Request for Proposals

For the Sale of Specialty Food from Mobile Units at Various Locations Citywide

ISSUE DATE: Monday, April 6th, 2015
SOLICITATION # CWP-2015-A

City of New York Parks & Recreation
www.nyc.gov/parks

Bill de Blasio, Mayor
Mitchell J. Silver, FAICP, Commissioner
Liam Kavanagh, First Deputy Commissioner
Robert L. Garafola, Deputy Commissioner for Management, Budget & Public Programs

NYC Parks

REQUEST FOR PROPOSALS (RFP)

The City of New York Department of Parks & Recreation ("Parks") requests proposals for the sale of specialty food from Mobile Food Units (as hereinafter defined) at various locations Citywide.

THE TERM

Parks is seeking concessionaires for one (1) five (5) year term. No longer term will be considered. This concession will be operated pursuant to a permit issued by Parks; no leasehold or other proprietary right is offered.

PROJECT MANAGER

The Project Manager for these concessions is Santiago Zindel. All RFP questions and/or inquiries should be directed to him. He may be reached at:

Phone: (212) 360-3407
Email: santiago.zindel@parks.nyc.gov
Fax: (212) 360-3434

If you have a hearing impairment, please call the following toll-free number and leave a message on the Telecommunication Device for the Deaf (TDD). The TDD number is (212) 504-4115.

RFP TIMETABLE

The following schedule has been established for this RFP:

RFP Release Date:	**Monday, April 6th, 2015**
Proposals Due:	**Monday, May 11th, 2015 at 3:00 pm**
Interviews (if any):	**Week of June 8th, 2015**

If you have a physical disability and cannot deliver your proposal to the Arsenal, please contact the Project Manager(s) at least 48 hours prior to the deadline and alternate arrangements can be made.

MEETINGS

The Selection Committee may decide to meet with certain proposers on the week of June 8th, 2015. This is the week meetings will be held. Therefore, it is recommended that proposers keep the week of June 8th, 2015 available to meet with the Selection Committee.

If there are circumstances beyond a proposer's or Parks' control and the meeting cannot take place on the week of June 8th, 2015, Parks will schedule a meeting between the proposer and the selection committee on an alternate date.

I. PROJECT BACKGROUND

A. HISTORY

In New York City, a person can walk down any street and find food from all corners of the globe, to suit any palate. The addition of specialty food vendors in park locations citywide has helped the City extend this bounty of flavor into its green spaces. We invite you to participate by proposing your most inventive, exciting food idea, whether you are selling an assortment of healthy, fresh salads to people on the go, or offering hot and cold delicacies from a distant homeland. Whatever the idea, we want to see it. Partner with us and contribute to the flourishing food culture of New York!

II. PROJECT COMPONENTS

A. OVERVIEW

Parks is seeking proposals for the sale of specialty food items from Mobile Food Units at various locations Citywide. For the purposes of this RFP, "Mobile Food Unit" shall be defined as a self-contained service operation, located in a vehicle or a movable stand, self or otherwise propelled, used to store, prepare, display or serve food intended for individual portion service. Food trucks and pushcarts shall be considered Mobile Food Units. Both Mobile Food Unit design and menu content should be of premium quality, making a significant improvement to the quality and ambience of the park. Proposers may submit proposals for any or all of the approved vending locations, but must submit a separate proposal and separate proposal deposit for each vending location they are interested in operating. Each vending location listed in Section II(B) of this RFP is hereinafter referred to as "Permitted Premises" or "vending location."

Operational Plan Proposers should submit a detailed operational plan for the entire Permitted Premises. This plan should include, but not be limited to, hours of operation, menu and prices, any plans to install energy efficient appliances that have the Energy Star seal of approval and/or water conserving appliances, and any plans to use "Green Seal" or other environmentally friendly products or devices, staffing plans, safety and security plans, programming plans, mechanisms to measure customer satisfaction, maintenance, snow, rubbish removal, and cleaning schedules.

All plans, schedules, menu items, prices and fees, and hours of operation are subject to Parks' prior, written approval. In an effort to respect the surrounding neighborhoods, Parks has set forth specific operational restrictions for certain vending locations (see Section II(B) of this RFP). Proposers should take these restrictions, as well as those outlined in the Mobile Food Unit section below, into account when crafting their proposals. Parks will view favorably proposals that have limited utility needs. Proposers should keep this in mind when submitting menus and creating proposals.

Menu Parks envisions high-quality specialty Mobile Food Units that give Park patrons places to stop and enjoy the scenery, while enjoying top quality food. Parks will view favorably menus that are inventive and interesting, serve a variety of options beyond hot dogs and pretzels, and that include healthy food choices. The food and service provided must be of high quality, yet affordable. Proposers should submit a menu with their proposals and should include some low-cost food items on their menus. Proposals should include a price list for each item to be sold.

Any and all items sold and prices are subject to Parks' written approval. **The selling and/or advertisement of cigarettes, electronic cigarettes, cigars, any other tobacco products, or alcohol is strictly prohibited.** Each concessionaire will be required to adhere to and enforce this policy.

Mobile Food Units The concessionaire may operate up to one (1) non-processing or processing Mobile Food Unit for the sale of food and beverages, such as ethnic foods, specialty sandwiches, salads, desserts, coffee, juice and other non-alcoholic beverages. The mobile food units must operate within the Permitted Premises and carts must adhere to the following guidelines:

> **Non-Processing Carts** Non-processing carts are manually propelled carts or barrows which are only for the sale of pre-packaged foods or foods which require limited preparation. Non-processing carts cannot be more than 6 1/2 feet long and 3 1/2 feet wide including all handles, extensions, and protuberances. If the unit is designed so that the operator stands within the unit, the width of the unit, including its wheels, axles, and other appurtenances may not exceed 4 ½ feet.
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> **Processing Carts** Processing carts are Mobile Food Units that are for the sale of foods that require cooking or any other treatment such as slicing mixing, packaging, or any other alteration that exposes the food to possible contamination. This definition does not include the boiling of hotdogs or heating of pretzels. Processing carts cannot be more than 10 feet long and five (5) feet wide including all handles and extensions.

