



**NEW YORK**  
STATE OF  
OPPORTUNITY™

**Empire State  
Development**

# **REQUEST FOR PROPOSALS FOR NEW YORK STATE MINORITY AND WOMEN REVOLVING LOAN TRUST FUND**

**IMPORTANT NOTICE:** A restricted period under the Procurement Lobbying Law is currently in effect for this Procurement and it will remain in effect until approval of the Contract. Bidders are prohibited from contact related to this procurement with any New York State employee other than the designated contacts listed below (refer to: <http://ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>).

Designated Contacts for this Procurement:

Primary Contact: Ralph Volcy

Secondary Contact: John Discolo

**PROPOSAL DUE DATE AND TIME:  
On or before 3:00 PM on June 6, 2017  
(Late proposals cannot be accepted)**

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## I. INTRODUCTION

The mission of Empire State Development 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. Program Summary

The Minority and Women Revolving Loan Trust Fund (“MWRLTF” or the “Trust Fund”) is a program created by the State of New York (“New York State” or the “State”) to make low-cost financial assistance available at the local level to Minority and Women-Owned Businesses (“M/WBEs”). Through selected administering corporations (“Administering Corporations”), the Trust Fund provides working capital loans of up to \$35,000 and loans of up to \$50,000 for the acquisition of real property, machinery and equipment to help Minority-Owned Business Enterprises (“MBEs”) and Women-Owned Business Enterprises (“WBEs”) to grow and succeed. By making local and community-based economic development professionals responsible for processing loan applications, and for making and administering these loans, MWRLTF will provide a valuable tool to enhance broad-based community economic development. This Request for Proposals conforms to the Rules and Regulations governing the Trust Fund.

### B. Invitation to Apply

Empire State Development (“ESD”, or the “Corporation”) invites eligible Administering Corporations (as described in section II(A)) to administer a Minority and Women Revolving Loan Trust Fund Account (the “Trust Fund Account”) of up to \$250,000 to be established under the Minority and Women Revolving Loan Trust Fund (the “Trust Fund or “MWRLTF”) for the following regions: Capital, Mohawk Valley, North Country, Central New York, Finger Lakes, Southern Tier and Western New York.

### C. Request for Proposals Schedule

Release of Request for Proposals	May 1, 2017
Deadline for Submission of Questions	May 25, 2017
Deadline for ESD to Respond to Questions	May 30, 2017
Submission of Proposals (date and time)	June 6, 2017, 3:00 PM ET
Bid Opening Date	June 8, 2017
Announcement of Selections	TBD
Anticipated Contract Start Date	TBD

## II. PROGRAM GUIDELINES

### A. Eligible Applicants

- a. An organization may apply to become a MWRLTF Administering Corporation if it is:
  - i. An economic development zone capital corporation established pursuant to section 964 of article 18-B of the General Municipal Law; or
  - ii. A community-based local development corporation or industrial development agency that serves a municipality in which an Empire Zone is located; or
  - iii. A local or community development corporation, industrial development agency, or other non-profit corporation that is representative of the community that it plans to serve; or
  - iv. A federally certified Community Development Financial Institution (“CDFI”).
- b. Applicants will be required to:
  - i. Identify and provide service to a proposed Service Delivery Region that is comprised of all or part of the counties targeted in this solicitation;
  - ii. Have available staff with sufficient expertise to analyze loan applications, to regularly monitor MWRLTF loans, and have made arrangements to provide management or technical assistance to its clients;
  - iii. Establish a MWRLTF loan committee;
  - iv. Obtain New York State prequalification and related registration standards through the Grants Reform System. This will ensure eligibility to participate in this Request for Proposals and receive potential program awards (see instructions in section VI(C)(c));
  - v. Primarily focus its activities on M/WBE and/or small business lending;
  - vi. Be legally able to receive and use the proceeds as herein stated;
  - vii. Meet any other requirements herein stated for the specific purpose of the grant;
  - viii. Be current with reporting requirements for any other ESD assistance;
  - ix. Demonstrate strong lending capacity and the ability to provide lending products in an impactful way; and
  - x. Demonstrate linkages with other service providers in the area, which can support its efforts and help source clients.

### B. Eligible Borrowers

An eligible business is defined as: a M/WBE whose primary place of business is located in New York State, independently owned and operated, not dominant in its field, and employs one hundred or fewer persons.

