations of starting a business; brand and marketing master class; financial model master

class; supply chain support; strategic partnerships; recruiting and hiring employees; and solution forums, a business technique that brings together experts and resources around a specific entrepreneurial bottleneck.

These boot camps will be offered by leveraging the existing network of entrepreneur support throughout ESD's Division of Small Business and Technology Commercialization, including 24 entrepreneur assistance centers, 10 regional hot spots, and 23 NYS-certified business incubators. These entities are a combination of not-for-profits, academic institutions and community development organizations. All three types of programs engage with industry-sector leaders to improve boot camp curriculum.

ESD proposes to provide follow-on support to all individuals through community space, office hours, solution forums, and an annual conference. Further, participants will be able to take advantage of the division's larger ecosystem including the ESD mentor network, business incubators, and hot spot tax incentives. Boot camps targeted specifically for Minority/Women-owned Business Enterprise (MWBE) communities are encouraged under current programs and several ESD programs already host MWBE-specific boot camps regularly. We propose to continue those programs and offer these targeted workshops in more regions under the ESF-RWP.

Completion of the boot camp indicates that participants have a baseline education on the pillars of entrepreneurship: customer discovery/product-market fit, financial literacy/financial model, marketing/branding, and legal basics (e.g., formation, intellectual property). Some of the boot camps are feeder programs for incubator tenancy and investment so there is a regional acceptance for these boot camps and the education they provide to entrepreneurs. ESD entrepreneur support currently serves a wide variety of industries (e.g., main street, scalable

business) and technology sectors including: restaurant/ food service, design, sales, life sciences and biotechnology, nanotechnology, data science, materials informatics, manufacturing and sustainable manufacturing, food and agriculture, photonics, and service industries.

ESD-funded boot camps bring foundational knowledge about running a business to entrepreneurs who do not normally have access to these types of programs because of an entrepreneur's availability; location of boot camps when compared to an entrepreneur's home; and locality resources, such as the availability of rural vs. metro resources. COVID-19 may have exacerbated the gap for low-income earners who are now displaced and cannot consider starting a new business in this new environment. The curriculum under this program is and will continue to be regularly updated to incorporate new practices in entrepreneurial development such as the Business Model Canvas^{vii} and the National Science Foundation's Innovation Corps (I-Corps).^{viii} Program stakeholders rely on market trends to dictate entrepreneurial education. For example, I-Corps was developed because of lean-launchpad principles stemming out of Silicon Valley and adopted by the National Science Foundation. This program is recognized nationwide as a leading entrepreneur training module and implemented across NYS.

NYS DOL/REDC Discretionary RWP Funding Program – Governor Cuomo's REDC initiative was designed to develop long-term strategic plans for economic growth spurred by challenges and opportunities in each of New York's 10 regions, comprised of public-private partnerships made up of local experts and stakeholders from business, academia, local government, and non-governmental organizations. Under this proposal, [REDACTED] in funding will be made available to NYS businesses and other training providers through a competitive solicitation process including, but not limited to, RFAs. The 10 REDCs will be charged with identifying priority potential projects that are responsive to the needs of business owners, job

seekers, and in-demand industry sectors in their region. To ensure the selected projects are fast-to-market programs with support from local businesses with hiring capacity, REDCs will engage LWDBs in the regional project selection process. Priority projects will be presented an interagency review committee convened by the NYS OWD and NYSDOL for scoring and selection of the strongest projects that meet listed criteria.

The solicitation will respond to the linked statewide issues of shortages of skilled workers and COVID-19-related unemployment and underemployment, and directly align NYS needs with Absolute Priority One requirements. This includes projects that create, develop, implement, replicate, and/or scale short-term education programs, training courses, career pathways, or industry sector-based education/training programs that 1) help new, displaced, unemployed, or underemployed workers find gainful employment in in-demand industry sectors, such as training small business owners to grow resilient businesses that can hire these workers; 2) are driven by employer and/or industry stakeholders; 3) strengthen small businesses and regional economic stability; 4) result in a transparent credential, preferably one that is stackable, for program participants; 5) are delivered, whenever possible, remotely; 6) target populations that have been historically marginalized; 7) provide necessary wraparound services to ensure participant success, including employment support; and 8) are provided at no-cost to participants.

To maximize funds and minimize time to launch, scoring priority will be given to proposals that modify or scale existing programs with track records of success rather than developing all new programs. LWDBs will be engaged in the regional project selection process because of their expertise identifying and deploying regionally focused workforce development projects. Proposals must be created or endorsed by local businesses with hiring capacity. Finally, because of the need for fast, responsive training programs, priority will be given to fast-

to-market on-the-job training, apprenticeship, pre-apprenticeship, or similar opportunities.

The solicitation will seek affirmation that proposed trainings and credentials are recognized within and used by leaders of in-demand occupational sectors to hire participants. Each of NYS's 10 regions may identify additional in-demand regional occupational sectors, but the following sectors have been identified as statewide priorities: advanced manufacturing; healthcare; technology; green jobs; transportation and logistics; skilled trades; education and childcare; and financial services. Credentials may be industry-driven badges, certificates, micro-credentials, or others signaled to be in-demand or used widely for hiring, or they may be those already developed and widely recognized. Possible examples include: Certified Information Systems Security Professional (CISSP); Project Management Professional (PMP); Childhood Development Associate (CDA); Commercial Driver's License (CDL); Licensed Practical Nurse (LPN); Certified Production Technician (CPT); or software certifications including AutoCAD or Microsoft Office Specialist (MOS). The solicitation will require that all credentials offered meet the ESF-RWP interoperability standards.

The solicitation will be designed to address the following REDC-identified gaps: lack of inventory of existing economic assets for training; COVID-19 exacerbated shortage of skilled workers; gaps in soft skills that prevent new workers from being successful; lack of marketing/outreach to reach historically excluded populations; lack of necessary support services to ensure success (e.g., childcare, transportation, and technology); lack of knowledge of transitioning small business operations and training programs to digital/online environments, and shortages of technology to do so; flexible programs that don't necessarily work towards a degree, and money to cover costs for students who would thus not be eligible for Pell or other financial aid; bridge programs for those without high school diploma or equivalent; and apprenticeship or

pre-apprenticeship opportunities. Further, solicitation respondents must assess services needed to ensure successful outcomes and address the need for identified supportive services including (either direct or by subsidy to job seeker), but not limited to, childcare; transportation; technology to access training services; support accessing healthcare, including mental health; stable housing; and food access.

