



**Empire State
Development**

**2020-2021
Request for Proposals
New York State
Entrepreneurship Assistance Centers
Program**

Issued: July 31, 2020

Submission Deadline: August 24, 2020 by 1:00 PM ET

IMPORTANT NOTICE: A restricted period under the Procurement Lobbying Law is currently in effect for this Procurement and it will remain in effect until approval of the Grant. Bidders are prohibited from contact related to this procurement with any New York State employee other than the designated contacts set forth below.

Designated Contacts for this Procurement:

Primary Contact: John Discolo, Director of Procurement
Secondary Contact: Bette Yee, Director EAC
Additional Contact: Jefferson Mao, Project Manager

All contacts/inquiries shall be made by email to the following address:

2020eacRFP@esd.ny.gov

This RFP is posted on the Empire State Development website:

<https://esd.ny.gov/doing-business-ny/requests-proposals>

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I. INTRODUCTION

The mission of Empire State Development (“ESD”) is to promote a vigorous and growing state economy, encourage business investment and job creation, and support diverse, prosperous local economies across New York State through the efficient use of loans, grants, tax credits, real estate development, marketing and other forms of assistance.

ESD intends to award three (3) grants, *but reserves the right, in the exercise of its sole discretion, not to award any grant based upon responses received to the Request for Proposal (“RFP”) or for any other reason.* The purpose of these grants is to establish three (3) Entrepreneurship Assistance Centers (“EAC” or “Centers”) in the New York State counties of the Bronx and Manhattan.

The selected applicant will receive an initial grant of up to **\$60,000**, *contingent upon the availability of funds and approval from the Division of Budget.* This grant amount is a pro-rata for nine (9) months, anticipating that the grant period will begin October 1, 2020 and end June 30, 2021. As a condition of an EAC grant, an applicant must match 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 grant terms, and the availability of funds. Under this performance-based system, the following procedures will be implemented:

- Centers’ continued eligibility will be evaluated throughout the grant period 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 grant terms, ESD will negotiate subsequent program and budget funding with the center. Centers that do not meet grant goal requirements for two (2) consecutive years may not be re-funded. (*see Appendix B: Annual Program Goals*)
- This Program is funded through ESD’s Entrepreneurship Assistance Centers (EAC) legislated funding sources and projects must therefore conform to the regulations of the EAC Program. The grant is to be used only for the purposes stated in the organization’s application and program requirements and expected outcomes or otherwise approved, in writing, by ESD.

I. OVERVIEW

The Omnibus Economic Development Law of 1987 established the original Entrepreneurial Assistance Program (EAP). In January of 2019, this law was amended and renamed the Entrepreneurship Assistance Centers (EAC) program. The amended law authorizes the Department of Economic Development d/b/a Empire State Development, through the Entrepreneurship Assistance Centers, to issue grants to not-for-profit corporations, community colleges and boards of

cooperative educational services for the development of Entrepreneurship Assistance Centers that provide services to small businesses in New York State:

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

The EAC provide comprehensive counseling and training assistance to a relatively small number of clients (40 - 80 during a one-year period). The emphasis is on helping small businesses: develop lasting business and acquire problem-solving skills so that minority, women and individuals with special needs learn to independently and successfully manage and grow 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.

II. SCOPE OF WORK

A. Projects

ESD seeks applications from well-established and qualified organizations to provide the following services in the community in which they are located:

- Increase business ownership among minority group members, women and veterans;
- Help minority, women, and veteran owned startups make the transition into small-growth companies;
- Increase access to financing by minorities, women and veteran owned firms;
- Significantly expand sales among minority, women and veteran owned firms; and
- Create private sector jobs.

An EAC proposed hereunder must also provide the following program services:

- Enterprise Formation Assistance: At least one 60-hour entrepreneurship instruction and technical assistance course(s) to help new entrepreneurs complete business plans and to help them develop a viable business. Technical assistance should encompass refinement of business concept, revenue generation and diversification, competition, break-even analysis, financial management, market development and marketing plans.
- 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, if qualified, 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: ability to assess

their current business model to pivot or strategically re-align operational processes that optimize their ability to manage growth in the current environment and access capital responsibly. This will include but not be limited to assistance with managing working capital and cash flow, increasing general management skills, new market development and the hiring and managing of employees to name a few.

In addition to the above, an EAC also supports the following special initiatives:

- Veteran Entrepreneurship Services - EAC provides entrepreneurship services to veterans interested in starting a business or expanding an existing business which includes but is not limited to: (1) counseling on the feasibility of starting a business; (2) education in established management principles and practices; (3) access to veteran business support networks; and (4) ongoing and continued technical assistance such as with certification application and/or contract procurement assistance. EAC Centers have also formed linkages with many different veteran organizations, support groups, hospitals and agencies across the state.
- 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 businesses 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 have the confidence to continue growing or maintaining a viable operation. To learn more about Business Mentor NY please go to <http://businessmentor.ny.gov/>.

B. Performance Goals and Timeline

EAC funding is administered through a performance-based granting 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**. EAC minimum performance standards are listed in **Appendix B**. EAC Centers are expected to meet or exceed these requirements within the grant year.

C. 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:

- *Program Narrative* - 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) must discuss and highlight the activities initiated or performed in the areas below and **Appendix A, Tasks and Timeline** included in this application. Furthermore, it should clearly state what impact these activities had on the overall operations of program and/or impacts on customers.
- *Affirmative Action Commitment* - The applicant's documented commitment to affirmative action principles as outlined in **Section VII, under vi**. Non-Discrimination and Contractor & Supplier Diversity is required.
- *Outreach to the Target Market Populations* - Describe outreach activities and results accomplished to recruit minority group members and women to the services of your EAC programs. Provide copies of letters, articles, brochures, advertisements and other promotional materials.
- *Program Accomplishments* - Provide quantitative and qualitative information on accomplished over the last 3-5 years.
- *Client Narrative* - Discuss and/or highlight on-going services provided to specific clients (i.e., one-on-one business counseling; business plan development in process, special technical assistance being provided).
- *Quarterly Client Statistical Report* - Use of a proprietary EAC on-line database to track client progress. (Awardee will receive guidelines 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 EAC 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)* - Submission of at least two (2) success stories on organizational letterhead, with client consent forms.

- *Business Plans* - Submission of completed business plans for EAC enrollees with the final narrative report.
- *Program Offerings* - Provide narrative information on training programs, seminars, special activities, etc. (including upcoming events and new training materials).
- *Supportive Documents* - Upon request, submit copies of attendance sheets and program or trainer evaluation forms.

EACs shall report tracked information entered on the EAC on-line database 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 (EAC classes, Business Mentor NY, application assistance for NYS MWBE certification, etc.), and the number of hours those services were provided; and
- Amount of funds invested and assistance with various other loan applications in the new or expanded business.

The EAC shall maintain documentation of progress related to each of the objectives listed above and submit quarterly reports as outlined in **Appendix A, Tasks and Timeline** in this application.

D. Program Monitoring and Evaluation

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

- Create, maintain and update client files and include documentation of all services and activities provided to each EAC participant. Client files should consist of, but not be limited to, the following:
 - a) Intake, update and exit forms;
 - b) Technical Assistance Tracking Forms;
 - c) Evaluation Forms; and
 - d) Other client forms/information (i.e. training, graduation, assessments, surveys, success stories, work plans, etc.);
- Maintain EAC 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 EAC online 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 EAC client and submitted with final reports. *Client Technical Assistance Logs* must be signed and dated by EAC Director, Counselor or authorized staff member. Information collected on these forms will be 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.

III. SCHEDULE OF DATES

It is anticipated that a grant will be awarded in response to this RFP based on the following schedule:

Release of RFP	July 31, 2020
Deadline for Submission of Questions	August 10, 2020
Deadline for ESD to Respond to Questions	August 17, 2020
Submission of Proposals (date and time)	August 24, 2020 1:00PM ET
Announcement of Successful Bidder	TBD

Please note, the Corporation reserves the right to change any of the dates stated in this RFP.

IV. SELECTION CRITERIA

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.

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

- The applicant's completeness of proposal;
- The applicant's understanding of program goals and objectives as outline in the request for proposals;
- The applicant's proposed methodology;
- The applicant's ability to develop, implement, and complete 60 hours of training;
- The applicant's experience in operating and successfully implementing technical assistance program(s) for small businesses and minority and women owned businesses;
- The applicant's internal capacity, experience and resources to complete one-on-one assistance, data collection and protection, and outreach;
- The applicant's experience in data collection, data entry, and data analysis, preferably on a large scale;
- The applicant's proposed program budget;
- The applicant's operating budget and institutional capacity for using grant funds effectively; and;
- The applicant's documented commitment of Non-Discrimination Contractor & Supplier Diversity as noted in this request for proposal.
- The applicant's stage of readiness for immediate deployment of an EAC program.

