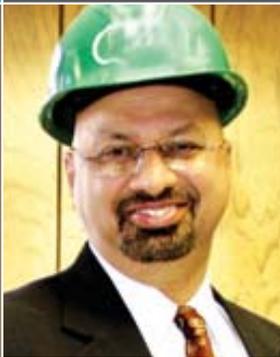


# NEW YORK CITY MINORITY AND WOMEN-OWNED ENTERPRISE PROGRAM CITY-WIDE PROGRESS REPORT

FISCAL YEAR 2009



**NYC**<sup>™</sup>  
Small Business  
Services

## **AGENCY MISSION**

Agency Mission: The Department of Small Business Services makes it easier for companies in New York City to form, do business and grow by providing direct assistance to business owners, fostering neighborhood development in commercial districts, promoting financial and economic opportunity among minority and women-owned businesses, preparing New Yorkers for jobs and linking employers with a skilled and qualified workforce.



# CITY-WIDE MINORITY AND WOMEN-OWNED ENTERPRISES PROGRESS REPORT

**INTRODUCTION ..... 4**

## **AGENCY M/WBE PROGRESS REPORTS**

Administration for Children’s Services..... 7

Department for the Aging..... 9

Department of Buildings ..... 11

Department of Citywide Administrative Services ..... 13

Department of Correction..... 15

Department of Design and Construction ..... 17

Department of Environmental Protection ..... 19

Department of Finance ..... 21

Department of Health and Mental Hygiene..... 23

Department of Homeless Services..... 25

Department of Information Technology & Telecommunications ..... 27

Department of Juvenile Justice ..... 29

Department of Parks & Recreation ..... 31

Department of Probation ..... 33

Department of Sanitation ..... 35

Department of Small Business Services ..... 37

Department of Transportation..... 39

Department of Youth and Community Development ..... 41

Fire Department..... 43

Housing Preservation and Development..... 45

Human Resource Administration ..... 47

Law Department ..... 49

Police Department ..... 51

**GLOSSARY ..... 53**

## INTRODUCTION

Access to opportunity and growth for New York City's minority and women-owned businesses has been a key priority for the Bloomberg administration. In December of 2005, Mayor Bloomberg signed Local Law 129, creating a new Minority and Women-owned Business Enterprise (M/WBE) program for the City of New York, which is administered by the Department of Small Business Services (SBS) and the Mayor's Office of Contract Services (MOCS). Local Law 129 is tailored to address the specific disparities identified in an economic disparity study the New York City Council released in 2005. The law establishes goals for the participation of Asian, Black, Hispanic, and Women-owned businesses on prime and sub-prime contracts under \$1 million for goods, professional services, construction and standard services.

The law also explicitly designates a three-year ramp-up period to build the foundation of the program. Implementation of the program began in the spring of 2006 and comprehensive data tracking started on July 1, 2006. SBS and MOCS developed a comprehensive strategy to increase the number of certified companies, train agency procurement staff and prime contractors on the provisions of the new law, match M/WBEs with contract opportunities, provide capacity-building services to certified firms, and ensure agency accountability. In addition, SBS launched the Online Directory of Certified Businesses to make it easier for firms to market their services and for agency buyers to find them. As the program's ramp-up phase concluded, SBS developed an account management team to work closely with City agencies to increase M/WBE utilization by matching certified companies to specific bidding opportunities.

Agencies are evaluated on progress made towards meeting goals as well as on the initiatives they have taken to comply with the requirements of Local Law 129. Holding agencies accountable during the three-year ramp-up period has meant ensuring that agencies were taking steps to increase M/WBE participation in the City's procurement process in the long-term. Agencies have proactively organized outreach activities, encouraged eligible businesses to apply for certification and to become listed on agencies' bidders lists, advertised contract opportunities, and implemented numerous other steps outlined in the law.

The City's efforts are paying off. During this three-year ramp-up period, the number of certified firms reached 2,200, up from 1,035 when the law took effect. The number and dollar value of contracts awarded to certified companies have steadily risen across all industries and dollar thresholds. Certified companies have competed for and won nearly 19,000 prime and sub-contracts valued at more than \$1.2 billion dollars. For comprehensive information on citywide procurement and the M/WBE Program, refer to the FY 2009 Agency Procurement Indicators report produced by the Mayor's Office of Contract Services at [www.nyc.gov/mocs](http://www.nyc.gov/mocs).

