



Steven Banks
Commissioner

Vincent Pullo
Agency Chief
Contracting Officer

33 Beaver Street
New York, NY 10004

212 361 7946

July 26, 2016

Re: **Addendum #2 to the
Negotiated Acquisition for the
Provision of Housing and
Services for the Properties
Currently Managed by
Housing Bridge/Housing
Partners
EPIN: 07116N0012**

Dear Prospective Proposer:

The Department of Social Services appreciates your interest in the Negotiated Acquisition (NA) for the *Provision of Housing and Services for the Properties Currently Managed by Housing Bridge/Housing Partners* issued on July 7, 2016.

Please find attached Addendum #2 for the above-referenced Negotiated Acquisition. Addendum #2 contains:

- **Attachment A:** Attachment A includes revisions to the Provision of Housing and Services for the Properties Currently Managed by Housing Bridge/Housing Partners NA. **All new language is bolded and underlined.** Language that is crossed out is being deleted from the NA.
- **Attachment B:** Attachment B contains answers to questions submitted in writing to HRA during and after the Informational Session.
- **Attachment C:** Attachment C includes the Sign-In Sheets of the Informational Session Attendees.
- **Attachment D:** Attachment D includes the Acknowledgment of Addenda Form.
- **Attachment E:** Attachment E includes the Doing Business Data Form.

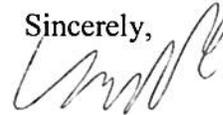
Please acknowledge your receipt of Addendum #1 and #2 by listing them on the Acknowledgment of Addenda Form and including it in your proposal submission.

Proposers are reminded that they must hand-deliver their proposals by **August 3, 2016 at 2:00 pm** to:

**NYC Department of Social Services
Office of Contracts – RFP Unit
150 Greenwich Street, 37th Floor
New York, NY 10007**

Proposals received at this location after the proposal due date and time are late and shall not be accepted by the Agency, except as provided under the New York City Procurement Policy Board Rules.

Sincerely,

A handwritten signature in black ink, appearing to read 'Vincent Pullo', written in a cursive style.

Vincent Pullo

ATTACHMENT A

Revisions to the Negotiated Acquisition for the Provision of Housing and Services for the Properties Currently Managed by Housing Bridge/Housing Partners. **All new language is bolded and underlined.** Language that is crossed out is being deleted from the NA.

The Provision of Housing & Services for the Properties Currently Managed by Housing Bridge/Housing Partners
 PIN: 07116N0012

<u>Building Owner / Management Name</u>	<u>Building Address</u>	<u>Number of DHS Shelter Units</u>	<u>Contact Information</u>
1237-1239 Webster LLC Joel Shafran/Steve Berger	1237-1239 Webster Avenue Bronx, NY	30	<u>sberger@fcarealty.com</u>
124 Development LLC Joel Shafran/Steve Berger	124 Stuyvesant Avenue Brooklyn NY	18	<u>sberger@fcarealty.com</u>
1243 Webster LLC Joel Shafran/Steve Berger	1243 Webster Avenue Bronx, NY	15	<u>sberger@fcarealty.com</u>
1387 Realty LLC Joel Shafran/Steve Berger	1387 Grand Concourse Bronx, NY	40	<u>sberger@fcarealty.com</u>
1410 Holding LLC Joe Friedman	1410 Grand Concourse Bronx, NY	33	<u>joef1369@gmail.com</u> <u>(917) 692-2715</u>
1838 Development LLC Joel Shafran/Steve Berger	1838 Vyse Avenue Bronx, NY	60	<u>sberger@fcarealty.com</u>
389 Chauncey Street LLC Isaac Herskovitz	389 Chauncey Street Brooklyn, NY	11	<u>No information</u>
526 Pen LLC. Sam Gershen	526 Pennsylvania Avenue Brooklyn, NY	31	<u>Mobile: 347-586-8640</u>
828 Courtlandt LLC Joel Shafran/Steve Berger	828 Courtlandt Avenue Bronx, NY	16	<u>sberger@fcarealty.com</u>
851-853 Halsey LLC Jeff Groner - SDG Management	853 Halsey Street Brooklyn, NY	20	<u>jgroner@sdgmanagment.com</u> <u>212 660-1207</u>
Briggs Realty LLC Jay Miller	3001 Briggs Street Bronx, NY	25	<u>jaym@millburne.com</u> <u>718-288-3579</u>
Cooper Tower LLC Joel Shafran/Steve Berger	38 Cooper Street Brooklyn, NY	16	<u>sberger@fcarealty.com</u>
Golden Time Properties, LLC Ben Celaj	2399 Grand Concourse Bronx, NY	17	<u>Office: 718-918-2684</u> <u>Mobile: 718-644-1848</u>