The proposal will be scored in the following manner:

Firm Experience, Historical Track record, and Qualifications	25%
Staff Experience and Qualifications	30%
Project Plan, Approach, Staffing, Methodology and ability for immediate implementation and deployment	35%
Cost Proposal & Budget / Use of Funds	5%
Diversity Practices	5%

V. SUBMISSION OF PROPOSALS

Every respondent to this RFP ("Bidder") should submit a proposal which clearly and concisely provides all of the information requested. Emphasis should be concentrated on conformance to the RFP instructions and requirements, as well as completeness and clarity in its proposal response. The Bidder is advised to thoroughly read and follow all instructions contained in this RFP. Proposals that do not comply with these instructions or do not meet the full intent of all the requirements of this RFP may be subject to scoring reductions during the evaluation process or may be deemed non-responsive.

A. Technical Proposal

Below is a listing of the technical information to be provided by the Bidder. No information is required beyond what is specifically requested. The Corporation requests that all Technical Proposals be bound and organized with dividers identified to match the specific information requested below:

1. Table of Contents
2. Firm Experience, historical track record delivering similar services in the RFP and Qualifications
3. Staff Experience and Qualifications
4. Project Plan and Approach, including deployment and implementation steps, Discussion of outreach and targeted client development
5. Estimated Cost
6. Diversity Practices

The purpose of the Technical Proposal is to provide Bidders with an opportunity to demonstrate their qualifications, competence, and capacity to undertake the engagement described herein, in a manner which complies with applicable laws and regulations, and the requirements of the RFP.

1. Table of Contents

The Table of Contents should clearly identify the location of all material within the proposal by section and page number.

2. Firm Experience and Qualifications

In this section of the Technical Proposal, Bidders should demonstrate relevant experience by providing the following:

Proposals will be evaluated 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 proposal;
- The need for and anticipated impact of the proposed EAC on the community in which it will function and the expected outcomes of the program;
- The applicant's track record and outcomes on delivering such programs;
- The applicant's plan to achieve the goals of this program and how to mitigate weaknesses or challenges;
- The extent of economic distress in the area(s) to be served;
- The level of participation in the proposed EAC Center of local leaders in post-secondary education institutions, businesses, finance and government;
- The level of financial and other assistance provided at the State, Federal and local levels, including private resources, partnerships, referral collaborations, list of

community organizations that would support the operations of the proposed EAC center;

- The plans of the proposed EAC Center to supplement State, Federal and local funding through fees for services which may be on a sliding scale based on client's ability to pay; and
- The applicant's documented commitment to Non-Discrimination Contractor & Supplier Diversity as noted in the RFP.

Information provided by references may be used by the Corporation for proposal evaluation purposes. The Corporation may seek additional information from references regarding subjects that include, but are not limited to, the quality of services provided, anticipated ability to perform the services required in this RFP, and the responsiveness of the Bidder to the client during the engagement. The Corporation reserves the right to deploy, at its sole discretion, a variety of methods and communication approaches to contact references, depending on what the Corporation deems to be the most effective and efficient manner.

3. Staff Experience and Qualifications

In this section of the Technical Proposal, Bidders should demonstrate that the staff proposed have the knowledge and ability to perform the services described in this RFP.

Information provided by references may be used for proposal evaluation purposes. The Corporation may seek additional information from references regarding subjects that include, but are not limited to, the quality of services provided, anticipated ability to perform the services required in this RFP, and the responsiveness of the Bidder to the client during the engagement.

- The applicant's understanding of program goals and objectives as outlined in the request for proposals;
- The qualifications and experience of staff of the proposed EAC;
- 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 EAC 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 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 ability of the applicant to meet EAC Guidelines and requirements as outlined in the Tasks and Timelines of **Appendix A.**;

- The rate at which staff is capable of deploying and implementing an EAC program

4. Project Plan / Approach

In this section of the Technical Proposal, Bidders should demonstrate their competence and capacity to undertake the services described in this RFP by providing the following:

Provide a narrative demonstrating how your organization can fulfill the goal requirements for an EAC as described in Section III: Scope of Services of this RFP:

- a) The EAC Project as it relates to your organization
- b) How you intend to meet the performance goals and timeline. Refer to ***Appendix A, Tasks and Timeline.***
- c) Describe your outreach strategy, targeting client groups, collaborations with community stakeholders and other ESD programs;
- d) Please provide a sample training curriculum for entrepreneurial classes; describing the sessions, where and how they will be delivered. Please include detailed plans of your organization's ability to conduct these classes online or remotely to ensure social distancing when required. Preference will be given to those with experience in Lean Start up and/or Business Model Canvas training.
- e) Please provide a detailed description of other technical assistance you would provide to start up or expanded businesses
- f) Ability to meet the reporting requirements
- g) Your plan for providing the record keeping requirements

5. Estimated Cost

Please provide a budget itemizing your how you intend to use the funds for providing an entrepreneurial training and technical assistance program; where you intend to provide the 100% match for this program (50% of which must be a cash match from a non-New York State funding source.) Complete budget form with match and pro-rata of nine (9) months of operation: \$66,000 from 10/01/20 to 6/30/21 Refer to ***Appendix F-2, Estimated Budget and Salary Form.***

6. Diversity Practices [OR] Quantitative Factors.

Please describe your organization's own diversity practices as it pertains to Non-Discrimination and Grantor & Supplier Diversity Requirements of this RFP.

B. Administrative Proposal

The successful Bidder must agree to abide by these requirements and provide any information requested by the Corporation in connection with these requirements. Accordingly, Bidders should complete and submit the items listed below, in the order in which they are listed. Failure to submit any of the requirements below may result in the rejection of a Bidder's proposal.

1. [State Finance Law §§139-j and 139-k forms](#), submit with proposal
2. [Vendor Responsibility Questionnaire](#), submit with proposal or submit online (and include copy of submitted form with proposal)
3. [Iran Divestment Act Statement](#), submit with proposal
4. Non-Discrimination and Contractor & Supplier Diversity Requirements, submit with proposal:
 - a. [OCSD-1 - MWBE and SDVOB Participation / EEO Policy Statement](#)
 - b. [OCSD-2 - Staffing Plan](#)
 - c. [OCSD-4 - MWBE and SDVOB Utilization Plan](#)
5. Certification under State Tax Law Section 5-a [220-CA](#) or [Affidavit](#), submit with proposal
6. [W-9 Form](#), submit with proposal

Additional information about these items, and ESD's procurement requirements, can be found in Section VIII of this RFP ("Procurement Requirements").

Submission of a Complete Two-Part Proposal

Firms submitting a proposal are indicating their acceptance of the conditions in this RFP. Submission of proposals in a manner other than as described in these instructions (e.g., facsimile, electronic transmission) will not be accepted. When submitting each proposal, Bidders must comply with the following:

1. The Technical Proposal and the Administrative Proposal must be submitted in separately sealed packages (which may be submitted within one complete package for mailing);
2. "Original" documents must have an original signature and be clearly marked "Original";
3. Clearly mark the outside packaging for each set of sealed proposals (Technical and Administrative);
4. Clearly mark the original and each copy as "**RFP – Proposal submitted by [Bidder's name]**";
5. Each Bidder must submit:
 - One (1) hard copy and one (1) text-searchable electronic copy on CD or flash drive of the *Technical Proposal*.
 - One (1) original and one (1) electronic copy on CD or flash drive of the *Administrative Proposal*.

A complete package (Technical Proposal and Administrative Proposal) must be received by the deadline in the schedule of dates in this RFP. Proposals should be sent to the following address:

Empire State Development
633 Third Avenue 35th Floor
New York, New York 10017-8167
Attention: John Discolo, Director of Procurement
**Request for Proposals - New York State
Entrepreneurship Assistance Centers Program**

Late proposals will not be considered for award

VI. QUESTIONS

Questions or requests for clarification regarding the RFP should be submitted via email, citing the RFP page and section in accordance with the schedule in Section III (Schedule of Dates) to 2020eacRFP@esd.ny.gov. Questions will not be accepted orally and any question received after the deadline may not be answered. The comprehensive list of questions/requests for clarifications and the official responses will be posted with this RFP.

VII. GENERAL PROVISIONS

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

- i. amend, modify or withdraw this RFP;
- ii. revise any requirement of this RFP;
- iii. require supplemental statements or information from any responsible party;
- iv. accept or reject any or all responses hereto;
- v. extend the deadline for submission of responses hereto;
- vi. negotiate potential grant terms with any Bidder;
- vii. communicate with any Bidder to correct and/or clarify responses which do not conform to the instructions contained herein;
- viii. 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
- ix. 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 Bidder.

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, 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, to retain and use all the materials and information, and the ideas and suggestions therein, submitted in response to this solicitation (collectively, the “Response Information”) for any purpose. By submitting a Proposal, each Respondent waives any and all claims against ESD relating to ESD’s retention or use of the Response Information.

Grantor Staff

Grantor staff assigned to work on this project shall be subject to approval by the Corporation. It is highly desirable that staff assigned to work on this project continue to work on this project until completion. The Grantor should notify the Corporation of any proposed changes in staff immediately. The Corporation has an absolute right and discretion to approve or disapprove any proposed changes in staff. The Corporation, in each instance, will be provided with a summary of experience of the proposed substitute and an opportunity to interview that person, prior to giving its approval or disapproval; approval shall not be unreasonably withheld.

The Grantor specifically represents and agrees that its members, officers, employees, agents, servants, consultants, shareholders, and subgrantors have and shall possess the experience, knowledge, and character necessary to qualify them individually for the particular duties performed hereunder.

