

# UPSTATE NY SUPPLIER DIVERSITY TRAINING & EXPO

Tuesday, July 25th 2023  
8:00am-4:00pm

*Rochester International Airport  
International Arrivals Hall*

**SPONSORED BY:**



UNIVERSITY of  
ROCHESTER



SUPPLIER DIVERSITY  
ALLIANCE



New York & New Jersey  
Minority Supplier  
Development Council  
107-2011333



# Welcome and Opening Remarks

William Johnson, Deputy Director of Aviation- Frederick Douglass  
Rochester International Airport

David C. Scott, Chief Diversity Officer – Monroe County

Stephanie Armstrong – Supplier Diversity Alliance



# Training Session #1: How to get certified

Terrance Clark, NY/NJ Minority Supplier Development Council

Wafa Dubashi – Niagara Frontier Transportation Authority

Matthew Burrell – Monroe County MWBE Program



# NY/NJ Minority Supplier Development Council

Terrance Clark, President and CEO

<https://nynjmsdc.org/>

We are in the business of growing & developing minority businesses.



# DBE CERTIFICATION



# What is DBE Certification?

- Disadvantaged Business Enterprise (DBE) certification is determined by a Certifying Agency, in accordance with federal regulations, when a for-profit business is at least 51% owned and controlled by an individual who is a U.S. citizen or permanent resident and is both socially and economically disadvantaged.



# Who is Eligible for DBE Certification?

## Socially Disadvantaged Groups (*Presumptive*):

- Black Americans
- Hispanic Americans
- Native Americans
- Asian-Pacific Americans
- Subcontinent Asian Americans
- Women
- Other (*Individual case-by-case determination. i.e., Service-Connected Veteran's*)

## Economically Disadvantaged:

- Personal Net Worth (PNW) must not exceed \$1.32 million.
- Have an average annual gross receipt below \$26.29 million over the firm's last 3 years.



# Which Agencies Certify DBEs in NYS?

- Metropolitan Transportation Authority (**MTA**)
- New York State Department of Transportation (**NYSDOT**)
- Niagara Frontier Transportation Authority (**NFTA**)
- Port Authority of New York & New Jersey (**PANYNJ**)

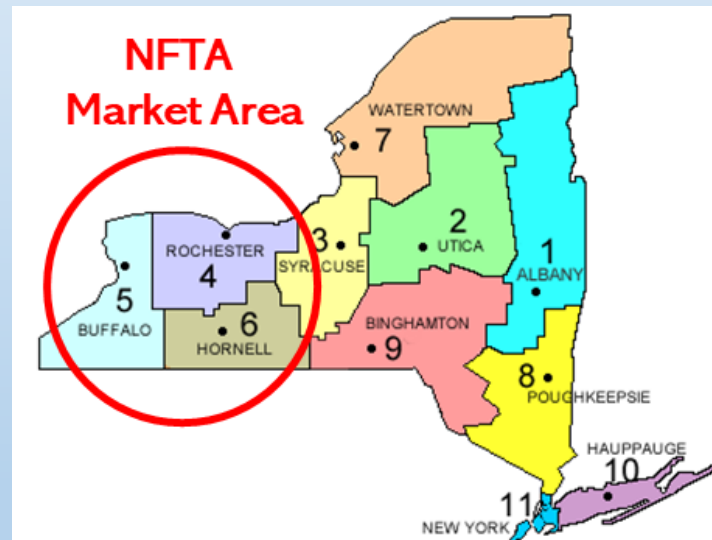




# What Area Does the NFTA cover?

NFTA certifying area consist of the following:

- Erie
- Niagara
- Cattaraugus
- Chautauqua
- Genesee
- Allegany
- Monroe
- Orleans
- Wyoming



# Benefits of the DBE Program

- 1. Federal Contracts:** Once certified, you can bid and participate on federally funded projects (FTA and FAA).
- 2. Interstate Certification:** Once certified with your "home state" (New York state), you can apply for fast-track certification in other states.
- 3. DBE Directory:** Your business is placed on a DBE directory where other business can search your availability.
- 4. WMBE Certification:** Can allow for an easier MWBE certification process.



# DBE Certification Review Process (NFTA)

1. Desk review of completed application **(2-4 week lead time)**
2. On-site review at place of business **(2-4 week lead time)**
3. Notification of eligibility determination!

**\*Fast Track applicants must notify the NFTA EEO office and provide contract notification before being approved for expediated DBE processing.**



# Other Things You Should Know

- Review and submit ALL applicable **NAICS codes** with your DBE application. This will help other contractors when filtering for DBEs for work.
- **Annual recertification** is required to maintain your DBE status with NYS.
- **MWBE and DBE are separate** certifications with different requirements. You are encouraged to apply for both.



# NYUCP Contact Information

## **Metropolitan Transportation Authority (MTA)**

Department of Diversity and Civil Rights

2 Broadway- 16<sup>th</sup> Floor

New York, NY 10004

(646) 252-1391

## **New York Department of Transportation (NYSDOT)**

Contract Audit Bureau - DBE Certification Team

50 Wolf Road - 6<sup>th</sup> Floor North

Albany, NY 12232

(518) 408-5053



# NYUCP Contact Information

## **Port Authority of New York and New Jersey (PANYNJ)**

Department of Diversity and Civil Rights

2 Montgomery St.

Jersey City, NJ 07302

(201) 395-3944

## **Niagara Frontier Transportation Authority (NFTA)**

Department of Diversity and Civil Rights

181 Ellicott St.

Buffalo, NY 14203

(716) 855-7286



# Thank you for listening!

Questions?

To process your DBE application visit:  
(<https://nysucp.newnycontracts.com>)

To register for NFTA bidder's list  
(<https://www.nftaengineering.com/>)





# Monroe County Minority and Women Business Enterprise Utilization Program

Upstate NY Supplier Diversity Training & Expo  
25 Jul 2023

PRESENTED BY  
MATTHEW BURRELL, MWBE UTILIZATION MANAGER





# M/WBE Program Overview

- June 2021 – Monroe County Legislature passed Local law No 6 of 2021 “Gantt’s Law for Utilization of Minority and Women-Owned Businesses”
  - Purpose: “Ensure minority and women-owned business enterprises have sufficient opportunity to participate both directly and indirectly in contracting opportunities with Monroe County.”
  - Aligns with recommendations made by the Racial and Structural Equity (RASE) Commission
- Law outlines the following actions:
  - Managed by the Department of Diversity, Equity, & Inclusion
  - Codified Utilization Goals - 12% MBE and 3% WBE on Locally Funded Contracts



# M/WBE Certification Program

**353 Certified Firms as  
of 20 July 2023!!**

- Designed to augment current NYS certification
- 60 day certification cycle (current processing time is 20 days)
- Online Application Portal
- Local application support through DEI
- Credited services not limited to approved NAICS/CSI Codes
- For use on locally funded contracts unless they hold NYS certification
- Monroe County certified firms marketed to Buyers and Prime Contractors



# Program Qualifications

- At least 51% Ownership and Control by Minority and/or Women
- At least 51% Ownership and Control by a US Citizen or Permanent Resident Alien
- In operation for 6 months at the time of certification (can be waived)
- Ability to show proof of previous business activity
- Legal Business Formation i.e. DBA, LLC, S Corp
- Authorized to do business in New York State



# Utilization Program

- MBE – 12% and WBE – 3% goals codified in Monroe County Local Law 26
- ***Participation is not optional!***
- Expanded the types of products and services that are eligible for goals
  - Construction/Public Works
  - Professional
  - Non-Professional Services
- Established contract value thresholds when M/WBE goals are in affect.
  - Construction/Public Works >\$60,000
  - Professional and non-Professional Services >\$20,000
- **Utilization plans required with initial bid/response- ensuring early MWBE engagement**



# Why sell to the government?

- ▶ They buy a wide variety of products and services.
- ▶ They want to work with small businesses.
- ▶ Government spending is consistent.
- ▶ The government pays its bills.
- ▶ Decision making is transparent.
- ▶ Location may not matter.



