Department of Youth & Community Development

Jeanne B. Mullgrav
Commissioner

-For Agency Use Only-
RECEIPT NUMBER

Prequalification Application for City Council Discretionary Awards

Prequalification is required for any organization to be eligible for more than $10,000 of City Council discretionary funding. Additional information may be requested and evaluated. If your organization is currently prequalified, you do not need to submit this form unless you wish to be prequalified for additional City agencies. To determine if your organization is currently prequalified, or to access instructions and answers to frequently asked questions, please visit www.nyc.gov/dycd.

1) Type your responses directly into this fillable form or print answers neatly by hand in black ink.
2) Email pqlhelp@dycd.nyc.gov with any questions about this Application.
3) Return the completed Application with all required attachments to:
DYCD, Attn: Agency Chief Contracting Officer, 156 William Street, 2nd floor, New York, NY 10038.

Thank you for your cooperation.

Part 1: Identifying Information

Organization Name: _____

Primary EIN/TIN : _____ Any Additional EINs/TINs: _____

Address: _____

City: _____ State: _____ Zip: _____

Contact Person: _____ Title : _____

Phone : _____ Fax : _____

E-mail: _____

Part 2: Experience and Expertise

If the organization is applying to be Prequalified for more than one City Agency, it must submit a separate Page 2 for each Agency.

Indicate which City Agencies would administer funding from the City Council by checking the appropriate box(es) below. The general mission of the Agencies selected should match the programs for which funds are being sought. For Agencies not listed use the space marked "Other." *(The organization may apply for more than one Agency, but must document its qualifications separately for each Agency selected.)*

- ☐ **Administration for Children's Services**
- ☐ **Criminal Justice Coordinator**
- ☐ **Dept. of Cultural Affairs**
- ☐ **Dept. for the Aging**
- ☐ **Dept. of Homeless Services**
- ☐ **Dept. of Education**
- ☐ **Dept. of Health and Mental Hygiene**
- ☐ **Dept. of Youth and Community Development**
- ☐ **Dept. of Parks and Recreation**
- ☐ **Dept. of Small Business Services**
- ☐ **Human Resources Administration**
- ☐ **Housing Preservation and Development**
- ☐ **New York City Housing Authority**
- ☐ **Other** _____

Part 2 (continued): References and Qualifications

If the organization is applying to be prequalified for more than one City Agency, it must submit a separate copy of this page for each Agency.

1) City Agency:

2) Please describe the organization's program service accomplishments related to the Agency for which you are applying for prequalification.This description should include a statement of the organization's mission, number of clients served, publications issued and other unmeasurable achievements or outcomes.

3) List three relevant references (one of which should be a funding source) for program services related to the Agency. An individual donor may be listed as a funding source. Please do not list City Agency staff, City Council members or City Council staff as references.

a. Reference Name: _____ Organization: _____

Phone: _____ Title: _____

Relationship *(describe)*:

This entity is a funding source: ☐Yes ☐No

b. Reference Name: _____ Organization: _____

Phone: _____ Title: _____

Relationship *(describe)*:

This entity is a funding source: ☐Yes ☐No

c. Reference Name: _____ Organization: _____

Phone: _____ Title: _____

Relationship *(describe)*:

This entity is a funding source: ☐Yes ☐No

4) Briefly describe the staffing for each program relevant to the City Agency. Include job titles and staff experience.

Attach additional pages as necessary.

Part 3: Charities Bureau Compliance

1) This organization is registered with the Charities Bureau of the New York State Attorney General and is up-to-date with its annual filing obligations.

☐ Yes. Please provide Charities Registration Number: ☐☐ — ☐☐ — ☐☐

☐ No. (Explain): _____

☐ Exempt. (Complete the attached *Certification of Exemption from Requirement to Register with the New York State Charities Bureau.*)

Part 4: Attachments (Please check the boxes below to indicate which documents are attached.)

☐ Doing Business Accountability Form (required).

☐ Conflict of Interest Disclosure Form (required).

☐ Certification of Exemption from Requirement to Register with the New York State Charities Bureau (if applicable).