The Agreement resulting from this RFP is intended to secure the professional services of the Grantor because of its ability and shall not be assigned, conveyed, transferred, or disposed of by the Grantor.

The Grantor agrees not to subgrant any of its services, unless as indicated in its proposal, without the prior written approval of the State Project Manager. Approval shall not be unreasonably withheld upon receipt of written request to subgrant. All employees of the Grantor, or of its Subgrantors, who shall perform Services under this grant shall possess the necessary qualifications, training, licenses, and permits as may be required within the jurisdiction where the Services specified are to be provided or performed, and shall be legally entitled to work in such jurisdiction. All persons, corporations, or other legal entities that perform Services on behalf of Grantor under the Agreement resulting from this RFP shall, in performing such Services, comply with all applicable Federal and State laws concerning employment in the United States.

VIII. PROCUREMENT REQUIREMENTS

This section contains additional information about the forms that are required to be included in each Bidder’s submission, as well as information about ESD’s procurement requirements.

i. Conflicts of Interest

Respondent must attest it has read, understood and will comply with the following provisions <https://esd.ny.gov/sites/default/files/Conflict-of-Interest-Attestation-June->

[2019.pdf](#). ESD shall have the right to disqualify any respondent to this RFP or terminate any grant entered into as a result of this RFP should ESD determine that the Respondent has violated any of these requirements.

Gifts and Offers of Employment: Respondent has not and shall not during this procurement and during the negotiation of any grant resulting from this procurement, offer to any employee, member or director of ESD, any gift, whether in the form of money, services, loan, travel, entertainment, hospitality, thing or promise, or in any other form, under circumstances in which it could reasonably be inferred that the offer was intended to influence said employee, member or director, or could reasonably be expected to influence said employee, member or director, in the performance of the official duty of said employee, member or director or was intended as a reward for any official action on the part of said employee, member or director. Respondent may not make any offers of employment or discuss the possibility of such offers with any employee, member or director of ESD who is involved in this procurement and/or resulting grant negotiation within at least 30 days from the time that the employee's involvement in this matter closed.

Disclosure of Potential Conflicts: Respondent shall disclose any existing or contemplated relationship with any other person or entity, including relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers/employers of the Respondent or former officers and employees of ESD, in connection with your rendering services enumerated in this RFP. If a conflict does or might exist, Respondent must describe how it would eliminate or prevent it.

Disclosure of Ethics Investigations: Respondent must disclose whether it, or any of its members, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any ongoing investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

Respondent may not represent firms seeking MWBE certification for a period of two (2) years, from [date of grant], when grant obligations between respondent and the DMWBD will end. Further, respondent may not represent any companies whose certification applications were either assigned and/or reviewed for a period of five (5) years from that same date of completion of the grant.

ii. State Finance Law Sections 139-j and 139-k forms

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 Bidders 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 grants, 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 grant pursuant to this RFP. Compliance with the Procurement Requirements requires that all communications regarding this RFP, from the time of its issuance through final award and execution of any resulting grant (the "Restricted Period"), be conducted only with the designated contact persons listed above; the completion by Bidders of the Offeror Disclosure of Prior Non-Responsibility Determinations, and the Offeror's Affirmation of Understanding and Agreement pursuant to State Finance Law (each form is accessible at the Required Forms for Vendors link at the ESDC web site under "RFPs/RFQs"); and periodic updating of such forms during the term of any grant resulting from this RFP.

Bidders must submit the Offeror Disclosure of Prior Non-Responsibility Determinations, and the Offeror's Affirmation of Understanding and Agreement pursuant to State Finance Law as part of their submittal. Copies of these forms are available at:

https://cdn.esd.ny.gov/CorporateInformation/Data/RFPs/RequiredForms/SF_Law139_JK.pdf

The Procurement Requirements also require ESD staff to obtain and report certain information when contacted by 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 Bidder is found to have knowingly and willfully violated the State Finance Law provisions, that Bidder and its subsidiaries, related or successor entities will be determined to be a non-responsible Bidder and will not be awarded any grant 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 grant. The designated contact account for this solicitation is referenced on the cover of this RFP.

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/Data/RFPs/RequiredForms/PermissibleContactsPolicy_Jan2007.pdf. All potential Bidders are solely responsible for full compliance with the Procurement Requirements. Both the prime consultant and any sub-consultants complete the forms required above.

iii. Vendor Responsibility Questionnaire

All Bidders to this RFP must be "responsible," which in this context means that they must have the requisite financial ability, organizational capacity and legal authority to carry out its obligations under this RFP, and in addition must demonstrate that both the Respondent and

its principals have and will maintain the level of integrity needed to grant with New York State entities such as ESD. Further, the Respondent must show satisfactory performance of all prior government grants. Accordingly, the grant to be entered into between ESD and the Respondent, if any, shall include clauses providing that the Respondent remain “responsible” throughout the term of the grant, that ESD may suspend the grant if information is discovered that calls into question the responsibility of the granting party, and that ESD may terminate the grant based on a determination that the granting party is non-responsible. On request, model language to this effect will be provided to any Respondent to this RFP.

To assist in the determination of responsibility, ESD requires that all Bidders register in the State's Vendor Responsibility System (“Vend-Rep System”). The Vend-Rep 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 grants only to responsible vendors. Bidders are to file the required Vendor Responsibility Questionnaire online via the Vend-Rep System or may choose to complete and submit a paper questionnaire. Please include a copy of your Vend-Rep submission receipt or paper questionnaire with your proposal.

To enroll in and use the Vend-Rep System, see the System Instructions available at www.osc.state.ny.us/vendrep For direct Vend-Rep System user assistance, the Office of the State Comptroller’s Help Desk may be reached at 866-370-4672 or 518-408-4672 or by email at helpdesk@osc.state.ny.us.

Bidders opting to file a paper questionnaire can obtain the appropriate questionnaire from the Vend-Rep website (http://www.osc.state.ny.us/vendrep/forms_vendor.htm) and execute accordingly pertaining to the company’s trade industry. Per the website, Bidders are to “Select the questionnaire which best matches the business type (either For-Profit or Not-For-Profit) and business activity (Construction or Other).”

In addition, please see link to EO-192: <https://www.governor.ny.gov/news/no-192-executive-order-imposing-continuing-vendor-integrity-requirements-state-grants>

iv. Iran Divestment Act

Every Proposal made to ESD pursuant to a competitive solicitation must contain the following statement, signed by the Respondent on company letterhead and affirmed as true under penalty of perjury:

"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."

v. Executive Order 177

In accordance with New York State Executive Order 177, all bidders must certify that they are in compliance with the New York State Human Rights Law which prohibits discrimination and harassment based on a protected class, and which requires reasonable accommodation for persons with disability or pregnancy related conditions.

The required certification for can be found at:

<https://esd.ny.gov/sites/default/files/EO-177-Certification.pdf> and must be signed and included in all Proposals.

vi. Non-Discrimination and Contractor & Supplier Diversity Requirements

CONTRACTOR REQUIREMENTS AND PROCEDURES FOR PARTICIPATION BY NEW YORK STATE-CERTIFIED MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES AND EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITY GROUP MEMBERS AND WOMEN

Pursuant to New York State Executive Law Article 15-A and Parts 140-145 of Title 5 of the New York Codes, Rules and Regulations ESD is required to promote opportunities for the maximum feasible participation of New York State-certified Minority and Women-owned Business Enterprises (“MWBEs”) and the employment of minority group members and women in the performance of ESD grants.

Business Participation Opportunities for MWBEs

For purposes of this solicitation, ESD hereby establishes an overall goal of thirty percent (30%) for MWBE participation, fifteen percent (15%) for New York State-certified Minority-owned Business Enterprise (“MBE”) participation and fifteen percent (15%) for New York State-certified Women-owned Business Enterprise (“WBE”) participation (based on the current availability of MBEs and WBEs). ESD may establish a goal based on the scope of work and the project description identified in the RFP response. A grantee (“Grantee”) on any grant resulting from this procurement (“Grant”) must document its good faith efforts to provide meaningful participation by MWBEs as subcontractors and suppliers in the performance of the Grant. To that end, by submitting a response to this RFP, the respondent agrees that ESD may withhold payment pursuant to any Grant awarded as a result of this RFP pending receipt of the required MWBE documentation. The directory of MWBEs can be viewed at: <https://ny.newnycontracts.com>. For guidance on how ESD will evaluate a Grantee’s “good faith efforts,” refer to 5 NYCRR § 142.8.

The respondent understands that only sums paid to MWBEs for the performance of a commercially useful function, as that term is defined in 5 NYCRR § 140.1, may be applied towards the achievement of the applicable MWBE participation goal. The portion of a contract with an MWBE serving as a broker that shall be deemed to represent the commercially useful function performed by the MWBE shall be 25 percent of the total value of the contract.

In accordance with 5 NYCRR § 142.13, the respondent further acknowledges that if it is found to have willfully and intentionally failed to comply with the MWBE participation goals set forth in a Grant resulting from this RFP, such finding constitutes a breach of grant and ESD may withhold payment as liquidated damages.