# Tips

1. Obtain all certifications you are eligible for.
2. Do your homework. Who buys what I sell? Where/How do I fit in?
  - Position yourself ahead of requirements
  - Develop a business development pipeline
3. Get to know the buyers and prime contractors
4. Look for subcontracting and partnership opportunities
5. Market your products or services i.e - Capability Statement
6. Use free business development services:
  - Women's Business Development Center
  - Apex Accelerator (Procurement Technical Assistance Center)
  - Small Business Development Center



# Questions?



Matthew Burrell, USAF Ret.  
Manager, MWBE Program  
Department of Diversity, Equity, & Inclusion  
[matthewburrell@monroecounty.gov](mailto:matthewburrell@monroecounty.gov)  
(585)753-2409 – Office  
(585)363-1169 – Cell

# Training Session #2: Doing business with...

- Shemeka Davis – City of Rochester
- Colleen Anderson – Monroe County





# Doing Business With The City of Rochester

Presented by Shemeka Davis, MWBE Analyst



**Selling**  
to the City of Rochester  
What you need to know.

 Malik D. Evans, Mayor  
City of Rochester, NY • Rochester City Council

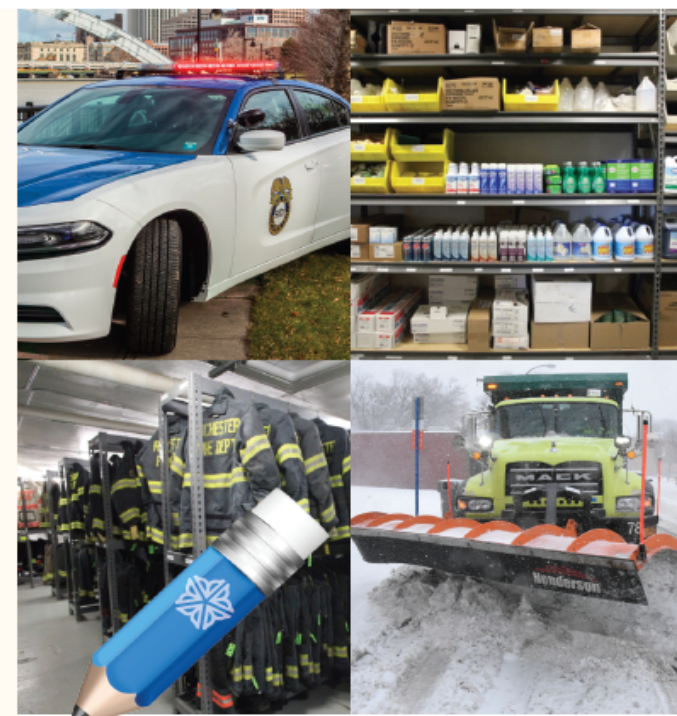
## Step 1: Understanding What the City Buys

The City spends over \$150 million dollars per year purchasing goods and services from businesses. These purchases fall into five major categories:

- **Products:** The City purchases products that are used in the wide range of services provided by the City - everything from pencils to garbage trucks. [See Step 3 A.](#)
- **Services:** The City also purchases a wide range of services from businesses - everything from maintenance of interior plants to snow plowing city streets. [See Step 3 A.](#)
- **Public Works Projects:** The City contracts with many general contractors for public works projects to rebuild and improve roads, bridges, parks, and public buildings and facilities. [See Step 3 A.](#)
- **Professional Services:** The City contracts with companies who provide specialized services related to architecture, landscape and engineering design, art and specialized consulting. The need for specialized consulting services changes constantly. Professional service agreements are

awarded through the Requests for Proposals (RFPs). RFPs are issued by individual City departments when services are needed. [See Step 3 B.](#)

- **Building Contractor Services for Housing Rehabilitation and Commercial Developments.** The Department of Neighborhood and Business Development (NBD) sponsors a number of programs that utilize general and specialized contractors for repairs, renovations and new construction. Housing rehabilitation programs require general contractors to be lead certified to undertake lead hazard control activities. Commercial development project contractors and subcontractors are selected by the businesses or developers. City property owners or developers select the contractors with the approval of NBD, in accordance with the guidelines of the funding agencies. [See Step 3 C.](#)



## Additional Resources

The City's web site provides helpful information about how the City purchases goods and services. Visit the pages below to learn more:

- General information about City purchasing: [www.cityofrochester.gov/purchasing](http://www.cityofrochester.gov/purchasing)
- General information about NBD housing rehab and development programs: [www.cityofrochester.gov/nbd/](http://www.cityofrochester.gov/nbd/)
- Business opportunities with the City: [www.cityofrochester.gov/businesswithcity](http://www.cityofrochester.gov/businesswithcity)
- Contracts, bids and RFP's: [www.cityofrochester.gov/bidandrpf](http://www.cityofrochester.gov/bidandrpf)
- Business assistance: [www.cityofrochester.gov/businessassistance](http://www.cityofrochester.gov/businessassistance)

To speak directly with a City staff member about the information in this brochure, please contact the Bureau of Purchasing at (585) 428-7146, or via e-mail at: [purchasing@cityofrochester.gov](mailto:purchasing@cityofrochester.gov)

## Step 2: Finding the Opportunities to Bid

- **Public bids for goods, services and public works are listed weekly** on the City's web site and on BidNet. BidNet offers a subscription service that will notify you about new upcoming bids.

- **Professional services RFPs are listed weekly** on the City's web site.
- **NBD housing rehab project contractors are solicited based upon a list** of approved contractors maintained by NBD.

## Step 3: Submitting Bids and Proposals

**A** Public bids for products, services and public works are submitted to the Bureau of Purchasing by the date and time specified on the Invitation to Bid. Products and services bids may be submitted electronically through BidNet.

**B** Proposals for professional services are submitted to the originating department by the date and time specified on the RFP.

**C** NBD Housing rehab contractors who are selected by homeowners submit bids to NBD by the date and time specified in the request for bids. Bids for commercial development projects are requested by and submitted to the business or developer.

# How to do Business with Monroe County



Colleen D. Anderson  
Purchasing Manager  
canderson@monroecounty.gov  
585-753-1100

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- 
- Functions of Purchasing and Central Services
    - Purchase all supplies, materials, equipment and services
    - Contract for all public work for the County
    - Contract for the rental or servicing of equipment
    - Sell surplus supplies and equipment
    - Manage RFP/RFQ/EOI process for professional services
    - Develop and manage professional services contracts
    - Manage central mail room

# Purchasing Department

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- 
- Purchase Contracts – All purchase contracts are for “things” (i.e., office supplies, vehicles, straw, inmate uniforms, soap, etc.). Purchase Contracts can also be for non professional service contracts. Service Contracts greater than \$20,000 must have M/WBE Utilization Plan.
  - Public Work Contracts – Contracts involving labor or a skilled trade (i.e., construction, window washing, etc.) for which the NYS DOL has established a prevailing wage rate. \$60,000 and above must have M/WBE Utilization Plan.
  - Professional Service Contracts – Contracts for services of a professional nature, including, but not limited to accounting, consulting, insurance, planning, training, research, public relations, marketing, advertising, architectural, engineering, surveying or other personal services of a consulting, professional or technical nature, for a fee, commission or other compensation. Contracts greater than \$20,000 must have M/WBE Utilization Plan.

