



**Empire State  
Development**

## **New York State's REQUEST FOR APPLICATION Entrepreneurship Assistance Centers**

**ISSUED: February 7, 2022**

Designated Contacts for this Request for Applications:

Primary Contact: John Discolo, Director of Procurement

Secondary Contact: Ralph Volcy, Director of Procurement

All contacts/inquiries shall be made by email to the following address: [EAC2223RFA@esd.ny.gov](mailto:EAC2223RFA@esd.ny.gov)

### **APPLICATIONS DUE DATE AND TIME:**

**On or before March 28, 2022 at 5:00 PM EST**

**Applications must be emailed by this date and time.**

**Late applications cannot be accepted**

<b>Release of Request for Applications</b>	<b>February 7, 2022</b>
<b>Information Session</b>	<b>February 15, 2022 at 3:00PM EST</b> <b>RSVP by 02/14/22 to <a href="mailto:EAC2223RFA@esd.ny.gov">EAC2223RFA@esd.ny.gov</a></b>
<b>Deadline for additional Email Questions</b>	<b>February 23, 2022 to <a href="mailto:EAC2223RFA@esd.ny.gov">EAC2223RFA@esd.ny.gov</a></b>
<b>Deadline for ESD to Respond to All Email Questions</b>	<b>February 25, 2022</b>
<b>Submission of Applications</b>	<b>March 28, 2022 at 5:00 PM EST</b>
<b>Anticipated Announcement of Selections</b>	<b>June 1, 2022</b>
<b>Anticipated Contract Start Date</b>	<b>July 1, 2022</b>

Thank you for your interest in submitting a Request for Application (“RFA”) to Empire State Development (“ESD”) for the Entrepreneurship Assistance Centers (“EAC” or the “Centers”) program competitive grant solicitation to qualified New York-based organizations. Up to two (2) grants will be awarded to organizations located in the following two (2) New York State economic regions:

- **Central NY Region** (Cayuga, Cortland, Madison, Onondaga, and Oswego counties)
- **New York City Region** (limited to Bronx County)

The mission of 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.

## **The Program**

The Omnibus Economic Development Law of 1987 established the original Entrepreneurial Assistance Program. In January of 2019, this law was amended and renamed the Entrepreneurship Assistance Centers program. The amended law authorizes the Department of Economic Development doing business as the ESD, through the EAC program, to issue grants to not-for-profit corporations, community colleges and boards of cooperative educational services for the development of EAC 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 emphasis is on helping small businesses develop lasting businesses 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 securing financing.

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.

## **The Project** - *Ref. ESD RFA Regulations & Guidelines- Section II: Program Guidelines, D. FUNDING SOURCE & E. TIMELINE, pg. 5*

The Project is funded from the New York State EAC Budget Appropriations and subject to the availability of State funds. The Project is a 2-year award to commence on July 1, 2022 and will be renewed on July 1, 2023 for up to one (1) additional year upon ESD’s sole discretion and determination of the EAC’s successful annual completion of Project goals and subject to the availability of State funds.

ESD seeks applications from established and qualified organizations that will have the following effects in the communities in which they are located:

- Increase business ownership and business expansion among small businesses, with special emphasis on minority group members, women, veterans, and those that operate in distressed and highly distressed communities;
- Connect small businesses to relevant New York State, federal, municipal, or local programs and resources;
- Provide technical assistance to small businesses to develop business strategies for outreach and consumption, maintain revenue and retain employees, with special emphasis on minority and women-owned firms;
- Facilitate the creation/retention of private sector jobs;
- Increase access to financing by minorities, women, and veteran owned firms; and
- Significantly expand sales among minority, women, and veteran owned firms.

**Designation Period, Contract Amount, and Anticipated Funding** - *Ref. ESD RFA Regulations & Guidelines- Section II: Program Guidelines, C. Designation Period, page 5*

All proposals should reflect ESD funding for a twelve (12) month period in the amount up to \$73,500 representing the initial year one (1) of this grant. The grant is anticipated to commence on July 1, 2022 and end June 30, 2023. The institution awarded an EAC designation under this competition shall be designated for a period of up to one additional year, provided the EAC's performance is deemed satisfactory by ESD, in ESD's sole discretion, at each annual evaluation. Beginning July 1, 2023, the EAC will be then eligible to receive **up to \$73,500** for year two of this grant, subject to the availability of State funds.

**Proposals submitted for greater than \$73,500 for year one (1) of ESD support will be rejected without review. If funding availability increases or decreases during the designation period, ESD will work with designees to adjust budgets accordingly.**

Beginning July 1, 2022 ESD shall provide up to \$73,500 yearly in funding for reimbursable expenses (or a pro-rata of the individual EAC allocation if funding levels change), provided the EAC's performance is deemed satisfactory by ESD, in ESD's sole discretion, and subject to the availability of State funds.

The amount of ESD funds reimbursed to the award recipient will be based on the amount of eligible matching funds expended. ESD reserves the right to adjust the amount of an award recipient's funding based upon the availability of State funds, EAC's economic impact performance including assistance to small New York State businesses, and the EAC's ability to meet the matching funds requirements.

**Eligibility Requirements** - The following types of organizations are eligible to apply:

*Ref. ESD RFA Regulations & Guidelines- Section II, PROGRAM GUIDELINES: A. Eligibility Requirements, page 3.*

- 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;
- A Board of Cooperative Educational Services; or
- Joint ventures between community-based organizations, local government, private and public lenders, or other service providers in the region.

