



# Division of Science, Technology & Innovation

**A Division of Empire State Development**

## **Request for Proposals ESD 2018 Defense Diversification Assistance**

**Issued: August 10, 2018**

**Updated: March 2019**

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

### **PROPOSAL DUE DATES AND TIMES:**

**Stage I: April 1, 2019**

**Stage II: March 15, 2019**

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## I. INTRODUCTION

The mission of Empire State Development (“ESD”) is to promote a vigorous and growing state economy, encourage business investment and job creation, and support diverse, prosperous local economies across New York. Empire State Development's (ESD) Division of Science, Technology and Innovation (“NYSTAR”) offers programs that assist companies from start-up through maturity, leveraging the state's unparalleled investment in world-class technology assets and expertise. ESD seeks to award funding to Department of Defense focused companies or SBIR/STTR award winners that partner with a non-profit organization to undertake eligible manufacturing diversification efforts focused on commercializing new products or incorporating technology that will make them more resilient to fluctuations in defense spending, as well as, enable them to better serve the Department of Defense as needed.

## II. OVERVIEW

The New York State Urban Development Corporation d/b/a Empire State Development (“ESD”) has secured a federal award for an initiative to increase New York State companies’ competitiveness. Up to \$250,000 is available to fund projects assisting established and early stage defense industry companies with diversification, ultimately helping to ensure resilience to fluctuations in federal defense spending.

This funding was awarded to ESD through the Department of Defense Office of Economic Adjustment in an effort to offset the costs of diversification assistance projects for established and early stage companies, ultimately helping to ensure the resilience of the New York State warfighting supply chain to fluctuations in defense spending. This funding will be used to strengthen defense companies in New York to ensure they are able to survive decreases in defense spending and ensure their sustainability as both a commercial supplier and a Department of Defense supplier. This funding will focus primarily on commercializing or leveraging new products and/or technology that will help companies either break into new markets or increase their competitiveness in a non-DOD market, as well as, enable them to better serve the Department of Defense as a supplier with potential new/improved products or technology.

Up to a program total of \$250,000 will be available to Eligible Applicants for Eligible Projects. These grant funds are intended to assist such organizations in a two-stage approach.

**Stage I:** Up to 10 (ten) recipients will be selected for grants in Stage I. Individual grants may not exceed 80% of total project cost up to a maximum grant of \$20,000. The applicant cost share of at least 20% can be cash, in-kind, or a combination thereof.

Applicants that are awarded funds will have a maximum time frame of 2 (two) months from the start date to complete their Stage I projects to be considered eligible to enter into Stage II.

**Stage II:** Up to 3 (three) recipients will be selected for grants in Stage II. Only Stage I recipients will be eligible to apply for additional funding in Stage II in order to continue their projects and

receive an additional grant of \$50,000. Individual grants may not exceed 80% of total project cost up to a maximum grant of \$50,000. The applicant cost share of at least 20% can be cash, in-kind, or a combination thereof.

Applicants that are awarded funds will have a maximum time frame of 6 (six) months from the start date to complete their Stage II projects.

### **MWBE & SDVOB Subcontractor Interest**

New York State certified Minority- and Women-Owned Businesses (MWBEs) and Service Disabled Veteran Owned Businesses (SDVOBs) may request that their firm's contact information be included on a list of MWBE and SDVOB firms interested in serving as a subcontractor for this contract. The listing will be publicly posted on ESD's website for reference by the bidding community. A firm requesting inclusion on this list should send contact information and a copy of its NYS MWBE or SDVOB certification to [defense-industry-assistance@esd.ny.gov](mailto:defense-industry-assistance@esd.ny.gov).

### **Method of Disbursement**

Funds will be disbursed in arrears, at completion of the Stage I project and at the completion of the Stage II project. Payment will be made upon presentation to ESD of an invoice and such other documentation as ESD may reasonably require, including program reports. Prior to the disbursement of funds, the grant award is subject to ESD Board approval and execution of a Grant Disbursement Agreement.