# Definitions

- 
- All contracts for public work in excess of \$35,000
  - All purchase contracts in excess of \$20,000.
  - ...awarded to the lowest responsive, responsible bidder after advertisement for sealed bids... or Best Value
  - NYS GML §103 sets maximum bid threshold for public works at \$35,000

# Public Bid Thresholds

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- 
- State Contracts
  - Piggyback contracts
  - Sole Sources
  - Emergencies (true emergency, not self inflicted)
  - Second-hand equipment from another municipality
  - Professional Services Contracts (Over \$20,000 need M/WBE Utilization Plan)
  - Contracts with preferred sources (blind, disabled, corrections, veterans' workshops)
  - Energy performance contracts
  - True Leases

# Exceptions to Bidding

- 
- Advertisement published in official newspapers (*The Daily Record* and *Rochester Business Journal*, *Minority Reporter*)
  - Minimum of 5 days between publication and opening bids
  - Time and place of bid opening
  - County's public bid notices are published each week on Friday
  - Public bids can also be found on [monroecounty.gov/bid/public](https://monroecounty.gov/bid/public)
  - Download bid specs
  - Send courtesy invitations to possible bidders

# Advertising for Bids



monroecounty.gov

isn't your default browser [Set as default](#)

MONROE COUNTY, NY

MENU / DEPARTMENTS SEARCH

**CAREERS**  
JOB OPENINGS & EXAMS

**ecopark**

**ECONOMIC DEVELOPMENT**

**MINORITY & WOMEN OWNED BUSINESS ENTERPRISES**

**COVID-19 Information & Resources**

[GET VACCINATED](#) [GET TESTED](#) [Report Home Test](#) [Request Isolation Order](#) [Mandatory Quarantine Request](#)

[What to Do if You Test Positive or Are Exposed to COVID-19](#)  
[Resources & Updates](#) | [Isolation & Quarantine FAQ](#)

Pay Property Taxes / Research Property	Live 911 Traffic Incidents	Parks Maps / Reserve a Lodge or Shelter	Birth & Death Certificates	Register To Vote / Lookup Voter Info	Apply For Civil Service Exams & Jobs
ecopark & Hazardous Household Waste	Department of Motor Vehicles (DMV)	Start or Close DBA (Doing Business As)	Public Bids & Requests For Proposals (RFPs)	Freedom of Information Law (FOIL)	Jail Roster & Visitation

MonroeCounty.gov  
ADAM J. BELLO - COUNTY EXECUTIVE

Finance Home  
Purchasing Home  
Material Groups (Codes)  
Public Bids  
Public Bids with Specifications and Plans  
RFPs (Requests for Proposals)  
Bid Results

### Public Bids

If there are any questions regarding Monroe County bids, please contact Monroe County Purchasing and Central Services at 585-753-1100 or by fax at 585-753-1104.

#	Title and Info	Opening Date
<input type="checkbox"/> BP#0311-22	<b>HEAVY-DUTY WALK-IN STEP VANS</b>  <b>Pre-Bid Meeting On 4/6/22 01:00PM</b> Monroe County Fleet Department 145 Paul Road Rochester, NY 14624	4/26/22 11:00AM
<input type="checkbox"/> BP#0406-22	<b>BAGGAGE HANDLING SYSTEM INSPECTION &amp; EMERGENCY SERVICE</b>  <b>Pre-Bid Meeting On 4/12/22 02:30PM</b> FREDERICK DOUGLASS GREATER INTERNATIONAL AIRPORT 1200 BROOKS AVENUE INTERNATIONAL ARRIVAL HALL	4/28/22 11:00AM
<input type="checkbox"/> BP#0408-22	<b>FURNISH ONE (1) GODWIN 6" TRAILER MOUNTED PUMP</b>	5/4/22 11:00AM
<input type="checkbox"/> BP#0411-22	<b>DOMESTIC HOT WATER HEATERS</b> THREE HOT WATER HEATERS	4/28/22 02:00PM
<input type="checkbox"/> BP#0413-22	<b>Water Treatment Program and Chemicals</b> Addendum #1 posted 4/15/2022	4/25/22 02:00PM
<input type="checkbox"/> BP#0414-22	<b>Lawn Care Maintenance - Lawn Cutting</b>	5/3/22 11:00AM
<input type="checkbox"/> BP#0415-22	<b>Roofing Preventative Maintenance, Repair, and Replacement Services</b>	5/3/22 02:00PM
<input type="checkbox"/> BP#0416-22	<b>Norton Jewell CSOAP Structure Improvements</b>  <b>Pre-Bid Meeting On 4/19/22 09:00AM</b> CSOAP 243 Building located at the driveway entrance of the Seneca Park Zoo, 2222 St. Paul Street, Rochester, NY 14621	5/6/22 02:00PM
<input type="checkbox"/> BP#0417-22	<b>Drain / Pipe / Grit / Cleaning Service</b>	5/6/22 11:00AM
<input type="checkbox"/> BP#0418-22	<b>Kodak Alaris Scanners</b>	5/19/22 11:00AM
<input type="checkbox"/> BP#0419-22	<b>2021 RAM 3500 REGULAR CAB/CHASSIS, 4X4, DUMPBODY</b>	5/4/22 02:00PM
<input type="checkbox"/> BP#0420-22	<b>FIRE EXTINGUISHER, TESTING &amp; MAINTENANCE</b>	5/19/22 11:00AM
<input type="checkbox"/> BP#0425-22	<b>29' SAFEBOAT ENGINE REPLACEMENT</b>	5/17/22 11:00AM
<input type="checkbox"/> BP#407-22	<b>TURNOUT GEAR</b>	4/26/22 11:00AM

# Where to find current procurement.

Monroe County Vendor Master Request Form				
PLEASE E-MAIL COMPLETED FORM TO: <a href="mailto:MCVENDORREQ@MONROECOUNTY.GOV">MCVENDORREQ@MONROECOUNTY.GOV</a>				
Purpose of Request (Check One)				
Request Type	<input type="checkbox"/> CREATE NEW	<input type="checkbox"/> CHANGE EXISTING*		
* For a CHANGE Request, put CURRENT Vendor information here				
Vendor Number	<input type="text"/>	Vendor Name	<input type="text"/>	
* Provide NEW information below				
REMIT TO Address Information				
<b>E-MAIL (general)</b>		Add'l Address Info		
House Num & Street	<input type="text"/>	City	<input type="text"/>	
Postal Code	<input type="text"/>	State / Region	<input type="text"/>	
Country	<input type="text"/>	Phone Number	<input type="text"/>	
Main Contact	<input type="text"/>	Phone Number 2	<input type="text"/>	
PURCHASE ORDER Address Information				
<b>E-MAIL (for PO)</b>		Add'l Address Info		
House Num & Street	<input type="text"/>	City	<input type="text"/>	
Postal Code	<input type="text"/>	State / Region	<input type="text"/>	
Country	<input type="text"/>	Phone Number	<input type="text"/>	
SalesPerson (gets PO)	<input type="text"/>	FAX #	<input type="text"/>	
Requesting a Vendor number for an <b>INDIVIDUAL</b> : Attach a COPY of the individual's Social Security card				
Requesting a Vendor number for a <b>COMPANY</b> : Attach a COPY of the IRS assignment of the Federal TAX ID number				
Vendor Tax Information				
Social Security #	<input type="text"/> e.g. 111-22-3333	Fed Tax Identification #	<input type="text"/> e.g. 11-1234567	
If <b>currently</b> certified MWBE, attach state or county certification letter(s)				
If <b>see king</b> to be certified as MWBE by Monroe County visit DEI website <a href="https://www.monroecounty.gov/dei-mwbe/apply">https://www.monroecounty.gov/dei-mwbe/apply</a>				
Vendor Minority/Woman-Owned Business Certification (check as many as apply)				
<input type="checkbox"/>	State Certified Minority	<input type="checkbox"/>	Monroe County Certified Minority	
<input type="checkbox"/>	State Certified Woman	<input type="checkbox"/>	Monroe County Certified Woman	
Vendor Payment Terms				
Payment Terms	<input type="checkbox"/>	Pay Immediately (Z000)	<input type="checkbox"/>	Net 30 Days (Z026)
	<input type="checkbox"/>	Net 15 Days (Z002)	<input type="checkbox"/>	Net 45 Days (Z015)
	<input type="checkbox"/>	Net 20 Days (Z014)	<input type="checkbox"/>	<b>OTHER:</b> <input type="text"/>
Purchasing Data				
Shipping Terms	<input type="text"/> e.g. FOB Destination	Vendor's Account #	<input type="text"/>	
Monroe County Requester Information				
Requester Name:				
Requester Department:				
Requester E-Mail:				
<b>Notes / Comments:</b>				
MONROE COUNTY PREFERS TO MAKE PAYMENTS VIA ACH PLEASE PROVIDE THE VENDOR ACH ENROLLMENT FORM TO NEW VENDORS				
If applicable, indicate <b>MATERIAL GROUPS</b> on page 2				

- Available on [monroecounty.gov](http://monroecounty.gov) (Purchasing – Doing Business with Monroe County)
- Updated in 2022 to capture MWBE and Veteran Owned Business information
- Used to send Requests for Quotations (RFQ's)

# Vendor Registration Form

- 
- County's MWBE goals became law in 2021
  - 12% minority owned business enterprise (MBE)
  - 3% women owned business enterprise (WBE)
  - Includes public works projects over \$60,000, All Professional Service Contracts over \$20,000, and Service Contracts over \$20,000
  - Contracts NOT executed without MWBE Utilization Plan or Exemption.

