NEW YORK STATE URBAN DEVELOPMENT CORPORATION
d/b/a Empire State Development

NEW YORK STATE OF OPPORTUNITY™ | Entrepreneurial Assistance Program

New York State
Entrepreneurial Assistance Program
Request for Proposals in Three Target Areas:

Greater Harlem Area (East, West and Central/Community Boards 9, 10 and 11)

PROPOSAL DUE DATE AND TIME: June 18, 2015 at 4:00PM
(Late proposals cannot be accepted)

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EXHIBITS/APPENDICES

BACKGROUND

I. Introduction

Empire State Development ("ESD") requests proposals for grant funding to be made available from its Entrepreneurial Assistance Program ("EAP") for entrepreneurial assistance program centers ("EAP Centers"). ESD will award a grant to not-for-profit corporations, community colleges and boards of cooperative educational services ("BOCES") pursuant to the procedure set forth below.

II. Purpose

The Omnibus Economic Development Law of 1987 authorizes ESD, through the EAP, to issue contracts to not-for-profit corporations, community colleges and BOCES for the development of community-based EAP Centers. The Centers provide intensive assistance in enterprise development to minority group members, women, dislocated workers and individuals with special needs:

- seeking to start or are starting their own business ventures; or
- seeking to expand their early-stage firms (1-5 years).

EAP Centers provide comprehensive counseling and training assistance to a relatively small number of clients (40 - 80 during a one-year period). The emphasis is on:
developing lasting business and problem-solving skills so that minority, women and individuals with special needs learn to independently and successfully manage and grow their businesses; and generate concrete results related specifically to business creation, increased sales, expanded employment, and financing secured.

These Centers are operated by community-based organizations with close ties to local residents, which enable them to adapt services to local needs and demands.

III. Guidelines

A. Eligibility Requirements

1. Projects

ESD seeks proposals for the creation and operation of EAP Centers which will have the following effects in the community in which it will be located:

1. increase business ownership among minority group members and women;
2. help minority and women-owned startups make the transition into small-growth companies;
3. increase access to financing by minority and women-owned firms;
4. significantly-expand sales among minority and women-owned firms; and
5. creation of private sector jobs.

An EAP Center proposed hereunder must provide the following program services:

A. Enterprise Formation Assistance. One 60-hour entrepreneurship supplemented by a minimum of 10 hours of intensive technical assistance to help new entrepreneurs complete business plans and to help them develop a viable business. Technical assistance should encompass refinement of business concept, break-even analysis and financial management, and marketing plans and market development.

B. Enterprise Expansion Assistance. Centers shall maintain ongoing relationships with clients who have taken the entrepreneurship course in order to assist those new businesses to become small-growth companies and to become certified with the Division of Minority and Women's Business Development. Enterprise expansion technical assistance shall include but is not limited to the following: working capital and cash flow management, general management skills, new market development, hiring and managing employees, managing growth, and accessing credit and capital.

2. Organizations

The following types of organizations are eligible to apply:

- a not-for-profit corporation, operated by a board of directors representing community leaders in business, education, finance and government;
- a community college or university; or
- a Board of Cooperative Educational Services.

In addition, the applicant organization must be located in an area accessible to minority group members, women and other target populations.

ESD encourages proposals which are joint ventures between community-based organizations, local government, private and public lenders, and other service providers in the region.

3. Project Area

Projects proposed must serve the entirety of the following areas:

- Greater Harlem Area (East, West and Central—Community Boards 9, 10 and 11).

4. Performance Goals and Timeline

EAP funding is administered through a performance-based contracting system that is designed to generate measurable concrete results in business creation, sales increases, increased access to financing, and job creation. The project work-plan detailing the Centers major activities is outlined in the attached Tasks and Timeline (Appendix A). EAP minimum performance standards are listed in Appendix B. EAP Centers are expected to meet or exceed these requirements within the contract year.

5. Reporting Requirements

Grantees awarded under this RFP must prepare and submit progress and financial reports. Reports shall be in a form provided by ESD and shall contain information on, but not limited to, the following:

- ❖ A program narrative between 5-10 pages is required, this does not include attachments and other required back-up documentation. The narrative, (not a list of activities or itinerary) should discuss and highlight the activities initiated or performed in the areas below and in the Appendix A Tasks and Timeline on pages 9-18 included in this application. Furthermore, it should clearly state what impact these activities had on the overall operations of the program and/or impacts on customers.

- ❖ The applicant's documented commitment to affirmative action principles as outlined in Item V page 8 Non-Discrimination and Contractor & Supplier Diversity.

- Outreach to the Target Market Populations – Describe outreach activities during the report period to alert minority group members and women to the services of the program. Provide copies of letters, articles, brochures, advertisements and other promotional materials.

- Program Accomplishments – Provide quantitative and qualitative information on program progress and accomplishments during the reporting period. Client Narrative – Discuss and/or highlight on-going services provided to specific clients (i.e., business plan development in process, special technical assistance being provided.

- Quarterly Client Statistical Report - Use EAP on-line database (instructions will be provided under separate cover).

- Coordination and Operational Linkages with Other Sources of Business Assistance – Describe efforts to coordinate and establish linkages with other organizations, public and private, to serve minority group members and women that are seeking to start businesses or are in the early stages of business development or are looking to expand an existing business. Identify organizations and summarize nature of coordination of linkages.

- Advisory Group Activity – Describe assistance to EAP clients and/or the program, include any problems encountered or barriers to implementation experienced in attempting to carry out program goals and objectives.

- Program Modifications/Work Plan Changes – Describe any needed program or work plan modifications. (All modifications/changes must be made in writing and must be approved by ESD prior to implementation.)

- Success Stories (with photographs, if available) – Submit at least two (2) success stories on organizational letterhead, with client consent forms.

- Business Plans – Submit completed business plans for EAP enrollees with the final narrative report.

- Provide narrative information on training programs, seminars, special activities, etc. (including upcoming events and new training materials).

- Submit copies of attendance sheets and program or trainer evaluation forms.

- EAP Centers shall report tracked information regarding these clients in aggregate. This information includes, but is not limited to:

    - Number of clients who started new businesses or expanded existing businesses;
    - Number of jobs created and retained by these new businesses or expanded businesses and the industry sector in which they work;
    - List of the top ten areas of inquiry from potential entrepreneurs;
    - Number of clients who received additional support, the type of support they receive (EAP classes, Business Mentor NY, etc.), and the number of hours those services were provided; and
    - Amount of funds invested in the new or expanded business.

- The EAP Center shall maintain documentation of progress related to each of the objectives listed above and submit quarterly reports as outlined in the Tasks and Timeline on pages 9-21 in this application.

- EAP also provides business service support to The New York State Office for New Americans (ONA). The ONA helps New Americans fully participate in New York State civic and economic life. NYS is committed to strengthening New York State's welcoming environment for New Americans and facilitating their success. For more detailed information on the Office of New Americans please go to http://www.newamericans.ny.gov/about/about.html.

  As part of this collaboration with ONA, EAP Centers along with their respective Small Business Development Center (SBDC) will provide ONA staff with basic guidance on how to screen clients for entrepreneurial potential which includes but is not limited to:

    - Client skill sets and past employment;
    - Access to capital (minimum usually 20% of targeted business capitalization);
    - Capacity to register and own a business;
    - Personal motivation, ability to self-direct activities, market potential; and
    - Personal/financial background factors relevant to starting a business.

  EAP will teach a start-up introductory business seminar an average of two (2) times a year at each ONA Opportunity Center assigned.

  Provision of the above-listed ONA services is estimated to cost no more than $750 per ONA Opportunity Center, inclusive of, but not limited to: materials; transportation/travel of instructors; after-hours stipends, etc.

6. Program Monitoring and Evaluation

The quality of services provided to clients is a major concern of ESD, and is therefore tracked closely through but not limited to on-site visits, interviews with clients and client satisfaction surveys, and review and verification of reports and data submitted in the program year. Funded centers will be required to:

- Create, maintain and update client files and include documentation of all services and activities provided to each EAP participant. Client files should consist of, but not be limited to, the following:
    - Intake, update and exit forms;
    - Technical Assistance Tracking Forms;
    - Evaluation Forms; and
    - Other client forms/information (i.e. training, graduation, assessments, surveys, success stories, work plans, etc.);
- Maintain EAP on-line client database; and
- Track the progress of each client throughout the duration of the project and after if applicable.

