



**Empire State  
Development**

# **LONG ISLAND LIFE SCIENCE ACCELERATION REQUEST FOR APPLICATIONS**

**Issued: December 28, 2022**

Designated Contacts for this Procurement:

Primary Contact: Heidi Knoblauch  
Secondary Contact: Matt Watson

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

This Request for Applications (“RFA”) is posted on the Empire State Development website:  
<https://esd.ny.gov/doing-business-ny/requests-proposals>

Applications must be sent to the designated Dropbox:  
<https://www.dropbox.com/request/wB9IW1nX5vtsbo8gnr1d>

**APPLICATIONS DUE DATE AND TIME:  
On or before Friday, March 31, 2023 by 5:00 PM EST.**

**Late applications will not be accepted**

## 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.

### A. Project Summary

To support the continued growth of the life sciences ecosystem on Long Island, ESD offers a Long Island Life Science Acceleration Request for Applications (“RFA”). Currently, ESD funds eight accelerators (“Programs”) ([Genius NY](#), [43North](#), [HUSTLE](#), 76 West (Coming Soon), [Luminate](#), [New York State Business Plan Competition](#), [Commercialization Competition](#), and [Grow NY](#)) to help entrepreneurs gain the skills they need to access capital, accelerate innovation, make critical industry connections, and grow their companies in New York State. These Programs offer comprehensive support to early-stage companies that are contributing technological innovation economic growth and ultimately jobs in specific regions of New York and in some cases the entire state.

The overall goal of this RFA is to bring together resources on Long Island to support and foster the growth of commercialization in the growing life science ecosystem. This will, in turn, accelerate the commercialization of novel discoveries as well as promising early-stage companies who will attract talent, innovators, and/or other life science companies to Long Island. Applicants should provide a cohesive and comprehensive program thesis, which includes programming that will act as a catalyst for expanding the ecosystem cluster and will support appropriate early-stage companies. Components of this Program should include a competition with prize monies, support for companies during the Program, support for companies after the Program, access to resources, and physical space.

### B. Request for Application Schedule

Item	Date
Release of Request for Applications	December 28, 2022
Deadline for Submission of Questions	February 24, 2023 by 3:00 PM EST
Deadline for ESD to Respond to Questions	March 3, 2023
Submission of Applications	March 31, 2023 by 5:00 PM EST
Anticipated Announcement of Selections	TBD
Anticipated Contract Start Date	TBD

## II. Project

### A. Program Goals and Objectives

Under this RFA, ESD will select a group of partners – one Applicant – to create an accelerator Program to support Scalable Companies developing life science companies with long term growth potential on Long Island, leveraging synergies with current and future assets in the region (See Appendix B: Overview of Long Island Life Science Assets). This Program will include a competitive application process to an accelerator, culminating with a venture competition where Beneficiary Companies present their product, service, or technology to a panel of expert judges, to secure prize money (investments) or in-kind services. Applicants must address the following tasks:

### Task I: Partners, Services, and Resources

Applicants are asked to provide details about the services and resources that will be available to early-stage companies and detail if they will be provided by the Applicant directly or through Partners outside of their group. Each Applicant must detail a process and summary of the support that will be provided to each company.

The Proposal must explain:

- The plan to reach a broad pool of life sciences entrepreneurs both already located on Long Island but needing support to grow and be sustained, *and* those located elsewhere who have a high likelihood of relocation to and growth on Long Island;
- The plan to attract life science companies addressing areas of importance to New York State and leveraging Long Island's strengths, particularly companies with a focus on cell and gene therapy; clinical genomics; innovative technologies as CRISPR, nanotechnologies, organoids, and bioelectronics; or other areas with high growth potential that build on the strengths of Long Island resources (focus areas may be adjusted or changed in the life science field based on the demonstrated regional strengths; the quality and quantity of applicant companies; and economic impact potential of the focus area);
- The track record for providing support in all necessary aspects of this Program;
- The industry and non-industry partners, services, and resources (demonstrating access to mentors, investor networks, specialized equipment, FDA expertise, etc.) who will perform various objectives or tasks; and
- The plan to support the accelerator beyond the grant period and ability to raise capital from industry partners.

### Task II: Advancing Pace of Discovery

Applicants are expected to offer assistance to life sciences entrepreneurs that will help them get to market faster than they would without the program and commercialization support. Specifically, Applicants should detail how they will provide support and connections to entrepreneurs and the companies in their program. Types of support that advances the pace of discovery can include high performance computing technologies, consulting on regulatory needs, technology transfer expertise, introductions to relevant industry partners, mentoring or building mentoring pathways, digital infrastructure, networking opportunities, access to laboratory and technical facilities and other resources, etc. Successful Applicants will showcase how the Program plans to support the growth of these businesses after competing in the venture competition.

## **B. Eligibility Requirements**

The Applicant should demonstrate a strong track record of providing accelerator services; making investments in companies; hosting venture competitions; and fostering collaboration between Partners. The proposal must demonstrate an established record of success in attracting, vetting, and supporting Scalable Companies commercializing innovative life science technologies/products that have a unique business model/market approach. Successful Applicants will show:

- Resources
  - Deep commitment to collaborating with Partners to grow the life sciences start-up ecosystem on Long Island.
- Vetting Teams and Technologies

- Methods to identify and implement best practices for vetting technologies and teams considered for investment.
- Outreach
  - Plan to identify and recruit early-stage life sciences companies focused on discoveries and innovations described in Task 1.
- Beneficiary Company Support
  - Details of the support Beneficiary Companies will receive to accelerate technology development and Beneficiary Company growth.
  - Success stories or examples demonstrating a track record of success working with Scalable Companies in the life sciences.
  - Seamless support across all partners to accelerate growth and encourage retention.
- Showcasing
  - Plan to showcase Beneficiary Companies to secure follow-on funding and/or further accelerate growth.
- Reinvestment
  - Plan to reinvest successful investments into the Program.
- Leadership and Staffing
  - Background and experiences of individuals that would be involved in this effort if selected.
- Company Pipeline
  - Sustainable infrastructure to attract and maintain a pipeline of Scalable Companies focused on the life sciences who will have long term impact on economic growth on Long Island and in the State.
- Ability to Validate Technology and Team
  - Process for validating technologies, products and business models and vetting teams to de-risk potential investment and share this process with ESD.
- Investment History
  - Experience investing in Scalable Companies and support given to help those companies raise follow-on funding.
- Collaboration
  - Plan to identify and recruit additional partners as necessary for additional outreach or support to the Beneficiary Companies.
- Recordkeeping, reporting, and control systems
  - Plans for tracking, measuring, and reporting outcomes associated with the Program and controls to ensure appropriate use of funds.

### **C. Grant Funding and Project Timeline**

Grant awards are as follows:

\$8 million annually for five (5) years with a minimum of 75% going towards prize money. There is no cost-match requirement associated with this grant. If the applicant demonstrates a critical need or anticipated need, money is potentially available for equipment, lab upgrades, and renovations.