# MWBE Goals

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- 
- County contracts executed posted online
  - <https://contracts.monroecounty.gov/search/access>
  - County Contracts (County specific contracts; expense, revenue, inter municipal agreements)
  - Municipal Use Contracts
  - Grants and leases are not posted online

# Contracts Online

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## **Email Purchasing for Vendor Registration Form**

[mcpurchasing@monroecounty.gov](mailto:mcpurchasing@monroecounty.gov)

## **Bids/ RFP/RFQ/Request for Competitive Offering currently out to bid**

<https://monroecounty.gov/bid/list/public>

## **Newspapers Monroe County Advertises in**

Daily Record

Rochester Business journal

Minority Reporter

## **Contact Monroe County Purchasing by Location and Phone**

Monroe County Purchasing

39 W. Main Street, Room 200

Rochester, New York 14614

585-753-1100

# Where to get information

# Training Session #3: University of Rochester

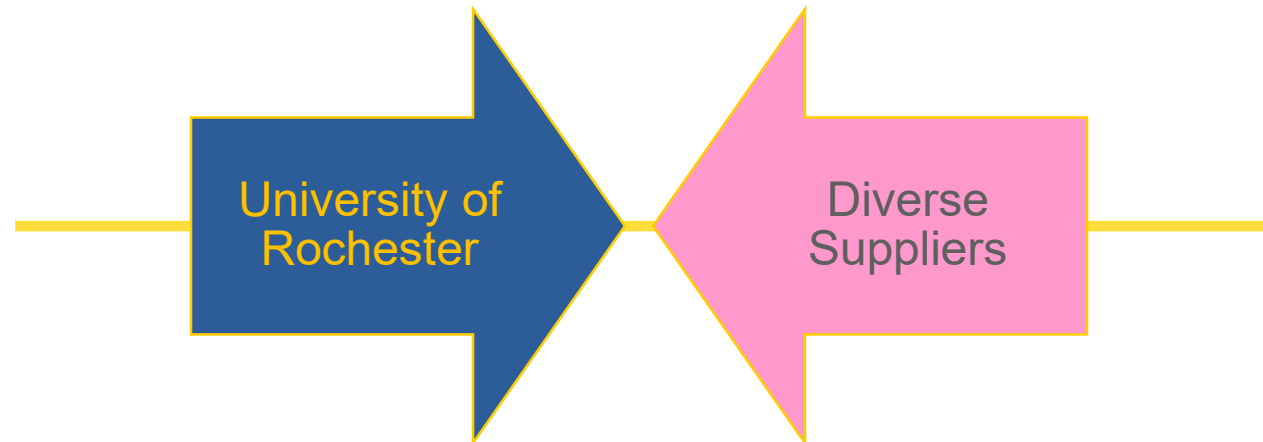
- Dan Colosi – University of Rochester
- Kristin McCann – University of Rochester



# University of Rochester

## Supplier Registration & Qualification Process

July 25, 2023



# Presenters

- Dan Colosi – Category Manager Lead
  - University of Rochester Supplier Qualification
- Kristin McCann – University of Rochester
  - Insurance Requirements





# Types of Required Registration

1. Supplier Diversity Registration Portal
2. University of Rochester Supplier Qualification
3. Planning & Project Management Pre-Qualification (Construction vendors)

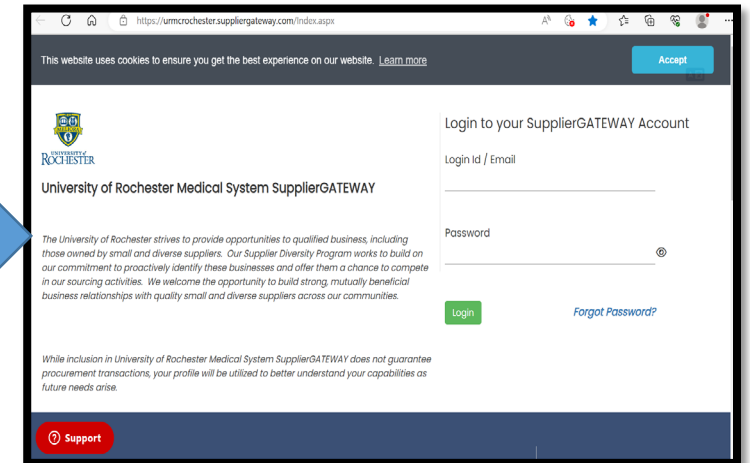
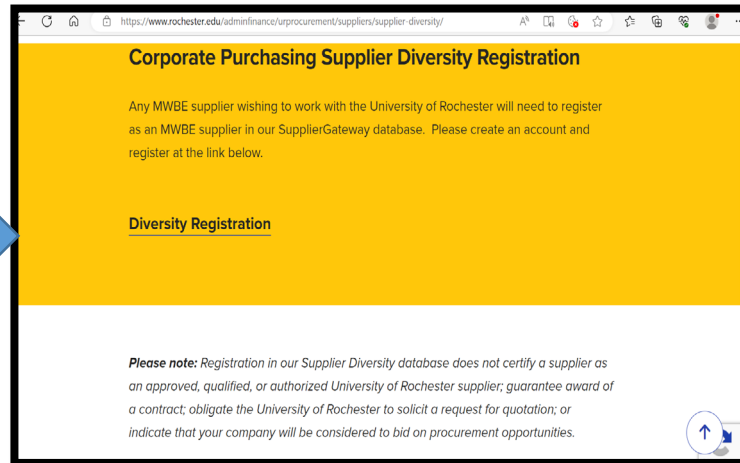
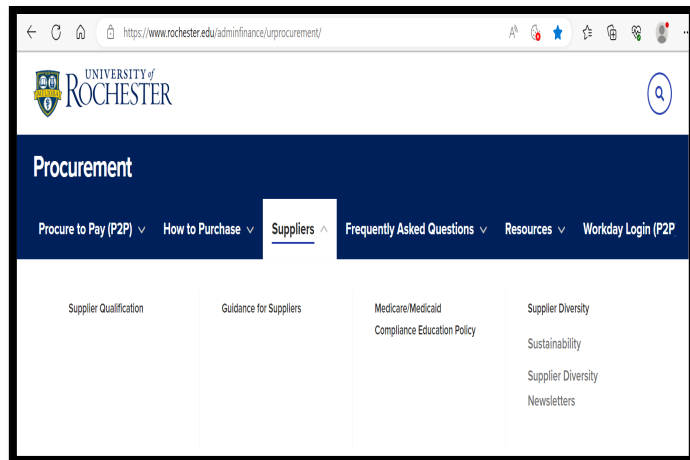


# Supplier Diversity Registration Portal



# Supplier Diversity Registration Portal

[University of Rochester Medical System \(supplierngateway.com\)](https://www.rochester.edu/admin/finance/urprocurement/suppliersupplier-diversity/)



# University of Rochester Supplier Qualification



# Standard Supplier Registration Process for University of Rochester



# Key Requirements

Supplier Application via  
Workday Platform

Mutually Agreed Terms &  
Conditions

Certificate of Insurance



# Standard Insurance Requirements

(a) **Commercial General Liability** insurance written on occurrence basis with the following limits:

General Aggregate Limit	\$2,000,000
Products/Completed Operations	\$1,000,000 aggregate
Personal Injury and Adv. Injury Limit	\$1,000,000 ea. person/organization
Bodily Injury & Property Damage Limit	\$1,000,000 each occurrence
Fire Damage	\$50,000 (any one fire)
Medical Expense	\$5,000 (any one person)

(Pollution Liability Endorsement of \$1,000,000 per occurrence will also be needed in the event hazardous materials are to be involved.)