Finally, the solicitation will allocate funds by region, with award amounts to be determined commensurate to the COVID-19 burden and economic development need. Allowable uses of funds will include, but not be limited to, direct training; creating or adapting existing training programs to digital/remote platforms; supporting business efforts to respond to COVID-19 challenges, especially transitioning to online platforms, where these actions will promote growth, resilience, and hiring; employability and foundation skill training that leads to badge/credential attainment that demonstrably supports hiring by employers and retention of employee; supportive services needed to effectively deliver training programs and ensure participant success; and marketing programs, especially those that reach and engage priority, historically marginalized, and hard-to-reach populations, including those in Federal Opportunity Zones and rural areas.

Management Plan and Resources

Implementation Plan and Timeline for Key Grant Activities

CUNY Upskilling Initiative – By Fall 2020, CUNY will be working with a partner organization, Amesite, to develop the course content and hire qualified instructors to pilot five digital transformation trainings in data analytics, cybersecurity, advanced logistics/supply chain, digital marketing and communications, and software development. The pilot will be implemented with two college partners; they will expand the offerings to five to six colleges and

increase programs to 10 by June 30, 2021. From July 2021 to June 2023 they will implement trainings and adapt content to fit local business need which will include healthcare and supply chain related programs as the economy in NYC improves. Concurrently, they will work with Salesforce and Revature to implement database administration trainings that will train 10,000 students from 2021 to 2023.

SUNY Stay Near, Go Far Initiative – From the Winter of 2020 to early Spring of 2021, SUNY will hire staff to oversee the initiative, identify industry training providers, and execute contracts with said providers. By early Summer of 2021, colleges interested in offering trainings will be identified and courses will begin to be marketed. Finally, from the end of Summer through the remaining period of performance, students will be recruited, enrolled, and complete trainings. Additional training providers may be added throughout the period of performance.

ESD Entrepreneur Assistance – The Fall of 2020, through Summer of 2021 will be the preparation and participant engagement phases. ESD will assess and schedule all existing entrepreneur boot camps currently offered in ESD’s network; create strategies to best leverage existing infrastructure for basic needs of the grant; work with existing networks to update and tailor fundamental boot camps to be available for displaced workers; gather key stakeholders to be partners in this initiative; create a working group to develop a technical workshop curriculum and workshop strategy (e.g., timing, location, marketing); work with existing networks and REDC to deploy all programming; and secure commitment for follow-up support services, which will be ESF-RWP funded.

From the Winter of 2021 through the end of the 36-month period of performance ESD will begin its workshop and boot camp training. In this time, they will deploy at least two fundamental boot camps annually in all regions; and deploy technical workshops in all regions at

least once annually. From the Summer of 2021 through the end of the period of performance, ESD will provide follow-up support to participants including working with ESD programs to inventory support services that can be made available to participants (e.g., mentoring, office/co-working space) and establishing pathways for participants to leverage different services; engaging boot camp/workshop participants to determine follow-up support services needed and match participants to relevant service providers; and tracking follow-up support needs. This information will be used as the basis for future programming to be incorporated into normal ESD-funded programs.

NYSDOL/REDC Discretionary RWP Funding Program – A single solicitation will be developed and released in the late Fall 2020, early Winter of 2021 to REDCs, with submissions due late Winter to early Spring of 2021. The resulting responses will be reviewed and awarded, using a NYSDOL scoring process, by an interagency workgroup convened by the NYS OWD no later than the end of Spring 2021. Resulting contracts, will be for up to 24 months, including program and credential development, training program delivery, and target at least six months of employment for participants or for those employed by employer participants.

Performance and Project Specific Measures

The NYS project will record participant data in the NYSDOL One-Stop Operating System (OSOS) case management system, and report on the required performance outcomes identified for applications addressing Absolute Priority One: a) the number of students served by the project; the percentage of students who enrolled in a program receiving grant funds who completed the program; b) the percentage of individuals who enrolled in a program receiving grant funds who were employed in the second quarter after exiting the program; c) the percentage of individuals employed in the second quarter after exit who are employed full-time

in an occupation that is directly related to the program of study; and d) The median earnings of individuals in (b) and (c). Outcome (a) will be captured using program enrollment, and attendance reports. Outcomes (b), (c), and (d) will be generated from a query of the NYS Tax and Finance wage reporting system. In addition to required performance measures, partner level project components may capture and report the additional outcome data described below.

CUNY Upskilling Initiative – Number of adult and/ or dislocated workers outreach/served; trainee starts; trainee completers; employed workers and/or wage increases; business engagement. These metrics include indicators for longer term impact as well as output measures that indicate a hiring/candidate pipeline for businesses.

SUNY Stay Near, Go Far Initiative – Number of students served by the project and percent of students who enrolled in a program who complete; percentage of individuals who enrolled in program who were employed in second quarter after exiting the program; percentage of individuals employed in second quarter after exit who are employed full-time in occupation directly related to program of study; median earnings of individuals in the second and third performance measure above.

ESD Entrepreneur Assistance – Metrics to be tracked include: number of boot camps/workshops; # of unique participants completing fundamental boot camp/technical workshops; cross-over of fundamental boot camp and technical workshops; subject matter most attended; follow-up services requested; number of participants operating their own business one and two quarters after boot camp; number of businesses still open after 12-months; and number of employees hired by participants since last report and medium salary.

NYS DOL/REDC Discretionary RWP Funding Program – Performance and project specific measures will align with those outlined in the ESF-RWP. For projects that support small

business owners, measures may include, but will not be limited to number, wage, and persistence of employed workers as well as growth of business over 6-18 months.

Baseline Data

CUNY Upskilling Initiative – CUNY has years of experience in large multi-campus initiatives including USDOL demonstration project serving 20,000 trainees, to large scale recruitment for the CUNY ASAP program, a national best practice in increasing community college credential attainment and graduation. As such, CUNY’s “funnel” of recruitment, enrollment, completion, and job outcomes is well-tested across a variety of workforce, education, and training programs serving adult learners, young adults, and dislocated workers.

