

**NEW YORK STATE URBAN DEVELOPMENT CORPORATION  
d/b/a Empire State Development**



**2016-2017  
Request for Proposals**

**New York State  
Entrepreneurial Assistance Program  
Request for Proposals in:**

**The Bronx  
and  
Queens (Corona/Jamaica)**

**PROPOSAL DUE DATE AND TIME: June 22, 2016 at 4:00PM  
(Late proposals cannot be accepted)**

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## **BACKGROUND**

### **I. Introduction**

Empire State Development (“ESD”) request proposals for grant funding to be made available from its Entrepreneurial Assistance Program (“EAP”) for entrepreneurial assistance program centers (“EAP Centers”). ESD will award a grant to not-for-profit corporations, community colleges and boards of cooperative educational services (“BOCES”) pursuant to the procedures set forth below.

### **II. Purpose**

The Omnibus Economic Development Law of 1987 authorizes ESD, through the EAP, to issue contracts to not-for-profit corporations, community colleges and BOCES for the development of community-based EAP Centers. The Centers provide intensive assistance in enterprise development to minority group members, women, dislocated workers and individuals with special needs:

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

EAP Centers provide comprehensive counseling and training assistance to a relatively small number of clients (40 - 80 during a one-year period). The emphasis is on: developing lasting business and problem-solving skills so that minority, women and individuals with special needs learn to independently and successfully manage and grow their businesses; and generate concrete results related specifically to business creation, increased sales, expanded employment, and financing secured.

These Centers are operated by community-based organizations with close ties to local residents, which enable them to adapt services to local needs and demands.

### **III. Guidelines**

#### **A. Eligibility Requirements**

##### *1. Projects*

ESD seeks proposals for the creation and operation of EAP Centers, which will have the following effects in the community in which it will be located:

- increase business ownership among minority group members, women and veterans;
- help minorities, women-owned and veteran startups make the transition into small-growth companies;
- increase access to financing by minorities, women and veteran owned firms;
- significantly-expand sales among minority, women and veteran owned firms; and
- creation of private sector jobs.

An EAP Center proposed hereunder must provide the following program services:

- A. Enterprise Formation Assistance: One 60-hour entrepreneurship supplemented by a minimum of 10 hours of intensive technical assistance to help new entrepreneurs complete business plans and to help them develop a viable business. Technical assistance should encompass refinement of business concept, break-even analysis and financial management, as well as marketing plans and market development.
- B. Enterprise Expansion Assistance: Centers shall maintain ongoing relationships with clients who have taken the entrepreneurship course in order to assist those new businesses to become small-growth companies and to become certified with the Division of Minority and Women's Business Development. Enterprise expansion technical assistance shall include, but is not limited, to the following: working capital and cash flow management, general management skills, new market development, hiring and managing employees, managing growth, and accessing credit and capital.

In addition to the above EAP also supports the following special initiatives:

1. Department of State ("DOS") - New York State Office of New Americans ("ONA") - The ONA helps New Americans fully participate in New York State civic and economic life. NYS is committed to strengthening New York State's welcoming environment for New Americans and facilitating their success. For more detailed information on the Office of New Americans please go to <http://www.newamericans.ny.gov/about/about.html>.

As part of this collaboration with DOS and ONA, EAP Centers will provide ONA staff with basic guidance on how to screen clients for entrepreneurial potential which includes but is not limited to:

- Client skill sets and past employment;
- Access to capital (minimum usually 20% of targeted business capitalization);
- Capacity to register and own a business;
- Personal motivation, ability to self-direct activities, market potential; and
- Personal/financial background factors relevant to starting a business.

EAP will also teach an introductory business seminar an average of two (2) times a year at each ONA Opportunity Center assigned (average ONA assigned is one).

Provision of the above-listed ONA services is estimated to cost no more than \$750 per ONA Opportunity Center, inclusive of, but not limited to: materials; transportation/travel of instructors; after-hours stipends, etc.

2. Veteran Entrepreneurship Services - EAP provides entrepreneurship services to veterans interested in starting a business or expanding an existing business which includes but is not limited to: (1) Counseling on the feasibility of starting a business; (2) Education in established management principles and practices; (3) Access to veteran business support networks; and (4) Ongoing and continued technical assistance. EAP Centers have also formed linkages with many different veteran organizations, support groups, hospitals and agencies across the state.

3. NYS Business Mentorship Program

Business Mentor NY is the state's first, large scale, hands-on mentoring program geared to help all entrepreneurs and small business owners. The program allows small business to view and search profiles of over 500 experts in various fields, to find a volunteer mentor to help solve problems and grow their business. Small business owners and entrepreneurs find mentors in three easy steps—1) Create a profile; 2) Browse mentoring profiles; and 3) Reach out to mentors. The Business Mentor NY network includes lawyers, accountants, business consultants, and successful entrepreneurs in various fields who are volunteering their time to help businesses with everything from reviewing insurance policies to managing cash flow. To learn more about Business Mentor NY please go to <http://businessmentor.ny.gov/>.

## 2. Organizations and Project Areas

The following types of organizations are eligible to apply:

- a not-for-profit corporation, operated by a board of directors representing community leaders in business, education, finance and government;
- a community college or university; or
- a Board of Cooperative Educational Services.

Projects proposed must serve the entirety of each of the areas listed below:

- The Bronx
- Queens (Corona/Jamaica)

In addition, the applicant organization must be located in an area accessible to minority group members, women and other target populations.

ESD encourages proposals which are joint ventures between community-based organizations, local government, private and public lenders, and other service providers in the region.

### 3. Performance Goals and Timeline

EAP funding is administered through a performance-based contracting system that is designed to generate measurable concrete results in business creation, sales increases, increased access to financing, and job creation. The project work-plan detailing the Centers major activities is outlined in the attached Tasks and Timeline (*Appendix A*). EAP minimum performance standards are listed in *Appendix B*. EAP Centers are expected to meet or exceed these requirements within the contract year.

### 4. Reporting Requirements

Grantees awarded under this RFP must prepare and submit progress and financial reports. Reports shall be in a form provided by ESD and shall contain information on, but not limited to, the following:

- *Program Narrative* -- A program narrative between 5-10 pages is required, this does not include attachments and other required back-up documentation. The narrative, (not a list of activities or itinerary) should discuss and highlight the activities initiated or performed in the areas below and in the *Appendix A* Tasks and Timeline on pages 10-18 included in this application. Furthermore, it should clearly state what impact these activities had on the overall operations of the program and/or impacts on customers.
- *Affirmative Action Commitment* -- The applicant's documented commitment to affirmative action principles as outlined in Item V page 7 Non-Discrimination and Contractor & Supplier Diversity is required.
- *Outreach to the Target Market Populations* – Describe outreach activities during the report period to alert minority group members and women to the services of the program. Provide copies of letters, articles, brochures, advertisements and other promotional materials.
- *Program Accomplishments* – Provide quantitative and qualitative information on program progress and accomplishments during the reporting period.
- *Client Narrative* – Discuss and/or highlight on-going services provided to specific clients (i.e., business plan development in process, special technical assistance being provided).
- *Quarterly Client Statistical Report* -- Use EAP on-line database (instructions will be provided under separate cover).

- *Coordination and Operational Linkages with Other Sources of Business Assistance* – Describe efforts to coordinate and establish linkages with other organizations, public and private, to serve minority group members and women that are seeking to start businesses or are in the early stages of business development or are looking to expand an existing business. Identify organizations and summarize nature of coordination of linkages.
- *Advisory Group Activity* – Describe assistance to EAP clients and/or the program, include any problems encountered or barriers to implementation experienced in attempting to carry out program goals and objectives.
- *Program Modifications/Work Plan Changes* – Describe any needed program or work plan modifications. (All modifications/changes must be made in writing and must be approved by ESD prior to implementation.)
- *Success Stories (with photographs, if available)* – Submit at least two (2) success stories on organizational letterhead, with client consent forms.
- *Business Plans* – Submit completed business plans for EAP enrollees with the final narrative report.
- *Program Offerings* -- Provide narrative information on training programs, seminars, special activities, etc. (including upcoming events and new training materials).
- *Supportive Documents* -- Upon request, submit copies of attendance sheets and program or trainer evaluation forms.