No exclusions for: Product/Completed Operations; Contractual Liability; Independent Contractors; Personal & Advertising Injury.

(b) **Automobile Liability:** Any Auto Owned, Hired and Non-Owned

(Pollution Liability Endorsement of \$1,000,000 per occurrence is also required in the event hazardous materials are to be involved.)

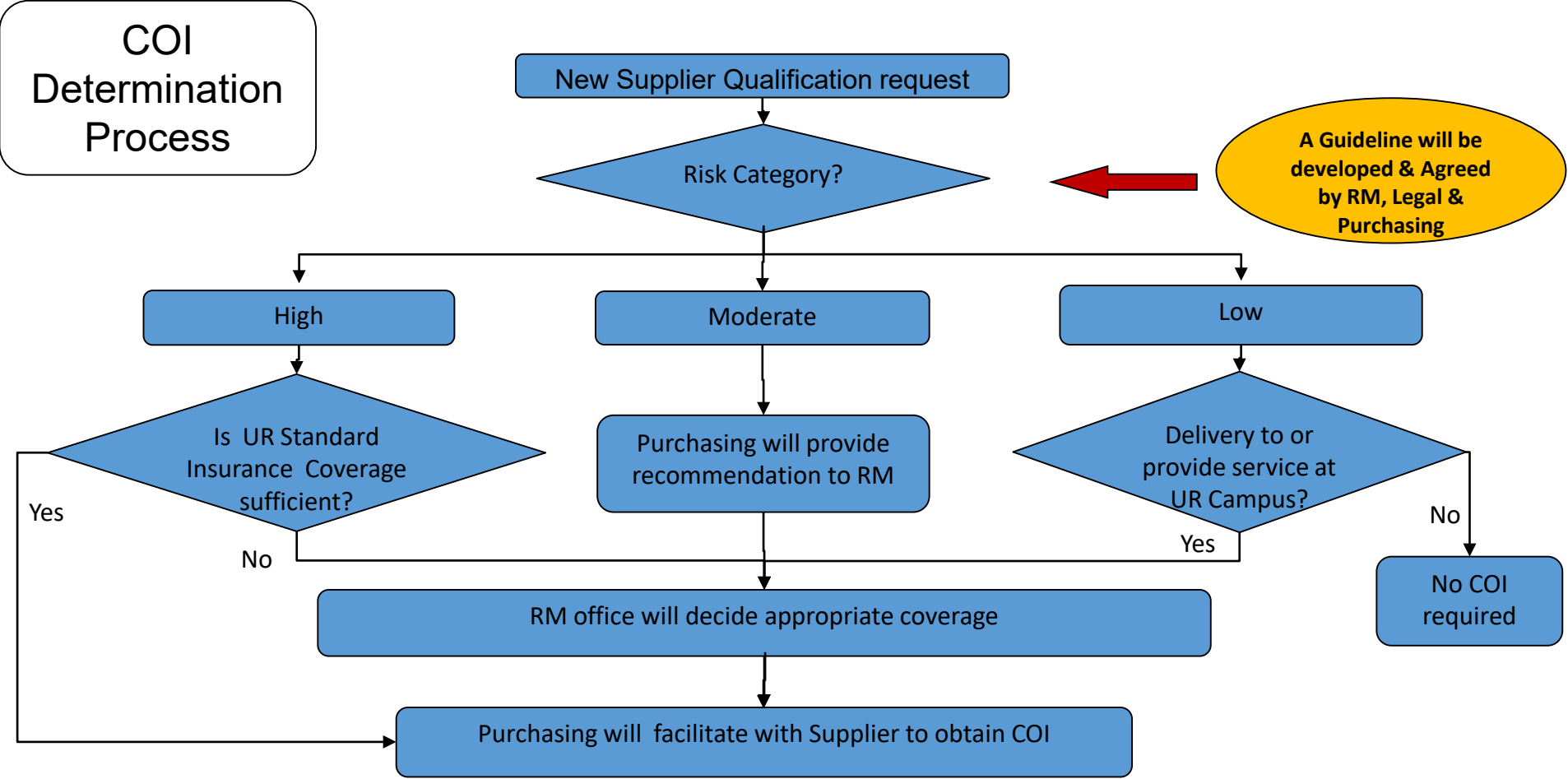
Combined Single Limit for Bodily Injury & Property Damage	\$1,000,000 ea. accident/aggregate
--	------------------------------------

(c) **Excess "Umbrella" Liability** \$3,000,000 ea. occurrence/aggregate

The umbrella coverage shall be no more restrictive than underlying coverage.



# Determining Coverage Limits





# Planning & Project Management Pre-Qualification



# PPM Pre-Qualification

**Diverse Construction Suppliers** can find the Planning & Project Pre-Qualification forms online <https://www.rochester.edu/adminfinance/urprocurement/suppliers/supplier-diversity/>

## Facilities and Construction Supplier Diversity Registration Forms

If you have any questions about Facilities or Construction projects, please contact [Mario Roque](#) for assistance.

[Facilities Contractors Form](#)

[Facilities Consultants Form](#)

[Master Standard General Terms and Conditions](#)



Questions?



# Training Session #4: Access to Capital

- Rokele Mikell – Castillo - Monroe County Economic Development
- Virginia Smith – University of Rochester
- Jennifer Mainhardt – Arkview Capital
- Liz Duncan-Gilmour – The Caymitte Group





MONROE COUNTY

# ECONOMIC DEVELOPMENT

## ACCESS TO CAPITAL

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### **Department of Planning & Development**

*Monroe County, New York*

**Adam J. Bello**  
*County Executive*

**Ana J. Liss**  
*Director*

**July 2023**

# Monroe County Economic Development

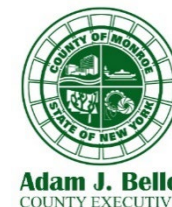
Monroe County Industrial Development Corporation (MCIDC) lending programs are offered for various business activities including job creation and gap loan financing.

## PROGRAM QUICK REFERENCE:

**MicroAdvantage Loan Program:** The MicroAdvantage loan program provides micro loans for valid business operating expenses and targets those underserved businesses and those who have had their access to capital negatively impacted by the COVID-19 crisis.

**The SBA 504 Loan:** program provides long-term financing for the purchase of land, buildings and equipment at a fixed-rate of interest.

\*Mortgage Recording Tax Exemption



# Monroe County Economic Development

## MicroAdvantage Loan Program

The MicroAdvantage program provides loans between \$10,000 and \$50,000 for qualified applicants and technical assistance to local small businesses, with a focus on certified MWBE enterprises and Service Disabled Veteran Owned Businesses. The microloan program is intended to serve as gap financing when other sources of capital are not available.

### **Businesses must meet the following criteria:**

- Business Type: For-profit companies; LLPs, LLCs, Sole Proprietorships, Partnerships, C-Corps, and S-Corps.
- Location: Headquartered in Monroe County, NY.
- Revenue: Less than \$4.0 million in annual revenue, based on Federal Tax Return.
- Employees: 25 or fewer W-2 based FTEs at the time of submitting your application.
- Other: Companies must be able to provide that the funds will be used to respond to the negative economic impacts of COVID-19.

# Monroe County Economic Development

## MicroAdvantage Loan Program

- Approximately \$5 million will be available to be loaned to qualified small businesses
- The loan amounts range from \$10,000 to \$50,000. Loan Terms up to 5 years
- Uses to pay for valid business operation expenses
- Interest rate Prime + 0% fixed at closing
- Certified W/MBE and Certified Service Disabled Veteran Owned Business receive rate and fee discounts



# Monroe County Economic Development

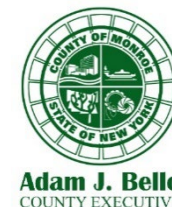
## SBA 504

This program provides long-term financing for the purchase of land, buildings and equipment at a fixed-rate of interest. Funding for SBA 504 loans is provided through a partnership between the Small Business Administration (SBA) and a private sector lender such as a bank.