Department of Health and Mental Hygiene (DOHMH) Information The concessionaire will be required to obtain a DOHMH Vendor License for each person designated as an operator of a Mobile Food Unit and a DOHMH Mobile Food Vending Unit Permit for the successful proposer's Mobile Food Unit(s). Please note that only a DOHMH-licensed mobile food vendor may apply for a Mobile Food Vending Unit Permit. The concessionaire must submit both a valid DOHMH Vendor License and a DOHMH Mobile Food Vending Unit Permit to Parks before the operation of a Mobile Food Unit(s) can commence. During the permit term, any concessionaire operating a Mobile Food Unit without a valid DOHMH Vendor License and a DOHMH Mobile Food Vending Unit Permit will be instructed to cease operations and will be subject to fines. When warranted, Officers of the Parks Enforcement Police (PEP), New York City Police Department, New York Fire Department and DOHMH may confiscate the mobile food unit(s), including merchandise.

To obtain a DOHMH license and/or permit, contact the Citywide Licensing Center, 42 Broadway, 5th floor, Monday through Friday 9:00 am to 5pm, or by phone at 311 or 212-New-York or www.nyc.gov/health. Note: Offices are closed during City/Public Holidays.

Vendors should be aware that if they are applying for a DOHMH Vendor License for the first time, this process can take six (6) weeks or more.

DOHMH Vendor License All persons designated as a Mobile Food Unit operator must have a valid DOHMH Vendor License in order to operate. All mobile food vendors are required to successfully complete a DOHMH course in food protection to receive a new or renewed DOHMH Vendor License.

DOHMH Mobile Food Vending Unit Permit All Mobile Food Units must pass a DOHMH inspection in order to receive a DOHMH Mobile Food Vending Unit Permit. All Mobile Food Units operating under a Parks permit must first pass a DOHMH inspection. In order to

schedule the Mobile Food Unit for an inspection, successful proposers must submit Parks-authorized documentation to DOHMH, which is provided to the vendor following Notice of Award.

Note: The successful proposer must provide Parks with documentation that it has been issued a valid DOHMH Vendor License and DOHMH Mobile Food Vending Unit Permit for each Mobile Food Unit. Once received and once the permit has been registered, Parks will provide the vendor with a Permit Decal and 311 sign for each Mobile Food Unit. The Mobile Food Unit(s) can only be operated under a permit once a written Notice to Proceed, the Permit Decal(s) and 311 sign(s) have been received.

Mobile Food Unit Specifications & Maintenance Concessionaires will be required to purchase, supply, or otherwise obtain use of all equipment, including the Mobile Food Units, necessary for the operation of this concession. Concessionaires will be required to present his/her Mobile Food Unit(s) to Parks for inspection before the permit is signed. All Mobile Food Units must be kept in good condition. Parks reserves the right to require replacement of Mobile Food Units that are in poor condition or that do not meet DOHMH specifications and requirements.

Mobile Food Units, umbrellas, canopies and other equipment attached to Mobile Food Units shall be of a design and color approved in writing by Parks. Parks expects the concessionaire to utilize Mobile Food Units of a premium quality and design. Parks encourages proposers to submit Mobile Food Unit designs that are inventive, interesting and compliment the intended vending location(s) (rather than traditional Mobile Food Unit designs often used for hot dog and pretzel pushcarts). Proposals should include a photo or visual schematic of the type of Mobile Food Unit to be used, including the dimensions of the Mobile Food Unit. Mobile Food Units may not extend vending space beyond the confines of the unit.

It is necessary to keep all Mobile Food Units clean and in good condition. This involves ensuring that the Mobile Food Units do not leak any type of fluid, including water, onto the ground. It is also necessary to keep Mobile Food Units clean and free of graffiti. Mobile Food Units must not be damaged or dented. In addition, the concessionaire shall repair or replace the above if deemed necessary by Parks.

Advertising of product brands will not be allowed on the Mobile Food Unit(s) or associated equipment without Parks' written approval.

Permit Decal The permit shall become effective upon the vendor's receipt of a written Notice to Proceed. A Permit Decal and 311 sign for each Mobile Food Unit and a Notice to Proceed will be presented to the concessionaire after registration of the permit. A concessionaire shall not commence the operation of the Mobile Food Unit(s) until it has received the Notice to Proceed, Permit Decal(s) and 311 sign(s) from Parks. Parks will provide a new Permit Decal for each Mobile Food Unit to the concessionaire at the beginning of each year of the permit term, provided that the concessionaire is in compliance with the terms of its permit. A replacement fee of $50.00 will be charged to any concessionaire who loses its Permit Decal.

DOHMH Letter Grades: Mobile Food Units Only Proposers should note that the Mobile Food Units of concessionaires may become subject to a Department of Health and Mental Hygiene letter grading program. The current program is codified in Health Code Article 81.51 and Chapter 23 of Title 24 of the Rules of the City of New York and is described at: http://www.nyc.gov/html/doh/html/rii/grading.shtml It is the concessionaire's obligation to be fully informed of the status of the letter-grading program and its applicability to the concessionaire. Concessionaires will be solely responsible for compliance with the letter-

grading rules. Proposers should call 311 or visit the following Web site for information about the current program: http://www.nyc.gov/html/doh/downloads/pdf/rii/rii-nyc-rules.pdf.

Hours of Operation Each concessionaire may only operate during the hours that the park in which the Permitted Premises is located is open as approved by Parks. All hours of operation are subject to Parks' prior written approval. Each concessionaire's Mobile Food Unit must vacate the Permitted Premises before the park closes; the Mobile Food Unit may not remain at the Permitted Premises overnight.

Staff The concessionaire will be required to have a sufficient number of staff available at the Permitted Premises during regular operating hours to ensure proper operation of the concession. Parks reserves the right to require that all staff wear uniforms that have been approved in writing by Parks.

Storage Parks makes no representations that there is adequate storage space at the Permitted Premises. Each concessionaire shall be responsible for, at its sole cost and expense, obtaining any additional storage space required for the operation of the concession. No concessionaire shall store any equipment or supplies at the Permitted Premises without the prior, written approval of Parks. No item shall be placed upon any public space, including the ground adjacent to the Permitted Premises without Parks' prior, written approval. Each concessionaire will be required to store all outdoor equipment on a nightly basis and anytime the concession is closed.

