



# **REGIONAL ENTREPRENEUR SUPPORT PROGRAM & OPERATIONAL NEEDS DATABASE (RESPOND)**

Ulster County Small Business Advisory Initiative

*Region: Ulster County*

*Duration: May 2020 to December 2020*

*Focus: Entrepreneurs, Small Business Owners, M/WBEs*

*Prepared for: Evelyn Wright & Lisa Berger*

*Ulster County, Office of Economic Development*

*Prepared by: Danny Potocki & Johnny LeHane*

*Hudson Valley Center for Innovation dba Accel7, ESD Certified Business Incubator*

This information has been prepared with the understanding that all parties are operating under the agreement to not disclose ideas, information and/or content presented in this document, and/or supporting documents and materials and/or virtual and in-person communication, without expressed verbal and written consent by both participating parties, pertaining to the idea, concept, formation, registration and distribution and/or other forms of development of the project.

---

# TABLE OF CONTENTS

<b>01 Project Activities, Results &amp; Implementation</b>	<b>03</b>
01.1 Project Activities	03
Community Webinars	04
Industry Diagnostic Seminars	05
Company Deep Dive Sessions	05
Qualification Method: Company Deep Dives	06
RESPOND Energy, Expertise & Experience	07
01.2 Data & Research Approach	08
Survey & Database Method(s)	08
RESPOND Community	09
<b>02 Program Budget &amp; Management</b>	<b>10</b>
02.1 Program Assistance	10
02.2 Program Budget	10
RESPOND Timeline & Tasks	11
<b>APPENDIX</b>	<b>12</b>
Organization Information	12
Code of Conduct	14
Conflict of Interest Policy	15
Workers Compensation	18
Company Insurance	19

# 01 PROJECT ACTIVITIES, RESULTS & IMPLEMENTATION

## 01.1 Project Activities

Ulster County RESPOND will **facilitate capacity building** with entrepreneurs and small business owners (and teams) during the COVID19 pandemic by providing strategy support coaching.

Specifically, entrepreneurs and owners will receive guidance, coaching, and advisory to support the **development of a Business Roadmap** focused on taking actions to implement strategy and operations decisions in the COVID19 pandemic (and beyond).

RESPOND will be driven by three main project activities, including:

- Community Education Webinars, available to all businesses in Ulster County;
- Industry Diagnostic Seminars, held in small groups of businesses per industry/sector;
- Company Deep Dives, scheduled with companies based on qualification for support.

### **RESPOND will facilitate activities in the following way(s):**

#### *01 Community Webinars*

- Assess survey data in coordination with Ulster County to plan sessions;
- Invite businesses to attend a series of Community Webinars;
- Survey participants who attend a Community Webinar(s).

#### *02 Industry Diagnostic Seminars*

- Assess survey data in coordination with Ulster County to plan small groups;
- Collaborate promotion with regional stakeholders (e.g. Rondout Valley Growers Association, Farm Bridge, and HVH for farmers);
- Invite businesses per industry/sector to attend a Company Diagnostic group seminar;
- Survey participants who attend a Company Diagnostic seminar.

#### *03 Company Deep Dives*

- Assess survey data in coordination with Ulster County to assess who qualifies for Deep Dive Sessions;
- Survey qualified businesses to prepare information for the Deep Dive session;
- Schedule Deep Dives to focus on the core need identified by the business and RESPOND;
- Survey participants for a lifecycle of either 12-weeks or 24-weeks, to collect data.

The RESPOND team will work with Ulster County to develop and improve the qualification process, as needed.

### **Community Webinars (Topic Specific)**

Entrepreneurs, businesses, and other participants across the community, will receive guidance and insights from a subject matter expert(s) and professional service provider(s) in a series of seminars and webinars, with a focus on building resiliency in COVID19 and beyond. The sessions will be curated to educate businesses on best practices for strategy and operations in a challenging business climate, and encourage peer learning, networking, and community development. Accel7 will leverage partnerships to deliver education and training, and provide access to business tools for all participants and the community.

## **Education: RESPOND can serve up to 300 participants each session**

Accel7 has and is planning on hosting a webinar on COVID19 business continuity and resiliency at least once per week over the course of six months, including but not limited to the following sessions:

- Your Why in a COVID19 Economy
- Market Research for Post COVID19
- Renegotiating Contracts in COVID19
- Human Resources in the COVID19 Crisis
- Budgeting & Projections in 2020 and Beyond
- Researching & Tracking Your Path to Money
- Risk Management Operational Guidance
- Assessing Your Company's Financial Health
- Growth Mindset in COVID19
- Relationship Management in Today's Economy
- Converting Customers in our Economy
- Assessing KPIs for Your Business
- Key Tools for Managing Your Brand
- Self Care in the Post COVID19 Economy

Accel7 is planning on hosting a webinar on business functions and business planning, in addition to the COVID19-focused webinars, routinely throughout the project duration. Topics include, but are not limited to:

- Customer Journey Mapping
- Jobs To Be Done Methods
- Customer design
- Product Ideation & Prototyping
- Design Thinking Your Business
- Go To Market Formation
- Total Addressable Market
- Sales & Revenue Pipelining
- Launch Obtainable Strategy
- Operations Tempo for Your Team

### Industry Diagnostic Seminars (Sector Specific)

Business owners (and teammates, if best) will be grouped per industry and sector, and invited to participate in a strategy session with a mentor(s) and/or subject matter expert(s) to assess business strategy and operations and identify methods for survival and/or growth. Businesses and mentor(s) will be supported by survey data and business tools.