### Under a typical SBA 504 scenario:

- **50%** of the financing for the project is provided by a bank at a rate determined by the bank.
- **40%** is provided by the Small Business Administration through the Monroe County Industrial Development Corporation (MCIDC) in the form of a fixed-rate SBA-guaranteed debenture.
- **10%** in equity is provided by the business.

*\*The SBA can guarantee payment of debentures for as little as \$100,000 and up to \$5,500,000 (for qualified manufacturing projects).*



# Monroe County Economic Development

## SBA 504 SAMPLE PROJECT

### Use of Proceeds:

Land Purchase.....	\$100,000
Building Construction.....	400,000
Equipment.....	0
Soft Costs.....	0
<b>Total Project Cost.</b>	<b>\$500,000</b>

### Source of Funds:

Bank (50%).....	<i>1st Mortgage</i>	\$250,000
SBA (40%).....	<i>2nd Mortgage</i>	200,000
Equity (10%).....		50,000
<b>Total.</b>		<b>\$500,000</b>

### SBA Fees\*:

Net Proceeds.....	\$200,000
CDC Processing Fee (1.5%).....	3,000
Closing Costs.....	2,500
Reserve Fee (.5%).....	1,000
Funding Fee (.25%).....	500
<b>Subtotal.</b>	<b>\$207,000</b>
Underwriting Fee (.4%).....	832
<b>Total.</b>	<b>\$207,832</b>
<b>Gross Debenture.</b>	<b>\$208,000 (rounded up)</b>

\*Mortgage Recording Tax Exemption

# Monroe County Economic Development

- **Websites:**

<https://monroecountybusiness.org/>

<https://www.monroecounty.gov/planning-microloan>

**General Contact Information:**

Phone: 585.753.2000

Email: [economicdevelopment@monroecounty.gov](mailto:economicdevelopment@monroecounty.gov)  
[microadvantageloan@monroecounty.gov](mailto:microadvantageloan@monroecounty.gov)

- **Economic Development Contacts:**

- Ana Liss, Director of Planning and Development  
585.753.2012

- Rokele Mikell-Castillo, Senior Economic Development Specialist  
585.753.2041

- S. Conor Martin, Economic Development Specialist  
585.753.2059

- Mark Wilson, Economic Development Specialist  
585.753.2054



U.S. Small Business  
Administration

# What is the SBA?

The U.S. Small Business Administration (SBA) aids, counsels and assists Americans as they start, operate and expand their businesses

- Facilitate access to **capital**
- Provide **counseling** and training
- Increase federal procurement/**contracting** opportunities



**START • GROW • EXPAND • RECOVER**

# The SBA Resource Partner Network

Access the right tools at the right time—wherever you are.



Approved and funded by the SBA



1,400+ partner offices nationwide



Find local resource partners near you at [SBA.gov/local-assistance](https://www.sba.gov/local-assistance)



# Need a Business Loan to Start, Grow, or Expand?



The SBA works with approved lenders to offer **microloans** and **SBA-backed loans** with:

- Competitive terms
- Lower down payments
- Flexible overhead requirements
- Counseling and education



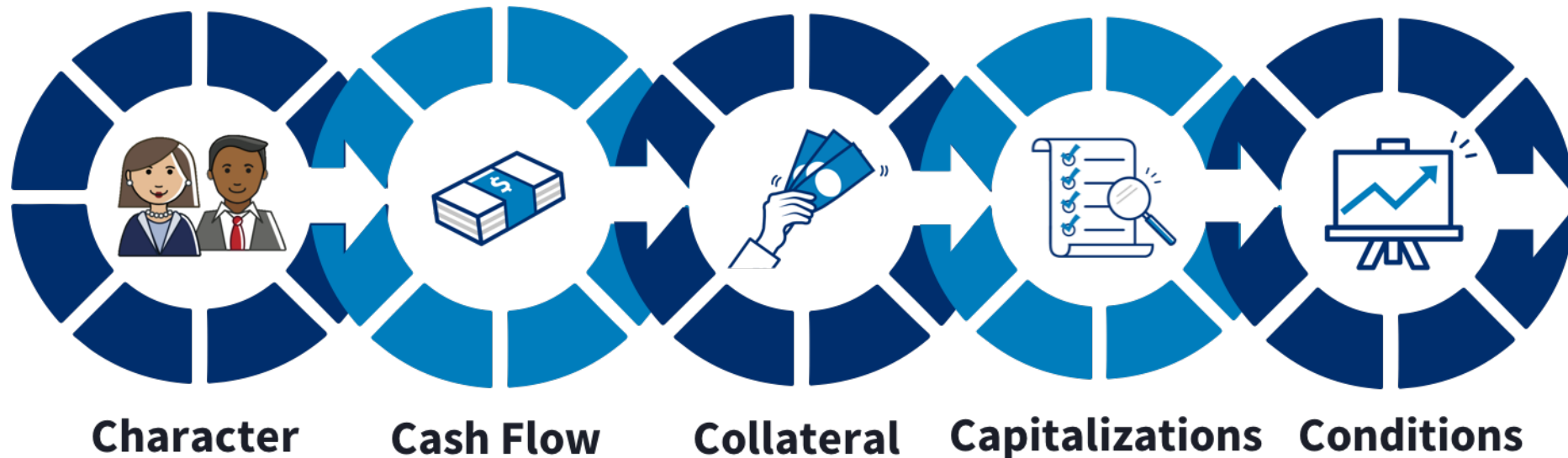
# Questions to ask Yourself

- How much money do I need?
  - Requires business plan and financial projections
- How much control do I need?
- What is my bargaining position?
- What type of business is it?
  - Not-for-profit, lifestyle or high growth?
- What type of capital is most appropriate?
  - Not all funding sources are equal



# Determine Your Creditworthiness

Your local SBA District Office or SBA Resource Partners can work with you to determine your creditworthiness using the **5 Cs Model**:



# Increase Your Chances of Securing a Loan

Lenders want to know they're making a smart choice by giving you a loan. Your local SBA Resource Partners can help you develop your:



- **Business plan**
- **Expense sheets**
- **Financial statements**
- **Financial projections**

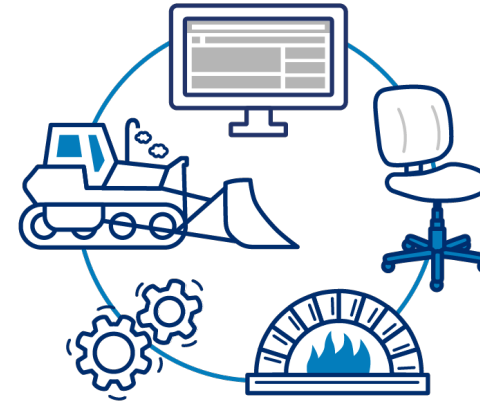
# Business Funding Process

- Determine amount of funding you require
- Decide which type of funder you will approach
- Prepare your financial ask, aka “pitch”
- Consider what funders/partners review:
  - Credit, collateral, character, capacity, commitment
- Schedule a meeting with a funder....
  - Now what?

# How Can an SBA-backed Loan Help You?



- Launch, grow, or repair a start-up
- Start or purchase a small business
- Access revolving credit or working capital for day-to-day expenses



- Purchase, renovate, or expand facilities
- Purchase inventory, equipment, or machinery
- Purchase land or real estate
- Export a product or service

*Primarily a guarantor of loans made by private and non-profit institutions  
(SBA Lenders)*

*SBA does not offer grants to start or grow small businesses*

# Lender Match helps you find lenders.

Lender Match (formerly LINC) is a free online referral tool that connects small businesses with participating SBA-approved lenders.

[FIND LENDERS](#)



# Lender Match



Find an SBA-approved lender that's right for you by visiting

[SBA.gov/lendermatch](https://www.sba.gov/lendermatch)

# Need to be Bonded to Bid on a Contract?



The **SBA Surety Bond Program** guarantees surety bonds from select providers so more small businesses can qualify for and win work.



