

*City of New York*

*Annual Report*

*Fiscal Year 2008 Compliance Information*

*(July 1, 2007 - June 30, 2008)*

*Pursuant to New York City Administrative Code § 6-129(l)(1)*

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## **Introduction**

Access to opportunity and growth for New York City's minority and women-owned businesses is a key priority for Mayor Michael R. Bloomberg and the Department of Small Business Services (SBS). Since the Mayor signed Local Law 129, SBS has worked with the City Council, City agencies, community organizations, and our certified Minority and Women-owned Business Enterprises (M/WBEs), to move closer towards ensuring opportunity in City procurement and building the strongest M/WBE program in the country.

This report, which together with the Agency Procurement Indicators Fiscal 2008 ("API") report annexed hereto, provides all of the data required by Local Law 129 (LL 129) for Fiscal Year 2008 (July 1, 2007-June 30, 2008). Pursuant to § 6-129(1)(1), the report is jointly submitted to Speaker Christine C. Quinn of the City Council by the Director of the Mayor's Office of Contract Services (MOCS), as City Chief Procurement Officer, and by the Commissioner of SBS. This report contains prime contractor utilization figures for City certified M/WBEs in the procurement, industry, gender and ethnicity categories defined by the Local Law and marks the first comprehensive reporting of utilization figures for City certified subcontractors disaggregated by categories defined by the Local Law.

The following report further demonstrates that with respect to the requirements of § 6-129(1)(2), during the time period from July 1, 2007-June 30, 2008, agencies have made substantial progress towards achieving its utilization goals. During the three year ramp up period provided by LL 129, SBS determines substantial progress as tailored, substantiated and unique initiatives that contribute to:

- Transparency and Outreach: the open and clear sharing of information on procurement practices, goods and services procured and contract availability
- Accessibility: the enhanced accessibility of contracts to minority and women owned firms and increased ability of those firms to do business with the City
- Contracts Awarded: the year on year level of M/WBE utilization in LL 129 goal areas

In accordance with these factors, it has been determined that in Fiscal 2008, City agencies have demonstrated substantial progress towards achieving their utilization goals and as a result, the City has demonstrated substantial progress toward achieving its utilization goals.

## **The M/WBE Program**

At the end of Fiscal 2008, 1,604 companies were certified as M/WBEs, a 30% increase over the prior year. Over the last six years, we have seen a consistent increase in the number of new companies entering the program and this year we expect to continue this trend.

We also continue to see an important and telling trend as the number of companies that are choosing to stay and re-certify with the City increases. With implementation of LL 129, business owners now recognize they have a reason to remain in the program. In Fiscal 2006, 26% of expiring companies chose to re-certify as M/WBEs. This rate has increased to over 62% this year.

To implement LL 129, the M/WBE program has focused its efforts on five key elements:

- Simplify the certification process without compromising standards

- Foster business growth within our certified base
- Empower agencies and prime contractors with the tools and knowledge they need to increase the utilization of M/WBEs
- Build in accountability
- Raise awareness

While we have established a program that adds value, continued success rests in our ability to enhance services, hold agencies accountable, and publicize the program. This fiscal year, the program has expanded upon the foundation of these anchoring principles.

*Increase strategic connections between certified M/WBEs and City agencies*

In the first year of program implementation we instituted a service delivery model where every certified firm is assigned a procurement counselor and has access to expert advice, assistance on bids and proposals, and business development classes on City contracting. This year, in addition to expanding these services, we have placed an even greater emphasis on events that help M/WBEs build networks between City agencies and large contractors. The following are several examples:

On June 26, SBS hosted its largest networking event of the year in partnership with MOCS. The Second Annual Citywide Procurement Fair was a full-day conference designed to bring together certified M/WBEs and procurement personnel from City agencies. The event provided procurement and capacity building workshops and an opportunity for M/WBEs to network with City agencies, public authorities, and several prime contractors. The Citywide Procurement Fair brought together over 45 agencies and authorities, 12 private sector contractors, and almost 500 M/WBE attendees.

During the fiscal year, SBS organized a series of industry and agency specific networking events in conjunction with City, State, and Federal agencies, authorities, and prime contractors.

- *Construction and Professional Services Networking Event.* In March, SBS hosted a construction and professional services networking event to connect M/WBEs with prime contractors and City agencies buyers from the Departments of Sanitation (DSNY), Homeless Services (DHS), Design & Construction (DDC), Fire (FDNY); the New York City Economic Development Corporation (EDC); and New York State's Empire State Development Corporation (ESDC) to help them fulfill subcontracting goals.
- *Agency Specific Networking Event.* Two events were organized specifically for the Department of Education (DOE) and DHS. In March, SBS, in conjunction with DOE, hosted a procurement workshop and networking event. The workshop provided certified firms with a comprehensive overview of DOE's procurement process and strategies for locating opportunities and marketing new products or services to the Department. In September, SBS, in conjunction with the DHS, held a networking event for construction and construction-related companies that were interested in working as prime or subcontractors on New York City construction projects.
- *Goods and Services Networking Event.* In November, SBS hosted a networking event for M/WBEs specializing in the sale of goods or standard services to learn about contract opportunities with DSNY, FDNY and the Departments of Environmental Protection (DEP), Corrections (DOC), Housing Preservation & Development (HPD), Parks and Recreation (DPR); the Human Resources Administration (HRA); New York City Housing Authority (NYCHA); and prime contract holder, Skanska USA.