### **III. SCOPE OF WORK**

Recipient will utilize this grant funding to offset a portion of the costs for diversification efforts in their Stage I and, if applicable, their Stage II projects.

Stage I- Diversification Planning and Strategy- project timeline limit of 2 (two) months, must start project with one month of award selection notification

Stage II- Diversification Implementation- project timeline limit of 6 (six) months and must be complete by October 1, 2019

### **IV. SCHEDULE OF DATES**

It is anticipated that recipients will be selected in response to this RFP based on the following schedule:

Release of RFP	August 10, 2018
Deadline for Submission of Questions	rolling
Announcement of Successful Applicants	Typically, within 2-4 weeks of submission deadline

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

## V. SELECTION CRITERIA

### Stage I:

Only Department of Defense focused companies with at least 10% revenue from the Department of Defense or that have received a Department of Defense SBIR/STTR award are eligible to apply. Applicants must partner with a non-profit organization with the ability to assist them in their diversification efforts. Complete applications will be reviewed based on the following criteria:

#### **Defense Company Experience and Qualifications (20 points)**

- Team qualifications and roles (10 points)
- Reliance on defend spending, often referred to in terms of revenue percentage (10 points)

#### **Non-Profit Experience and Qualifications (20 points)**

- Experience/Knowledge of the defense sector and the applicant's manufacturing industry, and the capability to perform business, manufacturing, and diversification assessments; including the ability to develop business plans and strategies either independently or in collaboration with other assets and resources (15 points)

#### **Project Plan and Approach (50 points)**

- Clearly describes how the organization plans to establish a diversification strategy (10 points)
- Demonstrates clear and measurable deliverables and anticipated completion dates. (10 points)
- Degree to which new markets are being focused on and the potential reach into those markets (10 points)
- Degree to which new products and/or technologies are being focused on (10 points)
- Degree to which this project will make the company a better supplier to DOD in the future (10 points)

#### **Fee Proposal and Budget (10 points)**

- Application clearly describes how funds will be used to offset the costs the project
- Appendix A- completed fee proposal and budget form

The top scored applications will be selected for funding.

## **Stage II:**

Only recipients of Stage I funding, as referenced in this RFP, who 1) continue to partner with a non-profit organization with the ability to assist them in their diversification efforts, and; 2) have completed their Stage I projects and submitted their final deliverable will be considered for continued funding. Complete applications will be reviewed based on the following criteria:

### **Defense Company Experience and Qualifications (20 points)**

- Team qualifications and roles (10 points)
- Reliance on defend spending, often referred to in terms of revenue percentage (10 points)

### **Non-Profit Experience and Qualifications (15 points)**

- Experience/Knowledge of the defense sector and the applicant's manufacturing industry, and the capability to perform business, manufacturing, and diversification implementations as it relates to the Stage II project; including the ability to perform such services either independently or in collaboration with other assets and resources (15 points)

### **Project Plan and Approach (50 points)**

- Clearly describes how the organization plans to implement their diversification strategy (10 points)
  - i. This should include the Stage I final deliverable
- Demonstrates clear and measurable deliverables and anticipated completion dates. (10 points)
- Degree to which new markets are being focused on and the potential reach into those markets (10 points)
- Degree to which new products and/or technologies are being focused on (10 points)
- Degree to which this project will make the company a better supplier to DOD in the future (10 points)

### **Fee Proposal and Budget (10 points)**

- Application clearly describes how funds will be used to offset the costs the project
- Appendix A- completed fee proposal and budget form

### **Diversity Practices (5 pts)**

- ESD's Office of Contractor and Supplier Diversity will score each application for Diversity practices using the attached Diversity Practices Scoring Matrix Appendix B. Up to 5 points will be awarded based upon the contents of the Diversity Practices Questionnaire Appendix C, submitted by each Respondent to the RFP

The top 1-3 (one-three) application scores will be selected for funding.