The Provision of Housing & Services for the Properties Currently Managed by Housing Bridge/Housing Partners
 PIN: 07116N0012

Lafayette Homes Inc. Sam Gertner	640 Lafayette Avenue Brooklyn, NY	16	<u>samgertner2@gmail.com</u> <u>Office: 212-369-2577 ext.302</u> <u>Cell: 347-387-5523</u>
Pilgrim Realty LLC Joe Friedman	1245 Findlay Avenue Brooklyn, NY	64	<u>joef1369@gmail.com</u> <u>(917) 692-2715</u>
T B G Putnam LLC Joe Friedman	1027 Putnam Avenue Brooklyn, NY	16	<u>joef1369@gmail.com</u> <u>(917) 692-2715</u>
T B G Van Siclen LLC Joe Friedman	433 Van Siclen Avenue Brooklyn, NY	18	<u>joef1369@gmail.com</u> <u>(917) 692-2715</u>
York 85 Ralph, LLC J. Rabinowitz	1325 St. John's Place Brooklyn, NY	12	<u>Mobile: 917-864-4446</u>
York Management Group J. Schlanger	429 Bainbridge Street Brooklyn, NY	16	<u>No information</u>
720 E151st St, Bronx, NY Michael Goldman	720 E151st St, Bronx, NY	11	<u>mogo1961@gmail.com</u> <u>917-696-2896</u>
722 E151st Street, Bronx, NY Michael Goldman	722 E151st Street, Bronx, NY	11	<u>mogo1961@gmail.com</u> <u>917-696-2896</u>
664 East 213th Street, Bronx, NY David Kleiner	664 East 213 th Street, Bronx, NY	20	<u>Office: 917-216-8527</u>
682 East 233 rd Street, Bronx, NY Franc Gjini	682 East 233 rd Street, Bronx, NY	6	<u>212-851-6911</u>
684 East 233 rd Street, Bronx, NY Franc Gjini	684 East 233 rd Street, Bronx, NY	6	<u>212-851-6911</u>

ATTACHMENT B

Answers to questions submitted in writing to HRA during and after the Informational Session.

Department of Social Services

Department of Homeless Services (DHS)

Information Session

**THE PROVISION OF HOUSING & SERVICES FOR THE PROPERTIES CURRENTLY
MANAGED BY HOUSING BRIDGE/HOUSING PARTNERS**

PIN: 07116N0012

Questions & Answers

Question 1. Are the landlords required to provide an MOA with applicant?

Answer: Applicants are required to provide a Letter of Agreement with the applicable prospective landlord.

Question 2. Given that the agency awarded the properties does the agency have to follow a certain guideline and/or ask permission to implement innovative ideas for the good of the tenants?

Answer: Follow Case Management guidelines. Evidence Based Interventions would be permitted.

Question 3. What to do if landlord is non-responsive to request for letter stating intent to negotiate?

Answer: Applicants should be working with landlords that demonstrate their interests in working with you. There is no guarantee that a particular landlord will work with an applicant.

Question 4. Will there be an opportunity to see the buildings? To find out whether there is space for childcare, office space, etc?

Answer: Yes, there will be an opportunity to see the buildings. Please contact the appropriate landlords.

Question 5. What other rental assistance vouchers besides LINC?

Answer: Subsidies include City Feps, TBRA, Supportive housing 8, Section 8 NYCHA, SEPS, and other housing subsidies.

Question 6. Will site visits be conducted?

Answer: Yes, site visits can be conducted. Please contact the appropriate landlords.

Question 7. How are the sites currently organized, ie. Which sites are included in the 3 distinct programs?

Answer: Please refer to the list of properties. The three programs are for informational purposes only and there is not intent to continue the three programs in the future.

Question 8. Are any of these for single adults?

Answer: All sites are families with children.

Question 9. Why separate applications for each building?

Answer: There are separate applications, as the intent is to operate the buildings in a manner different than the current cluster model.

Question 10. Is there a maximum per end award?

Answer: All proposals will be evaluated. The award protocol was discussed in the solicitation.

Question 11. Is there a number of contracts you anticipate mailing?

Answer: The question is not understood. Please review the solicitation and the basis of award in its entirety.

Question 12. Will the apartments be rented at market rate or at a fixed rate?

Answer: The rates will depend on the subsidy. If the applicant is proposing permanent housing, the budget should reflect the rates assuming all apartments would be subsidized.

Question 13. Are contractors required to provide security if they do not serve as lease holders?

Answer: In any model the applicant proposes, it is expected that applicants will hold some type of lease with the landlord in most circumstances. Proposals that are not based on shelter or a master lease would not have the applicant involved with paying security outright.