Such liquidated damages shall be calculated as an amount equaling the difference between: (1) all sums identified for payment to MWBEs had the Grantee achieved the MWBE goals; and (2) all sums actually paid to MWBEs for work performed or materials supplied under the Grant.

By submitting a bid or proposal, a respondent agrees to demonstrate its good faith efforts to achieve the applicable MWBE participation goals by submitting evidence thereof through the New York State Grant System (“NYSCS”), which can be viewed at <https://ny.newnygrants.com>, provided, however, that a respondent may arrange to provide such evidence via a non-electronic method by contacting the Office of Contractor and Supplier Diversity (“OCSD”) at OCSD@esd.ny.gov.

Additionally, a respondent will be required to submit the following documents and information as evidence of compliance with the foregoing:

- 1. An MWBE Utilization Plan with their bid or proposal. Any modifications or changes to an accepted MWBE Utilization Plan after the Grant award and during the term of the Grant must be reported on a revised MWBE Utilization Plan and submitted to ESD for review and approval.**

ESD will review the submitted MWBE Utilization Plan and advise the respondent of ESD acceptance or issue a notice of deficiency within 30 days of receipt.

- 2. If a notice of deficiency is issued, the respondent will be required to respond to the notice of deficiency within seven (7) business days of receipt by submitting to OCSD at OCSD@esd.ny.gov, a written remedy in response to the notice of deficiency. If the written remedy that is submitted is not timely or is found by ESD to be inadequate, ESD shall notify the respondent and direct the respondent to submit, within five (5) business days, a request for a partial or total waiver of MWBE participation goals. Failure to file the waiver form in a timely manner may be grounds for disqualification of the bid or proposal.**

ESD may disqualify a respondent as being non-responsive under the following circumstances:

- a) If a respondent fails to submit an MWBE Utilization Plan;
- b) If a respondent fails to submit a written remedy to a notice of deficiency;
- c) If a respondent fails to submit a request for waiver; or
- d) If ESD determines that the respondent has failed to document good faith efforts.

The successful respondent will be required to attempt to utilize, in good faith, any MBE or WBE identified within its MWBE Utilization Plan, during the performance of the Grant. Requests for a partial or total waiver of established goal requirements made subsequent to Grant Award may be made at any time during the term of the Grant to ESD but must be made no later than prior to the submission of a request for final payment on the Grant.

The successful respondent will be required to submit a quarterly MWBE Contractor Compliance & Payment Report to ESD, by the 10th day following each end of quarter over the term of the Grant documenting the progress made toward achievement of the MWBE goals of the Grant.

Equal Employment Opportunity Requirements

By submission of a bid or proposal in response to this solicitation, the respondent agrees with all of the terms and conditions [SCHEDULE B - PARTICIPATION BY MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES: REQUIREMENTS AND PROCEDURES](#). The respondent is required to ensure that it and any subcontractors awarded a subcontract for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work"), except where the Work is for the beneficial use of the respondent, undertake or continue programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status. For these purposes, equal opportunity shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, termination, and rates of pay or other forms of compensation. This requirement does not apply to: (i) work, goods, or services unrelated to the Grant; or (ii) employment outside New York State.

The respondent will be required to submit a Minority and Women-owned Business Enterprise and Equal Employment Opportunity Policy Statement, OCSD-1, to ESD with its bid or proposal.

If awarded a Grant, respondent shall submit a Workforce Utilization Report and shall require each of its Subcontractors to submit a Workforce Utilization Report, in such format as shall be required by ESD on a monthly basis during the term of the Grant.

Pursuant to Executive Order #162, grantees and subcontractors will also be required to report the gross wages paid to each of their employees for the work performed by such employees on the grant utilizing the Workforce Utilization Report on a quarterly basis.

Further, pursuant to Article 15 of the Executive Law (the "Human Rights Law"), all other State and Federal statutory and constitutional non-discrimination provisions, the Grantee and sub-contractors will not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

Please Note: Failure to comply with the foregoing requirements may result in a finding of non-responsiveness, non-responsibility and/or a breach of the Grant, leading to the

withholding of funds, suspension or termination of the Grant or such other actions or enforcement proceedings as allowed by the Grant.

The required forms can be found at the following web addresses:

Form OCSD-1: <https://esd.ny.gov/sites/default/files/OCSD-1-Policy-Statement.pdf>

Form OCSD-2: <https://esd.ny.gov/sites/default/files/OCSD-2-Staffing-Plan.pdf>

Form OCSD-3: <https://esd.ny.gov/sites/default/files/OCSD-3-Workforce-Utilization-Report.xlsx>

Form OCSD-4: <https://esd.ny.gov/sites/default/files/OCSD-4%20Utilization%20Plan.pdf>

Form OCSD-5: <https://esd.ny.gov/sites/default/files/OCSD-5-Waiver-Request-Form.pdf>

Form OCSD-6: <https://esd.ny.gov/sites/default/files/OCSD-6%20-%20Contractor%20Compliance%20Payment%20Report.pdf>

In the event that the above links are unavailable or inactive, the forms may also be requested from OCSD at OCSD@esd.ny.gov.

PARTICIPATION OPPORTUNITIES FOR NEW YORK STATE CERTIFIED SERVICE-DISABLED VETERAN OWNED BUSINESSES

Article 17-B of the New York State Executive Law provides for more meaningful participation in public procurement by certified Service-Disabled Veteran-Owned Businesses (“SDVOB”), thereby further integrating such businesses into New York State’s economy. ESD recognizes the need to promote the employment of service-disabled veterans and to ensure that certified service-disabled veteran-owned businesses have opportunities for maximum feasible participation in the performance of ESD grants.

In recognition of the service and sacrifices made by service-disabled veterans and in recognition of their economic activity in doing business in New York State, Bidders are expected to consider SDVOBs in the fulfillment of the requirements of the Grant. Such participation may be as subcontractors or suppliers, as protégés, or in other partnering or supporting roles.

Grant Goals

- A. ESD hereby establishes an overall goal of 3% for SDVOB participation, based on the current availability of qualified SDVOBs. ESD may establish a goal based on the scope of work and the project description identified in the RFP response. For purposes of providing meaningful participation by SDVOBs, the Bidder/Grantee should reference the directory of New York State Certified SDVOBs found at: <https://online.ogs.ny.gov/SDVOB/search>. Questions regarding compliance with SDVOB participation goals should be directed to the Designated Contacts. Additionally, following Grant execution, Grantee is encouraged to contact the Office of General Services’ Division of Service-Disabled Veterans’ Business Development at 518-474-2015 or VeteransDevelopment@ogs.ny.gov to discuss additional methods of maximizing participation by SDVOBs on the Grant.

- B. Grantee must document “good faith efforts” to provide meaningful participation by SDVOBs as subcontractors or suppliers in the performance of the Grant.

SDVOB Utilization Plan

- A. In accordance with 9 NYCRR § 252.2(i), Bidders are required to submit a completed SDVOB Utilization Plan on Form OCSD-4.
- B. The Utilization Plan shall list the SDVOBs that the Bidder intends to use to perform the Grant, a description of the work that the Bidder intends the SDVOB to perform to meet the goals on the Grant, the estimated dollar amounts to be paid to an SDVOB, or, if not known, an estimate of the percentage of Grant work the SDVOB will perform. By signing the Utilization Plan, the Bidder acknowledges that making false representations or providing information that shows a lack of good faith as part of, or in conjunction with, the submission of a Utilization Plan is prohibited by law and may result in penalties including, but not limited to, termination of a grant for cause, loss of eligibility to submit future bids, and/or withholding of payments. Any modifications or changes to the agreed participation by SDVOBs after the Grant award and during the term of the Grant must be reported on a revised SDVOB Utilization Plan and submitted to ESD.
- C. ESD will review the submitted SDVOB Utilization Plan and advise the Bidder/Grantee of ESD acceptance or issue a notice of deficiency within 20 days of receipt.
- D. If a notice of deficiency is issued, Bidder/Grantee agrees that it shall respond to the notice of deficiency, within seven business days of receipt, by submitting to ESD a written remedy in response to the notice of deficiency. If the written remedy that is submitted is not timely or is found by ESD to be inadequate, ESD shall notify the Bidder/Grantee and direct the Bidder/Grantee to submit, within five business days of notification by ESD, a request for a partial or total waiver of SDVOB participation goals on OCSD-5. Failure to file the waiver form in a timely manner may be grounds for disqualification of the bid or proposal.
- E. ESD may disqualify a Bidder’s bid or proposal as being non-responsive under the following circumstances:
 - (a) If a Bidder fails to submit an SDVOB Utilization Plan;
 - (b) If a Bidder fails to submit a written remedy to a notice of deficiency;
 - (c) If a Bidder fails to submit a request for waiver; or
 - (d) If ESD determines that the Bidder has failed to document good faith efforts.
- F. If awarded a Grant, Grantee certifies that it will follow the submitted SDVOB Utilization Plan for the performance of SDVOBs on the Grant pursuant to the prescribed SDVOB grant goals set forth above.

- G. Grantee further agrees that a failure to use SDVOBs as agreed in the Utilization Plan shall constitute a material breach of the terms of the Grant. Upon the occurrence of such a material breach, ESD shall be entitled to any remedy provided herein, including but not limited to, a finding of Grantee non-responsibility.