EAP Centers shall report tracked information regarding these clients in aggregate. This information includes, but is not limited to:

- Number of clients who started new businesses or expanded existing businesses;
- Number of jobs created and retained by these new businesses or expanded businesses and the industry sector in which they work;
- List of the top ten areas of inquiry from potential entrepreneurs;
- Number of clients who received additional support, the type of support they receive (EAP classes, Business Mentor NY, etc.), and the number of hours those services were provided; and
- Amount of funds invested in the new or expanded business.

The EAP Center shall maintain documentation of progress related to each of the objectives listed above and submit quarterly reports as outlined in the Tasks and Timeline on pages 10-18 in this application.

## 5. Program Monitoring and Evaluation

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

- Create, maintain and update client files and include documentation of all services and activities provided to each EAP participant. Client files should consist of, but not be limited to, the following:
  - Intake, update and exit forms;
  - Technical Assistance Tracking Forms;
  - Evaluation Forms; and
  - Other client forms/information (i.e. training, graduation, assessments, surveys, success stories, work plans, etc.);
- Maintain EAP on-line client database; and
- Track the progress of each client throughout the duration of the project and after, if applicable.

Each grantee using the EAP online database will complete a *Program Intake Form*, *Program Update/Exit Form(s)*, and *Client Technical Assistance Logs* for each person accepted into the program. *Program Intake Forms* must be signed and dated by the EAP client and submitted with final reports. *Client Technical Assistance Logs* must be signed and dated by EAP Director, Counselor or authorized staff member. Information collected on these forms will be used to measure the impact of the program on individual clients and their businesses. Information collected will be kept confidential and will be used only for statistical purposes and ESD program staff to verify compliance with project goals. Copies of the forms and additional information on reporting will be provided to all awardees.

## IV. Funding

ESD intends to award two (2) grants, but reserves the right, in the exercise of its sole discretion, not to award any grant based upon responses received to this RFP or for any other reason.

The selected applicant will receive a grant of up to \$61,250 contingent upon the availability of funds and approval from the Division of Budget. As a condition of an EAP contract, an applicant must contribute an amount equal to 100% of the amount of funding provided by ESD. This matching contribution shall come from non-State sources and may not include enrollment fees. Fifty percent (50%) of the match must be cash. Future financial support will depend on the center's performance, its adherence to contract terms, and the

availability of funds. Under this performance-based system, the following procedures will be implemented:

- Centers eligibility will be evaluated throughout the contract year on its overall year-to-date performance in fulfilling program objectives and in meeting projected service outcomes. Based upon the center's performance, the availability of funds and adherence to contract terms, ESD will negotiate subsequent program and budget funding with the center. Centers that do not meet contract goal requirements for two (2) consecutive years may not be re-funded.

This Program is funded through ESD's Entrepreneurial Assistance Program (EAP) and projects must therefore conform to the regulations of the EAP Program. The grant is to be used only for the purposes stated in the organization's application or otherwise approved, in writing, by ESD.

#### V. Non-Discrimination and Contractor & Supplier Diversity

### **CONTRACTOR REQUIREMENTS AND PROCEDURES FOR BUSINESS PARTICIPATION OPPURTUNITIES FOR NEW YORK STATE CERTIFIED MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES AND EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORTY 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 and the employment of minority group members and women in the performance of ESD's contracts.

In 2006, the State of New York commissioned a disparity study to evaluate whether minority and women-owned business enterprises had a full and fair opportunity to participate in state contracting. The findings of the study were published on April 29, 2010, under the title "The State of Minority and Women-Owned Business Enterprises: Evidence from New York" ("Disparity Study"). The report found evidence of statistically significant disparities between the level of participation of minority and women-owned business enterprises ("MWBE") in state procurement contracting versus the number of MWBEs that were ready, willing and able to participate in state procurements. As a result of these findings, the Disparity Study made recommendations concerning the implementation and operation of the statewide certified minority- and women-owned business enterprises program. The recommendations from the Disparity Study culminated in the enactment and the implementation of New York State Executive Law Article 15-A, which requires, among other things, that ESD establishes goals for maximum feasible participation of New York State Certified MWBEs and the employment of minority groups members and women in the performance of New York State contracts.

## **Equal Employment Opportunity Requirements**

By submission of a bid or proposal in response to this solicitation, the Bidder/Contractor agrees with all of the terms and conditions of Schedule A – Standard Clauses for All New York State Contracts including Clause 12 - Equal Employment Opportunities for Minorities and Women. The Contractor is required to ensure that it and any subcontractors awarded a subcontract over \$25,000 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 Contractor, 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 Bidder will be required to submit a Minority and Women-Owned Business Enterprises and Equal Employment Opportunity Policy Statement, Form OCSD-1 (available at [http://esd.ny.gov/CorporateInformation/Data/RFPs/OCSD\\_1MWBEEEOPolicyStatement.pdf](http://esd.ny.gov/CorporateInformation/Data/RFPs/OCSD_1MWBEEEOPolicyStatement.pdf)), to ESD with their bid or proposal.

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 subcontractors 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.

## **CONTRACTOR REQUIREMENTS AND PROCEDURES FOR BUSINESS PARTICIPATION OPPURTUNITIES FOR SERVICE-DISABLED VETERAN-OWNED BUSINESSES**

### **NEW YORK STATE LAW**

Article 17-B of the Executive Law enacted in 2014 acknowledges that Service-Disabled Veteran-Owned Businesses (SDVOBs) strongly contribute to the economies of the State and the nation. As defenders of our nation and in recognition of their economic activity in doing business in New York State, respondents for this contract for commodities, services or technology are strongly encouraged and expected to consider SDVOBs in the fulfillment of the requirements of the contract. Such partnering may be as subcontractors, suppliers, protégés or other supporting roles. SDVOBs can be readily identified on the directory of certified businesses at: [http://ogs.ny.gov/Core/docs/CertifiedNYS\\_SDVOB.pdf](http://ogs.ny.gov/Core/docs/CertifiedNYS_SDVOB.pdf).

Respondents need to be aware that they will be strongly encouraged to the maximum extent practical and consistent with legal requirements of the State Finance Law and the Executive

Law to use responsible and responsive SDVOBs in purchasing and utilizing commodities, services and technology that are of equal quality and functionality to those that may be obtained from non-SDVOBs. Furthermore, Respondents are reminded that they must continue to utilize small, minority and women-owned businesses consistent with current State law.

A copy of each Respondent's SDVOB Contract Performance Use form proposing specific certified firms to be utilized or industries where SDVOB firms shall be sought is available at: <http://esd.ny.gov/CorporateInformation/Data/RFPs/SDVOBContractPerformanceUse.pdf>

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

#### VI. Evaluation and Selection Criteria

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

- the applicant's understanding of program goals and objectives as outlined in the request for proposals;
- the need for and anticipated impact of the proposed EAP Center on the community in which it will function and the expected outcomes of the program;
- the qualifications and experience of staff of the proposed EAP Center;
- the extent to which the applicant has experience providing business management and technical assistance to clients;
- The applicant's financial wherewithal to operate and perform according to the EAP Guidelines;
- the extent to which the applicant has been effective in assisting in creating new enterprises and expanding struggling businesses in the target area;
- the extent to which the applicant has been effective in assisting clients to access capital;
- the extent of economic distress in the area(s) to be served;
- the applicant's knowledge of existing resources and service gaps in the community and its ability to coordinate services with existing sources of new and small business assistance in the community and region;

- the level of participation in the proposed EAP Center of local leaders in post-secondary education, business, finance and government;
- the level of financial and other assistance provided at the State, federal and local levels, including private resources, to support the operations of the proposed EAP center;
- the ability of the applicant to meet EAP Guidelines and requirements as outlined in the Tasks and Timelines, pages 10-18;
- the plans of the proposed EAP Center to supplement State, federal and local funding through fees for services which may be on a sliding scale based on clients ability to pay; and
- the applicant's documented commitment to Non-Discrimination Contractor & Supplier Diversity as noted in Item V page 7 of this RFP.

#### VII. Definitions

- *Clients Enrolled* – Individuals that have enrolled in the program during the respective quarter, and fit into one of the following categories:
  1. Client requires extensive training, technical assistance and related services in business plan development and/or improved business skills. (This client registers and pays for the EAP components, which includes 60-hours of classroom training and at least 10-hours of extensive technical assistance and related services.)