- *Information and Technology Workshop and Networking Event.* In October, for City-certified M/WBEs in the fields of information technology and telecommunications, SBS hosted a networking event in conjunction with the United States General Services Administration (GSA), ESCD and the Department of Information, Technology & Telecommunication (DoITT). In addition, attendees had the opportunity to network with agency representatives, as well as representatives from CTGI, Compulink, Comsys, Spherion, and Compuforce – five companies that hold large IT contracts with the City and offer subcontracting opportunities to smaller vendors.

In total, these five events were attended by over 250 M/WBEs, resulting in 70 prime contracts worth nearly \$1.1 million.

SBS also launched, “I’m Certified, Now What?!” a series of quarterly workshops created for newly certified M/WBE firms. Led by SBS and a panel of agency contracting officers, the workshop provides certified M/WBEs with a comprehensive overview of the City’s procurement process and strategies for marketing to City agencies. Over Fiscal 2008, nearly 200 M/WBE attendees participated in workshops led by 14 agency contracting officers from 9 City agencies: DSNY, DHS, DoITT, DPR, DEP, HRA and the Departments of Citywide Administrative Services (DCAS), Police (NYPD) and Law.

On September 24, SBS hosted the third annual “Celebrating Successful M/WBE Awards”. The reception honored key supporters of minority and women-owned businesses in the New York City area and was attended by more than 400 small business owners and City agency representatives. Awards were presented to two successful M/WBEs, K.R.B. Security System Integrators, Inc. and Royal Cleaning Service, Inc. as well as two City agencies, HPD and DDC for their leadership in supporting certified M/WBEs. In addition, the agency recognized attorneys Martha Mann-Alfaro and Howard Friedman of the Law Department for their counsel and guidance in the development of the M/WBE program.

Finally, in related activities, SBS has partnered with MOCS, DDC, DoITT, DHS, DPR, and DEP to offer comprehensive agency and prime contractor training sessions through the Citywide Training Center’s Procurement Training Institute. In Fiscal 2008, SBS and MOCS provided detailed instruction to hundreds of City agency purchasing personnel and some of the City’s largest prime contractors on how to meet the requirements of LL 129. These sessions included a tutorial on best practices for locating M/WBE firms and increasing agency utilization, information on the responsibilities of prime contractors, how to complete subcontractor utilization plans, and the methodology for setting subcontractor goals.

*Introduce services that help M/WBEs bid, win, and perform on projects*

A series of new initiatives have been implemented to assist our firms in becoming more competitive. We offer tailored capacity building services that focus on helping our firms grow. In partnership with City University of New York (CUNY) and Columbia University, we have created unique and intensive programs to benefit the development of M/WBEs.

In Fiscal 2008, 92 participants representing 58 firms attended *Fundamentals of Construction Management*, a CUNY co-sponsored continuing education program that is an exclusive benefit for City-certified M/WBEs. The program is offered in partnership with CUNY’s NYC College of Technology, which provides certificates for both individual course and overall program completion.

The seven-course, 95-hour program focuses on the challenges across the construction project life-cycle, giving firms the tools they need to better manage construction projects. These courses are conducted by experienced industry professionals.

To complement this offering, we introduced *Breaking New Ground*, a free one-on-one technical assistance program that provides participants with guidance on how to respond to City contract solicitations, better manage their projects, as well as providing bid and proposal analysis. Together, these programs have assisted 100 companies and have resulted in 24 companies winning City contracts totaling \$20.8 million.

In January 2008, SBS launched a pilot mentorship program with Columbia University that includes exclusive construction opportunities for City-certified minority and women-owned firms. This new initiative provides 22 firms with detailed instruction through the seven-course *Fundamentals of Construction Management* continuing education series, bidding and contract requirements assistance, regular feedback from Columbia project managers, and access to specially designated contracts with Columbia University Facilities. The program aims to increase the ability of participating M/WBEs to bid on larger contracts, including work on Columbia's upcoming capital projects. Since the program's launch, participants have completed four of the seven *Fundamentals of Construction Management* courses and have bid on and won over \$3.3 million.

Finally, SBS has continued to improve its ability to provide meaningful assistance to M/WBEs through a program partnership with SBS' NYC Business Solution Centers. At the Centers, located in all five boroughs, businesses receive a broad range of services, including financing assistance which can involve connecting clients to lenders, helping clients put together business plans or loan packages, or advising clients on how to raise their credit score. The NYC Business Solutions Centers also help firms access business incentives, fulfill their staffing needs by screening and referring candidates, and develop employee skills by connecting employers to training funds which, in turn, makes the business more profitable and productive. In Fiscal 2008, the M/WBE program made nearly 300 referrals to NYC Business Solution Centers for certified firms to receive additional assistance.

#### *Ensure accountability of agencies and prime contractors*

To ensure accountability, LL 129 requires that SBS and MOCS report M/WBE utilization by agency, industry, ethnicity and gender. The M/WBE Program's first annual report for Fiscal 2007 was submitted to the City Council Speaker in September and has served as a tool to help agencies monitor their individual progress towards meeting their M/WBE goals. SBS has also developed and implemented a process to audit prime contractors and ensure they use M/WBEs in accordance with utilization plans that they submit, as well as meet the terms of their subcontracts. Fiscal 2008 marked the first year of audits, in which 5% of prime contracts were reviewed for compliance to LL 129 subcontracting requirements. The audits are being performed on an on-going basis throughout the fiscal year.

Many City agencies have gone above and beyond the requirements of LL 129 in seeking to promote the utilization of M/WBEs. These agency activities are summarized in the attached Appendix A and include:

Referring companies to get certified with SBS and following up with firms to ensure they submit an application:

- The Department of Probation (DOP), DSNY, DOF, DDC, and FDNY have each referred firms to SBS for certification. In Fiscal 2008, at least 25 companies were certified in this manner.