Request for Waiver

A. Prior to submission of a request for a partial or total waiver, Bidder/Grantee shall speak to the Designated Contacts at ESD for guidance.

B. In accordance with 9 NYCRR § 252.2(m), a Bidder/Grantee that is able to document good faith efforts to meet the goal requirements, as set forth in clause IV below, may submit a request for a partial or total waiver on Form OCSD-5, accompanied by supporting documentation. A Bidder may submit the request for waiver at the same time it submits its SDVOB Utilization Plan. If a request for waiver is submitted with the SDVOB Utilization Plan and is not accepted by ESD at that time, the provisions of clauses II (C), (D) & (E) will apply. If the documentation included with the Bidder's/Grantee's waiver request is complete, ESD shall evaluate the request and issue a written notice of acceptance or denial within 20 days of receipt.

C. Grantee shall attempt to utilize, in good faith, the SDVOBs identified within its SDVOB Utilization Plan, during the performance of the Grant. Requests for a partial or total waiver of established goal requirements made subsequent to Grant award may be made at any time during the term of the Grant to ESD but must be made no later than prior to the submission of a request for final payment on the Grant.

D. If ESD, upon review of the SDVOB Utilization Plan and Monthly SDVOB Compliance Report (OCSD-6) determines that Grantee is failing or refusing to comply with the grant goals and no waiver has been issued in regard to such non-compliance, ESD may issue a notice of deficiency to the Grantee. The Grantee must respond to the notice of deficiency within seven business days of receipt. Such response may include a request for partial or total waiver of SDVOB grant goals.

Waiver requests should be sent to OCSD.

Required Good Faith Efforts

In accordance with 9 NYCRR § 252.2(n), Grantees must document their good faith efforts toward utilizing SDVOBs on the Grant. Evidence of required good faith efforts shall include, but not be limited to, the following:

- (1) Copies of solicitations to SDVOBs and any responses thereto.
- (2) Explanation of the specific reasons each SDVOB that responded to Bidders/Grantees' solicitation was not selected.

- (3) Dates of any pre-bid, pre-award or other meetings attended by Grantee, if any, scheduled by ESD with certified SDVOBs whom ESD determined were capable of fulfilling the SDVOB goals set in the Grant.
- (4) Information describing the specific steps undertaken to reasonably structure the Grant scope of work for the purpose of subgranting with, or obtaining supplies from, certified SDVOBs.
- (5) Other information deemed relevant to the waiver request.

Monthly SDVOB Contractor Compliance Report

In accordance with 9 NYCRR § 252.2(q), Grantee is required to report Monthly SDVOB Contractor Compliance to ESD during the term of the Grant for the preceding month's activity, documenting progress made towards achieving the Grant SDVOB goals. This information must be submitted using form OCSD-6 available on the ESD website and should be completed by the Grantee and submitted to ESD, by the 10th day of each month during the term of the Grant, for the preceding month's activity to: OCSD@esd.ny.gov.

Breach of Grant and Damages

In accordance with 9 NYCRR § 252.2(s), any Grantee found to have willfully and intentionally failed to comply with the SDVOB participation goals set forth in the Grant, shall be found to have breached the grant and Grantee shall pay damages as set forth therein.

vii. Certification under State Tax Law Section 5-a

Any grant resulting from this solicitation is also subject to the requirements of State Tax Law Section 5-a ("STL 5-a"). STL 5-a prohibits ESD from approving any such grant with any entity if that entity or any of its affiliates, subgrantors or affiliates of any subgrantor makes sales within New York State of tangible personal property or taxable services having a value over \$300,000 and is not registered for sales and compensating use tax purposes. To comply with STL 5-a, all Bidders to this solicitation must include in their Proposals a properly completed Form ST-220-CA (http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf), or an affidavit (http://esd.ny.gov/CorporateInformation/Data/RFPs/RequiredForms/STL_5A_Affidavit.pdf) that the Respondent is not required to be registered with the State Department of Taxation and Finance. Also, in accordance with the requirements of STL 5-a, any grant resulting from this solicitation will require periodic updating of the certifications contained in Form ST-220-CA. Solicitation responses that do not include a properly completed ST-220-CA will be considered incomplete and non-responsive and will not be considered for grant award. Only the prime consultant completes Form ST 220-CA, but Schedule A to Form ST 220-CA requires detailed information from the sub-consultants, such as tax ID number, etc., if applicable. Moreover, if applicable, certificates of authority must be attached by the prime consultant and all the sub-consultants.

viii. Project Sunlight

This procurement is subject to the Public Integrity Reform Act of 2011. 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 grant (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, Bidders and their advisors should consult the Laws of 2011, Ch. 399 for guidance.

ix. W-9 Form

Provide a completed W-9 form (<https://www.irs.gov/pub/irs-pdf/fw9.pdf>), submit with proposal.

EXHIBITS / APPENDICES

- Exhibit A: Cover Page27
- Exhibit B: Proposal Checklist.....28
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- Appendix F-3: Training and Technical Assistance Costs.....53

EXHIBIT A: COVER PAGE

Please provide all requested information

NYS ENTREPRENEURSHIP ASSISTANCE CENTERS

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

Organization Name: _____	Page #
• Exhibit A: Cover Page –all sections completed	27
• Exhibit B: EAC Proposal Checklist	28
• Exhibit C: Submission Requirements/Application Guidelines (Proposal Narrative). Please submit a complete proposal narrative, be sure to reference all relevant sections of this RFA including but not limited to the Submission Requirements, Tasks and Timeline, Program Goals, Evaluation and Selection Criteria. Please also include a table of contents.	29-30
• Exhibit C-1 (Include copy sent via E-mail): Proposed Project Budget (See Exhibit C-2 Matching Funds Description); and Project Budget narrative (Add copy sent via E-mail)	31-34
• Appendix F-1: Commitment of Funding and Task & Timeline on Organization Letterhead	51
• Appendix F-2: Estimated Salary Schedule (Include a copy sent via E-mail)	52
• Appendix F-3: Training and Technical Assistance Costs	53
• OCSD-1: MWBE / EEO Policy Statement (Add signed statement – download from page 20)	<input type="checkbox"/>
Additional Requirements and Attachments	
• Copy of Certificate of Incorporation	<input type="checkbox"/>
• Provide previous three years of audited financial records/tax returns.	<input type="checkbox"/>
• 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 EAC 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.	<input type="checkbox"/>
• List of Board of Directors	<input type="checkbox"/>
• List of Client Advisory Members	<input type="checkbox"/>
• Copies of job descriptions and resumes for project director, staff, counselors/consultants	<input type="checkbox"/>
• You have included the plan to describe your curriculum in the narrative section of this application.	<input type="checkbox"/>
• SECTION VIII - GRANT REQUIREMENTS of RFP (Pages 14-25) Listed below:	<input type="checkbox"/>
<i>All 12 subsections:</i> Conflicts of Interest; State Finance Law; Vendor Responsibility Questionnaire; Iran Divestment Act; Executive Order 177; Non-Discrimination and Grantor & Supplier Diversity Requirements; Encourage the Use of NYS Businesses in Grant Performance; Certification Under State Tax Law Section 5-a; Schedule A; Project Sunlight; Insurance Requirements; W-9 Form	

EXHIBIT C: SUBMISSION REQUIREMENTS

ESD ENTREPRENEURSHIP ASSISTANCE CENTERS

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 EAC 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 EAC participants, competencies that EAC students shall develop as a result of this training, and proposed trainers.
 - c. **Appendix D (pages 41-43)** is the EAC Training and Curriculum Guidelines which outlines the minimum standards for training and curriculum for the EAC.
 - d. A 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 EAC clients; also, strategies for ensuring individual clients have access to a minimum of 10 hours of technical assistance.

- e. A discussion of the organization's performance as a microenterprise development service provider and any other similar business development initiatives and/or grants.
- f. A description of the specific activities that the center will undertake to help EAC clients to access needed credit and capital to finance the business start-up or expansion.
- g. Formal acceptance of the Tasks and Timeline included as **Appendix A (pages 26-33)** of this application.
- h. Formal written acceptance of EAC Center goals as outlined in **Appendix B (pages 34-35)**. In addition to acceptance of goals provide a brief statement indicating whether or not these goals are realistic for the organization and how they compare to achievements on other similar grants.

3) Project Budget-

Prepare a project budget using format provided via e-mail, an example is also provided as **Exhibit C-1 (page 22)** 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) Project Budget Narrative

The budget narrative should provide a detailed description of each line item contained in the project budget (See **Exhibit C-1: Project Budget Narrative Example (pages 23-24)**).

5) Required Attachments (See **Exhibit B: Proposal Checklist (page 19)**)

- a. A copy of Certificate of Incorporation.
- b. Provide previous three years of audited financial records/tax returns.
- c. 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 EAC operations.
- d. A list of Board of Directors and including resumes, if available.
- e. Copies of job descriptions and resumes for project director, staff and instructors.
- f. A copy of the proposed 2020-2021 syllabus (drafts are acceptable).