**Selection**

ESD will select two (2) grant recipients. The applicant organization must be located in the aforementioned two (2) New York State economic regions of Central NY and New York City (limited to Bronx County) and in an area accessible to minority group members, women, and other target populations. *Ref. ESD RFA Regulations & Guidelines- Section II: PROGRAM GUIDELINES: A. Eligibility, page 3; and Section V: SELECTION CRITERIA: pages 12-13.*

- ESD cannot consider assistance for project activities commenced or committed to prior to July 1, 2022 or without the grantee's written acceptance of an offer of award from ESD;
- Submission of an application does not guarantee funding and ESD in its sole discretion reserves the right to award partial funding or no funding to the project;
- ESD staff may request additional information or clarification, including financial projections; and
- Previously issued awards do not guarantee awards in this or future EAC grants.

**Submission of a Two-Part Application** - Organizations that submit an application are indicating their acceptance of the conditions stipulated in this grant solicitation. **Part One:** The Grant Application must clearly and concisely provide all of the information requested. **Part Two:** The Administrative Proposal Documentation needs to contain the required documents listed in Section X. Applications that do not comply with any of the instructions provided or do not meet the full intent of all the requirements of this grant solicitation may be subject to scoring reductions during the evaluation process or may be deemed nonresponsive. *Ref: ESD RFA Regulations & Guidelines, Section VI: SUBMISSION OF APPLICATIONS, page 13, and Section IX: GENERAL PROVISIONS, pages 15-16.*

- Organizations must demonstrate the ability to provide EAC services in an impactful and cost-effective way independently;
- Applicant must demonstrate strong operational capacity to provide independent technical assistance services, such as one-on-one assistance, proven entrepreneurship training components associated with new and expanded business formation;
- Organizations must show in their application how the requested funding and leveraged resources can achieve greater impact by serving small businesses, start-ups, growing companies, and businesses going virtual; and
- Submit in two-part sections, Grant Application and Administrative Proposal Documentation.

**Proposal Scoring**

• Firm Experience, Historical Track Record, and Qualifications	25%
• Staff Experience and Qualifications	30%
• Project Plan, Approach, Staffing, Methodology, Readiness for Implementation	35%
• Cost Proposal & Budget / Use of Funds	5%
• Diversity Practices ESD’s Office of Contractor and Supplier Diversity will score each application for Diversity practices. Up to 5 percent will be awarded based upon the contents of the Diversity Practice Questionnaire, submitted by each Respondent to the RFA link: <a href="https://esd.ny.gov/sites/default/files/rfp/Exhibit-C-OCSDDiversityPracticesQuestionnaire.pdf">https://esd.ny.gov/sites/default/files/rfp/Exhibit-C-OCSDDiversityPracticesQuestionnaire.pdf</a>	5%

**Submission of Applications and Requirements** - *Ref. ESD RFA Regulations & Guidelines- Section X: SUBMISSION REQUIREMENTS, pages 17-26.*

Applications submitted in a manner other than as described in these instructions (e.g., facsimile, hard copies) will not be accepted.

1. The Grant Application and the Administrative Proposal Documentation must be submitted electronically via the designated email [EAC2223RFA@esd.ny.gov](mailto:EAC2223RFA@esd.ny.gov) in two-part sections, email subject line needs to be:
  - “Organization Name - EAC2223RFA Grant Application”
  - “Organization Name - EAC2223RFA Administrative Proposal Documentation”
    - Save forms and each document as a separate PDF file
    - Make sure to adhere to the following file naming convention for all documents:
      - OrgName\_EAC2223RFA\_NameOfDocument\_File1



- OrgName\_EAC2223RFA\_FinancialStatement20xx\_File2
- OrgName\_EAC2223RFA\_FinancialStatement20xy\_File3
- Etc.

2. If submitting both parts as one file, email subject line needs to read:

- “Firm name - EAC2223RFA Grant Application and Administrative Proposal”

**Information Session & Questions** - *Ref. ESD RFA Regulations & Guidelines- Section VIII: QUESTIONS, page 15.*

- A. For added reference, consult the ‘EAC RFA REGULATIONS and GUIDELINES’ document that accompanies this application.
- B. To participate in the February 15, 2022 general information session at 3:00PM on the EAC and the RFA process, applicant must RSVP no later than February 14, 2022 to [EAC2223RFA@esd.ny.gov](mailto:EAC2223RFA@esd.ny.gov).
- C. All applicants will have the opportunity to submit additional questions, comments, or requests for clarification regarding this RFA. All questions must be submitted by email to [EAC2223@esd.ny.gov](mailto:EAC2223@esd.ny.gov) no later than February 23, 2022. ESD will publish responses to this RFA in NYS Contract Reporter, ([www.nyscr.ny.gov](http://www.nyscr.ny.gov)).
- D. In addition, any changes, additions, or deletions to this RFA will also be posted on the NYS Contract Reporter, along with the electronic version of this RFA. Respondents should note that any necessary clarification must be sought by the deadline for questions set forth in the “Schedule of Dates” section in this RFA.
- E. Applicants are urged to check the NYS Contract Reporter frequently for notices of any clarification of or changes, additions, or deletions to this RFA.