Agencies met with certified vendors:

- DSNY, DEP, and DCAS held 148 one-on-one meetings with certified M/WBEs that may be able to serve as vendors for them. The meetings covered upcoming contracting opportunities and the criteria and characteristics needed to fulfill these opportunities. Since the program launched, DEP has met with over 400 certified M/WBEs. In addition, DCAS began scheduling quarterly debriefing sessions for unsuccessful certified M/WBE bidders and proposers. Two sessions were conducted this fiscal year.

Providing education to certified companies:

- HPD provides no-cost classes on lead awareness and safe work practices to certified M/WBEs.
- HPD helped educate certified M/WBEs about the process for joining HPD's pre-qualified lists.

As detailed in the Agency Procurement Indicators report (see pp. 47-48 and Appendix K-1), in Fiscal 2008, several agencies awarded prime contracts to certified firms, even in categories that fall outside the parameters of the LL 129 prime contract goals. For example, more than \$230 million in prime contracts were awarded to over 30 certified companies; nearly 90% of that volume consisted of prime contracts valued at more than \$1 million.

#### *Expand SBS' reach into the M/WBE community*

In Fiscal 2008, SBS promoted the program in every borough at 215 events reaching thousands of representatives of the small business community. These events included the Caribbean American Chamber of Commerce and Industry's Economic Development Conference; Black Churches Mean Business; the Fifth Annual National Minority Business Council Women's Conference and a host of local Chambers of Commerce events.

In concert with the New York City Council, SBS has been involved in important initiatives that brought together over 150 participants:

- A series of outreach events for M/WBE and Emerging Business Enterprise (EBE) certification were sponsored by City Council Member Diana Reyna. These events, held in Brooklyn, Queens and the Bronx, included a detailed step-by-step workshop on the applications and supporting documentation required.
- In collaboration with New York City Council Speaker Christine C. Quinn and City Council Committee on Contracts Chair Letitia James, the *City Council's Business Summit* program was held in each of the five boroughs. SBS and MOCS provided attendees workshops on how to sell to the government and how to become certified. These events brought government buyers together with businesses in their own communities.

SBS has also partnered with community-based organizations in outreach efforts through the M/WBE Leadership Association, funded by the New York City Council. The organizations support the growth of M/WBEs throughout the metropolitan area with local outreach and marketing, workshops, networking events, and one-on-one certification assistance. In Fiscal 2008, the Leadership Association increased its efforts across all program areas, conducting 250 marketing campaigns, hosting 200 business development workshops and events, and providing 1,400 one-on-one assistance sessions for

small business owners. These efforts resulted in the submission of 143 M/WBE certification applications, representing a 23% increase from the previous year.

In addition to outreach activities, in this past year, the City's M/WBE program was featured in major publications such as *Crain's New York Business*, *El Diario*, and the *Daily News*.

### *Implement a new certification program*

Implementation of the Emerging Business Enterprise (EBE) program, created by Local Law 12 of 2006, extends the type of services we provide to M/WBEs to individual business owners who are both economically and socially disadvantaged. Local Law 12 establishes an economic ceiling for inclusion into the City's program. The overall net worth of the individual cannot exceed \$1 million. This figure excludes, however, the value invested in the business and in a personal residence. If the net worth criteria is satisfied, the owner must also demonstrate social disadvantage. Specifically, this standard requires a showing that the owner has evidence of at least one objective distinguishing feature that has contributed to social disadvantage and a demonstration, supported by evidence, of how that feature has adversely impacted the individual in education, employment or business opportunity. While the demand for entry to the program has been limited, we have marketed the program in an approach similar to our outreach for the M/WBE program. The certification application has been created and is available online at [www.nyc.gov/getcertified](http://www.nyc.gov/getcertified).

### **Complaints Received/Non-Compliance Findings**

With respect to the data required by § 6-129(l)(1)(viii), this fiscal year SBS and MOCS received four compliance-related complaints within the meaning of § 6-129(o)(1).

In December 2007, Finesse Creations and Karen Lee Enterprises complained that NYPD required bid and performance bonds on a contract that was valued at less than \$500,000. The limit for which City agencies ordinarily require bonding is \$500,000. In response to the complaint, NYPD waived the performance bond, but still required a refundable bid bond.

In August 2007, Maria Castro of CSA Group NY Engineering PC, complained about the way in which the goal-setting process occurred during various stages of the DDC procurement for the Master Plan portion of the design of the new Police Academy. Because design procurements are done as "quality based selections," the amount of the fee is not known at the time of the initial proposal or evaluation. Thus, the dollar value of the goals is not known until after a developer has been selected. In this procurement, the vendor complained that the short-list of selected firms was not made public promptly and that once the goals became public, they were set narrowly, only for the Professional Services industry in the non-minority female ethnicity category. DDC was contacted and sent Ms. Castro a formal response, indicating that the goal in question was applicable only to a small portion of what will ultimately be a large, three-phase project. Because the first phase is so small (i.e., \$3M-\$5M in total value), DDC could realistically set a goal in only one category, and chose WBEs, based on the type of work envisioned and the availability of WBE firms to perform such work. Additional goals, in the MBE categories are anticipated for the other, significantly larger, phases of the work.

In August 2007, Grace Echeverria of Livewire Transmission & Auto Diagnostic Inc. filed a complaint after being found non-responsive due to lack of experience for a bid she submitted to DOHMH. After being named the lowest bidder, her years of experience with this type of work were brought into

question by this non-responsive determination. The solicitation required five years minimum experience and although she had many years of comparable prior experience, she had only been in her own business for three years. DOHMH was contacted and Ms. Echeverria also filed an appeal. In response, DOHMH cancelled the solicitation, as the time requirement was inconsistent with policy and threshold requirements on similar solicitations, and a new solicitation was issued with an experience requirement of three years. Ms. Echeverria did not submit another bid because her borrowed capital was no longer available to meet the bond requirements of the new solicitation.