**Objective: Implement a method to support the development of their Business Roadmap.**

**Diagnostics: RESPOND can serve 5-15 companies per seminar.**

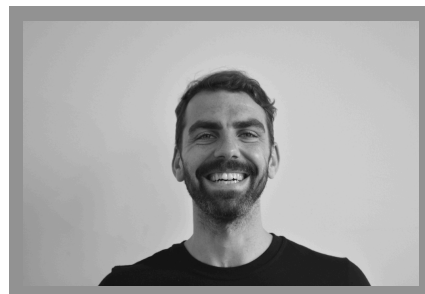
RESPOND will enable Ulster County businesses across a range of strategic and operational functions and mission sets, aligned with industry-proven expertise focused on enabling entrepreneurs, small business owners, teammates, and other professionals to take action on developing their Business Roadmap.

RESPOND will curate Company Diagnostic Seminars by pairing strategy and industry/sector experts.

For example, Johnny LeHane from the Hudson Valley Startup Fund (HVSF) can cover business strategy and financials, and Nels Leader from Bread Alone can cover the *dynamics of the restaurant industry* in the COVID19 landscape.



+



Johnny LeHane (left); Nels Leader (above)

### Company Deep Dives (Company Specific)

Business owners (and teammates, if best) who qualify will meet with a mentor(s) review business status, functions, and operational challenges. Businesses and mentor(s) will be supported by survey data, business materials, and business tools. The mentor will followup to ensure action is taken, based on the strategies developed in the meeting.

**Objective: Draft a Business Roadmap to identify and take action on survival and/or growth.**

**Deep Dives: RESPOND will serve 60 companies in 6 months.**

***In total, RESPOND will enable Ulster County to support at least 105+ companies through Community Webinars, Company Diagnostic Seminars, and Deep Dives in six (6) months.***

## Qualification Method: Company Deep Dives

RESPOND will work with Ulster County to qualify businesses for Company Deep Dives, in alignment with CDC Guidelines and New York State guidance on Priority Industries for Re-Opening in accordance with "Regional Guidelines for Re-Opening New York."

### CDC Guidelines

Regions must experience a 14-day decline in hospitalizations and deaths on a 3-day rolling average. Regions with few COVID cases cannot exceed 15 new total cases or 5 new deaths on a 3-day rolling average. A region must have fewer than two new COVID patients admitted per 100,000 residents per day.

### NYS Priority Industries for Re-Opening

Ulster County can prioritize qualification in alignment with the Regional Guidelines for Re-Opening New York.

### Phase One

- Construction
- Manufacturing and wholesale supply chain
- Select retail using curbside pickup only

### Phase Three

- Restaurants and food service
- Hotels and accommodations

### Phase Two

- Professional services
- Finance and insurance
- Retail
- Administrative support
- Real estate and rental leasing

### Phase Four

- Arts, entertainment and recreation
- Education

Current Ulster County data, collected from surveys, will help decision makers align with priority industries.

INDUSTRY		Count 31				Sum 386939			
51	housepainting	Construction, Skilled Trades, and Manufactu...	Sangi	kingston	Kingston	12401	More than 5 years	Under \$100,000	
	Gaucher Properties, LLC	Construction, Skilled Trades, and Manufactu...	Pamela Gaucher	P O Box 625,	Stone Ridge	12484	More than 5 years	\$100,000-\$249,000	
53	CLIFFHOUND LLC	Construction, Skilled Trades, and Manufactu...	Robert T O'Brien	P.O. Box 1239	New Paltz	12561	1-3 years	Under \$100,000	
54	Hudson valley tile installation	Construction, Skilled Trades, and Manufactu...	Charlie Schikowitz	57 Henry st	Kingston	12401	More than 5 years	\$100,000-\$249,000	
55	Stone Ridge Landscapes	Construction, Skilled Trades, and Manufactu...	Ricardo Castro	2374 Lucas TPKE	High Falls	12440	1-3 years	\$250,000-\$499,000	
56	Bart Hill Tree Service	Construction, Skilled Trades, and Manufactu...	Joseph M Gambino	3524	Saugerties	12477	More than 5 years		
57	Gerhard's Home Service	Construction, Skilled Trades, and Manufactu...	Gerhard Werni	12 Old Tschirkey rd	New Paltz	12561	More than 5 years	Under \$100,000	
58	Aldo's Automotive Precision Machine	Construction, Skilled Trades, and Manufactu...	Aldo Santini	3260 Route 9 W	Highland	12528	More than 5 years	\$100,000-\$249,000	
59	Springboard Inc.	Construction, Skilled Trades, and Manufactu...	Eeo Stubblefield	300 Van Dale Rd. West Hurley NY 12491	West Hurley	12491	More than 5 years		
60	Heckerroth plumbing and heating	Construction, Skilled Trades, and Manufactu...	James jacobini	10 lumens lane	Highland	12528	More than 5 years	\$1-5 million	
61	T&B Contracting	Construction, Skilled Trades, and Manufactu...	Robert Brooks	638 rt 212	Saugerties	12477	Less than one year	Under \$100,000	
62	Dolphin Plumbing Inc	Construction, Skilled Trades, and Manufactu...	Jill Ziccardi	PO Box 753	Highland	12528	More than 5 years		
63	Bobby Benjamin Plumbing	Construction, Skilled Trades, and Manufactu...	Robert Benjamin	128A W Pierpont St	Kingston	12401	1-3 years	\$100,000-\$249,000	
64	A clear view window cleaning	Construction, Skilled Trades, and Manufactu...	Robert k o r o t k y	16 Rock City Road Woodstock New York	Woodstock	12498	3-5 years	Don't Know	
65	RSD drywall and painting	Construction, Skilled Trades, and Manufactu...	Terrance Meyer	14 Tillson Avenue	Highland	12528	1-3 years	Under \$100,000	