Question 14. What public supports are available and will contractors be responsible for securing them?

Answer: See question 5 above and question 15 below. The clients will have access to the various public supports.

Question 15. Will we have access to SEPS or LINC?

Answer: Clients will have access to SEPS and LINC.

Question 16. Are apartments already furnished?

Answer: Currently, yes. The City does not make any guarantees as to the condition of the furniture.

Question 17. Are there offices in the buildings?

Answer: There is existing office space in some of the buildings.

Question 18. Is there any information on the support needs of families currently in each of the buildings e.g. mental health, or are all mixed?

Answer: This is a mixed population in all of the facilities.

Question 19. If the proposal is to convert to permanent housing under a master lease model, what would be the type or structure of the contractual relationship between the provider and DHS?

Answer: The contract would likely be with the New York City Human Resources Administration. The contract will be negotiated based on the applicant's proposal.

Question 20. In a conversion to a permanent housing model, if existing clients are deemed ineligible for rental subsidies, would it be allowable to place the client in an alternative housing setting or will the provider be required to continue to house the client at the proposed property?

Answer: All housing options should be explained in the application.

Question 21. If the proposal is a transition from shelter to permanent housing, will the project still be required to use CARES as referenced in the NA under "Administration" (Bullet #3)?

Answer: No.

Question 22. Most master leases require a term of more than three (3) years, the NA states that DHS reserves the right to change the contract term. Will DHS consider lease terms of a minimum of ten (10) years?

Answer: Applicants should submit information showing that the engagement with the landlord would be in excess of three years.

Question 23. Is HRA able to advise us on its current relationships with the landlords listed in the NA and facilitate a connection between current landlords and potential contractors? Can HRA advise us about the information that landlords have received surrounding the NA?

Answer: HRA will attempt to assist with messaging with landlords.

Question 24. In the project description it states that "an applicant should submit a letter of agreement with the landlord to negotiate leases for each specified property". Should this be a signed agreement? Or this a sample letter to be signed and agreed upon, if we are selected by the City?

Answer: The letter of agreement between the landlord and the applicant should state that there would be a lease negotiated and executed if the applicant is selected for award.

Question 25. Can you please provide landlord contact information for the following properties, if available? We plan on bidding and would like to set up site visits and agreements to negotiate with said landlords:

828 Courtlandt LLC
Joel Shafran/Steve Berger
828 Courtlandt Avenue
Bronx, NY

Lafayette Homes Inc.
Sam Gertner
640 Lafayette Avenue
Brooklyn, NY

T B G Putnam LLC
Joe Friedman
1027 Putnam Avenue
Brooklyn, NY

526 Pen LLC.
Sam Gershen
526 Pennsylvania Avenue
Brooklyn, NY

1237-1239 Webster LLC
Joel Shafran/Steve Berger
1237-1239 Webster Avenue
Bronx, NY

Answer: The City has most contact information, which is included as Attachment A.

Question 26. Can we get any information about these building owners such as past history with DHS, reputation etc?

Answer: Applicants are encouraged to review the building information that would be readily available such as the Department of Buildings website, etc.

Question 27. Are these mixed HOH families – that is mothers and fathers with children or just mothers with children?

Answer: The family composition varies, but an applicant can assume that there will be mixed HOH families

Question 28. How interested is DHS in managing the property as a shelter?

Answer: The question is not being understood, but DHS is interested in procuring providers to manage these properties as shelter or permanent housing.

Question 29. Are any of these limited numbers of units in a larger building? Or are they shelters which utilize of all the units in the building?

Answer: Please see the list of sites that is included in the solicitation

Question 30. What happens after the two 3-year contract terms?

Answer: Like all procurements and resultant contracts, the City would have to undertake another procurement at the end of the contract term, plus renewal contract term.

Question 31. What is the process/supports available to the provider for converting the shelter units to permanent housing?

Answer: Applicant should propose what would be necessary to convert the property to permanent housing.

Question 32. We would like to have detailed information on the building configuration. How do we get detailed information on the existing security and services set-up such as existing staff offices, security systems (cctv and alarm systems)?

Answer: Applicants are encouraged to set up site visits with the landlords for the sites they are interested in submitting a proposal.

Question 33. Are there examples of types of innovative payment structures DHS would consider?

Answer: Innovative payment structures may include some type of performance-related incentive payments and proposals that maximize efficiencies.

Question 34. What is financial support for correcting existing violations in buildings where the provider is leasing units?

Answer: Applicants should be working with landlords to ensure building violations are being completed. Certain minor repairs may be included in the applicant's proposed budget.