ESD reserves the right to award grants in amounts greater or less than the above listed figures and/or at a varying schedule depending on the number and quality of applications received and other considerations set forth in this RFA.

There is no cost-match requirement associated with this grant.

i. Eligible and Ineligible Expenses

Eligible activities include but are not limited to:

- Personnel;
- Travel;
- Office/lab space for companies participating in the program;
- Marketing and outreach to increase awareness of the competition; and
- Support that will accelerate the pace of innovation and increase the speed to commercialization.

The following limitations apply to this RFA:

- Indirect costs are PROHIBITED;
- Basic Research PROHIBITED; and
- Expenses must be relevant and justifiable to the project(s) outcome.

A budget template is included in this RFA. ESD has the right to review all expenses and deny the reimbursement of any expenses that are deemed ineligible.

**D. Data Collection**

Applicants awarded grant funding will be required to track and record information relevant to the success of this grant. Data will be made available to ESD as requested. Data points to be captured and tracked are at the discretion of ESD. Failure to report in a timely manner will jeopardize funding. Items to be captured and tracked include:

- Applications received with company summary, location, size, revenue, tech readiness level, and demographics of leadership;
- Beneficiary Companies selected for accelerator and the assistance/training they received;
- Jobs created/retained;
- Investments received;
- Funds acquired (grants);
- Increased sales;
- Cost savings; and
- Other impacts identified by ESD.

**III. Application Information**

Please provide a narrative that includes the following information in the following order using the headings listed below. Submitted applications are expected to be clearly written. If applications exceed the page limits and/or include materials not requested by the RFA, ESD will remove the extra pages and/or materials prior to the review. During the review process, applicant institutions may be requested to submit additional written documents to answer questions or provide clarification of issues raised during the review process. Assemble the application in the following order:

1. Cover page
2. Table of Contents
3. Glossary of Terms Used
4. Executive Summary (max 1 page)
5. Proposal (15-page limit)
  - a. Each organization's experience and qualification

- i. Designate a lead organization and provide details of each partner organization’s experience and qualification.
    - ii. Provide details of the Executive Director’s experience and the appropriate staff’s knowledge, ability, individual roles.
    - iii. Demonstrate the knowledge, expertise and experience of cultivating and supporting innovation in life sciences and early-stage life sciences companies.
    - iv. Offer a list of strategic partners and how they will strengthen the competition and the success of the Beneficiary Companies being supported through the Program.
    - v. Outline how resources (with an emphasis on Long Island) will be leveraged.
  - b. Project readiness and work plan
    - i. Offer an action plan for hitting the program goals.
    - ii. Provide the suggested frequency of the competitions, the number of Beneficiary Companies supported each year, and the number of investments planned, investment amounts and how those investments will be managed.
    - iii. Outline the means by which applicant will take equity interest in Beneficiary Companies.
    - iv. Give details about how you will recruit or retain promising innovative companies to grow their companies on Long Island.
    - v. Outline the best way to focus the program given the various assets and resources on Long Island.
    - vi. Provide track record of flexibility and example of times the Applicant has been able to pivot.
  - c. Services to entrepreneurs/Beneficiary Companies and timeline
    - i. Explain outreach plan to recruit, engage and retain mentors, judges and trainers, and other resources critical to success.
    - ii. Identify planned services, activities and use of third-party subcontractors and partners.
    - iii. Give details about how training and support will be developed, implemented, and tracked.
    - iv. Outline how the Applicant will receive feedback from Beneficiary Companies, applicants to the Program, regional assets outlined in Appendix B, as well as other stakeholders and, with that feedback, improve the Program.
  - d. Use of funds
    - i. Outline and justify anticipated expenses.
    - ii. Provide a detailed budget.
    - iii. Provide a detailed plan identifying any and all subcontracting opportunities associated with this project and explain how Minority- and Women-owned Business Enterprises (“MWBs”) and Service-Disabled Veteran-owned Businesses (“SDVOBs”) would be utilized.
- 6. Commitment letters from partners demonstrating the services, assistance and or support that will be provided to support this program and Beneficiary Companies. Partners committing

financial and staff resources should clearly identify the value of such resources by year. Commitment letters do not count towards page limits.

#### **IV. Review Criteria and Process**

ESD will balance individual application scores.

##### **A. Review Criteria**

For the review of eligible applications, ESD has established the following criteria to be applied in accordance with the review process set forth in Section IV.B. In addition to addressing the review criteria stated below, refer to the proposal instructions in Section III of this RFA for specific items that must also be addressed.

1. Organization, experience, and qualifications (25 points)
  - a. Strength of Executive Director and proposed staff members. (5 points)
  - b. Knowledge and experience providing entrepreneur training and support for new/early-stage entrepreneurs in the life sciences. (5 points)
  - c. Strategic partners compatibility and engagement. (5 points)
  - d. Ability to leverage resources on Long Island and connections to those resources. (10 points)
2. Project readiness and workplan (35 points)
  - a. Overall work/action plan (10 points)
  - b. Measurable deliverables and completion dates. (5 points)
  - c. Detail plans to retain and recruit promising innovative companies to grow their companies on Long Island. (10 points)
  - d. Outline the best way to focus the program given the various assets and resources on Long Island. (5 points)
  - e. Ability to adjust the focus of the accelerator and provide services to a broad range of life sciences companies base on economic potential. (5 points)
3. Services to entrepreneurs and timeline (20 points)
  - a. Outreach plan to reach and engage mentor, judges and trainees. (5 points)
  - b. Identification of planned services and activities; use of third-party subcontractors or partners (if applicable) and their role. (5 points)
  - c. Plan to capture metrics and program feedback. (5 points)
  - d. Ability to incorporate feedback from stakeholders and adjust the Program as necessary. (5 points)
4. Use of Funds (15 points)
  - a. Quality of the applicant institution's justification/rationale for the use of the requested funds.
5. Proposal Clarity (5 points)
  - a. Quality of proposal's organization, clarity and adherence to page limitations.

## **B. Review Process**

Reviewers may include ESD staff, staff from federal or other State agencies, and individuals selected from the science, business, and academic communities. The reviewers will adhere to the process described in this section and will apply the review criteria detailed above. ESD may limit the number of proposals a reviewer is required to evaluate. Each proposal will be reviewed and scored by at least three reviewers.

Scoring: Reviewers will independently evaluate and assign a preliminary score to proposals that have been accepted by ESD. The *preliminary scores* for a proposal will be combined to provide an *initial average score* for that proposal.

After the initial average scores are calculated, reviewers will convene as a group to review these preliminary scores and discuss the proposals in accordance with the review criteria. At the conclusion of the discussions, each reviewer will individually provide a *final score* for each proposal based upon the panel's discussions.

In the event that two or more proposals have the same final score, and the score is high enough for the applicants to be considered for funding, the review panel will hold an additional session to review only those affected proposals. The review panel will deliberate until there is a consensus regarding the selection. At times, it may be necessary to conduct interviews in order to determine the selected applicant.