## RESPOND Energy, Expertise & Experience

RESPOND is positioned to leverage entrepreneurial mindset, entrepreneurial wellness, industry best practices, strategic insight practices, operational business functions and financial and investor experience with startup founders, small business owners, nonprofit and community organizations, city, county, and state government stakeholders, and corporate innovation and development teams.

### Story

*Subject Matter Experts*

Understand journey and improve content and delivery for growth.

**Assess: Your Why; Bio; Sales/Pitch Deck**

### Customer

*Subject Matter Experts*

Assess Jobs To Be Done (JTBD) to better service customer.

**Assess: Interviews; Target Profile(s)**

### Product

*Strategy Development Team*

Discover first or updated product capability based on users and customers.

**Assess: Product or service roadmap**

### Market

*Analyst Team and experts*

Build business units economic (BUE) and define next launch strategy.

**Assess: Launch Obtainable Market (LOM)**

### Mindset

*Business Coach*

Assess communication and execution structures for company team.

**Assess: Operational Workflow(s)**

### Pipeline

*Lead Generation Lead and team*

Assess persona(s) and business development prospective business.

**Assess: Lead Generation opportunities**

### Marketing

*Subject Matter Expert*

Assess methods to support social and inbound campaigns.

**Assess: Media Roadmap**

### Branding

*Subject Matter Expert*

Depending on needs, assess archetype, logo, templates, and decks.

**Assess: Asset Package (i.e. decks)**

### Health

*Subject Matter Expert*

Share resources on how to power-up and not lose power during growth.

**Assess: Implement nutritional practices**

### Fundraising

*Head of Growth & Strategy*

Assess due diligence, and start (or keep) tracking the investment roadmap.

**Assess: Pro Forma; Deck; Connections**

### Google Ecosystem

Accel7 will provide free and open access to the RESPOND Resource Base in Google Documents to the entrepreneur, small business, education, art/creative, government, and larger community. This resource includes documentation, assessments, guidance, and other important information relating to COVID19 and business tools for continuity and resiliency.

## 01.2 Data & Research Approach

RESPOND will provide Ulster County with insights on the “ground truth” - what is happening with entrepreneurs and business owners on the ground across the towns and cities. This information will support Ulster County’s strategic development initiatives relating to COVID19, economic development, and other programs and/or functions, including but not limited to, for example, the Ulster County 2040 Committee.

In sum, data and information will be collected in the following ways:

- information sharing from Ulster County to Accel7
- pre-session survey, prior to Assessment Sessions
- post-session survey, after completion of Assessment Sessions
- pre-session survey, prior to Office Hours
- post-session survey, after completion of Office Hours
- post-session survey, after completion of Community Seminar/Webinar
- 3-6 month survey, after completion of Assessment Session and/or Office Hours

### ***Inquiry Database***

Accel7 will work with Ulster County to receive and assess inquiries from entrepreneurs and small business owners. Together, we will develop a set of surveys to send to entrepreneurs, business owners, mentors, and other participants and stakeholders to collect and analyze data. Accel7 will coordinate with the Chamber of Commerce on needs assessments.

### **15Five Status Syncs**

Accel7 will require a percentage of participants to complete 15Five assessments on a 4-week, 12-week, or 24-week lifecycle, to gather data on their business journey throughout the duration of the RESPOND program. This will enable Ulster County to gain feedback, learn in near-real-time while delivering the program, adapt and adjust our approach, and analyze trends and markers in our local region, as well as identify “ground truth.”