The outreach baseline of 100,000 adults is based on an aggressive recruitment goal to meet the needs of the one million plus New Yorkers who are out of work. Based on the recruitment target, CUNY funnels down to enrolling 32% of learners, with 78% completing and 75% earning a job or wage increase. These are ambitious completion and employment rates given the strain of the economy, but by working closely with businesses upfront, CUNY will have an ability to train and see employment outcomes that increase each year over the three-year life of the grant. CUNY anticipates the high point of student enrollment to be Year 2, which will give businesses more time to stabilize amidst the economic shocks of COVID-19. CUNY will progressively increase the outreach and enrollment to the following performance targets for each of the three years: Year 1) 25%; Year 2) 40%; and Year 3) 35%.

SUNY Stay Near, Go Far Initiative – SUNY will begin with a baseline of zero (0) for the Stay Near, Go Far training initiative. While significant workforce development training is conducted by SUNY’s community colleges it is not tracked using the metrics required for this grant so it will be best to start fresh. Tracking of these grant activities will begin upon award.

ESD Entrepreneur Assistance - Baseline data is gathered annually from ESD current centers. These metrics are required to be reported at least annually. Each reporting center is required to attest that the submissions are true, and Innovation Hot Spots are further required to submit letters from client companies, affirming the metrics reported by each hot spot. Because of this, ESD attests that the numbers reported are valid. Additional performance targets not already collected include follow-on support programs and technical workshops. Currently ESD's main infrastructure provides boot camps that provide a foundational knowledge of entrepreneurship. ESD will expand these program offerings to further support new entrepreneurs after initial boot camps to help decrease failure rate, which will be tracked by the performance metric mentioned above (i.e., # of businesses still operating after 3, 6, and 12 months; # of employees hired; and medium salary).

NYSDOL/REDC Discretionary RWP Funding Program – As part of the solicitation, we will require baseline information on target populations and past experience with similar training that will be verified by REDCs, LWDBs, and NYSDOL. We may choose to establish minimum baselines of employment and wages for programs based on industry and region. Using NYSDOL expertise, we will ensure that costs associated with training are appropriate and that individual outcomes are ambitious based on sector/regional data.

Performance Targets

CUNY Upskilling Initiative - 100,000 adult workers/dislocated worker outreach/served; 32,000 trainee starts; 25,000 trainee completers; 18,750 employed workers and/or wage increases.

SUNY Stay Near, Go Far Initiative – 1,800 participants trained. It is anticipated that there will be a completion rate of 75% thus leading to 1,350 credentials. Of the 1,350

completing training 75%, or 1,000, will gain employment. Wages will vary depending on the field. As this initiative is specific to partnering with training providers and those relationships need to be solidified, meeting said targets is ambitious. That being said, given SUNY’s excellent track record of providing workforce development trainings, the goals are achievable. The targets will be met by the end of the grant period.

ESD Entrepreneur Assistance – ESD proposes to train a minimum of 3,000 individuals annually for a total of 9,000 newly trained entrepreneurs. Approximately 20% of small business fail in the first year; 66% survive the first two years.^{ix} Accordingly, the project goal is for approximately 2,000 new businesses created and survive past 12 months. The average income of a self-employed individual is \$50,000; therefore, this will be a target as well.

NYSDOL/REDC Discretionary RWP Funding Program – NYSDOL expects to make at least one award in each of the 10 NYS economic development regions. Size of awards and number of participants served will be determined during the solicitation development and award period; and be commensurate with the regional COVID-19 impact and economic development need. However, we anticipate training at least 570 participants at a cost of [REDACTED], or [REDACTED] per trainee to ensure that projects can reach the hardest-to-reach populations and provide appropriate wraparound services.

Data Collection and Reporting

CUNY Upskilling Initiative - CUNY will utilize existing performance management and student information systems to track outcomes. Notably, CUNY will use OSOS to ensure near real-time uploads to reflect performance. Finally, CUNY will hire a Project Manager to oversee the college consortium to ensure that all reporting and performance management is conducted on a monthly basis with real time technical assistance and capacity building if and when

performance problems arise.

SUNY Stay Near, Go Far Initiative – In addition to working with NYSDOL to track and report outcomes using OSOS, SUNY will also use Smartsheet, a program that they are already familiar with using under another active grant. As stated above, SUNY will also hire staff to oversee project activities and coordinate with NYS partners.

ESD Entrepreneur Assistance – ESD’s Division of Small Business and Technology Commercialization will commit a Project Lead to manage the boot camp and workshop series throughout the period of performance. This person will work with all strategic partners for timely meeting of project milestones and reporting. ESD programs will be required to submit semi-annual reports sharing the metrics outlined above. For reporting data submitted by boot camp/workshop participants, ESD will require a letter from that business affirming that figures reported are true. ESD currently tracks reports from all 70+ division-funded programs. Narratives and excel workbooks are submitted and stored in the division. Annually reported data will be summarized in a larger workbook to be shared by ESD. The division is working to develop a proprietary database to store reported metrics in an online format. ESD will make efforts to use OSOS for outcome tracking if it is compatible for reporting entities to use.

NYSDOL/REDC Discretionary RWP Funding Program – NYSDOL will manage the solicitation, including monitoring funds for acceptable use and intended outcomes. REDCs and LWDBs will partner with local stakeholders to identify and present priority projects that align with program requirements. REDCs and LWDBs will also provide direct support at the local level to award recipients to ensure program success by identifying additional business, training, and community-based organization partners. NYS OWD will oversee the creation of the solicitation and convene an interagency review group to review NYSDOL-scored applications

nominated for award. Contracts established under competitive solicitation will be monitored by the NYSDOL Program Development, Contracts, and Quality Assurance Units, described in greater detail in the section below.

NYSDOL Oversight - NYSDOL's mission is to protect workers, assist the unemployed, and connect job seekers to jobs. As a NYS agency with over 3,100 employees and an annual operating budget of more than [REDACTED], NYSDOL has fiscal resources and organizational capability to administer ESF-RWP and meet its objectives. Note these are pre-pandemic levels and NYSDOL's budget is much higher now.