### C. Ineligible Projects

Program assistance shall not be made available for any of the following projects:

- a. Payment of any tax arrearage(s);
- b. Payment of any employee benefit arrearage(s);
- c. Projects that would result in the relocation of any business operation from one municipality in the state to another, except under one of the following conditions:

- i. When a business is relocating within a municipality with a population of at least one million, where the governing body of such municipality approves such relocation; or
    - ii. The Administering Corporation notifies each municipality from which such business operation will be relocated and each municipality agrees to such relocation;
  - d. Projects of newspapers, broadcasting or other news media, medical facilities, libraries, community or civic centers, or public infrastructure improvements;
  - e. Projects involving the refinancing of any portion of the total eligible trust fund project cost or other existing loans or debts of an applicant, except for the purpose of transferring to the employees or to other local interests ownership of a company that would otherwise depart from or cease or substantially reduce operations in the State. For the purposes of this paragraph, a substantial reduction of operations in the State shall mean:
    - i. The loss of an MBE and/or WBE of 25 or more permanent jobs; or
    - ii. The loss by a minority and/or women-owned business enterprise of fewer than 25 permanent jobs, if such a loss would have a major adverse impact on the community in which the business is located.
  - f. Retail projects, except where the Administering Corporation finds there will be an increase in net new permanent jobs;
  - g. To the extent permitted by law, projects involving the making of a trust fund loan to:
    - i. A full-time employee of the State or any agency, department, authority, public benefit corporation, or political subdivision thereof, or
    - ii. An MBE and/or WBE in which an employee described in the previous sub paragraph directly or indirectly controls a majority ownership interest.
  - h. Projects that would provide funds, directly or indirectly, for payment, distribution or loan to owners, partners or shareholders of an applicant except as ordinary income for services rendered.

D. Trust Fund Process

- a. Disbursement by ESD to Trust Fund Account  
 Program funds will be disbursed into a Trust Fund Account established exclusively for MWRLTF as follows:
  - i. 1/3 of total award upon execution of Loan Agreement;
  - ii. 1/3 upon Administering Corporation's submission of documentation to ESD of disbursement or commitment of 80% of the first disbursement;
  - iii. 1/3 upon Administering Corporation's submission to ESD of required documentation of disbursement or commitment of 80% of the first and second disbursement combined.
- b. Loan Approval  
 Prior to disbursement to borrower:
  - i. Each loan must be approved by Trust Fund Loan Committee.

- ii. A loan certificate completed by designated officer of the Administering Corporation containing the following details must be submitted and approved by ESD:
      - 1. M/WBE verification and certification that the borrower is otherwise eligible;
      - 2. Certification that loan terms are within program guidelines; and
      - 3. Certification that it is an eligible project.
    - iii. Upon acceptance by ESD of Administering Corporation's certification, Administering Corporation may draw down proceeds from its Trust Fund Account in the amount of any Trust Fund loan so accepted.
  - c. Loan Repayments
    - i. Principal payments may be forwarded to ESD on a quarterly basis and returned to Trust Fund Account by ESD upon ESD's satisfactory review of quarterly reports;
    - ii. Interest payments may be retained by the Administering Corporation to defray administrative costs.
  - d. Reporting
    - i. Quarterly Reports
      - 1. Due within 15 days of the end of each quarter.
      - 2. Must include:
        - a. Principal repayments for the quarter;
        - b. A narrative statement and schedule demonstrating portfolio status (EXHIBIT A); and
        - c. Bank statements for the Trust Fund Account
      - 3. Upon review and reconciliation of documentation provided, principal payments may be returned to the Trust Fund Account for relending.
      - 4. Failure to submit repayments and/or required documentation of portfolio status may result in default and termination.
    - ii. Annual Reports
      - 1. Due within 45 days of the end of the fiscal year ending March 31.
      - 2. Annual report includes:
        - a. Narrative Report;
        - b. Loan Portfolio Performance Report (EXHIBIT B); and
        - c. The most recent audited/Reviewed/Compiled financial statements.

E. Funding Source

The Program will be funded by existing funds allocated to the Empire State Development Minority and Women Revolving Loan Trust Fund.

F. Additional Conditions

- a. ESD will establish reporting requirements to account for the utilization of MWRLTF proceeds by the Administering Corporation. The MWRLTF account is to be used only for the purposes stated in the Administering Corporation's proposal or otherwise approved, in writing, by ESD.