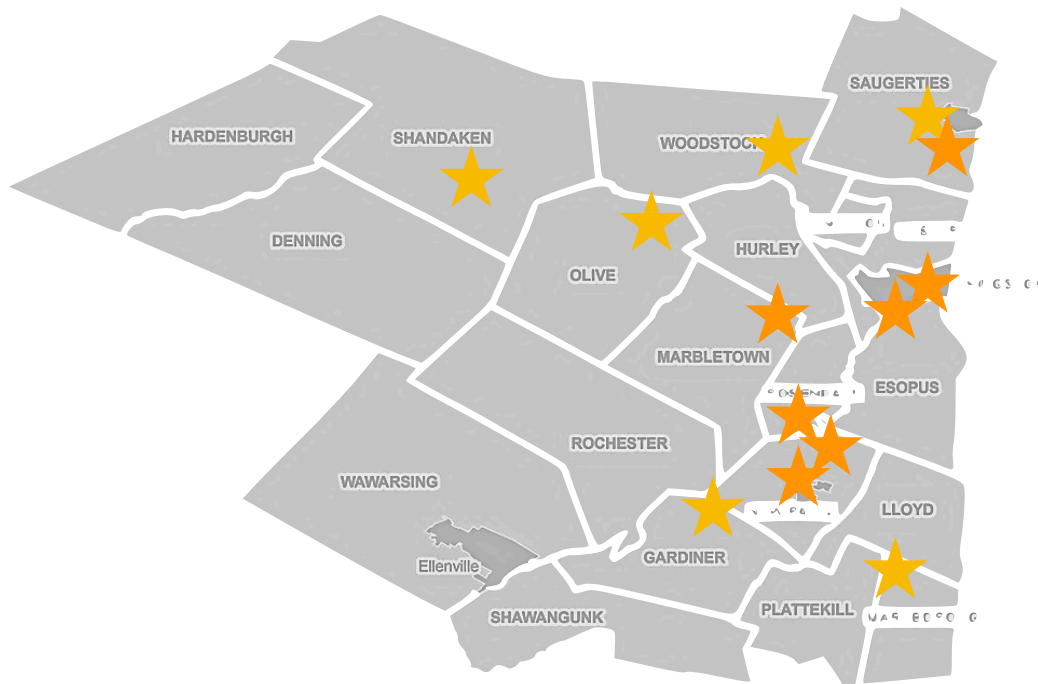
### **Airtable Analysis**

Accel7 will merge data on participants and evaluations in one centralized repository in Airtable in order to provide a Common Operating Picture for the RESPOND program. Given that the Mid Hudson Region currently has disparate data on entrepreneurs, small businesses, and small operating community-based and nonprofit entities, RESPOND will enable the region to build a more robust understanding of what is happening on the ground. This is essential for understanding the Ulster County business environment.

### **Research Summaries & Reports**

Accel7 will collaborate with Hudson Valley Pattern for Progress to author summary analysis and a series of focused reports on the RESPOND program in Ulster County.





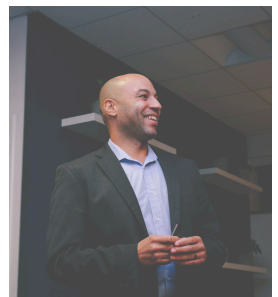
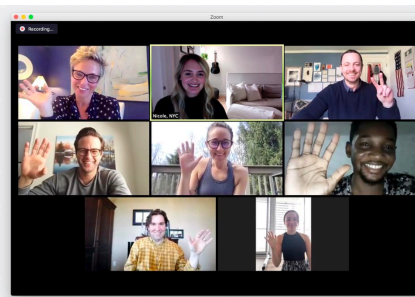
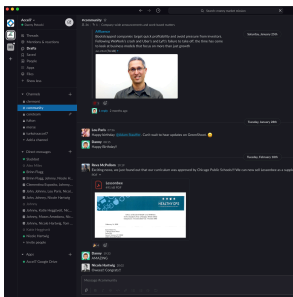
***Interest in restaurants is down 64%. Nightlife on main streets is down 81%. Gyms and similar businesses are down 73%. Salons and family services are down 83%. Local businesses are being hit the hardest, without knowing when, or if, they will be able to open.***

Yelp Press Release, April 2020 

## **RESPOND Community**

Accel7 will open our existing Slack Community to all participants in the RESPOND program, and welcome all entrepreneurs in the Ulster County region, to join our digital conversations.

This will enable startup founders, small business owners, nonprofit leaders, government association leaders, business executives, decision makers, thought leaders, consultants, service professionals (i.e. accounting, legal, insurance), subject matter experts, investors, students, faculty, and other professionals to share information in real-time and access mindset and talent across our distributed region in a centralized way.



## 02 PROGRAM BUDGET & MANAGEMENT

### 02.1 Program Assistance

Accel7 requires grant assistance to cover operational expenses to perform duties and responsibilities relating to the following:

- Community Webinar Seminars
- Mentorship, including Industry Seminars and Deep Dives
- Research & Program Management
- Community Management

Accel7 will be contributing operational costs to cover a portion of overhead for some members of the Accel7 team across program functions.

RESPOND teammates will be contributing volunteer service time, up to two hours per mentor per week, in addition to the hours covered by the grant funds and administered by Accel7.

### 02.2 Program Budget

In sum, RESPOND will:

- **Host at least 24 Community Webinars** to educate and connect up to 300 participants per webinar, and collect “ground truth” data for analysis.
- **Host at least 20 Industry Diagnostic Seminars** with sector businesses to contribute to the development of a Business Roadmap and collect “ground truth” data for analysis.
- **Advise at least 60 companies through Deep Dives** to focus on a core need relating to strategy and operations in order to develop a Business Roadmap and collect “ground truth” data for analysis.
- Update and share the RESPOND Resource Base with the Ulster County small business and larger community, and create an active digital community through Slack Channels and other conversations.
- Model a centralized repository in Airtable in order to provide a Common Operating Picture for the RESPOND program.
- Analyze company and mentor (and program) data to author a summary report and/or regional analysis with Hudson Valley Pattern for Progress.

In order to provide high-quality and impactful services, the Ulster County RESPOND program requests the following budget, to be managed and executed with transparency and accountability throughout May 2020 to December 2020.