Question 35. May we inspect the properties this week? Please provide contact information for the following properties owned by Joel Shafran/Steve Berger:

- 1237-1239 Webster Ave., Bronx, NY
- 1243 Webster Ave., Bronx, NY
- 1387 Grand Concourse, Bronx, NY
- 1838 Vyse Avenue, Bronx, NY
- 828 Courtlandt Ave., Bronx, NY

Answer: Please see answer to question 25.

Question 36. If we are awarded a Master Lease (ML), what is the length of ML?

Answer:

Question 37. May we review the previous service plan for the properties named above?

Answer: If the proposal is to provide shelter services the client charts will be available for the new provider to read and continue documentation. This would occur once the provider begins operations.

Question 38. What is the maximum start-up budget we can request?

Answer: Typically, Start-up budgets represent no greater than 2/12 of an annual operating budget. Please see the answer to Question 34.

Question 39. What is the amount of rent to each landlord?

Answer: Item to be negotiated between the landlord and tenant.

Question 40. Can you please clarify the difference between Models 1 and 2 (Rental Assistance or Master Lease)?

Answer: The difference in the two models are as follows: under the placement of families with rental subsidies (model 1), the applicant would be providing services to support this effort; in a model that includes a master lease (model 2), the applicant would hold a master lease with the landlord, and would engage sublessees looking for permanent housing and holding the various subsidies.

Question 41. Can you please confirm the structure of per diem payments and confirm this is not performance based?

Answer: Payment for shelter is usually on a per diem basis. As discussed in the solicitation, the City would consider other innovative payment methods.

Question 42. Are we able to structure performance incentives/bonuses into the payment model?

Answer: Please see answer to question 41 above.

Question 43. Please clarify what is the role of landlords in building maintenance and apartment maintenance?

Answer: These are items to be negotiated between the landlord and the applicant. Applicants should assume that such negotiation should be typical as to items, but need to negotiate with the landlords.

Question 44. Since this is taking over from another vendor will the contracts be expedited and/or will there be start-up funds available to providers?

Answer: These items will be discussed after selection on a case by case basis.

Question 45. Will there be any staff retained from the existing provider?

Answer: Current staff are interested in remaining, but this should be decided by the provider acquiring the site. The City strongly recommends that the existing staff be given an opportunity to work with the new providers.

Question 46. Are there any FAQs from the bidder's conference?

Answer: The answers are in this new addendum.

Question 47. Do you have the application in a word format that allows us to enter information?

Answer: Due to the nature of this solicitation, a Word version will not be made available.

ATTACHMENT C

Sign-In Sheets of the Informational Session Attendees

DEPARTMENT OF SOCIAL SERVICES
DEPARTMENT OF HOMELESS SERVICES (DHS)

FOR
THE PROVISION OF HOUSING & SERVICES FOR THE PROPERTIES CURRENTLY MANAGED BY HOUSING
BRIDGE/HOUSING PARTNERS RFP

EPIN: 07116N0012

Wednesday, July 13, 2016

PRINT COMPANY NAME	PRINT ADDRESS	TELEPHONE & FAX	PRINT CONTACT PERSON & E-MAIL ADDRESS
1. IA Committee	219 W. 57th St 10019	212 215 1618 212 648 6634	Ellen Kaplan kaplaned@nyc.gov
2. GMHC	446 W 33 St Manhattan 10007	212 367 1296	Emily Melnick emilm@gmhc.org
3. Catholic Guardian Services	1780 Grand Concourse Brooklyn 10457	718 228-1515 ext 168 New York 24 10022	christiz@catholicguardian.org
4. The Salvation Army	120 W. 24th Street New York, NY 10011	212 674 2770 T: 212-337-7326 F: 212-337-7279	Michael Stone michael.stone@use.salvationarmy.org
5. DHS	22 Beaver Street NY NY 10004	(917) 523-6374	MANUEL@DHS-NYC.GOV
6. Praxis Housing	17 Battery Place 10004	(917) 522-3167	Uramontsingh@praxishousing.org TomDeCampa@RC
7. CAMPA	170 Church Ave Brooklyn 11216	718-281-7600	CASSANDRA PERREY c.perry@163council.org
8. 163rd Street Impact Council	490 East 167th St Bronx, NY 10456	917-819-8090	

DEPARTMENT OF SOCIAL SERVICES
DEPARTMENT OF HOMELESS SERVICES (DHS)