- b. All activities generated by funding from ESD, or toward which ESD MWRLTF account proceeds are used, shall be conducted according to the standard business practices of the Administering Corporation and any agreements with ESD.
- c. All program funds will be subject to all necessary public approvals and availability of funds.

### III. QUESTIONS

- A. All questions, comments, requests for clarification or any other communication regarding this Request for Proposals must be submitted in writing no later than **May 25, 2017**, by email to: [MWRLTF-RFP2017@esd.ny.gov](mailto:MWRLTF-RFP2017@esd.ny.gov). Answers will be posted no later than **May 30, 2017** via ESD's website: <http://esd.ny.gov/CorporateInformation/Rfps.html>
- B. In addition, any changes, additions or deletions to this Request for Proposals will also be posted on ESD's website and the Contract Reporter, along with the electronic version of this Request for Proposals. 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 Request for Proposals.
- C. Respondents are urged to check ESD's website frequently for notices of any clarification of or changes, additions, or deletions to this Request for Proposals.
- D. **OTHER THAN THE CONTACT WEB ADDRESS IDENTIFIED ABOVE, PROSPECTIVE RESPONDENTS SHALL NOT APPROACH ESD'S EMPLOYEES DURING THE RESTRICTED PERIOD OF THIS REQUEST FOR PROPOSALS PROCESS ABOUT ANY MATTERS RELATED TO THIS REQUEST FOR PROPOSALS OR ANY QUALIFICATIONS SUBMITTED PURSUANT THERETO.**

### IV. SELECTION CRITERIA

- A. ESD will balance individual application scores with priorities for geographic distribution. The evaluation criteria will include the following:
  - a. Track record of small business lending in the State, especially in underserved communities and to M/WBEs that have difficulty accessing traditional credit markets (30%);
  - b. The applicant's ability to demonstrate a strong lending base, underwriting capacity, and deal-sourcing capacity (25%);
  - c. The applicant's capacity to illustrate a strategic plan and describe how ESD's assistance will help the grantee achieve this plan (15%);
  - d. The applicant's operating budget and institutional capacity for using grant funds effectively (10%);
  - e. Organizational capacity and stability (10%);

- f. Completeness of the proposal (5%); and
- g. Demonstrated ability to comply with the section II and other terms and conditions of this Request for Proposals (5%).

**B. Additional Considerations**

- a. By submitting its proposal, each applicant authorizes ESD to contact any and all other persons identified in its proposal or in any investigation conducted by or on behalf of ESD or the State, and obtain the release of pertinent financial and other information, as well as to obtain verification of the information provided by each applicant.
- b. ESD will not be held liable for any costs incurred by any applicant for work performed in the preparation and production of a proposal, nor for any work performed prior to written authorization from ESD to proceed. All proposals submitted will become the property of ESD.
- c. ESD reserves the right to:
  - i. reject any or all proposals received;
  - ii. award grants in any amount;
  - iii. require the submission of modifications or additions to proposals as a condition of further participation in the selection process; and
  - iv. amend this Request for Proposals.

**V. GENERAL PROVISIONS**

- A. The issuance of this Request for Proposals and the submission of a response by a firm or the acceptance of such a response by ESD do not obligate ESD in any manner. ESD reserves the right to:
  - a. amend, modify or withdraw this Request for Proposals;
  - b. revise any requirement of this Request for Proposals;
  - c. require supplemental statements or information from any responsible party;
  - d. accept or reject any or all responses hereto;
  - e. extend the deadline for submission of responses hereto;
  - f. negotiate potential contract terms with any respondent to this Request for Proposals;
  - g. communicate with any respondent to this Request for Proposals to correct and/or clarify responses which do not conform to the instructions contained herein;
  - h. cancel, or reissue in whole or in part, this Request for Proposals, if ESD determines in its sole discretion that it is its best interest to do so; and
  - i. extend the term of any agreement on terms consistent with this Request for Proposals.
  
- B. 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 Request for Proposals will be at the sole cost and expense of the responding firm.

