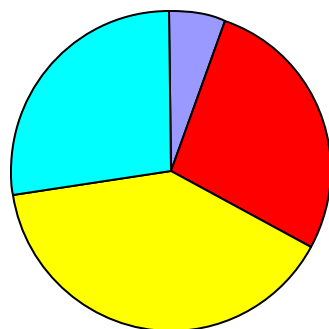


City of New York  
Mayor's Office of Contract Services  
Fiscal Year 2004

# AGENCY PROCUREMENT INDICATORS

**New York City Purchasing**  
Total = \$9.54 billion



- Goods
- Construction/Construction-Related Services
- Human Services
- Other Services

# AGENCY PROCUREMENT INDICATORS FISCAL YEAR 2004

## *The Procurement Challenge – Progress Toward Reform*

Procurement – or contracting – enables the City to purchase supplies and services. Our challenge in procurement mirrors the challenge to government as a whole: to serve the citizenry well, we must ensure that tax dollars produce real value – fair prices, high quality and timely delivery.

Immediately upon taking office, in keeping with his emphasis on management and accountability, Mayor Michael R. Bloomberg began to spur procurement reform. During the past two years, he worked with the City Council and signed into law fourteen procurement reform bills, aimed at streamlining the contracting process. He also issued Executive Order 48 of 2004, charging the newly-reorganized and renamed Mayor’s Office of Contract Services (MOCS) with the mission of continuing his reform initiative and working with Mayoral agencies to achieve his goal of an effective and efficient procurement process.

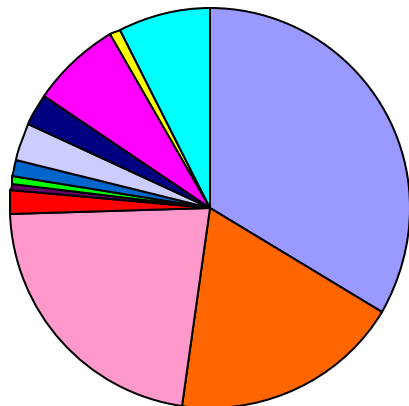
In this report, MOCS presents the data from Fiscal Year 2004, *i.e.*, July 1, 2003 through June 30, 2004, reflecting the performance of all of the Mayoral operating agencies in twelve areas, the Agency Procurement Indicators. A list of the agencies covered by this report is attached as Appendix A. Contracts are included in the data if they were “registered” during Fiscal Year 2004; registration occurs when the City Comptroller processes the contract and authorizes payments to be made to the vendor. In many areas, these indicators reflect substantial progress toward meeting the goals of reform. In others, particularly those involving timeliness, while the current statistics show evidence of progress, there is much work ahead.

### I. OVERVIEW OF CITY PROCUREMENT VOLUMES

#### Agency Procurement Actions By Method of Award —How Agencies Make Purchases

This indicator provides a basic overview of the City’s procurement volumes, showing the number and dollar value purchased by each Mayoral agency, during Fiscal Year 2004, listed by the contracting method used by the agency. This data is identical to the table included in the web-based version of the Fiscal Year 2004 Mayor’s Management Report (MMR).

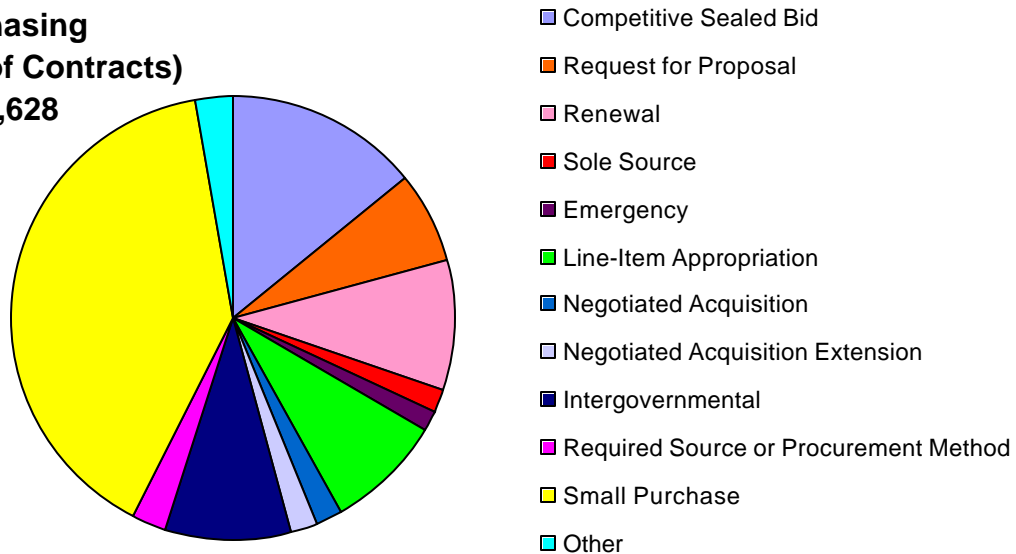
**City Purchasing**  
**(By Method & Dollar Value of Contracts)**  
**Total = \$9,540,429,075**



- Competitive Sealed Bid
- Request for Proposal
- Renewal
- Sole Source
- Emergency
- Line-Item Appropriation
- Negotiated Acquisition
- Negotiated Acquisition Extension
- Intergovernmental
- Required Source or Procurement Method
- Small Purchase
- Other

# AGENCY PROCUREMENT INDICATORS FISCAL YEAR 2004

## City Purchasing (By Method & # of Contracts) Total = 7,628



The contracting methods reported in this indicator are as follows:

- **Competitive Sealed Bid** – used when the major basis for selecting a responsible vendor is price; this method is used for such purchases as goods, construction services and other general types of services such as cleaning, printing or transportation.
- **Requests for Proposals (RFPs)** – used when an agency must balance the need for a fair price with consideration of other factors such as experience and expertise of the vendor; this method is used for purchases of human (*i.e.*, client-based) services and for consultants, such as architects or engineers.
- **Renewal** – used to continue services under existing contracts, when the term of the initial contract provides for a renewal period.
- **Sole Source** – used when only one vendor is available to provide the goods or services required, and also when agencies “pass through” funds to outside entities (*e.g.*, to support capital construction projects of cultural institutions).
- **Emergency** – used when an agency must purchase goods or services on an immediate basis and cannot take the time that a competitive process would require, typically when a contract is needed to address threats to public health or safety.
- **Line Item Appropriation** – used when the City Council or a Borough President provides funding to a specific vendor, typically for contracts with community-based human services organizations, cultural institutions or other not-for-profit groups.
- **Negotiated Acquisition** – used when only a small number of vendors are available to provide the goods or services needed, when there is limited time available or in other circumstances when full competitive process is not feasible.

## AGENCY PROCUREMENT INDICATORS FISCAL YEAR 2004

- ***Negotiated Acquisition Extension***– used when an agency needs to continue services under a contract that would otherwise expire and a renewal provision is not available, most often to continue the delivery of existing human services programs while new RFPs are developed or to complete ongoing construction projects.
- ***Intergovernmental*** – used as a fast-track to enable a City agency to buy goods or services off a contract between a vendor and another government agency, typically for buying such items as computers or related services off New York State contracts.
- ***Required Source or Procurement Method*** – used when an outside entity, typically a state or federal government agency or other outside entity (such as a not-for-profit) that is funding the purchase for the City, mandates the specific vendor to be used or the method for selecting a vendor.
- ***Small Purchase*** – used for buying smaller quantities of goods and services, which during Fiscal Year 2004 covered goods at or below \$25,000, services at or below \$50,000, and construction, construction-related services and/or information technology goods and services at or below \$100,000; this method provides for a fast-track competition, and includes incentives to enhance business opportunities for small and local businesses, and minority and women-owned businesses.
- ***Other*** – agencies use certain other methods, such as demonstration projects and purchases directly from other government agencies (*i.e.*, where the government itself is the vendor), in highly specialized circumstances.

Four of the categories are shown this year for the first time: negotiated acquisition extensions, intergovernmental awards, required source or procurement method awards and small purchases, all of which had been reported previously in the “other” category, or excluded altogether. Other than small purchases, competitive sealed bidding remains the most-used procurement method in the City both by number of contracts and dollar value (with over 1000 contracts, valued at over \$3 billion). RFP awards and renewals (typically renewals of RFP awards) also show high numeric and dollar volumes, with over 500 contracts at \$1.8 billion and over 700 contracts at \$2.1 billion, respectively. The other large volume methods by number of contracts processed by the agencies were Line Item Appropriations and Intergovernmental awards, at 653 and 698 contracts, respectively, but these purchases represent only small fractions of the total dollar volumes.

AGENCY	Dollar Value of Contracts
ACS	\$2,397,901,491
DEP	\$1,253,076,762
DDC	\$879,791,376
DSNY	\$822,353,931
DOT	\$669,032,778
DCAS	\$627,395,085
HRA	\$615,475,291
DSBS	\$519,734,526
DHS	\$402,136,519
DOHMH	\$277,854,573
All Others	\$1,075,676,743
<b>TOTAL</b>	<b>\$9,540,429,075</b>

Appendix B to this report provides agency-by-agency totals for each category. As shown by the summary table to the left, ten City agencies account for 89% of the City’s overall \$9.5 billion total.

Because of the way information is recorded in the City’s Financial Management System (FMS), some categories of procurement are excluded from these totals, such as micro-purchases (at or below \$5,000), amendments that extend contract time periods, purchase orders and payments made on multi-year contracts awarded prior to Fiscal 2004.

## AGENCY PROCUREMENT INDICATORS FISCAL YEAR 2004

FMS reflects the total dollar amount of a contract in the year it was registered. Depending upon when particular multi-year contracts expire and are re-let, FMS shows fluctuations in contracting activity whenever agencies use multi-year contracts. Thus, both the overall total and the agency-by-agency totals should be viewed as approximations, rather than as the full level of procurement actually funded by the City during Fiscal Year 2004.

Highlights from the agency-by-agency totals in Appendix B include:

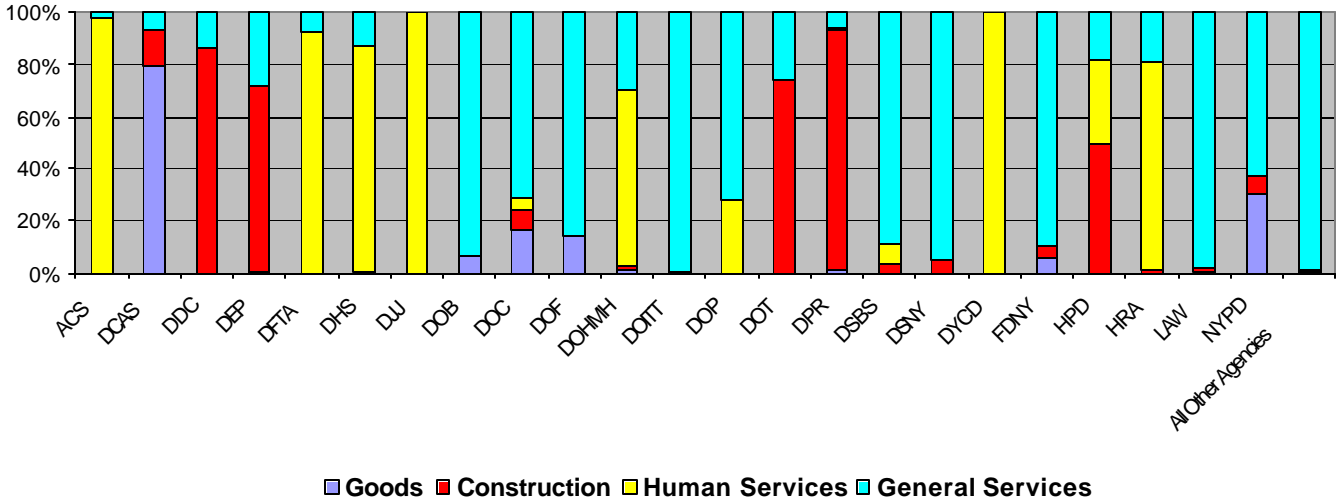
- The Administration for Children's Services (ACS) had the largest total procurement volume, at nearly \$2.4 billion (in 622 contracts), although the Department of Citywide Administrative Services (DCAS), the City's chief buyer of goods – *i.e.*, equipment, supplies and commodities such as fuel – processed many more total contracts, as does the Department of Environmental Protection (DEP), with 870 and 833 contracts, respectively. Other agencies with high volumes (in terms of numbers of contracts processed) include the Department of Health and Mental Hygiene (DOHMH), the Department of Youth and Community Development (DYCD) and Police Department (NYPD), with 591, 575 and 625 contracts, respectively.
- DEP also processed the largest dollar volume of competitive bids for its large infrastructure projects (over \$870 million, in 60 contracts). But other agencies processed larger numbers of bid contracts – for example, DCAS (at 486 bid contracts for goods and general services), as well the Department of Design and Construction (DDC) and the Department of Parks (DPR), which both manage a variety of small, medium and large-sized construction projects, and processed 142 and 127 bid contracts, respectively.
- ACS processed the largest dollar volume of RFP awards (nearly \$700 million), mostly for the not-for-profit agencies that deliver services in such areas as day care and foster care. But DDC also processed over \$300 million in RFP awards, which covered such services as design and complex construction services.
- While emergency contracts are infrequent, last year the highest dollar volumes were posted by DEP and the Department of Transportation (DOT), at over \$20 million each, as a result of such emergencies as water main breaks and ferry accidents.
- Three agencies in particular bear responsibility of processing the majority of the Line Item Appropriations from the City Council and Borough Presidents – DYCD, with 368 contracts valued at nearly \$25 million, the Department for the Aging (DFTA), with 104 contracts valued at over \$9 million, and DOHMH, with 83 contracts totaling nearly \$19 million.
- The Law Department processed the largest volume of negotiated acquisition awards (over \$20 million) in litigation support services.
- The Department of Information Technology and Telecommunications (DOITT) was the largest purchaser via intergovernmental contracts (at over \$100 million), as this method provides an efficient way to obtain high quality computer goods and services.