**Part I: Grant Application:** Please confine responses to respective designated areas within this application.

**Part II: Administrative Proposal Documentation:** Include all required additional documents listed in the final checklist of Section X of this application, item #47

**ESD RFA FEB2022 EAC Regulations and Guidelines:** This is the Entrepreneurship Assistance Centers Program guide for reference to definitions and more detailed information.

**NOTE: Best PDF application for fillable pdf forms**

**Adobe Acrobat Reader DC** is currently the best free PDF software application to complete this fillable PDF application form. It runs across all operating platforms and is available for download at <https://get.adobe.com/reader/>

## ESD ENTREPRENEURSHIP ASSISTANCE CENTERS (“EAC”) APPLICATION

### SECTION I: ORGANIZATION INFORMATION

<b>1</b>	<b>Legal Name of Organization</b>			
<b>2</b>	<b>Organization Address</b> City / State / Zip			
<b>3</b>	<b>Organization County</b>			
<b>4</b>	<b>DBA name if applicable</b>			
<b>5</b>	<b>Applicant Contact Name</b> and Title			
<b>6</b>	<b>Applicant Contact Address</b> City / State / Zip			
<b>7</b>	<b>Applicant Phone Number</b>		<b>Contact Email:</b>	
<b>8</b>	<b>Form of Business: (Check One)</b> <input type="checkbox"/> Business Corporation <input type="checkbox"/> BOCES (Board of Cooperative Educational Service) <input type="checkbox"/> Not-For-Profit <input type="checkbox"/> College <input type="checkbox"/> Local Development Corporation <input type="checkbox"/> University <input type="checkbox"/> Other - (Please indicate):			
<b>9</b>	<b>Federal Tax ID Number:</b>			
<b>10</b>	<b>DUNS Number</b>			
<b>11</b>	<b>NYS Charity Registration #</b>			
<b>12</b>	<b>NYS Unemployment Insurance #</b>			
<b>13</b>	<b>NYS Grants Gateway</b> <a href="https://grantsmanagement.ny.gov/register-your-organization">https://grantsmanagement.ny.gov/register-your-organization</a> Refer to Item #46 to register	<input type="checkbox"/> YES  <input type="checkbox"/> NO  <input type="checkbox"/> Not Applicable (Please explain)	<b>Last Date Updated:</b> If no, Please Explain	
<b>14</b>	<b>Project Counties Covered</b>			
<b>15</b>	<b>Project Location</b> Assembly District #		<b>Member Name</b>	
<b>16</b>	<b>Project Location Senate</b> District #		<b>Member Name</b>	
<b>17</b>	<b>Is the organization currently seeking any other New York State assistance for this project?</b> <input type="checkbox"/> YES. <input type="checkbox"/> NO			
<b>18</b>	<b>OTHER ESD FUNDING:</b> List any other prior relevant New York State assistance applied for or received for the past five years.			

**SECTION II: ORGANIZATION BACKGROUND**

**Organization Information:** Provide an **executive summary** of the organization’s mission and history, the number of years providing technical assistance and entrepreneurship training to small businesses, the number of clients served, graduates and effort to serve startups and expanding businesses. Please comment on the number of minority and women owned business enterprises (“MWBE”) served.

19

20	<p><b>Describe the geographic service area(s) and target populations served. The EAC must be located within the community it serves and accessible for walk-ins.</b> Please include any emphasis on startups, expanding businesses, credit risks, other businesses' lack of credit or inability to secure capital in the traditional market. Please comment on any competitive services offering similar financial, technical assistance or entrepreneurship training in your area, and if or how the demand for these services is being met.</p>
21	<p><b>How has your organization served clients remotely and in-person</b> (keeping and adhering to social distancing guidelines) and in virtual environments?</p>



22	<p><b>Organization's marketing strategy and outreach coordination with other community-based organizations.</b> Be specific about how the organization works with other community-based organizations to reach small businesses, M/WBEs and SDVOBs (Service Disabled Veteran Owned Business). Please include efforts to work with women and minority organizations, associations, or chambers of commerce.</p>
23	<p><b>Organization's three-year strategic plan</b> demonstrating capacity to operate that will not be dependent on assistance solely from this Program:</p>

<b>24</b>	<b>Attach to the <span style="color: red;">Administrative Proposal Documentation</span>, interim financial statements for most current fiscal year (Balance Sheet, Income Statement, Cash Flow Statement) and two years of your organization’s most current independent audits. Please summarize below the financial amounts for each year indicated:</b>			
	<b>Financial Data</b>	<b>Interim Yr.</b>	<b>Audit Yr.</b>	<b>Audit Yr.</b>
	<b>Assets</b>			
	<b>Liabilities</b>			
	<b>Fund Balance</b>			
	<b>Gross Revenues</b>			
	<b>Total # Projects</b>			
	<b>Number of Staff</b>			

<b>25</b>	<p><b>Board of Directors: Please attach to the <span style="color: red;">Administrative Proposal Documentation</span>:</b></p> <ul style="list-style-type: none"> <li><b>List of Board of Directors with resumes if available</b></li> </ul> <p>Please describe below the total members on your Board, the length of the terms in office, and the skills they fulfill for the organization:</p>
-----------	---