## **VI. SUBMISSION OF PROPOSALS**

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

### **i. Stage I Proposal**

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

- A. Defense Company Experience and Qualifications
- B. Non-Profit Experience and Qualifications
- C. Project Plan and Approach
- D. Fee Proposal and Budget

The purpose of the Proposal is for ESD to identify qualified recipients of grant funding.

#### **A. Defense Company Experience and Qualifications**

In this section of the Proposal, applicants should demonstrate that any internal and third party subcontracted staff working on the project have the knowledge and ability to perform the necessary tasks they have been assigned to. Applicants should also demonstrate how they meet the eligibility criteria as a defense focused company or SBIR/STTR award winner, showing to what extent the company relies on the department of defense spending for revenue.

- Include Resumes or Bios of staff - knowledge, experience and skills of the staff proposed to perform project tasks- limit 1 (one) page per resume or bio
- Explain the staff member roles in the project
- Explain how the company meets defense focused criteria and extent of reliance on defense spending

Information provided by references may be used for proposal evaluation purposes.

#### **B. Non-Profit Experience and Qualifications**

In this section of the Proposal, Applicants should demonstrate the non-profit organization’s relevant experience by providing the following:

- Description of access to appropriate data and/or resources
- Explanation of knowledge and experience in diversification strategy and planning, with an emphasis on working with defense related assessments and implementations
- Examples of similar projects

### C. Project Plan / Approach

In this section of the Proposal, Applicants should demonstrate their competence and capacity to undertake the proposed project by providing the following:

- Description of the proposed project
- Clear and measurable milestones and deliverables
- Planned use of third party subcontractor(s), if applicable
  - i. Provide a detailed plan identifying any and all subcontracting opportunities associated with this project
  - ii. Explain how Minority and Women-owned Business Enterprise (MWBE) and Service-Disabled Veteran-owned Business (SDVOB) businesses would be utilized.

### D. Fee Proposal and Budget

- Description of how and what funds will be spent on
- Completed Budget Form and Fee Proposal- See Appendix A
  - Only the attached Appendices will be accepted
- Eligible Costs Include:
  - Contractual costs (e.g. consultant fees);<sup>1</sup>
  - Personnel (e.g. salaries);<sup>2</sup>
  - Fringe Benefits (of no more than 20% of the associated personnel/salary cost);
  - Materials/Consumables; and
  - Other direct costs directly related to executing the defined project.<sup>3</sup>
- Ineligible Costs Include:
  - Equipment;
  - Overhead or administrative rate;
  - Indirect costs, that is, operational expenses that are not directly related to executing the project, for example office rent, utilities, non-project-specific personnel costs;
  - Food/beverage;
  - Basic/scientific research (as opposed to applied research);
  - Capital construction, rehabilitation, or renovation; and
  - Other costs not related to the purpose of this funding.

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<sup>1</sup> Many Empire State Development-supported innovation assets can assist with eligible project types. These include Centers for Advanced Technology, Centers of Excellence, New York Manufacturing Extension Partnership Centers, the New York State Science + Technology Law Center, Innovation Hot Spots, and Certified Business Incubators. For more information, visit <https://esd.ny.gov/doing-business-ny/innovation-development-support>

<sup>2</sup> Personnel costs may only be included for personnel directly involved in executing the project. In cases where the Applicant receives separate ESD funding for such personnel, the Applicant is advised to contact ESD in advance of responding to this RFP to discuss compliance with these guidelines.