Each grantee using the EAP on-line database will complete a Program Intake Form, Program Update/Exit Form(s), and Client Technical Assistance Logs for each person accepted into the program. Program Intake Forms must be signed and dated by the EAP client and submitted with final reports. Client Technical Assistance Logs must be signed and dated by EAP Director, Counselor or authorized staff member. Information collected on these forms is used to measure the impact of the program on individual clients and their businesses. Information collected will be kept confidential and will be used only for statistical purposes and ESD program staff to verify compliance with project goals. Copies of the forms and additional information on reporting will be provided to all awardees.

IV. Funding

ESD intends to award 1 grant but reserves the right, in the exercise of its sole discretion, not to award any grant based upon responses received to this RFP or for any other reason.

The selected applicant will receive a grant of up to $73,000 contingent upon the availability of funds and approval from the Division of Budget. As a condition of an EAP contract, an applicant must contribute an amount equal to 100% of the amount of funding provided by ESD. This matching contribution shall come from non-State sources and may not include enrollment fees. Fifty percent (50%) of the match must be cash. Future financial support will depend on the center's performance, its adherence to contract terms and the availability of funds. Under this performance-based system, the following procedures will be implemented:

- Centers eligibility will be evaluated throughout the contract year on its overall year-to-date performance in fulfilling program objectives and in meeting projected service outcomes. Based upon the center's performance, the availability of funds and adherence to contract terms, ESD will negotiate subsequent program and budget funding with the center. Centers that do not meet contract goal requirements for 2 consecutive years may not be re-funded.

- This Program is funded through ESD's Entrepreneurial Assistance Program (EAP) and projects must therefore conform to the regulations of the EAP Program. The grant is to be used only for the purposes stated in the organization's application or otherwise approved, in writing, by ESD.

V. Non-Discrimination and Contractor & Supplier Diversity

Empire State Development's Non-discrimination and Contractor & Supplier Diversity policy will apply to this initiative.

Pursuant to New York State Executive Law Article 15-A, Empire State Development ("ESD") recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified minority and women-owned businesses in the performance of ESD contracts. It is the policy of the State of New York and ESD, to comply with all federal, State and local laws, policies, orders, rules and regulations which prohibit unlawful discrimination because of race, creed, color, national origin, sex, sexual orientation, age, disability or marital status, and to take affirmative action in working with contracting parties, to ensure that Minority and Women-owned Business Enterprises ("M/WBE") and Minority Group Members and Women share in the economic opportunities generated by ESD's participation in projects or initiatives, and/or the use of ESD funds. Applicants / Grantees shall use Good Faith Efforts to maximize the participation of Minority-owned & Women-owned Business Enterprises wherever feasible.

VI. Scope of Work

APPENDIX A

Entrepreneurial Assistance Program
TASKS and TIMELINE
(Subject to Change)

Task #	Task Description	Anticipated Time Schedule	Person Responsible	Reimbursable Upon Completion of Task
				Disbursement of initial 50% upon execution of contract and submission of Exhibit G: Payment Requisition
1	Outreach efforts to: • new and prior years' clients; and • Business Mentor NY new mentees and mentors.	Ongoing	Program Staff	
2	Assessment and enrollment of clients.	Ongoing	Program Staff	
3	Classroom training	EAP training should be completed within the first 6 months of the contract period. This will allow grantees time to work with current program graduates in addition to prior year clients served.	Program Staff	

Entrepreneurial Assistance Program
TASKS and TIMELINE
(Subject to Change)

Task #	Task Description	Anticipated Time Schedule	Person Responsible	Reimbursable Upon Completion of Task
4	Statistical data must be maintained and entered into the EAP Database quarterly: • 1st quarter - June 1, 2015 through August 31, 2015; • 2nd quarter - September 1, 2015 through November 30, 2015; • 3rd quarter - December 1, 2015 through February 28, 2016; and • 4th quarter – March 1, 2016 through May 31, 2016). Note that no statistical data can be entered after the database goes off-line on May 31, 2016 at 11:59pm (No exceptions)	Ongoing	Program Staff Important Note: Discrepancies in client statistical report data must be reported prior to or at the time of report submission. No changes will be accepted after the EAP program report is finalized, unless a written request has been submitted and approved by EAP Director.	
5	It is a contract obligation to maintain and update EAP client files. This includes all program and client documentation forms including but not limited to, intake/update, technical assistance, program evaluations, statement of client services, etc. (files may be reviewed and/or audited at any time during the contract year or as noted in Terms and Conditions of this contract)	Ongoing	Program Staff	

Entrepreneurial Assistance Program
TASKS and TIMELINE
(Subject to Change)

Task #	Task Description	Anticipated Time Schedule	Person Responsible	Reimbursable Upon Completion of Task
6	First - Client Statistical Report • A printed copy of the Performance Status Report; • A printed copy of the Outcome List for All Clients (Detailed Status Report) • A full client narrative report • Note and Certification Section (See EAP Reporting Memorandum dated June 2015 or format and submission requirements)	Period Covering: August 1, 2015 through August 31, 2015 Due: September 15, 2015 Deadline date for entering client information, statistical data and running reports in the on-line database for the First quarter is August 31, 2015.	Program Staff Important Note: Discrepancies in client statistical report data must be reported prior to or at the time of report submission. No changes will be accepted after the EAP program report is finalized, unless a written request has been submitted and approved by EAP Director.	
7	Second - Client Statistical Report • A printed copy of the Performance Status Report; • A printed copy of the Outcome List for All Clients (Detailed Status Report) • A full client narrative report • Note and Certification Section	Period Covering: September 1, 2015 through November 30, 2015 Due: December 15, 2015 Deadline date for entering client information, statistical data and running reports in the on-line database for the second quarter is November 30, 2015.	Program Staff Important Note: Discrepancies in client statistical report data must be reported prior to or at the time of report submission. No changes will be accepted after the EAP program report is finalized, unless a written request has been submitted and approved by EAP Director.	

Entrepreneurial Assistance Program
TASKS and TIMELINE
(Subject to Change)

Task #	Task Description	Anticipated Time Schedule	Person Responsible	Reimbursable Upon Completion of Task
7 (con't)	(See EAP Reporting Memorandum dated June 2015 for format and submission requirements)			
8	Interim Report: • Full narrative covering all program activities to date, (i.e., training/counseling outreach, accomplishments, advisory group, etc.); and • Submission of Exhibits H-1 and H-6.	Period Covering: June 1, 2015 through December 31, 2015 Due: January 15, 2016	Program Staff Important Note: Discrepancies in client statistical report data must be reported prior to or at the time of report submission. No changes will be accepted after the EAP program report is finalized, unless a written request has been submitted and approved by EAP Director.	
9	Third - Client Statistical Report • A printed copy of the Performance Status Report; • A printed copy of the Outcome List for All Clients (Detailed Status Report)	Period Covering: December 1, 2015 through February 28, 2016 Due: March 15, 2016	Program Staff Important Note: Discrepancies in client statistical report data must be reported prior to or at the time of report submission.	

Entrepreneurial Assistance Program
TASKS and TIMELINE
(Subject to Change)

Task #	Task Description	Anticipated Time Schedule	Person Responsible	Reimbursable Upon Completion of Task
9 (con't)	• A full client narrative report • Note and Certification Section (See EAP Reporting Memorandum dated June 2015 for format and submission requirements)	Deadline date for entering client information, statistical data and running reports in the on-line database for the Third quarter is February 28, 2016.	No changes will be accepted after the EAP program report is finalized, unless a written request has been submitted and approved by EAP Director.	
10	Continued training and technical assistance (i.e., client advisory group, marketing, accounting services etc.) Outreach efforts to other community-based organizations for collaborative efforts.	On-going	Program Staff	
11	Fourth - Statistical Report • A printed copy of the Performance Status Report; • A printed copy of the Outcome List for All Clients (Detailed Status Report) • A full client narrative report • Note and Certification Section	Period Covering: March 1, 2016 through May 31, 2016 Due: June 15, 2016 Deadline date for entering client information, statistical data and running reports in the on-line database for the fourth quarter is May 31, 2016 at 11:59PM.	Program Staff Important Note: Discrepancies in client statistical report data must be reported prior to or at the time of report submission.	