<b>26</b>	<b>PREVIOUS ESD FUNDING</b>		
	<p><b>IF APPLICABLE</b> and the applicant has previously received funding for the EAC program in the last two (2) years, please check below the reports you will be attaching to the <span style="color: red;">Administrative Proposal Documentation</span> and please insert the number of clients served and graduates. Previous recipients must have met or exceeded project goals. If awarded, funds for the new EAC project will only be disbursed upon favorable completion and reconciliation of final reimbursement report from previous project. Previously issued awards do not guarantee awards in this or future EAC grants.</p>		
	<input type="checkbox"/> N/A, First time applicant for EAC, or used to be an EAC more than 2 years ago; skip to next Item #27		
	If applicant was an EAC in FY2020/2021, please submit a copy of Final Narrative & Statistical Report	Total # Clients Served FY20/21:	Total # Graduates FY20/21:
And, if applicant was EAC in FY2019/2020, please submit a copy of Final Narrative & Statistical report	Total # clients served FY19/20:	Total # Graduates FY19/20:	

**SECTION III: IMPLEMENTATION OF EAC PROJECT - ENTREPRENEURSHIP TRAINING AND TECHNICAL ASSISTANCE** *ref: ESD RFA Regulations & Guideline-Section III: SCOPE OF WORK, pages 6 & 7.*

All activities generated by funding from ESD, or toward which ESD grant proceeds are used, shall be conducted according to the standard business practices of the recipient organization and any agreements with ESD. *ref: ESD RFA Regulations & Guideline – Section VII: DEFINITIONS, pages 13-15.*

<p>27</p>	<p><b>Provide a description of the training and technical assistance you envision and intend to provide. Please also describe how this training compares to the organization’s achievements in the past three years.</b> <i>ref: ESD RFA Regulations &amp; Guideline – Section III: SCOPE OF WORK; A. The Provision of Technical Assistance, and B. The Provision of Entrepreneurship Training, pages 6-7.</i></p>
<p>28</p>	<p><b>Describe the specific activities that will be undertaken and funded through the project.</b> Explain in detail the nature of technical assistance and systems that will be implemented with ESD grant funds. Include details for use of network collaborations, advisory boards, and program relevant community professionals, etc. <i>ref: ESD RFA Regulations &amp; Guideline – Section III: SCOPE OF WORK; C. Support Initiatives, page 7.</i></p>

**Entrepreneurship training curriculum: The official EAC curriculum uses a customized BMC/LLP methodology that all EACs are required to base their entrepreneurship class on. Training will be provided for all EACs to adapt their existing curriculum that will incorporate the elements of the BMC/LLP methodology.**

Commitment to adapting EAC's BMC/LLP methodology as your organization's entrepreneurship training curriculum.

Check and initial to indicate agreement and acceptance and application of EAC's BMC/LLP training methodology.

Initial to Confirm
--------------------

**Please provide a copy of your current syllabus for your entrepreneurship training course. Please also include comments regarding what elements of the BMC and/or LLP, if any, that you may be familiar with.**

29

30	<p><b>Retention and survival plans for those facing unprecedented challenges.</b> What types of substantive business development assistance are / should be in place to help clients survive; what is your organization's operational procedures for delivery of services while maintaining social distancing rules; what business development topics are included in the financial analysis plans and marketing strategies?</p>
31	<p><b>MWBE &amp; Veteran engagement:</b> For activities open to the public such as workshops and seminars (while keeping social distancing guidelines, if applicable), describe those specific actions that will be taken to ensure the participation of minorities, women, and veterans. Include efforts that will be taken to continue to engage participants once the event ends as well as tracking business outcomes. <i>Ref. ESD RFA Regulations &amp; Guidelines- Section III: SCOPE OF WORK - C. Veteran Owned Businesses, page7; and Section X: SUBMISSION REQUIREMENTS - c. Contractor Requirements MWBE, pages 19 to25.</i></p>

32	<p><b>Please describe the organization's plan to serve a greater number of clients by leveraging technology and strategic partnerships.</b> Please address ways that the organization intends to grow its programs and technical assistance services; offering new technical tools and services and financial resources to assist clients expand into global markets; and serving new geographic areas or a niche industry.</p>
33	<p><b>Explain why your organization requires grant assistance in order to undertake these activities.</b> Identify any other entities involved in this project (other local, state, and Federal service providers, etc.) and the nature of their involvement.</p>

**SECTION IV: EAC PROJECT BUDGET - complete a budget for \$73,500. Please round to the nearest whole dollar** (ESD EAC Funds - Please contain entire program budget within these six line items. Costs are for direct costs of operating the EAC project. MATCH: The ESD Funds **must be matched 100%** in either cash, in-kind, or a combination of both keeping in mind that at least 50% must be in the form of a cash match)

1. Cash match must total at least 50% or more of entire EAC Funds; may be combination of any non-NY State source
2. In-Kind match is for contributed services that the organization has not paid for but recognizes an equivalent market value (back up documentation is in form of signed agreed market value of service.)
3. NOTE: Once your budget is approved, any variance over 6% requires formal notification and approval. Variances of 6-9.9% in line items require a formal request for a budget modification; 10%+ changes require approval and an entirely new contract amendment.