**OR**

  2. Client that requires extensive one-on-one individual attention in specific area(s) i.e.: financial packaging, accounting, marketing, etc. (This client registers and pays for the EAP technical assistance, which includes a minimum of 10-hours or extensive technical assistance and related services.)
- *Start-up* – A business that has no prior history or legal documentation and/or has been in existence for less than one year.
- *Existing Business* – A business that has been in operation for one or more years and is legally documented as a formal business, e.g., DBA, filed tax forms, LLC, etc.
- *Prior Clients Serviced* – Those clients that were enrolled in the EAP during a *past* contract year and require additional services in the *current* contract year.

- *Business Started* – Legally formalized company as a result of EAP training and/or assistance and made at least \$1.00 or more in sales.
- *Business Retained* – As a result of EAP assistance a business avoided failure. This would mean meaningful, in-depth assistance on the part of the EAP center, at a minimum the client received at least 10 hours of staff service.
- *Existing and Start-up Businesses w/Increased Sales* – The number of companies that increased sales in the reporting quarter.
- *Dollar Amount of Increased Sales (Existing and Start up)* – Dollar amount of increased sales reported by the businesses for the reporting quarter.
- *Existing and Start-up Businesses w/Increased Employment* – The number of businesses that hired new employees in the reporting quarter/year.
- *Increased Employees* – The number of employees hired by existing and start-up businesses in the reporting quarter/year. Two part-time employees equate to one full time employee. Enter part time employees as .50.
- *Number of Firms with Retained Employment* – Firms that without EAP center assistance would not have been able to retain current employment.
- *Number of Retained Employees* – Employees that were retained due to assistance from EAP center.
- *Number of Financial Packages Developed* – Packages developed with the assistance of the EAP staff and submitted to a micro-loan fund or a financial institution in the reporting quarter.
- *Number of Financial Packages Secured* – Number of packages (loans/grants) approved by a micro-lender or financial institution in the reporting quarter.
- *Dollar Amount of Financial Packages Secured* – Dollar amount of financing secured in the reporting quarter.
- *Business Plan* – A business plan is a written description of a client’s business. It’s a document that describes what the client plans to do and how they plan to do it. It is a program requirement that each new enrollment complete a working business plan by the end of the contract year with the assistance of the EAP center. In some instances finalizing a business plan may continue into the next contract year, this should be noted in the client narrative and the business plan completed as soon as possible.
- *Client Advisory Group* – a group of advisors that can play a key role in the day to day operations of an EAP center. The group can offer information and/or guidance to EAP clients but also to EAP center staff. The Group should consist of experts and

professionals from all areas including government, banking, legal, accounting, marketing, advertising, other small business owners as well as former EAP clients.

- *Grant Disbursement Agreement (“GDA”)* -- A formal agreement or contract that is made on the terms and by the parties listed and relates to the Project described in the Directors' Materials and includes all exhibits, requirements, attachments and related documentation for contract compliance.
- *Annual Goal* – The numeric outcomes established for the contract year and made part of the grant disbursement agreement. Reported data is measured against the goals established to determine results to date. The statistical data is not the exclusive benchmark used in determining a center’s performance.
- *Verification Process* – Director and/or Project Associate may contact clients to verify satisfaction of services and/or business impacts reported by each. This is a random sampling.
- *Veteran* - A veteran is defined by federal law, moral code and military service as "Any, Any, Any"... A military veteran is Any person who served for Any length of time in Any military service branch.<sup>1</sup>
- *War Veteran* - A war veteran is any GI (Government Issue) ordered to foreign soil or waters to participate in direct or support activity against an enemy. The operant condition: Any GI sent in harm's way.<sup>2</sup>
- *Combat Veteran* - A combat veteran is any GI who experiences any level of hostility for any duration resulting from offensive, defensive or friendly fire military action involving a real or perceived enemy in any foreign theater.<sup>3</sup>
- *Minority Group Member* - Shall mean a United States citizen or permanent resident alien who is and can demonstrate membership in one of the following groups: (1) Black persons having origins in any of the Black African racial groups; (2) Hispanic persons of Mexican, Puerto Rican, Dominican, Cuban, Central or South American descent of either Indian or Hispanic origin, regardless of race; (3) Asian and Pacific Islander persons having origins in any of the Far East countries, South East Asia, the Indian subcontinent or the Pacific Islands; and (4) Native American or Alaskan native persons having origins in any of the original peoples of North America.

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<sup>1</sup> American War Library, (cited September 11, 1015) Online:  
<http://www.amervets.com/replacement/other.htm>

<sup>2</sup> American War Library, (cited September 11, 1015) Online:  
<http://www.amervets.com/replacement/other.htm>

<sup>3</sup> Ibid

- *MWBE Certification* - The minority and women-owned business program is designed to assist the growth and development of businesses owned and controlled by women and members of minority groups. An important activity of the program is to increase the participation of those businesses in the procurement activities of New York State.
  - To be eligible a firm must obtain its certification through New York State's Division of Minority and Women Business Development by successfully demonstrate the following:
  - All firms seeking MBE or WBE certification must be owned, operated and controlled by minority members and/or women.
  - The ownership must be real, substantial and continuing, and the minority members and/or women must exercise the authority to independently control the day-to-day business decisions.
  - In addition each minority or woman who has an ownership interest in the firm must have a net worth which does not exceed 3.5 million dollars. This calculation should not include the ownership interest in the applicant firm, the primary residence of the owner(s), and \$500 thousand of present cash value of any qualified retirement savings plan, or individual retirement account held by the individual less any penalties for early withdrawal.
  - The firm cannot exceed 300 employees, must be independent and authorized to do business in New York State. Generally, the business must be in operation for at least one year.
- *Office of New Americans* – In 2013, New York Governor Andrew M. Cuomo established the Office for New Americans (ONA) in to assist newcomers to New York State who are eager to contribute to our economy and become part of the family of New York State. For more detailed information on the Office of New Americans please go to <http://www.newamericans.ny.gov/about/about.html>.
- *NYS Business Mentorship Program - Business Mentor NY* is the state's first, large scale, hands-on mentoring program geared to help all entrepreneurs and small business owners. The program allows small business to view and search profiles of over 500 experts in various fields, to find a volunteer mentor to help solve problems and grow their business. Small business owners and entrepreneurs find mentors in three easy steps—1) create a profile; 2) browse mentoring profiles; and 3) reach out to mentors. The *Business Mentor NY* network includes lawyers, accountants, business consultants, and successful entrepreneurs in various fields who are volunteering their time to help businesses with everything from reviewing insurance policies to managing cash flow. To learn more about Business Mentor NY please go to <http://businessmentor.ny.gov/>.

VIII. Submission of Proposals and Inquiries

Complete the request for proposals (“RFP”) and submit one original, six hard copies and one electronic copy (on a flash device or CD) no later than June 22, 2016 at 4:00 p.m. to:

Edgar Camacho  
Contracts and Procurement Specialist, Contract Administration  
Empire State Development  
633 Third Avenue, 35<sup>th</sup> Floor  
New York, NY 10017  
Attn: ESD Entrepreneurial Assistance Program 2016 RFP

Please submit questions and/or inquiries by E-mail to [eap2015rfp@esd.ny.gov](mailto:eap2015rfp@esd.ny.gov) no later than June 7, 2016.

IX. Schedule of Dates

<b>Activity</b>	<b>Date</b>
• Release of RFP	June 1, 2016
• Deadline for Submission of Questions	June 7, 2016
• Deadline for ESD to Respond to Questions	June 14, 2016
• Will there be a pre-bid meeting?	No
• Submission of Proposals	June 22, 2016 / 4:00PM
• Anticipated Start Date	August 1, 2016 (Pending July 2016 board approval and availability of funds)

X. Miscellaneous Conditions

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

- amend, modify or withdraw this RFP;
- revise any requirement of this RFP;
- require supplemental statements or information from any responsible party;
- accept or reject any or all responses hereto;
- extend the deadline for submission of responses hereto;
- negotiate or hold discussions with any firm and to correct deficient responses which do not conform to the instructions contained herein;
- cancel, or reissue in whole or in part, this RFP, if ESD determines in its sole discretion that it is its best interest to do so; and
- 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 responding firm.

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, all 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, without liability, to utilize any or all of the RFP responses, including late responses, in its planning efforts. ESD reserves the right to retain and use all the materials and information, and any ideas or suggestions therein, submitted in response to this RFP (collectively, the "Response Information") for any purpose. By submitting a Response, each Respondent waives any and all claims against ESD relating to ESD's retention or use of the Response Information.