# AGENCY PROCUREMENT INDICATORS FISCAL YEAR 2004

- The largest volume of “required source or procurement method” contracts came from ACS and DOHMH, at nearly \$500 million and just over \$115 million, respectively, due to New York State funded programs for which the state mandates the use of particular vendors.

## Agency Procurement Actions By Type of Item – What Agencies Buy

### Agency Purchasing By Type



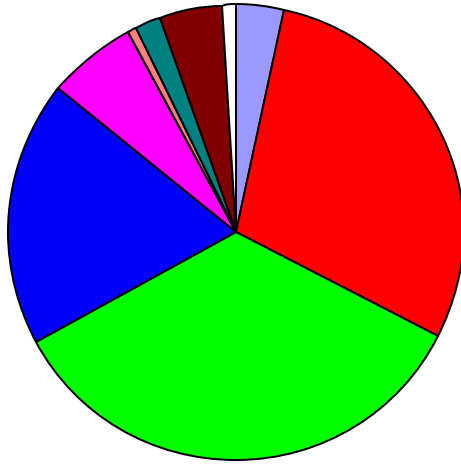
This indicator separates each agency's contracts according to what *kinds* of items the agency bought. It includes data on the number and total original maximum dollar amount of procurements awarded during Fiscal Year 2004, in the following broad categories: goods, construction and construction-related services, human services and other (general) services.

Because of the inclusion of new (*i.e.*, previously unreported) categories this year, such as small purchases and intergovernmental purchases, this report presents a more representative overview of agency purchasing volumes, particularly for goods, although the FMS-related year-to-year fluctuations and other exclusions described in the prior section also apply to this data. Thus, the fact that this year's table shows an increase in construction procurement or a decrease in human services procurement relative to the City's Fiscal Year 2003 data, is more likely to reflect the timing of when particular multi-year contracts expired and were re-let, rather than changes to the actual level of funded contracting activity.

Appendix C to this report provides the agency-by-agency totals for each category, while the charts shown on the following pages reflect the top agencies (by dollar volume) in purchases made from each category reported. The chart appearing on the cover page of this report reflects the citywide amounts for each category.

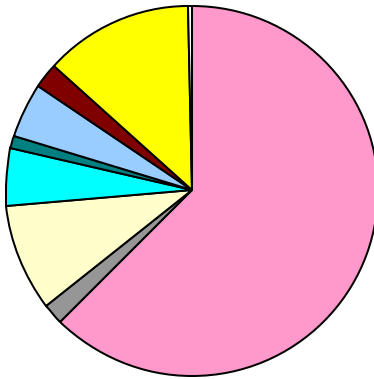
# AGENCY PROCUREMENT INDICATORS FISCAL YEAR 2004

**Construction and Construction-Related Services  
Contracts (By Dollar Value)  
Total = \$2.6 billion**



- DCAS
- DDC
- DEP
- DOT
- DPR
- DSBS
- DSNY
- HPD
- All Other Agencies

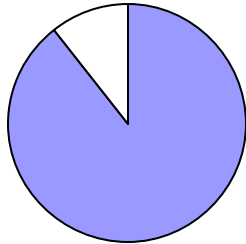
**Human Services Contracts  
(By Dollar Value)  
Total = \$3.74 billion**



- ACS
- DFTA
- DHS
- DOHMH
- DSBS
- DYCD
- HPD
- HRA

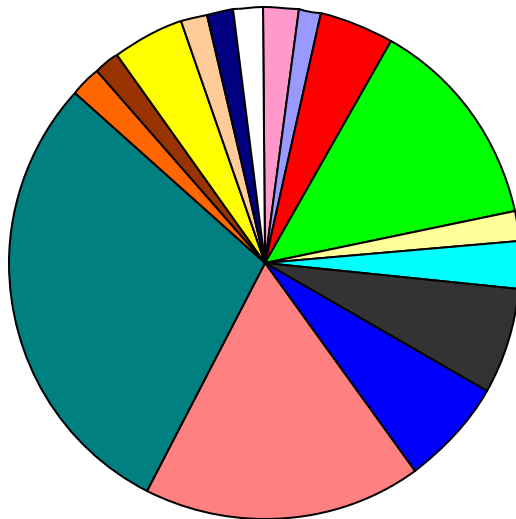
# AGENCY PROCUREMENT INDICATORS FISCAL YEAR 2004

**Goods Contracts  
(By Dollar Value)  
Total =\$555,982,493**



- DCAS
- All Others

**General Services Contracts  
(By Dollar Value)  
Total =\$2.65 million**



- ACS
- DDC
- DHS
- DOITT
- DSBS
- FDNY
- HRA
- NYPD
- DCAS
- DEP
- DOHMH
- DOT
- DSNY
- HPD
- LAW
- All Other Agencies



# AGENCY PROCUREMENT INDICATORS FISCAL YEAR 2004

## II. PROCUREMENT TIMELINESS

### Aggregate Contract Processing Cycles – How Long Agencies Took to Process Contracts

This indicator provides data on the average number of calendar days each agency spent in processing their “typical” procurements during Fiscal Year 2004, via four of the most common procurement methods – competitive sealed bids (“bids”), construction contract change orders, competitive sealed proposals (“RFP”) and renewals. For RFPs, the data is limited to contracts for ongoing programs, as those reflect more typical processing times than contracts for new programs. (Agency information is included where the annual volume for a particular procurement method includes more than three contracts and where the available information is sufficient to yield meaningful averages.)

Aggregate processing cycles, which reflect start-to-finish times, do not appear to bear much of a relationship to the eventual timeliness of the contract. One agency may have a longer aggregate cycle than another for completing a specific type of procurement, but this may result as much from differences in what is being purchased as from any difference in the efficiency of the agencies’ respective processes. The more significant measures, by far, are those which focus on such aspects of the process as the time an agency takes between when it selects its vendor and submits the contract to the Comptroller for registration, and the timeliness of that submission (*i.e.*, whether it is registered by or before its intended start date, so that the vendor may be assured of timely payment). The aggregate cycle for bids and RFPs is measured from the date a solicitation was publicly released (*e.g.*, an Invitation for Bids or RFP was issued). In the case of renewals, NAEs or AEs, the cycle begins with the date when the agency makes a decision to proceed and/or notifies the vendor, and for change orders, with the date when the agency’s field representative approves the work. The aggregate cycle ends when the agency completed its processing (*i.e.*, the date it submits the contract to the Comptroller’s Office for registration). The processing time for contracts awarded from “atypical” procurements, for example, those substantially delayed due to litigation, vendor protests, investigations, problems with vendor integrity or similar issues, is excluded from the cycle time calculations.

The overall results from this indicator, presented in the table on the following page, are consistent with the data from past years. However, the data included in each category (*e.g.*, bids, RFPs) differs in key respects, so the resulting “aggregate cycle time” figures cannot be readily compared with prior year’s calculations. To begin with, this year’s table presents data on more categories than in the past – *i.e.*, the data this year on change orders, renewals, and amendment extensions (AEs) is new.

Second, the data reflected in the competitive bid cycles has changed in a number of important respects. Accelerated procurements for commodities such as food and fuel, which are competitively bid, but are not governed by same rules on solicitation times, VENDEX or registration submissions, are not included in this year’s bid cycle time data. In addition, year-to-year fluctuations in the complexity of projects bid out can cause cycle times likewise to fluctuate.

During the past fiscal year, DCAS made 146 accelerated procurement purchases (of food), for a total dollar value of \$36,336,734. The processing cycle for these purchases averaged 41.5 days. Thus, separating the accelerated method from the competitive bid method, and similar changes made in this year’s data analysis, causes both the citywide bid cycle time and that of DCAS to appear to have increased slightly since last year, when they have not. In sum, while this year’s bid cycle time indicator reflects a citywide average of 117 days, an increase of 11 days from the figure from the prior fiscal year, it is unlikely that the citywide average or any agencies’ bid cycle times increased from prior years.

## AGENCY PROCUREMENT INDICATORS FISCAL YEAR 2004

In the case of RFP awards, this year's data reflects a *substantial* change in the definition of the aggregate cycle – because this year's analysis uses a more precise measure of the RFP's public release date as the beginning point, rather than later milestones in the contracting process, such as the date vendors were selected. Thus, the 205 day cycle time from Fiscal Year 2003 measures only the last portion of is classified as the cycle time this year for RFPs; this year's more inclusive definition yields a citywide average of 382.

AGGREGATE PROCESSING CYCLE TIMES								
Agency	Competitive Sealed Bid (CSB) Awards		Request for Proposal (RFP) Awards (Existing Programs)		Renewal Contracts (Existing Programs)		Construction Contract Change Orders	
	#	Avg. # Days	#	Avg. # Days	#	Avg. # Days	#	Avg. # Days
Administration for Children's Services	35	200	19	357	42	88		
Department for the Aging			15	229	207	159		
Department of Citywide Administrative Services	421	79					16	134
Department of Corrections	22	351						
Department of Design and Construction	112	111					827	104
Department of Environmental Protection	46	160	4	439	34	123	301	261
Department of Health & Mental Hyg./ Office of the Chief Medical Examiner	23	143	9	412	10	36		
Department of Homeless Services	12	264	15	347	11	204	21	231
Department of Housing Preservation and Development	7	126	5	464	6	177	10	85
Department of Juvenile Justice								
Department of Parks and Recreation	99	111			6	282	4*	397
Department of Probation								
Department of Sanitation	37	78					149	53
Department of Small Business Services			4	443				
Department of Transportation	52	143					160	146
Department of Youth and Community Development			24	358	336	63		
Fire Department	7	212			4	555	22	48
Human Resources Administration	10	510	17	540	51	201		
Police Department	11	118					16	98
<b>TOTALS</b>	<b>894</b>	<b>117</b>	<b>112</b>	<b>382</b>	<b>707</b>	<b>113</b>	<b>1526</b>	<b>136</b>

\*Excluding change orders relating to projects funded through line-item appropriations (capital budget).

## AGENCY PROCUREMENT INDICATORS FISCAL YEAR 2004

### Step-by-Step Contract Milestones – How Long Specific Parts of the Process Take

Beginning in Fiscal Year 2004, MOCS developed and used a more detailed set of milestone indicators of agency performance, designed to pinpoint “bottlenecks” in the process. Since contracting requires interaction across many parts of each agency, as well as between operating agencies and oversight agencies, the new indicators address particular steps in the process, to allow more precise monitoring and tracking, particularly for contracts that agencies use to *continue* existing programs, as these contracts are needed to ensure that vendors who typically already have staff, clients and overhead costs in place, can continue to receive timely payments. Because all of this data is new this year, no real conclusions can be drawn as to trends – but MOCS will work with the affected agencies, particularly the human services agencies, to ensure that the percentage achieving timely completion of these milestones improves.

The charts shown on the following pages reflect the citywide averages for several of those key milestones, covering RFP awards, renewals, negotiated acquisition extensions (referred to here as “NAE”), and amendments to extend contract time periods (referred to here as “AE”). (Agencies are listed in these tables only where their annual volumes include more than three of specific procurement methods measured, in order to yield meaningful averages.) As the data tables demonstrate, most agencies are meeting the projected milestones at the earliest stages of the contracting process – for example, releasing RFPs at least nine months prior to the date existing contracts expire and new contracts are needed. But citywide averages for timely completion decline during the later phases of the process, between vendor selection and submission of the contract to the Comptroller.

During those later phases of the process, the agencies must evaluate vendor integrity, hold the required public hearings and negotiate the terms of the new contracts. The integrity review process depends upon vendors’ timely completion of forms commonly known as “VENDEX” filings, which have long been recognized as unduly lengthy, confusing and prone to error by vendors. Toward the end of Fiscal Year 2004, MOCS instituted sweeping changes in the VENDEX process, greatly simplifying the forms and requiring far less processing by the agencies. These reforms in the process were later made permanent by Local Law 22 of 2004. While it is too early for the data to reflect results, these changes are designed to reduce the time taken during vendor integrity review.

Also at the end of this past fiscal year, Local Law 19 of 2004 increased the dollar threshold allowing agencies to forego public hearings on small contracts (now defined as those up to \$1 million), when no member of the public wishes to testify. This reform, as well, should help reduce the processing times for milestones that follow vendor selection.

Lastly, while some delay is inevitable as vendors and agencies negotiate the terms of their contracts, beginning this year MOCS and the Law Department, in cooperation with the City Council and Borough Presidents, have offered agencies a new, short-form contract for use with Line Item Appropriation contracts up to \$100,000. These contracts are not themselves reflected in the cycle time and milestone tables because the agencies typically do not receive instructions from the City Council and Borough Presidents (as to what is funded) until very near the contract start dates, or even after. Nevertheless, the large volume of these contracts has an impact upon the ability of several human services agencies, especially DYCD, to complete their contract processing workload as a whole in a timely fashion. Thus, efforts to simplify the processing of Line Item Appropriations should also improve the processing times for other contracts, as well.