In July 2007, Cindy Albert from Dr III Inc. complained that she had lost her bid to a non-M/WBE by five dollars, and she believed that her status as a certified M/WBE should have given her preference. SBS informed her that LL 129 does not allow for a price preference for certified firms. She was also informed on how to make a formal complaint/protest to the agency.

With respect to § 6-129(l)(1)(ix), no City agency has yet had occasion to consider any non-compliance issues pursuant to § 6-129(o)(4).

### **Number of Firms Certified or Recertified**

With respect to the data required by § 6-129(l)(1)(x), during the time period running from July 1, 2007-June 30, 2008, SBS certified 550 new M/WBEs and recertified 293 M/WBEs. At the end of this fiscal year, 1,604 companies were certified as New York City M/WBEs, up from 1,236 in Fiscal 2007.

### **Contracts with M/WBE Subcontracting Goals**

With respect to the data required by § 6-129(l)(1)(xi), in Fiscal 2008, over 200 prime contracts with subcontracting goals were awarded. Five percent of eligible prime contracts and five percent of eligible subcontracts awarded pursuant to these prime contracts, were selected for audit and are currently under review for compliance in accordance to § 6-129(i). The audit results summary for Fiscal 2008 contracts will be included in next report due pursuant to LL 129.

### **Efforts to Reduce or Eliminate Barriers to Competition**

With respect to the data required by § 6-129(l)(1)(xii), in Fiscal 2008, SBS assisted 13 vendors in expediting their payment requests from prime contractors and agencies. SBS has conducted agency and prime contractor training highlighting all mechanisms that have been implemented in Local Law 129 to ensure timely payments of M/WBEs from prime contractors as well as from City agencies and the enforcement of such requirements. During the time period, SBS also provided workshops to educate M/WBE construction companies on how to obtain bonding. In addition, a dedicated staff member provides individualized bond packaging assistance and refers businesses to a network of sureties and surety agents where SBS has established relationships to seek bonding.

Appendix A- Steps that agencies have taken to initiate and ramp up their efforts to comply with the requirements of § 6-129 (l)(2)

AGENCY	INITIATIVES
<b>Administration for Children's Services</b>	<p>100% of eligible micro purchases bid to M/WBEs                      Added M/WBE to agency forms to ensure consistent outreach to vendors                      Awarded 4 contracts valued at more than \$2.26 million to ALM; Awarded 2 Intergovernmental contracts with M/WBEs valued at over \$14,000                      Encouraged certification by mailing letters and M/WBE program brochures to agency vendors                      Including M/WBE information in agency-wide E-bulletins, which is distributed to all 7,000 ACS employees                      Increased solicitation of M/WBEs for small purchases                      Participated in events with targeted outreach to M/WBEs, including the Citywide Procurement Fair and all five Business Summits coordinated by NYC City Council &amp; SBS                      Perform audit of FY08 small and micro purchases (will be conducted in FY09)                      Plan to advertise solicitation in Minority-focused periodicals in FY09                      Staff attended Procurement Training Institute sessions sponsored by SBS and MOCS</p>
<b>Department for the Aging</b>	<p>Advertised solicitations in minority publications and notified list of community based organizations                      Awarded 3 Intergovernmental contracts valued at over \$65,000 to M/WBEs                      Continued internal M/WBE tracking system for current and new contractors that may be eligible for certification                      Continued quarterly reviews of M/WBE Utilization                      Distributed M/WBE Program brochures with Requests For Proposals                      Encouraged all inquirers seeking contract opportunities to register with SBS or partner with an M/WBE                      Encouraged certification                      Increased solicitation of M/WBEs for small purchases                      M/WBE program information given to all unit directors and executive staff                      Participated in events with targeted outreach to M/WBEs, including the Citywide Procurement Fair                      Provided debriefing to an unsuccessful M/WBE bidder                      Staff attended Procurement Training Institute sessions sponsored by SBS and MOCS</p>
<b>Department of Buildings</b>	<p>Developed practice to include M/WBE program language in all solicitations                      Distributed procurement informational packages for vendors                      Encouraged certification                      Increased solicitation of M/WBEs for micro and small purchases                      Participated in events with targeted outreach to M/WBEs, including the Citywide Procurement Fair                      Staff attended Procurement Training Institute sessions sponsored by the SBS and MOCS</p>
<b>Department of Citywide Administrative Services</b>	<p>Advertised 22 solicitations in minority publications                      Awarded 4 Intergovernmental contracts worth \$40,000 to M/WBEs                      Continued compliance tracking and reporting for micro and small purchases by division                      Continued documentation of M/WBE outreach efforts                      Continued use of new forms to track M/WBE micro purchases (48% increase in micro purchase contracts awarded to M/WBEs)                      Held 7 one-on-one and group meetings with M/WBEs                      Held Pre-bid meetings for all contracts with m/WBE Subcontractor Utilization goals which included an explanation of the program and how to fill out Schedule B                      Hosted workshops in conjunction with SOBRO, Contractors Technical Assistance Workshop, and an M/WBE Vendor Fair where certified firms set-up booths and DCAS buyers were invited to network with them                      Increased solicitation of M/WBEs for small purchases                      Participated in events with targeted outreach to M/WBEs, including the Citywide Procurement Fair (taught a workshop and sent 6 buyers for the networking session), SBS Celebrating Successful M/WBEs Awards Program, Matchmaker event with US Department of Commerce, Minority Business Development Agency, Hispanic Business to Business Trade Fair, 3 Business Summits sponsored by NYC City Council, Sixth Annual Queens Business &amp; Procurement Expo, Latin M/WBE Procurement Expo, and the Asian Women in Business Annual Conference, National Association of Women Business Owners Fall event                      Participated in on-going training on LL129 requirements                      Participated in workshops to inform M/WBEs about City procurement policies, including "I'm Certified, Now What"                      Referred prime contractors to SBS for assistance in locating M/WBE subcontractors                      Referred several companies to SBS for certification - 3 firms completed the process and were certified                      Worked closely with potential M/WBE subcontractors to assist with any issues preventing them from being approved to work on DCAS projects</p>