FOR
THE PROVISION OF HOUSING & SERVICES FOR THE PROPERTIES CURRENTLY MANAGED BY HOUSING
BRIDGE/HOUSING PARTNERS RFP

EPIN: 07116N0012

Wednesday, July 13, 2016

	PRINT COMPANY NAME	PRINT ADDRESS	TELEPHONE & FAX	PRINT CONTACT PERSON & E-MAIL ADDRESS
1.	Allen Womens Resource Center AWRC	112-04 167th St. Jamaica N.Y	718) 739-6200 718) 739-2818	Marian Da Costa
2.	GMHC	446 West 37th St NY NY 10001	646 2941240	Kishani Moreno Kishani Megmatic.org
3.	DHS	33 Beaver St	212 361 0944	KASH HADJIVANIS Khadjanw@cdhs.nyc.gov
4.	DHS			
5.	Provis Housing	17 Borden Pl. NY NY	1004 212 543-8444	Spokane Self-practice housing
6.	Center Against Domestic Violence	25 Chappel St Bldg 11701 904	718 254 9134 718 254 9132(F)	Rona Solomon rsolomon@centeragainstdv.org
7.	Public Advocate	297 Marsha St. 5th Fl Stamford NY	917 9688240	Mary-Kay Kungold @PAA.nyc.gov
8.	DHS	33 BEAVER	212 361 8392	HAMICTAN

DEPARTMENT OF SOCIAL SERVICES
DEPARTMENT OF HOMELESS SERVICES (DHS)

FOR
THE PROVISION OF HOUSING & SERVICES FOR THE PROPERTIES CURRENTLY MANAGED BY HOUSING
BRIDGE/HOUSING PARTNERS RFP

EPIN: 07116N0012

Wednesday, July 13, 2016

	PRINT COMPANY NAME	PRINT ADDRESS	TELEPHONE & FAX	PRINT CONTACT PERSON & E-MAIL ADDRESS
1.	THE SALVA + more Army	120 W. 14th NY NY	973-897-1176	Colleen.SPARKS@DHS.SALVA-Trouble.org
2.	BPHN. Victor Rivera	1171 Washington PK NY 10456	917-445-7200	V.Rivera@BPHN.org
3.	Aguila, Inc.	605 Caledwell Ave. Bx NY 10456	917-446-7337	Jenny Rivera Jrivera@aguilainc.org
4.	Shannon Harvey	474 8th Avenue. New York NY 10001	917-803-4009	Shannon Harvey sharvey@bntercommunity.org
5.	Fidelen	2536 Hubbard St Brooklyn NY 11235	917 968-1726	Info @ fidelen.org
6.	Moravian Open Door	347 E 18th St NY, NY 10003	212-995-5810	Susan Henderson scattzs Henderson@moravianhouse.org
7.	Lynn Perez	2720 Broadway New York, NY 10025	212-316-8220	lperez1@vda-gny.org nwithers@vda-gny.org
8.	Kim Wynn	1649 Amsterdam Ave NEW YORK 10031	212 491-1748	Kwynn@heritageny.org

DEPARTMENT OF SOCIAL SERVICES
DEPARTMENT OF HOMELESS SERVICES (DHS)

FOR
THE PROVISION OF HOUSING & SERVICES FOR THE PROPERTIES CURRENTLY MANAGED BY HOUSING
BRIDGE/HOUSING PARTNERS RFP

EPIN: 07116N0012

Wednesday, July 13, 2016

	PRINT COMPANY NAME	PRINT ADDRESS	TELEPHONE & FAX	PRINT CONTACT PERSON & E-MAIL ADDRESS
1.	East New York Urban Youth Corp	539 Alabama Ave Brooklyn, NY 11217	347-770-9601	Gregory Colimon gcolimon@enyyc.net
2.	Salvation Army	120 W. 14th St New York, NY	212 337-7328	Karen Cotugno Karen.cotugno@Use.SalvationArmy.org
3.	HEPUSA	5 Hanover Square - 17th Fl New York, NY 10004	212-400-8255	abontista@helpusa.org
4.	ENYUIC	539 ALABAMA AVE BROOKLYN	718-296-2121	romedolazarro@usa.org
5.	COLE	45 Main Street Suite 7M	718 801-8050	finckso@comsucs.org
6.	HCCI	Harlem	212-281-4887	zena@hcci.org
7.				
8.				

DEPARTMENT OF SOCIAL SERVICES
 DEPARTMENT OF HOMELESS SERVICES (DHS)

FOR
 THE PROVISION OF HOUSING & SERVICES FOR THE PROPERTIES CURRENTLY MANAGED BY HOUSING
 BRIDGE/HOUSING PARTNERS RFP

EPIN: 07116N0012

Wednesday, July 13, 2016

	PRINT COMPANY NAME	PRINT ADDRESS	TELEPHONE & FAX	PRINT CONTACT PERSON & E-MAIL ADDRESS
1.	CORE Services Group	45 MAIN STREET, 711 BROOKLYN NY 11201	718-801-8050 718-801-8051	KEISHA PHIPPS kphippis@coresvc.org
2.	CORE Services Group	45 Main St Brooklyn NY 11201	718 801 8050 718 801 8051	Wendy Weingart wweingart@coresvc.org
3.	Comunilife, Inc.	214. W. 29th St	212-219-1618	bmosquera@comunilife.org
4.				
5.				
6.				
7.				
8.				