Exhibit C-1
Project Budget
(Insert Copy of Budget sent via E-mail)

USE OF FUNDS	EAC Program	Cash Match Must be minimum 50%		Organization In-Kind Match	Other In-Kind Match	TOTALS
	ESD GRANT	Organization Cash Match	Other Cash Match			
Salaries						
Fringe Benefits						
Grant Services						
Consultants (training)						
Training Materials						
Supplies / Materials						
Travel						
Equipment Rental						
Real Estate Rental						
EAC Conference / Business Plan Training	\$1,500					\$1,500
Postage						
Printing						
Advertising						
TOTALS						

- 1) ESD funds must be matched 100%, using a combination of cash and in-kind (at least 50% must be a cash match).
 - a) Cash match may include a combination of any **non-NY 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. (Please include a sliding scale fee schedule.)
 - c) Loan funds are not an allowable cash match.
- 2) Attach award and organization commitment letters and any other relevant documentation for all matching and in-kind sources of funding listed above.
- 3) If in-direct cost is used as a line item, a letter itemizing each cost and expected amount must be submitted with the application and with each request for reimbursement.
- 4 EAC conference business plan training budgeted at \$1,500 per Center.
- 5) All line items must be clearly stated (i.e., miscellaneous/overhead/administrative costs/in-kind are not acceptable line items.
- 6) Project budget must be completed by rounding to the nearest dollar
- 7) A maximum of \$500 in grant funds may be used for staff food and beverage expenses related to travel unless otherwise stated.

Exhibit C-1

Project Budget Narrative Example

****Include narrative information for both ESD and Matching Funds**

Salaries \$

List all personnel that will be connected to the project along with duties and salaries. This will be in addition to the Salary Schedule currently required. You may attach a copy of the Salary Schedule as part of your back-up explanation. Please include method of calculation.

Fringe Benefits \$

Same as salaries above; include all fringe benefits (i.e., medical, dental, life insurance plans, workers compensation, etc.) how they are calculated and what percentages are related to the EAC.

Grant Services \$

List and explain each grant item under this category whether it is above or below the \$500 threshold. Please explain how each relates to EAC, methods for calculation and why. Include Exhibit C and grant/letter agreement for any services \$500.00 and over.

Consultant (training) \$

List and explain each item under this category whether it is above or below the \$500 threshold. Why are consultants being hired? What services will they provide? When will they provide them? How were they chosen and why? Are they MWBE certified? What methods were used to grant with MWBE's, etc. Attach the Exhibit C and consultant agreement for any services over \$500.

Training Materials \$

List what is expected to be purchased under this category and its expected use for training purposes. Are vendors MWBE certified? What methods were used to grant with MWBE's, etc.

Supplies/Materials \$

List what is expected to be purchased under this category and its expected use. Are vendors MWBE certified? What methods were used to grant with MWBE's, etc.

Exhibit C-1

**Project Budget Narrative Example
(Continued)**

Travel \$

What program related travel do you expect? How did you come up with this figure? Where and when will travel take place?

EAC Conference / Business Plan Training \$1,500

The conference is coordinated by EAC staff at Empire State Development. This conference has been coordinated in this manner for the past 30 years and provides participants with information on (1) program and grant requirements; the grant disbursement agreement and overall expectations for project performance and outcomes; reporting and record-keeping procedures, program changes, etc.; (2) presentation of trending practices in entrepreneurial training for the trainer.

Indirect Costs \$

Provide an explanation of what indirect costs is, what items are included under this line item and why, the total costs associated with the line item, how these costs are calculated for individual programs.

Business Plan Competition \$

Please provide information on the competition, how is it structured, how is it funded, are their opportunities for MWBE participation, if not why not?

*****Please complete the budget narrative including as much information as possible for all line items in your budget even those not listed in the above example.**

*****Clearly identify source and use of matching funds**

Exhibit C-2
Matching Funds Description

The Entrepreneurship Assistance Centers (“EAC” or “Centers”) requires a 1:1 match of which at least 50% must be cash.

A cash match can be defined as actual funds dedicated to EAC. An in-kind match includes, time, equipment, space rental, staff salaries, fringe benefits, etc. These matching funds may come from other outside (i.e., non-NY State) funding source(s) which you must clearly identify or the organization itself.

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.
- 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.
- 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 is acceptable, please call Bette Yee (212) 803-3234 for clarification prior to completing/submitting your proposed program budget.

APPENDIX A: EAC TASK AND TIMELINE

Task #	Task Description	Anticipated Time Schedule	Person Responsible
1	<p>NEW Project Number and grant year must be included on all documentation submitted (via mail or electronically)</p> <ul style="list-style-type: none"> • Submit fully executed GDA • Submit Request for Advance for 50% of grant 	<p>Upon ESD Receipt of fully executed GDA</p> <p>Processing Advance</p>	<p>Program Staff</p> <p>ESD Grant Administration</p>
2	<p>Outreach efforts</p> <ul style="list-style-type: none"> • New clients and prior years' clients; and • Business Mentor NY new mentees • Partner outreach and Client linkage 	<p>Ongoing</p>	<p>Program Staff</p>
3	<p>Client Assessment and Enrollment</p>	<p>Ongoing</p>	<p>Program Staff</p>
4	<p>Classroom training: (at least one/year)</p> <ul style="list-style-type: none"> • EAC Training • Workshop development 	<p>Complete first training by six (6) months of grant</p>	<p>Program Staff</p>
5	<p>Technical Assistance & linkage to resources</p> <ul style="list-style-type: none"> • Client advisory group • Marketing, Accounting, Legal, services • Assist with Capital access / loans / funding • Mentoring services 	<p>Ongoing</p>	<p>Program Staff</p>
6	<p>EAC Database</p> <p>Goals must be tracked and maintained in the EAC Database quarterly</p> <p>Discrepancies in client statistical report data must be reported prior to or at the time of report submission.</p> <p>Note that no statistical data can be entered after the database goes off-line on June 30 at 11:59pm (No exceptions)</p>	<p>Ongoing data entry:</p> <ul style="list-style-type: none"> • 2nd Qtr Ending Dec 31 • 3rd Qtr Ending Mar 31 with 75% of goals done • 4th Qtr Ending Jun 30 <p>No changes accepted after program report is finalized, without written request and approval by EAC Director.</p>	<p>Program Staff</p> <p>EAC Director</p>

EAC TASK AND TIMELINE

Task #	Task Description	Anticipated Time Schedule	Person Responsible
7	<p>EAC Client Files & Records Grant requires maintenance and update of EAC program and client files at EAC site: Includes but not limited to:</p> <ol style="list-style-type: none"> 1. Intake/Update forms; 2. Client TA forms; 3. Complete Business Plans; 4. Client assessment forms; 5. Statement of information/service received; 6. Sign-in/attendance sheets; 7. Flyers, announcements, surveys; and 8. Any other program related documentation not submitted quarterly. 	<p>Ongoing</p> <p>Files must be kept in perpetuity at EAC site; and be available for review and/or audit at any time during the grant year or as noted in Terms and Conditions of this grant. Ref. Section II.C Reporting Requirements.</p>	<p>Program Staff</p> <p>Program Staff</p> <p>EAC / ESD Admin</p>
8	<p>Quarter Report Requirements Electronic submission of the following:</p> <ol style="list-style-type: none"> 1) Performance Status Report; 2) Detailed Status Report; 3) Client narrative and Note and Certification; 4) 1 success story w/client consent form; 5) Narrative covering all program activities to date, (i.e., training/counseling outreach, accomplishments, advisory group, etc.). 6) Final Report of program progress, covering new program activities and anything not reported previously. 7) Project Close Reports (Task # 8) 	<p>Due: January 15, 2021 2nd Qtr Report: Oct-Dec Reports #: 1 - 5</p> <p>Due: April 15, 2021 3rd Qtr Report: Jan-Mar Reports #: 1 - 4</p> <p>NOTE: Minimum 75% goal attainment required by 3rd Quarter</p> <p>Due: July 15, 2021 4th Qtr Report: Apr-Jun Reports #: 1 – 7</p>	<p>Program Staff</p> <p>Discrepancies in client statistical report data must be reported prior to or at the time of report submission.</p> <p>No changes accepted after program report is finalized, without written request and approval by EAC Director.</p>
9	<p>PROJECT CLOSE October 1, 2020 to June 30, 2021</p> <p>Deadline for data entry & program documentation</p>	<p>Project Expiration Date June 30, 2021</p> <p>June 30, 2021@ 11:59PM (No Exceptions)</p>	<p>Program Staff</p> <p>Program Staff</p>

EAC TASK AND TIMELINE

Task #	Task Description	Anticipated Time Schedule	Person Responsible
	<p>Closing Reports:</p> <p>I. Client Evaluations (Survey Monkey is preferred method);</p> <p>II. Business Plan Executive Summaries “only” (complete business plans should be maintained in the client file and submitted upon audit request); and</p> <p>III. A description of how EAC Curriculum is integrated into EAC training (i.e., curriculum manual used, website, resumes, handouts, PowerPoint, etc.) and how it is working.</p>	<p>Due: July 15, 2021</p> <p>No changes accepted after EAC program report is finalized, unless a written request has been approved by EAC Director.</p>	<p>EAC Director</p>
<p>10</p>	<p>FINAL PAYMENT REQUEST October 1, 2020 to June 30, 2021</p> <p>PROJECT EXPIRATION DATE:</p> <p>SUBMIT FINAL PAYMENT REQUEST Project expense documentation incurred between October 1, 2020 and June 30, 2021.</p> <p>Submit two copies of Final Payment Request</p> <ol style="list-style-type: none"> 1. Digital copy uploaded to ESD Drop Box 2. Hard copy via USPS <p>NOTE: Disbursement of final payment and 10% retainage upon completion of all program requirements</p>	<p>June 30, 2021</p> <p>September 15, 2021 (Deadline - NO Exceptions)</p> <p>Grant Expiration Date: December 31, 2021</p>	<p>Program Staff</p> <p>Program Staff</p> <p>ESD Grant Administration</p>