Appendix A- Steps that agencies have taken to initiate and ramp up their efforts to comply with the requirements of § 6-129 (l)(2)

AGENCY	INITIATIVES
<b>Department of Correction</b>	<p>Bid 100% of eligible micro purchases to M/WBEs                      Discussed M/WBE certification and program at every pre-bid and pre-proposal conference                      Discussed M/WBE requirement at all "kick-off" / post-registration meetings                      Encouraged vendors already doing business with the agency to certify                      Increased solicitation of M/WBEs for small purchases                      Participated in events with targeted outreach to M/WBEs, including the Goods and Services Networking Event sponsored by SBS and Citywide Procurement Fair                      Reached out to non-responsive M/WBEs with regard to micro-purchases and Small Purchases                      Reviewed decentralized purchasing structure, resulting in staff training and one-on-one meetings on M/WBE initiatives                      Trained staff</p>
<b>Department of Design and Construction</b>	<p>Co-hosted M/WBE Program and LL129 training for Prime contractors with SBS and MOCS                      Continued posting M/WBE goals for specific projects on website                      Continued posting M/WBE program information and link to SBS info on agency website                      Encouraged vendors already doing business with the agency to certify                      Increased solicitation of M/WBEs for small purchases                      Participated in events with targeted outreach to M/WBEs, including the Citywide Procurement Fair and Contractor networking event for M/WBEs                      Participated in workshop to inform M/WBEs about City procurement policies, including I'm Certified, Now What?!                      Pre-qualified 4 M/WBEs for Design Excellence Contracts for Architectural and Engineering services valued at \$20 million                      Provided on-going training for agency procurement and other unit personnel                      Staff attended Procurement Training Institute sessions sponsored by SBS and MOCS</p>
<b>Department of Environmental Protection</b>	<p>Awarded 6 Intergovernmental contracts valued at over \$130,000                      Continued outreach program to small and micro sellers                      Discussed LL129 and program goals at pre-bid and pre-award meetings                      Discussed the M/WBE requirements at prebid meetings and offered help on LL129 program implementation                      Encouraged M/WBEs to compete on DEP project opportunities                      Encouraged vendors already doing business with the agency to certify                      Estimated over \$100 million in subcontracts were awarded to certified firms through New York State M/WBE program requirements                      Held bi-weekly meetings with field representatives and buyers to discuss program issues and aid implementation                      Hosted a networking event for M/WBE Goods vendors- each M/WBE was given a table to display their product information                      In conjunction with Skanska, sponsored workshops to get M/WBE participation on several projects                      Increased solicitation of M/WBEs for small purchases                      Met with over 300 M/WBEs and walked through DEP small and Micro purchase program and introduced them to buyers                      Micro and small purchase buyers updated regularly on M/WBE opportunities                      Participated in events with targeted outreach to M/WBEs, including the Citywide Procurement Fair, Competitive Edge, Regional Alliance, PWC, Asian Women in Business conference, NYS Federation of Hispanic Chambers of Commerce event, SBS Prime Contractor Networking Event                      Prevailing Wage meetings with Resident Engineers also includes M/WBE program info                      Procurement office held bi-monthly M/WBE utilization compliance reviews</p>
<b>Department of Finance</b>	<p>Encouraged certification by including M/WBE applications in all IFB and RFP books                      Encouraged prime contractors to search for and hire M/WBE subcontractors                      Increased solicitation to M/WBEs for small purchases (solicits '5+15 M/WBEs')                      Participated in events with targeted outreach to M/WBEs, including the Citywide Procurement Fair                      Stressed agency M/WBE sub contracting goals in all pre-bid or pre-proposal conferences                      Trained contracting officers and buyers in LL129 requirements and forms</p>
<b>Department of Health and Mental Hygiene</b>	<p>100% of eligible micro purchases bid to M/WBE                      ACCO presents agency goals and accomplishments to Commissioner / Executive staff                      Encouraged certification                      Implemented compliance reporting                      Increased solicitation of M/WBEs for small purchases                      Participated in events with targeted outreach to M/WBEs, including the Citywide Procurement Fair                      Provided training session on LL129 Implementation and how to use the Online Directory                      Reached out to small vendors potentially eligible for certification                      Trained all agency Core Procurement Liaisons and CSB Contract Managers trained to access the SBS website and mark as favorite                      Trained Executive Staff in an effort to gain support from the highest level of the agency                      Worked with SBS to generate a lists of certified M/WBEs capable of bidding on various prime and sub contracts                      Worked with SBS to implement as many best practice recommendations with agency processes as practical</p>

Appendix A- Steps that agencies have taken to initiate and ramp up their efforts to comply with the requirements of § 6-129 (l)(2)