#### XI. Required Documentation

##### 1. *Vendor Responsibility*

**ESD encourages vendors to register in the State's Vendor Responsibility System (VendRep System).** The VendRep 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. Vendors are invited to file the required Vendor Responsibility Questionnaire online via the New York State VendRep System or may choose to complete and submit a paper questionnaire. To enroll in and use the New York State VendRep System, see the VendRep System Instructions available at [www.osc.state.ny.us/vendrep](http://www.osc.state.ny.us/vendrep) or go directly to the VendRep system online at <https://portal.osc.state.ny.us>. For direct VendRep System user assistance, the OSC 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).

Vendors opting to file a paper questionnaire can obtain the appropriate questionnaire from the VendRep 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.

##### 2. *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 [greta.williams@esd.ny.gov](mailto:greta.williams@esd.ny.gov) or email [GrantsReform@Budget.ny.gov](mailto:GrantsReform@Budget.ny.gov) with Prequalification in the subject line.

### 3. *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:

**Division of Budget - Grants Reform  
Agency Building 1 - 5th Floor  
Empire State Plaza, Albany, NY 12224**

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

#### 4. *Insurance Requirements*

The selected Consultant will be required to provide the following insurance (at a minimum and to the extent applicable):

- Commercial General Liability of \$1 million per occurrence and \$2 million in the aggregate;
- In the event that you are using a vehicle in business, Commercial Automobile insurance with a limit of not less than \$1 million
- Evidence of Workers Compensation/Employer's Liability insurance at State statutory limits
- Disability insurance coverage at State statutory limits NYS Urban Development Corporation d/b/a Empire State Development (ESD) must be named as additional insured on a primary and non-contributory basis on all of the following policies: Commercial General Liability and Auto Liability.

**EXHIBIT A: COVER PAGE**

*Please provide all requested information*

**NYS ENTREPRENEURIAL ASSISTANCE PROGRAM**

Legal Name of Applicant (include d/b/a):

Street Address (not P.O. Box):

City: State: Zip: County:

Phone: Fax: Website: e-mail:

Executive Director/President:

Contact name, title, telephone number and E-Mail address for this proposal:

Contact name, title, telephone number and E-mail address for small business referrals:

\_\_\_\_\_  
NYS Senator: District #      \_\_\_\_\_  
NYS Senator: District #

\_\_\_\_\_  
NYS Assemblyperson District #      \_\_\_\_\_  
NYS Assemblyperson District #

Federal taxpayer I.D./Charity Reg. # (non-profits only):

NYS State Unemployment Insurance Tax Number:

Parent Organization Name (if applicable):

Street Address (not P.O. Box):

City: State: Zip: County:

Is the organization currently seeking any other New York State assistance?      Yes  No

Has the organization applied for or received prior New York State funding in the last five years? Yes  No

If the answer to any of the above questions is "Yes", attach a page to this sheet and describe each project, including dates, purpose, type and amount of funding requested/provided, and identify the agency, including ESD, from which funding was or is being sought.

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

Organization Name: _____	Page(s)
• Exhibit A: Cover Page –all sections completed	18
• Exhibit B: EAP Proposal Checklist	19
• Exhibit C: Submission Requirements/Application Guidelines (Proposal Narrative). Please submit a complete proposal narrative, be sure to reference all relevant sections of this RFP including but not limited to the Submission Requirements, Tasks and Timeline, Program Goals, Evaluation and Selection Criteria. Please also include a table of contents.	20-22
• Exhibit C-1 (via E-mail): Proposed Project Budget (See Exhibit C-2 Matching Funds Description); and Project Budget narrative (via E-mail)	23-25
<b>Additional Requirements and Attachments</b>	
• Copy of Certificate of Incorporation	<input type="checkbox"/>
• Provide previous three years of audited financial records/tax returns.	<input type="checkbox"/>
• Copies of financing commitments which include award and support letters and other letters of reference to demonstrate that all other required funding will be available for EAP operations. In addition to the above, all organizations must provide a commitment letter which outlines the amounts, sources of funding and the organizations commitment to provide matching funds.	<input type="checkbox"/>
• List of Board of Directors	<input type="checkbox"/>
• List of Client Advisory Members	<input type="checkbox"/>
• Copies of job descriptions and resumes for project director, staff, counselors/consultants	<input type="checkbox"/>
• You have included the plan to incorporate NxLevel® Education in the narrative section of this application. See pages 20-21 and 45-47 for more on NxLevel requirement.	<input type="checkbox"/>
• Vendor Responsibility (See page 15, Item #1 - XI Required Documents)	<input type="checkbox"/>
• New York State Prequalification System for Grants Contract Vendors (See page 15, Item #2 - XI Required Documents)	<input type="checkbox"/>
• Register With The Grants Gateway (See pages 16, Item #3 - XI Required Documents)	<input type="checkbox"/>
• Insurance Requirements (See page 17, Item #4 - XI Required Documents)	<input type="checkbox"/>

## **EXHIBIT C: SUBMISSION REQUIREMENTS**

### *ESD ENTREPRENEURIAL ASSISTANCE PROGRAM*

#### **Application Guidelines**

Responses to this Request for Proposals should be double spaced, between 10-15 pages (not including attachments) with a numbered table of contents, and should include the following:

- 1) Organization Information
  - a. The organization's mission and history of providing business training, technical and financial assistance.
  - b. The organization's contributions to the microenterprise development field.
  - c. A description of the area in which the EAP center is located, including statistics demonstrating that the target area can be classified as "economically distressed".
  - d. Statement of Need - Include evidence that ESD assistance is needed to subsidize, encourage, or leverage private investment.
- 2) Project Implementation, Training, Technical Assistance and Results
  - a. A general description of the proposed project.
  - b. A description of the 60-hour entrepreneurship training, including but not limited to a syllabus and training manual, specific strategies for facilitating business skills development among EAP participants, competencies that EAP students shall develop as a result of this training, and proposed trainers.
  - c. *NxLevel®Education* business training products have been designated the basic training curricula for the EAP Network of business service providers and must be incorporated into your business training program. The goal here is to institute consistency and quality across the network of EAP business service providers.
    - i. Since 1994, NxLevel has helped entrepreneurs launch and grow thriving small businesses. NxLevel is the nation's largest and most effective entrepreneurial training network, with more than 300,000 graduates and more than 8,000 certified instructors. NxLevel offers training in all 50 states, as well as American Samoa, the Virgin Islands and Puerto Rico.

NxLevelL courses are also available in Canada and Mexico. NxLevelL offers a practical, hands-on approach to preparing a business plan. Participants learn from certified instructors, expert guest speakers, and finance, marketing, and banking professionals. They also learn by working collaboratively and sharing ideas with other participants. Participants are also provided the very latest information on small business development through classroom materials and online resources at [www.nxlevel.org](http://www.nxlevel.org).

NxLevelL comprises a dedicated group of professional authors, marketers and training professionals with decades of expertise in small-business education and development. In addition, they are experts in the field of adult education, with curricula rooted in adult learning characteristics, preferences and collaborative techniques.

- d. Provide a discussion on how you plan to incorporate NxLevel® Education and EAP Training and Curriculum into your current business training course.
- e. Also attached as Appendix D pages 41-43 is the EAP Training and Curriculum Guidelines which outlines the minimum standards for training and curriculum for the EAP.
- f. A description of the nature of technical assistance that will be offered to young expanding firms as well as to start-ups. Identify the network of business professionals, small business volunteers and consultants who will provide technical assistance and mentoring to EAP clients; also strategies for ensuring individual clients have access to a minimum of 10 hours of technical assistance.
- g. A discussion of the organization's performance as a microenterprise development service provider and any other similar business development initiatives and/or contracts.
- h. A description of the specific activities that the center will undertake to help EAP clients to access needed credit and capital to finance the business start-up or expansion.
- i. Formal acceptance of the Tasks and Timeline included as Appendix A pages 10-18 of this application.
- j. Formal written acceptance of EAP Center goals as outlined in Appendix B pages 34-35. In addition to acceptance of goals provide a brief statement indicating whether or not these goals are realistic for the organization and how they compare to achievements on other similar contracts.

3) Project Budget-

Prepare a project budget using format provided via e-mail, an example is also provided as Exhibit C-1 page 23 in this application. Include funding sources, consultant fees (identify consultant if known) and describe the ways, if any, that ESD's grant funds would leverage other sources of funding.