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

## **VI. SUBMISSION REQUIREMENTS**

### **A. Submission Procedures**

- a. Submit four unbound copies of the proposal AND one electronic copy (CD or flash drive).
- b. All proposals must be sent to the Procurement Unit:  
Empire State Development  
633 Third Avenue, 35th Floor  
New York, New York 10017-8167  
Attention: Hector Morel  
RE: Request for Proposals, Minority and Women Revolving Loan Trust Fund Program
- c. All proposals must be received by 3:00PM on June 6, 2017. Late submissions may not be considered.

### **B. Proposal Requirements**

- a. Coversheet (Attachment A)
- b. Proposal Summary (Attachment B)
- c. Executive Summary  
Describe the following:
  - i. The organization's mission and history, including the number of years of providing technical and financial assistance to M/WBEs and/or small businesses and efforts to serve start-up firms;
  - ii. The geographic service area and/or targeted populations served by the organization, including any emphasis on startups, credit risks, other businesses that lack access to credit, and whether other community development organizations serve this geographic area and/or target population;
  - iii. The types of financial and technical assistance products and services offered and how many clients receive these services each year;
  - iv. The organization's marketing strategy and coordination with other community-based organizations. Please be specific about how the organization works with other community-based organizations to reach M/WBEs and where possible, quantify referrals made by other community-based organizations or provide some details to illustrate the depth of the relationship. Please include efforts to work with women and minority organizations, associations or chambers of commerce.

- v. The management capacity/professional experience of key staff (refer to attached resumes as appropriate);
  - vi. The management capacity/professional experience of the applicant's proposed MWRLTF Loan Committee;
  - vii. The organization's strategic plan. If the organization does not have a formal strategic plan, provide a description of some of the goals that the organization hopes to achieve over the next three years.
- d. Organizational Information and Capacity
- i. Describe the organization's status as an eligible entity that is able to administer the Program set forth in Section II this Request for Proposals. Please note whether applicant is not-for profit or for profit entity. Include the year that the organization was established. Include the year certified, if a federally certified CDFI. State the organizational mission. (narrative);
  - ii. Certificate of incorporation (Attachment C);
  - iii. CDFI certification letter, if applicable (Attachment D);
  - iv. Bylaws (Attachment E);
  - v. FDIC Bank Examination Reports, if applicable and available. (Attachment F);
  - vi. Most recent annual report (Attachment G);
  - vii. Audited financials for 2014, 2015 and 2016 (Attachment H).
- e. Lending Activity
- i. Describe credit analysis and due diligence procedures employed in the loan program;
  - ii. Describe loan approval and portfolio monitoring/collections procedures;
  - iii. Track record of providing financial products and services
    - 1. Describe how financial products and services are marketed, including utilizing community partnerships for outreach, loan packaging, or other activities (narrative);
    - 2. Describe the organization's capital structure for lending activities. Explain how the capital structure has changed over the past 3-5 years, what funds have been raised during that period, and how the capital structure is expected to change moving forward. Include a breakdown of the following:
      - a. total loan funds (including what amounts are from debt, grant funds, and earned income);
      - b. funds committed or deployed; and
      - c. funds available for lending.
    - 3. Provide business loan reports (Attachment I) *certified* by an organization officer, showing the following:
      - a. The number of business loan or applications received and the number approved, and the number and aggregate principal amount of business loans closed for the years 2014, 2015 and 2016;
      - b. The number and aggregate principal amount of business loans disbursed to M/WBEs and/or small businesses in 2014, 2015 and 2016;

- c. The number of business loans that were current in their repayments or were under 31 days past due, and the aggregate amount of principal outstanding for those loans, as of December 31, 2016;
  - d. The number of business loans with payments past due as of December 31, 2016, and the aggregate amount of principal outstanding for those loans, in the following categories: 31-60 days past due, 61-90 days past due, and 90+ days past due; and the total amount of principal outstanding for all three delinquency categories;
  - e. The Delinquency Ratio as of December 31, 2016 (the ratio of the principal outstanding for business loans or lines of credit with payments 31 days or more past due, divided by the total amount of business loan or principals outstanding);
  - f. The number of business loans and aggregate amount of business loan principal charged off in 2014, 2015 and 2016;
  - g. The number of business lines of credit and aggregate amount of business credit line principal charged off in 2014, 2015 and 2016;
  - h. The Net Loan Loss and Loss Ratios for 2014, 2015 and 2016 (net charge-offs of business loans during the year, divided by the total amount of business loan or credit line principals outstanding at year-end);
  - i. The Loan Loss Reserve and Loss Reserve Ratios as of December 31, 2016 (total business loan loss reserve divided by total business loan principal outstanding);
  - j. Capital Available as of December 31, 2016 (please include formula used):
    - i. Total Borrowed Capital, Equity and Equity Equivalents immediately available for lending;
    - ii. Total Committed Capital (Funds committed to your organization by an outside source that are available for lending but have not yet been drawn down. Such undrawn funds can consist of both debt and equity but excludes lines-of-credit. Attach a list of sources and amounts committed).
- f. Project Activities, Results, and Implementation
- i. Explain the need for this type of funding in terms of the applicant's overall supply and demand for loan capital, including a discussion of other sources of loan capital that is available to the applicant, as well as the ways in which the benefits of this funding will be passed along to M/WBEs and small businesses borrowers;
  - ii. Discuss the need and level of demand for these activities in the target area(s). Please include which other community development organizations serve the target area(s), how the applicant's services are unique, and how