USE OF FUNDS	ESD EAC Funds <sup>1</sup>	ESD EAC only Cash Match <sup>2</sup>	ESD EAC only In-Kind Match <sup>3</sup>	TOTAL Across <sup>4</sup>
Salaries				\$
Fringe				\$
Consultants/Contractors				\$
Technical Assistance Costs				\$
Travel				\$
Administration Fees*				\$
<b>TOTAL Down</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>

**Use of Funds:** Please provide a narrative description for each budgeted direct program line item costs; identify staff; identify consultants if known or types of consultancy services you plan to hire; and describe the Materials and Telecommunication costs for ESD and all matching line items: *Ref. ESD RFA Regulations & Guidelines- Section IV: REQUIRED INFORMATION - B. Project Activities, Results, and implementation; 1-d. Page 10.*

1.

34

\*General Operating costs for administering the program (e.g., reasonable portions of rent, utilities, maintenance & telecommunication fees, etc.). Please provide a list describing ESD and all matching funds for Administration fees below:

**Matching Funds:** Please describe the applicant organization's plan to leverage use of EAC grant with existing non-state funds; the ESD portion of this grant must be matched at 100% or equal to \$73,500. Cash match must be between 50% -100%; or a combination of cash and in-kind funds of which a minimum of 50% must be in cash.

2. **Cash Match:** List the sources of cash match below and attach their Letters of Commitment of Funding Support to the **Administrative Proposal Documentation and identify the name of the file/document below**. Total cash match must be at least 50% or more of the ESD/EAC funds or at minimum \$36,750. Note: Enrollment fees cannot be used as a cash match as the total amount cannot be guaranteed as a cash revenue.

35

3. **In-Kind Match:** Identify all sources of in-kind contributions where cash is exchanged for acknowledged market value equivalent for goods or services rendered (e.g., consultants donating training skills, donated supplies and material goods, donated space not paid for by organization, etc.). Enrollment fees, if applicable, may be used as In-kind match. Note: confirmation of contribution value will be required as backup documentation when submitting final reimbursement report. In-kind match must be under 50% of the total ESD/EAC portion or no more than \$36,750.



**EAC Project Estimated Salary Schedule (include all Direct & Match staff being charged to program budget)**

To be reimbursed for all salaries & fringe, all staff being charged to ESD/EAC, and match budgets must be included in the salary schedules. Staff added after formal approval of salary schedule requires formal approval for new schedule.

The Grantor specifically represents and agrees that its members, officers, employees, agents, servants, consultants, shareholders, and sub-grantors 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 RFA 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. *Ref. ESD RFA Regulations & Guidelines – Section IX: GENERAL PROVISIONS, Grantor Staff, page 16.*

**Staff experience** - Please attach to the **Administrative Proposal Documentation**:

- Resumes for all executive staff overseeing the organization’s programs
- Resumes for the direct personnel working directly with this EAC Project

Please enter below, the names of full time employees that will be charged to this EAC budget.

A. Employee Name <b>Full Time<sup>1</sup></b>	B. Title	C. Gross Pay (Per Pay Period)	D. Frequency (# Pay Periods)	E. TOTAL = C x D (Gross X Frequency)
<b>TOTAL</b>				

36

1. Full Time Employees: please describe job description/role for each person assigned to this project

A. Employee Name <b>Part Time<sup>2</sup></b>	B. Title	C. Hourly Wage	D. Frequency Estimated hours	E. TOTAL = C x D (Hourly X Frequency)
<b>TOTAL</b>				

2. Part Time Employees: please describe job description/role for each person assigned to this project budget.

**EAC Project Applicant Training and Technical Assistance Costs**

Please list the number of training cohorts and related workshops planned for the year and the cost for each session if applicable. Please indicate the dates of training and workshops, the number of sessions for each cohort.

Entrepreneurship Training Cohorts / Workshops	Training Period (Beginning/End)	# of sessions in Cohort	Training Fees (if any)	Technical Assistance Fees (if any)
Training Cohort #1				
Training Cohort #2				
Training Cohort #3				
Workshops (List for year)	(List e.g., Social Media, QuickBooks, Business Accounting workshops, etc.)			

37

Please describe your organization's practices or policy for those who cannot afford the training fees. If so, what is your organization's sliding fee scale?

**SECTION V: EAC PROJECT GOALS**

EAC 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. EACs are expected to meet or exceed these requirements within the grant year. *Ref. ESD RFA Regulations & Guidelines – Section III: SCOPE OF WORK D. Performance Goals & Timeline, page 7-8.*

<b>OURTREACH PERFORMANCE &amp; ECONOMIC GOALS</b>		<b>TOTAL GOALS</b>
	New Enrollees (All New Intakes for training and technical assistance)	30
	Prior Clients	10
	New Businesses Started	8
	Businesses Saved	6
<b>FINANCIAL ASSISTANCE GOALS</b>		
	# of Loans Developed	8
	# of Loans Secured	3
	\$ Amount of Loans Secured	\$150,000
<b>TECHNICAL &amp; TRAINING ASSISTANCE GOALS</b>		
	Total Clients Enrolled in Training Curriculum	12
	Business Plans Complete	10
	MWBE Certification Applications Submitted	5
	VOSB (Veteran Owned Small Business) Certification Applications Submitted	1
<b>38</b>	New Business Mentor New York (BMNY) Mentees Enrolled	10
	New BMNY Mentors Enrolled	3
	# of Mentor/Mentee Matches	3
<b>ECONOMIC GROWTH GOALS</b>		
	Sales - # of Firms with Increased Sales	10
	Sales- \$ Amount of Increased Sales	\$250,000
	Jobs Created - # Firms increasing new hires	6
	Jobs Created - # of New Hires	9
	Retained Employment - # Firms Retaining Employees	10
	Retained Employment - # of Retained Employees	5
<p>The above stated goals are minimum yearly performance standards. EAC that do not meet at least 75% of these standard goals may not have their contracts renewed.</p>		<p>Check and initial to indicate agreement and acceptance of the EAC standard Goals.</p> <p><input type="checkbox"/> <span style="border: 1px solid black; padding: 5px; display: inline-block;">Initial to confirm</span></p>