ULSTER COUNTY RESPOND BUDGET 2020			
CATEGORY	DESCRIPTION	GOAL	AMOUNT
Community & Mentorship Seminars & Deep Dives	Develop Business Roadmaps with business owners/teams	Community Seminars (up to 300 per session); Industry Seminars (5-15 per session); Deep Dives (60 businesses)	\$36,100
Research & Program Management	Collect survey data and analyze with research team and partners	Author reports, Common Operating Picture (COP)	\$7,500
Community Management	Mentor coordination, community engagement, and tech systems	RESPOND Resource Base and business tools	\$6,000
<b>TOTALS</b>			<b>\$49,600 usd</b>

ULSTER COUNTY RESPOND TIMELINE & TASKS			
TASK #	TASK ITEM	TASK DESCRIPTION	ANTICIPATED DATE OF COMPLETION
1	RESPOND Team Kickoff	Gather with team and review Master Plan	Monday, May 18, 2020
2	Mentor Lead(s) Onboarded	Project Manager trained and positioned as Lead Mentor	Friday, May 22, 2020
3	Integrate Technology Systems	Connect Google, Slack, Airtable (Forms), 15Five	Friday, June 05, 2020
4	Mentor Group Onboarded	Project Manager trains and positions Subject Matter Experts (SMEs) for mentoring sessions; coaches aligned with Community Webinar	Friday, June 12, 2020
5	Launch & Share RESPOND Resource Center	Provide open-source information and access to the Ulster County community and small business network(s)	Friday, June 12, 2020
6	Import and Analyze Surveys and Data	Project Manager work with RESPOND Research team to import, model, analyze, and assess data to inform planning for webinars, diagnostic sessions, and deep dive sessions	Friday, June 19; July 24; August 28; September 25; October 30; December 04; December 18
7	Schedule & Host RESPOND Webinars	Weekly with Subject Matter Expert(s) and/or coaches, on topics of need and/or interest	Weekly between Monday, June 15, 2020 to Friday, December 18, 2020
8	Plan & Host Industry Diagnostic Seminars	Scheduled in groups in coordination with Project Manager and Subject Matter Experts	Weekly between Monday, June 22, 2020 to Friday, December 18, 2020
9	Prepare & Execute Company Deep Dive Sessions	Scheduled with Project Manager / Lead Mentor and mentors, coaches, and subject matter experts, as needed	Weekly between Monday, July 06, 2020 to Friday, December 18, 2020
10	Author RESPOND Report(s)	Collaborate with Hudson Valley Pattern for Progress	July 2020; September 2020; December 2020
<b>TOTAL TASKS: XX</b>		<b>PROJECT COMPLETION DATE:</b>	<b>Friday, December 18, 2020</b>

# ORGANIZATION INFORMATION

## 01.1 Mission & History

Accel7 is a registered **501(c)(3) tax-exempt nonprofit organization**, operating under a Doing Business As (dba) certificate of the Hudson Valley Center for Innovation, a company with 15+ years of entrepreneurship incubation and acceleration in the Mid-Hudson Region.



Accel7 was registered as a Doing Business As (dba) certificate of the Hudson Valley Center for Innovation (HVCFI) in November 2018, and has been conducting all business operations under this name and certification to date. HVCFI was founded in July 2005 and registered as a 501(c)(3) corporation with tax exemption in New York State. From 2011 to late 2018, HVCFI conducted its incubation and acceleration programs and services under the iCANny dba certificate, until the name was replaced with Accel7 in November 2018.

### IDENTIFYING INFORMATION

LEGAL NAME	DBA	FEDERAL TAX ID	NYS VENDOR ID	CHARITIES NUMBER	NYS SENATE DISTRICT	NYS ASSEMBLY DISTRICT
Hudson Valley Center for Innovation, Inc.	Accel7	20-3579392	1100112836	40-39-00	35	93

From 2011 to 2014, HVCFI conducted business operations as an incubator and accelerator company based in the Hudson Valley, with offices in Kingston, NY (Ulster County), and New City, NY (Rockland County). In July 2014, HVCFI received Certified Business Incubator status from Empire State Development (ESD) through the New York State Certified Business Incubators and Innovation Hot Spots program operated by the New York State Division of Science, Technology & Innovation (NYSTAR).

#### Mid-Hudson | BioInc @NY Medical College

The region's only biotechnology incubator offers shared resources, turnkey wet lab space and sponsored professional services to promising, high-potential entrepreneurs and start-ups. BioInc@NYMC helps members achieve development and funding milestones.

#### Hudson Valley Center for Innovation | Accel7

Accel7 is the oldest, continuously operating business and tech accelerator serving the Hudson Valley between Westchester and Albany, focusing on building and launching Environmental, Social & Governance (ESG) solutions with early-stage entrepreneurs.

#### The Accelerator Powered by the Orange County IDA

Located at Stewart International Airport, with proximity to major interstates, this New Windsor incubator – powered by the Orange County Industrial Development Agency—focuses on bringing back manufacturing to the Mid-Hudson Valley.

*\*Certified Business Incubator status as specified on the Empire State Development website.*

Since 2014, HVCFI has been managing an annual program budget of \$195K in tax-payer funds through government partners, focused on designing, developing and delivering business acceleration services in the Mid-Hudson Region of New York State. For example, in April 2017, HVCFI was awarded a 5-year contract with ESD to continue providing business acceleration services in the Mid-Hudson Region as a CBI organization.

CONTRACT INFORMATION					
CONTRACTING AGENCY	PROGRAM AGENCY	PROGRAM TITLE	CONTRACT PERIOD	ANNUAL AMOUNT	TOTAL AMOUNT
Empire State Development	NYSTAR	NYS Certified Business Incubators & Hot Spots	04-01-2017 to 03-31-2022	\$125,000	\$625,000
City of New Rochelle	IDA	Downtown Business Acceleration Services	11-01-2019 to 10-31-2024	\$56,625	\$169,875
Think Dutchess Alliance for Business		Startup Arch Mentor Program	09-01-2019 to 06-30-2020	\$20,000 <i>(to date)</i>	\$25,000 <i>(to date)</i>

## 01.2 Geographic Service & Populations

Operating as a part of the HVCFI ecosystem, Accel7 exists to impact Hudson Valley entrepreneurs and promote a vigorous and growing regional economy, encourage business acceleration, investment and job creation, and support a diverse, prosperous local economy in the Mid Hudson region. The Accel7 team invests in, advises and operates alongside entrepreneurs to launch solutions in local, micro markets throughout seven counties in the Greater Hudson Valley region, including Westchester, Rockland, Putnam, Orange, Dutchess, Ulster, and Sullivan counties.