ESD reserves the right to reject any and all applications. ESD may recall this RFA at any time prior to award announcement and may also reject proposals for deficiencies; waive technicalities, irregularities, and omissions; or solicit new proposals. ESD reserves the right to act in accordance with the best interests of the people of New York in its interpretation of this RFA.

Applicants and/or their surrogates are prohibited from contacting any ESD staff to advocate on behalf of a proposal submitted in response to this RFA. Violation of this restriction will disqualify an applicant's proposal from the competition.

## **V. SUBMISSION OF APPLICATIONS**

All applications should be submitted via the designated Dropbox: <https://www.dropbox.com/request/wB9IW1nX5vtsbo8gnr1d>

no later than 5:00 PM EST on March 31, 2023.

Proper format: Please create a folder with company name – RFA title – date of Submission.

example: **IBTXX Inc – Life Science – 02.18.23**

All your documents should be included in that folder. Once you're ready to upload the folder in the Dropbox choose the option "Add folder from computer". All documents within the folder should be properly labeled as well.

## **VI. QUESTIONS**

All questions, comments, requests for clarification or any other communication regarding this RFA must be submitted by email to [lifesciencesrfa@esd.ny.gov](mailto:lifesciencesrfa@esd.ny.gov) no later February 24, 2023 by 3:00 PM EST. Your subject line should state: "[Name of Applicant] – LI Life Sciences RFA".

## **VII. GENERAL PROVISIONS**



The issuance of this RFA and the submission of a response by an applicant 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 RFA;
- ii. revise any requirement of this RFA;
- 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 contract 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 RFA, 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 RFA.

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 RFA will be at the sole cost and expense of the Bidder.

All information submitted in response to this RFA 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 an application, each Respondent waives any and all claims against ESD relating to ESD’s retention or use of the Response Information.

## **VIII. SUBMISSION REQUIREMENTS**

### **Procurement Forms and Requirements**

Additional requirements for this RFA are described below. Relevant forms, where required to be submitted, must be executed and included in the submission in the same order as listed below:

1. Conflict of Interest
2. 139 J&K
3. Vendor Responsibility Questionnaire
4. Insurance Requirements
5. Non-Discrimination and Contractor & Supplier Diversity Requirements
6. W-9

#### **1) 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 contract entered into as a result of this RFP should ESD determine that the Respondent has violated any of these requirements.

- A. Gifts and Offers of Employment:** Respondent has not and shall not during this procurement and during the negotiation of any contract 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 contract negotiation within at least 30 days from the time that the employee's involvement in this matter closed.
- B. 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.

## **2. State Finance Law Sections 139J and 139K 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 procurement contracts, public works agreements and real property transactions; and (3) establish sanctions for knowing and willful violations of the provisions of the Procurement Requirements, including disqualification from eligibility for an award of any contract pursuant to this RFP. Compliance with the Procurement Requirements requires that all communications regarding this RFP, from the time of its issuance through final award and execution of any resulting contract (the "Restricted Period"), be conducted only with the designated contact persons listed 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 contract 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://esd.ny.gov/CorporateInformation/Data/RFPs/RequiredForms/SF\\_Law139\\_JK.pdf](https://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 contract issued pursuant to this solicitation. In addition, two such findings of non-responsibility within a four-year period can result in debarment from obtaining any New York State governmental procurement contract. 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](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.

### **3. Vendor Responsibility Questionnaire**

All Respondents to this RFA 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 RFA, and in addition must demonstrate that both the Respondent and its principals have and will maintain the level of integrity needed to contract with New York State entities such as ESD. Further, the Respondent must show satisfactory performance of all prior government contracts. Accordingly, the contract 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 contract, that ESD may suspend the contract if information is discovered that calls into question the responsibility of the contracting party, and that ESD may terminate the contract based on a determination that the contracting party is non-responsible. On request, model language to this effect will be provided to any Respondent to this RFQ.

To assist in the determination of responsibility, ESD requires that all respondents to this RFA 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 contracts only to responsible vendors. Respondents 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](http://www.osc.state.ny.us/vendrep) or go directly to the Vend-Rep system online at <https://portal.osc.state.ny.us>. 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](mailto:helpdesk@osc.state.ny.us).

Respondents 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](http://www.osc.state.ny.us/vendrep/forms_vendor.htm)) and execute accordingly pertaining to the company's trade industry. Per the website, respondents are to "Select the questionnaire which best matches the business type (either For-Profit or Not-For-Profit) and business activity (Construction or Other)."

#### **4. Insurance Requirements**

The prospective CDFI/CBLO will be expected to show evidence of the following insurance requirements, (at a minimum and to the extent applicable) as listed below:

- Commercial General Liability insurance - \$1 million per occurrence / \$2 million aggregate
  - o The NYS Urban Development Corporation (d/b/a Empire State Development) must be named as an "additional insured" on a primary and non-contributory basis on the policy
  - o The policy above should include a waiver of subrogation in favor of the NYS Urban Development Corporation (d/b/a Empire State Development)

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

##### **NEW YORK STATE LAW**

Pursuant to New York State Executive Law Article 15-A and 5 NYCRR §§140-145, ESD recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified Minority and Women-owned Business Enterprises ("MWBE") and the employment of minority group members and women in the performance of ESD contracts.

##### **BUSINESS PARTICIPATION OPPORTUNITIES FOR MWBEs**

For contracts resulting from this solicitation, ESD may establish a goal for MWBE participation based on the scope of work and project description identified in the RFA response. Such contracts may set forth additional requirements that will encourage business participation opportunities for MWBEs. A contractor ("Contractor") on any contract resulting from this procurement ("Contract") must document its good faith efforts to provide meaningful participation by MWBEs as subcontractors and suppliers in the performance of the Contract. To that end, by submitting a response to this RFA, the respondent agrees that ESD may withhold payment pursuant to any Contract awarded as a result of this RFA 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 Contractor'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 supplier that shall be deemed to represent the commercially useful function performed by the MWBE shall be 60 percent of the total value of the contract. 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 the monetary value for fees, or the markup percentage, charged by the MWBE.

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 Contract resulting from this RFA, such finding constitutes a breach of contract 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 Contractor achieved the contractual MWBE goals; and (2) all sums actually paid to MWBEs for work performed or materials supplied under the Contract.

By submitting a bid or application, 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 Contract System (“NYSCS”), which can be viewed at <https://ny.newnycontracts.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](mailto:OCSD@esd.ny.gov).

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

- A.** An MWBE Utilization Plan with their bid or application. Any modifications or changes to an accepted MWBE Utilization Plan after the Contract award and during the term of the Contract 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.

- B.** 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](mailto: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 application.

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 Contract. Requests for a partial or total waiver of established goal requirements made subsequent to Contract Award may be made at any time during the term of the Contract to ESD, but it must be made no later than prior to the submission of a request for final payment on the Contract.