AGENCY	INITIATIVES
<b>Department of Homeless Services</b>	<p>All applicable Pre-Bid and Pre-Proposal Conferences incorporated an extensive review of Utilization Plans Assisted contractors in identifying certified M/WBEs</p> <p>Continued monitoring of program implementation within the agency by M/WBE Task Force, headed by the Deputy Commissioner of the Office of Community Partnerships/M/WBE officer, Assistant Commissioner and agency ACCO, Deputy Counsel of Legal Affairs and staff to implement internal initiatives, monitor agency performance and detail procedural compliance with LL129</p> <p>Encouraged certification by distributing M/WBE program brochures to vendors Encouraged vendors already doing business with the agency to certify Held a series of internal meetings with program and procurement staff to explain LL129 and its procedural impacts Increased solicitation of M/WBEs for micro and small purchases Led a workshop at the Citywide Procurement Fair M/WBE subcontracting requirements reviewed at all pre-bid conferences for contracts with goals Participated in events with targeted outreach to M/WBEs, including DHS Small Contractor Networking Event Trained prime contractors in M/WBE program requirements and offered assistance on LL129 program at Pre-Bid Conferences</p>
<b>Department of Housing Preservation and Development</b>	<p>Advertised in Minority Commerce Weekly all solicitations up to \$1 million dollars Awarded 1 Intergovernmental contract valued at \$1,164,450 to an M/WBE Co-hosted prequalification seminar with SBS Contacted certified firms to inform them about subcontracting opportunities via phone and e-mail Encouraged certification Hosted HPD Workshops for certified firms every other month Lead Law 101 Certification, Safe Work Practices and Upcoming HPD Opportunities Increased solicitation of M/WBEs for micro and small purchases Met with bidders on the HPD Demolition panel to explain LL129 and M/WBE participation Participated in events with targeted outreach to M/WBEs, including the SBS' Prime Contractor Networking Event, US Dept. of Commerce Participated in workshops to inform M/WBEs about City procurement policies, including SBS' Write to Win (proposal writing) Procurement Matchmaker, Regional Alliance of New York's Proposal Writing workshop and Networking Event, SBS' Goods &amp; Services Networking Event, Greater Allen Cathedral of NY Economic Development Conference, Citywide Procurement Fair (Taught workshop) Promoted HPD's contractor training program at area CUNY colleges to M/WBE and LBE firms</p>
<b>Department of Information Technology and Telecommunications</b>	<p>Advertised in minority periodicals Awarded 2 Intergovernmental contracts valued at \$9.1 million to M/WBEs Encouraged certification Encouraged prime contractors to partner or subcontract with M/WBEs Encouraged State certified M/WBE vendors (from OGS) to become certified with SBS Engaged in outreach activities to encourage M/WBEs to compete Held unsuccessful bidder/proposer debriefings with certified M/WBEs Increased solicitation of M/WBEs for small purchases Participated in events with targeted outreach to M/WBEs, including the Citywide Procurement Fair Staff attended Procurement Training Institute sessions sponsored by SBS and MOCS Utilized the SBS Online Directory to create mailing lists for bids and proposals</p>
<b>Department of Investigation</b>	<p>Bid 100% of eligible micro purchases to M/WBEs Encouraged certification Increased solicitation of M/WBEs for small purchases Instituted compliance reporting Participated in events with targeted outreach to M/WBEs, including the Citywide Procurement Fair Performed monthly internal review of small and micro purchases to assure that the agency is on track to meet the goals Staff attended Procurement Training Institute sessions sponsored by SBS and MOCS</p>
<b>Department of Juvenile Justice</b>	<p>Bid 100% of eligible micro purchases to M/WBEs Contacted small vendors potentially eligible for certification Increased solicitation of M/WBEs for small purchases Participated in events with targeted outreach to M/WBEs, including the Citywide Procurement Fair Performed monthly internal review of small and micro purchases to ensure maximum participation by M/WBE firms Staff attended Procurement Training Institute sessions sponsored by SBS and MOCS Worked closely with certified firm Centro Dental Dominicano to assist with responsibility determination and to allow the agency to award a small purchase contract to the firm in the amount of \$100,000</p>

Appendix A- Steps that agencies have taken to initiate and ramp up their efforts to comply with the requirements of § 6-129 (l)(2)