## AGENCY PROCUREMENT INDICATORS FISCAL YEAR 2004

### AGENCY PROCESSING TIMES FOR RFP AWARDS (EXISTING PROGRAMS)

MILESTONE	Average
Average number of days between RFP issuance and expiration of prior program contract	367
% of RFP awards for which RFP was issued at least 9 mos. before expiration of prior program contract	84%
Average number of days between RFP issuance and vendor selection	268
% of RFP awards for which agency selected vendor at least 4 ½ mos. before expiration of prior program contract	32%
Average number of days between agency's selection of vendor and submission of RFP award contract to Comptroller	121
% of RFP awards for which agency submitted contract to Comptroller at least 30 days before expiration of prior program contract	19%

### AGENCY PROCESSING TIMES FOR RENEWALS AND EXTENSIONS (EXISTING PROGRAMS)

MILESTONE	Average for Renewals	Average for Negot. Acquisition Extensions	Average for Amendment Extensions
Number of days between agency's selection/notification of vendor and expiration of prior program contract	122	51	41
% of awards for which agency selected/notified vendor at least 3 mos. before expiration of prior program contract	49%	1%	15%
Number of days between agency's selection/notification of vendor and submission of renewal/extension contract to Comptroller	113	58	59
% of awards for which agency submitted renewal/extension contract to Comptroller at least 30 days before expiration of prior program contract	29%	8%	2%

# AGENCY PROCUREMENT INDICATORS FISCAL YEAR 2004

OVERSIGHT AGENCY PROCESSING TIMES (SELECTED METHODS/EXISTING PROGRAMS)*				
AGENCY	RFP Awards	Renewals	Negotiated Acquisition Extensions	Amendment Extensions
Average number of days for Law Dept. review of contract	47			
Average number of days for Dept. of Investigation vendor name check	25	27	28	
Average number of days for Dept. of Small Bus. Services (Div. of Labor Services) approval	20	20	28	
Average number of days for Mayor's Office of Contract Services approval**	15			21
Average number of days for Comptroller's registration of contract	27	29	34	21
<p>* Except for the data concerning MOCS' approval, the source of the data in the table above is the contracting agencies' internal tracking systems. All data for oversight agency review includes the time required for the contracting agencies to respond to the issues raised. (For MOCS, the agency-reported data closely tracks MOCS' own data, which is the source used.) Averages are not reported where insufficient data is available for meaningful analysis or for actions that are typically not reviewed by particular oversight agencies.</p> <p>** MOCS' processing time for its agency review functions taken together, some 1,910 during Fiscal Year 2004, averaged 19 days. This included an average of 25 days for pre-solicitation approvals required for such contract activity as new RFPs and negotiated acquisitions, 20 days for approval of intergovernmental purchases, 21 days for contract amendments, 25 days for construction change orders, 11 days for renewals and 17 days for most other award approvals. MOCS' system does not separate RFP awards for existing programs from those for new programs, nor amendments from amendment extensions, so the averages listed above may overstate processing time for existing program awards and amendments.</p>				

Most oversight agencies currently lack method-by-method tracking systems for their review of agency procurements – indeed, many operating agencies are using manual tracking systems or outdated data base systems. But again, MOCS is pursuing a number of reform initiatives during the coming year that are aimed at enhancing the City's ability to track contract processing more accurately. Recently, the Mayor's Office has coordinated the design and development of an integrated human services contract management system. This coming fiscal year, MOCS and DOITT are spearheading a project to obtain an initial systems design for a fully electronic, end-to-end system that can track procurement workflow for all agencies citywide and, ultimately, enable vendors and members of the public likewise to track the progress of contracts as they move through the approval process. In addition, in keeping with Mayor Bloomberg's emphasis on agency accountability, MOCS has delegated substantial additional procurement approval authority to each of the Mayoral agencies, enabling them to move more of their contracts swiftly through to approval with fewer requirements for MOCS' review. Other oversight agencies are also considering additional reforms aimed at enhancing efficiency of the review and approval process.

## AGENCY PROCUREMENT INDICATORS FISCAL YEAR 2004

### Retroactivity – When Agencies Complete the Process After the Contract Start Dates

A common theme of critiques of City contracting has been that the lengthy and complex processing cycle adds costs, as vendors build delays into their costs. This also impairs City agencies' ability to plan their work and meet programmatic objectives in an era of scarce resources. When such difficulties result in late contracts for vendors already providing services, this lateness imposes burdens, especially on not-for-profit human service providers, who often have ongoing commitments to their client, staff and communities.

This indicator measures retroactivity (*i.e.*, contracts with start dates before the contract process is completed). Detailed agency-by-agency figures appear as Appendix D to this report, listing the number and dollar value of retroactive contracts and the average number of retroactive days (*i.e.*, days between the contract start date and the date the Comptroller completes the registration process). All new and renewal bid, RFP, renewal, negotiated acquisition extension and similar contracts are included in calculations. Contracts delayed by such factors as litigation, vendor protests, criminal investigations, problems with vendor integrity or similar anomalies, are excluded, because such delays do not reflect upon agency processing efficiency.

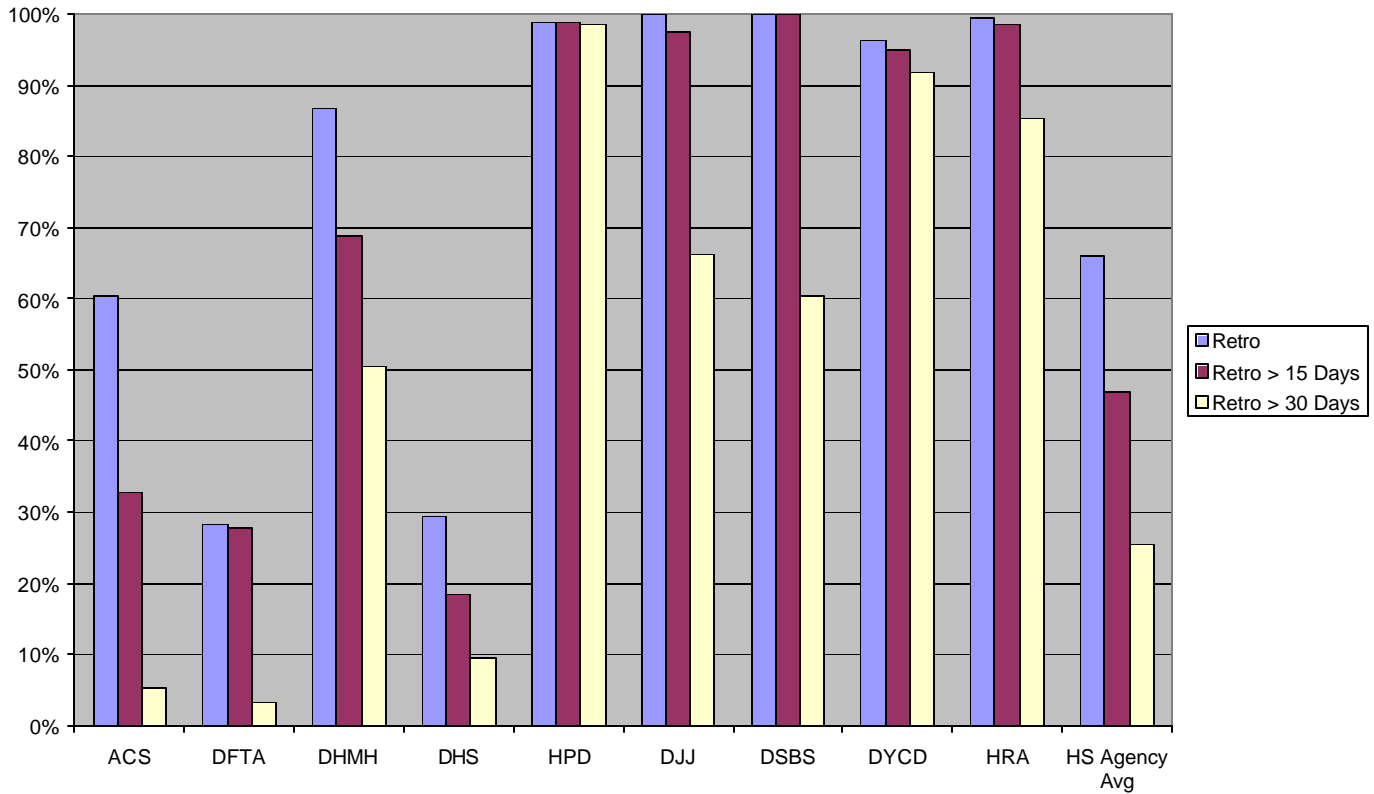
Results from this indicator show solidly positive trends. The citywide average for the length of retroactivity fell to 74 days from the prior year's 112 days. The percentage of late contracts (by number of contracts) declined to 46% from 52%, while the *dollar value* of retroactive contracts fell significantly this year, from 51% to 38%. (The tables measure retroactivity from the date the Comptroller actually registers each contract, a process for which the City Charter allocates a *maximum* of 30 days.)

However, as Appendix D shows, significantly fewer contracts are retroactive by more than 30 days, *i.e.*, by a time period that would be likely to affect service providers by interrupting payment continuation. Citywide, the data reflects that, measured by contract value, 28% of agency contracts were retroactive by more than 15 days – and only 14% by more than 30 days. Thus, while the agencies may not in all instances submit contracts to the Comptroller a month in advance of their start dates, they more often do submit them closer to the actual start date.

But much remains to be achieved, particularly in the human services area. Focusing particularly on the human services agencies processing of their client services contracts, fully 66% (by dollar value) were retroactive – and 47% and 25% were retroactive by more than 15 and 30 days, respectively. For several agencies, ACS, DFTA and DHS, the period of retroactivity seldom exceeds the 30 day threshold, but for other agencies, the time periods of retroactivity remain consistently higher.

# AGENCY PROCUREMENT INDICATORS FISCAL YEAR 2004

Human Services Agencies -- Contract Retroactivity  
(Client Services Programs, By Dollar Value)



This past year, MOCS worked closely with the human services agencies to ensure that more end-of-the-fiscal-year contracts were completed on time, as July 1 start dates represent a major proportion of human services contracts, especially for community-based organizations. This effort was quite successful. DFTA completed the processing of 100% of its July 1<sup>st</sup> contracts in time to submit them to the Comptroller by the end of June. Three other agencies – the Department of Homeless Services (DHS), Department of Housing Preservation and Development (HPD) and the Human Resources Administration (HRA) completed work on 90% or more of their July 1<sup>st</sup> contracts. Both ACS and DYCD made progress over recent years, completing more than 75% of their contract processing on time. DOHMH completed a lower proportion (55%), but many of its contracts were with larger institutions, rather than smaller community-based providers. Because this end-of-the-year push resulted in agencies submitting many contracts to the Comptroller during June 2004, most of those contracts were not registered by the Comptroller until after Fiscal Year 2004 ended. Thus, they are not reflected in the current tables.

In some instances, particularly with new contracts, the complexity of the contract or the need to review a first-time vendor's integrity easily supports the Comptroller's use of a full 30 days to complete the registration process. However, the vast majority of contracts submitted by City agencies to continue existing programs should pose no significant review issues for the Comptroller, and often no issues are raised. Nevertheless, as the chart on page 12 shows, the Comptroller often uses nearly the entire 30 day maximum time period. Thus, an analysis of whether and to what degree the agency submitted its contracts to the Comptroller in advance of their start dates yields a better measure for retroactivity and agency efficiency. This year, the retroactivity tables reflect both the data on contracts *registered* after their start dates, and those registered *fewer than 30 days late*.

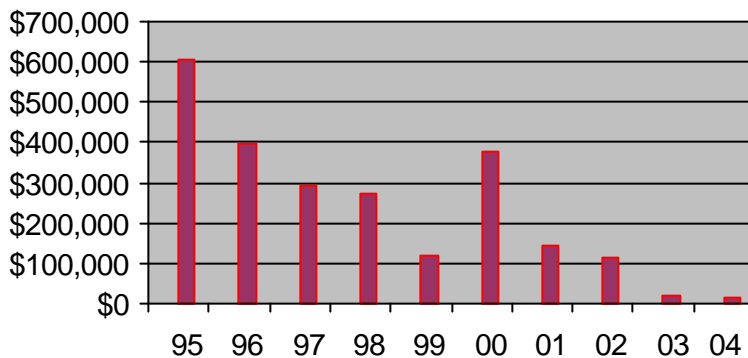
## AGENCY PROCUREMENT INDICATORS FISCAL YEAR 2004

Late contracting has been a reality of City procurement for some time, so the process of reform requires steady dedication. This year, in addition to the push for contract submission in July 2004, MOCS has instituted a number of other measures aimed at curbing retroactivity: MOCS has delegated increased approval authority to agencies, so that they may move contracts through to registration more rapidly, has revamped the annual human services plan to turn it into a full-disclosure tool for vendors to understand agencies' projected actions on their contracts, and has streamlined the VENDEX system and waived pre-registration filing mandates for smaller contractors. Most significantly, MOCS has expanded its outreach efforts and the eligibility standards for the "safety valve" intended to mitigate problems associated with retroactive contracts, a revolving loan fund which the City funds (administered through the Fund for the City of New York). During June, July and August of 2004, this loan fund made a total of 59 loans totaling over \$5.7 million.

### Prompt Payment – Agencies' Efforts to Pay Vendors' Invoices on Time

The prompt payment indicator reflects agency timeliness in paying their bills on time. As mandated in the City Charter, the Procurement Policy Board (PPB) Rules require City agencies to notify vendors in contracts of the City's policy to pay invoices in a timely fashion and to pay interest when payments are late. PPB Rules establish a maximum time for payment once a vendor completes performance, an agency finds that performance satisfactory and the vendor submits an invoice with appropriate documentation; the rules also specify the length of time for agencies to make the required determinations. After such determinations, the agency has 30 calendar days to process payments (60 days for contract changes and for substantial completion payments or final payments for construction contracts). If disputes arise between the agency and the contractor concerning payment documents or performance, the time required to make corrections or resolve disputes is excluded. This past fiscal year, as of April 1<sup>st</sup>, certain categories of payment to human services vendors, which had previously been treated as exempt from interest payments were reclassified as interest-eligible. Nevertheless, during Fiscal Year 2004, agencies continued to make excellent progress in prompt payment. As shown in the chart below, the amount of interest fell by 36% from Fiscal Year 2003's figure of \$21,640, to \$13,769 in Fiscal Year 2004, continuing the decline of the past 10 years.

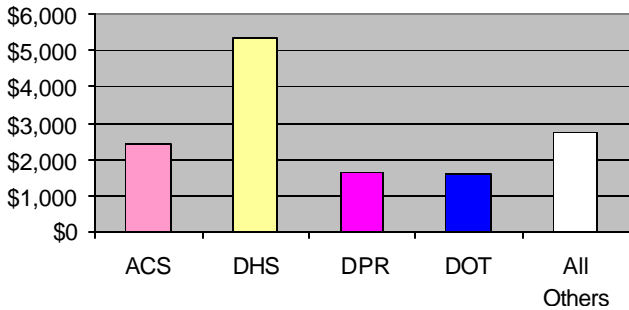
**Interest to Vendors for  
Late Payment of Invoices**





# AGENCY PROCUREMENT INDICATORS FISCAL YEAR 2004

**Interest Paid by Agencies  
(Late Payment of Invoices)  
Total = \$13,769**



As the chart at the left reflects, this past fiscal year, a small amount of interest was paid on late invoices by a handful of agencies.