The NYS workforce system uses OSOS to measure participant, project, and systemic outcomes. In addition to collecting and analyzing participant data, OSOS is the reporting tool used by NYSDOL to submit workforce performance outcomes to the United States Department of Labor (USDOL). As such NYSDOL is familiar with federal reporting guidelines and processes and is prepared to collect and submit ESF-RWP project data. To accurately track services provided to participants, they will be enrolled in OSOS and, as appropriate to their eligibility, considered in NYS's aggregate performance data. Grant funded services will be assigned unique cost codes, allowing for project disaggregation where necessary. Once an OSOS case file has been created, NYSDOL and partner staff will be able to collect, store, track, and analyze participant data to ensure compliance with federal requirements and grant terms.

Oversight of the ESF-RWP grant activities will be provided at the state level by the NYSDOL Program Development Unit. The unit has an extensive history of, and experience administering projects funded through competitively awarded grants. Among other projects, the Program Development Unit currently oversees the Federal Bonding program; the Fidelity Bonding Demonstration Grant; the Trade and Economic Transition National Dislocated Worker

Grant (TET-NDWG); the Opioid Employment Recovery NDWG; the Disability Employment Initiative (DEI) grant projects, and the recently awarded COVID-19 Disaster Recovery NDWG.

To ensure the effective implementation of workforce projects the NYSDOL Quality Assurance Unit employs a network of Program and Fiscal Monitors throughout the NYS. These monitors perform desk and site reviews of local projects and programs, provides technical support, and issues finding and areas of concern to identifies areas in need of improvement and corrective action. Quality Assurance and Program Development Unit Staff work together closely and when necessary implements an intensive project management program include bi-weekly reporting, monthly conference calls, and ongoing technical assistance. The project management point of contact then provides bi-weekly narrative, expenditure, and enrollment updates to senior-level staff. NYSDOL's administration of the many formula funded and grant funded projects, past NDWGs, and other statewide initiatives, demonstrates our ability to provide oversight of the ESF-DWG projects.

ENDNOTES

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- i <https://opportunityamericaonline.org/cuny-brief/>
<https://opportunityamericaonline.org/indispensable/>
<https://www.luminafoundation.org/resource/what-are-short-term-credentials/>
<https://www.publicnewsservice.org/2020-06-11/education/momentum-for-micro-credentials-builds-as-workers-seek-new-skills/a70487-1>
<https://www.edsurge.com/research/guides/a-lifetime-of-back-to-school-microcredentials-in-higher-education>
 - ii <https://esd.ny.gov/esd-media-center/press-releases/2019-small-business-saturday>
 - iii <https://www.cuny.edu/about/administration/offices/workforce/students/upskilling/>
 - iv <https://www.suny.edu/communitycollege/>
 - v <https://nyssc.org/institutes/>
 - vi <https://strongstart.org/engaging-at-scale/state-university-new-york>
 - vii <https://www.forbes.com/sites/allbusiness/2019/09/30/business-model-canvas-for-startups/#1578935034d9>
 - viii https://www.nsf.gov/news/special_reports/i-corps/
 - ix <https://www.sba.gov/sites/default/files/Business-Survival.pdf>

Other Attachment File(s)

* **Mandatory Other Attachment Filename:**

To add more "Other Attachment" attachments, please use the attachment buttons below.

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NOTE:

Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

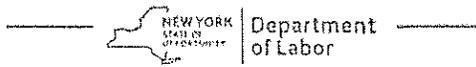
As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
19. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	
TITLE	Director of Finance
DATE SUBMITTED	08/21/2020
New York State Department of Labor	

Standard Form 424B (Rev. 7-97) Back



Andrew M. Cuomo, Governor
Roberta L. Reardon, Commissioner

CAROLYN PICCIRILLO
Assistant Director of Finance

[REDACTED]

Department of Labor
W. Averell Harriman State Office Campus
Building 12, Room 516, Albany, NY 12240
www.labor.ny.gov

January 27, 2020

Mr. Victor M. Lopez, Chief
Division of Cost Determination/OAMS/BOC/OASAM
U.S. Department of Labor
200 Constitution Avenue, N.W.
S-1510
Washington, DC 20210

Re: Indirect Cost Rate Proposal under OMB Guidance on Administrative Requirements,
Cost Principles, and Audit Requirements for Federal Awards for the Fiscal Year Ending
March 31, 2020

Dear Mr. Lopez:

Enclosed is the proposed Indirect Cost Rate for the NYS Department of Labor prepared in accordance with OMB guidance on Administrative Requirements, Cost Principles, and Audit Requirements for Federal awards (Exhibit 1).

Data in support of these proposals is on file in the Department with detailed State records available for review by federal auditors.

Based on the New York Statewide Cost Allocation Plan for the fiscal year ended March 31, 2020 the Department of Labor has developed a proposed Indirect Cost Rate for State Fiscal Year 2020 of [REDACTED]. We are requesting that the [REDACTED] rate be effective from April 1, 2020 to March 31, 2021.

Attachments to Exhibit 1 in support of this proposal include the following:

- Attachment A: Statewide Cost Allocation Plan for Fiscal Year 2019-2020
- Attachment B: Federal & State Program Personal Service Costs
April 1, 2018- March 31, 2019



Attachment C: Indirect Cost Rate Proposal Calculation for SFY 2020

In addition, we are including the following attachments which have been requested in previous years:

- Attachment D: Schedule of Personal Service Expenditure by Direct and Indirect for the period April 2018 to March 2019
- Attachment E: A Time Distribution Hours report by Direct and Indirect for the period of April 2018 to March 2019
- Attachment F: Schedule of all Expenditure broken down by Personal Services, Personnel Benefits, and NPS, as well as Direct and Indirect for the period April 2018 to March 2019
- Attachment G: Copy of the Status of Obligation Authority (NYGR0402) Reports for FFY 2018 Grants UI, Project 000000000018382, and FFY 2019 Grants UI, Project 000000000021438
- Attachment H: Schedule of Proposed Indirect Costs of Federal Programs by PMS based on the Personal Services costs for SFY2018-2019
- Attachment I: Schedule of all Indirect Expenditures for the period April 2018 to March 2019
- Attachment J: Schedule of Direct and Indirect Expenditures by category of account for the period April 2018 to March 2019

The Cost Allocation Plan for Collection Activities allocating the cost of assessing, processing and collecting taxes, interest, and penalties collected pursuant to the state unemployment compensation (UC) law between UC and non-UC purposes will be sent later.