4) Project Budget Narrative

The budget narrative should provide a detailed description of each line item contained in the project budget (See C-1 Project Budget Narrative Example pages 24-25).

5) Required Attachments (See Exhibit B Proposal Checklist)

- A copy of Certificate of Incorporation.
- Provide previous three years of audited financial records/tax returns.
- Copies of financing commitments which include award and support letters and other letters of reference to demonstrate that all other required funding will be available for EAP operations.
- A list of Board of Directors and including resumes, if available.
- Copies of job descriptions and resumes for project director, staff and instructors.
- A copy of the proposed 2016-2017 syllabus (drafts are acceptable).

**Exhibit C-1**  
**Project Budget**  
**(Provided via E-mail)**

USE OF FUNDS	ESD	Cash Match	In-kind Match	TOTALS
Salaries				
Fringe Benefits				
Contractual Services				
Consultants (training)				
Supplies/Materials				
Training Materials (NxLevel® Education)**	1,000			
Travel				
Equipment Rental				
Real Estate Rental				
EAP Conference				
Postage				
Printing				
Advertising				
<b>TOTALS</b>	<b>1,000</b>			

\*\*NxLevel funding is restricted to the purchase of NxLevel training curriculum.

- 1) ESD funds must be matched 100%, using a combination of cash and in-kind (at least 50% must be a cash match).
  - a) Cash match may include a combination of any non-State source.
  - b) Enrollment fees may not be used to meet the cash match as they are not guaranteed sources of cash income, but can be used as in-kind.
  - c) Loan funds are not an allowable cash match.
- 3) Attach award and organization commitment letters and any other relevant documentation for all matching and in-kind sources of funding listed above.
- 4) If in-direct cost is used as a line item, a letter itemizing each costs and expected amount must be submitted with the application and with each request for reimbursement.
- 5) Include expenses for up to 2 staff to attend the EAP Annual Conference and Award Ceremony. The venue for 2016 is expected to be in Syracuse, New York.
- 6) All line items must be clearly stated (i.e., miscellaneous/overhead/administrative costs/in-kind are not acceptable line items).
- 7) Project budget must be completed by rounding to the nearest dollar
- 8) A maximum of \$500 in grant funds may be used for staff food and beverage expenses related to travel unless otherwise stated.

## Exhibit C-1

### Project Budget Narrative Example

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

##### Salaries \$

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

##### Fringe Benefits \$

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

##### Contractual Services \$

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

##### Consultant (training) \$

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

##### Supplies/Materials \$

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

##### NxLevel® Education \$

This is a standard expense for EAP grantees for approximately 5 years. NxLevel® Education business training products have been designated the basic training curricula for the EAP Network of business service providers and must be incorporated into the business training program. The goal here is to institute consistency and quality across the network of EAP business service providers.



**Exhibit C-2**  
**Matching Funds Description**

The Entrepreneurial Assistance Program (“EAP”) requires a 1:1 match of which at least 50% must be cash.

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

Listed below are informal examples for cash and in-kind matches:

- A cash match might be: third party contributions from other supporting entities such as the grantee, county, local, city and federal entities, organizations or individuals donating cash towards the project and other supporters of microenterprise development.
- A cash match may also be the salary of a person or person working on the project (cash transaction); travel expenses to attend meetings or participate in training sessions.
- In-kind contributions include: space, equipment, supplies, printing, telephone and other expenses which are dedicated to the project; volunteer time/unpaid services provided to a recipient by an individual or employee working on a project (noncash transaction); value of hours for personnel assisting with the project, volunteer board members, etc.; donation of office space or meeting rooms; or donation of inventory including equipment or building space are also acceptable.

If you are unsure whether or not the cash and in-kind match you propose is acceptable please call me for clarification prior to completing/submitting your proposed program budget.

**APPENDIX A**

**Project Description**  
 (Page 1 of 8)  
**TASKS and TIMELINE**  
 (Subject to Change)

Task #	Task Description	Anticipated Time Schedule	Person Responsible	Reimbursable Upon Completion of Task
	Remember to include <b>NEW Project Number</b> and contract year on all documentation submitted (via mail or electronically)			Disbursement of initial 50% upon execution of contract and submission of Exhibit G: Payment Requisition
1	Outreach efforts to: <ul style="list-style-type: none"> <li>• new clients and prior years' clients; and</li> <li>• Business Mentor NY new mentees and mentors (See page 35 for more details).</li> </ul>	Ongoing	Program Staff	
2	Assessment and enrollment of clients.	Ongoing	Program Staff	
3	Classroom training	EAP training should be completed within the first 6 months of the contract period. This will allow grantees time to work with current program graduates in addition to prior year clients served.	Program Staff	

**EXHIBIT A: Project Description**  
(Page 2 of 8)

TASKS and TIMELINE

Task #	Task Description	Anticipated Time Schedule	Person Responsible	Reimbursable Upon Completion of Task
4	<p>Statistical data must be maintained and entered into the EAP Database quarterly:</p> <ul style="list-style-type: none"> <li>• 1<sup>st</sup> quarter - June 1, 2016 through August 31, 2016;</li> <li>• 2<sup>nd</sup> quarter - September 1, 2016 through November 30, 2016;</li> <li>• 3<sup>rd</sup> quarter - December 1, 2016 through February 28, 2017; and</li> <li>• 4<sup>th</sup> quarter – March 1, 2017 through May 31, 2017).</li> </ul> <p>Note that no statistical data can be entered after the database goes off-line on May 31, 2016 at 11:59pm (No exceptions)</p>	Ongoing	<p>Program Staff</p> <p>Important Note: Discrepancies in client statistical report data must be reported prior to or at the time of report submission. No changes will be accepted after the EAP program report is finalized, unless a written request has been submitted and approved by EAP Director.</p>	
5	<p>It is a contract obligation to maintain and update EAP client files. This includes all program and client documentation forms including but not limited to, intake/update, technical assistance, program evaluations, statement of client services, etc. (files may be reviewed and/or audited at any time during the contract year or as noted in Terms and Conditions of this contract)</p>	Ongoing	Program Staff	

**EXHIBIT A: Project Description**

(Page 3 of 8)

TASKS and TIMELINE

Task #	Task Description	Anticipated Time Schedule	Person Responsible	Reimbursable Upon Completion of Task
6	<p>First Quarterly Report - An electronic submission of the following:</p> <ul style="list-style-type: none"> <li>• Performance Status Report;</li> <li>• Detailed Status Report;</li> <li>• Client narrative and Note and Certification; and</li> <li>• 1 success story w/client consent form;</li> </ul>	<p>Period Covering: August 1, 2016 through August 31, 2016</p> <p>Due: September 15, 2016</p> <p>Deadline date for entering client information, statistical data and running reports in the on-line database for the First quarter is August 31, 2016.</p>	<p>Program Staff</p> <p>Important Note: Discrepancies in client statistical report data must be reported prior to or at the time of report submission. No changes will be accepted after the EAP program report is finalized, unless a written request has been submitted and approved by EAP Director.</p>	

**EXHIBIT A: Project Description**  
(Page 4 of 8)

TASKS AND TIMELINE

Task #	Task Description	Anticipated Time Schedule	Person Responsible	Reimbursable Upon Completion of Task
7	<p>Second Quarterly Report - An electronic submission of the following:</p> <ul style="list-style-type: none"> <li>• Performance Status Report;</li> <li>• Detailed Status Report;</li> <li>• Client Narrative and Note and Certification;</li> <li>• 1 success story w/client consent form;</li> <li>• Narrative covering all program activities to date, (i.e., training/counseling outreach, accomplishments, advisory group, etc.).</li> </ul>	<p>Period Covering: September 1, 2016 through November 30, 2016</p> <p>Due: December 15, 2016</p> <p>Deadline for entering client information, statistical data and running reports in the on-line database for the second quarter is November 30, 2016.</p>	<p>Program Staff</p> <p>Important Note: Discrepancies in client statistical report data must be reported prior to or at the time of report submission. No changes will be accepted after the EAP program report is finalized, unless a written request has been submitted and approved by EAP Director.</p>	
8	<p>Third Quarterly Report - An electronic submission of the following:</p> <ul style="list-style-type: none"> <li>• Performance Status Report;</li> <li>• Detailed Status Report;</li> <li>• Client Narrative and Note and Certification; and</li> <li>• 1 success story w/ client consent form.</li> </ul>	<p>Period Covering: December 1, 2016 through February 28, 2017</p> <p>Due: March 15, 2017</p>	<p>Program Staff</p> <p>Important Note: Discrepancies in client statistical report data must be reported prior to or at the time of report submission.</p>	