☐ VENDEX Questionnaires (required unless full questionnaires have been filed in the past 3 years). *Questionnaires should be submitted to DYCD along with this application. Questionnaires and instructions are available at www.nyc.gov/vendex. If you're not sure if or when you filed a full questionnaire, call the VENDEX Public Access Center at 212-341-0933.*

Part 5: Certification

I, _____ serving as _____ of _____,
Name *Title* *Organization*

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

_____
Notary Public

_____
Print name

_____.
Signature

_____
Date

Return the completed application to DYCD, Attn: ACCO, 156 William St., 2nd Floor, New York, NY 10038.

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The City of New York
Mayor's Office of Contract Services
Doing Business Accountability Project

To be completed by any organization applying for prequalification to receive a discretionary award

Doing Business Data Form - Discretionary Awards

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

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

This Data Form must be attached to the Prequalification Application for Discretionary Awards and returned to DYCD, Attn: Agency Chief Contracting Officer, 156 William Street, 2nd floor, New York, NY 10038. Please contact the Doing Business Accountability Project at DoingBusiness@cityhall.nyc.gov or 212-788-8104 with any questions regarding this Data Form. Thank you for your cooperation.

Section 1: Organization Information

Organization Name: _____

Organization EIN/TIN: _____

Organization Filing Status (select one):

☐ Organization has never completed a Doing Business Data Form. *Fill out the entire form.*

☐ Change from previous Data Form dated _____. *Fill out only those sections that have changed, and indicate the name of the persons who no longer hold positions with the organization.*

☐ No Change from previous Data Form dated _____. *Skip to the bottom of the last page.*

Organization is a Non-Profit: ☐ Yes ☐ No

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

Address: _____

City: _____ State: _____ Zip: _____

Phone : _____ Fax : _____

E-mail: _____

Section 2: Principal Officers

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

Chief Executive Officer (CEO) or equivalent officer

☐ This position does not exist

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

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by organization): _____

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

Home Address: _____

☐ This person replaced former CEO: _____ on date: _____

Chief Financial Officer (CFO) or equivalent officer

☐ This position does not exist

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

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by organization): _____

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

Home Address: _____

☐ This person replaced former CFO: _____ on date: _____

Chief Operating Officer (COO) or equivalent officer

☐ This position does not exist

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

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by organization): _____

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

Home Address: _____

☐ This person replaced former COO: _____ on date: _____

Section 3: Principal Owners

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

There are no owners listed because (select one):

☐ The entity is not-for-profit ☐ There are no individual owners ☐ No individual owner holds 10% or more shares in the organization

☐ Other (explain): _____

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

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by organization): _____

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

Home Address: _____

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by organization): _____

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

Home Address: _____

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by organization): _____

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

Home Address: _____

Remove the following previously-reported Principal Owners:

Name: _____ Removal Date: _____

Name: _____ Removal Date: _____

Name: _____ Removal Date: _____

Section 4: Senior Contract Managers

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

Senior Contract Managers:

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by organization): _____

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

Home Address: _____

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by organization): _____

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

Home Address: _____

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by organization): _____

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

Home Address: _____

Remove the following previously-reported Senior Contract Managers:

Name: _____ Removal Date: _____

Name: _____ Removal Date: _____

Certification

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

Name: _____

Signature: _____ Date: _____

Organization Name: _____

Title: _____ Work Phone #: _____

Return the completed Data Form to DYCD.

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

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OFFICE OF THE MAYOR
OFFICE OF CONTRACT SERVICES
253 Broadway - 9th Floor
New York, New York 10007
(212) 788-0010 Fax (212) 788-0049

MARLA G. SIMPSON
Director

Conflict of Interest Disclosure Certification

A MATERIALLY FALSE STATEMENT WILLFULLY OR FRAUDULENTLY MADE IN CONNECTION WITH THIS CERTIFICATION, AND/OR THE FAILURE TO CONDUCT APPROPRIATE DUE DILIGENCE IN VERIFYING THE INFORMATION THAT IS THE SUBJECT MATTER OF THIS CERTIFICATION, MAY RESULT IN RENDERING THE VENDOR NON-RESPONSIBLE FOR THE PURPOSE OF CONTRACT AWARD, AND A MATERIALLY FALSE STATEMENT WILLFULLY OR FRAUDULENTLY MADE IN CONNECTION WITH THIS CERTIFICATION MAY SUBJECT THE PERSON MAKING THE FALSE STATEMENT TO CRIMINAL CHARGES.