<sup>3</sup> Other direct costs will be approved on an as needed basis, be sure to contact ESD prior to putting these into the budget to ensure eligibility

## Submission of a Complete Proposal- STAGE I

Firms submitting a proposal are indicating their acceptance of the conditions in this RFP. Each Applicant may submit only one proposal and adhere to the following conditions:

- All proposals should contain a header: **RFP – ESD 2018 Defense Diversification Assistance Stage I -Round [N] Proposal submitted by [Applicant's name]**
- Method of Submission:
  - Electronic submission may be sent to: [defense-industry-assistance@esd.ny.gov](mailto:defense-industry-assistance@esd.ny.gov) with a subject line of: **RFP: ESD 2018 Defense Diversification Assistance Stage I- Round [N]**
  - Physical submissions may be sent to:

Empire State Development  
Division of Science, Technology & Innovation  
625 Broadway  
Albany, NY 12207  
Attention: Deanine Lena  
RFP: ESD 2018 Defense Diversification Assistance Stage I

**Late proposals will not be considered for award.**

**ii. Stage II Proposal - TO BE SUBMITTED AFTER COMPLETION OF STAGE I PROJECTS**

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

- A. Defense Company Experience and Qualifications
- B. Non-Profit Experience and Qualifications
- C. Project Plan and Approach
- D. Fee Proposal and Budget
- E. Diversity Practices

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

**A. Defense Company Experience and Qualifications**

In this section of the Proposal, Applicants should demonstrate that any internal and third party subcontracted staff working on the project have the knowledge and ability to perform the necessary tasks they have been assigned to. Applicants should also demonstrate how they meet the eligibility criteria as a defense focused company or SBIR/STTR award winner, showing to what extent the company relies on the department of defense spending for revenue.

- Include Resumes or Bios of staff - knowledge, experience and skills of the staff proposed to perform project tasks- limit 1 (one) page per resume or bio
- Explain the staff member roles in the project
- Explain how the company meets defense focused criteria and extent of reliance on defense spending

Information provided by references may be used for proposal evaluation purposes.

**B. Non-Profit Experience and Qualifications**

In this section of the Proposal, Applicants should demonstrate the non-profit organization's relevant experience by providing the following:

- Description of access to appropriate data and/or resources
- Explanation of knowledge and experience in diversification projects with an emphasis on working with defense related companies/manufacturers
  - Examples of similar projects

**C. Project Plan / Approach**

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

- Description of the proposed project
  - i. This should include the final deliverable from the completed Stage I project
- Clear and measurable milestones and deliverables
- Planned use of third subcontractor(s), if applicable
  - i. Provide a detailed plan identifying any and all subcontracting opportunities associated with this project
  - ii. Explain how Minority and Women-owned Business Enterprise (MWBE) and Service-Disabled Veteran-owned Business (SDVOB) businesses would be utilized.

#### D. Fee Proposal and Budget

- Description of how and what funds will be spent on
- Completed Budget Form and Fee Proposal- See Appendix A
  - Only the attached Appendices will be accepted
- Eligible Costs Include:
  - Contractual costs (e.g. consultant fees);<sup>4</sup>
  - Personnel (e.g. salaries);<sup>5</sup>
  - Fringe Benefits (of no more than 20% of the associated personnel/salary cost);
  - Materials/Consumables; and
  - Other direct costs directly related to executing the defined project.<sup>6</sup>
- Ineligible Costs Include:
  - Overhead or administrative rate;
  - Equipment;
  - Indirect costs, that is, operational expenses that are not directly related to executing the project, for example office rent, utilities, non-project-specific personnel costs;
  - Food/beverage;
  - Basic/scientific research (as opposed to applied research);
  - Capital construction, rehabilitation, or renovation; and
  - Other costs not related to the purpose of this funding.

#### E. Diversity Practices

- Complete the Diversity Practices Questionnaire – See Appendix C
- Refer to Appendix B for the Diversity Practices Scoring Matrix

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<sup>4</sup> Many Empire State Development-supported innovation assets can assist with eligible project types. These include Centers for Advanced Technology, Centers of Excellence, New York Manufacturing Extension Partnership Centers, the New York State Science + Technology Law Center, Innovation Hot Spots, and Certified Business Incubators. For more information, visit <https://esd.ny.gov/doing-business-ny/innovation-development-support>

<sup>5</sup> Personnel costs may only be included for personnel directly involved in executing the project. In cases where the Applicant receives separate ESD funding for such personnel, the Applicant is advised to contact ESD in advance of responding to this RFP to discuss compliance with these guidelines.