### III. VENDOR SELECTION

#### Competitiveness – Agencies’ Success in Attracting Bidders and Proposers

This indicator shows competitiveness levels in City contracting – i.e., whether agencies received at least three responses for the contracts awarded by competitive sealed bids or RFPs, and for all awards for construction and/or construction-related services (any award method), during Fiscal Year 2004. As the agency-by-agency tables included in Appendix E show, agencies received at least three responses for 86% of the bid contracts (by dollar value), 90% of the RFPs and 85% of the construction contracts, which compares favorably to Fiscal Year 2003.

#### Vendor Selection Process – Protests and Appeals by Unsuccessful Vendors

This indicator provides additional information regarding vendor selection controversies, both those that arise when unsuccessful vendors file formal protests expressing concerns about the selection process and when agencies determine that vendors who may otherwise have successfully bid or proposed on contracts lack the necessary responsibility (financial or integrity) for the contract. As shown in the table below, relatively few vendors protested the contracts they did not win, and even fewer of those protests were sustained in the vendors’ favor. Similarly, agencies made relatively few determinations that vendors who had bid or proposed for City contracts were non-responsible; few of those determinations were appealed by the unsuccessful vendors and still fewer of those appeals were sustained in the vendors’ favor.

# AGENCY PROCUREMENT INDICATORS FISCAL YEAR 2004

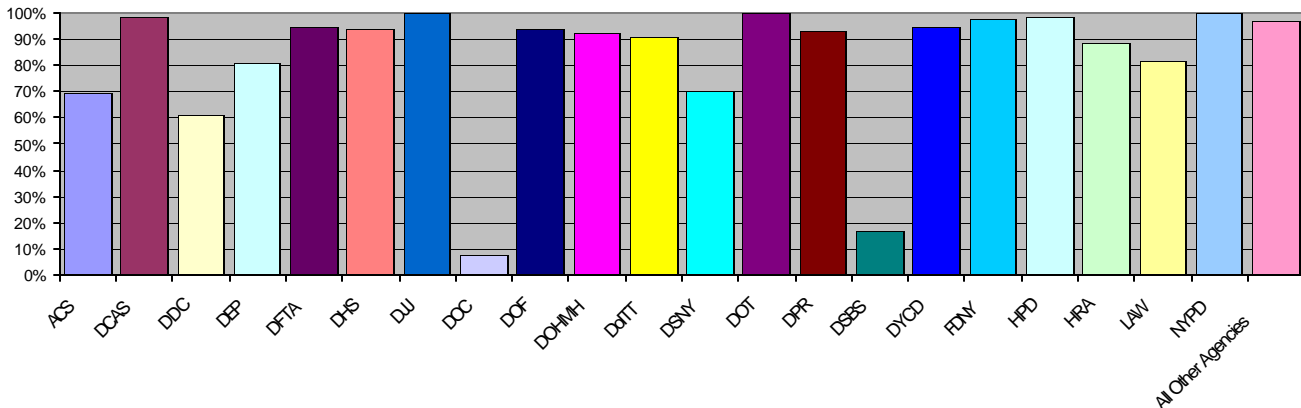
VENDOR SELECTION PROCESS					
AGENCY	Total # Vendor Protests	# Vendor Protests Sustained	Total # Non-Responsibility Determinations	# Vendor Appeals	# Vendor Appeals Sustained
ACS	4	0			
DCAS	12	2	3	3	1
DDC	1	0	1	1	0
DEP	11	0	1	0	0
DFTA	9	0			
DHS	3	0			
DOB			1	1	0
DOHMH	1	0			
DOT			2	2	0
DPR			9	4	0
DSNY	1	0	3	2	1
DYCD	4	0	7	1	0
HRA	2	0	2	0	0
<b>Total</b>	<b>48</b>	<b>2</b>	<b>29</b>	<b>14</b>	<b>2</b>

## IV. CONTRACT ADMINISTRATION

### Vendor Evaluations -- Documenting Vendors' Satisfactory Performance

This indicator includes data for Vendor Performance Evaluations, tracking both agencies' success in completing them and their results, *i.e.*, documenting vendors' track records of satisfactory or unsatisfactory performance. The Charter, Administrative Code and PPB Rules require agencies to prepare comprehensive, fully documented Evaluations of Contractor Performance for submission to the VENDEX data base system for most types of contracts. (Under procedures established by MOCS, when agencies purchase goods via competitive sealed bids or make small purchases, they need only complete performance evaluations when the vendor's performance is unsatisfactory. ) Performance evaluation completion is critical so that agencies have the information they need in time to determine whether to renew, extend or terminate existing contracts, and whether to develop corrective action plans for problematic vendors.

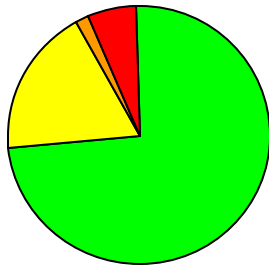
**Vendor Performance Evaluations (% Completed by Agency)**



# AGENCY PROCUREMENT INDICATORS FISCAL YEAR 2004

As shown in Appendix F, during Fiscal Year 2004, agencies completed 85% of the required evaluations, up from the prior year's figure of 78%. And the results of those evaluations likewise showed generally satisfactory performance by vendors, with nearly 75% receiving overall evaluations of satisfactory or better and no below-par ratings on any of the subcriteria used in the evaluation process.

## Vendor Performance Ratings



- Satisfactory or Better (All Sub-ratings)
- Satisfactory or Better (Lower Sub-ratings)
- Needs Improvement
- Unsatisfactory

This year, for the first time, the agency-by-agency data shown in Appendix F and summarized here, reports separately the percentage of vendors rated as unsatisfactory, a small percentage citywide (6%), those rated as needing improvement (2%), and those rated as satisfactory or better, but who had lower evaluations on specific subcriteria (19%).

### Contract Defaults – Agency Decisions to Terminate Poorly Performing Vendors

DEFAULTED CONTRACTS	
Agency	Number of Contracts Defaulted
Department of Citywide Administrative Services	5
Department of Design and Construction	4
Department of Environmental Protection	4
Department of Finance	1
Department of Homeless Services	1
Department of Parks and Recreation	12
Department of Sanitation	1
Human Resources Administration	4
<b>Total</b>	<b>32</b>

This indicator shows the frequency of agencies' declarations of contract defaults, typically based upon the vendors' poor performance or inability to continue to perform. While the number of defaulted contracts is up slightly from the prior year (in which only 14 contract defaults were declared), overall the numbers of defaults are quite modest.

### Performance-Based Contracting – Outcome-Driven Contracts

This indicator reflects the extent to which agencies utilize performance-based contracting. Under performance-based contracting, agencies (a) specify the desired goals in the contract, (b) measure the vendor's achievement of those goals, and (c) identify in the contract the specific consequences that flow from performance, as an incentive for the vendor to achieve the agency's programmatic goals for the contract.

It is the City's policy that all contracts should be performance-based, in that agencies should be able to evaluate in some manner both vendor performance and the effectiveness of their contracted programs. This is the "baseline" for performance-based contracting. Where contracts include such performance-related objectives, so that instead of being input-driven they are outcome-driven, those contracts, even without direct linkages between payment and outcomes, are treated as performance-based for this indicator.

## AGENCY PROCUREMENT INDICATORS FISCAL YEAR 2004

The critical factor in considering a contract as performance-based is its inclusion of appropriate outcome-related measures reflecting the agency's goals for the contract (*e.g.*, completion by a certain date, service to X number of clients, X % occupancy level for a given facility, X% success rate for a specific outcome, deliverables by a certain date, etc.) In baseline performance-based contracts, the extent to which vendors achieve prescribed outcome measures is reflected in their eventual performance evaluations. Depending upon the degree to which agencies develop program indicators, agencies can move beyond the baseline to include them in RFPs, with the eventual goal that such targets become part of the competition among contractors, so that those vendors offering higher levels of performance receive higher ratings.

At the furthest end of the continuum, in "beyond-the-baseline" performance-based contracts, the extent to which vendors achieve prescribed outcome measures is also reflected in some manner within the payment structure of the contract. Thus, a performance-based contract is a beyond-the-baseline contract if, rather than simply reimbursing the vendor for its expenditures, it incorporates one or more of the following payment methods:

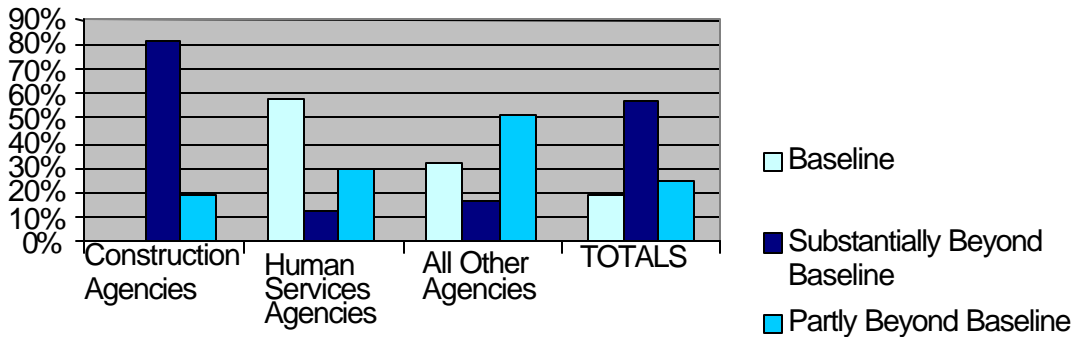
- Performance-based outcome measures and financial incentives and/or disincentives (*e.g.*, bonuses or penalties).
- Unit payments tied to outcomes (*e.g.*, prescribed fees per unit constructed).
- Milestone payments tied to outcomes (*e.g.*, prescribed payments for levels of accomplishment).
- Liquidated damages tied to discouraged outcomes.

Beyond-the-baseline types of contracts are further classified as follows: *substantially* linked to payment (*i.e.*, where at least 75% of the total contract budget is linked to performance, which typically involves contracts where payment follows the achievement of specific milestones), or *partly* linked to payment (*i.e.*, where less than 75% of the total contract budget is linked to performance, which typically involves contracts containing bonus, penalty or liquidated damages provisions).

To be effective over the long term, an agency's approach for moving beyond the beyond baseline should be dynamic rather than static, flexible (*i.e.*, recognize that "one size does not fit all"), based upon a phased-in approach and provide for mutual risk sharing. Among the factors relevant in determining the appropriate type or combination of performance-based tools for a given contract are: the nature of the services being provided; the extent to which the agency's goals (*i.e.*, anticipated outcomes) are measurable; and the degree to which previous contracts providing the subject services have been performance-based (*e.g.*, previous contracts incorporated some degree of a performance-based payment structure vs. previous contracts were wholly based on line-item budget reimbursement). Agencies can also move beyond the baseline by explicitly making past contractor performance a factor for vendor evaluations in future awards.

# AGENCY PROCUREMENT INDICATORS FISCAL YEAR 2004

## Performance-Based Contracts



As shown above, most (57%) of the agencies' contracts (by dollar value) are now substantially beyond-the-baseline, especially in construction, where the figures approach 100%. About 24% are partly beyond the baseline, and 20% are baseline performance-based. The latter category includes just over half of the contracts entered into by the City's human services agencies, where cost reimbursement contracts remain more heavily used. Detailed agency-by-agency statistics are provided in the table that appears in Appendix G to this report, covering all new contracts awarded for services and construction during Fiscal Year 2004. The data presented, which has been provided by the agencies, reflects the total number and dollar value of contracts awarded, as well as the number, dollar value and percent falling into each of the three categories, *i.e.*, baseline performance-based, substantially beyond-the-baseline performance-based and partly beyond-the-baseline performance-based. (Agencies that did not award any new contracts for services or construction in Fiscal Year 2004 are not reflected in the accompanying table.)

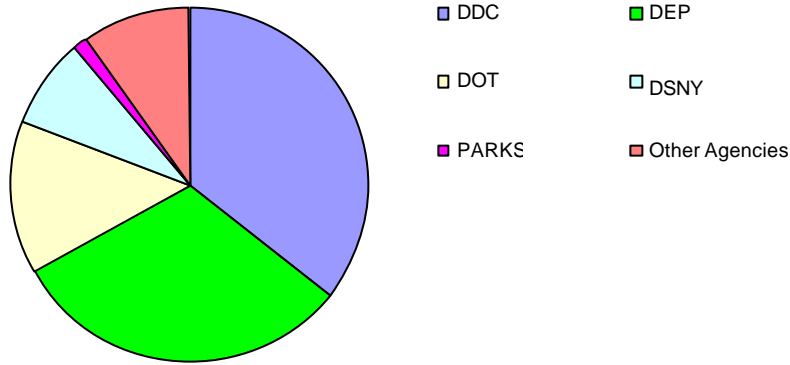
### Construction Change Orders – Streamlining the Approval Process

This Fiscal Year, a new indicator has been added, measuring the level of agencies' construction change orders. Change orders are formal amendments to existing construction contracts that authorize performance of additional work necessary to complete the project or work covered by the original contract or to add work (not resulting in a material change to the contract scope).