Snow, Rubbish Removal & Recycling During the operating season approved by Parks for a concessionaire's Mobile Food Unit, each concessionaire will be responsible for, at its sole cost and expense, clean-up and removal of all snow, waste, garbage, refuse, rubbish and litter from the Permitted Premises and the area within fifty (50) feet of the Permitted Premises. Each concessionaire will be required to provide adequate and easily accessible waste and recycling receptacles, approved by Parks, and have these receptacles emptied on a daily basis and removed by a private carter. The location and placement of all waste and recycling receptacles is subject to Parks' prior written approval. Each concessionaire will be required to comply with all City, State, and Federal regulations regarding recycling. In addition, the concessionaire will be required to demonstrate to Parks' satisfaction, through a detailed maintenance plan, that they will keep and maintain the concession site in excellent condition throughout the permit term.

Signage and Advertising Permittee will be prohibited from displaying, placing or permitting the display or placement of advertisements in the Premises, including, but not limited to the Mobile Food Units, without the prior written approval of Parks. The display or placement of tobacco or electronic cigarette advertising shall not be permitted. The display or placement of advertising of alcoholic beverages shall not be permitted. The following standards will apply to all allowed advertising: Any type of advertising which is false or misleading, which promotes unlawful or illegal goods, services or activities, or which is otherwise unlawful, including but not limited to advertising that constitutes the public display of offensive sexual material in violation of Penal Law Section 245.11, shall be prohibited. Advertising of product brands is prohibited without Parks' prior written approval. Any and all signage is subject to Parks' prior written approval. The design and placement of all signage, including signage which includes Permittee's name, trade name(s) and/or logos, is subject to Parks' prior written approval. Permittee will be prohibited from placing advertisements on the exterior of its permitted premises. Any prohibited material displayed or placed shall be immediately removed by the Permittee upon notice from Parks at Permittee's sole cost and expense.

Internal Controls Throughout the term of the permit, each concessionaire will be required to maintain a revenue control system to ensure the accurate and complete recording of all revenues, in a form and manner acceptable to the City. Each concessionaire must also establish a dedicated bank account for all deposits related to this concession's revenue. All accounting and internal control related records shall be maintained for a minimum of ten (10) years from the date of creation of the record.

Naming of the Concession Proposers should be aware that Parks may require that the City own the portion of any new name selected by the successful proposer for the Permitted Premises that indicates Parks property or a preexisting facility name. The City will not own any portion of a new name that consists of the name, portrait or signature of a living or deceased individual or a restaurant identifier that is not otherwise associated with Parks' property. Parks reserves the right to approve of any name selected by the concessionaire for the concession.

Utilities Parks makes no representations regarding the adequacy of utilities currently in place at the Permitted Premises. Each concessionaire will be required to pay for any and all utility costs connected with the operation of this concession during the Permit term. These utility costs include, but are not limited to, paying all water and sewer charges that the New York City Department of Environmental Protection ("DEP") assesses for water usage.

Drought & Water Conservation Issues Each concessionaire will be required to adhere to all DEP directives and restrictions regarding drought and water conservation issues during the Permit term.

Environmental Considerations As a protector and provider of green spaces, Parks is deeply committed to respecting the environment. Therefore, all proposed operational plans should include a detailed description of environmentally friendly practices planned for the Permitted Premises. Practices may include, but are not limited to, the installation of Energy Star compliant appliances, the use of energy efficient, non-polluting, low noise generators, the employment of energy efficient and water conservation measures, the use of low toxicity chemicals, preservation of natural areas, and the use of environmentally friendly products.

Parks views favorably the installation of Energy Star approved appliances and equipment, such as commercial refrigerators, at the Permitted Premises. Proposers should state whether they intend to install products that have the Energy Star seal of approval. Energy Star products and environmentally friendly practices can be found at: http://www.energystar.gov.

Parks also views favorably proposals that include plans to use "Green Seal" eco-friendly products such as soaps, cleaners, light bulbs, paper towels, toilet paper and paint. A list of "Green Seal" certified products can be found at http://www.greenseal.org/findaproduct/index.cfm, and a list of environmentally-friendly products/materials is also available at: http://www.nyc.gov/html/mocs/html/programs/other_epp.shtml. Proposers should state whether they intend to utilize or install "Green Seal" or other environmentally friendly products, devices, or methods for cleaning and operational purposes. Proposers should also state in their proposals whether they intend to utilize or install energy-efficient compact fluorescent light bulbs (CFLs).

Parks encourages each successful proposer to use chlorine free, biodegradable products such as paper towels, napkins, utensils and plates if the proposer intends to utilize any disposable products for all food service at the Permitted Premises. Additionally, Parks will encourage the use of environmentally friendly cleaners and the selling of sustainable food products.

Proposers can consult the web site of the Green Restaurant Association ("GRA") to locate GRA-endorsed products. Please visit http://www.dinegreen.com for more information. In addition to the use of environmentally friendly products, Parks will encourage the successful proposer to train staff on environmentally friendly food service practices and to utilize a composting service to dispose of food waste.

Special Events Parks, acting on behalf of the City of New York, reserves the right to host a number of annual events at the Permitted Premises, including benefits and other non-profit or public events. The dates of such events shall be mutually agreed upon by both parties and shall be reserved in writing not less than one month in advance.

Security Pursuant to a plan approved in writing by Parks, each concessionaire, at its sole cost and expense, shall be responsible for all security at the Permitted Premises year round.

Safety Since safety is of the utmost concern, proposers with prior experience in operating this type of facility or similar facilities should submit their personal and/or company safety record. Each proposal should include a detailed outline of maintenance schedules and safety precautions required for the operation of the Permitted Premises as well as any applicable staff qualifications and certifications. Proposers should also provide descriptions of the locations and types of facilities they have operated, including a list of references. The concessionaire will be required to comply with all national safety guidelines and Federal, State and City laws, rules and regulations related to the operation and maintenance of the Permitted Premises.

Community Relations Parks will view favorably proposals that demonstrate an awareness of the role of the concession as an integral part of the surrounding community. Parks will view favorably proposals that show a commitment to cooperate with and support park administrators, park users, and the community.

Customer Service Parks expects each concessionaire to create and maintain a high-quality amenity for the public. Parks encourages proposers to implement customer service mechanisms that will enhance and maintain the satisfaction of patrons. These mechanisms should be outlined in each proposal.

Identification & Address The successful proposer for each vending location will be required to present picture identification (such as a driver's license or a passport) and proof of address (such as a utility bill) in order to execute the Permit. In addition, all proposers will be expected to provide Parks with at least two (2) telephone numbers for contact purposes. Each successful proposer shall notify the Parks Revenue office immediately of any changes to the successful proposer's address or phone number.