**EXHIBIT A: Project Description**

(Page 5 of 8)

TASKS and TIMELINE

Task #	Task Description	Anticipated Time Schedule	Person Responsible	Reimbursable Upon Completion of Task
9		Deadline date for entering client information, statistical data and running reports in the on-line database for the Third quarter is February 28, 2017.	No changes will be accepted after the EAP program report is finalized, unless a written request has been submitted and approved by EAP Director.	
10	Continued training and technical assistance (i.e., client advisory group, marketing, accounting services etc.).  Client and linkage partner outreach efforts	On-going	Program Staff	
11	Fourth Quarterly Report/Final - An electronic submission of the following: <ul style="list-style-type: none"> <li>• Performance Status Reports (4<sup>th</sup> quarter and Year-end);</li> <li>• Detailed Status Reports (4<sup>th</sup> quarter and Year-end);</li> <li>• Client Narrative and Note and Certification;</li> <li>• 1 success story w/client consent form;</li> <li>• Report of program progress, covering new program activities and anything not reported previously; and</li> <li>• Project Closeout.</li> </ul>	Period Covering: March 1, 2017 through May 31, 2017  Due: June 15, 2017 Deadline date for entering client information, statistical data and running reports in the on-line database for the fourth quarter is May 31, 2017 at 11:59PM.	Program Staff  Important Note: Discrepancies in client statistical report data must be reported prior to or at the time of report submission.	

**EXHIBIT A: Project Description**  
(Page 6 of 8)

TASKS and TIMELINE

Task #	Task Description	Anticipated Time Schedule	Person Responsible	Reimbursable Upon Completion of Task
11 (con't)	<ul style="list-style-type: none"> <li>• Client Evaluations (Survey Monkey is preferred method);</li> <li>• Business Plan Executive Summary “only” (complete business plans should be maintained in the client file and submitted upon audit request);</li> <li>• A description of how the NxLevel® Education Curriculum is integrated into EAP training (i.e., curriculum manual used, website, resumes, handouts, PowerPoint, etc.) and how it is working.</li> </ul>	<p>Period Covering: January 1, 2017 through May 31, 2017</p> <p>Final 50% goal attainment is required at this time.</p> <p>Due: June 15, 2017</p> <p>Deadline date for submitting subsequent program documentation in addition to entering client information and statistical data into the on-line database is May 31, 2017 at 11:59PM (No exceptions).</p> <p>Project Completed/Closed May 31, 2017</p>	<p>Important Note: Discrepancies in client statistical report data must be reported prior to or at the time of report submission. No changes will be accepted after the EAP program report is finalized, unless a written request has been submitted and approved by EAP Director.</p>	<p>All reimbursement requests must include required back-up documentation. (See reporting requirements memo.</p> <p>Disbursement of up to 50% upon: Submission of back-up documentation for 100% of the total project costs as per the project budget in Exhibit D if not yet submitted; Approval of required reports;</p>

**EXHIBIT A: Project Description**  
(Page 7 of 8)

TASKS and TIMELINE

Task #	Task Description	Anticipated Time Schedule	Person Responsible	Reimbursable Upon Completion of Task
11 (con't)	<p>Note: EAP grantees are expected to maintain EAP program documents including but not limited to:</p> <ul style="list-style-type: none"> <li>• Intake/Update forms;</li> <li>• Client TA forms;</li> <li>• Complete Business Plans;</li> <li>• Client assessment forms;</li> <li>• Statement of information/service received;</li> <li>• Sign-in/attendance sheets;</li> <li>• Flyers, announcements, surveys; and</li> <li>• Any other program related documentation not submitted quarterly.</li> </ul> <p>The above referenced documents do not need to be submitted at this time but may be requested as part of a program review or audit. See contract Terms and Conditions and Exhibit B.</p>	<p>Period Covering: January 1, 2017 through May 31, 2017</p> <p>Final 50% goal attainment is required at this time.</p> <p>Due: June 15, 2017</p> <p>Deadline date for submitting subsequent program documentation in addition to entering client information and statistical data into the on-line database is May 31, 2017 at 11:59PM (No exceptions).</p> <p>Project Completed/Closed May 31, 2017</p>	<p>Important Note: Discrepancies in client statistical report data must be reported prior to or at the time of report submission. No changes will be accepted after the EAP program report is finalized, unless a written request has been submitted and approved by EAP Director.</p>	<p>All reimbursement requests must include required back-up documentation. (See reporting requirements memo.</p> <p>Disbursement of up to 50% upon: Submission of back-up documentation for 100% of the total project costs as per the project budget in Exhibit D if not yet submitted; Approval of required reports;</p>

**EXHIBIT A: Project Description**

(Page 8 of 8)

TASKS and TIMELINE

Task #	Task Description	Anticipated Time Schedule	Person Responsible	Reimbursable Upon Completion of Task
12	<p>Final Payment Requisition</p> <p>See Exhibit F: Disbursement Terms for Details and Requirements for Reimbursement.</p>	<p>Period Covering: June 1, 2016 through May 31, 2017.</p> <p>Requests for Exhibit C approvals, Salary Schedule changes Budget Modifications, and/or Contract Amendments must be received by May 31, 2017.</p> <p>Contract Expiration Date: August 31, 2016</p> <p>All payment requisitions must be received by July 31, 2016.</p>	<p>Program and Finance Staff</p>	<p>All reimbursement requests must include required back-up.</p> <p>Submission of back-up documentation for 100% of the total project costs as per the project budget in Exhibit D if not yet submitted; Approval of required reports; Submission of Disbursement of final payment and 10% retainage upon completion of all program requirements.</p>

**APPENDIX B**

**ENTREPRENEURIAL ASSISTANCE PROGRAM**

**2016 – 2017 Annual Program Goals**

**(Page 1 of 2)**

**(Subject to Change)**

1. The Entrepreneurial Assistance Program encourages the start of new businesses and the continuous development of existing businesses. Each Center enhances the entrepreneurial, management and administrative skills of business owners in New York State, specifically whose businesses are less than five years of age and those who are planning to start one. Sixty (60) hours of training, supplemented by more extensive technical assistance, is provided directly to clients. The aim is to help entrepreneurs develop a viable business and to assist new firms to make the transition to small growth companies.
2. Signs stating, “Funding provided by a grant from the Empire State Development Entrepreneurial Assistance Program”, should be visible to clients and the general public entering the Center.
3. Listed below are the minimum performance standards for a 10-month period from August 1, 2016 through May 31, 2017 for grants up to \$61,250 which is contingent upon availability of funds and approval by the Division of Budget.

CLIENTS/BUSINESSES

New Clients Enrolled	10
Prior Clients	0
Businesses Started	4
Businesses Saved	2

EXISTING BUSINESSES

Number of firms with increased sales	4
Aggregate amount of increased sales	125,000
Number of firms with expanded employment	2
Number of new employees	3
Number of firms with retained employment	2
Number of retained employees	3

START-UP BUSINESSES

Number of firms with increased sales	2
Aggregate amount of increased sales	40,000
Number of firms with expanded employment	2
Number of new employees	2

APPENDIX B Continued

ENTREPRENEURIAL ASSISTANCE PROGRAM  
2016-2017 Annual Program Goals  
(Page 2 of 2)  
(Subject to Change)

<u>FINANCING</u> (for start-up and existing businesses)		
Financial packages developed		4
Financial packages approved		2
Amount of financing secured	125,000	
 <u>BUSINESS PLANS COMPLETED</u>		
New Enrollments/Prior Year		6
 <u>MWBE</u>		
MWBE Certification Applications Developed		6
 <u>Veterans</u>		
New Clients Enrolled		4
Businesses Started		2
 <u>Business Mentor NY</u>		
New Mentorship Clients Enrolled		20*
New Mentors Enrolled		4
New Engagements Facilitated		10**