Entrepreneurial Assistance Program
TASKS and TIMELINE
(Subject to Change)

Task #	Task Description	Anticipated Time Schedule	Person Responsible	Reimbursable Upon Completion of Task
11 (con't)	(See EAP Reporting Memorandum dated June 2015 for format and submission requirements)		No changes will be accepted after the EAP program report is finalized, unless a written request has been submitted and approved by EAP Director.	
12	FINAL Report which includes the following: (See EAP Reporting Memorandum dated June 2015 for format and submission requirements): • Full narrative covering new program activities and anything not reported previously, (i.e., training/counseling, outreach, accomplishments, advisory group activities); • Submission of all program forms (i.e., intake/update, evaluations, technical assistance tracking, statement of services, business plans etc.); • 1-2 Success Stories (with signed client consent form(s)); and • Submission of Exhibits H-1 and H-6.	Period Covering: June 1, 2015 through May 31, 2016 Final 50% goal attainment is required at this time. Due: June 15, 2016 Deadline date for submitting subsequent program documentation in addition to entering client information and statistical data into the on-line database is May 31, 2016 at 11:59PM (No exceptions). Project Completed/Closed May 31, 2016	Program Staff Important Note: Discrepancies in client statistical report data must be reported prior to or at the time of report submission. No changes will be accepted after the EAP program report is finalized, unless a written request has been submitted and approved by EAP Director.	All reimbursement requests must include required back-up documentation. (See reporting requirements memo. Disbursement of up to 50% upon: Submission of back-up documentation for 100% of the total project costs as per the project budget in Exhibit D if not yet submitted; Approval of required reports; Submission of Exhibits H-1 and H-6.

Entrepreneurial Assistance Program
TASKS and TIMELINE
(Subject to Change)

Task #	Task Description	Anticipated Time Schedule	Person Responsible	Reimbursement Upon Completion of Task
12 (con't)	Please provide an overview of how you have integrated the NxLeveL curriculum into the EAP program of services and how it is working.	Period Covering: June 1, 2015 through May 31, 2016 Due: June 15, 2016	Program Staff	Disbursement will not be made until Affirmative Action has signed off; Disbursement of final payment and 10% retainage upon completion of all program requirements.
13	Final - Client Statistical Report • A printed copy of the Performance Status Report for the entire contract year • A printed copy of the Outcome List for All Clients (Detailed Status Report) for the entire contract year; • A full client narrative report only for those clients not included in previous reports • Note and Certification Section	Period Covering: June 1, 2015 through May 31, 2016 Due: June 15, 2016	Program Staff Important Note: Discrepancies in client statistical report data must be reported prior to or at the time of report submission. No changes will be accepted after the EAP program report is finalized, unless a written request has been submitted and approved by EAP Director.	

Entrepreneurial Assistance Program
TASKS and TIMELINE
(Subject to Change)

Task #	Task Description	Anticipated Time Schedule	Person Responsible	Reimbursable Upon Completion of Task
13 (con't)	(See EAP Reporting Memorandum dated June 2015 for format and submission requirements)			
14	Final Payment Requisition See Exhibit F: Disbursement Terms for Details and Requirements for Reimbursement.	Period Covering: June 1, 2015 through May 31, 2016. Requests for Exhibit C approvals, Salary Schedule changes Budget Modifications, and/or Contract Amendments must be received by May 31, 2016. Contract Expiration Date: September 30, 2016 All payment requisitions must be received by July 31, 2016.	Program and Finance Staff	All reimbursement requests must include required back-up. Submission of back-up documentation for 100% of the total project costs as per the project budget in Exhibit D if not yet submitted; Approval of required reports; Submission of Exhibit H and MWBE report. Disbursement will not be made until Non-Discrimination and Contractor & Supplier Diversity has signed off; Disbursement of final payment and 10% retainage upon completion of all program requirements.

APPENDIX A-1

Office of New Americans
TASKS and TIMELINE
(Subject to Change)

Task #	Task Description	Anticipated Time Schedule	Person Responsible	Reimbursement Upon Completion of Task
1	Department of State – Office of New Americans ("ONA") • EAP Center to provide ONA center staff with basic guidance/information regarding how to screen clients for entrepreneurial potential, as well as familiarity with services offered by the staff, including but not limited to: • Client skill sets as past employment; • Access to capital (minimum 20% of targeted business capitalization; • Capacity to register and own a business; • Personal motivation, ability to self-direct activities, market potential; and • Personal/financial background factors relevant to starting a business.	Ongoing October 1, 2015 through September 30, 2016	Program Staff	Reimbursed $375 for each seminar completed, up to 2 start-up business seminars per year, per ONA per center assigned. Funding for ONA is dependent upon availability and receipt of funds from the Department of State.

Office of New Americans
TASKS AND TIMELINE
(Subject to Change)

Task #	Task Description	Anticipated Time Schedule	Person Responsible	Reimbursement Upon Completion of Task
2	First ONA Quarter Start-up Seminar - Present an introductory starting your own business seminar an average of two times a year at the assigned Office of New Americans Center.	Between October 1, 2015 and December 31, 2015	Program Staff	Reimbursed $375 for each seminar completed, up to 2 seminars per year, per ONA center assigned. Funding for ONA is dependent upon availability and receipt of funds from the Department of State.
3	Quarterly Seminar Report- The submission of a chart/table (to be provided electronically) should be submitted after each seminar and include (a) EAP Center, (b) ONA Center(s) assigned, (c) date seminar(s) was held; (d) # of attendees; and Name of EAP presenter and any ONA staff present.	Due: January 15, 2016	Program Staff	

Office of New Americans
TASKS and TIMELINE
(Subject to Change)

Task #	Task Description	Anticipated Time Schedule	Person Responsible	Reimbursement Upon Completion of Task
4	Third ONA Quarter Start-up Seminar- Present an introductory starting your own business seminar an average of two times a year at the assigned Office of New Americans Center.	Between April 1, 2016 and June 30, 2016	Program Staff	Reimbursed $375 for each seminar completed, up to 2 seminars per year, per ONA center assigned. Funding for ONA is dependent upon availability and receipt of funds from the Department of State.
5	Third Quarter Seminar Report- The submission of a chart/table (to be provided electronically) should be submitted after each seminar and include (a) EAP Center, (b) ONA Center(s) assigned, (c) date seminar(s) was held; (d) # of attendees; and Name of EAP presenter and any ONA staff present.	Due: July 31, 2016	Program Staff	

Office of New Americans
TASKS and TIMELINE
(Subject to Change)

Task #	Task Description	Anticipated Time Schedule	Person Responsible	Reimbursable Upon Completion of Task
6	Provide follow-up business services to ONA clients enrolled in the NYS Entrepreneurial Assistance Program Should services to ONA clients go beyond the business seminar (e.g. enrollment in EAP) clients should be entered into the EAP database and tracked as any other EAP client would be.	Ongoing October 1, 2015 through September 30, 2016	Program Staff	
7	Year-end Report – ONA Narrative including but not limited to: 1. A description of assistance provided to ONA staff, materials provided and a copy of the syllabus and handouts, sign-in sheets and any other relevant documentation; 2. General overview of the business development seminar and its strengths and weaknesses; 3. Comments on the process in general and any suggestions for improving the delivery of services; 4. All documentation required for reimbursement should be attached to the Exhibit G-2 Office of New Americans Seminar (i.e., payroll register, fringe, Exhibit C and approval letter, travel and or materials expense.	Due: October 15, 2016	Program Staff	

APPENDIX B

ENTREPRENEURIAL ASSISTANCE PROGRAM
2015 – 2016 Annual Program Goals
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(Subject to Change)

1. The Entrepreneurial Assistance Program encourages the start of new businesses and the continuous development of existing businesses. Each Center enhances the entrepreneurial, management and administrative skills of business owners in New York State, specifically whose businesses are less than five years of age and those who are planning to start one. Sixty hours of training, supplemented by more extensive technical assistance, is provided directly to clients. The aim is to help entrepreneurs develop a viable business and to assist new firms to make the transition to small growth companies.

2. Signs stating, "Funding provided by a grant from the Empire State Development Entrepreneurial Assistance Program", should be visible to clients and the general public entering the Center.

3. Listed below are the minimum performance standards for the 2015-2016 Fiscal Year from August 1, 2015 through May 31, 2016 for grants up to $73,000 (based on 10 months of program service).