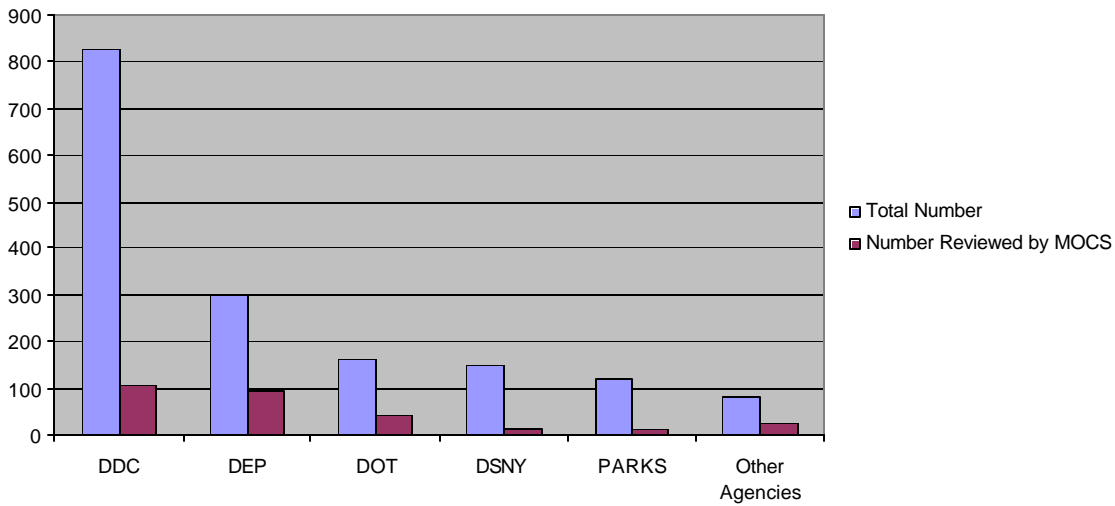
This new indicator presents data concerning the City's six major "construction agencies" – DEP, DDC, DOT, DSNY, DPR and DCAS – and four additional agencies with significant capital programs, *i.e.*, DHS, HPD, NYPD and FDNY. While, as noted in the aggregate cycle time section above, agencies do not track their change order initiation times in a uniform fashion, some general conclusions can be drawn from the data concerning overall volumes and dollar value of change orders, as well as the volume of change orders that are subject to MOCS' review, all as reflected in the charts on the following page.

# AGENCY PROCUREMENT INDICATORS FISCAL YEAR 2004

## Construction Change Orders Total Value = \$188 million



## Construction Change Orders



Change orders have been a concern of the City for a long time – due to their large dollar volume and the less apparent costs of delays and reduced competition. As part of Mayor Bloomberg’s procurement reform agenda, the City is now moving to streamline the change order approval process. Meanwhile, as a result of the Mayor’s Executive Order 48 of 2004, consolidating policy development and technical oversight functions for construction procurement at MOCS and eliminating the formerly separate Office of Construction, change order review is now handled at MOCS. Shortly after the conclusion of Fiscal Year 2004, MOCS delegated increased change order approval authority to each of the major construction agencies, and will evaluate the resulting impact on change order processing beginning with next fiscal year.

**APPENDIX A**  
**Fiscal Year 2004**

Agency	Acronym
Administration for Children's Services	ACS
City Civil Service Commission	CCSC
City Commission on Human Rights	CHR
Civilian Complaint Review Board	CCRB
Department for the Aging	DFTA
Department of Buildings	DOB
Department of City Planning	DCP
Department of Citywide Administrative Services	DCAS
Department of Consumer Affairs	DCAS
Department of Correction	DOC
Department of Cultural Affairs	DCA
Department of Design & Construction	DDC
Department of Emergency Management	OEM
Department of Environmental Protection	DEP
Department of Finance	DOF
Department of Health and Mental Hygiene	DOHMH
Department of Homeless Services	DHS
Department of Housing Preservation & Development	HPD
Department of Information Technology & Telecommunications	DoITT
Department of Investigation	DOI
Department of Juvenile Justice	DJJ
Department of Parks & Recreation	DPR
Department of Probation	DOP
Department of Records and Information Services	DORIS
Department of Sanitation	DSNY
Department of Small Business Services	DSBS
Department of Transportation	DOT
Department of Youth & Community Development	DYCD
Fire Department	FDNY
Human Resources Administration	HRA
Landmark Preservation Commission	LPC
Law Department	LAW
Police Department	NYPD
Taxi & Limousine Commission	TLC

**APPENDIX B**  
**Fiscal Year 2004**

**AGENCY PROCUREMENT ACTIONS BY METHOD OF AWARD**

Agency and Award Method	Number of Contract Actions	Value of Contract Actions (Revised Maximum Amount)
<b>HEALTH, EDUCATION AND HUMAN SERVICES</b>		
<b>Department of Health and Mental Hygiene</b>	591	\$277,854,573
Competitive Sealed Bid	23	\$5,200,651
Other Than Competitive Sealed Bid:		
Request for Proposal	32	\$50,176,562
Renewal	64	\$58,278,873
Sole Source	11	\$6,179,500
Emergency	1	\$114,595
Line-Item Appropriation*	83	\$18,735,253
Negotiated Acquisition	0	\$0
Negotiated Acquisition Extension**	0	\$0
Intergovernmental	13	\$13,601,002
Required Source or Procurement Method***	68	\$116,136,857
Small Purchase	292	\$6,885,897
Other****	4	\$2,545,383
<b>Human Resources Administration</b>	417	\$615,475,291
Competitive Sealed Bid	19	\$86,443,077
Other Than Competitive Sealed Bid:		
Request for Proposal	25	\$50,344,921
Renewal	73	\$326,547,925
Sole Source	3	\$74,600
Emergency	0	\$0
Line-Item Appropriation*	14	\$2,099,611
Negotiated Acquisition	1	\$839,507
Negotiated Acquisition Extension**	88	\$117,904,691
Intergovernmental	50	\$24,205,265
Required Source or Procurement Method***	2	\$1,086,799
Small Purchase	133	\$4,892,658
Other****	9	\$1,036,238
<b>Administration for Children's Services</b>	622	\$2,397,901,491
Competitive Sealed Bid	37	\$26,087,304
Other Than Competitive Sealed Bid:		
Request for Proposal	206	\$690,571,459
Renewal	99	\$1,129,968,787
Sole Source	0	\$0
Emergency	1	\$910,200
Line-Item Appropriation*	1	\$1,000,000
Negotiated Acquisition	0	\$0
Negotiated Acquisition Extension**	27	\$32,744,338
Intergovernmental	47	\$19,111,801
Required Source or Procurement Method***	73	\$493,527,743
Small Purchase	127	\$3,168,785
Other****	4	\$811,074



<b>Department of Homeless Services</b>	230	\$402,136,519
Competitive Sealed Bid	12	\$12,615,650
Other Than Competitive Sealed Bid:		
Request for Proposal	26	\$205,396,540
Renewal	26	\$107,269,233
Sole Source	11	\$214,076
Emergency	0	\$0
Line-Item Appropriation*	16	\$5,307,328
Negotiated Acquisition	0	\$0
Negotiated Acquisition Extension**	8	\$12,775,665
Intergovernmental	13	\$10,995,359
Required Source or Procurement Method***	32	\$43,902,370
Small Purchase	83	\$2,160,075
Other****	3	\$1,500,223
<b>Department for the Aging</b>	307	\$76,174,970
Competitive Sealed Bid	0	\$0
Other Than Competitive Sealed Bid:		
Request for Proposal	26	\$8,252,452
Renewal	138	\$53,874,700
Sole Source	1	\$234,690
Emergency	0	\$0
Line-Item Appropriation*	104	\$9,254,531
Negotiated Acquisition	0	\$0
Negotiated Acquisition Extension**	0	\$0
Intergovernmental	1	\$1,327,000
Required Source or Procurement Method***	2	\$1,421,692
Small Purchase	35	\$1,809,905
Other****	0	\$0
<b>Department of Youth &amp; Community Development</b>	575	\$178,927,716
Competitive Sealed Bid	1	\$1,200,000
Other Than Competitive Sealed Bid:		
Request for Proposal	98	\$111,552,931
Renewal	94	\$28,738,337
Sole Source	0	\$0
Emergency	0	\$0
Line-Item Appropriation*	368	\$24,867,115
Negotiated Acquisition	2	\$373,000
Negotiated Acquisition Extension**	9	\$11,742,938
Intergovernmental	0	\$0
Required Source or Procurement Method***	1	\$87,506
Small Purchase	1	\$50,000
Other****	1	\$315,889

**INFRASTRUCTURE, ADMINISTRATIVE AND COMMUNITY SERVICES**

<b>Department of Environmental Protection</b>	833	\$1,253,076,762
Competitive Sealed Bid	60	\$871,611,855
Other Than Competitive Sealed Bid:		
Request for Proposal	16	\$87,953,257
Renewal	33	\$41,945,563
Sole Source	42	\$40,690,205
Emergency	11	\$27,159,942
Line-Item Appropriation*	0	\$0
Negotiated Acquisition	2	\$9,906,818
Negotiated Acquisition Extension**	3	\$96,908,700
Intergovernmental	292	\$17,548,796
Required Source or Procurement Method***	0	\$0
Small Purchase	368	\$9,255,593
Other****	6	\$50,096,033
<b>Department of Transportation</b>	307	\$669,032,778
Competitive Sealed Bid	58	\$491,775,183
Other Than Competitive Sealed Bid:		
Request for Proposal	13	\$36,476,737
Renewal	17	\$12,597,341
Sole Source	1	\$16,500
Emergency	9	\$22,289,153
Line-Item Appropriation*	0	\$0
Negotiated Acquisition	0	\$0
Negotiated Acquisition Extension**	0	\$0
Intergovernmental	3	\$2,344,273
Required Source or Procurement Method***	1	\$3,620,943
Small Purchase	203	\$4,936,518
Other****	2	\$94,976,132
<b>Department of Buildings</b>	36	\$2,896,081
Competitive Sealed Bid	1	\$418,268
Other Than Competitive Sealed Bid:		
Request for Proposal	1	\$18,985
Renewal	1	\$74,146
Sole Source	3	\$42,293
Emergency	0	\$0
Line-Item Appropriation*	0	\$0
Negotiated Acquisition	0	\$0
Negotiated Acquisition Extension**	0	\$0
Intergovernmental	6	\$126,741
Required Source or Procurement Method***	1	\$1,738,102
Small Purchase	23	\$477,546
Other****	0	\$0

<b>Department of Housing Preservation &amp; Development</b>	332	\$243,903,031
Competitive Sealed Bid	12	\$28,483,230
Other Than Competitive Sealed Bid:		
Request for Proposal	16	\$71,261,786
Renewal	60	\$119,556,438
Sole Source	0	\$0
Emergency	72	\$3,552,369
Line-Item Appropriation*	52	\$1,592,232
Negotiated Acquisition	1	\$53,400
Negotiated Acquisition Extension**	1	\$8,869,156
Intergovernmental	5	\$1,124,031
Required Source or Procurement Method***	1	\$400,000
Small Purchase	111	\$3,769,875
Other****	1	\$5,240,515
<b>Department of Design &amp; Construction</b>	215	\$879,791,376
Competitive Sealed Bid	142	\$462,153,690
Other Than Competitive Sealed Bid:		
Request for Proposal	33	\$313,114,857
Renewal	2	\$8,500,000
Sole Source	18	\$94,026,638
Emergency	0	\$0
Line-Item Appropriation*	0	\$0
Negotiated Acquisition	1	\$500,000
Negotiated Acquisition Extension**	0	\$0
Intergovernmental	3	\$757,363
Required Source or Procurement Method***	0	\$0
Small Purchase	15	\$719,819
Other****	1	\$19,009
<b>Department of Citywide Administrative Services</b>	870	\$627,395,085
Competitive Sealed Bid	486	\$486,897,882
Other Than Competitive Sealed Bid:		
Request for Proposal	9	\$61,000,000
Renewal	24	\$7,917,900
Sole Source	8	\$464,439
Emergency	5	\$6,123,814
Line-Item Appropriation*	0	\$0
Negotiated Acquisition	0	\$0
Negotiated Acquisition Extension**	2	\$1,242,500
Intergovernmental	10	\$8,583,001
Required Source or Procurement Method***	0	\$0
Small Purchase	171	\$7,009,950
Other****	155	\$48,155,599

<b>Department of Information Technology &amp; Telecommunications</b>	96	\$180,168,695
Competitive Sealed Bid	3	\$14,136,792
Other Than Competitive Sealed Bid:		
Request for Proposal	3	\$28,210,544
Renewal	6	\$13,785,957
Sole Source	1	\$181,738
Emergency	3	\$1,087,557
Line-Item Appropriation*	1	\$68,660
Negotiated Acquisition	2	\$10,850,000
Negotiated Acquisition Extension**	1	\$3,000,000
Intergovernmental	22	\$102,596,847
Required Source or Procurement Method***	0	\$0
Small Purchase	53	\$1,255,600
Other****	1	\$4,995,000
<b>Department of Records and Information Services</b>	1	\$24,500
Competitive Sealed Bid	0	\$0
Other Than Competitive Sealed Bid:		
Request for Proposal	0	\$0
Renewal	0	\$0
Sole Source	1	\$24,500
Emergency	0	\$0
Line-Item Appropriation*	0	\$0
Negotiated Acquisition	0	\$0
Negotiated Acquisition Extension**	0	\$0
Intergovernmental	0	\$0
Required Source or Procurement Method***	0	\$0
Small Purchase	0	\$0
Other****	0	\$0
<b>Department of Sanitation</b>	217	\$822,353,931
Competitive Sealed Bid	37	\$585,427,264
Other Than Competitive Sealed Bid:		
Request for Proposal	3	\$9,033,214
Renewal	20	\$184,728,270
Sole Source	0	\$0
Emergency	1	\$160,000
Line-Item Appropriation*	1	\$13,530
Negotiated Acquisition	2	\$38,773,100
Negotiated Acquisition Extension**	1	\$12,900
Intergovernmental	32	\$851,672
Required Source or Procurement Method***	0	\$0
Small Purchase	120	\$3,353,981
Other****	0	\$0