Accel7, in coordination with our partners in the region, continue to invest in, advise, coach, consult, and mentor early startup companies, small business owners operating as “Main Street” businesses, growth-stage technology and services businesses, and non-profit organizations. Specifically, Accel7 has serviced and continues to services businesses with \$0-10M in revenue, \$0-5M in fundraising, and 1-100 employees.

## GROWTH IS OUR VOCATION.

***Our business is small business.***

**To date, Accel7 has worked with 58% minority and/or women-owned businesses and/or founders who are building, launching, growing, and scaling their startup or small business in the Mid Hudson region. We are the go-to resource for entrepreneurs who want to tackle hard challenges. *Get action, as we say!***

While working closely with local businesses based in the Mid-Hudson Region, Accel7 has also attracted businesses from outside of the region, including NYC, DC, Detroit, LA, and Honolulu, as well as internationally-based companies from Africa, Middle East, UK, and Canada.

# CODE OF CONDUCT

Across our Board of Directors, Management, and Partners, the A7 team operates with excellence.

Accel7 and Accel7 Startups, Partners and Clients will:

1. speak truthfully about Accel7 and the Hudson Valley Center for Innovation (HVCFI).
2. act in a friendly, approachable, and helpful manner.
3. maintain a well-groomed, polished appearance and dress appropriately.
4. be respectful and considerate of others during business operations and throughout the period of performance.

Accel7 and Accel7 Startups, Partners and Clients will not:

1. misrepresent Accel7 or make any claim about Accel7 and/or the Hudson Valley Center for Innovation (HVCFI) which is untrue.
2. bribe, intimidate, or otherwise coerce another person during business operations throughout the period of performance.
3. engage in disorderly conduct or any commit any offense involving disturbance of the public peace, lewd and indecent behaviors, including but not limited to aggressive, argumentative, quarrelsome, loud-mouthed, confrontational, threatening remarks or gestures, foul and/or abusive language.
4. engage in physical, verbal, graphic, electronic or written conduct based on another's race, ethnic origin, sex, gender, age, religion, disability or sexual orientation.
5. intentionally or recklessly cause physical or mental harm to any person or to yourself, and/or intentionally or recklessly causing reasonable apprehension of such harm.
6. engage in any consensual or non-consensual, intentional physical conduct of a sexual nature, including but not limited through the use of force, threat, physical intimidation, or advantage gained by another's mental or physical incapacity or impairment.
7. use online communities and electronic communications such as email, websites, and social networks for the purpose of harassing, threatening, or engaging in behaviors that ridicule, belittle or harm individuals or groups.
8. use, possess, sell, deliver, consume, or distribute any narcotic, drug, medicine prescribed to someone else, chemical compound or other controlled substance or drug-related paraphernalia.
9. use or possess any weapons, including handguns, firearms, knives, ammunition, fireworks, explosives, noxious materials, incendiary devices, or other dangerous substances, while working on business with the company during on-site, off-site and/or other locations.
10. promote or engage in any other discriminatory, violent, offensive, sexual, abusive or threatening behavior or other illegal or questionable activities.
11. commit or attempt to commit any local, state, or federal crime, including but not limited to those related to public intoxication and the provision of alcohol to minors.

# CONFLICT OF INTEREST POLICY

## 02.1 Proposal Certification, Statement of Non-Collusion & Conflict of Interest

Accel7 is providing our Conflict of Interest Policy, without the signature section, to inform Think Dutchess of part of the process of how Accel7 will be working with partners, collaborators, including mentors, coaches, service providers and other subject matter experts, throughout the performance of the Arch Mentor program.

### 02.1.1 Section I. Purpose

The Hudson Valley Center for Innovation Inc., (HVCFI)(a/k/a iCANny) is a 501C3 nonprofit, tax-exempt organization. Maintenance of its tax-exempt status is important both for its continued financial stability and for public support. Therefore, the IRS as well as state regulatory and tax officials view the operations of HVCFI as a public trust, which is subject to scrutiny by and accountable to such governmental authorities as well as to members of the public.

Consequently, there exists between HVCFI and its board, officers, and management employees and the public a fiduciary duty, which carries with it a broad and unbending duty of loyalty and fidelity. The board, officers, and management employees have the responsibility of administering the affairs of HVCFI honestly and prudently, and of exercising their best care, skill, and judgment for the sole benefit of HVCFI. Those persons shall exercise the utmost good faith in all transactions involved in their duties, and they shall not use their positions with HVCFI or knowledge gained therefrom for their personal benefit. The interests of the organization must be the first priority in all decisions and actions.

### 02.1.2 Section II. Persons Concerned

This statement is directed not only to directors and officers, but to all employees who can influence the actions of HVCFI. For example, this would include all who make purchasing decisions, all persons who might be described as "management personnel," and anyone who has proprietary information concerning HVCFI.