# Are You Ready to Consider Federal Contracting?



The world's largest customer, buying all kinds of products & services



Required by law to provide contract opportunities to small businesses



Evaluate your readiness & learn more by visiting [SBA.gov/contracting](https://www.sba.gov/contracting)





# Qualify for Federal Contracts with Certifications



The SBA works with federal agencies to award at least 23% of all prime government contracting dollars each year to small businesses that are certified with the **SBA's contracting programs**. Programs include:

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8(a) Business Development Program

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Historically Underutilized Business Zones (HUBZone) Program

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Women-Owned Small Business (WOSB) Program

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Service-Disabled Veteran-Owned Program

Learn more and determine your eligibility at [certify.SBA.gov](https://certify.sba.gov)

# All Small Mentor Protégé Program

Gain valuable business development insight from mentors who are experience government contractors. Mentors can help you:



- **Strategize** contracting & partnership opportunities
- **Navigate** the bidding and acquisition process
- **Manage** contracts by securing the appropriate business and financial systems, resources, and financial assistance

# Follow Us

[www.sba.gov](http://www.sba.gov)

[Home Page](#) | [Twitter](#) | [Instagram](#) | [Facebook](#) | [YouTube](#) | [LinkedIn](#) |  
[Email Alerts](#)

[virginia.smith@sba.gov](mailto:virginia.smith@sba.gov)



U.S. Small Business  
Administration



*Thank you!*



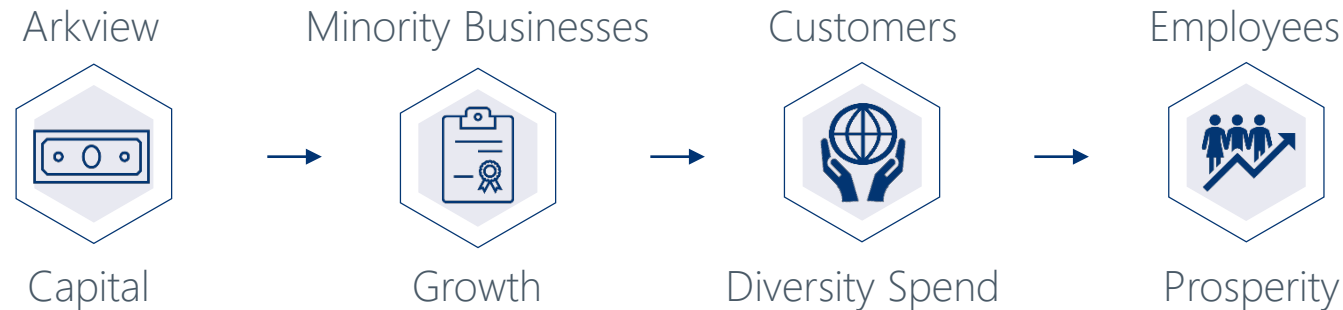
UPSTATE NY SUPPLIER  
DIVERSITY TRAINING & EXPO

July 25 2023

# ARKVIEW CAPITAL

**A private equity firm focused on investing in diversity-oriented businesses**

- Vision**
- Diversity is good business: companies aligned with diverse customer base will succeed long-term
- Investment Thesis**
- Diversity is a secular megatrend: US minority population will be majority by 2045
  - Minority businesses will grow faster and be more resilient than the competition
  - Large corporates across all sectors are increasing their spend with diverse suppliers
  - Sufficient capital is not flowing to support Minority Business Enterprises (“MBE”)
- Approach**
- Arkview, as a certified MBE fund, is a unique equity partner for MBEs
  - Liquidity for diverse founders while preserving MBE designation
  - Capital for companies bidding on minority supplier contracts
  - Transformation of companies into MBEs to accelerate growth
- Substantial Traction**
- To-date, Arkview has invested in four MBE companies with total enterprise value of ~\$450M



# MBE VALUE CREATION

Help MBEs to maximize success and prosperity



## Focus on Sectors Where Diversity Matters

- Industries serving diverse customers
- Partner with NMSDC to identify sectors adding to diversity



## Favor MBEs Serving Fortune 1000

- Corporates have made large commitments to MBEs
- Network with Chief Procurement Officers seeking diverse suppliers



## Partner with Founders in Need of Growth Capital

- Select businesses with large growth opportunity but limited capital
- Founders looking to exit create business and certification risk



## Pursue New and Existing Customers

- Grow with existing / new customers looking for diverse suppliers
- Active participation in minority business conferences



## Execute on M&A

- Identify MBE/non-MBE targets with synergies
- Improve margin profile, customer concentration, cross-selling, scale

# CORE INDUSTRY SEGMENTS

Minority-owned portfolio can provide a full suite of products & services to large corporations


BUSINESS SERVICES	TRANSPORTATION	CATERING & FOOD
<ul style="list-style-type: none"> <li>• Procurement services</li> <li>• Payrolling</li> <li>• Managed services</li> <li>• Staffing</li> <li>• IT VARs &amp; consulting</li> <li>• Call centers / customer support</li> <li>• Commercial printing</li> <li>• Supplies</li> </ul>	<ul style="list-style-type: none"> <li>• Valet services</li> <li>• Self-parking</li> <li>• Transportation services</li> <li>• Freight management</li> <li>• Shuttle service</li> <li>• Consulting services</li> <li>• Concierge service</li> <li>• Courier services</li> </ul>	<ul style="list-style-type: none"> <li>• Foodservice distribution</li> <li>• Cafeteria services</li> <li>• Dining services</li> <li>• Vending machines</li> <li>• Coffee &amp; team supplies</li> <li>• Baked goods</li> </ul>
BANKING & FINANCIAL	MAINTENANCE	INDUSTRIAL
<ul style="list-style-type: none"> <li>• Treasury services</li> <li>• Cash management &amp; deposits</li> <li>• Accounts receivable management</li> <li>• Financial advisory services</li> <li>• Small business loans and revolvers</li> <li>• Commercial loans</li> <li>• Accounts receivable management</li> <li>• Collection services</li> <li>• Revenue cycle services</li> <li>• Accounts payable</li> <li>• Audit and recovery</li> </ul>	<ul style="list-style-type: none"> <li>• Elevator maintenance</li> <li>• Electrical services</li> <li>• Energy &amp; utilities</li> <li>• Waste</li> <li>• Security</li> <li>• Pest control</li> <li>• Snow removal</li> <li>• Laundry services</li> <li>• Landscaping</li> <li>• Janitorial</li> <li>• HVAC</li> </ul>	<ul style="list-style-type: none"> <li>• Construction</li> <li>• Project management</li> <li>• Environmental remediation</li> <li>• Architectural services</li> <li>• Component manufacturing</li> <li>• Training</li> <li>• Packaging</li> </ul>

Products & Services offered by existing Arkview portfolio  
 Products & Services offered by companies in Arkview's active pipeline



# CORPORATE BUY-IN

Large corporates across all sectors are increasing their commitments to supplier diversity

Company	Supplier Diversity Statements	MBE Spend
 <p>FCA FIAT CHRYSLER AUTOMOBILES</p>	<p>"FCA's commitment to diversity and inclusion also extends to our supply chain. FCA believes the diversity of our suppliers should reflect the diversity of our workforce and the communities in which we do business."</p> <p>2019 FCA Sustainability Report</p>	<p>\$8.8B 8% of Total</p>
 <p>verizon</p>	<p>"Providing the best service on the best network means working with a diverse set of suppliers...a diverse and inclusive supply chain is not only the right thing to do, but it's smart business."</p> <p>Hans Vestberg, Verizon Chairman and CEO</p>	<p>\$5.8B 9% of Total</p>
 <p>Microsoft</p>	<p>"Microsoft serves diverse markets globally, and we are convinced that our supplier diversity initiatives are a key competitive advantage, helping us win new business, retain customers, and reinforce the Microsoft brand."</p> <p>Fernando Hernandez, Director of Supplier Diversity</p>	<p>\$4.4B 5% of Total</p>
 <p>BOEING</p>	<p>"Not only is supplier diversity a competitive advantage for the company, it is the law when you're working on Department of Defense projects. Even on commercial programs, supplier diversity is a business imperative."</p> <p>Joan Robinson-Berry, VP of Supplier Management</p>	<p>\$3.5B 9% of Total</p>
 <p>PG&amp;E Corporation</p>	<p>"At PG&amp;E, we understand that promoting diversity is the right thing to do and it's also right for our business. Diversity has been a core PG&amp;E value for decades."</p> <p>Michael Lewis, Interim President (2019)</p>	<p>\$3.4B 40% of Total</p>
 <p>Cigna</p>	<p>"Cigna believes the success of minority- and women-owned businesses and other under-represented suppliers adds to our success and to that of the communities we serve."</p> <p>CIGNA Diversity Supplier Statement</p>	<p>\$0.5B 10% of Total</p>