AGENCY	INITIATIVES
<b>Department of Parks and Recreation</b>	<p>Awarded 2 subcontracts over \$1 million valued at \$10 million to 1 certified M/WBE design consultant</p> <p>Awarded 8 Intergovernmental contracts valued at over \$95,000 to M/WBEs</p> <p>Led a workshop at the Citywide Procurement Fair</p> <p>Made certification applications available in the area where vendors pick up bid-documents</p> <p>Participated in events with targeted outreach to M/WBEs, including the Citywide Procurement Fair, Hispanic Business to Business Trade Fair</p> <p>Participated in events with targeted outreach to M/WBEs, including the Standard Services networking event, and SBS' Goods &amp; Services Vendor Fair</p> <p>Participated in workshops to inform M/WBEs about City procurement policies, including two sessions of "I'm Certified, Now What"</p> <p>Pre-qualified 3 M/WBEs for Design Excellence Contracts for Architectural &amp; Engineering work valued at \$12 million</p> <p>Reached out to small vendors potentially eligible for certification</p>
<b>Department of Probation</b>	<p>Awarded 16 Intergovernmental contracts valued at over \$38,000 to M/WBE</p> <p>Continued use of tracking system to monitor M/WBE utilization for small purchases</p> <p>Encouraged certification by distributing M/WBE program brochures, calling, and e-mailing vendors</p> <p>Encouraged vendors already doing business with the agency to certify</p> <p>Held semi-annual meetings with Bureau Contracting Officers to ensure they have the latest list of qualified M/WBE vendors</p> <p>Increased monitoring of outreach for micro &amp; small purchases to ensure optimal outreach</p> <p>Increased solicitation of M/WBEs for small purchases</p> <p>Screened all micro purchases for M/WBE utilization</p> <p>Staff attended Procurement Training Institute sessions sponsored by SBS and MOCS</p>
<b>Department of Sanitation</b>	<p>Advertised competitive sealed bid contracts and RFP's in minority publications, including Minority Commerce Weekly</p> <p>Bid 100% of eligible micro purchases to M/WBEs</p> <p>Contacted winning bidders to encourage them to certify and/or work with certified suppliers and subcontractors</p> <p>Contacted every vendor on the M/WBE list via e-mail to invite them to meet the ACCO's office 1 on 1 or at various outreach seminars and met with approximately 50 vendors</p> <p>Documented M/WBE "success stories" for Division of Economic &amp; Financial Opportunity (DEFO)</p> <p>Encouraged bid follow-up meetings whenever a solicitation received "no bids" from M/WBE vendors to ascertain the reason(s) for no bid, and encourage losing vendors to find out the winning bid</p> <p>Established open market orders (OMO) based on need for a category of goods not available on requirement contract. M/WBEs selected for OMOs would have demonstrated ability to successfully provide goods</p> <p>Followed up on contacts from networking events by forwarding their information to buyers across the agency</p> <p>Followed up on non-responsive M/WBEs by forwarding findings to DEFO</p> <p>Increased solicitation of M/WBEs for small purchases</p> <p>Informed DEFO of situations where an M/WBE who wins a contract fails to deliver</p> <p>Mailed certified M/WBEs an invitation to bid on all CSB's &amp; RFP's over \$1 million</p> <p>Participated in events with targeted outreach to M/WBEs, including the Standard Services networking event, CompuLink Technology's "Bringing Local Businesses Together," Professional Women in Construction, Forum hosted by the Hispanic Chamber of Commerce, US Dept. of Commerce Minority Business Development forum, SBS' Goods &amp; Services Vendor Fair, DHS Small Contractor Networking Event, SBS' Celebrating Successful M/WBEs Awards Program, IT Networking Event, Competitive Edge, 4 Business Summits sponsored by NYC City Council, Asian Women in Business Procurement Conference, Sixth Annual Queens Business &amp; Procurement Expo, and the Citywide Procurement Fair</p> <p>Participated in the citywide procurement fair planning committee and led a workshop at the fair</p> <p>Participated in workshops to inform M/WBEs about City procurement policies, including three sessions of "I'm Certified, Now What"</p> <p>Required that all small and micro purchases go through a procedural checklist to be submitted to the ACCO office for tracking</p> <p>Shared DSNY collected vendor information with other city agencies, specifically DEP.</p> <p>Staff attended Procurement Training Institute sessions sponsored by SBS and MOCS and annual internal session sponsored by ACCO office</p> <p>Transferred M/WBE vendors to DCAS and/or DoITT for state and/or "Piggy Back" contracts</p>

Appendix A- Steps that agencies have taken to initiate and ramp up their efforts to comply with the requirements of § 6-129 (l)(2)

AGENCY	INITIATIVES
<p><b>Department of Small Business Services</b></p>	<p>Awarded 3 contracts valued at \$18.7 million to certified M/WBEs outside the purview of LL129 goals                      Encouraged Requirements contract holders to subcontract agency work to a certified M/WBE, specifically with design and printing through Vanguard                      Encouraged vendors already doing business with the agency to certify                      Held unsuccessful-bidder/proposer debriefing sessions                      Increased solicitation of M/WBEs for small purchases                      Informed SBS of vendors who had incorrect/invalid contact information in Vendor Source and could not be contacted to receive notice of request for bid                      Met with M/WBEs to inform them of procurement policies                      Participated in events with targeted outreach to M/WBEs, including Procurement Matchmaker event, NYS Federation of Hispanic Chambers of Commerce expo, Successful M/WBE Awards reception, 13th Annual Competitive Edge Conference, Women's Leadership Exchange Conference, IT Services Workshop &amp; Networking Event, and the Citywide Procurement Fair                      Procurement staff notified vendors of expiration of M/WBE status and encouraged recertification                      Staff attended Procurement Training Institute sessions sponsored by SBS and MOCS</p>
<p><b>Department of Transportation</b></p>	<p>Advertised solicitations in minority publications, including the Amsterdam News, Minority Commerce Weekly, and El Diario                      Assigned additional staff to administer the M/WBE program; Deputy ACCO to oversee contract compliance issues, including M/WBE program                      Awarded over \$100 million dollars in subcontracts required on Federally funded projects with DBE goals to firms that are also certified with the City as M/WBEs                      Created a Vendor's Guide to doing business with the agency for distribution at events and agency locations                      Encouraged DBE vendors to certify with the City as M/WBEs                      Encouraged prime contractors to reach out to SBS to locate M/WBE subcontractors                      Held meetings with certified firms wishing to do business with the agency                      Implemented monthly compliance reporting to begin 2nd Quarter of FY09                      Increased solicitation of M/WBEs for micro and small purchases                      M/WBE program and requirements are discussed at Pre-bid meetings                      Participated in events with targeted outreach to M/WBEs and DBEs including, Association of Minority Enterprises of NY monthly meeting, ACCION Women Business Owners meeting, Asian Women in Business Annual Conference, Citywide Procurement Fair (including teaching a workshop) and project-specific events with DBE goals such as the Lincoln Center Development Project                      Referred 11 vendors already doing business with the agency to certify                      Staff attended Procurement Training Institute sessions sponsored by SBS and MOCS</p>
<p><b>Department of Youth and Community Development</b></p>	<p>Encouraged certification by distributing M/WBE program brochures to vendors                      Increased solicitation of M/WBEs for small purchases                      Participated in events with targeted outreach to M/WBEs, including Citywide Procurement Fair</p>
<p><b>Fire Department</b></p>	<p>Added City's new M/WBE policies, including link to the Department of Small Business Services for certification, to Agency website                      Awarded 1 Intergovernmental contract valued at \$566,820 to an M/WBE                      Bid 100% of eligible micro purchases to M/WBEs                      Conducted 2 training sessions with SBS and MOCS on LL129 implementation with procurement personnel                      Created a Guide to Doing Business with the Fire Department for distribution at events and conferences                      Included language encouraging M/WBEs to bid on all CSBs and RFPs along with required language on solicitations with subcontracting goals                      Increased solicitations of M/WBEs for small purchases                      Participated in events with targeted outreach to M/WBEs, including Citywide Procurement Fair, Asian Women in Business networking event, and SBS's Goods and Services networking event                      Promoted subcontracting opportunities to potential contractors and sub contractors at pre-bid conferences and in the bid documents                      Provided internet access to buyers and contract managers to allow them to access the Online Directory of certified firms                      Screened all micro purchases for M/WBE utilization                      Staff attended Procurement Training Institute sessions sponsored by SBS and MOCS</p>