If you have any questions with regard to this proposal, please direct them to Ms. Peg Farrell of my staff at [REDACTED]

[REDACTED]
Carolyn Piccirillo
Assistant Director of Finance

Attachments

NEW YORK STATE DEPARTMENT OF LABOR
INDIRECT COST RATE CALCULATION

The New York State Department of Labor's Indirect Cost Proposal is developed annually in accordance with guidelines provided in Office of Management and Budget guidance on Administrative Requirements, Cost Principles, and Audit Requirements for Federal awards. The Indirect Cost Rate for the New York State Department of Labor (NYSDOL) is developed as follows:

NYSDOL analyzed the New York Statewide Cost Allocation Plan for the fiscal year ending March 31, 2020 which shows the distribution of central support service costs to operating agencies and contains a distribution of building use charges for operating agencies not included in central support service costs. This plan is developed by Maximus and reflects the financial transactions recorded in the Statewide Financial System (SFS) and statistical data provided by certain Central Support Services Agencies (CSSAs).

NYSDOL analyzes each CSSA's Exhibit and the supporting schedules of total allocable costs and compares these costs to NYSDOL's accounting records. The allocable amount for SFY 2019-2020 (computations based on actual costs incurred in fiscal year April 1, 2017 - March 31, 2018) and the allocable costs for fiscal year 2017-18 (computations based on actual costs incurred in fiscal year April 1, 2015 - March 31, 2016) are verified and the variance between the projected and actual costs adjusts the total allocable costs. The reimbursements to the CSSA's are also verified with NYSDOL's accounting records and when necessary, the proper adjustments are made as shown in Attachment A (Statewide Cost Allocation Plan Fiscal Year 2019-20) to determine the net total adjusted allocable indirect cost.

The NYSDOL determines the percentage of Total Indirect Costs assignable to Federal Programs (Attachment B) and this percentage is used to compute the Federal Program Share of the Indirect Costs. The Federal program share of the indirect costs is then divided by the total Federal Personal Service Dollars to arrive at the Indirect Cost Rate for SFY 2020 (Attachment C).

Based on the New York Statewide Cost Allocation Plan for fiscal year ended March 31, 2020, the Department of Labor has developed a proposed Indirect Cost Rate for Fiscal Year 2020 of 2.36%. The following attachments support this proposal:

Attachment A -	Statewide Cost Allocation Plan Fiscal Year 2019-2020
Attachment B -	Federal and State Program Personal Service Costs April 1, 2018- March 31, 2019
Attachment C -	Indirect Cost Rate Proposal Calculation for SFY 2020

Exhibit 1

CERTIFICATE OF INDIRECT COSTS

This is to certify that I have reviewed the indirect cost rate proposal submitted herewith and to the best of my knowledge and belief:

(1) All costs included in this proposal dated January 27, 2020 to establish billing or final indirect costs rates for the time period beginning April 1, 2020 and ending March 31, 2021 are allowable in accordance with the requirements of the Federal award(s) to which they apply and in compliance with 2 CFR Part §200 – Uniform Administrative Requirements, Cost Principles and Audit Requirements of Federal Awards. Unallowable costs have been adjusted for in allocating costs as indicated in the cost allocation plan.

(2) All costs included in this proposal are properly allocable to Federal awards on the basis of a beneficial or causal relationship between the expenses incurred and the agreements to which they are allocated in accordance with applicable requirements. Further, the same costs that have been treated as indirect costs have not been claimed as direct costs. Similar types of costs have been accounted for consistently and the Federal Government will be notified of any accounting changes that would affect the predetermined rate.

I declare that the foregoing is true and correct.

Governmental Unit:

NYS Department of Labor

Signature:



Name of Official:

Carolyn Piccirillo

Title:

Assistant Director of Finance

Date of Execution:

January 27, 2020

ESF-RWP APPENDIX FOUR

Pursuant to Application Requirement Six (6) of the June 23, 2020 Notice Inviting Applications (NIA) for the FY 2020 Education Stabilization Fund—Reimagine Workforce Preparation (ESF–RWP) Grants Program, the NYS Workforce Investment Board (SWIB), along with all other partners identified in this proposal, provide our assurance that we will provide information to the United States Department of Education, as requested, for evaluations that the Secretary may carry out.



Karen Coleman
Deputy Commissioner of Workforce Development
New York State Department of Labor
Harriman State Office Campus, Building 12, Room 590
Albany, NY 12240

August 19, 2020

RE: Letter of Support for Reimagining Workforce Preparation Grants Application

Dear Mrs. Coleman,

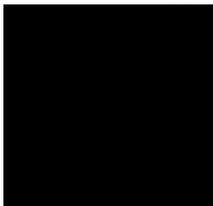
The City University of New York (CUNY) is pleased to support the New York State Department of Labor's application to the U.S. Department of Education's Education Stabilization Fund – Reimagining Workforce Preparation Grants program. CUNY commits to working in partnership with the New York State Department of Labor as a subgrantee on projects funded through the ESF-RWP, adhering to all requirements contained therein.

As the Executive Vice Chancellor and University Provost of the City University of New York (CUNY), I oversee the continuing education and workforce development programs at the nation's largest urban public university that serves over 270,000 degree-seeking students, and has over 250,000 enrollments in continuing education courses.

The Reimagining Workforce Preparation Grants presents CUNY with a unique opportunity to deliver low-cost, accessible, and relevant content to upskill New Yorkers in high-demand job areas and industries. Recent survey data from Strada Education Network indicates that Americans laid off due to the COVID-19 pandemic, plan to enroll in an educational or training program to improve their employment prospects by the end of 2020. That same survey found that among all respondents, if they lost their job, 35% would change career fields and 65% of career-changers would prefer to take non-degree skills training than pursue a degree.

CUNY's continuing education programs are ready to meet this need and help get the 938,000 laid off New York City residents back to work with the skills needed to join the workforce of tomorrow. Please give this proposal your full consideration. I highly recommend this project and look forward to actively contributing to its success.