APPENDIX B

ENTREPRENEURSHIP ASSISTANCE CENTERS

2020 – 2021 Annual Program Goals

(Page 1 of 2)

(Subject to Change)

1. The Entrepreneurship Assistance Centers 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 those whose businesses are less than five years of age and those who are planning to start one. Sixty (60) 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 provide technical assistance to new and existing firms to make the transition to small growth companies.
2. Signs stating, “Funding provided by a grant from the Empire State Development Entrepreneurship Assistance Centers”, should be visible to clients and the general public entering the Center.
3. Listed below are the pro-rated minimum performance standards for the 2020-2021 program year from October 1, 2020 through June 30, 2021 grants up to **\$66,000** which is contingent upon availability of funds and approval by the Division of Budget.

CLIENTS/BUSINESSES

New Clients Enrolled	8
Prior Clients	n/a
Businesses Started	5
Businesses Saved	3

EXISTING BUSINESSES

Number of firms with increased sales	4
Aggregate amount of increased sales	100,000
Number of firms with expanded employment	2
Number of new employees	3
Number of firms with retained employment	2
Number of retained employees	3

START-UP BUSINESSES

Number of firms with increased sales	2
Aggregate amount of increased sales	30,000
Number of firms with expanded employment	2
Number of new employees	2

APPENDIX B

ENTREPRENEURSHIP ASSISTANCE CENTERS
2020-2021 Annual Program Goals
(Page 2 of 2)
(Subject to Change)

<u>FINANCING</u> (for start-up and existing businesses)		
Financial packages developed		5
Financial packages approved		3
Amount of financing secured		100,000
 <u>BUSINESS PLANS COMPLETED</u>		
New Enrollments		6
 <u>MWBE</u>		
MWBE Certification Applications Developed		4
 <u>Veterans</u>		
New Clients Enrolled		2
Businesses Started		1
 <u>Business Mentor NY</u>		
New Mentorship Clients Enrolled		12*
New Mentors Enrolled		3
New Engagements Facilitated		12**

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

* New Mentorship Clients Enrollment may include EAC clients and clients that your organization provides services to outside of the EAC program. **Note** - these other clients will not be entered and/or counted in the EAC database but through the BMNY site. Each EACs is responsible for downloading a “user report,” listing all users that are affiliated with the center from the BMNY platform, highlighting non-EAC clients, and providing to EAC staff.

** “New Engagements Facilitated” may be substituted with a “Speed Mentoring Event”. A Speed Mentoring event is an event that brings area entrepreneurs and volunteer mentors together for one-on-one mentoring and networking. ESD staff will provide an event tool kit to assist in facilitating such an event and can also assist with marketing the event by inviting users (both entrepreneurs and mentors) on the BMNY platform within the EAC’s service area, but the EAC will be responsible for marketing, outreach and coordination of the event.

APPENDIX C
ENTREPRENEURSHIP ASSISTANCE CENTERS LISTING
 (Page 1 of 5)

Capital Region

<p>Service Area: Rensselaer, Schenectady, Columbia, Greene, Saratoga, Montgomery, Fulton and Albany Counties, Town of Colonie</p> <p>Website Address: www.ac-chamber.org</p>	<p>Capital Chamber Foundation, Inc. Capital Region Entrepreneur Boot Camp Five Computer Drive South Albany, NY 12205-1631 Tel: (518) 431-1430 Fax: (518) 434-1402</p>
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Central New York Region

<p>Service area: Onondaga, Oswego, Syracuse, Madison, and Cortland Counties</p> <p>Languages spoken: English</p> <p>Website Address: www.syr.edu</p>	<p>Syracuse University South Side Innovation Center 2610 South Salina Street Syracuse, NY 13205 Tel: (315) 443-8466 Fax: (315) 443-8</p>
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Finger Lakes Region

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

APPENDIX C
ENTREPRENEURSHIP ASSISTANCE CENTERS LISTING
 (Page 2 of 5)

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) 463-5285 Fax: (516) 463-6870

Mid-Hudson Region

Service area: Westchester County areas; Languages: English; Spanish Website: www.wedcbiz.org	Women's Enterprise Development Center Inc. 901 North Broadway Suite 23 White Plains, NY 10603 Tel: (914)-948-6098 Fax: (914)-470-2972
Service area: Dutchess County, Orange County, Putnam, Sullivan Languages: English; Spanish Website: www.wedcbiz.org	Women's Enterprise Development Center Inc. 3 Neptune Road Poughkeepsie, NY 12601 Tel: (845) 363-6432 Fax: (845) 649-2778

Mohawk Valley Region

Service Area: Oneida, Madison & Herkimer Counties Website: www.NYWBC.org	Business Training Institute, Inc. The Radisson Centre 200 Genesee Street Utica, NY 13502 Tel: (315) 733-9848 Fax: (315) 733-0247
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APPENDIX C
ENTREPRENEURSHIP ASSISTANCE CENTERS LISTING
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New York City Region

<p>Service Area: Manhattan, Queens, and Brooklyn (assistance in Chinese)</p> <p>Website Address: www.renaissance-ny.org</p>	<p>Renaissance Economic Development Corporation 2 Allen Street, 7th Floor New York, NY 10002 Tel : (212) 964-6022 x138 Fax : (212) 964-6003</p>
<p>Service Area: Chinatown and Other Immigrant Communities throughout NYC (assistance in Chinese)</p> <p>Website Address: www.cmpny.org</p>	<p>Chinatown Manpower Project/ Business Outreach Center 70 Mulberry St., Third Floor New York, NY 10013 Tel: (212) 571-1691 Fax: (212) 571-1686</p>
<p>Service Area: East Harlem and surrounding neighborhoods</p> <p>Languages: English, Spanish</p> <p>Website Address:</p>	<p>TBD – RFP sent June 5, 2020</p>
<p>Service area: Upper Manhattan the Western Bronx</p> <p>Languages spoken: English & Spanish</p> <p>Website address: www.whidc.org</p>	<p>Washington Heights –Inwood Development Corporation 611 West 177th, Lower Level New York, NY 10033 Tel: (212) 795-1600 Fax: (212) 781-4051</p>
<p>Service Area: Bronx County</p> <p>Website Address:</p>	<p>TBD – RFP sent June 5, 2020</p>

APPENDIX C
ENTREPRENEURSHIP ASSISTANCE CENTERS LISTING
 (Page 4 of 5)

New York City Region (Con't)

Service Area: Bronx County Languages: English, Spanish Website Address:	TBD – RFP sent June 5, 2020
Service Area: East Brooklyn and surrounding Brooklyn neighborhoods Languages: English, Haitian Creole Website Address: www.ldceny.org	Local Development Corporation of East New York 80 Jamaica Avenue, 3 rd Floor Brooklyn, NY 11207-2045 Tel : (718) 385-6700, Ext. 10 Fax : (718) 385-7505
Service Area: Kings County Languages: English, Spanish, Haitian Creole Website Address: www.camba.org	CAMBA, Inc. 2244 Church Avenue, 4 th Floor Brooklyn, NY 11226 Tel: (718) 226-0436 Fax : (718) 282-8329
Service Area: Kings County Website Address: www.restorationplaza.org	Bedford Stuyvesant Restoration Corporation 1368 Fulton Street Brooklyn, NY 11216 Tel: (718) 636-6973 Fax: (718) 636-0511
Service Area: Queens County; Corona and Jamaica Languages: English, Spanish, Haitian Website Address: www.bocnet.org	Business Outreach Center Network, Inc. 96-11 40 th Road Corona, NY 11368 Tel: (718) 205-3773 Fax: (718) 205-3774
Service Area: Queens County (assistance available in English, Spanish, Hindi, Russian) 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

APPENDIX C
ENTREPRENEURSHIP ASSISTANCE CENTERS LISTING
 (Page 5 of 5)

North Country Region

<p>Service Area: Clinton, Essex, Franklin, Fulton, Hamilton, Herkimer, Jefferson, Lewis, Oneida, Oswego, Saratoga, St. Lawrence, Warren and Washington Counties</p> <p>Website Address: www.AEDOnline.com</p>	<p>Adirondack Economic Development Corporation (AEDC) 67 Main Street Suite 200 Saranac Lake, NY 12983-5747 Tel: 518-891-5523 ext. 101 Fax: 518-891-9820</p>
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Southern Tier Region

<p>Service Area: Binghamton, Broome, Tioga, Chenango, and Delaware</p> <p><u>Project Sites:</u></p> <ul style="list-style-type: none"> - Broome Community College - Broome County Urban League - Broome Tioga Workforce Dev. <p>Website Address: www.cityofbinghamton.com</p>	<p>Binghamton Local Development Corporation SUNY Broome Community College Continuing Education - EAC 120 Hawley Street 3rd Floor, Room 306 Binghamton, NY 13901 Tel : (607) 777-4022 Fax : (607) 772-7244</p>
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Western Region

<p>Service Area: Allegany, Steuben & Cattaraugus Counties</p> <p>Website Address: www.accordcorp.org</p>	<p>ACCORD Corporation 6087 State Rt 19N Belmont, NY 14813-0573 Tel: (585) 268-7605 x1125 Fax: (585) 268-5085</p>
<p>Service area: Erie County & Niagara</p> <p>Language(s) spoken: English and Spanish</p> <p>Website Address: www.iaal.org</p>	<p>IBERO – American Action League, Inc. at Medaille College (Buffalo) 18 Agassiz Circle Buffalo, NY 14214 Tel: (716) 880-3288 Fax: (716) 880- 3294</p>

APPENDIX D

Entrepreneurship Assistance Centers 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 survey individuals of proposed target market to test viability of product or service; 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: Who/Where are my customers? 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 financiers. 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 each participant contributing to this review and individually sharing the status of their customer discovery and acquisition.
- 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 understanding of their business model to be able to adjust their Business Plan on an ongoing basis; they will each have 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.