ATTACHMENT D

Acknowledgment of Addenda Form

ATTACHMENT D

ACKNOWLEDGEMENT OF ADDENDA

PROVISION OF HOUSING AND SERVICES FOR THE PROPERTIES CURRENTLY
MANAGED BY HOUSING BRIDGE/HOUSING PARTNERS NEGOTIATED
ACQUISITION
EPIN: 07116N0012

Directions: Complete Part I or Part II, whichever is applicable, and sign your name in Part III.

Part I

Listed below are the dates of issue for each Addendum received in connection with this Negotiated Acquisition:

Addendum # 1, Dated _____, 2016

Addendum # 2, Dated _____, 2016

Addendum # 3, Dated _____, 2016

Addendum # 4, Dated _____, 2016

Addendum # 5, Dated _____, 2016

Addendum # 6, Dated _____, 2016

Addendum # 7, Dated _____, 2016

Addendum # 8, Dated _____, 2016

Addendum # 9, Dated _____, 2016

Addendum #10, Dated _____, 2016

Part II

_____ No Addendum was received in connection with this Negotiated Acquisition.

Part III

Proposer's Name: _____ Date: _____

Signature of Authorized Representative: _____

ATTACHMENT E

Doing Business Data Form

Doing Business Data Form

To be completed by the City Agency prior to distribution			
Agency: <u>DSS</u>		Transaction ID: <u>EPIN: 07116N0012</u>	
Check One:	Transaction Type (check one):		
<input checked="" type="checkbox"/> Proposal	<input type="checkbox"/> Concession	<input checked="" type="checkbox"/> Contract	<input type="checkbox"/> Economic Development Agreement
<input type="checkbox"/> Award	<input type="checkbox"/> Franchise	<input type="checkbox"/> Grant	<input type="checkbox"/> Pension Investment Contract

Any entity receiving, applying for or proposing on an award or agreement must complete a Doing Business Data Form (see Q&A sheet for more information). Please either type responses directly into this fillable form or print answers by hand in black ink, and be sure to fill out the certification box on the last page. **Submission of a complete and accurate form is required for a proposal to be considered responsive or for any entity to receive an award or enter into an agreement.**

This Data Form requires information to be provided on principal officers, owners and senior managers. The name, employer and title of each person identified on the Data Form will be included in a public database of people who do business with the City of New York; no other information reported on this form will be disclosed to the public. **This Data Form is not related to the City's VENDEX requirements.**

Please return the completed Data Form to the City Agency that supplied it. Please contact the Doing Business Accountability Project at DoingBusiness@cityhall.nyc.gov or 212-788-8104 with any questions regarding this Data Form. Thank you for your cooperation.

Section 1: Entity Information

Entity Name: _____
 Entity EIN/TIN: _____

Entity Filing Status (select one):

- Entity has never completed a Doing Business Data Form. *Fill out the entire form.*
- Change from previous Data Form dated _____. *Fill out only those sections that have changed, and indicate the name of the persons who no longer hold positions with the entity.*
- No Change from previous Data Form dated _____. *Skip to the bottom of the last page.*

Entity is a Non-Profit: Yes No

Entity Type: Corporation (any type) Joint Venture LLC Partnership (any type)
 Sole Proprietor Other (specify): _____

Address: _____
 City: _____ State: _____ Zip: _____
 Phone : _____ Fax : _____
 E-mail: _____

Provide your e-mail address and/or fax number in order to receive notices regarding this form by e-mail or fax.

Section 2: Principal Officers

Please fill in the required identification information for each officer listed below. If the entity has no such officer or its equivalent, please check "This position does not exist." If the entity is filing a Change Form and the person listed is replacing someone who was previously disclosed, please check "This person replaced..." and fill in the name of the person being replaced so his/her name can be removed from the *Doing Business Database*, and indicate the date that the change became effective.

Chief Executive Officer (CEO) or equivalent officer This position does not exist

The highest ranking officer or manager, such as the President, Executive Director, Sole Proprietor or Chairperson of the Board.

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

Birth Date (mm/dd/yy): _____ Home Phone #: _____

Home Address: _____

 This person replaced former CEO: _____ on date: _____**Chief Financial Officer (CFO) or equivalent officer** This position does not exist

The highest ranking financial officer, such as the Treasurer, Comptroller, Financial Director or VP for Finance.