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

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

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

EAP CENTER LISTING

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**New York City Region**

<p>Service Area: Manhattan, Queens, and Brooklyn (assistance in Chinese)</p> <p>Website Address: <a href="http://www.renaissance-ny.org">www.renaissance-ny.org</a></p>	<p>Renaissance Economic Development Corporation One Pike Street New York, NY 10002 Tel: (212) 964-6022 x138 Fax: (212) 964-6003</p>
<p>Service Area: Chinatown and Other Immigrant Communities throughout NYC (assistance in Chinese)</p> <p>Website Address: <a href="http://www.cmpny.org">www.cmpny.org</a></p>	<p>Chinatown Manpower Project/ Business Outreach Center 70 Mulberry St., Third Floor New York, NY 10013 Tel: (212) 571-1691 Fax: (212) 571-1686</p>
<p>Service Area: East Harlem and surrounding neighborhoods</p> <p>Languages: English</p> <p>Website Address: <a href="http://www.hotbreadkitchen.org">www.hotbreadkitchen.org</a></p>	<p>Hot Bread Kitchen, Ltd. 1590 Park Avenue New York, NY 10029 (212) 369-3331 Fax: N/A</p>
<p>Service area: Upper Manhattan the Western Bronx</p> <p>Languages spoken: English &amp; Spanish</p> <p>Website address: <a href="http://www.whidc.org">www.whidc.org</a></p>	<p>Washington Heights –Inwood Development Corporation New York, NY 10033 Tel: (212) 795-1600 Fax: (212) 781-4051</p>
<p>Service Area: Bronx County</p> <p>Website Address: <a href="http://www.sobro.org">www.sobro.org</a></p>	<p>South Bronx Overall Economic Development Corporation (SOBRO) 555 Bergen Avenue, 3<sup>rd</sup> Floor Bronx, NY 10455 Tel: (718) 292-3113 Fax: (718) 292-3115</p>

EAP CENTER LISTING

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**New York City Region (Con't)**

<p>Service Area: East Brooklyn and surrounding Brooklyn neighborhoods</p> <p>Website Address: <a href="http://www.ldceny.org">www.ldceny.org</a></p>	<p>Local Development Corporation of East New York 80 Jamaica Avenue, 3<sup>rd</sup> Floor Brooklyn, NY 11207-2045 Tel: (718) 385-6700, Ext. 10 Fax: (718) 385-7505</p>
<p>Service Area: Kings County</p> <p>Website Address: <a href="http://www.camba.org">www.camba.org</a></p>	<p>CAMBA, Inc. 884 Flatbush Avenue Brooklyn, NY 11226 Tel: (718) 282-2500 Fax: (718) 282-8329</p>
<p>Service Area: Queens County (assistance available in English &amp; Spanish)</p> <p>Website Address: <a href="http://www.queensny.org">www.queensny.org</a></p>	<p>Queens Economic Development Corporation 120-55 Queens Blvd, Suite 309 Kew Gardens, NY 11424-1015 Tel: (718) 263-0546 Fax: (718) 263-0595</p>

**Long Island Region**

<p>Service Area: Suffolk County</p> <p>Website Address: <a href="http://www.sunysuffolk.edu/workforce/EAS.asp">www.sunysuffolk.edu/workforce/EAS.asp</a></p>	<p>Suffolk County Community College Grant Campus Sally Ann Slacke Building 1001 Crooked Hill Road Brentwood, NY 11717 Tel: (631) 851-6214 Fax: (631) 851-6222</p>
<p>Service Area: Nassau/Suffolk</p> <p>Website Address: <a href="http://www.Hofstra.edu">www.Hofstra.edu</a></p>	<p>Hofstra University 128 Hofstra University Hempstead, NY 11549-1450 Tel: (516) 463-6820 Fax: (516) 463-6870</p>

EAP CENTER LISTING

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**Mid-Hudson Region**

<p>Service area: Westchester County areas;</p> <p>Languages: English; Spanish</p> <p>Website: <a href="http://www.wedcbiz.org">www.wedcbiz.org</a></p>	<p>Women’s Enterprise Development Center Inc. 1133 Westchester Ave, Suite N-220 White Plains, NY 10604 Tel: (914)-948-6098 Fax: (914)-470-2972</p>
<p>Service area: Dutchess County, Orange County, Putnam, Sullivan</p> <p>Languages: English; Spanish</p> <p>Website: <a href="http://www.wedcbiz.org">www.wedcbiz.org</a></p>	<p>Women’s Enterprise Development Center Inc. 3 Neptune Road Poughkeepsie, NY 12601 Tel: (845) 363-6432 Fax: (845) 649-2778</p>

**Capital Region**

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

<p>Service area: Onondaga, Oswego, Syracuse, Madison, and Cortland Counties</p> <p>Languages spoken: English</p> <p>Website: <a href="http://www.syr.edu">www.syr.edu</a></p>	<p>Syracuse University South Side Innovation Center 2610 South Salina Street Syracuse, NY 13205 Tel: (315) 443-8600 Fax: (315) 443-8636</p>
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EAP CENTER LISTING

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**North Country Region**

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

<p>Service Area: Oneida, Madison &amp; Herkimer Counties.</p>	<p>Business Training Institute, Inc. The Radisson Centre 200 Genesee Street Utica, NY 13502 Tel: (315) 733-9848 Fax: (315) 733-0247</p>
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**Finger Lakes Region**

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

**EAP CENTER LISTING**

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**Southern Tier Region**

<p>Service Area: Binghamton, Broome, Tioga, Chenango, and Delaware</p> <p><u>Project Sites:</u></p> <ul style="list-style-type: none"> <li>- Broome Community College</li> <li>- Broome County Urban League</li> <li>- Broome Tioga Workforce Dev.</li> </ul> <p>Website Address: <a href="http://www.cityofbinghamton.com">www.cityofbinghamton.com</a></p>	<p>Binghamton Local Development Corporation 38 Hawley Street City Hall, 4<sup>th</sup> Floor Binghamton, NY 13901 Tel: (607) 772-7161 Fax: (607) 772-7244</p>
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**Western NY Region**

<p>Service Area: Allegany, Steuben &amp; Cattaraugus Counties</p> <p>Website Address: <a href="http://www.accordcorp.org">www.accordcorp.org</a></p>	<p>ACCORD Corporation 84 Schuyler Street P.O. Box 573 Belmont, NY 14813-0573 Tel: (585) 268-7605 x1020 Fax: (585) 268-5085</p>
<p>Service area: Erie County &amp; Niagara</p> <p>Language(s) spoken: English and Spanish</p> <p>Website Address: <a href="http://www.iaal.org">www.iaal.org</a></p>	<p>IBERO – American Action League, Inc. at Medaille College (Buffalo) 18 Agassiz Circle Buffalo, NY 14214 Tel: (716) 880-3288 Fax: (716) 880- 3294</p>

## APPENDIX D

### Entrepreneurial Assistance Program Curriculum and Training Guidelines

Your Entrepreneur Training Program is the beginning stage of preparing a client to create, manage and grow a successful business venture. It commences with an effective and comprehensive entrepreneur training curriculum that includes all of the relevant topics to start up or expand a business, such as determining what your product or service is/your niche, how you plan to identify your target market, marketing and advertisement strategies, financing and more. Most importantly, an effective curriculum should lead to the development of a comprehensive and workable Business Plan, which is critical to the success of all business owners.

It is expected that the curriculum content of your Entrepreneur Training Program will include the following:

- A well-defined outline of the syllabus and a table of contents which clearly states:
  - the content of each session
  - notations of any helpful pre-requisites
  - length of each session
  - expected outcomes
  - a list of all trainers and/or consultants should be retained. This list should include their background and expertise in the area that they will be expected to address in their session. Trainers/consultants should be selected to cover a specific topic and should provide a written syllabus of how they will address this topic. Each presenter should be evaluated at the end of their presentation.
- Each client should receive an Entrepreneur Training Manual which can be distributed at your discretion either at the beginning of class or in sections as you move through the training, it should be either in a binder or bound, with space for additional pages as needed. Manuals should be clear and readable.
  - Each training session should address a specific topic of the Business Plan. This will ensure that clients have the beginning of their “working” draft that will be included in their final Business Plan. The goal is for each client to revise sections and be prepared to present their final and complete Business Plan to potential Loan Officers in the near future.

- Training curriculum should:
  - Be geared towards the development of their individualized Business Plan. The curriculum should also include a generic example of a complete and effective Business Plan and/or the boilerplate;
  - Be well written, straight forward; simple to read and understandable;
  - Contain relevant business data to help clients understand the subject matter;
  - Curriculum must be designed for start-ups and/or existing business owners;
  - Contain relevant business and financial charts and/or graphs;
  - Clearly outline homework assignments and what is expected of the client;
  - Contain a current and appropriate glossary of business terms for their reference;
  - Contain a comprehensive and updated list of business resources;
  - Curriculum should be reviewed each year, after your Entrepreneur Training Program is finished and updates made accordingly.
  