CLIENTS/BUSINESSES	
New Clients Enrolled	12
Prior Clients	12
Businesses Started	5
Businesses Saved	4
EXISTING BUSINESSES	
Number of firms with increased sales	4
Aggregate amount of increased sales	$145,000
Number of firms with expanded employment	2
Number of new employees	6
Number of firms with retained employment	3
Number of retained employees	5
START-UP BUSINESSES	
Number of firms with increased sales	2
Aggregate amount of increased sales	$50,000
Number of firms with expanded employment	2
Number of new employees	3

APPENDIX B

ENTREPRENEURIAL ASSISTANCE PROGRAM
2015-2016 Annual Program Goals
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FINANCING (for start-up and existing businesses)	
Financial packages developed	7
Financial packages approved	5
Amount of financing secured	$166,000
BUSINESS PLANS COMPLETED	
New Enrollments/Prior Year	13
MWBE	
MWBE Certification Applications Developed	7
Veterans	
New Clients Enrolled	4
Businesses Started	3
Business Mentor NY	
New mentorship clients enrolled	16
New mentors enrolled	3
New engagements facilitated	8

Grantees are required to meet all of the minimum performance standards listed above. Those EAP Centers that do not meet the minimum of at least 75% of the standards listed above may not receive the final 10% of the grant amount.

VII. Evaluation and Selection Criteria

ESD will evaluate proposals based on the following criteria, not necessarily in order of importance:

- the applicant's understanding of program goals and objectives as outlined in the request for proposals;
- the need for and anticipated impact of the proposed EAP center on the community in which it will function and the expected outcomes of the program;
- the qualifications and experience of staff of the proposed EAP center;
- the extent to which the applicant has experience providing business management and technical assistance to clients;
- The applicant’s financial wherewithal to operate and perform according to the EAP guidelines;
- the extent to which the applicant has been effective in assisting in creating new enterprises and expanding struggling businesses in the target area;
- the extent to which the applicant has been effective in assisting clients to access capital;
- the extent of economic distress in the area(s) to be served;
- the applicant's knowledge of existing resources and service gaps in the community and its ability to coordinate services with existing sources of new and small business assistance in the community and region;
- the level of participation in the proposed EAP center of local leaders in post-secondary education, business, finance and government;
- the level of financial and other assistance provided at the State, federal and local levels, including private resources, to support the operations of the proposed EAP center;
- the ability of the applicant to meet EAP guidelines and requirements as outlined in the Tasks and Timelines;
- the plans of the proposed EAP center to supplement State, federal and local funding through fees for services which may be on a sliding scale based on clients ability to pay; and
- the applicant's documented commitment to Non-Discrimination Contractor & Supplier Diversity as noted in Item V page 8 of this RFP.

VIII. Definitions

- Clients Enrolled – Individuals that have enrolled in the program during the respective quarter, and fit into one of the following categories:

  1. client requires extensive training, technical assistance and related services in business plan development and/or improved business skills. (This client registers and pays for the EAP components, which includes 60 hours of classroom training and at least 10 hours of extensive technical assistance and related services.)

  OR

  2. client that requires extensive one-on-one individual attention in specific area(s) i.e., financial packaging, accounting, marketing, etc. (This client registers and pays for the EAP technical assistance, which includes a minimum of 10 hours or extensive technical assistance and related services.)

- Start-up – A business that has no prior history or legal documentation and/or has been in existence for less than one year.

- Existing Business – A business that has been in operation for one or more years and is legally documented as a formal business, e.g., DBA, filed tax forms, LLC, etc.

- Prior Clients Serviced – Those clients that were enrolled in the EAP during a *past* contract year and require additional services in the *current* contract year.

- Business Started – Legally formalized company as a result of EAP training and/or assistance and made at least $1.00 or more in sales.

- Business Retained – <u>As a result of EAP assistance a business avoided failure</u>. This would mean <u>meaningful</u>, <u>in-depth assistance</u> on the part of the EAP center, at a minimum the client received at least 10 hours of staff service.

- Existing and Start-up Businesses w/Increased Sales – The *number* of companies that increased sales in the reporting quarter.

- Dollar Amount of Increased Sales (Existing and Start up) – Dollar amount of increased sales reported by the businesses for the reporting quarter.

- Existing and Start-up Businesses w/Increased Employment – The *number* of businesses that hired new employees in the reporting quarter/year.

- Increased Employees – The number of employees hired by existing and start-up businesses in the reporting quarter/year. Two part-time employees equate to one full time employee. Enter part time employees as .50.

- Number of Firms with Retained Employment – Firms that without EAP center assistance would not have been able to retain current employment.

- Number of Retained Employees – Employees that were retained due to assistance from EAP center.

- Number of Financial Packages Developed – Packages developed with the assistance of the EAP staff and submitted to a micro-loan fund or a financial institution in the reporting quarter.

- Number of Financial Packages Secured – Number of packages (loans/grants) approved by a micro-lender or financial institution in the reporting quarter.

- Dollar Amount of Financial Packages Secured – Dollar amount of financing secured in the reporting quarter.

- Business Plan – A business plan is a written description of a client's business. It's a document that describes what the client plans to do and how they plan to do it. It is a program requirement that each new enrollment complete a working business plan by the end of the contract year with the assistance of the EAP center. In some instances finalizing a business plan may continue into the next contract year, this should be noted in the client narrative and the business plan completed as soon as possible.

- Grant Disbursement Agreement ("GDA") is a formal agreement or contract that is made on the terms and by the parties listed and relates to the Project described in the Directors' Materials and includes all exhibits, requirements, attachments and related documentation for contract compliance.

- Annual Goal – The numeric outcomes established for the contract year and made part of the grant disbursement agreement. Reported data is measured against the goals established to determine results to date. The statistical data is not the exclusive benchmark used in determining a center's performance.

- Verification Process – Director and/or Project Associate may contact clients to verify satisfaction of services and/or business impacts reported by each. This is a random sampling.

- Minority Group Member - Shall mean a United States citizen or permanent resident alien who is and can demonstrate membership in one of the following groups: (i) Black persons having origins in any of the Black African racial groups; (ii) Hispanic persons of Mexican, Puerto Rican, Dominican, Cuban, Central or South American descent of either Indian or Hispanic origin, regardless of race; (iii) Asian and Pacific Islander persons having origins in any of the Far East countries, South East Asia, the Indian subcontinent or the Pacific Islands; and (iv) Native American or Alaskan native persons having origins in any of the original peoples of North America.

- M/WBE Certification - The minority and women-owned business program is designed to assist the growth and development of businesses owned and controlled by women and members of minority groups. An important activity of the program is to increase the participation of those businesses in the procurement activities of New York State.

    - To be eligible a firm must obtain its certification through New York State's Division of Minority and Women Business Development by successfully demonstrate the following:

    - All firms seeking MBE or WBE certification must be owned, operated and controlled by minority members and/or women.

    - The ownership must be real, substantial and continuing, and the minority members and/or women must exercise the authority to independently control the day-to-day business decisions.

    - In addition each minority or woman who has an ownership interest in the firm must have a net worth which does not exceed 3.5 million dollars. This calculation should not include the ownership interest in the applicant firm, the primary residence of the owner(s), and $500 thousand of present cash value of any qualified retirement savings plan, or individual retirement account held by the individual less any penalties for early withdrawal.

    - The firm cannot exceed 300 employees, must be independent and authorized to do business in New York State. Generally, the business must be in operation for at least one year.

- Office of New Americans – In 2013, New York Governor Andrew M. Cuomo established the Office for New Americans (ONA) in to assist newcomers to New York State who are eager to contribute to our economy and become part of the family of New York State. For more detailed information on the Office of New Americans please go to http://www.newamericans.ny.gov/about/about.html.

- NYS Business Mentorship Program - Business Mentor NY is the state's first, large scale, hands-on mentoring program geared to help all entrepreneurs and small business owners. The program allows small business to view and search profiles of over 500 experts in various fields, to find a volunteer mentor to help solve problems and grow their business. Small business owners and entrepreneurs find mentors in three easy steps—1) Create a profile; 2) Browse mentoring profiles; and 3) Reach out to mentors. The Business Mentor NY network includes lawyers, accountants, business consultants, and successful entrepreneurs in various fields who are volunteering their time to help businesses with everything from reviewing insurance policies to managing cash flow. To learn more about Business Mentor NY please go to http://businessmentor.ny.gov/.

IX. Submission of Proposals and Inquiries

Complete the request for proposals ("RFP") and submit four hard copies and one electronic copy (on a flash device or CD) no later than June 18, 2015 at 4:00 p.m. to:

Edgar Camacho
Contracts and Procurement Specialist, Contract Administration
Empire State Development
633 Third Avenue, 35th Floor
New York, NY 10017
Attn: ESD Entrepreneurial Assistance Program 2015 RFP

Please submit questions and/or inquiries by E-mail to eap2015rfp@esd.ny.gov no later than June 4, 2015.