Inspections & Liquidated Damages: Inspectors from Parks will visit the site unannounced to inspect operations and ensure proper maintenance of the concession site. Based on their inspections, Parks may issue directives regarding deficiencies the concessionaire will be obligated to rectify in a timely fashion. Violations of the terms of the permit may result in the assessment of liquidated damages which, if not paid promptly, may be deducted from the concessionaire's security deposit. If the concessionaire fails to provide the cleaning, maintenance, and operational services required by the permit, Parks shall notify the concessionaire in writing, and the concessionaire shall be required to correct such shortcomings within the timeframe set forth in such notice. If the concessionaire fails to cure the violation within the timeframe set forth in the notice, Parks may, at its option, in addition to any other remedies available to it, assess liquidated damages and/or suspend or terminate the permit. Parks may impose a $250 administrative fee for reinstatement of a

suspended permit. Liquidated damages may be assessed in accordance with the following schedule:

PROVISION	LIQUIDATED DAMAGES (PER OCCURENCE)
Unauthorized Menu Items or Merchandise	$150
Missing or Unauthorized Price List	$250
Overcharging	$350
Expanding	$350
Blocked Exits	$350
Improper Disposal (noxious liquids, debris, etc.)	$350
Mobile Food Unit Leaking Fluids	$350
Mobile Food Unit Obviously Damaged or in Poor Repair	$250
Unauthorized Advertising	$350
Roving or Vending at Unauthorized Location	$250
Improper Storage	$350
Graffiti, Dirty Mobile Food Unit or Umbrella	$350
Sticker Expired or Not Displayed	$250
Vending without valid DOHMH Mobile Food Vendor's License	$350
Vending without valid DOHMH Mobile Food Unit License	$350
311 sign not displayed	$250

Procedure for Appeals of Assessments To Concession Permit Violations If an assessment is received for one of the above violations, there is a process by which the assessments may be appealed if the concessionaire feels that the assessment has been assessed in error. The procedure is outlined below:

1. Filing an Appeal

   A. If the concessionaire wishes to appeal the assessment, a notice of appeal must be delivered to Parks within ten (10) days along with a statement of reasons why he or she believes the assessment was erroneous. The statement of reasons must be notarized. Any

evidence supporting the concessionaire's appeal (such as photographs, documents, witness statements, etc) should also be included.

B. If no appeal is received within 10 days of the date the assessment is mailed, the assessment shall be considered final and charged to the concessionaire's account.

2. Adjudication of Appeal

A. The appeal shall be sent to the Director of Operations Management & Planning, whose office is located at the Arsenal, 830 Fifth Avenue, New York, NY 10065. The Commissioner has designated the Director of Operations Management & Planning to decide on the merits of these appeals. The decision of the Director of Operations Management & Planning shall constitute the final decision of Parks.

B. The Director of Operations Management & Planning is authorized to investigate the merits of the appeal, but is not required to hold a hearing or to speak to the concessionaire in person.

Access to Permitted Premises Each concessionaire will be required to provide Parks with full and free access to the Permitted Premises to ensure Parks' satisfaction with the concessionaire's compliance with the terms of the Permit.

No Exclusive Vending Rights Proposers should note that the Permits will not grant the concessionaire exclusive rights to sell in the park in which the Permitted Premises are located. Moreover, Parks may grant other permits to vendors to sell the same or similar items authorized under these Permits within the same park in which the Permitted Premises are located. Parks does not guarantee that illegal vendors, persons unauthorized by Parks or disabled veteran vendors will not compete with the successful proposer or operate near the Permitted Premises. Parks encourages concessionaires to report illegal vendors by calling 311.

B. LOCATIONS

All proposers should visit the vending location at which they are interested in proposing to ensure that the vending location is appropriate for their intended operations. All concessionaires will be solely responsible for compliance with all parking rules and regulations at the vending location. The exact location of all Mobile Food Units is subject to Parks' prior written approval. Proposers should include a detailed description or map of where they wish to operate.

Parks requests proposals for the operation of Mobile Food Units at the vending locations listed below. The first column provides the name of the park. The second column indicates the vending location within the park. The third column indicates any information specific to that location and the final column indicates the unique concession ID # for that location, which should appear on the outside of the envelope in which you submit your proposal. **Parks retains the right to relocate or restrict a Mobile Food Unit, if necessary.**

City of New York
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NYC Parks

Bronx			
Park Name **Date Available**	**Mobile Food Unit Location**	**Specifications**	**Concession ID #**
Claremont Park January 1st, 2015	On sidewalk by entrance on Clay Ave. and 170 St.		X8-CG
Franz Sigel Park January 1st, 2015	E 53rd St.and Grand Concourse		X47-CG
St. Mary's Park January 1st, 2015	Park entrance at 146th St. and St Anns Ave.		X45-CG
Tremont Park January 1st, 2015	E Tremont Ave. and Arthur Ave.	No ice cream	X10-CG

Brooklyn			
Park Name **Date Available**	**Mobile Food Unit Location**	**Specifications**	**Concession ID #**
Bush Terminal Piers Park January 1st, 2015	TBD		BT15-CG
Bushwick Inlet Park January 1st, 2015	9th St. and Kent Ave. just inside the park or at the end of the path by the waterfront		B529-CG
Commodore Barry Park January 1st, 2015	Middle of the park, pedestrian intersections. Between ball fields and pool		B21-CG
Fulton Park January 1st, 2015	Stuyvesant Ave. and Fulton St.		B38-CG
Greenwood Playground January 1st, 2015	Greenwood Ave. and Prospect Ave.		B130-CG
Lincoln Terrace Park January 1st, 2015	TBD		B54-CG
Linden Park January 1st, 2015	Inside park entrance between football field and playgrounds		B214-CG
Manhattan Beach Park January 1st, 2015	On sidewalk on SE corner of Mac Kensie St. Loop		B251-CG
North 5th Street Pier January 1st, 2015	Williamsburg Pier. At the end of N 5th St. near road		B536-CG
Owls Head Park January 1st, 2015	TBD		B66-CG
Public Place January 1st, 2015	Eldert Ln. between Liberty Ave. and Glenmore Ave.		B290-CG
Prospect Park January 1st, 2015	Grand Army Plaza	Must not interfere with statues and monuments	B73-CG
Red Hook Recreation Area January 1, 2016	Intersection at Bay St. and Henry St.		B126-CG
Rolf Henry Playground January 1st, 2015	On open area on corner of New York Ave. and Clarkson Ave.		B148-CG
Sperandeo Brothers Playground January 1st, 2015	Linwood St. and Atlantic Ave.		B163-CG
WNYC Transmitter Park January 1st, 2015	Inside park at the bottom of the steps leading to the pier		B385-CG