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 Contract documenting the progress made toward achievement of the MWBE goals of the Contract

### **Equal Employment Opportunity Requirements**

By submission of a bid or application in response to this solicitation, the respondent agrees with all of the terms and conditions in [SCHEDULE B – PARTICIPATION BY MINORITY AND WOMEN-OWNED BUSIENSS 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 Contract; 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 application.

If awarded a Contract, 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 quarterly basis during the term of the Contract.

Pursuant to Executive Order #162, contractors 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 contract 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 Contractor 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 Contract, leading to the withholding of funds, suspension or termination of the Contract or such other actions or enforcement proceedings as allowed by the Contract.**

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](mailto:OCSD@esd.ny.gov).

## **PARTICIPATION OPPORTUNITIES FOR NEW YORK STATE CERTIFIED SERVICE-DISABLE VETERAN OWNED BUSINESSES**

Article 17-B of the New York State Executive Law provides for more meaning 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 form maximum feasible participation in the performance of ESD contracts.

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 Contract. Such participation may be as subcontractors or suppliers, as protégés, or in other partnering or supporting roles.

### **Contract Goals**

- A.** For purposes of this solicitation, ESD will establish a goal based on the scope of work and project description identified in the RFA response. For purposes of providing meaningful participation by SDVOBs, the Bidder/Contractor should reference the directory of New York State Certified SDVOBs found at: [http://ogs.ny.gov/Core/docs/CertifiedNYS\\_SDVOB.pdf](http://ogs.ny.gov/Core/docs/CertifiedNYS_SDVOB.pdf). Questions regarding compliance with SDVOB participation goals should be directed to the Designated Contacts. Additionally, following Contract execution, Contractor 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](mailto:VeteransDevelopment@ogs.ny.gov) to discuss additional methods of maximizing participation by SDVOBs on the Contract.
- B.** Contractor must document “good faith efforts” to provide meaningful participation by SDVOBs as subcontractors or suppliers in the performance of the Contract.

### **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 Contract, a description of the work that the Bidder intends the SDVOB to perform to meet the goals on the Contract, the estimated dollar amounts to be paid to an SDVOB, or, if not known, an estimate of the percentage of Contract 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 contract for cause loss of eligibility to submit future bids and/or withholding of payment. Any modifications or changes to the agreed participation by SDVOBs after the Contract award and during the term of the Contract 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/Contractor of ESD acceptance or issue a notice of deficiency within 20 days of receipt.
- D.** If a notice of deficiency is issued, Bidder/Contractor 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/Contractor and direct the Bidder/Contractor 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 application.

- E. ESD may disqualify a Bidder's bid or application 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 Contract, Contractor certifies that it will follow the submitted SDVOB Utilization Plan for the performance of SDVOBs on the Contract pursuant to the prescribed SDVOB contract goals set forth above.
- G. Contractor further agrees that a failure to use SDVOBs as agreed in the Utilization Plan shall constitute a material breach of the terms of the Contract. 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 Contractor non-responsibility.

#### **Request for Waiver**

- A. Prior to submission of a request for a partial or total waiver, Bidder/Contractor shall speak to the Designated Contacts at ESD for guidance.
- B. In accordance with 9 NYCRR § 252.2(m), a Bidder/Contractor 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 a 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/Contractor'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. Contractor shall attempt to utilize, in good faith, the SDVOB identified within the SDVOB Utilization Plan, during the performance of the Contract Requests for a partial or total waiver of established goal requirements made subsequent to Contract award may be made at any time during the term of the Contract to ESD, but must be made no later than prior to the submission of a request for final payment on the Contract.
- D. If ESD, upon review of the SDVOB Utilization Plan and Monthly SDVOB Compliance Report (OCSD-6) determines that Contractor is failing or refusing to comply with the contract goals and no waiver has been issued in regards to such non-compliance, ESD may issue a notice of deficiency to the Contractor. The Contractor 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 contract goals.

Waiver requests should be sent to OCSD.

#### **Required Good Faith Efforts**



In accordance with 9 NYCRR § 252.2(n), Contractors must document their good faith efforts toward utilizing SDVOBs on the Contract. 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/Contractors' solicitation was not selected.
- 3) Dates of any pre-bid, pre-award or other meetings attended by Contractor, if any, scheduled by ESD with certified SDVOBs whom ESD determined were capable of fulfilling the SDVOB goals set in the Contract.
- 4) Information describing the specific steps undertaken to reasonably structure the Contract scope of work for the purpose of subcontracting 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), Contractor is required to report Monthly SDVOB Contractor Compliance to ESD during the term of the Contract for the preceding month's activity, documenting progress made towards achieving the Contract SDVOB goals. This information must be submitted using form OCSD-6 available on the ESD website and should be completed by the Contractor and submitted to ESD, by the 10th day of each month during the term of the Contract, for the preceding month's activity to: [OCSD@esd.ny.gov](mailto:OCSD@esd.ny.gov).

#### **Breach of Contract and Damages**

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

General inquiries or questions relating to aforementioned policies, SDVOB participation and the goals specified herein may be addressed to OCSD at [OCSD@ESD.NY.GOV](mailto:OCSD@ESD.NY.GOV).

#### **6. W-9 Form**

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

## **Appendix A: Definitions**

The following definitions apply to the terms used in this RFA. Terms defined herein are capitalized throughout the text of the RFA.

**Applicant:** For eligibility purposes, an Applicant is a group of partners that support Scalable Companies focused on life science and satisfy the following criteria:

- i) has or will have a Program that helps Beneficiary Companies refine business ideas with structured programming;
- ii) has resources, network(s), and demonstrated intent to invest in companies located in New York State; and
- iii) targets investments and assistance/support in life sciences.

**Basic Research:** Basic research is systematic study directed toward greater knowledge or understanding of the fundamental aspects of phenomena and of observable facts without specific applications towards processes or products in mind. Basic Research is not focused on the commercialization of a process or product.

**Beneficiary Companies:** Beneficiary Companies include the following:

- i) Scalable Companies in the life sciences located in New York State. Prior to acceptance into the Applicant's Program, the Beneficiary Company must agree, pursuant to a written agreement satisfactory to ESD, that the Beneficiary Company will be, located and remain located within the State for a period satisfactory to ESD. In the event a Beneficiary Company breaches this obligation, restitution must be made in a manner satisfactory to ESD, and such restitution will be specified in the investment agreements.
- ii) Investments in Beneficiary Companies may take the form of equity or hybrid Investments, including convertible debt and SAFEs. Applicants will make individual investment decisions.

**Indirect Cost(s) or Indirect Cost Rate:** Defined by Federal OMB Circular A-87 as the rate used for allocating those common costs that cannot be specifically allocated to a particular project or activity. A cost may not be allocated as an Indirect Cost if any other cost incurred for the same purpose in like circumstances has been assigned as a direct cost.