<b>Department of Parks &amp; Recreation</b>	420	\$173,558,607
Competitive Sealed Bid	127	\$89,790,295
Other Than Competitive Sealed Bid:		
Request for Proposal	5	\$641,010
Renewal	34	\$14,370,816
Sole Source	13	\$3,434,561
Emergency	2	\$1,109,255
Line-Item Appropriation*	10	\$1,061,500
Negotiated Acquisition	1	\$506,921
Negotiated Acquisition Extension**	0	\$0
Intergovernmental	43	\$839,510
Required Source or Procurement Method***	0	\$0
Small Purchase	175	\$3,680,222
Other****	10	\$58,124,517
<b>Department of City Planning</b>	1	\$155,415
Competitive Sealed Bid	0	\$0
Other Than Competitive Sealed Bid:		
Request for Proposal	0	\$0
Renewal	0	\$0
Sole Source	1	\$155,415
Emergency	0	\$0
Line-Item Appropriation*	0	\$0
Negotiated Acquisition	0	\$0
Negotiated Acquisition Extension**	0	\$0
Intergovernmental	0	\$0
Required Source or Procurement Method***	0	\$0
Small Purchase	0	\$0
Other****	0	\$0
<b>Landmark Preservation Commission</b>	1	\$14,289
Competitive Sealed Bid	0	\$0
Other Than Competitive Sealed Bid:		
Request for Proposal	0	\$0
Renewal	0	\$0
Sole Source	0	\$0
Emergency	0	\$0
Line-Item Appropriation*	0	\$0
Negotiated Acquisition	0	\$0
Negotiated Acquisition Extension**	0	\$0
Intergovernmental	0	\$0
Required Source or Procurement Method***	0	\$0
Small Purchase	1	\$14,289
Other****	0	\$0
<b>City Civil Service Commission</b>	0	\$0
Competitive Sealed Bid	0	\$0
Other Than Competitive Sealed Bid:		
Request for Proposal	0	\$0
Renewal	0	\$0
Sole Source	0	\$0
Emergency	0	\$0
Line-Item Appropriation*	0	\$0
Negotiated Acquisition	0	\$0
Negotiated Acquisition Extension**	0	\$0
Intergovernmental	0	\$0
Required Source or Procurement Method***	0	\$0
Small Purchase	0	\$0
Other****	0	\$0

**PUBLIC SAFETY & LEGAL AFFAIRS**

<b>Police Department</b>	625	\$68,844,905
Competitive Sealed Bid	20	\$6,719,898
Other Than Competitive Sealed Bid:		
Request for Proposal	3	\$19,196,246
Renewal	8	\$9,649,708
Sole Source	1	\$415,651
Emergency	1	\$56,500
Line-Item Appropriation*	0	\$0
Negotiated Acquisition	4	\$11,694,097
Negotiated Acquisition Extension**	0	\$0
Intergovernmental	89	\$10,068,017
Required Source or Procurement Method***	0	\$0
Small Purchase	499	\$11,044,789
Other****	0	\$0
<b>Fire Department</b>	292	\$56,321,804
Competitive Sealed Bid	7	\$3,021,522
Other Than Competitive Sealed Bid:		
Request for Proposal	1	\$169,015
Renewal	0	\$0
Sole Source	1	\$480,558
Emergency	2	\$1,980,230
Line-Item Appropriation*	0	\$0
Negotiated Acquisition	1	\$18,350,000
Negotiated Acquisition Extension**	0	\$0
Intergovernmental	21	\$22,090,148
Required Source or Procurement Method***	0	\$0
Small Purchase	255	\$6,188,331
Other****	4	\$4,042,000
<b>Department of Correction</b>	322	\$32,319,780
Competitive Sealed Bid	22	\$17,953,110
Other Than Competitive Sealed Bid:		
Request for Proposal	0	\$0
Renewal	5	\$1,750,753
Sole Source	2	\$120,725
Emergency	0	\$0
Line-Item Appropriation*	3	\$1,891,784
Negotiated Acquisition	0	\$0
Negotiated Acquisition Extension**	0	\$0
Intergovernmental	5	\$2,903,428
Required Source or Procurement Method***	0	\$0
Small Purchase	285	\$7,699,980
Other****	0	\$0

<b>Department of Probation</b>	16	\$8,677,066
Competitive Sealed Bid	2	\$2,801,562
Other Than Competitive Sealed Bid:		
Request for Proposal	0	\$0
Renewal	0	\$0
Sole Source	0	\$0
Emergency	0	\$0
Line-Item Appropriation*	0	\$0
Negotiated Acquisition	0	\$0
Negotiated Acquisition Extension**	8	\$1,173,175
Intergovernmental	2	\$3,200,000
Required Source or Procurement Method***	2	\$1,452,413
Small Purchase	2	\$49,916
Other****	0	\$0
<b>Department of Juvenile Justice</b>	6	\$5,038,168
Competitive Sealed Bid	0	\$0
Other Than Competitive Sealed Bid:		
Request for Proposal	0	\$0
Renewal	5	\$2,635,858
Sole Source	0	\$0
Emergency	0	\$0
Line-Item Appropriation*	0	\$0
Negotiated Acquisition	1	\$2,402,310
Negotiated Acquisition Extension**	0	\$0
Intergovernmental	0	\$0
Required Source or Procurement Method***	0	\$0
Small Purchase	0	\$0
Other****	0	\$0
<b>Civilian Complaint Review Board</b>	0	\$0
Competitive Sealed Bid	0	\$0
Other Than Competitive Sealed Bid:		
Request for Proposal	0	\$0
Renewal	0	\$0
Sole Source	0	\$0
Emergency	0	\$0
Line-Item Appropriation*	0	\$0
Negotiated Acquisition	0	\$0
Negotiated Acquisition Extension**	0	\$0
Intergovernmental	0	\$0
Required Source or Procurement Method***	0	\$0
Small Purchase	0	\$0
Other****	0	\$0
<b>Law Department</b>	187	\$41,825,175
Competitive Sealed Bid	0	\$0
Other Than Competitive Sealed Bid:		
Request for Proposal	7	\$11,796,000
Renewal	1	\$525,000
Sole Source	0	\$0
Emergency	0	\$0
Line-Item Appropriation*	0	\$0
Negotiated Acquisition	128	\$21,379,761
Negotiated Acquisition Extension**	0	\$0
Intergovernmental	35	\$7,708,939
Required Source or Procurement Method***	0	\$0
Small Purchase	16	\$415,475
Other****	0	\$0

<b>Department of Investigation</b>	1	\$55,400
Competitive Sealed Bid	0	\$0
Other Than Competitive Sealed Bid:		
Request for Proposal	0	\$0
Renewal	0	\$0
Sole Source	0	\$0
Emergency	0	\$0
Line-Item Appropriation*	0	\$0
Negotiated Acquisition	0	\$0
Negotiated Acquisition Extension**	0	\$0
Intergovernmental	0	\$0
Required Source or Procurement Method***	0	\$0
Small Purchase	1	\$55,400
Other****	0	\$0
<b>City Commission on Human Rights</b>	5	\$130,665
Competitive Sealed Bid	0	\$0
Other Than Competitive Sealed Bid:		
Request for Proposal	0	\$0
Renewal	0	\$0
Sole Source	0	\$0
Emergency	0	\$0
Line-Item Appropriation*	0	\$0
Negotiated Acquisition	0	\$0
Negotiated Acquisition Extension**	0	\$0
Intergovernmental	0	\$0
Required Source or Procurement Method***	0	\$0
Small Purchase	5	\$130,665
Other****	0	\$0
<b>Department of Emergency Management</b>	3	\$929,354
Competitive Sealed Bid	0	\$0
Other Than Competitive Sealed Bid:		
Request for Proposal	0	\$0
Renewal	1	\$110,000
Sole Source	0	\$0
Emergency	0	\$0
Line-Item Appropriation*	0	\$0
Negotiated Acquisition	0	\$0
Negotiated Acquisition Extension**	0	\$0
Intergovernmental	1	\$372,104
Required Source or Procurement Method***	1	\$447,250
Small Purchase	0	\$0
Other****	0	\$0



**BUSINESS AND CULTURAL AFFAIRS**

<b>Department of Finance</b>	42	\$4,027,226
Competitive Sealed Bid	2	\$2,063,487
Other Than Competitive Sealed Bid:		
Request for Proposal	0	\$0
Renewal	2	\$1,198,219
Sole Source	0	\$0
Emergency	0	\$0
Line-Item Appropriation*	0	\$0
Negotiated Acquisition	1	\$94,600
Negotiated Acquisition Extension**	0	\$0
Intergovernmental	3	\$65,845
Required Source or Procurement Method***	0	\$0
Small Purchase	34	\$605,075
Other****	0	\$0
<b>Department of Consumer Affairs</b>	2	\$29,530
Competitive Sealed Bid	0	\$0
Other Than Competitive Sealed Bid:		
Request for Proposal	0	\$0
Renewal	0	\$0
Sole Source	0	\$0
Emergency	0	\$0
Line-Item Appropriation*	0	\$0
Negotiated Acquisition	0	\$0
Negotiated Acquisition Extension**	0	\$0
Intergovernmental	0	\$0
Required Source or Procurement Method***	0	\$0
Small Purchase	2	\$29,530
Other****	0	\$0
<b>Department of Small Business Services</b>	17	\$519,734,526
Competitive Sealed Bid	0	\$0
Other Than Competitive Sealed Bid:		
Request for Proposal	4	\$22,716,633
Renewal	0	\$0
Sole Source	4	\$30,603,000
Emergency	0	\$0
Line-Item Appropriation*	0	\$0
Negotiated Acquisition	0	\$0
Negotiated Acquisition Extension**	2	\$9,971,916
Intergovernmental	0	\$0
Required Source or Procurement Method***	1	\$1,000,000
Small Purchase	3	\$40,477
Other****	3	\$455,402,500

<b>Department of Cultural Affairs</b>	24	\$736,179
Competitive Sealed Bid	0	\$0
Other Than Competitive Sealed Bid:		
Request for Proposal	0	\$0
Renewal	0	\$0
Sole Source	2	\$43,314
Emergency	0	\$0
Line-Item Appropriation*	0	\$0
Negotiated Acquisition	0	\$0
Negotiated Acquisition Extension**	0	\$0
Intergovernmental	2	\$200,000
Required Source or Procurement Method***	0	\$0
Small Purchase	19	\$451,114
Other****	1	\$41,752
<b>ADDITIONAL AGENCIES</b>		
<b>Taxi &amp; Limousine Commission</b>	15	\$918,187
Competitive Sealed Bid	0	\$0
Other Than Competitive Sealed Bid:		
Request for Proposal	1	\$230,500
Renewal	1	\$470,196
Sole Source	3	\$49,202
Emergency	0	\$0
Line-Item Appropriation*	0	\$0
Negotiated Acquisition	0	\$0
Negotiated Acquisition Extension**	0	\$0
Intergovernmental	0	\$0
Required Source or Procurement Method***	0	\$0
Small Purchase	10	\$168,288
Other****	0	\$0
<b>TOTAL, ALL AGENCIES</b>	7628	\$9,540,429,077
Competitive Sealed Bid	1071	\$3,194,800,720
Other Than Competitive Sealed Bid:		
Request for Proposal	528	\$1,778,113,649
Renewal	714	\$2,124,494,022
Sole Source	127	\$177,451,605
Emergency	108	\$64,543,614
Line-Item Appropriation*	653	\$65,891,544
Negotiated Acquisition	147	\$115,723,514
Negotiated Acquisition Extension**	150	\$296,345,979
Intergovernmental	698	\$250,621,141
Required Source or Procurement Method***	185	\$664,821,674
Small Purchase	3042	\$80,319,750
Other****	205	\$727,301,863

Notes:

\* Allocation made during the budget process by Borough Presidents and Council Members for a contractor-specific line-item budget appropriation.

\*\* Contract actions in this category include procurements done under PPB Rules 3-04 (b) (iii) and (v), typically reflecting continuations of human services programs and ongoing construction projects..

\*\*\* Vendor selection or procurement process mandated by outside entity, typically state or federal agency or other funding entity.

\*\*\*\* Contract actions in this category may include the following methods of award: accelerated procurements, buy-against procurements, demonstration projects, and certain government-to-government procurements.

## APPENDIX C

Fiscal Year 2004

### PROCUREMENT ACTIONS BY TYPE OF ITEM PROCURED Number and Dollar Value of Awards

Agency		Goods	Construction and/or Construction-related Services	Human Services	Other Services	Total
Administration for Children's Services	Count	18	6	399	199	622
	Value	\$291,577	\$1,957,726	\$2,337,984,723	\$57,667,466	\$2,397,901,491
City Civil Service Commission	Count	0	0	0	0	0
	Value	\$0	\$0	\$0	\$0	\$0
City Commission on Human Rights	Count	0	0	0	5	5
	Value	\$0	\$0	\$0	\$130,665	\$130,665
Civilian Complaint Review Board	Count	0	0	0	0	0
	Value	\$0	\$0	\$0	\$0	\$0
Department for the Aging	Count	0	0	265	42	307
	Value	\$0	\$0	\$70,394,581	\$5,780,389	\$76,174,970
Department of Buildings	Count	11	0	0	25	36
	Value	\$186,408	\$0	\$0	\$2,709,673	\$2,896,081
Department of City Planning	Count	0	0	0	1	1
	Value	\$0	\$0	\$0	\$155,415	\$155,415
Department of Citywide Administrative Services	Count	699	62	0	109	870
	Value	\$497,530,288	\$89,150,457	\$0	\$40,714,340	\$627,395,085
Department of Consumer Affairs	Count	0	0	0	2	2
	Value	\$0	\$0	\$0	\$29,530	\$29,530
Department of Correction	Count	209	30	2	81	322
	Value	\$5,242,425	\$2,402,236	\$1,841,784	\$22,833,336	\$32,319,780
Department of Cultural Affairs	Count	12	12	0	0	24
	Value	\$402,465	\$333,714	\$0	\$0	\$736,179
Department of Design & Construction	Count	0	195	0	20	215
	Value	\$0	\$758,408,743	\$0	\$121,382,633	\$879,791,376
Department of Emergency Management	Count	0	0	0	3	3
	Value	\$0	\$0	\$0	\$929,354	\$929,354
Department of Environmental Protection	Count	545	138	0	150	833
	Value	\$11,255,503	\$890,831,146	\$0	\$350,990,113	\$1,253,076,762
Department of Finance	Count	20	0	0	22	42
	Value	\$567,195	\$0	\$0	\$3,460,031	\$4,027,226
Department of Health and Mental Hygiene	Count	162	24	205	200	591
	Value	\$4,481,841	\$4,170,968	\$186,860,642	\$82,341,123	\$277,854,573
Department of Homeless Services	Count	45	18	106	61	230
	Value	\$1,811,435	\$2,644,979	\$345,502,198	\$52,177,907	\$402,136,519
Department of Housing Preservation & Development	Count	19	153	85	75	332
	Value	\$545,243	\$119,760,403	\$79,879,336	\$43,718,049	\$243,903,031
Department of Information Technology & Telecommunications	Count	26	0	0	70	96
	Value	\$1,165,098	\$0	\$0	\$179,003,597	\$180,168,695
Department of Investigation	Count	0	0	0	1	1
	Value	\$0	\$0	\$0	\$55,400	\$55,400
Department of Juvenile Justice	Count	0	0	6	0	6
	Value	\$0	\$0	\$5,038,168	\$0	\$5,038,168
Department of Parks & Recreation	Count	130	171	5	114	420
	Value	\$2,321,237	\$160,186,216	\$576,106	\$10,475,049	\$173,558,607