Manhattan			
Park **Date Available**	**Mobile Food Unit Location**	**Specifications**	**Concession ID #**
British Garden at Hanover Square January 1st, 2015	TBD	Location should be sensitive to the plantings and carved stone decor	M212-CG
Carl Schurz Park January 1st, 2015	On promenade by the river		M81-CG
Central Park August 29th, 2015	Path entrance leading toward Wollman Rink, Center Dr., LP6101		M10-62-CD-CG
Central Park August 9th, 2015	Path entrance leading toward Wollman Rink, at East Dr. and E 63rd St.		M10-63-ED-CG
Central Park October 1st, 2015	West of the entrance to Scholar's Gate, at 60th St.		M10-9-CG
Central Park January 1st, 2015	Columbus Circle/Merchant's Gate, on curb cut located along path between the USS Maine Monument and West Drive		M10-W59-CG
Central Park January 1st, 2015	At the intersection of W108th St. pathway and W106 St. pathway, inside Central Park, at West Dr.	No more than 5 ft long by 3 ft Wide	M10-W108-CG
East River Park January 1st, 2015	Entrance at 6th St.		M144-CG
East River Waterfront Esplanade January 1st, 2015	South St., underneath FDR Dr., near Governeur Ln. Exact Location at Parks' discretion		M391-CG
Imagination Playground January 1st, 2015	TBD		M386-CG
Marcus Garvey Park January 1st, 2015	Madison Ave. side of park with Parks approval to operate on 5th Ave. side during events		M58-CG
Riverside Park January 1st, 2015	Near playground entrance at W83rd St. and Riverside Dr.		M71-83-CG
Riverside Park January 1st, 2015	89th St. Promenade Overlook. South of the Soldiers' and Sailors' Monument. Closer to 88th Steet.		M71-89-CG
Sara D. Roosevelt Park January 1st, 2015	Hester or Broome St. pedestrian crossing path		M105-CG
Sara D. Roosevelt Park January 1st, 2015	Corner of Houston St. and Christie St.		M105-2-CG
St. Nicholas Park January 1st, 2015	Between 137 & 138 St. on Amsterdam Ave. (across from CCNY)		M77-CG
Stuyvesant Square January 1st, 2015	TBD	Must not interfere with statues and monuments	M86-CG
Theodore Roosevelt Park January 1st, 2015	TBD		M53-CG
Washington Square Park January 1st, 2015	In fountain plaza. Exact Location at Parks' discretion	No more than 6.5 ft long by 3.5 ft wide. Favorable consideration for proposals that include the serving of seasonal non-alcoholic beverages	M98-3-CG

Queens			
Park Name Date Available	**Mobile Food Unit Location**	**Specifications**	**Concession ID #**
Alley Athletic Playground January 1st, 2015	On Alley pond main path in front of the playground		Q1A-CG
Bayswater Park January 1st, 2015	By parking lot next to ball fields		Q7-CG
Forest Park January 1st, 2015	Track area		Q15-CG
Fort Totten January 1st, 2015	TBD		Q458-CG
Lou Lodati Playground January 1st, 2015	Between the bathrooms and the ball field area	No ice cream	Q340-CG
Queensbridge Park January 1st, 2015	Inside park on Vernon Blvd. and 41st Ave.		Q104-CG
Rainey Park January 1st, 2015	By Playground and comfort station		Q48-CG
Roy Wilkins Park January 1st, 2015	TBD		Q448-CG
Rufus King Park January 1st, 2015	TBD		Q23-CG

Staten Island			
Park Name Date Available	**Mobile Food Unit Location**	**Specifications**	**Concession ID #**
Bloomingdale Park January 1st, 2015	In between the two dead ends of Maguire Ave.	No ice cream	R106-CG
Cloves Lake Park January 1st, 2015	TBD		R5-CG
CPL. Thompson Park January 1st, 2015	Sidewalk near entrance to playground off Broadway		R109-CG
Midland Beach January 1st, 2015	Sidewalk in Turtle Circle		R46-CG
Tappen Park January 1st, 2015	Bay St. Perimeter Sidewalk		R28-CG
Wolfe's Pond January 1st, 2015	TBD		R31-CG

C. ADDITIONAL REQUIREMENTS DURING THE TERM OF PERMIT

1. The concessionaire will be required to operate and maintain each concession for the use and enjoyment of the general public.

2. The concessionaire will be required to submit a security deposit of 25% of the highest year's annual flat fee, which will be required for the duration of the term of the Permit. This security deposit, which may be in the form of an interest bearing account or other format approved by Parks, will be due upon signing.

3. The concessionaire will be required to carry Commercial General Liability insurance in at least $1,000,000 per occurrence, $2,000,000 aggregate, and statutory limits of Worker's Compensation, Employer's Liability and Disability Benefits Insurance. The Commercial General Liability insurance will be required to name the City of New York, including its officials and employees as an additional insured with coverage at

least as broad as Insurance Services Office (ISO) Form GC 20 26, and the City's limits will be no lower than concessionaire's. If vehicles are to be used in connection with the concession, the concessionaire shall carry Business Automobile Liability insurance in the amount of $1,000,000 for each accident combined single limit for liability arising out of ownership, maintenance or use of any owned, non-owned, or hired vehicles. Proposers are on notice that the City may require other types of insurance and/or higher liability limits and other terms if, in the opinion of the Commissioner, the proposed concession warrants it.

4. Within sixty (60) days of the end of each operating year, the concessionaire will be required to submit an annual statement of gross receipts from all categories of income in a format approved in writing by Parks. In addition, the concessionaire must have available, at the request of Parks, monthly statements of gross receipts, as well as a detailed income and expense statement for the past year's operation. The concessionaire will be required to maintain a revenue control system to ensure the accurate and complete recording of all revenues, as described under "Internal Controls" in Section II(A) above.