**Partners or Partner Organizations:** Those organizations that will assist the Applicant in achieving its mission. Subject to the limitations of Section I.D. of the RFA, Partner Organizations may include, but are not limited to, other schools or departments within the Applicant, Manufacturing Extension Partnership centers, NYS Certified Business Incubators and Innovation Hot Spots, Centers of Excellence, other Centers for Advanced Technology, technical and community colleges, Small Business Development Centers, Empire State Development programs, and other similarly focused organizations and programs.

**Program:** A comprehensive structured curriculum that helps Scalable Companies developing innovative products or services accelerate their growth, which culminates in a pitch competition.

**Proposal:** A narrative submitted by an Applicant in response to this Request for Application.

**Scalable Company:** Companies that create or employ disruptive technologies and have a high likelihood of generating a return on investment.

## **Appendix B: Overview of Long Island Life Science Assets**

### **Overview**

Investment in the life sciences has been a priority for the Long Island for more than a decade. The region is home to world class research institutions, a strong network of universities, and a robust manufacturing industry with products that include generic pharmaceuticals, nutraceuticals, medical devices, and more. More than 1,200 students from Long Island universities graduated with a bachelor's degree in life sciences and 210 completed a masters, creating a robust workforce in the region. Below is an overview of the life sciences assets in the region. This list is meant to be a starting point for Applicants and broadly outlines the potential partners and resources that could be leveraged when putting together an application.

### **Top Life Science Companies**

Long Island has more than 120 Life Science companies that employ more than 20,000 people across the region. Some of the top companies for employment include P&L Development, Nature's Bounty, Cold Spring Harbor Lab, American Regent, Contract Pharmacal, Amneal Pharmaceuticals, Fougera Pharmaceuticals, and Cold Spring Harbor Laboratory.

### **Incubators**

Below is an overview of incubators located at Long Island universities. To learn more visit: <https://esd.ny.gov/certified-business-incubator>

#### Long Island High Tech Incubator

LIHTI supports early-stage, high-tech companies to enhance their development and growth. LIHTI, affiliated with Stony Brook University and its hospital, has housed more than 70 companies, which have had a high survival rate thanks to the program.

#### Entrepreneurship & Technology Innovation Center (ETIC) at New York Institute of Technology

ETIC's mission is to expand NYIT's School of Engineering and Computing Sciences' ongoing industry-academic partnerships and bridge the gap between industry, government, and academia to foster economic development across Long Island and NYC.

#### ideaHUB / Hofstra University

Hofstra University's state-of-the-art ideaHUB offers a world class, modern facility and supports the growth of early-stage companies through business development programs, mentorship, a Maker Space, technical assistance and educational programs.

#### Broadhollow Bioscience Park

Broad Hollow Bioscience Park, Inc.(BHBP) is a not-for-profit entity located on the campus of Farmingdale State College (SUNY) which is designed to support early-stage companies with a need for wet laboratory space. BHBP is composed of 102,500 square feet of space in two facilities. Early-stage companies can lease space in increments of 500 SF, wet lab and office space. BHBP's other facility is 62,000 SF and is ideal for a company seeking a corporate research facility that provides laboratories, administration area, data room, library/conference room and lunchroom. BHBP is a partnership between Farmingdale State College, Cold Spring Harbor Laboratory, and the Research Foundation of the State University of New York.

## **Long Island Life Science Anchor Institutions and some of their Recent Investments**

### **Brookhaven National Lab**

Brookhaven National Laboratory delivers discovery science and transformative technology to power and secure the nation's future. Primarily supported by the U.S. Department of Energy's (DOE) Office of Science, Brookhaven Lab is a multidisciplinary laboratory with seven Nobel Prize-winning discoveries, 37 R&D 100 Awards, and more than 70 years of pioneering research. The Laboratory's 2,500-plus staff members lead and support diverse research teams that address the DOE mission to ensure the nation's security and prosperity by addressing its energy, environmental, and nuclear challenges through transformative science and technology solutions. Among Brookhaven Lab's current initiatives are nuclear science, energy science, data science, particle physics, accelerator science and technology, quantitative plant science, and quantum information science.

Modern scientific experiments are becoming increasingly complex, generating enormous datasets, and requiring rapid decision making. To overcome these challenges, researchers at Brookhaven Lab are developing new artificial intelligence (AI) techniques that automate experiments, using capabilities like machine learning to drive experiments more efficiently. Brookhaven's novel particle accelerator complex makes the Lab a national leader in the research, production, and processing of commercially unavailable radioisotopes.

These isotopes have widespread applications in medicine, from disease diagnosis to treatment, as well as in national security. Researchers in Brookhaven's Biology Department seek to unravel and describe the complexities of biological systems—from how plants make oils and other products to the role of proteins in disease. BNL's work helps to develop the tools and techniques of biochemistry, molecular genetics, and structural biology. The work of the Department leverages the unique capabilities of Brookhaven's National Synchrotron Light Source-II and Center for Functional Nanomaterials, major research facilities open to scientists from around the world.

#### **Contact:**

David J Manning, Director, Stakeholder Relations  
Upton, NY  
Phone: (631) 344-4747, Cell: (917) 841-5952  
dmanning@bnl.gov

#### **Recent Investments**

##### **Cryo EM Capital Expansion**

An appropriation of \$15 million was made in the 2015-2016 New York State budget which committed \$15,000,000 to Brookhaven National Laboratory to support the Cryo-EM project. The \$15 million in funding assistance will be used for the construction of a new facility specifically designed to house cryo-electron microscopes. The approximately 6,000-square-foot building is expected to include areas for mechanical facilities and controls, and with future capability for installation of up to four microscopes. ESD paid for the building and the microscopes which are installed and operating. The new building will be physically connected to the existing National Synchrotron Light Source II ("NSLS-II") facility. BNL will procure two state-of-the-art cryo-electron microscopes for the facility

##### **Electric Ion Collider**

The Electron-Ion Collider (EIC) Project will design, build, and install the hardware and infrastructure for a new electron storage ring, an electron injector, and modifications to the Relativistic Heavy Ion Collider (RHIC) hadron ring required to produce an electron-ion collider. It will include one interaction region and one detector with an allowance for a second detector.

#### Probes for Quantum Information Materials

Development and construction of the milli-Kelvin Scanning Probe Microscope (“mKSPM”) and construction of the Integrated Nanoimaging Facility (“INF”) infra-red beamline

#### **Cold Spring Harbor Laboratory**

Cold Spring Harbor Laboratory (CSHL) is the birthplace of molecular biology and genetics, amassing the pioneers of the field armed with new discoveries that led to the 20th century biotechnology revolution. CSHL is home to eight Nobel Prize winners and has been a National Cancer Institute-designated Cancer Center since 1987. It currently has nearly 900 employees including 600 researchers and technicians with expertise in cancer, neuroscience, quantitative biology, plant biology, bioinformatics and genomics. CSHL uniquely combines its world-class research program with its legendary role as a gathering place for the global scientific community.