Sincerely,



José Luis Cruz, Ph.D.
Executive Vice Chancellor and University Provost



August 20, 2020

Karen Coleman
Deputy Commissioner of Workforce Development
New York State Department of Labor
Harriman State Office Campus
Building 12, Room 590
Albany, NY 12240

RE: Letter of Support for Reimagining Workforce Preparation Grants Application

Mrs. Coleman,

The City University of New York (CUNY) is pleased to support the New York State Department of Labor's application to the U.S. Department of Education's Education Stabilization Fund – Reimagining Workforce Preparation Grants program. The CUNY commits to working in partnership with New York State Department of Labor as a subgrantee on projects funded through the ESF-RWP, adhering to all requirements contained therein.

As the University Executive Budget Director of the City University of New York, I oversee all budgetary matters at the nation's largest urban public university, that serves over 270,000 degree-seeking students and has over 250,000 enrollments in continuing education courses.

CUNY's mission is to provide affordable education to all New Yorkers and to remain responsive to the needs of the City's stakeholders. The Reimagining Workforce Preparation Grants presents CUNY with a unique opportunity to deliver low-cost, accessible, and relevant content to upskill New Yorkers in high-demand job areas and industries.

CUNY stands ready to meet the training needs of employers and help get the 938,000 laid off New York City residents back to work with the skills needed to join the workforce of tomorrow.

Please give this proposal your full consideration. I highly recommend this project and look forward to actively contributing to its success.

Sincerely,

A solid black rectangular box used to redact the signature of the Executive Budget Director.

Executive Budget Director
City University of New York



August 17, 2020

Karen Coleman
Deputy Commissioner for Workforce Development
New York State Department of Labor
Harriman State Office Campus
Building 12, Room 590
Albany, NY 12240

Empire State Development supports the New York State Department of Labor's Education Stabilization Fund-Reimagine Workforce Participation (ESF-RWP) Application. Empire State Development (ESD) commits to working in partnership with New York State Department of Labor as a subgrantee on projects funded through the ESF-RWP, adhering to all requirements contained therein.

ESD's commitment as a subgrantee will include entrepreneur assistance programs. These programs include entrepreneur training and follow-on support for workers displaced by the COVID-19 pandemic throughout New York State. Entrepreneur assistance will be offered across 34 ESD-funded organizations with the capacity to support at least 7500 newly-trained entrepreneurs over the course of the grant.

Empire State Development believes entrepreneur assistance is necessary and aligns with ESF-RWP because small business is the backbone of a thriving economy. Small businesses create more than half of all jobs in the US. Training and supporting displaced workers to develop their companies will have a strong positive impact on the post-COVID economy.

We are excited to support the ESF-RWP application and feel strongly that participating in this award will have a significant impact on workers most affected by the COVID-19 pandemic.

Sincerely,



Eric Gertler
Acting President & CEO, Empire State Development
Acting Commissioner, NYS Department of Economic Development



The State University
of New York

Johanna Duncan-Poitier

Senior Vice Chancellor
for Community Colleges
and the Education Pipeline

State University Plaza
Albany, New York 12246

www.suny.edu

August 18, 2020

Karen Coleman
Deputy Commissioner for Workforce Development
New York State Department of Labor
Harriman State Office Campus
Building 12, Room 590
Albany, NY 12240

Dear Deputy Commissioner Coleman:

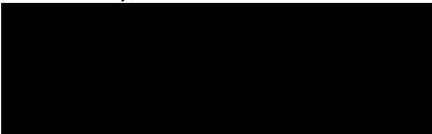
The State University of New York (SUNY) strongly supports the New York State Department of Labor's Education Stabilization Fund-Reimagine Workforce Participation (ESF-RWP) Application. SUNY commits to working in partnership with the New York State Department of Labor as a subgrantee on projects funded through the ESF-RWP, adhering to all requirements contained therein.

SUNY's commitment as a subgrantee will focus on SUNY's Stay Near, Go Far initiative that will train individuals from across New York State at SUNY's 30 community colleges. We will identify industry training providers to partner with the community colleges to offer short-term, in-demand training programs with an initial focus on IT, healthcare and advanced manufacturing technicians. Employers and Workforce Development Boards (WDB) will be consulted to ensure the trainings meet employers' needs.

SUNY's unrivalled statewide reach allows us to bring these programs to individuals in areas highest hit by the coronavirus pandemic and will particularly target dislocated workers helping them quickly return to employment. We are also pleased that this will strengthen and expand the relationships between SUNY colleges and the local WDBs.

This partnership with the New York State Department of Labor will help train individuals affected by the pandemic to provide them with the skills necessary to reenter the workforce and help enable economic growth and development in regions across New York State.

Sincerely,



Senior Vice Chancellor for Community Colleges
and the Education Pipeline

To Learn
To Search
To Serve



35 State Street
Albany, New York

Mailing Address:
Post Office Box 9
Albany, New York
12201-0009
www.rfsuny.org

August 19, 2020

Karen Coleman
Deputy Commissioner for Workforce Development
New York State Department of Labor
Harriman State Office Campus
Building 12, Room 590
Albany, NY 12240

Dear Ms. Coleman,

The Office of the Senior Vice Chancellor for Research and Economic Development at The State University of New York – System Administration is pleased to partner with the New York State Department of Labor in the application, "Education Stabilization Fund-Reimagine Workforce Participation (ESF-RWP)."

Should this project be awarded by the U.S. Department of Education, The Research Foundation for SUNY, on behalf of SUNY System Administration, will participate as a sub-awardee, as outlined in the proposal, for the three-year period expected to start on 9/1/2020.

Funding in the amount of [REDACTED] will support costs related to training 1,800 individuals from across New York State at SUNY's 30 community colleges.

We look forward to working on this important initiative.

Sincerely,

[REDACTED]

Jay Barclay
Operations Manager, SUNY System Administration-VCRED,
The Research Foundation for the State University of New York
Sponsored Programs Office

Budget Narrative File(s)

* **Mandatory Budget Narrative Filename:**

[Add Mandatory Budget Narrative](#)

[Delete Mandatory Budget Narrative](#)

[View Mandatory Budget Narrative](#)

To add more Budget Narrative attachments, please use the attachment buttons below.