**Corporates need help to fulfill supplier diversity goals**

# PORTFOLIO

## Arkview supported a number of successful MBEs since 3Q 2021



Largest minority-owned mobility and parking operator with 180 locations in NYC, managing garages for leading hotels, hospitals and real estate firms



Leading minority-certified business services company offering a diverse set of products to Fortune 1000 clients, including staffing, payroll, procurement optimization and managed services



Premier low emissions fleet, managed by a diverse workforce, that provides industrial chemicals transportation services to the largest chemical companies in the world



One of three multi-racial banks, or Minority Depository Institutions ("MDI"), in the US serving the majority minority communities in Southern California

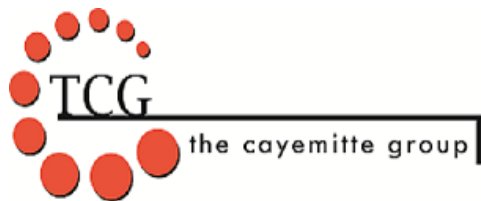
1. The Invested Capital shown at cost and at current estimated value include capital deployed by the Arkview Capital Fund I as well as co-investments made in Arkview acquired companies  
2. The returns are based on valuation estimates as of 12/31/22 for Arkview Capital Fund I as well as co-investments made in Arkview acquired companies. Excludes Icon Parking, as it was acquired in March 2023



# ***Meeting Diversity Goals***

## ***We Bring Solutions to Projects***

# EXECUTIVE SUMMARY



## Capacity Building

- **NYPA Surety Bond Program and NYPA Small Business Program** – We are performing outreach for small, MWBE and SDVOB contractors and small businesses that work in the NYPA space. We cultivate project ready firms prepared to work as primes for NYPA.
- **GOAL: Create a Pool** of qualified, certified firms relative to project size
- Introduce a **proven method** for primes to meet the required local and diversity goals and avoid penalties or fines
- Position subs to **qualify** for bonded projects that ordinarily are out of reach (between \$750,000 and \$3mil)

# NYPA SURETY BONDING

## PROGRAM

### PROGRAM ADMINISTRATOR

The Cayemitte Group, a certified NYS MBE, has been running successful bonding education programs since 2009 and has continually innovated to find solutions that level the playing field between diverse businesses and their majority-owned counterparts.

New York Power Authority (NYPA) is excited to announce the launch of the 2nd Cohort of the NYPA Surety Bonding Program. As part of its Ten-Point DEI plan, this 9-month education program has been designed to optimize MWBE and SDVOB participation on NYPA projects.



#### PROGRAM LAUNCH

Class Starts Tuesday June 25. All sessions are held remotely over Zoom and recorded for later viewing



#### CLASSES & WEBINARS

38 classes and webinars featuring subject matter experts. Topics include accounting & finance, operations, project management, contract law, and more!



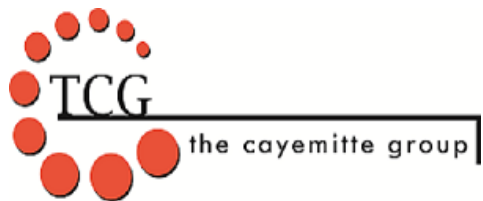
#### ONE-ON-ONE CONSULTING

Each firm will receive tailored consulting services that will address financial and project management issues that stand in the way of achieving the optimal bond line.

To complete an online application, visit

<https://applications.tcgprograms.com/TCG/NYPAbondingprogram>

# EXECUTIVE SUMMARY

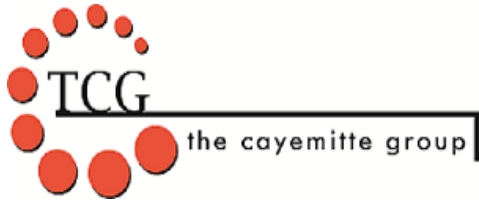


## 3 Companies Focused on Goals

- We Educate, we Mitigate, we Bond, we Insure.
- We position diverse firms to qualify for projects otherwise not attainable

## Benefits

- ✓ Increased pool of certified firms that **qualify** for contracts of \$1mil+
- ✓ Prime **meets or exceeds** mandated diversity goals using both hard construction spend and insurance premium dollars via our innovative strategy



**Project Manager  
Insurance Brokerage**

**Executes CCM and manages  
platform**

**Partner with global brokers  
to meet goals via insurance**



**cayemitte capital management**

**Product used for Funds  
Administration**

**Funds Administration  
product to manage  
payment bond risk and  
other exposures**



**EMBRACE  
PARTNERS**

**Project Oversight  
Wholesale Insurance**

**Mitigates performance  
bond risk  
Primes can apply insurance  
premium toward goals**



**Non-profit education  
services**

**Training, development &  
financial presentation  
enhancement for subs**

**Integrated Solution**

## Capital Management



**Administered \$29mil in capital management contracts**

## Surety Credit



**Obtained \$350 mil in surety credit and supported \$285mil in bonded contracts**

## Mentorship Programs



**Mentored 570+ firms**

## CM/Construction Projects



**Managed \$30mil in construction contract projects**

# Results





**CAPITAL  
MANAGEMENT**



**PROJECT FIELD  
MANAGEMENT**



**EDUCATION  
AND TRAINING**

# Overview and Platform



# Education and Training

*Without the educational component, the company is missing a critical piece of the puzzle towards sustainable growth*

- **Financial** - Partnering with a construction CPA and QuickBooks trainer, the goal is to increase financial literacy and develop a strong financial presentation for the firm
- **Project** – project management support assures that sub performs smoothly and that small problems are addressed before they become big problems.
- **Operations** - training will provide the contractor with the tools to understand how to effectively manage the company, both from a project side and management perspective
- **Back Office** – develop skills to manage all administrative tasks, insurance renewals, bond requirements, efficiently



**TCG has employed its Capital Management platform to further mitigate our risks and to help us to learn back office best industry practices**



Winston Warner, Jr. – President, Premier Enterprises

# Premium Dollars Apply Toward Goals

**We offer a unique and unprecedented proposition for meeting goals.**

The Cayemitte Group (“TCG”) is a minority-owned full-service insurance brokerage.

Embrace Partners is a minority-owned wholesale insurance broker.

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Both firms are registered as minority-owned suppliers with the NMSDC, providing multiple avenues for to meet goals.

***When a project owner/prime/CM, TCG and Embrace all work through the NMSDC, all dollars exchanged for goods and services will apply toward goals, including premium dollars.***

***NYS goals work differently, allowing our income on insurance placements to apply toward goals.***

# Building Contractor Capacity



## Mentored 570+ firms

### Contracts with:

- NYPA – Surety Bonding and Small Business Programs
  - DASNY – Dormitory Authority, State of New York
  - Newark Community Economic Development
  - NYS Department of Transportation (DOT)
  - Peoria County - Contractor Development Initiative (Illinois)
  - New Jersey Economic Development Association
  - NYS Home and Community Renewal
  - NYC Housing and Preservation Development
- 
- Obtained **\$315mil** in surety bond lines for program participants and supported **\$285mil** in contracts requiring surety bonds

# The Cayemitte Group

37 Station Drive  
Princeton Junction, New Jersey 08550  
609-521-4200 (Main Office)  
[www.cayemittegroup.com](http://www.cayemittegroup.com)

**We value the opportunity to  
be a partner in your success**

Todd Middlebrook  
National Program Manager  
[tmiddlebrook@cayemittegroup.com](mailto:tmiddlebrook@cayemittegroup.com)  
203-209-3829 (mobile)

Liz Duncan-Gilmour, Esq.  
SVP and General Counsel  
[l.duncangi@cayemittegroup.com](mailto:l.duncangi@cayemittegroup.com)  
845-616-2709 (mobile)