At CSHL Meetings and Courses Programs, scientists from around the world and at all stages in their careers come together to exchange information, learn about the latest technology, establish collaborations, and celebrate their accomplishments. The impact of CSHL’s research in New York State is multiplied through its collaborations with other New York institutions and companies particularly Stony Brook University, Brookhaven National Laboratory and Northwell Health. CSHL is actively engaged in commercializing the results of its research – through licensing of technologies first developed in its labs – for commercial use by companies around the world, and by incubating and spinning off new business engaged in the further development of such technologies.

NYS companies that were founded based on research at CSHL include: ASOThera, Certerra, Clarapath, DEPYMed, Envisagenics and Mirimus. Long Island’s homegrown blockbuster cancer drug manufacturer OSI Pharmaceuticals in 2010, was a CSHL spinoff incubated at Broad Hollow BioScience Park.

#### **Contact:**

Charles Prizzi, Senior Vice President for Advancement and Special Advisor to the President  
Cold Spring Harbor, NY  
Phone: (516) 367-6961  
Email: prizzi@cshl.edu

#### **Recent Investments**

##### Neuroscience Research Complex

New York State has committed \$30 million to propel the launch of Phase One of a seven-acre development on CSHL’s campus. Phase One of the Master Plan will house the Neuroscience Research Complex (NRC) and involve the construction of three state-of-the-art research buildings to further CSHL’s leadership in the areas of neuroscience and computer science for the betterment of human health. The NRC will help to alleviate crowding in the laboratories currently dedicated to neuroscience. Specifically, scientists at the NRC will focus on cognition, including mapping the wiring 4 diagram of the human brain; a game-changing CSHL technology which will have a profound impact on both developmental neurological disorders such as autism and

neurodegenerative diseases including Alzheimer's and Parkinson's. With neurological disorders affecting approximately one-third of the U.S. population, and pharmaceutical firms largely abandoning their R&D efforts in neuroscience, the work of academic research institutions

#### Biodefense Working Capital

Dr. Moses' group is developing a novel antibiotic class that utilizes dynamic shapeshifting molecules, developing drugs that sample biological space and target multiple sites simultaneously to provide a potential solution for multi-drug resistant bacteria (MDR).

#### CTR Capital Expansion

\$25 million provided by New York State will help fund the planning, renovation, and equipment required to convert the Demerec Laboratory building located on the CSHL main campus into the CTR.

#### Artificial Intelligence Center

Cold Spring Harbor Lab will build out a new AI center

### **Long Island University**

Long Island University, founded in 1926, continues to redefine higher education, providing high quality academic instruction by world-class faculty. LIU offers nearly 250 degree programs, with a network of over 280,000 alumni that includes industry leaders and entrepreneurs across the globe.

LIU is committed to transformational change in the higher education landscape by the synergistic coupling of research and international engagement. The Research and International Office exists to catalyze, nurture, and embrace multi-disciplinary, globally impactful research and educational programming that prepares future graduates for the challenges and opportunities presented by life in the 21st Century. The Research and International Office will partner with colleges, departments, academic and non-academic units, senior leadership, and the greater LIU community to promote diversity, grow international engagement, innovation, entrepreneurship, and cultural understanding to enrich and propel LIU's overall mission for becoming a globally engaged research and education enterprise.

LIU is involved in life science and cancer research and a professor at the new College of Veterinary Medicine at LIU Post received the prestigious R15 AREA grant (Academic Research Enhancement Award) from the National Institutes of Health, which is given out to strengthen the research environment of schools that have not been major recipients of NIH support. Long Island University is on the forefront of the genomics revolution. The building block of precision medicine—designing therapeutic drugs to precisely treat a particular patient's disease—is the study of genomes. And that's just one fascinating aspect of the far-reaching research now underway at LIU Pharmacy.

#### Contact:

Sandra Richard, Executive Assistant to the President  
Brookville, NY  
Phone: (516) 299-2501  
Email: Sandra.Richard@liu.edu

#### Recent Investments:

Technology Park

Addition of 12,000 square feet of business incubator space on campus

#### Yaphank Veterinary School Satellite

Located in Yaphank New York (Suffolk County), Long Island University's Yaphank Veterinary Satellite (YVS) will provide numerous training, education, practice, and employment opportunities for veterinarians, veterinary technicians, students, and Suffolk County residents that would otherwise be unavailable on Long Island. Approximately 74 acres will be used specifically for the YVS. As proposed in the capital budget plan, primary development required for LIU's Yaphank Satellite centers on building a main barn facility to accommodate a herd of 50 cows; establishing fencing needed for sustainable land use grazing areas, as well as classroom renovation (within Barn facility)

#### Veterinary School

LIU will build out a veterinary school at their Brookville campus

#### LIU College of Science Applied Research and Innovation Facility

Long Island University will invest \$30,000,000 to build a 40,000 s.f. Science and Innovation Building for life science research. LIU will build a College of Science Applied Research and Innovation Facility on LIU's Post campus in Brookville, New York. The 40,000 square foot building will support groundbreaking life sciences research— including leveraging research at LIU's school of veterinary medicine, LIU's School of Pharmacy and LIU's partnership with Dassault Systèmes (a French based developer of software for 3D product design, simulation, manufacturing and other 3D related products). According to LIU the new building will feature approximately 28,000 square feet of shared research space to be used by start-up biotechnology companies who will benefit from access to research space as well as incubator space co-located on campus. The project is expected to create 70 new jobs and they received an LIIF Award of \$10,000,000.

#### **NY Institute of Technology**

New York Institute of Technology strives to support the life sciences and biotech innovation on Long Island, by preparing students to enter the fastest-growing fields at the intersection of life sciences, biology, chemistry, healthcare, physics, bioengineering, medicine, biotechnology and more. As the only polytechnic on Long Island, New York Tech's six schools and colleges offer highly ranked and accredited programs in 50 fields of study; our undergraduate, graduate, doctorate and professional programs serve over 7,700 students. New York Tech is uniquely positioned to help tackle new frontiers in disease, diagnosis, and treatment, while contributing to Long Island's prominence in life sciences research, attracting top talent, and helping drive the local economy. New York Tech's state-of-the-art teaching and research labs help students learn and perform scientific investigations with faculty who provide one-to-one training and supervision of their research.

With the help of a grant from Empire State Development, New York Tech intends to build a world-class Biomedical Research Innovation Center (BRIC) at its Long Island campus. This Center will include additional state-of-art instruments like an XROMM fluoroscopy system for 3D imaging of whole-body positions with low-power X-rays. New York Tech will be the only location in NYS with this capability, dramatically enhancing its research and teaching capabilities. The XROMM system will synergize with NYIT's existing strengths in biomechanics studies, neurodegenerative disease research and treatment programs, and microscopy technology. The XROMM system allows precise 3D measurement of moving bones and tissues. That capability complements existing equipment at NYIT such as the NSF funded MicroCT



scanner, super-resolution light microscopes, and NIH-funded biomedical research labs. The goal of building the BRIC is to advance medical discoveries, attract top talent, and help drive the local economy. The BRIC along with other externally funded grants from NIH and NSF will help New York Tech contribute to Long Island's prominence in health/life sciences and uniquely position itself as a top research university on Long Island, poised to tackle new frontiers in disease diagnosis and treatment. It will enable the incubation of inventions and breakthroughs in research and innovation in life sciences, biotech, medicine, microscopy visualization and imaging, and other growth fields, not just at New York Tech but through collaborations between BRIC investigators and partnering institutions and companies.