39	<p><b>Measurable Goals and Timeline:</b> Specify the methodologies your organization will commit/employ to fulfill the above project goals and describe how they will result in a client's ability to quickly adjust their business model for unpredictable events.</p>
40	<p>Describe what the organization sees as their greatest challenges in fulfilling the goals of the program, and how they plan to mitigate these challenges to ensure project success.</p>

**SECTION VI: EAC PROJECT IMPLEMENTATION - Tasks & Timeline** Please insert the END date under the TIMELINE you expect the following required tasks will complete; add additional tasks with start time as needed.  
*Ref. ESD RFA Regulations & Guidelines – Section III: SCOPE OF WORK D. Performance Goals & Timeline, page 7.*

<b>41</b>	<b>AGREEMENT TO TASKS &amp; TIMELINE:</b> Check and initial to indicate agreement and acceptance of the following tasks and timeline:	<input type="checkbox"/> <div style="border: 1px solid black; padding: 5px; display: inline-block;">Initial to Confirm</div>
	<b>Please insert notes &amp; dates in the TIMELINE column or completion date for each TASK listed or indicate 'Monthly', 'ongoing', etc.</b>	<b>Please Fill In &amp; Complete TIMELINE</b>
	<b>GRANT AWARD</b> Countersignature of Award & Submittal of 50% Advance Request	07/01/2022 07/15/2022
	<b>OUTREACH</b> <ul style="list-style-type: none"> <li>• Identify new clients</li> <li>• Identify key resources</li> </ul>	
	<b>LINKAGE TO PROFESSIONAL RESOURCES FOR DELIVERY OF EAC SERVICES</b> <ul style="list-style-type: none"> <li>• Establish relationships with key partners</li> <li>• Establish EAC Client Advisory Group</li> </ul>	
	<b>CLIENT ASSESSMENT AND ENROLLMENT</b> <ul style="list-style-type: none"> <li>• Assessing entrepreneurial readiness</li> <li>• Enrollment in one-on-one technical assistance and counselling</li> <li>• Enrollment into EAC Entrepreneurship Training course(s)</li> </ul>	
	<b>CURRICULUM DEVELOPMENT &amp; CLASSROOM TRAINING</b> <ul style="list-style-type: none"> <li>• Client advisory group meetings</li> <li>• Engaging key community professional services into training sessions</li> <li>• Entrepreneurship Training Cohort #1</li> <li>• Entrepreneurship Training Cohort #2 (if applicable)</li> </ul>	
	<b>TECHNCIAL ASSISTANCE (TA)</b> <ul style="list-style-type: none"> <li>• One-on-one TA entrepreneurship counseling</li> <li>• Marketing, accounting, legal, digital onboarding, etc.</li> <li>• MWBE certification application</li> <li>• Business loan application assistance and access to financing options</li> <li>• Business mentoring</li> </ul>	
	<b>REPORTS (Statistical and Narrative Quarterly Reports)</b> <ul style="list-style-type: none"> <li>• 1st Quarter Reports from Jul 1, 2022 to Sep 30, 2022</li> <li>• 2<sup>ND</sup> Quarter Reports from Oct 1, 2022 to Dec 31, 2022</li> <li>• 3rd Quarter Reports from Jan 1, 2023 to Mar 31, 2023</li> <li>• 4th Quarter Reports from Apr1, 2023 to Jun 30, 2023</li> </ul>	07/01/2022 to 6/30/2023  October 15, 2022 January 15, 2023 April 15, 2023 July 15, 2023
	<b>GRANT PROJECT EXPIRATION</b>	6/30/2023

## SECTION VII: EAC PROJECT MONITORING AND EVALUATION

The **timely completion of tasks** and quality of services provided to clients is a major concern of ESD and is tracked closely. 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.

Please describe how your organization will ensure and monitor the successful completion of tasks. *Ref. ESD RFA Regulations & Guidelines – Section III: SCOPE OF WORK: F. Program Monitoring & Evaluation, page 8.*

Funded EAC performance will be evaluated by the following:

Check and initial to indicate agreement and acceptance of EAC performance evaluation

Initial to confirm:

42

Successful completion of Program Goals

- Successful delivery of entrepreneurship training and technical assistance to underserved populations with a focus on minority, women, and veteran owned businesses. Will conduct and submit client satisfaction surveys as required.