5. Each concessionaire will be required to pay all taxes applicable to the operation of the concession. Gross receipts shall exclude the amount of any federal, state, or city sales taxes which are paid by the concessionaire.

6. Each concessionaire will be responsible for regular pest control inspections and extermination, as needed. To the extent that the concessionaire applies pesticides to any property owned or leased by the City, concessionaire or any subcontractor hired by concessionaire shall comply with Chapter 12 of Title 17 of the New York City Administrative Code and limit the environmental impact of its pesticide use.

7. Each Mobile Food Unit must have garbage receptacles present at all times. During the operating season approved by Parks for each Mobile Food Unit, each concessionaire will be required to keep the Permitted Premises and the area within fifty (50) feet of the Permitted Premises clean and free of all waste, garbage, refuse, rubbish and litter at all times. Each concessionaire will be required, at its sole cost and expense, to provide adequate waste and recycling receptacles that are approved in writing by Parks and have these receptacles emptied on a daily basis and removed by a private carter. Each concessionaire will be required to comply with all City, State, and Federal regulations regarding recycling. Rubbish removal schedules are subject to Parks' prior written approval.

8. The concessionaire will be prohibited from cutting down, pruning or removing any trees on the Permitted Premises without prior written approval from Parks. Any attachments to the trees, such as lights, will not be permitted.

9. The concessionaire will be required to cooperate with Parks during special and other unanticipated events.

10. Smoking of any tobacco product or electronic cigarette is strictly prohibited at the Permitted Premises except in parking lots or on sidewalks along the park perimeter. Concessionaire shall adhere to and enforce this policy.

11. Pursuant to Parks' policy citywide, the concessionaire will be prohibited from selling any beverages in glass bottles. All beverages will be required to be in non-glass,

shatter-proof containers. Also, the use of polystyrene packaging or food containers will be prohibited in the operation of the concession.

12. The selling and/or advertisement of alcohol, cigarettes, cigars, electronic cigarettes or any other tobacco products is strictly prohibited. The concessionaire will be required to adhere to and enforce this policy.

13. Each concessionaire shall not block any sidewalk, pathway, park entrance or other pedestrian walkway with concessionaires' equipment or supplies. Each concessionaire shall place its equipment and supplies in such manner that at least a six (6) foot walkway is available to pedestrians at all times.

14. Each concessionaire will be required to comply with all City, State and Federal laws relating to access for persons with disabilities. Each concessionaire shall comply with all New York City, State and Federal requirements to provide safe and accessible recreational opportunities for everyone, including persons with disabilities. Each concessionaire is encouraged to exceed accessibility requirements whenever possible, and not simply provide the minimum level required.

15. If a concessionaire does not comply with the terms of the Permit, the Permit may be terminated. Any warnings or terminations may be considered in making future proposer responsibility determinations.

16. The concessionaire will be required to indemnify the City for claims arising out of the concessionaire's operations under the Permit, pursuant to a provision to be included in the Permit.

17. The concessionaire must obtain the prior written approval of Parks prior to entering into any marketing or sponsorship agreement. In the event that the concessionaire breaches this provision, the concessionaire shall take any action that the City may deem necessary to protect the City's interests.

III. THE RFP PROCESS/PROPOSAL PROCEDURE

A. PROPOSAL SUBMISSION INSTRUCTIONS

The proposal should be typed on both sides of 8 ½" X 11" paper. Pages should be paginated. The City of New York requests that all proposals be submitted on paper with no less than 30% post-consumer material content, i.e., the minimum recovered fiber content level for reprographic papers recommended by the United States Environmental Protection Agency (for any changes to that standard please consult: http://www.epa.gov/cpg/products/printing.htm). The proposer should state whether its response is printed on recycled paper containing the minimum percentage of recovered fiber content as requested by the City in these instructions. Failure to comply with any of the instructions set forth in this paragraph will not be considered non-responsive.

No proposals should be submitted in plastic sleeves or spiral binders. Illustrations may be included. All plans are subject to Parks' prior written approval. Oversized drawings may be submitted, but must be accompanied by 8 ½" x 11" sectionals or reductions to 8 ½" x 11". No telegraphic or facsimile proposals will be accepted. The proposal will be evaluated on the basis of its content, not length.

Please submit four (4) copies of your proposal (including four copies of all required attachments). If you are interested in operating a Mobile Food Unit at more than one vending location, please submit a complete proposal for each vending location, including a separate proposal deposit.

The following information should be printed on the outside of the envelope:

Proposer's Name and Address
Solicitation #: CWP-2015-A
Concession ID # (From table in Section II.B)
Proposal Due Date: Monday, May 11th, 2015 at 3:00 pm

B. PROPOSAL SUBMISSION REQUIREMENTS

Each proposal submitted must meet the following requirements. Failure to comply will result in the automatic disqualification of a submission from further consideration.

1. All proposers must submit a proposal that includes a fee offer for each year of the operating term. Proposals must state a guaranteed annual flat fee. All proposals must include a flat fee offer for each year of the operating term. Proposals that do not state a guaranteed annual flat fee will not be considered. If a proposer offers any additional payment beyond the guaranteed annual flat fee, only the flat fee will be considered. At Parks' request, proposer shall submit documentation, satisfactory to Parks, demonstrating that it has the financial capability to pay the fees set forth in its proposal. Failure to provide such documentation will result in a determination of non-responsiveness.

2. All proposers are required to submit as a proposal deposit a certified bank check, official bank check, money order, or cashier's check in the amount of $1,000.00 with the proposal (payable to NYC Parks & Recreation). Personal or business checks will not be accepted. In the event of the failure of a successful proposer to execute a concession agreement in accordance with the terms of its proposal, the deposit shall be retained by the City unless the proposal has been permitted to be withdrawn. Proposal deposits will be returned to unsuccessful proposers after the concession agreement is signed with the successful proposer.

3. All proposals must be submitted in a sealed envelope and received in the Office of the Revenue Division, New York City Department of Parks and Recreation, The Arsenal-Central Park, 830 Fifth Avenue, Room 407, New York, New York 10065.