[Add Optional Budget Narrative](#)

[Delete Optional Budget Narrative](#)

[View Optional Budget Narrative](#)

New York State – Application for Grants under the Education Stabilization Fund – Reimagine Workforce Preparation Discretionary Grants Program

In accordance with the Department of Education Budget Summary Form (ED 524) Sections A & B submitted with this application, below is a narrative description of proposed costs for New York State Department of Labor’s (NYSDOL’s) Education Stabilization Fund – Reimagine Workforce Preparation (ESF-RWP) Discretionary Grants Program. Proposed costs are described for each cost category listed on the budget summary form:

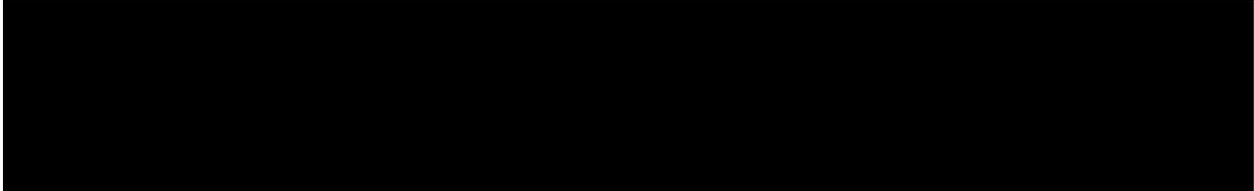
1) **Personnel:** [REDACTED]

State level salary costs for a New York State Department of Labor (NYSDOL) Project Manager for the proposed 36-months in the project period. The position will be a Workforce Programs Specialist III [REDACTED] [REDACTED] and will be budgeted at approximately 1.07 full-time equivalents (FTEs) for the proposed project period. This position will manage NYSDOL’s portion of the project, and will coordinate management of project functions between project partners at the state-level. Duties will include fiscal monitoring, reporting, auditing, contracting, facilitating timely implementation of the project, and completion of any required reports.

[REDACTED]

2) **Fringe Benefits:** [REDACTED]

Represents the fringe benefits associated with staff salaries. Composite federally funded position fringe benefit rate of approximately [REDACTED] as projected by the New York State Division of the Budget. Fringe benefit components consist of: Health Insurance, Pensions, Social Security, Workers' Compensation, Employee Benefit Funds, Dental Insurance, Unemployment Benefits, Vision Benefits, and Survivors' Benefits.



3) **Travel:** [REDACTED]

No funds are requested for this cost at the grantee level.

4) **Equipment:** [REDACTED]

No funds are requested for this cost at the grantee level.

5) **Supplies:** [REDACTED]

No funds are requested for this cost at the grantee level.

6) **Contractual:** [REDACTED]

To deliver a multi-pronged initiative designed to respond to the economic and workforce consequences resulting from the global coronavirus pandemic, the SWIB and NYSDOL will partner with the Empire State Development Corporation (ESD), Governor Cuomo's 10 Regional Economic Development Councils (REDCs), and the State and City Universities of New York (SUNY and CUNY). Below is a summary of the planned costs needed to support the activities described in the project narrative for each of the state-level project partners:

- *Partner:* City University of New York (CUNY)

A total of [REDACTED] will be transferred to support the CUNY system in training residents of New York City for employment in the in-demand sectors of digital transformation. Following is a summary of CUNY’s planned costs:



- *Partner:* State University of New York (SUNY)

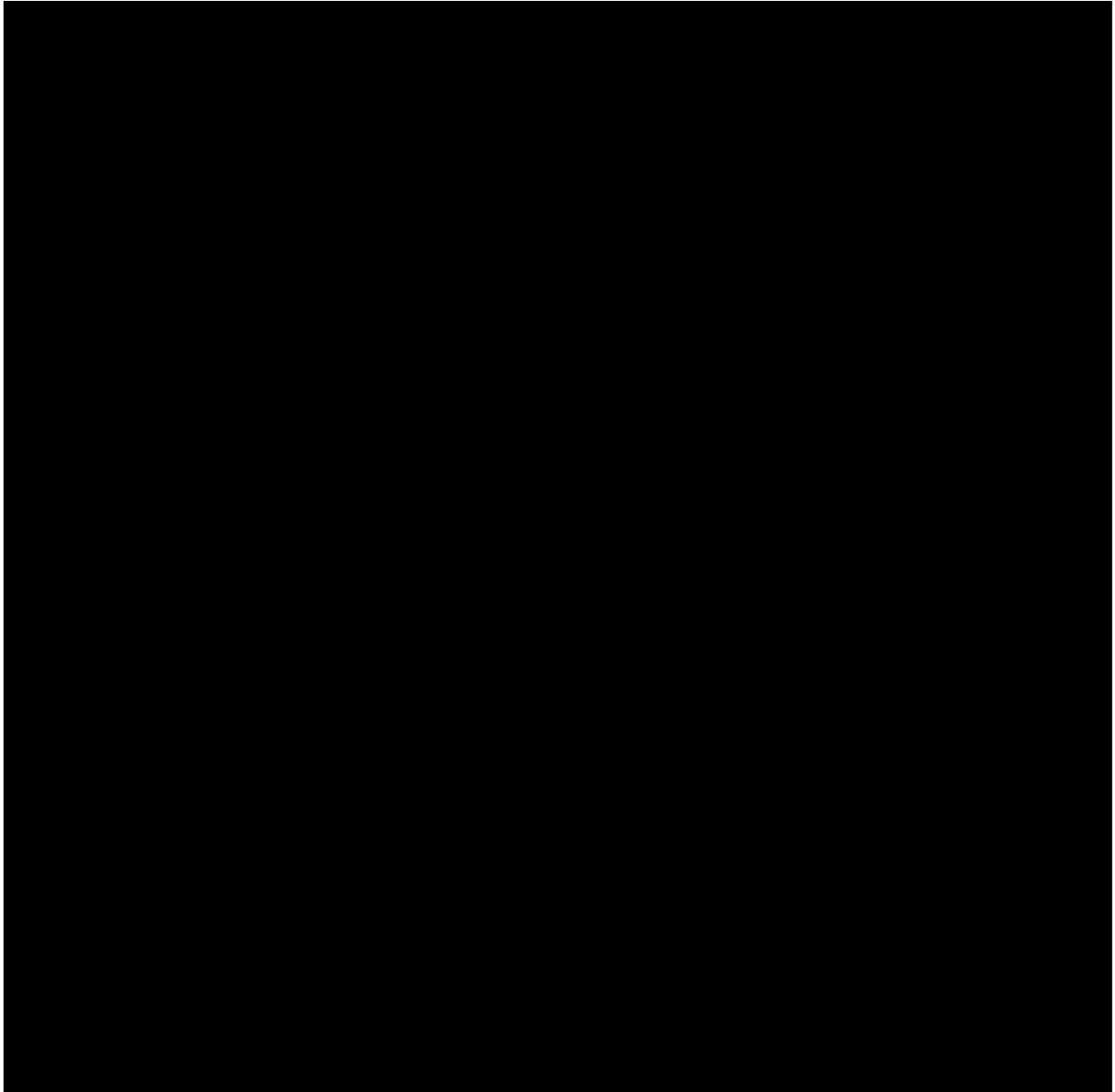
A total of [REDACTED] will be transferred to SUNY, who will utilize its existing “Stay Near, Go Far” initiative to train participants in any one of its 30 community colleges throughout the balance of New York State (not including NYC). The training will focus