<sup>6</sup> Other direct costs will be approved on an as needed basis, be sure to contact ESD prior to putting these into the budget to ensure eligibility

## **Submission of a Complete Proposal- STAGE II**

Firms submitting a proposal are indicating their acceptance of the conditions in this RFP. Each Applicant may submit only one proposal and adhere to the following conditions:

- All proposals should contain a header: **RFP – ESD 2018 Defense Diversification Assistance Stage II Proposal submitted by [Applicant's name]**
- Method of Submission:
  - Electronic submission may be sent to: [defense-industry-assistance@esd.ny.gov](mailto:defense-industry-assistance@esd.ny.gov) with a subject line of: **RFP: ESD 2018 Defense Diversification Assistance Stage II**
  - Physical submissions may be sent to:

Empire State Development  
Division of Science, Technology & Innovation  
625 Broadway  
Albany, NY 12207  
Attention: Deanine Lena  
RFP: ESD 2018 Defense Diversification Assistance Stage II

**Late proposals will not be considered for award.**

## VII. QUESTIONS

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

## VIII. GENERAL PROVISIONS

The issuance of this RFP and the submission of a response by a 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 RFP;
- ii. revise any requirement of this RFP;
- iii. require supplemental statements or information from any responsible party;
- iv. accept or reject any or all responses hereto;
- v. extend the deadline for submission of responses hereto;
- vi. negotiate potential grant disbursement terms with any Applicant;
- vii. communicate with any Applicant to correct and/or clarify responses which do not conform to the instructions contained herein;
- viii. cancel, or reissue in whole or in part, this RFP, if ESD determines in its sole discretion that it is in its best interest to do so; and
- ix. extend the term of any agreement on terms consistent with this RFP.

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

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

ESD reserves the right, in its sole discretion, to retain and use all the materials and information, and the ideas and suggestions therein, submitted in response to this solicitation (collectively, the "Response Information") for any purpose. By submitting a Proposal, each Applicant waives any and all claims against ESD relating to ESD's retention or use of the Response Information.

## **IX. CONTRACTUAL REQUIREMENTS**

This section contains additional information about the forms that are required to be included in each Applicant's submission pursuant to Section VI of this RFP.

### **i. Non-Discrimination and Contractor & Supplier Diversity Requirements**

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

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

#### **Business Participation Opportunities for MWBEs**

ESD's agency-wide utilization goal is 30 percent for MWBE participation, 15 percent for New York State-certified Minority-owned Business Enterprise ("MBE") participation and 15 percent for New York State-certified Women-owned Business Enterprise ("WBE") participation (based on the current availability of MBEs and WBEs). Any selected recipients resulting from this RFP ("Grantee") may be assigned an individual contract-specific goal, which may be higher or lower than 30%. In instances where goals are set, the Grantee must document its good faith efforts to provide meaningful participation by MWBEs as subcontractors and suppliers in the execution of the awarded grant. To that end, by submitting a response to this RFP, the respondent agrees that ESD may withhold payment pursuant to any grant awarded as a result of this RFP pending receipt of the required MWBE documentation. The directory of MWBEs can be viewed at: <https://ny.newnycontracts.com>. For guidance on how ESD will evaluate a Contractor's "good faith efforts," refer to 5 NYCRR § 142.8.

#### **Equal Employment Opportunity Requirements**

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.

#### **Diversity Practices**

ESD has determined, pursuant to New York State Executive Law Article 15-A, that the assessment of the diversity practices of Applicants is practical, feasible, and appropriate. Accordingly, Applicants shall be required to include as part of their response to this RFP the Diversity Practices Questionnaire. See Appendix C.