X. Schedule of Dates

Activity	Date
• Release of RFP	May 28, 2015
• Deadline for Submission of Questions	June 4, 2015
• Deadline for ESD to Respond to Questions	June 11, 2015
• Will there be a pre-bid meeting?	No
• Submission of Proposals	June 18, 2015 / 4:00PM
• Anticipated Start Date	August 1, 2015 (Pending board approval and availability of funds)

XI. Miscellaneous Conditions

The issuance of this RFP and the submission of a response by a firm or the acceptance of such a response by ESD does not obligate ESD in any manner. ESD reserves the right to:

- amend, modify or withdraw this RFP;
- revise any requirement of this RFP;
- require supplemental statements or information from any responsible party;
- accept or reject any or all responses hereto;
- extend the deadline for submission of responses hereto;
- negotiate or hold discussions with any firm and to correct deficient responses which do not conform to the instructions contained herein;
- cancel, or reissue in whole or in part, this RFP, if ESD determines in its sole discretion that it is its best interest to do so; and
- extend the term of any agreement on terms consistent with this RFP.

ESD may exercise the foregoing rights at any time without notice and without liability to any responding firm or any other party for its expenses incurred in preparation of responses hereto or otherwise. All costs associated with responding to this RFP will be at the sole cost and expense of the responding firm.

All information submitted in response to this RFP is subject to the Freedom of Information Law (FOIL), which generally mandates the disclosure of documents in the possession of ESD upon the request of any person unless the content of the document falls under a specific exemption to disclosure. In addition, all Proposals may be discussed at meetings of the ESD Directors, which meetings are subject to the Open Meetings Law.

ESD reserves the right, in its sole discretion, without liability, to utilize any or all of the RFP responses, including late responses, in its planning efforts. ESD reserves the right to retain and use all the materials and information, and any ideas or suggestions therein, submitted in response to this RFP (collectively, the “Response Information”) for any purpose. By submitting a Response, each Respondent waives any and all claims against ESD relating to ESD’s retention or use of the Response Information.

XII. Required Documentation

1. State Finance Law Sections 139-j and 139-k

State Finance Law Sections 139-j and 139-k (collectively, the "Procurement Requirements") apply to this RFP. These Procurement Requirements: (1) govern permissible communications between potential respondents and ESD or other involved governmental entities with respect to this RFP; (2) provide for increased disclosure in the public procurement process through identification of persons or organizations whose function is to influence procurement contracts, public works agreements and real property transactions; and (3) establish sanctions for knowing and willful violations of the provisions of the Procurement Requirements, including disqualification from eligibility for an award of any contract pursuant to this RFP. Compliance with the Procurement Requirements: (1) all communications regarding this RFP, from the time of its issuance through final award and execution of any resulting contract (the "Restricted Period"), be conducted only with the designated contact persons listed below; (2) the completion by respondents of the Offerer Disclosure of Prior Non-Responsibility Determinations, and the Offerer's Affirmation of Understanding of and Agreement pursuant to State Finance Law (each form is accessible at the Required Forms for Vendors link at the ESD web site under "RFPs/RFQs"); and (3) periodic updating of such forms during the term of any contract resulting from this RFP. **Respondents must submit the Offerer Disclosure of Prior Non-Responsibility Determinations, and the Offerer's Affirmation of Understanding of and Agreement pursuant to State Finance Law, as part of their submittal.**

The Procurement Requirements also require ESD staff to obtain and report certain information when contacted by prospective bidders during the restricted period, make a determination of the responsibility of bidders and make all such information publicly available in accordance with applicable law. If a prospective bidder is found to have knowingly and willfully violated the State Finance Law provisions, that prospective bidder and its subsidiaries, related or successor entities will be determined to be a non-responsible bidder and will not be awarded any contract issued pursuant to this solicitation. In addition, two such findings of non-responsibility within a four-year period can result in debarment from obtaining any New York State governmental procurement contract.

For the purpose of compliance with State Finance Law Sections 139-j, contact with eap2015rfp@esd.ny.gov **is considered permissible.**

This is not a complete presentation of the provisions of the Procurement Requirements. A copy of State Finance Law Sections 139-j and 139-k can be found at: http://esd.ny.gov/CorporateInformation/RFPs.html (under "ESD Policy Regarding Permissible Contacts under SFL 139"). All potential Respondents are solely responsible for full compliance with the Procurement Requirements. Both the prime consultant and the sub-consultants complete the forms required above.

2. Vendor Responsibility

ESD encourages vendors to register in the State's Vendor Responsibility System (VendRep System). The VendRep System allows business entities to enter and maintain their Vendor Responsibility Questionnaire information in a secure, centralized database. New York State Procurement Law requires that state agencies award contracts only to responsible vendors. Vendors are invited to file the required Vendor Responsibility Questionnaire online via the New York State VendRep System or may choose to complete and submit a paper questionnaire. To enroll in and use the New York State VendRep System, see the VendRep System Instructions available at www.osc.state.ny.us/vendrep or go directly to the VendRep system online at https://portal.osc.state.ny.us. For direct VendRep System user assistance, the OSC Help Desk may be reached at 866-370-4672 or 518-408-4672 or by email at helpdesk@osc.state.ny.us.

Vendors opting to file a paper questionnaire can obtain the appropriate questionnaire from the VendRep website http://www.osc.state.ny.us/vendrep/forms_vendor.htm and execute accordingly pertaining to the company's trade industry.

3. New York State Prequalification System for Grants Contract Vendors

As part of Governor Cuomo's initiative to better serve the people of the State of New York, a web-based grants management system, Grants Gateway, was launched in spring 2013. The Grants Gateway was established to improve the way grants are administered by the State of New York. Beginning July 31, 2013, all not-for-profit organizations receiving funds from New York State agencies and authorities must be prequalified in Grants Gateway prior to the execution of a contract or a contract amendment.

Based on the above information, you are required to complete the steps outlined below to receive an executed contract or contract amendment. If you are not the appropriate contact for this communication, please forward to the person in your organization responsible for the management of grant funding. Send any questions to Greta Carter-Williams, ESD's program representative, at gcwilliams@esd.ny.gov or email GrantsReform@Budget.ny.gov with Prequalification in the subject line.

4. Register With The Grants Gateway

- The Registration Form is available for download at www.grantsreform.ny.gov. The Registration Form can be accessed by clicking the link at the top of the page in yellow labeled "Click HERE to access the Portal or browse for more information below".
- Include your State Financial System ("SFS") Vendor ID on the Form; if you are a new vendor and do not have a SFS Vendor ID, include a Substitute for W-9 with your signed, notarized registration (also available from the Grants Reform Web site).
- All registrations must include an Organization Chart in order to be processed.

- Mail the completed Registration Form, Organization Chart that shows the Head of your Organization, and Substitute W-9 (if new vendor) to:
  Division of Budget - Grants Reform
  Agency Building 1 - 5th Floor
  Empire State Plaza, Albany, NY 12224
- When you receive your login information via email, log in and change your password. This password will allow access to the Grants Reform Web site.
- Associate your organization with a State agency (ESD) by clicking on Organization(s) and then selecting Organization Information; complete all required fields.
- If you believe your organization has submitted its Prequalification application and has submitted any requested documents omitted from your registration, please contact ESD's program representative or the Grants Reform Team by emailing GrantsReform@Budget.ny.gov with Prequalification in the subject line.

5. Compliance with the Iran Divestment Act

As part of ESD procurement guidelines, upon submission of proposal, the consultant shall comply with the Iran Divestment Act. The following language shall be submitted on company letterhead and signed by the consultant:

By submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid each party thereto certifies as to its own organization, under penalty of perjury, that to the best of its knowledge and belief that each bidder is not on the list created pursuant to paragraph (b) of subdivision 3 of section 165-a of the state finance law.

6. Project Sunlight

Under the Public Integrity Reform Act of 2011, "appearances" (broadly defined and including any substantive interaction that is meant to have an impact on the decision-making process of a state entity) before a public benefit corporation such as ESD by a person (also broadly defined) for the purposes of procuring a state contract for real property (as contemplated in this RFP) must be reported by ESD to a database maintained by the State Office of General Services that is available to members of the public. If in doubt as to the applicability of Project Sunlight, Respondents and their advisors should consult the Laws of 2011, Ch. 399 for guidance.

7. Encouraging the Use of New York State Businesses in Contract Performance

New York State businesses have a substantial presence in State contracts and strongly contribute to the economies of the state and the nation. In recognition of their economic activity and leadership in doing business in New York State, bidders/proposers for this ESD contract for commodities, services or technology are strongly encouraged and expected to consider New York State businesses in the fulfillment of the requirements of the contract. Such partnering may be as sub-contractors, suppliers, protégés or other supporting roles (herein collectively called "Subcontractors").