on high growth areas including technology, healthcare, and advanced manufacturing initially, with growth into other areas including, but not limited to, entrepreneurship skills. Following is a summary of SUNY's planned costs:



- *Partner:* Empire State Development Corporation (ESD)

A total of [REDACTED] will be transferred to ESD, who will train entrepreneurs through a series of intensive workshops and boot camps so that they might more effectively establish and run their own business in this new environment. The following is a summary of ESD's planned costs:



- *Partner:* NYSDOL, in partnership with Governor Cuomo’s 10 Regional Economic Development Councils (REDCs) and the Office of Workforce Development.

A total of [REDACTED] will be issued through solicitations, including Requests for Applications (RFAs), by NYSDOL to identify industry-driven programs to train job seekers and small business owners to meet local employment needs. The REDCs will design the solicitations to ensure that each is designed to address the specific needs of each community.



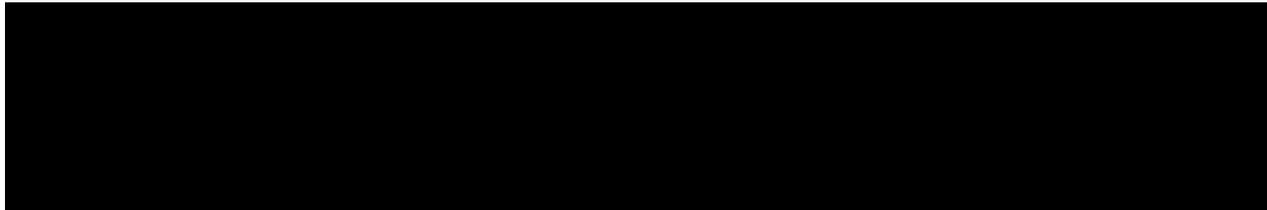
7) **Construction:** [REDACTED]

No funds are requested for this cost at the state level.

8) **Other:** [REDACTED]

Includes the project's equitable share of NYSDOL Non-Personnel Services (NPS) categories. These types of costs are accumulated in cost centers on a monthly-basis and then distributed to the project based on full-time equivalent (FTE) positions charged to each project within the cost center. The NPS categories included in Other Costs are supplies, communications, equipment rent, equipment expense, premises rent, premises expense, services, and capital expenditures. Costs are estimated at approximately [REDACTED] annually per FTE.

- [REDACTED]



9) **Total Direct Costs:** [REDACTED]

10) **Indirect Costs:** [REDACTED]

Includes NYSDOL department-wide administrative services and technical support (AS&T) overhead related to direct costs. NYSDOL's current AS&T methodology is approved by the USDOL Office of Cost Determination. This allocation distributes the monthly actual AS&T

costs to all projects within the NYSDOL based on department-wide FTEs charged to the project in our accounting system. AS&T costs are calculated as follows:

- [REDACTED]

Also includes NYSDOL’s Indirect Rate for statewide central service costs. The Indirect Rate for each year is calculated by NYSDOL and submitted for review and approval to the USDOL Office of Cost Determination. The proposed rate for the current year is [REDACTED] of personnel costs. Due to the length of the USDOL review process, the calculated rate for the year is established in the NYSDOL accounting system at the time of the request so the entire year can be charged appropriately. As such, future year rates will be implemented automatically via the NYSDOL accounting system.

- [REDACTED]

The latest approved Indirect Cost Rate Agreement is attached to this application for documentation but has expired, and the proposed rate covering April 2020 – March 2021 being used is under USDOL review. Both documents are attached in the Other Attachments Form in Grants.gov.

11) Training Stipends: [REDACTED]

No funds are requested for this cost at the grantee level.

12) Total Costs: [REDACTED]

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C.1352

OMB Number: 4040-0013
Expiration Date: 02/28/2022

1. * Type of Federal Action: <input type="checkbox"/> a. contract <input checked="" type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	2. * Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input checked="" type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. * Report Type: <input checked="" type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change
--	--	--

4. Name and Address of Reporting Entity:

Prime SubAwardee

* Name:

* Street 1: Street 2:

* City: State: Zip:

Congressional District, if known:

5. If Reporting Entity in No.4 is Subawardee, Enter Name and Address of Prime:

6. * Federal Department/Agency: <input type="text" value="Department of Education"/>	7. * Federal Program Name/Description: <input type="text" value="Education Stabilization Fund"/> CFDA Number, if applicable: <input type="text" value="84.425"/>
--	---

8. Federal Action Number, if known: <input type="text"/>	9. Award Amount, if known: \$ <input type="text"/>
--	--

10. a. Name and Address of Lobbying Registrant:

Prefix * First Name Middle Name

* Last Name Suffix

* Street 1: Street 2:

* City: State: Zip:

b. Individual Performing Services (including address if different from No. 10a)

Prefix * First Name Middle Name

* Last Name Suffix

* Street 1: Street 2:

* City: State: Zip:

11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when the transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

* Signature:

* Name: Prefix * First Name Middle Name

* Last Name Suffix

Title: Telephone No.: Date:

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