## **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 on public contracts by certified Service-Disabled Veteran-Owned Businesses (“SDVOB”), thereby further integrating such businesses into New York State’s economy. ESD recognizes the need to promote the employment of service-disabled veterans and to ensure that certified service-disabled veteran-owned businesses have opportunities for maximum feasible participation in the performance of ESD contracts, including grant awards.

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, Applicants are expected to consider SDVOBs in the fulfillment of the grant disbursement agreement. Such participation may be as subcontractors or suppliers, as protégés, or in other partnering or supporting roles.

### **ii. Not-For-Profit Organizations**

Applicants that are not-for-profit organizations must complete the following prior to ESD CEO approval and execution of a Grant Disbursement Agreement or Loan Agreement: 1) be prequalified in New York State Grants Gateway; 2) be registered and up-to-date with filings with the New York State Office of the Attorney General’s Charities Bureau; and 3) be registered and up-to-date with the New York State Office of the State Comptroller’s VendRep System. More information on these items is below.

#### **New York State Grants Gateway**

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 to improve the way grants are administered by the State of New York. Grants Gateway also offers not-for-profit organizations a portal to search for available and anticipated grant opportunities, download grant opportunities, and register to receive email notifications when specific types of grant opportunities are posted. All not-for-profit organizations receiving funds from ESD must be prequalified in Grants Gateway prior to ESD Directors’ approval and the execution of a Grant Disbursement Agreement or Loan Agreement.

#### ***Grants Gateway Prequalification Process***

##### **1. Register with the Grants Gateway**

- 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”.
- Include your State Financial System (“SFS”) Vendor ID on the Form; if you are a new vendor and do not have a SFS Vendor ID, include a Substitute for W-9 with your signed, notarized registration (also available from the Grants Reform Web site).
- All registrations must include an Organization Chart in order to be processed.

- Mail the completed Registration Form, Organization Chart that shows the Head of your Organization, and Substitute W-9 (if new vendor) to:  
**NYS Grants Reform**  
**99 Washington Avenue**  
**Room 1530**  
**Albany, NY 12210-2814**
- 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.

2. **Associate your organization with a State agency (ESD)** by clicking on Organization(s) and then selecting Organization Information; complete all required fields.

If you have questions about the Prequalification application, please contact ESD's program representative, Greta Carter-Williams, at [greta.williams@esd.ny.gov](mailto:greta.williams@esd.ny.gov) or the Grants Reform Team by emailing [GrantsReform@Budget.ny.gov](mailto:GrantsReform@Budget.ny.gov) with "Prequalification" in the subject line.

### **Attorney General's Charities Bureau and State Comptroller's VendRep System**

Prior to ESD Directors' approval and execution of a Grant Disbursement Agreement or Loan Agreement, not-for-profit organizations must be registered and up-to-date with its filings with the New York State Office of the Attorney General's Charities Bureau ("OAG") and the New York State Office of the State Comptroller's VendRep System ("OSC"). Information on registration is below.

#### **OSC**

E-mail: [ciohelpdesk@osc.state.ny.us](mailto:ciohelpdesk@osc.state.ny.us)

Phone: Toll free: (866) 370-4672

Locally within the Albany NY area: (518) 408-4672

[http://www.osc.state.ny.us/vendrep/info\\_vrsystem\\_vendor.htm](http://www.osc.state.ny.us/vendrep/info_vrsystem_vendor.htm)

#### **OAG**

E-mail: [charities.bureau@ag.ny.gov](mailto:charities.bureau@ag.ny.gov)

Phone: (212) 416-8401

<http://www.charitiesnys.com/home.jsp>

## **APPENDICES**

**Appendix A - Budget and Fee Proposal Form**

**Appendix B - Diversity Practices Scoring Matrix**

**Appendix C - Diversity Practices Questionnaire**