4. All proposals must be received by Monday, May 11th, 2015 at 3:00 pm. Hand delivery to Room 407 before the deadline is recommended to ensure consideration of your proposals. **Proposals and modifications received after the time and date listed above will be considered late, will be returned to the proposer unopened and will not be considered for award, except as provided for in Section 1-13(j)(2)(i) of the Concession Rules.**

5. Proposers must submit a separate proposal, and separate proposal deposit, if applicable, for each vending location at which that they are interested in operating a Mobile Food Unit.

6. Pursuant to Local Law 34 of 2007, amending the City's Campaign Finance Law, the City is required to establish a computerized database containing the names of any

"person" that has "business dealings with the city" as such terms are defined in the Local Law. In order for the City to obtain necessary information to establish the required database, proposers responding to this solicitation are required to complete the attached Doing Business Data Form and return it with this proposal and should do so in a separate envelope. (If the responding proposer is a proposed joint venture, the entities that comprise the proposed joint venture must each complete a Data Form.) If the City determines that a proposer has failed to submit a Data Form or has submitted a Data Form that is not complete, the proposer will be notified by the agency and will be given four (4) calendar days from receipt of notification to cure the specified deficiencies and return a complete Data Form to the agency. Failure to do so will result in a determination that the proposal is non-responsive. Receipt of notification is defined as the day notice is e-mailed or faxed (if the proposer has provided an e-mail address or fax number), or no later than five (5) days from the date of mailing or upon delivery, if delivered.

C. PROPOSAL CONTENT GUIDELINES

Each proposal is expected to include the following:

1. Planned Operations
   - Proposers should submit a detailed operational plan for the entire Permitted Premises, including but not limited to hours of operation, menu and prices, any plans to install energy efficient appliances that have the Energy Star seal of approval and/or water conserving appliances, and any plans to use "Green Seal" or other environmentally friendly products or devices, staffing plans, safety and security plans, programming plans, mechanisms to measure customer satisfaction, maintenance, rubbish removal, and cleaning schedules. All plans, schedules, menu items, prices, and hours of operation are subject to Parks' prior written approval.

   - Proposers should include a detailed description or map of where they wish to operate.

   - Parks will view favorably operational plans or proposals that make a significant improvement to the quality and ambience of the park, menus that are inventive and interesting and serve a variety of options beyond hot dogs and pretzels, and plans to use environmentally friendly products and practices.

   - Parks will view favorably proposals that have limited utility needs. Parks will also view favorably the installation of Energy Star approved appliances and equipment at the Permitted Premises, as well as proposals that include plans to use "Green Seal" eco-friendly products such as soaps, cleaners, light bulbs, paper towels, and paint.

   - Proposers should submit an estimated number of full-time and seasonal employees and the positions these employees will fill.

   - Parks is charged with improving customer satisfaction with the services provided at facilities on parkland. Therefore, Parks would like proposers to explain in their submissions the mechanisms they would use to measure customer satisfaction with the services offered by this concession. Such

mechanisms might include customer evaluations or survey forms. Further, Parks would like proposers to explain how they would improve the quality of services offered if the above mechanisms indicate a need to do so.

- Proposers should include a comprehensive pro-forma income and expense projection for each year of operation. This pro-forma projection should include explanations for all the assumptions used in its formulation.

- Parks will view favorably proposals that demonstrate an awareness of the role of the concession as an integral part of the surrounding community. Parks will view favorably proposals that show a commitment to cooperate with and support park administrators, park users, and the community.

2. Fee Offer
   - The City urges that there be an escalation of at least five percent (5%) per year (compounded annually) in the guaranteed annual flat fee over the permit term. If a proposer offers any additional payment beyond the guaranteed annual flat fee, only the flat fee will be considered.

3. Operating Experience
   - Proposers should submit a resume or detailed description of the proposer's professional qualifications, demonstrating extensive experience in the industry, including any work with City agencies, and/or access to individuals and/or firms with such expertise. Include the names and addresses of all corporate officers of the entity submitting the proposal. If any principal owner and/or officer of the submitting entity is currently or has been a principal officer of another entity or entities within the last five (5) years, that entity or entities (including applicable tax identification numbers) should be identified as well.

   - Proposers should attach a list of at least three (3) recent relevant references, with whom the proposer has previously worked and/or who can describe such matters as the proposer's financial, operational and construction capability. One of the three references should be from a financial institution that has extended credit to the proposer. Include the name of the reference entity, a description of the nature of the listed reference's experience with the proposer and the name, title, address, and telephone number of a contact person at the reference entity.

4. Proposed Mobile Food Unit & Design
   - Each proposer should submit designs, photographs and/or renderings of the Mobile Food Unit it intends to use, including dimensions. All final designs of the successful proposer must be approved in writing in advance by Parks and other pertinent agencies before operation can commence.

   - Parks will view favorably proposals that include Mobile Food Unit designs of a premium quality and are inventive, interesting and compliment the Permitted Premises (rather than traditional Mobile Food Unit designs often used for hot dog and pretzel pushcarts). Proposals should include a photo or visual schematic of the type of Mobile Food Unit to be used, including the dimensions of the Mobile Food Unit.

   - Proposers should submit a plan describing the extent to which plans and designs for the Mobile Food Units will take into account environmental considerations.

5. Financial Capability
   - Proposers should include a financial statement or statements prepared in accordance with standard accounting procedures. Financial statements should include, but are not limited to, annual income and net worth (assets and liabilities), including a breakdown of liquid and non-liquid assets. Proposers should include supporting documentation of their financial worth, including but not limited to Certified Financial Statements, Balance Sheets and Income Statements and tax returns from the past three (3) years (corporate and/or personal).

   - Proposers should identify the intended source of all funds proposed to be invested in the Permitted Premises.

PLEASE NOTE: All proposals should indicate how the proposer became aware of this concession opportunity (e.g. newspaper ad; mailing list, Parks website, etc).

IV. EVALUATION AND SELECTION PROCEDURES

Proposals will be evaluated by a selection committee composed of a minimum of three (3) Parks employees or Parks and other City employees and, possibly, independent (non-government employed) professionals with relevant expertise, in accordance with procedures established by the Franchise and Concession Review Committee, based on the criteria listed below. The concession will be awarded to the proposer whose submission the selection committee judges best overall based on these criteria.