- Training should be a combination of lecture, interactive activities, brainstorming sessions, work group sessions, special guests and include essential visual aids and additional worksheets.
  
- Training sessions should afford clients the opportunity to explore and discuss “real world” experiences, share hurdles encountered, concerns, aspirations, etc. with the group, resulting in constructive feedback that each client can use.
  
- Clients should be encouraged to read and summarize an article each week on their particular business venture to stay in touch with the field so that they are better prepared to answer questions such as: What’s my market/industry like? Has the market for my product or service grown or declined? Who are my competitors? This will also help them become more comfortable with articulating their business venture and preparing their Business Plan presentation for potential financiers. In addition each client should be encouraged to do site visits to businesses similar to theirs as part of the industry and competitive analysis section of their business plan.
  
- Training should provide clients with the opportunity to put what they have learned into the appropriate section of their Business Plan, following each session in order to achieve their own completed Business Plan, which should be completed soon after this training program.
  
- Classes should start on time and end on time. Each client must sign in at each session.
  
- Periodic assessments of clients’ progress should be conducted to ensure that they are up to speed, on track and not lost.

- Clear and well-designed PowerPoint slides and handouts should be used, where appropriate.
- The opening of each session should provide an overview of the previous session to reinforce what was covered the previous week. This could be done by the trainer or an interactive session with participants contributing to this review.
- There should be time at the end of each session to discuss what was presented, what was learned, answer any lingering questions and review homework requirement for the next session. Individual technical assistance should be built into your Entrepreneur Training Program and recorded in each client's file.
- The major goals for your Entrepreneur Training Program is that each client will have a comprehensive Business Plan and the related business skills to open or expand their business and be able to present their stellar Business Plan to a financial institution for financial consideration.

## ENTREPRENEURSHIP: STARTUP & GROWTH SESSION 1

### LEARNING OBJECTIVES

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

Date: \_\_\_\_\_

### INSTRUCTOR TOPICS (60 MIN.)

(20 min.)

**1. Getting the Class Started**

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

(15 min.)

**2. Course Introduction**

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

(5 min.)

**3. Expectations**

- Student responsibilities
- Instructor responsibilities

(20 min.)

**4. Student Introductions—see *Additional Instructor Notes***

### —NO GUEST SPEAKER THIS SESSION— BREAK (20 MIN.)

- Refreshments
- Networking activity

### INSTRUCTOR TOPICS—CONTINUED (40 MIN.)

(30 min.)

**5. Thinking Entrepreneurially**

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

(10 min.)

**6. Introduction to the NxLevel<sup>®</sup> Business Plan**

### WORK PERIOD (60 MIN.)—see *Additional Instructor Notes*

### ASSIGNMENT FOR SESSION 2

**TEXT** Read **Chapters 1 through 4** (*Thinking Entrepreneurially, Assessing Your Business Idea, The NxLevel<sup>®</sup> Business Plan, and The Marketing Plan*).

**WORKBOOK Complete** the worksheets in **Workbook Session 1**.

**WRITE** After completing the Session 1 worksheets, follow the instructions on the **Writing Your Business Plan** page at the end of the worksheets to write **Section III. Business Organization and Operations: A. Business Structure, Management and Personnel (Personal Background Information)** and **Section V. Financial Plan: D. Financial Statements (Personal Financial Statement)**.

## LEARNING OBJECTIVES

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

## Appendix E MARKETING: ANALYSIS & UNDERSTANDING SESSION 4

Date: \_\_\_\_\_ Due: \_\_\_\_\_

### CLASS OPENER (10 MIN.)

- Articles of interest, best / worst news, brainteaser, etc.

### INSTRUCTOR TOPICS (60 MIN.)

(10 min.)

#### 1. Expanding Your Market

Research (15 min.)

#### 2. Describing Your

Product

- Features and Benefits

(35 min.)

#### 3. Market Analysis

- Customer Analysis
- Competitive Analysis
- Market Potential

### GUEST SPEAKER (30 MIN.)

- Marketing consultant or marketing manager

### BREAK (20 MIN.)

- Refreshments
- Networking activity

### WORK PERIOD (60 MIN.)

- Exercise: Taste Test
- Homework Review—Session 3
- Workbook Preview—Session 4

## ASSIGNMENT FOR SESSION 5

**WORKBOOK** Complete the worksheets in **Workbook Session 4**.

**WRITE** After completing the Session 4 worksheets, follow the instructions on the *Writing Your Business Plan* page at the end of the worksheets to write **Section IV. Marketing Plan: A. Products and Services** and **B. Market Analysis**.

**TEXT** Read **Chapters 9 through 12** (*Product, Price, Promotion* and *Placement*).

## LEARNING OBJECTIVES

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

Appendix E

# MANAGING YOUR MONEY: FINANCIAL STATEMENTS & BUSINESS FINANCING SESSION 8

Date: \_\_\_\_\_ Due: \_\_\_\_\_

## CLASS OPENER (10 MIN.)

- Articles of interest, best / worst news, brainteaser, etc.

## INSTRUCTOR TOPICS (60 MIN.)

(35 min.)

### 1. Overview of Financial Statements

- Balance Sheet
- Income Statement
- Statement of Owner's Equity
- Annual Cash Flow Statement
- Ratio Analysis

(10 min.)

### 2. Financing Your Business

- Types of Financing
- Money Sources

### (15 min.) 3. Preparing to Seek Financing

## GUEST SPEAKER (30 MIN.)

- Small-business banker, or local entrepreneur who has secured several sources of financing

## BREAK (20 MIN.)

- Refreshments
- Networking activity

## WORK PERIOD (60 MIN.)

- Homework Review—Session 7
- Workbook Preview—Session 8

## ASSIGNMENT FOR SESSION 9

**WORKBOOK Complete** the worksheets in **Workbook Session 8**.

**WRITE** After completing the Session 8 worksheets, follow the instructions on the *Writing Your Business Plan* page at the end of the worksheets to complete **Section V. Financial Plan: A. Capital Requirements (Loans, Grants and Self-Financing)** and **D. Financial Statements**.

**TEXT** Read **Chapters 24 through 27** (*Deal making and Contract Management*,

Appendix F-1

Applicant Commitment of Funding and Acceptance of Tasks and Timeline for  
(2016-2017)

Instructions:

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

\_\_\_\_\_

Date

Joyce Smith  
Director/NYS Entrepreneurial Assistance Program  
Empire State Development Corporation  
633 Third Avenue – 33<sup>rd</sup> floor  
New York, NY 10017

Re: Entrepreneurial Assistance Program Center

This letter is written to certify that \_\_\_\_\_ will provide matching funds in the amount of \$00,000 for the continued operation of the NYS Entrepreneurial Assistance Program for the contract year 2016-2017 beginning June 1, 2016 and ending May 31, 2017.

The cash match of \$00,000 will derive from \_\_\_\_\_ (\$00,000), NYC Program (\$00,000), private funding (\$00,000) and SBA (\$00,000). The in-kind match will derive from \_\_\_\_\_ (\$00,000), SBA (\$00,000), county funding (\$00,000) and private sources, (\$00,000).

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

The organization also accepts the Tasks and Timeline as outlined in the Requests for Applications on pages 10-18.

Very truly yours,

\_\_\_\_\_ (signature)

Appendix F-2

Applicant Proposed Salary Schedule (2016-2017)

(Utilize Word e-mail version)

(Include in Application and Submit Via E-mail)

Organization Name: \_\_\_\_\_

ESTIMATED SALARY SCHEDULE

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

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

Full-Time Employees

A: Employee Name	B: Title	C: Gross Pay (Per Pay Period including Fringe Benefits)	D: Frequency (Weekly, Bi-weekly, Monthly)	Total= C*D (Gross Pay times Frequency)
<b>Total</b>				0.00

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

Part-Time Employees

A:EMPLOYEE NAME	B:TITLE	C:HOURLY WAGE	Frequency	Total
<b>Total</b>				

Appendix F-3

Applicant Training/Technical Assistance Schedule/Costs (2016-2017)

(Utilize Word e-mail version)

(Include in Application and Submit Via E-mail)

<b>EAP Center Name</b>	<b>Training Period (Beginning/End)</b>	<b>Costs of 60-hour Course</b>	<b>Costs of Technical Assistance</b>