### 02.1.3 Section III. Areas in Which Conflict May Arise

Conflicts of interest may arise in the relations of directors, officers, and management employees with any of the following third parties:

1. Persons and firms supplying goods and services to HVCFI.
2. Persons and firms from whom HVCFI leases property and equipment.
3. Persons and firms with whom HVCFI is dealing or planning to deal in connection with the gift, purchase or sale of real estate, securities, or other property.
4. Competing or affinity organizations.
5. Donors and others supporting HVCFI.
6. Agencies, organizations. and associations which affect the operations of HVCFI.

7. Family members, friends, and other employees.
8. Clients, members, advisors, mentors and professionals dealing with HVCFI.

#### **02.1.4 Section IV. Nature of Conflicting Interest**

A conflicting interest may be defined as an interest, direct or indirect, with any persons or firms mentioned in Section 3. Such an interest might arise through:

1. Owning stock or holding debt or other proprietary interests in any third party dealing with HVCFI.
2. Holding office, serving on the board, participating in management, or being otherwise employed (or formerly employed) with any third party dealing with HVCFI.
3. Receiving remuneration for services with respect to individual transactions involving HVCFI.
4. Using HVCFI's time, personnel, equipment, supplies, or goodwill for other than HVCFI-approved activities, programs, and purposes.
5. Receiving personal gifts or loans from third parties dealing or competing with HVCFI. Receipt of any gift is disapproved except gifts of a value less than \$50, which could not be refused without discourtesy. No personal gift of money should ever be accepted.

#### **02.1.5 Section V. Interpretation of This Statement of Policy**

The areas of conflicting interest listed in Section 3, and the relations in those areas which may give rise to conflict, as listed in Section 4, are not exhaustive. Conflicts might arise in other areas or through other relations. It is assumed that the directors, officers, and management employees will recognize such areas and relation by analogy.

The fact that one of the interests described in Section 4 exists does not necessarily mean that a conflict exists, or that the conflict, if it exists, is material enough to be of practical importance, or if material, that upon full disclosure of all relevant facts and circumstances it is necessarily adverse to the interests of HVCFI.

However, it is the policy of the board that the existence of any of the interests described in Section 4 shall be disclosed before any transaction is consummated. It shall be the continuing responsibility of the board, officers, and management employees to scrutinize their transactions and outside business interests and relationships for potential conflicts and to immediately make such disclosures.

#### **02.1.6 Section VI. Disclosure Policy & Procedure**

Transactions with parties with whom a conflicting interest exists may be undertaken only if all of the following are observed:

1. The conflicting interest is fully disclosed;
2. The person with the conflict of interest is excluded from the discussion and approval of such transaction;
3. A competitive bid or comparable valuation exists; and



4. The [board or a duly constituted committee thereof] has determined that the transaction is in the best interest of the organization.

Disclosure in the organization should be made to the chief executive officer (or if she or he is the one with the conflict, then to the board chair), who shall bring the matter to the attention of the [board or a duly constituted committee thereof]. Disclosure involving directors should be made to the board chair, (or if she or he is the one with the conflict, then to the board vice-chair) who shall bring these matters to the [board or a duly constituted committee thereof].

The [board or a duly constituted committee thereof] shall determine whether a conflict exists and in the case of an existing conflict, whether the contemplated transaction may be authorized as just, fair, and reasonable to HVCFI. The decision of the [board or a duly constituted committee thereof] on these matters will rest in their sole discretion, and their concern must be the welfare of HVCFI and the advancement of its purpose.

# WORKERS COMPENSATION

Accel7 will update our Worker's Compensation policy to name the required agency. Please see example of our policy, held with the New York State Insurance Fund (NYSIF), with one of our government partners, the City of New Rochelle, named as Certificate Holder.

 New York State Insurance Fund		WESTCHESTER ONE, 44 SOUTH BROADWAY, 10TH FLOOR, WHITE PLAINS, NY 10601-4411   <a href="http://nysif.com">nysif.com</a>	
<b>CERTIFICATE OF WORKERS' COMPENSATION INSURANCE</b>			
***** 203579392 THE HUDSON VALLEY CENTER FOR INNOVATION INC. 169 MAMARONECK AVE, 2ND FL, STE 12 WHITE PLAINS NY 10601		 SCAN TO VALIDATE AND SUBSCRIBE	
<b>POLICYHOLDER</b> THE HUDSON VALLEY CENTER FOR INNOVATION INC. 169 MAMARONECK AVE, 2ND FL, STE 12 WHITE PLAINS NY 10601		<b>CERTIFICATE HOLDER</b> CITY OF NEW ROCHELLE CITY OF NEW ROCHELLE CITY HALL 515 NORTH AVENUE NEW ROCHELLE NY 10801	
<b>POLICY NUMBER</b> W2328 734-5	<b>CERTIFICATE NUMBER</b> 198155	<b>POLICY PERIOD</b> 03/12/2019 TO 03/12/2020	<b>DATE</b> 8/21/2019
<p>THIS IS TO CERTIFY THAT THE POLICYHOLDER NAMED ABOVE IS INSURED WITH THE NEW YORK STATE INSURANCE FUND UNDER POLICY NO. 2328 734-5, COVERING THE ENTIRE OBLIGATION OF THIS POLICYHOLDER FOR WORKERS' COMPENSATION UNDER THE NEW YORK WORKERS' COMPENSATION LAW WITH RESPECT TO ALL OPERATIONS IN THE STATE OF NEW YORK, EXCEPT AS INDICATED BELOW.</p> <p><b>IF YOU WISH TO RECEIVE NOTIFICATIONS REGARDING SAID POLICY, INCLUDING ANY NOTIFICATION OF CANCELLATIONS, OR TO VALIDATE THIS CERTIFICATE, VISIT OUR WEBSITE AT <a href="https://www.nysif.com/cert/certval.asp">HTTPS://WWW.NYSIF.COM/CERT/CERTVAL.ASP</a>. THE NEW YORK STATE INSURANCE FUND IS NOT LIABLE IN THE EVENT OF FAILURE TO GIVE SUCH NOTIFICATIONS.</b></p> <p>THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS NOR INSURANCE COVERAGE UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICY.</p>			
		<b>NEW YORK STATE INSURANCE FUND</b>  DIRECTOR, INSURANCE FUND UNDERWRITING	
VALIDATION NUMBER: 743501903			
U-26.3			