A. PROPOSAL EVALUATION CRITERIA

In evaluating proposals, the Selection Committee will use the following criteria:

Planned operations: see Section III (C) (1) (30%)
Fee offer: see Section III (C) (2) (20%)
Operating experience: see Section III (C) (3) (20%)
Proposed Mobile Food Unit & Design: see Section III (C) (4) (15%)
Financial capability: see Section III (C) (5) (15%)

B. EVALUATION PROCEDURES

Parks will only consider proposals that meet satisfactory levels of the above criteria. The City is not required to accept the proposal that includes the highest fee offer. Parks' acceptance of a proposal does not imply that every element of that proposal has been accepted.

Parks cannot consider any proposal that does not comply with the "Submission Requirements" section of this RFP. Proposals that do not meet these requirements will not be evaluated. When feasible, employees of Parks will visit facilities operated by proposers.

V. OTHER GENERAL RFP REQUIREMENTS AND CONDITIONS

Parks reserves the right to postpone or cancel this RFP or reject all proposals, if in its judgment it deems it to be in the best interest of the City of New York to do so.

Proposers are advised that Parks has the option of selecting the proposer(s) without conducting discussions or negotiations. Therefore, proposers should submit their best proposals initially, since discussions or negotiations may not take place.

Proposers are also advised that the award of this concession is subject to applicable provisions of federal, State, and local laws and executive orders requiring affirmative action and equal employment opportunity.

Proposers have the right to appeal a determination of non-responsiveness and/or non-responsibility and have the right to protest a solicitation and award as specified in Chapter 1 of Title 12 of the Rules of the City of New York.

All RFP submission materials become the property of the City of New York and Parks. Proposal submission material will generally be made available for inspection and copying by interested parties upon written request, except when exempted from disclosure under the New York State Freedom of Information Law.

Parks is subject to the New York State Freedom of Information Law, which governs the process for the public disclosure of certain records maintained by Parks. (*See* Public Officers Law, Sections 87 and 89). Individuals or firms that submit proposals to Parks may request that Parks except all or part of such a proposal from public disclosure, on the grounds that the proposal contains trade secrets, proprietary information, or that the information, if disclosed, would cause substantial injury to the competitive position of the individual or firm submitting the information. Such exception may extend to information contained in the request itself, if public disclosure would defeat the purpose for which the exception is sought. The request for such an exception must be in writing and state, in detail, the specific reasons for the requested exception. It must also specify the proposal or portions thereof for which the exception is requested. If Parks grants the request for exception from disclosure, Parks shall keep such proposal or portions thereof in secure facilities.

Parks shall not be liable for any costs incurred by proposers in the preparation of proposals or for any work performed in connection therein.

Proposers should be aware that this concession will be developed and operated pursuant to a permit issued by Parks. In the event this agreement is terminated, Parks will not reimburse permitee's unamortized capital improvement costs.

A proposer may submit a modified proposal to replace all or any portion of a proposal submitted up until the proposal submission deadline. Parks will only consider the latest version of the proposal. Late proposals and late modifications will not be considered for evaluation, except as provided for in Section 1-13(j)(2)(i) of the Concession Rules. Proposers may withdraw their proposals from consideration at any time before the proposal submission deadline by submitting written notice to Parks. A proposer may not withdraw its proposal before the expiration of forty-five (45) calendar days after the date of the opening of proposals; thereafter a proposer may only withdraw its proposal by submitting written notice to Parks in advance of an actual grant of a concession.

Technical addenda issued by Parks will be the only authorized method for communicating clarifying information to all potential proposers. Proposers should contact the agency before submitting a proposal to verify that they have received any addenda issued. Proposers shall acknowledge the receipt of any addenda in their proposal submissions.

Proposers should be aware that, upon Parks' request, proposer(s) will be required to submit original copies of VENDEX Vendor and Principal Questionnaires to the Mayor's Office of Contract Services. In addition, any person or entity with at least a 10% ownership interest in the submitting vendor (including a parent company), is required to complete VENDEX Questionnaires (Principal Questionnaire for any person and Vendor Questionnaire for any entity with at least a 10% ownership interest in the submitting vendor). The concession award will be subject to completion of the VENDEX questionnaires and review of certain information contained therein by the Department of Investigation.

The New York City Comptroller is charged with the audit of concession agreements in New York City. Any person or entity that believes that there has been unfairness, favoritism or impropriety in the proposal process should inform the Comptroller's Office of Contract Administration, 1 Centre Street, Room 835, New York, New York 10007. This office may be reached at (212) 669-2323.

Mitchell J. Silver, FAICP
Commissioner

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

Doing Business Data Form

To be completed by the City agency prior to distribution

Agency: NYCDPR **Transaction ID:** CWP-2015-A

Check One:	Transaction Type (check one):		
☒ Proposal	☒ Concession	☐ Contract	☐ Economic Development Agreement
☐ Award	☐ Franchise	☐ Grant	☐ Pension Investment Contract

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

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

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

Section 1: Entity Information

Entity Name: _____

Entity EIN/TIN: _____

Entity Filing Status (select one):

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

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

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

Entity is a Non-Profit: ☐ Yes ☐ No

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

Address: _____

City: _____ State: _____ Zip: _____

Phone : _____ Fax : _____

E-mail: _____

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

Section 2: Principal Officers

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

Chief Executive Officer (CEO) or equivalent officer

☐ This position does not exist

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

First Name: _____ MI: ____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

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

Home Address: _____

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

Chief Financial Officer (CFO) or equivalent officer

☐ This position does not exist

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

First Name: _____ MI: ____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

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

Home Address: _____

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

Chief Operating Officer (COO) or equivalent officer

☐ This position does not exist

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

First Name: _____ MI: ____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

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

Home Address: _____

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

Section 3: Principal Owners

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

There are no owners listed because (select one):

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

☐ Other (explain): _____

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

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

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

Home Address: _____

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

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

Home Address: _____

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

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

Home Address: _____

Remove the following previously-reported Principal Owners:

Name: _____ Removal Date: _____

Name: _____ Removal Date: _____

Name: _____ Removal Date: _____

Section 4: Senior Managers

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

Senior Managers:

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

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

Home Address: _____

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

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

Home Address: _____

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

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

Home Address: _____

Remove the following previously-reported Senior Managers:

Name: _____ Removal Date: _____

Name: _____ Removal Date: _____

Certification

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

Name: _____

Signature: _____ Date: _____

Entity Name: _____

Title: _____ Work Phone #: _____

Please return this form to the City agency that supplied it to you, not to the Doing Business Accountability Project.

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

Printed on paper containing 30% post-consumer material