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

Birth Date (mm/dd/yy): _____ Home Phone #: _____

Home Address: _____

 This person replaced former CFO: _____ on date: _____**Chief Operating Officer (COO) or equivalent officer** This position does not exist

The highest ranking operational officer, such as the Chief Planning Officer, Director of Operations or VP for Operations.

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

Birth Date (mm/dd/yy): _____ Home Phone #: _____

Home Address: _____

 This person replaced former COO: _____ on date: _____

Section 3: Principal Owners

Please fill in the required identification information for all individuals who, through stock shares, partnership agreements or other means, **own or control 10% or more of the entity**. If no individual owners exist, please check the appropriate box to indicate why and skip to the next page. If the entity is owned by other companies, those companies do **not** need to be listed. If an owner was identified on the previous page, fill in his/her name and write "See above." If the entity is filing a Change Form, list any individuals who are no longer owners at the bottom of this page. If more space is needed, attach additional pages labeled "Additional Owners."

There are no owners listed because (select one):

- The entity is not-for-profit
- There are no individual owners
- No individual owner holds 10% or more shares in the entity
- Other (explain): _____

Principal Owners (who own or control 10% or more of the entity):

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

Birth Date (mm/dd/yy): _____ Home Phone #: _____

Home Address: _____

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

Birth Date (mm/dd/yy): _____ Home Phone #: _____

Home Address: _____

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

Birth Date (mm/dd/yy): _____ Home Phone #: _____

Home Address: _____

Remove the following previously-reported Principal Owners:

Name: _____ Removal Date: _____

Name: _____ Removal Date: _____

Name: _____ Removal Date: _____

Section 4: Senior Managers

Please fill in the required identification information for all senior managers who oversee any of the entity's relevant transactions with the City (e.g., contract managers if this form is for a contract award/proposal, grant managers if for a grant, etc.). Senior managers include anyone who, either by title or duties, has substantial discretion and high-level oversight regarding the solicitation, letting or administration of any transaction with the City. **At least one senior manager must be listed, or the Data Form will be considered incomplete.** If a senior manager has been identified on a previous page, fill in his/her name and write "See above." If the entity is filing a Change Form, list individuals who are no longer senior managers at the bottom of this section. If more space is needed, attach additional pages labeled "Additional Senior Managers."

Senior Managers:

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

Birth Date (mm/dd/yy): _____ Home Phone #: _____

Home Address: _____

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

Birth Date (mm/dd/yy): _____ Home Phone #: _____

Home Address: _____

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

Birth Date (mm/dd/yy): _____ Home Phone #: _____

Home Address: _____

Remove the following previously-reported Senior Managers:

Name: _____ Removal Date: _____

Name: _____ Removal Date: _____

Certification

I certify that the information submitted on these four pages and _____ additional pages is accurate and complete. I understand that willful or fraudulent submission of a materially false statement may result in the entity being found non-responsible and therefore denied future City awards.

Name: _____

Signature: _____ Date: _____

Entity Name: _____

Title: _____ Work Phone #: _____

Return the completed Data Form to the agency that supplied it.

For information or assistance, call the Doing Business Accountability Project at 212-788-8104.

DOING BUSINESS ACCOUNTABILITY PROJECT
QUESTIONS AND ANSWERS ABOUT THE DOING BUSINESS DATA FORM

What is the purpose of this *Data Form*?

To collect accurate, up-to-date identification information about organizations that have business dealings with the City of New York in order to comply with Local Law 34 of 2007 (LL 34), the recently passed campaign finance reform law. LL 34 limits municipal campaign contributions from principal officers, owners and senior managers of entities doing business with the City and mandates the creation of a *Doing Business Database* to allow the City to enforce the law. The information requested in this *Data Form* must be provided, regardless of whether the organization or the people associated with it make or intend to make campaign contributions. No sensitive personal information collected will be disclosed to the public.

Why have I received this *Data Form*?

The contract, franchise, concession, grant or economic development agreement you are proposing on, applying for or have already been awarded is considered a business dealing with the City under LL 34. No proposal or application will be considered and no award will be made unless this *Data Form* is completed. Most transactions valued at more than \$5,000 are considered business dealings and require completion of the *Data Form*. Exceptions include transactions awarded on an emergency basis or by publicly advertised, non-pre-qualified, competitive sealed bid. Other types of transactions that are considered business dealings include real property and land use actions with the City.

What individuals will be included in the *Doing Business Database*?

The principal officers, owners and certain senior managers of organizations listed in the *Doing Business Database* are themselves considered to be doing business with the City and will also be included in the *Database*.