Appendix E Sample Training Schedule

Page (1 of 4)

SAMPLE AGENDA

INSTRUCTOR TOPICS (60 MIN.)

(20 min.)

1. Getting the Class Started

- Collect student registration forms, collect money, distribute books
- Have administrator and staff or sponsors introduce themselves
- Introduce yourself with a brief history to build credibility

(15 min.)

2. Course Introduction

- Course overview, books, and session dates
- Explain class structure

(5 min.)

3. Expectations

- Student responsibilities
- Instructor responsibilities

(20 min.)

4. Student Introductions—see *Additional Instructor Notes*

GUEST SPEAKER THIS SESSION— BREAK (20 MIN.)

- Refreshments
- Networking activity

INSTRUCTOR TOPICS—CONTINUED (40 MIN.)

30 min.)

5. Thinking Entrepreneurially

- Self-Assessment and Business Goals
- Assessing Your Business Idea
- Finding Your Business Niche

(10 min.)

6. Introduction to the Business Plan

WORK PERIOD (60 MIN.)

Appendix E Sample Training Schedule

Page (2 of 5)

ENTREPRENEURSHIP: Training Overview

LEARNING OBJECTIVES

- Understand the course curriculum and expectations.
- Understand the traits of successful entrepreneurs.
- Understand the concept of market segmentation, demographics, psychographics and niche markets.
- Understand how to create a simple customer profile.

ENTREPRENEURSHIP: The Business Plan & The Marketing Plan

LEARNING OBJECTIVES

- Introducing all the component parts of the **Business Plan**, and **The Marketing Plan**.
- **Group Participation & Sharing** – After completing the Session 1, class participants share how they understand the parts of their business idea to fit into the business plan.
- **Homework** – Begin researching business industry; likely competitors and begin to fill in those parts of the business and marketing plan.

MARKETING: Research & Analysis

LEARNING OBJECTIVES

- Understand common market research methods.
- Understand how to describe product features and benefits.
- Understand the importance of gathering primary data when conducting customer research.
- Distinguish between direct and indirect competition.
- Learn how to use customer and competition profiles.

MARKETING: Customer Development & Sales

LEARNING OBJECTIVES

SHARE

- Each student shares with the group the outcome of their product testing with strangers: was this the right customer, does this product or service solve a problem or help them in any way, what price are they willing to pay, what are their “go to” sources for searching items they want, who do they rely on for recommendations, what new information was ascertained, does product need tweaking, does customer profile or pricing need adjusting, etc.

WRITE

- Marketing Plan: A. Products and Services and B. Market Analysis.

HOMEWORK

- Test & survey another group of individual; compare results and refine marketing plan.

Appendix E Sample Training Schedule

MANAGING YOUR MONEY: Financial Statements & Business Financing

LEARNING OBJECTIVES

- Prepare the Monthly Project Income Statement and understand how it differs from the Cash Flow Projection.
- Develop a Projected Balance Sheet and compare with the Beginning Balance Sheet.
- Understand managerial uses of financial statements.
- Become aware of sources for debt and equity capital.
- Understand how to produce and submit a financing proposal.

BUSINESS PLAN

LEARNING OBJECTIVES

PRESENTATION for PITCHING BUSINESS PLAN

Sample of Executive Summary

1. **Company Purpose:** Describe the company/business and principle objective
2. **Business / Product or Service:** Describe product/service, the features and functions and how it helps the user with an issue they may or may not yet be aware of; the extent and results from your testing the sales potential of product or service
3. **The Market:** Describe the customer(s) who would most benefit from your product or services; illustrating the market segment and size to show potential capture of this segment, note how many customer reviews or notable customers already obtained. Your plan to start and grow.
4. **Competition:** Describe other businesses who compete in same market and the advantages your product has in the market; explain possible disadvantages and your plans to compensate for them.
5. **Risk/Opportunity:** Describe greatest risks internally with management or expertise and externally with market or environmental conditions and how you would mitigate and turn these into opportunities. Describe biggest recognized opportunity both internally and externally.
6. **Management Team:** Illustrate the experience of your management team and advisors that add to your business 's agility to reduce the risks and take advantage of an opportunity.
7. **Operations:** Illustrate the details of your operation from production / inventory management / sales and delivery of service; who on your management team is responsible; what your tracking and reporting mechanisms so you know exactly your company's temperature.
8. **Capital Requirements:** Describe the amount of financing you will need; how the funds will be spent; and how that will increase the revenues to meet the company's ability to repay.
9. **Financial Snapshot:** Present most recent quarter/month financials: Include a Balance Sheet, Income Statement, Cash Flow Projections, and Break-Even analysis.

Appendix F-1

Applicant Commitment of Funding and Acceptance of Tasks and Timeline for
(2020-2021)

Instructions:

The letter below confirms (1) the organizations commitment to provide matching funds to the New York State Entrepreneurship Assistance Centers; (2) the source of the matching funds; (3) the dollar amount of said funds (4) commits the organization to adhering to the Tasks and Timeline. Submit this letter typed on organization letterhead, all sources of funding must be specifically identified, titles like private funding, or NYC or Federal are not acceptable. See example below.

***** **Copy and fill in contents on Organization Letterhead** *****

Date

Bette Yee
Director/NYS Entrepreneurship Assistance Centers
Empire State Development Corporation
633 Third Avenue – 33rd floor
New York, NY 10017

Re: _____
Entrepreneurship Assistance Center

This letter is written to certify that _____ will provide matching funds in the pro-rata amount of **\$ 60,000** for the operation of the NYS Entrepreneurship Assistance Centers Program for the pro-rata grant year 2020-21 beginning October 1, 2020 and ending June 30, 2021.

The cash match of \$ _____ will derive from _____ (\$00,000), _____ (\$00,000), _____ (\$00,000) and _____ (\$00,000).

The in-kind match will derive from _____ (\$00,000), _____ (\$00,000), _____ (\$00,000) and _____ (\$00,000).

Attached to this letter are the award and commitment letters for all funding committed and listed above.

The organization also accepts the Tasks and Timeline as outlined in the Request for Applications on pages 26-33 and the program goals on pages 34-35.

Very truly yours,
_____ (signature)

Appendix F-2

Applicant Proposed Salary Schedule (2020-2021)

(Utilize Word e-mail version)

(Include in Application and Submit Via E-mail)

ESTIMATED SALARY SCHEDULE

If information in grantee’s request for reimbursement of wages differs substantially from the below schedule, Grantee must submit a written letter requesting to modify the salary schedule before funds can be disbursed. If an employee receives Benefits (such as pension, 401(k) employer contributions, employer portion of health benefits, employer FICA) greater than 33% of their Gross pay, specific details must be disclosed to ESDC in writing.

If a new position is being created, you must provide a title and an expected salary for the employee that is to be hired. When that person is hired you must submit a letter stating the person’s name, hiring date, title, gross pay per pay period including fringe benefits and the frequency.

Full-Time Employees

A. Employee Name	B. Title	C. Gross Pay (Per Pay Period including Fringe Benefits)	D. Frequency (Weekly, Bi-Weekly, Monthly)	Total = C*D (Gross Pay times Frequency)
TOTAL				

* Note the total salary for each employee listed must be provided, not just the portion related specifically to EAC.

Part-Time Employees

A. Employee Name	B. Title	C. Hourly Wage	Frequency	TOTAL
TOTAL				

Appendix F-3

Applicant Training/Technical Assistance Schedule/Costs (2020-2021)

(Utilize Word e-mail version)

(Include in Application and Submit Via E-mail)

Applicant Training / Technical Assistance Schedule / Costs (2020-2021)	
Organization Name:	
Project #	
Training Period(s) (Beginning / End)	Session #1
	Session #2
Cost of 60-hour Course	(Attach Sliding Scale Fee Schedule)
Cost of Technical Assistance	(Attach Sliding Scale Fee Schedule)