Contact:

Dawn Grzan, Senior Director, Sponsored Programs and Research  
Old Westbury, NY  
Phone: (516) 686-7737, Cell: (631) 975-2971  
Email: dgrzan@nyit.edu

Recent Investments:

Microscopy Center

NYIT's College of Osteopathic Medicine will create a world class Microscopy Innovation Center (MIC) at its Old Westbury campus to advance medical discoveries, attract top talent, and help drive the local economy. The MIC will contribute to Long Island's prominence in health /life sciences and uniquely position NYIT as a top research university on Long Island, poised to tackle new frontiers in disease diagnostic and treatment. It will enable the incubation of inventions and breakthroughs in research and innovation in life sciences, biotech, medicine, microscopy visualization and imaging, and other growth fields, not just at NYIT but through collaborations between MIC investigators and partner institutions and companies. It will also help prepare the next generation of life sciences and medical professionals for the medical innovation workforce and create biotech-related jobs, thus addressing a lack of qualified experts in these emerging fields at local medical and research institutions. The project entails full-scale renovation of a 20,000SF building on NYIT's LI campus to house new microscopy labs, equipment, and research collaboration, innovation, teaching, and convening spaces.

Technology Innovation Lab

Creation of new lab, research and teaching facilities

**Stony Brook University**

Stony Brook University (SBU) provides comprehensive undergraduate, graduate, and professional education to 26,000 students supported by 2,700 faculty members and has been ranked among the top 35 public universities in the nation by U.S. News & World Report. SBU is also a member in the Association of American Universities (AAU) placing it among the top 65 research institutions in North America. SBU's Renaissance School of Medicine consists of nine basic science and 17 clinical departments. Stony Brook Medicine serves more than 34,000 inpatients and 834,000 outpatients each year. Research excellence extends to a broad range of areas including bioimaging, synthetic biology, microengineering, biomaterials and regeneration, pathogenesis, and artificial intelligence. Research at Stony Brook's Cancer Center is dedicated to understanding the biology and mechanism of cancer, with the goal to create more effective and targeted treatments, as well as prevent specific cancers. SBU is also part of the management team of Brookhaven National Laboratory (BNL), one of only eight universities in the country to manage a federal laboratory.

Increased economic output related to the University totals \$7.2 billion annually. SBU's mission to help translate life science innovations into products and companies is led by the Center for Biotechnology (CfB),

in partnership with SBU's Intellectual Property Partners. The CfB is a New York State-designated Center for Advanced Technology (est. 1983), an NIH-designated Research, Evaluation and Commercialization Hub (est. 2015), and a BARDA DRIVE-designated BusinessAccelerator (est. 2016). The CfB has managed four distinct Funds investing over \$20M in technology and business development. These investments, along with focused guidance management-mentoring have contributed to 578 issued patents and 113 option/license agreements and have brought an additional \$126M in federal research funding to the region.

These investments have also potentiated multiple FDA approved products (e.g., Xiaflex®, Oracea®, Cavistat®, ...) and the formation of dozens of biosciences companies (e.g., Cornerstone Pharma, Exogen, Celmatix, Codagenix...). In 2015, the CfB launched the Long Island Bioscience Hub (LIBH), a partnership between SBU, BNL, Cold Spring Harbor Laboratory and the Feinstein Institute to further increase the translation of promising innovation into the commercial sector.

The LIBH has launched 11 companies, secured 9 SBIR/STTR awards, and leveraged \$64M in follow-on funding. Economic impact associated with the CfB's activities overall exceed \$80M annually.

Contacts:

Diane Fabel, PhD., Director of Operations, Center for Biotechnology

Diane.Fabel@Stonybrook.edu

Peter Donnelly, Associate Vice President for Technology Partnerships

Peter.Donnelly@Stonybrook.edu

Recent Investments:

Center for Advanced Study of Drug Action

Stony Brook University will create a new Center for the Advanced Study of Drug Action to provide deep insight into the mechanism of drug action and improve the success rate of new drug approvals.

Smart Manufacturing

Stony Brook University will add digital and 3-D printing systems, visualization and imaging applications and tools for smart manufacturing.

Entrepreneur Development Implementation Grant

To implement a new Life Sciences Innovations and Entrepreneurship Advanced Graduate Certificate (LSI-AGC)

**Feinstein Institute**

The Feinstein Institutes for Medical Research is the research arm of Northwell Health, New York State's largest health system. They are comprised of five subsidiary institutes focused on the following areas: molecular medicine, health outcomes and health systems science, behavioral sciences, bioelectronic medicine, and cancer.

The Feinstein Institutes are responsible for the research activities of approximately 5,000 investigators and staff throughout Northwell. Most of the labs are located at 350 Community Drive, Manhasset, where the emphasis is on producing knowledge that will cure disease with support from federal grants and dissemination through high-impact academic journals. This work reaches physicians and patients in several concrete ways, including generating intellectual property around which commercial companies form, and supporting clinical trials to test the results of research, attracting thousands of patients to Northwell, and making Long Island a destination for various special treatments.

Feinstein researchers work to transform the treatment of conditions like lupus, arthritis, sepsis, cancer, psychiatric illness, and Alzheimer's disease. As the global headquarters of bioelectronic

medicine, they are exploring ways to raise the standard of medical innovation and are using electronic medical devices to signal the body to heal itself.

Bioelectronic medicine is a new approach to treating and diagnosing disease and injury that has emerged from the Feinstein Institutes' labs. It represents a convergence of molecular medicine, neuroscience, and bioengineering. Bioelectronic medicine uses device technology to read and modulate the electrical activity within the body's nervous system, opening new doors to realtime diagnostics and treatment options for patients.

Northwell also has a venture capital arm that was established in 2013 with the goal of identifying and fostering innovative ideas that enhance the growth of Northwell Health enterprises. They work with doctors, scientists, staff, and entrepreneurs both inside and outside of Northwell with a goal to develop, advance, identify and invest in ideas, novel technologies, and business models in order to improve patient care to advance Northwell's strategy and further our industry.

Contact:

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Recent Investments:

State of the Art Laboratories

The project will create upwards of 70 new jobs, recruit star scientists from across the country, and make Long Island a destination for the most advanced cancer research. It will take place in an existing building; no acquisition of property is required. Purchase of machinery and equipment will be standard for new labs, featuring security, safety, and research items. These purchase will be covered in part from the LIIF grant and in part (50% or more) from the Feinstein capital budget

South Shore University Hospital Medical Residency Program

Acquisition and renovation of one building to establish the South Shore University Hospital Residency Center, a new teaching campus for the Zucker School of Medicine at Hofstra/Northwell at South Shore University Hospital in Bay Shore

**Winthrop University Research Institute:**

Since the launch of NYU Long Island School of Medicine in 2019 and the merger of into one of the country's premier healthcare systems, NYU Langone Health, we have continued to enhance and expand our commitment to research. We are in a transformative era, as new research initiatives in basic and clinical science and pragmatic approaches to health services research help improve outcomes for patients.