- **Principal Officers** are the Chief Executive Officer (CEO), Chief Financial Officer (CFO) and Chief Operating Officer (COO), or their functional equivalents. See the *Data Form* for examples of titles that apply.
- **Principal Owners** are individuals who own or control 10% or more of the organization. This includes stockholders, partners and anyone else with an ownership or controlling interest in the entity.
- **Senior Managers** include anyone who, either by job title or actual duties, has substantial discretion and high-level oversight regarding the solicitation, letting or administration of any contract, concession, franchise, grant or economic development agreement with the City. At least one Senior Manager must be listed or the *Data Form* will be considered incomplete.

I have already completed a *Doing Business Data Form*; do I have to submit another one?

Yes. An organization is required to submit a *Doing Business Data Form* each time it enters into a transaction considered a business dealing with the City, including contract, concession and franchise proposals. However, the *Data Form* has both a Change option, which requires only information that has changed since the last *Data Form* was filed, and a No Change option. No organization should have to fill out the entire *Data Form* more than once.

If you have already submitted a *Data Form* for one transaction type (such as a contract), and this is the first time you are completing a *Data Form* for a different transaction type (such as a grant), please select the Change option and complete Section 4 (Senior Managers) for the new transaction type.

Will the personal information on this *Data Form* be available to the public?

No. The names and titles of the officers, owners and senior managers reported on the *Data Form* will be made available to the public, as will information about the organization itself. However, personal identifying information, such as home address, home phone and date of birth, will not be disclosed to the public, and home address and phone number information will not be used for communication purposes.



I provided some of this information on the VENDEX Questionnaire; do I have to provide it again?

Yes. Although the *Doing Business Data Form* and the VENDEX Questionnaire request some of the same information, they serve entirely different purposes. In addition, the *Data Form* requests information concerning senior managers, which is not part of the VENDEX Questionnaire.

What organizations will be included in the *Doing Business Database*?

Organizations that hold \$100,000 or more in grants, contracts for goods or services, franchises or concessions (\$500,000 for construction contracts), or that hold any economic development agreement or pension fund investment contract, are considered to be doing business with the City for the purposes of LL 34. Because all of the business that an organization does or proposes to do with the City will be added together, the *Data Form* must be completed for all transactions valued at more than \$5,000 even if the organization doesn't currently do enough business with the City to be listed in the *Database*.

No one in my organization plans to contribute to a candidate; do I have to fill out this *Data Form*?

Yes. All organizations are required to return this *Data Form* with complete and accurate information, regardless of the history or intention of the entity or its officers, owners or senior managers to make campaign contributions. The *Doing Business Database* must be complete so that the Campaign Finance Board can verify whether future contributions are in compliance with the law.

My organization is proposing on a contract with another firm as a Joint Venture that does not exist yet; how should the *Data Form* be completed?

A joint venture that does not yet exist must submit a *Data Form* for each of its component firms. If the joint venture receives the award, it must then complete a form in the name of the joint venture.

How long will an organization and its officers, owners and senior managers remain listed on the *Doing Business Database*?

- **Contract, Concession and Economic Development Agreement holders:** generally for the term of the transaction, plus one year.
 - **Franchise and Grant holders:** from the commencement or renewal of the transaction, plus one year.
 - **Pension investment contracts:** from the time of presentation on an investment opportunity or the submission of a proposal, whichever is earlier, until the end of the contract, plus one year.
 - **Line item and discretionary appropriations:** from the date of budget adoption until the end of the contract, plus one year.
 - **Contract proposers:** for one year from the proposal date or date of public advertisement of the solicitation, whichever is later.
 - **Franchise and Concession proposers:** for one year from the proposal submission date.
- For information on other transaction types, contact the Doing Business Accountability Project.

How does a person remove him/herself from the *Doing Business Database*?

When an organization stops doing business with the City, the people associated with it are removed from the *Database* automatically. However, any person who believes that s/he should not be listed may apply for removal. Reasons that a person would be removed include his/her no longer being the principal officer, owner or senior manager of the organization. Organizations may also update their database information by submitting an update form. Removal Request and Update forms are available online at www.nyc.gov/mocs (once there, click MOCS Programs) or by calling 212-788-8104.

What are the new campaign contribution limits for people doing business with the City?

Contributions to City Council candidates are limited to \$250 per election cycle; \$320 to Borough President candidates; and \$400 to candidates for citywide office. Please contact the NYC Campaign Finance Board for more information at www.nyccfb.info, or 212-306-7100.

The *Data Form* is to be returned to the City office that issued it.

If you have any questions about the *Data Form* please contact the Doing Business Accountability Project at 212-788-8104 or DoingBusiness@cityhall.nyc.gov.