Data accuracy and client tracking by maintaining EAC on-line database(s)

- Updated client demographics and contact information
- Recording number of trainings, workshops, and their attendance
- Technical assistance narrative progress notes
- Loans secured
- Business plans completed
- Enrollment of clients to new initiatives

Successful mentee/mentor matchup opportunities

- Increase EAC mentee and mentor population on Business Mentor New York (BMNY)
- Satisfy mentee profile accuracy
- Enable suitable matchups via the BMNY website

Accuracy of program performance status reports

- To generate fact checked success stories and acquire consent forms as needed
- To propagate narrative customer profiles and program reports

**SECTION VIII: EAC PROJECT SPECIFIC REPORTING & DATA MAINTENANCE REQUIREMENTS**

Grantees awarded under this RFA must prepare and submit quarterly progress and financial reports. Reports shall be in a form provided by ESD and shall contain narratives on the EAC program accomplishments, including but not limited to outreach to target market populations, specific client assistance provided, quarterly client statistical reports, coordination, and operational linkages with other sources of business assistance, advisory group activity, program modifications, success stories, business plans, program offering, and goals met.

Grant recipients will maintain the EAC on-line client database throughout the duration of the project and after, if applicable. Statistical and narrative information collected will be used to measure impact of the program on individual clients and their businesses. All information collected is kept confidential and is used only for statistical purposes and by ESD program staff to verify compliance with project goals. Copies of forms and additional information on reporting will be provided to all awardees. *Ref. ESD RFA Regulations & Guidelines – Section III: SCOPE OF WORK: E. Reporting Requirements, page 8.*

<b>43</b>	<b>AGREEMENT TO REPORTING and DATA MAINTENANCE REQUIREMENTS AND TIMELINES</b> as provided by ESD’s EAC program.  Your organization must have in place the necessary processes and systems to comply with the reporting requirements. <b>Please include detail of specific data/fields collection reports that your organization’s systems can generate and attach to the Administrative Proposal Documentation and identify the name of the file/document below:</b>  <input style="width: 500px; height: 20px;" type="text"/>	Check and initial to indicate agreement and acceptance of reporting and data maintenance requirements and timelines.  <input type="checkbox"/> <span style="border: 1px solid black; padding: 5px; display: inline-block; min-width: 100px;">Initial to confirm:</span>
-----------	--	---

**SECTION IX: REQUIRED DISCLOSURES AND CERTIFICATIONS**

The following sections are pre-requisites and certifications that must be in place for participation in the EAC program. *Ref: ESD RFA Regulations & Guidelines – Section X; SUBMISSION REQUIREMENTS, pages 16-18*

<b>44</b>	<b>DISCLOSURE AND ACCOUNTABILITY CERTIFICATIONS</b> (NOTE: If your answer in ‘YES’ in any of the questions below, please provide an explanation in an attachment)	
	1. Is the Institution currently the subject of any litigation, or is any litigation threatened, which would have a material adverse effect on the Company’s financial condition?	<input type="checkbox"/> YES <input type="checkbox"/> NO
	2. Has the institution or any of its affiliates ever been involved in bankruptcy, a creditor’s rights or receivership proceeding, or sought protection from creditors?	<input type="checkbox"/> YES <input type="checkbox"/> NO
	3. Has the Institution ever settled a debt with a lending institution for less than the full amount outstanding?	<input type="checkbox"/> YES <input type="checkbox"/> NO
	4. Has any senior manager or principal of the Institution ever been convicted or any felony or misdemeanor, other than minor traffic violations, or are any such charges pending?	<input type="checkbox"/> YES <input type="checkbox"/> NO
	5. Has the Institution or any of its affiliates, been cited for a violation of federal, state, or local laws or regulations with respect to labor practices, hazardous wastes, environmental pollution, or operating practices?	<input type="checkbox"/> YES <input type="checkbox"/> NO
	6. Are there any outstanding judgments or liens pending against the Institution other than liens in the normal course of business?	<input type="checkbox"/> YES <input type="checkbox"/> NO
	7. Is the Institution delinquent on any New York State, federal or local tax obligations?	<input type="checkbox"/> YES <input type="checkbox"/> NO

NON-DISCRIMINATION AND CONTRACTOR AND SUPPLIER DIVERSITY	
45	<p>Non-Discrimination and Utilization of Minority and Women-Owned Business Enterprises – (“MWBE”) and Service-Disabled Veteran-Owned Businesses (“SDVOB”) <i>Ref. ESD RFA Regulations &amp; Guidelines -Section IX: SUBMISSION REQUIREMENTS, c. Contractor Requirements, New York State Law, pages 19-25.</i></p> <p>The Applicant understands that any funding awarded as a result of this application will be subject to the provisions of Article 15-A and Article 17-B of the New York State Executive Law. The Grantee/Recipient agrees that it will comply with the provision of Article 15-A and Article 17-B of the New York State Executive Law and the rules and regulations promulgated thereunder, including, but not limited to, adopting to an Equal Employment Opportunity policy applicable to the project and exercising good faith efforts to achieve any goal for the utilization of MWBEs and SDVOBs.</p> <p>1. Please download and complete the <a href="https://esd.ny.gov/sites/default/files/rfp/Exhibit-C-OCSDDiversityPracticesQuestionnaire.pdf">OCSD Diversity Practices Questionnaire</a> and attach along with the other mandatory documents to your Part II: Administration Proposal Documentation:</p> <p>2. Please download and complete the <a href="https://esd.ny.gov/sites/default/files/OCSD-1-Policy-Statement.pdf">OCSD-1 form</a>; and attach along with the other mandatory documents to your Part II: Administrative Proposal Documentation:</p> <p><i>Refer to the complete list of documentation required on page 25 below, Item #47.</i></p>
	<p>Check and initial to indicate agreement and acceptance for Non-Discrimination and Utilization of MWBEs and SDVOBs.</p> <div style="border: 1px solid black; width: 20px; height: 20px; margin: 10px auto;"></div> <div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 10px auto;">Initial to Confirm:</div>