## APPENDIX C

Fiscal Year 2004

### PROCUREMENT ACTIONS BY TYPE OF ITEM PROCURED Number and Dollar Value of Awards

Agency		Goods	Construction and/or Construction-related Services	Human Services	Other Services	Total
Department of Probation	Count	0	0	9	7	16
	Value	\$0	\$0	\$2,479,425	\$6,197,641	\$8,677,066
Department of Records and Information Services	Count	1	0	0	0	1
	Value	\$24,500	\$0	\$0	\$0	\$24,500
Department of Sanitation	Count	93	28	0	96	217
	Value	\$1,978,925	\$42,355,300	\$0	\$778,019,707	\$822,353,931
Department of Small Business Services	Count	2	1	9	5	17
	Value	\$22,306	\$18,182,000	\$38,756,049	\$462,774,171	\$519,734,526
Department of Transportation	Count	95	29	0	183	307
	Value	\$1,770,796	\$494,448,304	\$0	\$172,813,678	\$669,032,778
Department of Youth & Community Development	Count	0	0	571	4	575
	Value	\$0	\$0	\$178,598,470	\$329,246	\$178,927,716
Fire Department	Count	170	27	0	95	290
	Value	\$3,210,722	\$2,534,646	\$0	\$50,576,437	\$56,297,280
Human Resources Administration	Count	56	8	199	154	417
	Value	\$1,727,573	\$5,608,658	\$489,134,048	\$119,005,013	\$615,475,291
Landmark Preservation Commission	Count	0	0	0	1	1
	Value	\$0	\$0	\$0	\$14,289	\$14,289
Law Department	Count	16	5	0	166	187
	Value	\$246,291	\$658,766	\$0	\$40,920,118	\$41,825,175
Police Department	Count	416	50	0	159	625
	Value	\$21,124,224	\$4,573,513	\$0	\$43,147,168	\$68,844,905
Taxi & Limousine Commission	Count	6	0	0	9	15
	Value	\$100,967	\$0	\$0	\$817,220	\$918,187
<b>TOTAL</b>	<b>Count</b>	<b>2751</b>	<b>957</b>	<b>1861</b>	<b>2059</b>	<b>7,628</b>
	<b>Value</b>	<b>\$556,007,018</b>	<b>\$2,598,207,772</b>	<b>\$3,737,045,530</b>	<b>\$2,649,168,757</b>	<b>\$9,540,429,077</b>

**APPENDIX D**  
Fiscal Year 2004

**RETROACTIVE CONTRACTS\***  
Contracts with a Start Date before their Registration Date

Agency	Total Contracts	Total Value	All Retroactive Contracts				Contracts > 15 Days Retroactive				Contracts > 30 Days Retroactive			
			Quantity	% of Total Contracts	Value	% of Total Value	Average Days Retro	Quantity	% of Total Contracts	Value	% of Total Value	Quantity	% of Total Contracts	Value
Administration for Children's Services	362	\$1,864,400,838.59	162	45%	\$1,127,180,753.93	60%	39	33%	\$616,606,447.33	33%	47	13%	\$112,199,415.21	6%
City Civil Service Commission	0	\$0.00	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
City Commission on Human Rights	0	\$0.00	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Civilian Complaint Review Board	0	\$0.00	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Department for the Aging	165	\$62,361,842.00	12	7%	\$17,478,609.00	28%	24	10	\$17,048,919.00	27%	4	2%	\$1,942,223.00	3%
Department of Buildings	2	\$492,414.00	1	50%	\$74,146.00	15%	2	0	\$0.00	0%	0	0%	\$0.00	0%
Department of City Planning	1	\$155,415.00	1	100%	\$155,415.00	100%	123	1	\$155,415.00	100%	1	100%	\$155,415.00	100%
Department of Citywide Administrative Services	78	\$120,579,370.42	17	22%	\$53,768,691.00	45%	45	6	\$5,048,000.00	4%	5	6%	\$4,405,500.00	4%
Department of Consumer Affairs	0	\$0.00	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Department of Correction	28	\$19,799,587.82	17	61%	\$11,134,100.38	56%	90	11	\$4,088,702.38	21%	11	39%	\$4,088,702.38	21%
Department of Cultural Affairs	0	\$0.00	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Department of Design & Construction	195	\$877,795,184.91	5	3%	\$22,699,469.84	3%	9	1	\$1,000,000.00	0%	0	0%	\$0.00	0%
Department of Emergency Management	1	\$110,000.00	1	100%	\$110,000.00	100%	38	1	\$110,000.00	100%	1	100%	\$110,000.00	100%
Department of Environmental Protection	117	\$1,138,367,915.83	32	27%	\$75,562,680.05	7%	65	26	\$42,339,298.55	4%	23	20%	\$39,443,219.55	3%
Department of Finance	4	\$3,261,706.35	3	75%	\$2,198,219.25	67%	167	3	\$2,198,219.25	67%	3	75%	\$2,198,219.25	67%
Department of Health and Mental Hygiene	120	\$119,025,298.32	112	93%	\$108,890,968.32	91%	90	92	\$95,188,673.82	80%	72	60%	\$79,966,489.82	67%
Department of Homeless Services	72	\$338,057,088.23	34	47%	\$123,543,829.72	37%	48	25	\$90,333,642.72	27%	13	18%	\$62,668,489.72	19%
Department of Housing Preservation & Development	78	\$218,812,978.87	59	76%	\$197,085,847.37	90%	82	44	\$187,979,210.21	86%	32	41%	\$91,483,639.95	42%
Department of Information Technology & Telecommunications	14	\$59,315,031.50	11	79%	\$52,466,531.50	88%	45	10	\$51,407,851.50	87%	6	43%	\$12,141,038.19	20%
Department of Investigation	0	\$0.00	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Department of Juvenile Justice	5	\$2,635,858.00	5	100%	\$2,635,858.00	100%	51	4	\$2,570,858.00	98%	3	60%	\$1,744,047.00	66%
Department of Parks & Recreation	167	\$108,037,649.21	62	37%	\$47,679,622.48	44%	31	21	\$25,666,510.91	24%	9	5%	\$18,743,146.32	17%
Department of Probation	1	\$2,784,240.00	0	0%	\$0.00	0%	N/A	0	\$0.00	0%	0	0%	\$0.00	0%
Department of Records and Information Services	0	\$0.00	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Department of Sanitation	61	\$79,201,647.97	4	7%	\$136,134,791.00	17%	46	4	\$136,134,791.00	17%	2	3%	\$153,534.00	0%
Department of Small Business Services	6	\$32,688,549.00	6	100%	\$32,688,549.00	100%	36	6	\$32,688,549.00	100%	4	67%	\$19,765,600.00	60%
Department of Transportation	88	\$540,849,260.35	16	18%	\$45,917,417.41	8%	192	7	\$36,713,566.54	7%	4	5%	\$5,772,354.54	1%
Department of Youth & Community Development	199	\$150,948,725.00	174	87%	\$145,313,166.00	96%	77	166	\$143,433,369.00	95%	148	74%	\$138,622,109.00	92%
Fire Department	9	\$3,671,095.27	3	33%	\$937,824.22	26%	11	1	\$480,558.44	13%	0	0%	\$0.00	0%
Human Resources Administration	178	\$510,418,663.91	160	90%	\$429,379,424.60	84%	105	153	\$417,849,972.00	82%	124	70%	\$363,017,019.00	71%
Landmark Preservation Commission	0	\$0.00	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Law Department	7	\$7,321,000.00	7	100%	\$7,321,000.00	100%	97	7	\$7,321,000.00	100%	6	86%	\$1,221,000.00	17%
Police Department	28	\$23,554,577.18	9	32%	\$10,289,708.18	44%	185	8	\$10,203,208.18	43%	8	29%	\$10,203,208.18	43%
Tax & Limousine Commission	2	\$700,696.42	2	100%	\$700,696.42	100%	192	2	\$700,696.42	100%	2	100%	\$700,696.42	100%
<b>TOTAL</b>	<b>1988</b>	<b>\$6,985,346,635.15</b>	<b>915</b>	<b>46%</b>	<b>\$2,651,347,318.67</b>	<b>38%</b>	<b>74</b>	<b>729</b>	<b>\$1,927,257,459.25</b>	<b>28%</b>	<b>528</b>	<b>27%</b>	<b>\$970,745,066.53</b>	<b>14%</b>

\* Includes new contracts procured through competitive sealed bid, RFP, and sole source methods as well as renewals and negotiated acquisition extensions. Certain contracts have been excluded from consideration based on the particular circumstances of the procurement.

**APPENDIX E**  
**Fiscal Year 2004**

**COMPETITIVENESS IN PROCUREMENTS:  
CONTRACTS AWARDED BY COMPETITIVE SEALED BID**

Agency	Total Contracts	Total Value	Contracts Awarded with 3 or More Responses			
			Quantity	% of Total Contracts	Value	% of Total Value
Administration for Children's Services	37	\$26,087,304.28	34	92%	\$19,216,338.64	74%
City Civil Service Commission	0	\$0.00	N/A	N/A	N/A	N/A
City Commission on Human Rights	0	\$0.00	N/A	N/A	N/A	N/A
Civilian Complaint Review Board	0	\$0.00	N/A	N/A	N/A	N/A
Department for the Aging	0	\$0.00	N/A	N/A	N/A	N/A
Department of Buildings	1	\$418,268.00	0	0%	\$0.00	0%
Department of City Planning	0	\$0.00	N/A	N/A	N/A	N/A
Department of Citywide Administrative Services	486	\$486,897,882.44	459	94%	\$462,912,614.59	95%
Department of Consumer Affairs	0	\$0.00	N/A	N/A	N/A	N/A
Department of Correction	22	\$17,953,110.44	12	55%	\$8,627,970.44	48%
Department of Cultural Affairs	0	\$0.00	N/A	N/A	N/A	N/A
Department of Design & Construction	142	\$462,153,689.91	135	95%	\$444,353,426.99	96%
Department of Emergency Management	0	\$0.00	N/A	N/A	N/A	N/A
Department of Environmental Protection	60	\$871,611,855.46	44	73%	\$725,715,197.23	83%
Department of Finance	2	\$2,063,487.10	2	100%	\$2,063,487.10	100%
Department of Health and Mental Hygiene	23	\$5,200,651.42	11	48%	\$3,898,214.50	75%
Department of Homeless Services	12	\$12,615,649.87	9	75%	\$12,112,524.87	96%
Department of Housing Preservation & Development	12	\$28,483,229.50	10	83%	\$2,422,729.50	9%
Department of Information Technology & Telecommunications	3	\$14,136,792.31	1	33%	\$148,500.00	1%
Department of Investigation	0	\$0.00	N/A	N/A	N/A	N/A
Department of Juvenile Justice	0	\$0.00	N/A	N/A	N/A	N/A
Department of Parks & Recreation	127	\$89,790,295.21	118	93%	\$83,875,924.22	93%
Department of Probation	1	\$2,784,240.00	1	100%	\$2,784,240.00	100%
Department of Records and Information Services	0	\$0.00	N/A	N/A	N/A	N/A
Department of Sanitation	37	\$585,427,263.52	35	95%	\$584,207,794.52	100%
Department of Small Business Services	0	\$0.00	N/A	N/A	N/A	N/A
Department of Transportation	58	\$491,775,182.60	47	81%	\$302,000,836.37	61%
Department of Youth & Community Development	1	\$1,200,000.00	0	0%	\$0.00	0%
Fire Department	7	\$3,021,521.83	6	86%	\$2,885,396.83	95%
Human Resources Administration	19	\$86,443,076.91	18	95%	\$78,359,926.91	91%
Landmark Preservation Commission	0	\$0.00	N/A	N/A	N/A	N/A
Law Department	0	\$0.00	N/A	N/A	N/A	N/A
Police Department	17	\$6,627,217.56	14	82%	\$6,122,890.00	92%
Taxi & Limousine Commission	0	\$0.00	N/A	N/A	N/A	N/A
<b>TOTAL</b>	<b>1067</b>	<b>\$3,194,690,718.36</b>	<b>956</b>	<b>90%</b>	<b>\$2,741,708,012.71</b>	<b>86%</b>