# COMPANY INSURANCE

Accel7 will update our insurance policy to name the required agency. Please see example of our policy, held with Ulster Insurance Services, with one of our government partners, the City of New Rochelle, named as Certificate Holder.

		<b>HUDSVAL-20</b>		<b>GYONNETTI</b>	
<b>CERTIFICATE OF LIABILITY INSURANCE</b>		DATE (MM/DD/YYYY) <b>8/19/2019</b>			
THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.					
<b>IMPORTANT:</b> If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must have ADDITIONAL INSURED provisions or be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).					
<b>PRODUCER</b> Ulster Insurance Services, Inc. 180 Schwenk Drive Kingston, NY 12401		<b>CONTACT NAME:</b> Gail Yonnetti, CISR, CPIA <b>PHONE (A/C, No, Ext):</b> 3950 <b>FAX (A/C, No):</b> (845) 943-6962 <b>E-MAIL ADDRESS:</b> gyonnetti@ulstersavings.com			
<b>INSURED</b>  The Hudson Valley Center for Innovation Inc dba Accel7 169 Mamaroneck Avenue, Suite 12 White Plains, NY 10601		<b>INSURER(S) AFFORDING COVERAGE</b> INSURER A : <b>Twin City Fire Insurance Company</b> INSURER B : INSURER C : INSURER D : INSURER E : INSURER F :		<b>NAIC #</b>	
<b>COVERAGES</b> <b>CERTIFICATE NUMBER: 1</b> <b>REVISION NUMBER:</b>					
THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.					
INSR LTR	TYPE OF INSURANCE	ADDL SUBR INSD WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)
A	<input checked="" type="checkbox"/> <b>COMMERCIAL GENERAL LIABILITY</b> <input type="checkbox"/> CLAIMS-MADE <input checked="" type="checkbox"/> OCCUR  GEN'L AGGREGATE LIMIT APPLIES PER: <input type="checkbox"/> POLICY <input type="checkbox"/> PROJECT <input type="checkbox"/> LOC <input type="checkbox"/> OTHER:		16SBAAB6871	8/19/2019	8/19/2020
					EACH OCCURRENCE \$ <b>2,000,000</b> DAMAGE TO RENTED PREMISES (Ea occurrence) \$ <b>1,000,000</b> MED EXP (Any one person) \$ <b>10,000</b> PERSONAL & ADV INJURY \$ <b>2,000,000</b> GENERAL AGGREGATE \$ <b>4,000,000</b> PRODUCTS - COM/PO/AGG \$ <b>4,000,000</b> \$
A	<b>AUTOMOBILE LIABILITY</b> <input type="checkbox"/> ANY AUTO OWNED AUTOS ONLY <input type="checkbox"/> SCHEDULED AUTOS <input checked="" type="checkbox"/> HIRED AUTOS ONLY <input checked="" type="checkbox"/> NON-OWNED AUTOS ONLY		16SBAAB6871	8/19/2019	8/19/2020
					COMBINED SINGLE LIMIT (Ea accident) \$ <b>2,000,000</b> BODILY INJURY (Per person) \$ BODILY INJURY (Per accident) \$ PROPERTY DAMAGE (Per accident) \$ \$
	<input type="checkbox"/> <b>UMBRELLA LIAB</b> <input type="checkbox"/> OCCUR <input type="checkbox"/> <b>EXCESS LIAB</b> <input type="checkbox"/> CLAIMS-MADE <input type="checkbox"/> DED <input type="checkbox"/> RETENTION \$				EACH OCCURRENCE \$ AGGREGATE \$ \$
	<b>WORKERS COMPENSATION AND EMPLOYERS' LIABILITY</b> ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) <input type="checkbox"/> Y/N    N/A If yes, describe under DESCRIPTION OF OPERATIONS below				PER STATUTE    OTH-ER E.L. EACH ACCIDENT \$ E.L. DISEASE - EA EMPLOYEE \$ E.L. DISEASE - POLICY LIMIT \$
<b>DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES</b> (ACORD 101, Additional Remarks Schedule, may be attached if more space is required) <b>Proof of Insurance</b>					
<b>CERTIFICATE HOLDER</b>  City of New Rochelle City of New Rochelle City Hall 515 North Avenue New Rochelle, NY 10801			<b>CANCELLATION</b>  SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.  <b>AUTHORIZED REPRESENTATIVE</b> 		
ACORD 25 (2016/03)			© 1988-2015 ACORD CORPORATION. All rights reserved. The ACORD name and logo are registered marks of ACORD		