Our visionary and robust biomedical Research Institute is home to newly recruited basic, clinical, and health services researchers who complement the work of current investigators. The institute, which serves as the umbrella for research on our Long Island campus, is closely aligned and integrated with research programs across the NYU Langone Health system. Our Department of Foundations of Medicine serves as an academic home for campus faculty researchers.

Multidisciplinary scientists and physician–investigators are involved in vigorous clinical research studies. and basic, translational, and health services studies of the causes, treatments, and

consequences of a wide spectrum of illnesses. These include as a major focus diabetes and its treatment, as well as its associated conditions such as obesity. Diabetes and its complex complications touch a large group of patients in virtually every medical specialty. Investigators are also addressing other important public health issues, including pregnancy and premature births, improving cancer treatment, vascular damage, autoimmune diseases, neurological disorders, obesity, COVID-19, and other debilitating diseases.

**Contact:**

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**Recent Investments:**

Winthrop University Hospital Capital

Expansion of laboratories, addition of equipment and expansion of parking facilities

Winthrop Research Institute Capital

Winthrop University hospital will build a \$90 million bio med research facility in Mineola and add 40 new highly paid jobs to their staff of 4,683. RC award of \$1M will support the equipment portion of the project.

**Hofstra University:**

Hofstra University is committed to discovery and innovation through continued expansion of undergraduate and graduate programs in the sciences and by promoting impactful, interdisciplinary research across the Donald and Barbara Zucker School of Medicine at Hofstra/Northwell, the Hofstra Northwell School of Nursing and Physician Assistant Studies, the School of Health Professions and Human Services, the School of Natural Sciences and Mathematics and the Fred DeMatteis School of Engineering and Applied Science. Through partnerships with Northwell Health, the Feinstein Institutes for Medical Research, Cold Spring Harbor Laboratory, along with the programs and business incubator at the University's Institute of Innovation and Entrepreneurship, Hofstra has created an environment that nurtures research and development with commercial and community applications.

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**Broad Hollow Bioscience Park**

Broad Hollow Bioscience Park, Inc. (BHBP) is a not-for-profit entity located on the campus of Farmingdale State College (SUNY) which is designed to support early-stage companies with a need for wet laboratory space. BHBP is composed of 102,500 square feet of space in two facilities. Early-stage companies can lease space in increments of 500 SF, wet lab, and office space. Building operations are fully supported and shared equipment is available for tenant use. BHBP's other facility is 62,000 SF and is ideal for a company seeking a corporate research facility that provides laboratories, administration area, data room, library/conference room and lunchroom. BHBP is a partnership between Farmingdale State College, Cold Spring Harbor Laboratory, and the Research Foundation of the State University of New York.

The Broad Hollow Bioscience Park is devoted to supporting the development of biotech start-up companies by utilizing shared facility resources, the resources of the Farmingdale campus, partnering with surrounding businesses and research institutions, and clustering the growing biotech companies along the Route 110 Bioscience Corridor.

Contact:

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**Accelerate Long Island**

Accelerate Long Island (ALI), a non-profit founded in 2011, has an extensive and committed track record of accelerating growth for Long Island based high technology startups. ALI leads a unique collaboration among Long Island's world class research institutions and its business community to commercialize research and create an entrepreneurial ecosystem. ALI focuses on high-technology companies emanating from the region's research and academic institutions. The majority of ALI's portfolio are high-growth companies in the biotech and health tech space, including Codagenix, DepYMed, Envisagenics, Playback Health, and more. Over the past decade, ALI successfully encouraged coalition-building and cross-sector partnerships.

Accelerate Long Island has managed two Seed Funds:

Fund I: The Accelerate Long Island Seed Fund, a \$500,000 grant seed fund awarded through ESD and the LIREDC process. This was matched by \$500,000 in private investment from the Long Island Emerging Technologies Fund (LIETF) backed by Topspin Partners and Jove Equity Partners. The Accelerate Long Island Seed Fund/LIETF invested in 10 high technology companies on Long Island, seven of which are still active and growing. The fund has created more than 32 Full-Time jobs and \$34 million in follow-on funding.

Fund II: The Accelerate New York Fund is a \$2.4 million equity investment with New York State Innovation Capital Fund as LP with 22 portfolio companies. Accelerate Long Island was selected through an RFP process to manage the Accelerate NY Seed Fund as part of the ESD New York State Innovation Venture Capital Fund and it supported science and technology-based early-stage ventures on Long Island, in New York City, and the Hudson Valley. The portfolio companies have created more than 80 jobs and secured more than \$72 million in follow-on funding to date.

ALI's activities are implemented by an experienced team who have shown a strong track record of providing network and mentorship to high-technology companies, supporting commercialization efforts of our region's research and academic institutions, and serving as a vehicle for our region's academic and business leadership to identify barriers to growth on Long Island for early stage companies and develop regional solutions. ALI's Board Members include the Presidents of Brookhaven National Laboratory, Cold Spring Harbor Laboratory, Hofstra University, Northwell Health, and Stony Brook University, as well as the Long Island Association, Topspin Partners, Jove Equity Partners, the Rauch Foundation, EY, and Farrell Fritz.

ALI's unprecedented relationships among all the region's incubators and accelerators transcends the geographic dispersion that has always challenged Long Island collaborations into a strength. As a regional leader responsible for curating an inclusive entrepreneurial ecosystem, ALI recognizes the need to cultivate a growing community of BIPOC and women entrepreneurs

igniting social changes in underserved areas. A more equitable ecosystem will support overall economic development on Long Island.

As we emerge from the pandemic the need to cultivate innovation and startups is critical, and ALI will continue to provide productive networking and instructional events for entrepreneurs and serve as an innovation broker to commercialize technology and connect startups with sources of capital, jumpstarting Long Island's economic growth.

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## Required Forms

- RFA Application

### APPENDIX C: Administrative Proposal (Contractual Requirement Forms)

**1. Conflict of Interest Form**

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

**2. 139 J&K**

[https://cdn.esd.ny.gov/CorporateInformation/Data/RFPs/RequiredForms/SF\\_Law139\\_JK.pdf](https://cdn.esd.ny.gov/CorporateInformation/Data/RFPs/RequiredForms/SF_Law139_JK.pdf)

**3. Vendor Responsibility Questionnaire –**

<https://www.osc.state.ny.us/state-vendors/vendrep/vendor-responsibility-forms>

**4. Non Discrimination and Contractor and Supplier Diversity Forms -**

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

**5. W9 Form -**

<https://www.irs.gov/pub/irs-pdf/fw9.pdf>