**APPENDIX E**  
**Fiscal Year 2004**

**COMPETITIVENESS IN PROCUREMENTS:  
CONTRACTS AWARDED BY COMPETITIVE SEALED PROPOSAL**

Agency	Total Contracts	Total Value	Contracts Awarded with 3 or More Responses			
			Quantity	% of Total Contracts	Value	% of Total Value
Administration for Children's Services	206	\$690,571,459.31	203	99%	\$669,737,710.31	97%
City Civil Service Commission	0	\$0.00	N/A	N/A	N/A	N/A
City Commission on Human Rights	0	\$0.00	N/A	N/A	N/A	N/A
Civilian Complaint Review Board	0	\$0.00	N/A	N/A	N/A	N/A
Department for the Aging	26	\$8,252,452.00	23	88%	\$7,496,486.00	91%
Department of Buildings	0	\$0.00	N/A	N/A	N/A	N/A
Department of City Planning	0	\$0.00	N/A	N/A	N/A	N/A
Department of Citywide Administrative Services	9	\$61,000,000.00	9	100%	\$61,000,000.00	100%
Department of Consumer Affairs	0	\$0.00	N/A	N/A	N/A	N/A
Department of Correction	0	\$0.00	N/A	N/A	N/A	N/A
Department of Cultural Affairs	0	\$0.00	N/A	N/A	N/A	N/A
Department of Design & Construction	33	\$313,114,857.00	32	97%	\$218,114,857.00	70%
Department of Emergency Management	0	\$0.00	N/A	N/A	N/A	N/A
Department of Environmental Protection	16	\$87,953,257.00	15	94%	\$62,953,257.00	72%
Department of Finance	0	\$0.00	N/A	N/A	N/A	N/A
Department of Health and Mental Hygiene	29	\$50,109,811.90	28	97%	\$49,713,611.90	99%
Department of Homeless Services	22	\$79,166,217.00	21	95%	\$75,819,763.00	96%
Department of Housing Preservation & Development	12	\$71,166,786.20	12	100%	\$71,166,786.20	100%
Department of Information Technology & Telecommunications	3	\$28,210,544.00	2	67%	\$25,687,201.00	91%
Department of Investigation	0	\$0.00	N/A	N/A	N/A	N/A
Department of Juvenile Justice	0	\$0.00	N/A	N/A	N/A	N/A
Department of Parks & Recreation	3	\$597,210.00	1	33%	\$319,210.00	53%
Department of Probation	0	\$0.00	N/A	N/A	N/A	N/A
Department of Records and Information Services	0	\$0.00	N/A	N/A	N/A	N/A
Department of Sanitation	3	\$9,033,214.00	2	67%	\$3,697,930.00	41%
Department of Small Business Services	4	\$22,716,633.00	4	100%	\$22,716,633.00	100%
Department of Transportation	13	\$36,476,736.72	13	100%	\$36,476,736.72	100%
Department of Youth & Community Development	98	\$111,552,931.00	91	93%	\$104,716,471.00	94%
Fire Department	1	\$169,015.00	1	100%	\$169,015.00	100%
Human Resources Administration	25	\$50,344,921.00	24	96%	\$47,401,235.00	94%
Landmark Preservation Commission	0	\$0.00	N/A	N/A	N/A	N/A
Law Department	7	\$11,796,000.00	7	100%	\$11,796,000.00	100%
Police Department	3	\$19,196,246.00	1	33%	\$12,334,246.00	64%
Taxi & Limousine Commission	1	\$230,500.00	1	100%	\$230,500.00	100%
<b>TOTAL</b>	<b>514</b>	<b>\$1,651,658,791.13</b>	<b>490</b>	<b>95%</b>	<b>\$1,481,547,649.13</b>	<b>90%</b>

**APPENDIX E**  
**Fiscal Year 2004**

**COMPETITIVENESS IN PROCUREMENTS:  
CONTRACTS FOR CONSTRUCTION AND/OR CONSTRUCTION-RELATED SERVICES  
AWARDED BY ANY METHOD OF AWARD**

Agency	Total Contracts	Total Value	Contracts Awarded with 3 or More Responses			
			Quantity	% of Total Contracts	Value	% of Total Value
Administration for Children's Services	3	\$1,884,338.00	2	67%	\$1,804,982.00	96%
City Civil Service Commission	0	\$0.00	N/A	N/A	N/A	N/A
City Commission on Human Rights	0	\$0.00	N/A	N/A	N/A	N/A
Civilian Complaint Review Board	0	\$0.00	N/A	N/A	N/A	N/A
Department for the Aging	0	\$0.00	N/A	N/A	N/A	N/A
Department of Buildings	0	\$0.00	N/A	N/A	N/A	N/A
Department of City Planning	0	\$0.00	N/A	N/A	N/A	N/A
Department of Citywide Administrative Services	39	\$84,863,470.42	34	87%	\$80,963,470.42	95%
Department of Consumer Affairs	0	\$0.00	N/A	N/A	N/A	N/A
Department of Correction	8	\$1,319,680.70	7	88%	\$1,105,680.70	84%
Department of Cultural Affairs	0	\$0.00	N/A	N/A	N/A	N/A
Department of Design & Construction	166	\$668,267,746.91	159	96%	\$650,467,483.99	97%
Department of Emergency Management	0	\$0.00	N/A	N/A	N/A	N/A
Department of Environmental Protection	25	\$790,204,490.88	19	76%	\$681,652,489.88	86%
Department of Finance	0	\$0.00	N/A	N/A	N/A	N/A
Department of Health and Mental Hygiene	0	\$0.00	N/A	N/A	N/A	N/A
Department of Homeless Services	9	\$2,306,340.60	7	78%	\$1,961,815.60	85%
Department of Housing Preservation & Development	5	\$1,195,260.50	5	100%	\$1,195,260.50	100%
Department of Information Technology & Telecommunications	0	\$0.00	N/A	N/A	N/A	N/A
Department of Investigation	0	\$0.00	N/A	N/A	N/A	N/A
Department of Juvenile Justice	0	\$0.00	N/A	N/A	N/A	N/A
Department of Parks & Recreation	121	\$85,687,425.55	112	93%	\$79,368,473.56	93%
Department of Probation	0	\$0.00	N/A	N/A	N/A	N/A
Department of Records and Information Services	0	\$0.00	N/A	N/A	N/A	N/A
Department of Sanitation	18	\$41,718,706.87	18	100%	\$41,718,706.87	100%
Department of Small Business Services	0	\$0.00	N/A	N/A	N/A	N/A
Department of Transportation	24	\$383,528,702.91	22	92%	\$214,868,452.91	56%
Department of Youth & Community Development	0	\$0.00	N/A	N/A	N/A	N/A
Fire Department	0	\$0.00	N/A	N/A	N/A	N/A
Human Resources Administration	1	\$4,990,800.00	1	100%	\$4,990,800.00	100%
Landmark Preservation Commission	0	\$0.00	N/A	N/A	N/A	N/A
Law Department	5	\$658,766.00	0	0%	\$0.00	0%
Police Department	8	\$2,570,622.00	8	100%	\$2,570,622.00	100%
Taxi & Limousine Commission	0	\$0.00	N/A	N/A	N/A	N/A
<b>TOTAL</b>	<b>432</b>	<b>\$2,069,196,351.34</b>	<b>394</b>	<b>91%</b>	<b>\$1,762,668,238.43</b>	<b>85%</b>



## APPENDIX F

Fiscal Year 2004

### CONTRACT PERFORMANCE EVALUATIONS\*

Agency	Contract Performance Evaluations Required To Be Completed For Fiscal 2004								
	Total Required	Total Completed		Total Completed with an Overall Rating of Less than Satisfactory but not Unsatisfactory		Total Completed with an Overall Rating of Unsatisfactory		Total Rated as Satisfactory or Better that Included Sub-rating(s) of Less than Satisfactory	
		#	%	#	%	#	%	#	%
Administration for Children's Services	768	535	70%	18	3%	7	1%	6	1%
Department for the Aging	533	503	94%	101	20%	15	3%	246	49%
Department of Buildings	7	7	100%	1	14%	1	14%	3	43%
Department of City Planning	1	1	100%	0	0%	0	0%	0	0%
Department of Citywide Administrative Services	142	139	98%	18	13%	8	6%	36	26%
Department of Correction	37	3	8%	0	0%	0	0%	0	0%
Department of Cultural Affairs	1	1	100%	0	0%	0	0%	1	100%
Department of Design & Construction	396	242	61%	11	5%	5	2%	56	23%
Department of Emergency Management	2	2	100%	0	0%	0	0%	0	0%
Department of Employment	57	57	100%	7	12%	9	16%	11	19%
Department of Environmental Protection	390	316	81%	8	3%	4	1%	48	15%
Department of Finance	30	28	93%	3	11%	1	4%	3	11%
Department of Health and Mental Hygiene	533	492	92%	61	12%	1	0%	8	2%
Department of Homeless Services	238	223	94%	1	0%	2	1%	54	24%
Department of Housing Preservation & Development	150	147	98%	9	6%	5	3%	33	22%
Department of Information Technology & Telecommunications	42	38	90%	0	0%	0	0%	5	13%
Department of Juvenile Justice	17	17	100%	0	0%	0	0%	2	12%
Department of Parks & Recreation	198	184	93%	15	8%	18	10%	29	16%
Department of Probation	4	4	100%	0	0%	0	0%	0	0%
Department of Sanitation	141	99	70%	7	7%	3	3%	18	18%
Department of Small Business Services	52	9	17%	0	0%	0	0%	1	11%
Department of Transportation	347	347	100%	8	2%	5	1%	37	11%
Department of Youth & Community Development	748	706	94%	5	1%	5	1%	205	29%
Fire Department	85	83	98%	0	0%	4	5%	6	7%
Human Resources Administration	420	371	88%	2	1%	0	0%	53	14%
Law Department	27	22	81%	1	5%	1	5%	1	5%
Police Department	70	70	100%	5	7%	3	4%	8	11%
Taxi & Limousine Commission	2	0	0%	0	N/A	0	N/A	0	N/A
<b>TOTAL</b>	<b>5438</b>	<b>4646</b>	<b>85%</b>	<b>281</b>	<b>6%</b>	<b>97</b>	<b>2%</b>	<b>870</b>	<b>19%</b>

\* Includes contracts for which comprehensive, fully documented evaluations of contractor performance were required to be completed.

**APPENDIX G**  
**Fiscal Year 2004**  
**PERFORMANCE BASED CONTRACTING**

Agency	New Services and Construction Contracts Awarded in FY 2004													
	Total # Awarded	Number and Percent of Performance-Based Contracts by Type						Total Value	Dollar Value and Percent of Performance-Based Contracts by Type					
		Baseline		Beyond-the-Baseline					Baseline		Beyond-the-Baseline			
		#	%	Substantially (>=75%)		Partly (<75%)			\$	%	Substantially (>=75%)		Partly (<75%)	
				#	%	#	%				\$	%	\$	%
Administration for Children's Services	143	143	100%	0	0%	0	0%	\$ 581,813,627	\$ 581,813,627	100%	\$ -	0%	\$ -	0%
Department for the Aging	104	0	0%	0	0%	104	100%	\$ 116,126,388	\$ -	100%	\$ -	0%	\$ 116,126,388	100%
Department of Buildings	7	0	0%	7	100%	0	0%	\$ 13,187,473	\$ -	0%	\$ 13,187,473	100%	\$ -	0%
Department of City Planning	1	1	100%	0	0%	0	0%	\$ 155,415	\$ 155,415	0%	\$ -	0%	\$ -	0%
Department of Citywide Administrative Services	41	14	34%	0	0%	27	66%	\$ 84,587,040	\$ 49,362,513	58%	\$ -	0%	\$ 35,224,527	42%
Department of Corrections	20	17	85%	3	15%	0	0%	\$ 18,075,881	\$ 15,205,881	84%	\$ 2,870,000	16%	\$ -	0%
Department of Design and Construction	196	0	0%	196	100%	0	0%	\$ 875,000,000	\$ -	0%	\$ 875,000,000	100%	\$ -	0%
Department of Environmental Protection	87	0	0%	87	100%	0	0%	\$ 1,188,657,931	\$ -	0%	\$ 1,188,657,931	100%	\$ -	0%
Department of Finance	7	4	57%	1	14%	2	29%	\$ 4,263,487	\$ 2,750,000	65%	\$ -	0%	\$ 1,513,487	35%
Department of Health & Mental Hygiene/ Office of Chief Medical Examiner	362	270	75%	92	25%	0	0%	\$ 209,314,055	\$ 178,464,739	85%	\$ 30,849,316	15%	\$ -	0%
Department of Homeless Services	97	2	2%	35	36%	60	62%	\$ 311,523,631	\$ 1,173,200	0.4%	\$ 35,903,264	12%	\$ 275,447,167	88%
Department of Housing Preservation and Development	46	5	11%	0	0%	41	89%	\$ 115,778,388	\$ 32,391,397	28%	\$ -	0%	\$ 83,386,991	72%
Department of Information Technology and Telecommunications	11	2	18%	0	0%	9	82%	\$ 60,713,815	\$ 3,484,740	6%	\$ -	0%	\$ 57,229,074	94%
Department of Investigation	1	1	100%	0	0%	0	0%	\$ 55,400	\$ 55,400	100%	\$ -	0%	\$ -	0%
Department of Juvenile Justice	4	0	0%	1	25%	3	75%	\$ 4,146,489	\$ -	0%	\$ 65,000	2%	\$ 4,081,489	98%
Department of Parks and Recreation	154	0	0%	138	90%	16	10%	\$ 100,330,002	\$ -	0%	\$ 94,040,483	94%	\$ 6,289,519	6%
Department of Probation	14	13	93%	0	0%	1	7%	\$ 7,259,112	\$ 5,952,862	82%	\$ -	0%	\$ 1,306,250	18%
Department of Sanitation	43	0	0%	0	0%	43	100%	\$ 633,710,256	\$ -	0%	\$ -	0%	\$ 633,710,256	100%
Department of Small Business Services	8	3	38%	0	0%	5	63%	\$ 33,756,050	\$ 10,971,916	33%	\$ -	0%	\$ 22,784,134	67%
Department of Transportation	84	0	0%	84	100%	0	0%	\$ 663,154,095	\$ -	0%	\$ 663,154,095	100%	\$ -	0%
Department of Youth and Community Development	157	155	99%	2	1%	0	0%	\$ 33,746,603	\$ 32,080,714	95%	\$ -	0%	\$ 1,665,889	5%
Fire Department	13	0	0%	0	0%	13	100%	\$ 23,899,443	\$ -	0%	\$ -	0%	\$ 23,899,443	100%
Human Resources Administration	234	84	36%	150	64%	0	0%	\$ 264,076,274	\$ 128,875,418	49%	\$ 135,200,856	51%	\$ -	0%
Law Department	132	117	89%	0	0%	15	11%	\$ 31,351,495	\$ 24,756,495	79%	\$ -	0%	\$ 6,595,000	21%
Office of Emergency Management	1	1	100%	0	0%	0	0%	\$ 447,250	\$ 447,250	100%	\$ -	0%	\$ -	0%
Police Department	27	0	0%	7	26%	20	74%	\$ 37,894,975	\$ -	0%	\$ 30,804,546	81%	\$ 7,090,429	19%
<b>TOTALS</b>	<b>1994</b>	<b>832</b>	<b>42%</b>	<b>803</b>	<b>40%</b>	<b>359</b>	<b>18%</b>	<b>\$ 5,413,024,575</b>	<b>\$ 1,067,941,567</b>	<b>20%</b>	<b>\$ 3,069,732,964</b>	<b>57%</b>	<b>\$ 1,276,350,043</b>	<b>24%</b>