Bidders/proposers need to be aware that, if selected through this ESD solicitation, they will strongly encouraged, to the maximum extent practical and consistent with legal requirements, to use responsible and responsive New York State businesses in performing the contract, including without limitation: (i) purchasing commodities that are of equal quality and functionality; and (ii) in utilizing services and technology. Furthermore, bidders/proposers are reminded that they must continue to utilize small, minority and women-owned businesses, consistent with current State law.

In furtherance of this goal, bidders are required to complete and return with their bids the form titled “Encouraging Use of New York State Businesses in Contract Performance”.

http://esd.ny.gov/CorporateInformation/Data/ENCOURAGINGUSEOFNEWYORKSTATEBUSINESSESINCONTRACTPERFORMANCE.pdf

8. Insurance Requirements

The selected Consultant will be required to provide the following insurance (at a minimum and to the extent applicable):

- Commercial General Liability of $1 million per occurrence and $2 million in the aggregate;
- In the event that you are using a vehicle in business, Commercial Automobile insurance with a limit of not less than $1 million
- Evidence of Workers Compensation/Employer’s Liability insurance at State statutory limits
- Disability insurance coverage at State statutory limits NYS Urban Development Corporation d/b/a Empire State Development (ESD) must be named as additional insured on a primary and non-contributory basis on all of the following policies: Commercial General Liability and Auto Liability.

9. Other

The selected consultant will be paid on a time and material basis in accordance with Schedule A - Conditions Applicable to the Corporation’s Agreements for Materials/Services. All terms and conditions contained in Schedule A will be incorporated and made a part of the contract with the selected contractor. Schedule A can be found at http://esd.ny.gov/CorporateInformation/Data/ScheduleA_ConditionsApplicabletoCorporationAgreementsForMaterialServices_RevisedAug2014.pdf.

EXHIBIT A: COVER PAGE

Please provide all requested information

NYS ENTREPRENEURIAL ASSISTANCE PROGRAM

Legal Name of Applicant (include d/b/a):			
Street Address (not P.O. Box):			
City:	State:	Zip:	County:
Phone:	Fax:	Website:	e-mail:
Executive Director/President:			
Contact name, title, telephone number and E-Mail address for this proposal:			
Contact name, title, telephone number and E-mail address for small business referrals:			
________________________ NYS Senator:	__________ District #	________________________ NYS Senator:	________ District #
________________________ NYS Assemblyperson	__________ District #	________________________ NYS Assemblyperson	________ District #
Federal taxpayer I.D./Charity Reg. # (non-profits only):			
NYS State Unemployment Insurance Tax Number:			
Parent Organization Name (if applicable):			
Street Address (not P.O. Box):			
City:	State:	Zip:	County:

Is the organization currently seeking any other New York State assistance? Yes ☐ No ☐

Has the organization applied for or received prior New York State funding in the last five years? Yes ☐ No ☐

If the answer to any of the above questions is "Yes", attach a page to this sheet and describe each project, including dates, purpose, type and amount of funding requested/provided, and identify the agency, including ESD, from which funding was or is being sought.

EXHIBIT B
EAP PROPOSAL CHECKLIST
(Use this checklist to ensure you submit all required documentation and include with Exhibit A Cover Page)

	Organization Name:___________________________________	Page(s)
•	Exhibit A: Cover Page –all sections completed	**33**
•	Exhibit B: EAP Proposal Checklist	**34**
•	Exhibit C: Application Guidelines (Proposal Narrative). Please submit a complete proposal narrative, be sure to reference all relevant sections of this RFP including but not limited to the Submission Requirements, Tasks and Timeline, Program Goals, Evaluation and Selection Criteria. Please also include a table of contents.	**35-37**
•	Exhibit C-1: Proposed Project Budget	**38**
	Additional Required Attachments	
•	Copy of Certificate of Non-for-Profit Incorporation	☐
•	Provide previous three years of audited financial records/tax returns.	☐
•	Copies of financing commitments which include award and support letters and other letters of reference to demonstrate that all other required funding will be available for EAP operations. In addition to the above, all organizations must provide a commitment letter which outlines the amounts, sources of funding and the organizations commitment to provide matching funds.	☐
•	List of Board of Directors	☐
•	Copies of job descriptions and resumes for project director, staff, counselors/consultants	☐
•	Please provide copies of current training materials along with plan to incorporate NxLeveL®Education.	☐
•	State Finance Law Sections 139-j and 139-k (See page 29, Item #1 - VII Required Documents)	☐
•	Vendor Responsibility (See page 30, Item #2 - VII Required Documents)	☐
•	Compliance with the Iran Divestment Act (See page 31, Item #5 - VII Required Documents)	☐
•	Encouraging the Use of New York State Businesses in Contract Performance (See page 31, Item #7 - VII Required Documents)	☐

EXHIBIT C: SUBMISSION REQUIREMENTS

ESD ENTREPRENEURIAL ASSISTANCE PROGRAM

Application Guidelines

Responses to this Request for Proposals should be double spaced, between 10-15 pages (not including attachments) with a numbered table of contents, and should include the following:

1) Organization Information

   a. The organization's mission and history of providing business training, technical and financial assistance.

   b. The organization's contributions to the microenterprise development field.

   c. A description of the area in which the EAP center is located, including statistics demonstrating that the target area can be classified as "economically distressed".

   d. Statement of Need - Include evidence that ESD assistance is needed to subsidize, encourage, or leverage private investment.

2) Project Implementation, Training, Technical Assistance and Results

   a. A general description of the proposed project.

   b. A description of the 60-hour entrepreneurship training, including but not limited to a syllabus and training manual, specific strategies for facilitating business skills development among EAP participants, competencies that EAP students shall develop as a result of this training, and proposed trainers.

   c. *NxLeveL®Education* business training products have been designated the basic training curricula for the EAP Network of business service providers and must be incorporated into your business training program. The goal here is to institute consistency and quality across the network of EAP business service providers.

      i. Since 1994, NxLeveL has helped entrepreneurs launch and grow thriving small businesses. NxLeveL is the nation's largest and most effective entrepreneurial training network, with more than 300,000 graduates and more than 8,000 certified instructors. NxLeveL offers training in all 50 states, as well as American Samoa, the Virgin Islands and Puerto Rico. NxLeveL courses are also available in Canada and Mexico. NxLeveL offers a practical, hands-on approach to preparing a business plan. Participants learn from certified instructors, expert guest speakers, and finance, marketing, and banking professionals. They also learn by working collaboratively and sharing ideas with other participants. Participants are also provided the very latest information on small business development through classroom materials and online resources at www.nxlevel.org.

NxLeveL comprises a dedicated group of professional authors, marketers and training professionals with decades of expertise in small-business education and development. In addition, they are experts in the field of adult education, with curricula rooted in adult learning characteristics, preferences and collaborative techniques.

d. Also attached as Appendix F is the EAP Training and Curriculum Guidelines which outlines the minimum standards for training and curriculum for the EAP.

e. Provide a brief discussion on how you plan to incorporate NxLeveL®Education and EAP Training and Curriculum into your current business training course.

f. A brief description of the nature of technical assistance that will be offered to young expanding firms as well as to start-ups. Identify the network of business professionals, small business volunteers and consultants who will provide technical assistance and mentoring to EAP clients; also strategies for ensuring individual clients have access to a minimum of 10 hours of technical assistance.

g. A discussion of the organization's performance as a microenterprise development service provider and any other similar business development initiatives and/or contracts.

h. A description of the specific activities that the center will undertake to help EAP clients to access needed credit and capital to finance the business start-up or expansion.

i. Formal written acceptance of EAP Center goals as outlined in Appendix B pages 19-20. In addition to acceptance of goals provide a brief statement indicating whether or not these goals are realistic for the organization. Describe how these goals compare to the organization's achievements in the past and/or what steps will be made to ensure they are met.

j. Formal acceptance of the Tasks and Timeline included as Appendix A, pages 9-20 of this application.

3) Project Budget

Prepare a 10-month project budget using format provided as Exhibit C-1 in this application. Include funding sources, consultant fees (identify consultant if known) and describe the ways, if any, that ESD's grant funds would leverage other sources of funding.