- the applicant works with other community development organizations that serve the target community; and
- iii. Describe the ways, if any, that your organization's participation in MWRLTF will leverage other revenue sources.

C. Procurement Forms and Requirements

**a. Vendor Responsibility Questionnaire**

All respondents to this Request for Proposals 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 Request for Proposals, 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 Request for Proposals.

To assist in the determination of responsibility, ESD requires that all respondents to this Request for Proposals 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. 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)."

**b. Non-Discrimination and Contractor & Supplier Diversity Requirements**

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

**NEW YORK STATE LAW**

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

**Equal Employment Opportunity Requirements**

By submission of a bid or proposal in response to this solicitation, the respondent agrees with all of the terms and conditions of Form OCSD-1, MWBE Participation/EEO Policy Statement. 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 Form OCSD-1, MWBE Participation/EEO Policy Statement, to ESD with its bid or proposal.

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 MONTHLY/QUARTERLY basis during the term of the Contract.

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.**

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

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

For purposes of this procurement, ESD conducted a comprehensive search and determined that the Contract does not offer sufficient opportunities to set specific goals for participation by SDVOBs as subcontractors, service providers, and suppliers to Contractor. Nevertheless, Bidder/Contractor is encouraged to make good faith efforts to promote and assist in the participation of SDVOBs on the Contract for the provision of services and materials. The directory of New York State Certified SDVOBs can be viewed at: <http://ogs.ny.gov/Core/SDVOBA.asp> Bidder/Contractor is encouraged to contact the Office of General Services’ Division of Service-Disabled Veteran’s Business Development at 518-474-2015 or [VeteransDevelopment@ogs.ny.gov](mailto:VeteransDevelopment@ogs.ny.gov) to discuss methods of maximizing participation by SDVOBs on the Contract.

#### **c. New York State Prequalification System for Grants Contract Vendors**

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

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

#### Register with the Grants Gateway

- i. The Registration Form is available for download at [www.grantsreform.ny.gov](http://www.grantsreform.ny.gov). The Registration Form can be accessed by clicking the link at the top of the page in yellow labeled "Click HERE to access the Portal or browse for more information below".
- ii. Include your State Financial System ("SFS") Vendor ID on the Form; if you are a new vendor and do not have a SFS Vendor ID, include a Substitute for W-9 with your signed, notarized registration (also available from the Grants Reform Web site).
- iii. All registrations must include an Organization Chart in order to be processed.
- iv. Mail the completed Registration Form, Organization Chart that shows the Head of your Organization, and Substitute W-9 (if new vendor) to: Division of Budget - Grants Reform Agency Building 1 - 5th Floor Empire State Plaza, Albany, NY 12224
- v. When you receive your login information via email, log in and change your password. This password will allow access to the Grants Reform Web site.
- vi. Associate your organization with a State agency (ESD) by clicking on Organization(s) and then selecting Organization Information; complete all required fields.
- vii. Complete the Document Vault by uploading requested documents and answering all questions.
- viii. Upon completion of the Document Vault, submit it for review and prequalification.
- ix. If you believe your organization has submitted its Prequalification application and has submitted any requested documents omitted from your registration, please contact ESD's program representative or the Grants Reform Team by emailing [GrantsReform@Budget.ny.gov](mailto:GrantsReform@Budget.ny.gov) with Prequalification in the subject line.