NOT-FOR-PROFIT ORGANIZATIONS	
46	<p>Not-for-Profit organizations receiving a grant to be administered by ESD must be registered and up to date with its filing with the Office of Attorney General’s Charities Bureau (“OAG”), certified in the Office of the State Comptroller’s <b>VendRep System</b> (“OSC”) and prequalified with <b>New York State Grants Gateway</b> prior to ESD Director’s approval and the execution of a Grant Disbursement Agreement (“GDA”). <i>Ref. ESD RFA Regulations &amp; Guidelines – Section X: SUBMISSION REQUIREMENTS - a.&amp; b. pages 17-18.</i></p> <p>Please download and complete the <b>VendRep Questionnaire for non-for-profit, non-construction firms</b>; follow the instructions and sign, scan and then attach along with the other mandatory documents to your Part II: Administrative Proposal Documentation</p> <p>Register with the Grants Gateway at: <a href="https://grantsmanagement.ny.gov/register-your-organization">https://grantsmanagement.ny.gov/register-your-organization</a> and attach copy to your Part II: Administrative Proposal Documentation</p> <p><i>Refer to the complete list of documentation required on page 25 below, Item #47.</i></p> <p>If you have questions about the Prequalification application, please contact ESD’s program representative, Zita Aziagbe, at <a href="mailto:Zita.Aziagbe@esd.ny.gov">Zita.Aziagbe@esd.ny.gov</a> or the Grants Reform Team by emailing <a href="mailto:GrantsReform@Budget.ny.gov">GrantsReform@Budget.ny.gov</a> with “Prequalification” in the subject line.</p>



**SECTION X: REQUIRED ATTACHMENTS**

Please label each document appropriately: "Organization Name-EAC2223RFA-document name", email as one electronic zipped file that is a separate document from the Grant application to 2223EACRFA@esd.ny.gov.

**NOTE:** Minimum 14 mandatory documents that must be included in PART II Administrative Proposal Document (see check boxes are encircled in red)

**PART I: EAC RFA Grant Application**

Grant Application: Please send the EAC Grant Application as a separate email to 2223EACRFA@esd.ny.gov

"Organization Name-EAC2223RFA-Grant Application.pdf"

**PART II: Administrative Proposal Documentation**

**All Following Documents in this list are required in the Administrative Proposal:** Please scan and appropriately label each document separately especially if you are emailing as separate files. Ideally, these separate documents may be zipped into one folder and emailed as "OrganizationName-EAC2223 RFA-Administrative Proposal.zip"

Please attach each document listed below to the Administrative Proposal Documentation file. For those documents that require download from the link provided, please fill out and sign the downloaded document as appropriate, scan and attach accordingly to your Administrative Proposal Documentation.

Copy of Certificate of Incorporation

Current Certificate of Insurance for applicant  
*Ref. ESD RFA Regulations & Guidelines, Submission Requirements-d Insurance page 26*

Interim Financial Report for most current year

Financial Audit Year1 \_\_\_\_\_

Financial Audit Year2 \_\_\_\_\_

47  Copies of letters of financial 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.

List of Board of Directors with resumes, if available

Resumes of organizational executives and Project Director and staff for EAC Project

If applicable, Copy of EAC Final Narrative & Statistical Report for FY19/20

If applicable, Copy of EAC Final Narrative & Statistical report for FY20/21

Sample of types of Organization's client reports illustrating capability of tracking systems

Copy of Grants Gateway Certification <https://grantsmanagement.ny.gov/register-your-organization>

**OCSD Diversity Practices Questionnaire: MUST FILL OUT**  
<https://esd.ny.gov/sites/default/files/rfp/Exhibit-C-OCSDDiversityPracticesQuestionnaire.pdf>

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

Conflict of Interest: <https://esd.ny.gov/sites/default/files/Conflict-of-Interest-Attestation-June-2019.pdf>

**Vendor Responsibility:** <https://www.osc.state.ny.us/state-vendors/vendrep/vendor-responsibility-forms> -  
NOTE: must fill out full Questionnaire; statements of verified report not accepted

IRS Form W-9: <https://www.irs.gov/pub/irs-pdf/fw9.pdf>

Please indicate total # of documents included for PART II: Administrative Proposal Documentation (minimum is 14, or, where applicable up to 17 documents for Part II)

**SECTION XI: APPLICATION – CERTIFICATION OF APPLICANT**

The undersigned does/do solemnly affirm that to the best of my/our knowledge, information and belief, all statements, in this Application, including all schedules, appendices and additional information submitted in connection herewith, are true and accurate. I/We hereby authorize ESD to order credit reports or other financial background information on the institution, and any individual or entity proposed as a guarantor, as may be necessary to provide the assistance requested. My/Our signature(s) indicate total agreement to all the terms and conditions stated in this Application are accepted.

<b>Applicant 1 Signature:</b>		<b>Date:</b>
<b>Print Name 1:</b>		<b>Title:</b>
<b>Applicant 2 Signature:</b>		<b>Date:</b>
<b>Print Name 2:</b>		<b>Title:</b>
<b>Organization Name:</b>		