4) Required Attachments

- A copy of Certificate of Non-for-Profit Incorporation.
- Provide previous three years of audited financial records/tax returns.
- Copies of financing commitments which include award and support letters and other letters of reference to demonstrate that all other required funding will be available for EAP operations.
- A list of Board of Directors and including resumes, if available.
- Copies of job descriptions and resumes for project director, staff and instructors.
- A copy of the proposed 2015-2016 syllabus (drafts are acceptable).

<u>Exhibit C-1</u>

Proposed Project Budget

	SOURCES OF FUNDING					
	ESD	Department of State				
Use of Funds	Grant	Grant	Company Cash	Company In-Kind	Other In-Kind	Total
Salaries						$ -
Fringe Benefits						-
Contractual Services						-
Consultants (Training)						
Supplies/Materials						-
(NxLeveL® Education)	1,000					1,000
Conference						-
Rental						-
Rental						
Postage						-
Advertising						-
Phone/Internet						-
Utilities						-
Office of New Americans		TBD				-
Project Cost:						

1) Office of New Americans and NxLeveL funding amounts are subject to change, restricted and cannot be reallocated to other line items.
2) ESD funds must be matched 100%, using a combination of cash and in-kind (at least 50% must be a cash match). See attached Exhibit C-2 (page 36) for matching funds description.
    a. Cash match may include a combination of any non-State source.
    b. Enrollment fees may not be used to meet the cash match as they are not guaranteed sources of cash income, but can be used as in-kind.
3) Attach award and organization commitment letters and any other relevant documentation for all matching and in-kind sources of funding listed above.
4) If in-direct cost is used as a line item in the above project budget, a letter itemizing each costs and expected amount must be submitted with the application and with each request for reimbursement.
5) Include expenses for up to 2 staff to attend the EAP Annual Conference and Award Ceremony. The venue for 2015 will be Mohonk Mountain House in New Paltz, New York.
6) All line items must be clearly stated (i.e., miscellaneous/overhead/administrative costs/in-kind are not acceptable line items.
7) Project budget must be completed by rounding to the nearest dollar.
8) A maximum of $500 in grant funds may be used for staff food and beverage expenses related to travel unless otherwise stated.

Exhibit C-2

<u>Matching Funds Description</u>

The Entrepreneurial Assistance Program (“EAP”) requires a 1:1 match of which at least 50% must be cash.

A cash match can be defined as actual funds dedicated to EAP. An in-kind match includes, time, equipment, space rental, staff salaries, fringe benefits, etc.

Listed below are informal examples for cash and in-kind matches:

- A cash match might be: third party contributions from other supporting entities such as the grantee, county, local, city and federal entities, organizations or individuals donating cash towards the project and other supporters of microenterprise development. <u>*State funds are not an acceptable match*</u>.

- A cash match may also be the salary of a person or person working on the project (cash transaction); travel expenses to attend meetings or participate in training sessions; or revolving loan funds. Proof of loans to EAP clients will be required at the end of the contract year.

- In-kind contributions include: space, equipment, supplies, printing, telephone and other expenses which are dedicated to the project; volunteer time/unpaid services provided to a recipient by an individual or employee working on a project (noncash transaction); value of hours for personnel assisting with the project, volunteer board members, etc.; donation of office space or meeting rooms; or donation of inventory including equipment or building space are also acceptable.

If you are unsure whether or not the cash and in-kind match you propose are acceptable please call me for clarification prior to completing/submitting your proposed program budget.

APPENDIX C

EAP CENTER LISTING
(Page 1 of 5)

New York City Region

Service Area: Manhattan, Queens, and Brooklyn (assistance in Chinese) Website Address: www.renaissance-ny.org	Renaissance Economic Development Corporation One Pike Street New York, NY 10002 Tel: (212) 964-6022 x138 Fax: (212) 964-6003
Service Area: Chinatown and Other Immigrant Communities throughout NYC (assistance in Chinese) Website Address: www.cmpny.org	Chinatown Manpower Project/ Business Outreach Center 70 Mulberry St., Third Floor New York, NY 10013 Tel: (212) 571-1691 Fax: (212) 571-1686
Service area: Upper Manhattan the Western Bronx Languages spoken: English & Spanish Website address: www.whidc.org	Washington Heights –Inwood Development Corporation New York, NY 10033 Tel: (212) 795-1600 Fax: (212) 781-4051
Service Area: Bronx County (assistance available in Spanish) Website Address: www.bronxwbc.org	Hunts Point Economic Development Corporation 2488 Grand Concourse, Suite 321-B Bronx, NY 10458 Tel : (718) 933-7479 Fax : (718) 933-7469
Service Area: Bronx County Website Address: www.sobro.org	South Bronx Overall Economic Development Corporation (SOBRO) 555 Bergen Avenue, 3rd Floor Bronx, NY 10455 Tel: (718) 292-3113 Fax: (718) 292-3115
Service Area: East Brooklyn and surrounding Brooklyn neighborhoods Website Address: www.ldceny.org	Local Development Corporation of East New York 80 Jamaica Avenue, 3rd Floor Brooklyn, NY 11207-2045 Tel: (718) 385-6700, Ext. 10 Fax: (718) 385-7505

EAP CENTER LISTING
(Page 2 of 5)

New York City Region (Con't)

Service Area: Kings County Website Address: www.camba.org	CAMBA, Inc. 884 Flatbush Avenue Brooklyn, NY 11226 Tel: (718) 282-2500 Fax: (718) 282-8329
Service Area: Queens County (assistance available in English & Spanish) Website Address: www.queensny.org	Queens Economic Development Corporation 120-55 Queens Blvd, Suite 309 Kew Gardens, NY 11424-1015 Tel: (718) 263-0546 Fax: (718) 263-0595

Long Island Region

Service Area: Suffolk County Website Address: www.sunysuffolk.edu/workforce/EAS.asp	Suffolk County Community College Grant Campus Sally Ann Slacke Building 1001 Crooked Hill Road Brentwood, NY 11717 Tel: (631) 851-6214 Fax: (631) 851-6222
Service Area: Nassau/Suffolk Website Address: www.Hofstra.edu	Hofstra University 128 Hofstra University Hempstead, NY 11549-1450 Tel: (516) 463-6820 Fax: (516) 463-6870

EAP CENTER LISTING

Mid-Hudson Region

Service area: Westchester County areas; Languages: English; Spanish Website: www.wedcbiz.org	Women's Enterprise Development Center Inc. 1133 Westchester Ave, Suite N-220 White Plains, NY 10604 Tel: (914)-948-6098 Fax: (914)-470-2972

Capital Region

Service Area: Rensselaer, Schenectady, Columbia, Greene, Saratoga, Montgomery, Fulton and Albany Counties, Town of Colonie Website Address: www.ac-chamber.org	Capital Chamber Foundation of Albany-Colonie Regional Chamber of Commerce Five Computer Drive South Albany, NY 12205-1631 Tel: (518) 431-1430 Fax: (518) 434-1402

Central New York Region

Service area: Onondaga, Oswego, Syracuse, Madison, and Cortland Counties Languages spoken: English Website: www.syr.edu	South Side Innovation Center 2610 South Salina Street Syracuse, NY 13205 Tel: (315) 443-8600 Fax: (315) 443-8636

North Country Region

Service Area: Clinton, Essex, Franklin, Fulton, Hamilton, Herkimer, Jefferson, Lewis, Oneida, Oswego, Saratoga, St. Lawrence, Warren and Washington Counties Website Address: www.AEDConline.com	Adirondack Economic Development Corporation (AEDC) 67 Main Street Suite 200 Saranac Lake, NY 12983-0747 Tel: 518-891-5523 ext. 101 Fax: 518-891-9820

APPENDIX C

EAP CENTER LISTING
(Page 4 of 5)

Mohawk Valley Region

Service Area: Oneida, Madison & Herkimer Counties.	Business Training Institute, Inc. The Radisson Centre 200 Genesee Street Utica, NY 13502 Tel: (315) 733-9848 Fax: (315) 733-0247

Finger Lakes Region

Service Area: Monroe, Wayne, Ontario, Erie, and Genesee Counties. Primary focus is Monroe County Website Address: www.ulr.org	Urban League of Rochester, NY, Inc. 265 North Clinton Avenue Rochester, NY 14605-1857 Tel: (585) 325-6530, Ext. 3003 Fax: (585) 325-4864
Service Area: Ontario, Wayne, Seneca, Steuben, Yates, Cayuga, Schuyler and Chemung Counties Website Address: www.iaal.org	IBERO – American Action League, Inc. (Waverly) 109 Chemung Street – Suite One Waverly, NY 14892 Tel. (607) 249-6193 Fax: (607) 249-6189