Appendix A- Steps that agencies have taken to initiate and ramp up their efforts to comply with the requirements of § 6-129 (l)(2)

AGENCY	INITIATIVES
<b>Human Resources Administration</b>	<p>Advertised in Minority Commerce Weekly and the Amsterdam News</p> <p>Attended Procurement Training Institute sessions sponsored by SBS and MOCS</p> <p>Awarded 1 subcontract valued at \$3.75 million to an M/WBE</p> <p>Awarded 27 Intergovernmental contracts valued at over \$14.3 million to M/WBEs</p> <p>Corporation Counsel directive required employees to solicit M/WBEs for most contracts, and to inform ACCO of results when seeking approval for procurement</p> <p>Created a list of resources including M/WBE directories from other jurisdictions and professional organizations</p> <p>Distributed SBS M/WBE certification applications at pre-bid conferences</p> <p>Encouraged certification</p> <p>Increased solicitation of M/WBEs for micro and small purchases</p> <p>Led a workshop at the Citywide Procurement Fair</p> <p>Participated in events with targeted outreach to M/WBEs, including the Business Summits sponsored by NYC City Council, SBS's Celebrating Successful M/WBEs Award Reception, and the Goods and Services networking event</p> <p>Participated in workshops to inform M/WBEs about City procurement policies, including "I'm Certified, Now What" and Write to Win: Winning Government Contracts through effective responses to Requests for Proposals</p>
<b>Law Department</b>	<p>Added M/WBE program information to agency website</p> <p>Awarded 6 Intergovernmental contracts valued at over \$240,000 to M/WBEs</p> <p>Became a "public partner" of the National Association of Minority &amp; Women Owned Law Firms</p> <p>Contacted bar associations, including minority and women's bar associations, and medical professional organizations to identify firms for certification and advise them of contracting opportunities</p> <p>Participated in events with targeted outreach to M/WBEs, including the Citywide Procurement Fair, the Hispanic Bar Association's networking event, and New York State Federation of Hispanic Chambers of Commerce event</p> <p>Published articles promoting M/WBE program in the New York Law Journal and the New York County Lawyers newsletter</p> <p>Sought help in identifying M/WBE expert witnesses for litigation from the following organizations– Association of Black Psychologist, National Medical Association, American Academy of Orthopedic Surgeons, American Psychiatric Association, and National Hispanic Medical Association</p> <p>Staff attended Procurement Training Institute sessions sponsored by SBS and MOCS</p> <p>Submitted good faith M/WBE utilization plan to SBS agency utilization plan to SBS</p>
<b>Office of Emergency Management</b>	<p>Increased solicitation of M/WBEs for small purchases</p> <p>Participated in events with targeted outreach to M/WBEs, including the Citywide Procurement Fair</p>
<b>Office of Management and Budget</b>	<p>100% of eligible micro purchases bid to M/WBEs</p> <p>Encouraged certification</p> <p>In each IFB and RFP, in addition to including a description in Schedule A, added a one page notice in large print that describes the M/WBE program and the requirements thereof</p> <p>Increased solicitation of M/WBEs for small purchases</p> <p>Participated in events with targeted outreach to M/WBEs, including the Citywide Procurement Fair</p> <p>Staff attended Procurement Training Institute sessions sponsored by SBS and MOCS</p>
<b>Police Department</b>	<p>Added a one page notice to bid documents announcing the M/WBE program and providing information on the program</p> <p>Advertised in Minority Commerce Weekly. Discussing advertising possibilities with El Diario (Spanish) and Epoch Times (Chinese)</p> <p>Amended IFB and RFP pick-up forms to ask vendors for M/WBE information</p> <p>Awarded 31 Intergovernmental contracts valued at over \$914,000 to M/WBEs</p> <p>Bid 100% of eligible micro purchases to M/WBEs</p> <p>Continued monitoring of micro and small purchases, bidding and awards to certified firms</p> <p>Encouraged certification</p> <p>Encouraged vendors already doing business with the agency to certify</p> <p>Increased solicitation of M/WBEs for small purchases</p> <p>Led a workshop at the Citywide Procurement Fair</p> <p>Offered unsuccessful bidders/proposers debriefings</p> <p>Participated in events with targeted outreach to M/WBEs including the Goods and Services Networking Event</p> <p>Participated in workshops to inform M/WBEs about City procurement policies, including "I'm Certified, Now What"</p> <p>Provided informational material and applications to non-certified M/WBEs</p> <p>Trained prime contractors about the program and instructed them on subcontracting goals at all pre-bid and pre-proposal conferences</p> <p>Worked with M/WBEs that requested assistance with the procurement process</p>