No Conflict of Interest: Except as otherwise fully disclosed below (attach additional pages as needed), the Vendor affirms, to the best of its knowledge, information and belief, that no City Elected Official, nor any person associated with any City Elected Official, is an employee, Director or Trustee, Officer or consultant to/of, or has any financial interest, direct or indirect, in the organization, or has received or will receive any financial benefit, directly or indirectly, from the organization or from this funding. For the purposes of this certification, "associated" persons include: a spouse, domestic partner, child, parent or sibling of a City Elected Official; a person with whom a City Elected Official has a business or other financial relationship, including but not limited to employees of a City Elected Official and/or a spouse, domestic partner, child, parent or sibling of such employees; and each firm in which a City Elected Official has a present or potential interest.

NOTE: THE VENDOR IS ENCOURAGED TO DISCLOSE ANY CONNECTION TO A CITY ELECTED OFFICIAL THAT COULD CREATE AN APPEARANCE OF A CONFLICT OF INTEREST, REGARDLESS OF WHETHER IT MEETS THE LISTED DEFINITIONS.

Name of Vendor	Signature of Authorized Officer / Date
Vendor's Address	Print Name / Title of Signer
City / State / Zip Code	Vendor's EIN
Phone Number	Email Address

Sworn to before me this ____ day of _____, 20 _____.

Notary Public

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OFFICE OF THE MAYOR
OFFICE OF CONTRACT SERVICES
253 Broadway - 9th Floor
New York, New York 10007
(212) 788-0010 Fax (212) 788-0049

MARLA G. SIMPSON
Director

Certification of Exemption from Requirement to Register with the New York State Charities Bureau

This Certification may only be used by not-for-profit organizations that qualify for legitimate exemptions from the requirements to register with the Charities Bureau of New York State Office of the Attorney General. If your organization qualifies for exemptions under both the New York State Executive Law, Article 7-A, and the New York State Estates Powers and Trusts Law then an officer may affirm and certify the reason for exemption to the City of New York using this form. The City will use this information to determine responsibility and compliance with applicable State laws.

A materially false statement willfully or fraudulently made in connection with this certification, and/or the failure to conduct appropriate due diligence in verifying the information that is the subject matter of this certification, may result in rendering the Vendor non-responsible for the purpose of contract award, and a material false statement willfully or fraudulently made in connection with this certification may subject the person making the false statement to criminal charges.

The Vendor affirms the following (check/complete all that apply):

- ☐ Organization is incorporated under the Religious Corporations Law; or organization is another type of organization, but has a religious purpose. (Explain)

  _____

- ☐ Organization is operated/supervised/controlled by/in connection w/ a religious organization. (Explain)

  _____

- ☐ Organization is an educational institution or museum incorporated under the NY State Educational Law or by Special Act AND files annual financial reports with the Board of Regents
- ☐ Organization is a library incorporated under the NY State Educational Law or by Special Act AND files annual financial reports with the NY State Department of Education.
- ☐ Organization is a Parent Teacher Association affiliated with an educational institution subject to the jurisdiction of the New York State Department of Education.
- ☐ Organization is an organization of volunteer firefighters, a volunteer ambulance service organization AND all fundraising is done by members without direct/indirect compensation.
- ☐ Organization is a chartered local post/camp/chapter/county unit of a veteran's organization, or auxiliary/affiliate thereof AND all fundraising is done by members without direct/indirect compensation.
- ☐ Organization is a government agency or is controlled by a government agency.
- ☐ Organization is not charitable because it is organized solely for the benefit of its members. (NOTE: if the organization holds $25,000 or more in assets or receives $25,000 or more in contributions per year, a detailed statement must accompany this certification, to explain how such organization is *both* organized for the benefit of its members and serving a public purpose.)

_____	_____
Name of Vendor	Signature of Authorized Officer / Date
_____	_____
Vendor's Address	Print Name / Title of Signer
_____	_____
City / State / Zip Code	Vendor's EIN

Sworn to before me this ____ day of _____, 20 _____.

_____
Notary Public

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