Southern Tier Region

Service Area: Binghamton, Broome, Tioga, Chenango, and Delaware Project Sites: - Broome Community College - Broome County Urban League - Broome Tioga Workforce Dev. Website Address: www.cityofbinghamton.com	Binghamton Local Development Corporation 38 Hawley Street City Hall, 4th Floor Binghamton, NY 13901 Tel: (607) 772-7161 Fax: (607) 772-7244

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Western NY Region

Service Area: Allegany, Steuben & Cattaraugus Counties Website Address: www.accordcorp.org	ACCORD Corporation 84 Schuyler Street P.O. Box 573 Belmont, NY 14813-0573 Tel: (585) 268-7605 x1020 Fax: (585) 268-5085
Service area: Erie County & Niagara Language(s) spoken: English and Spanish Website: www.iaal.org	IBERO – American Action League, Inc. at Medaille College (Buffalo) 18 Agassiz Circle Buffalo, NY 14214 Tel: (716) 880-3288 Fax: (716) 880- 3294

Appendix F

Entrepreneurial Assistance Program
Curriculum and Training Guidelines

Your Entrepreneur Training Program is the beginning stage of preparing a client to create, manage and grow a successful business venture. It commences with an effective and comprehensive entrepreneur training curriculum that includes all of the relevant topics to start up or expand a business, such as determining what your product or service is/your niche, how you plan to identify your target market, marketing and advertisement strategies, financing and more. Most importantly, an effective curriculum should lead to the development of a comprehensive and workable Business Plan, which is critical to the success of all business owners.

It is expected that the curriculum content of your Entrepreneur Training Program will include the following:

- A well-defined outline of the syllabus and a table of contents which clearly states:
    - the content of each session
    - notations of any helpful pre-requisites
    - length of each session
    - expected outcomes
    - a list of all trainers and/or consultants should be retained. This list should include their background and expertise in the area that they will be expected to address in their session. Trainers/consultants should be selected to cover a specific topic and should provide a written syllabus of how they will address this topic. Each presenter should be evaluated at the end of their presentation.

- Each client should receive an Entrepreneur Training Manual which can be distributed at your discretion either at the beginning of class or in sections as you move through the training, it should be either in a binder or bound, with space for additional pages as needed. Manuals should be clear and readable.

    - Each training session should address a specific topic of the Business Plan. This will ensure that clients have the beginning of their "working" draft that will be included in their final Business Plan. The goal is for each client to revise sections and be prepared to present their final and complete Business Plan to potential Loan Officers in the near future.

- Training curriculum should:

    - Be geared towards the development of their individualized Business Plan. The curriculum should also include a generic example of a complete and effective Business Plan and/or the boilerplate;
    - Be well written, straight forward; simple to read and understandable;
    - Contain relevant business data to help clients understand the subject matter;
    - Curriculum must be designed for start-ups and/or existing business owners;
    - Contain relevant business and financial charts and/or graphs;
    - Clearly outline homework assignments and what is expected of the client;
    - Contain a current and appropriate glossary of business terms for their reference;
    - Contain a comprehensive and updated list of business resources;
    - Curriculum should be reviewed each year, after your Entrepreneur Training Program is finished and updates made accordingly.

- Training should be a combination of lecture, interactive activities, brainstorming sessions, work group sessions, special guests and include essential visual aids and additional worksheets.

- Training sessions should afford clients the opportunity to explore and discuss "real world" experiences, share hurdles encountered, concerns, aspirations, etc. with the group, resulting in constructive feedback that each client can use.

- Clients should be encouraged to read and summarize an article each week on their particular business venture to stay in touch with the field so that they are better prepared to answer questions such as: What's my market/industry like? Has the market for my product or service grown or declined? Who are my competitors? This will also help them become more comfortable with articulating their business venture and preparing their Business Plan presentation for potential financers. In addition each client should be encouraged to do site visits to businesses similar to theirs as part of the industry and competitive analysis section of their business plan.

- Training should provide clients with the opportunity to put what they have learned into the appropriate section of their Business Plan, following each session in order to achieve their own completed Business Plan, which should be completed soon after this training program.
- Classes should start on time and end on time. Each client must sign in at each session.

- Periodic assessments of clients' progress should be conducted to ensure that they are up to speed, on track and not lost.

- Clear and well-designed PowerPoint slides and handouts should be used, where appropriate.

- The opening of each session should provide an overview of the previous session to reinforce what was covered the previous week. This could be done by the trainer or an interactive session with participants contributing to this review.

- There should be time at the end of each session to discuss what was presented, what was learned, answer any lingering questions and review homework requirement for the next session. Individual technical assistance should be built into your Entrepreneur Training Program and recorded in each client's file.

- The major goals for your Entrepreneur Training Program is that each client will have a comprehensive Business Plan and the related business skills to open or expand their business and be able to present their stellar Business Plan to a financial institution for financial consideration.

Learning Objectives

- Understand the course curriculum and expectations
- Understand the characteristics of successful entrepreneurs
- Understand the components of the NxLeveL® Business Plan
- Develop goals, objectives, and a mission statement
- Experience networking with class participants

Introduction:
Overview and Entrepreneurship
Session One

Date: ______________________

Instructor Topics

1. **Getting the Class Started**
    - Administrative details
    - Staff introductions
    - Instructor introduction
2. **Course Introduction**
    - Course overview, books, and session dates
    - Class structure
3. **Expectations**
    - Student responsibilities
    - Instructor responsibilities
4. **Student Introductions**

—No Guest Speaker This Session—

Break

- Refreshments
- Networking Activity

5. **Thinking Entrepreneurially**
6. **Introduction to the NxLeveL® Business Plan**

Work Hour

Assignment for Session Two

TEXT	Read **Part I: Understanding Entrepreneurship** (Chapters 1 through 3); **Part III: Planning Your Business** (Chapters 11 through 13); and **Market Research and Analysis** (Chapter 26). Optional assignment: **Part VII: The Internet and E-Commerce** (Chapters 33 and 34).
WORKBOOK	Read and complete the worksheets in **Workbook Session 1**.
WRITE	Using the *Writing Your Plan* page at the end of **Workbook Session 1** as your guide, write **Section II. Mission, Goals, and Objectives** of your NxLeveL® Business Plan.

Learning Objectives

- Understand basic financial statements and their uses
- Understand how accounting systems aid in the production of financial statements
- Prepare a Personal Financial Statement and current Business Balance Sheet
- Use Financial Statement Analysis (ratios) to analyze Balance Sheet information
- Examine bookkeeping and recordkeeping activities and controls
- Identify internal controls and responsibilities

Books, Records, and Controls
Session Six

Date: ______________________________

Due: Section V - Part C
Marketing Strategies

Class Opener

Instructor Topics

1. **Overview of Financial Statements**
2. **The Balance Sheet**
3. **Ratio Analysis**
4. **The Importance of a Good Accounting System**
5. **Internal Controls: Accounting, Recordkeeping, and Operations**

Guest Speaker

Break

- Refreshments
- Networking Activity

Work Hour

Assignment for Session Seven	
WORKBOOK	Read and complete the worksheets in **Workbook Session 6**.
WRITE	Using the *Writing Your Plan* page at the end of **Workbook Session 6** as your guide, write **Section IV.—Part B. Operating Controls** and **Section VI.—Part D. Personal Financial Statement.**
TEXT	Read **Budgeting** (Chapter 37).

Learning Objectives

- Prepare the Monthly Projected Income Statement and understand how it differs from the Cash Flow Projection
- Develop a Projected Balance Sheet and compare it with the Beginning Balance Sheet
- Become familiar with the Statement of Owner's Equity and Annual Statement of Cash Flows
- Gain an understanding of managerial uses of financial statements

Managing Your Money: Understanding and Using Financial Statements

Session Nine

Date: ____________________

Due: Section VI.–Part B. Cash Flow Projections

Class Opener

Instructor Topics (50 min.)

1. **The Income Statement**
2. **The Balance Sheet**
3. **Statement of Owner's Equity**
4. **Annual Statement of Cash Flows**
5. **Summary of Financial Statements**

Guest Speaker

Break

- Refreshments
- Networking Activity

Work Hour

Assignment for Session Ten

WORKBOOK	Read and complete worksheets in **Workbook Session 9**.
WRITE	Using the *Writing Your Plan* page at the end of **Workbook Session 9** as your guide, complete **Section VI. The Financial Plan—Part C. Financial Statements.**
TEXT	Read **Money Sources** (Chapter 40).