The City also continues to adopt new policies that will increase the participation of M/WBEs in the City's procurement process. In the past year, a procurement rule was amended to provide more certified firms an entry point to compete for opportunities under \$100,000. Additionally, certified firms now have greater access to the U.S. Small Business Administration's Bond Guarantee Program due to a change in the City's bond form. Finally, the Project Labor Agreements negotiated with the New York City building trades contain provisions that will create contract opportunities for more M/WBEs.

**THE M/WBE  
PROGRESS REPORT**

The City is making great strides towards meeting the Local Law 129 goals, but there is much more work to be done. The M/WBE Progress Report is an important step forward in promoting citywide transparency and accountability.

This Report provides contract data on each of the 23 mayoral agencies that awarded more than \$5 million dollars in procurements in Fiscal Year 2009. It serves as a performance management tool for agencies by isolating contracting areas that are subject to Local Law 129 and identifying how agencies have worked to increase M/WBE participation. The Report will be compiled annually by SBS with data and input from MOCS.

Each agency report is presented alphabetically and is structured into three sections:

- Procurement Summary
- M/WBE Utilization Performance
- Agency Action Items

**PROCUREMENT  
SUMMARY**

Located at the top of the first page is the Procurement Summary. This section describes the agency’s mission and the goods and services it frequently procures. This section also provides the number and value of all agency awards. It then distinguishes between contracts subject to Local Law 129 goals and those contracts that fall outside of the law’s purview<sup>1</sup>. Contracts subject to goals are divided into three categories:

- Contracts procured through the micro purchase method
- Contracts procured through the small purchase method
- Contracts procured through all other methods subject to Local Law 129  
(Competitive Sealed Bids and Requests for Proposals)

This section also identifies the total number of prime contracts subject to Local Law 129 subcontracting goals.

**M/WBE  
PERFORMANCE  
BREAKDOWN**

Located on the bottom of the first page and continuing through the second page is the M/WBE Performance Breakdown. This section indicates whether an agency has made ‘substantial progress’ towards meeting its Local Law 129 goals<sup>2</sup>. The goals themselves are aspirational and the method of procurement determines the degree of flexibility agencies have to meet the goals. During the three-year ramp-up period, agency performance is evaluated according to criteria that gauge all of an agency’s efforts to increase M/WBE participation.

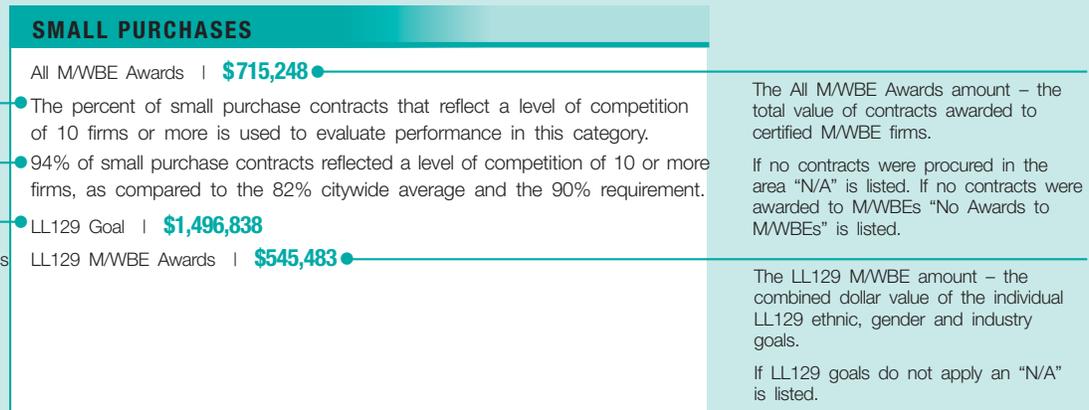
<sup>1</sup>See the Minority/Women-owned Business entry in the Glossary for the list of all the ethnic and gender goals by industry.

<sup>2</sup>Under federal constitutional law, Local Law 129 must be “narrowly tailored” to address the gender-and ethnic-based disparities identified in an economic disparity study, such as the one released by the City Council in 2005. Consequently, Local Law 129 does not establish quotas or rigid benchmarks under which a fixed number must be achieved, but sets goals and requires good-faith effort to come within the range established by the goal itself. Evaluating performance, therefore, involves determining whether an agency has made “substantial” or “adequate” progress toward meeting its goals, which entails an assessment of good-faith efforts and the reasons for non-attainment.

Substantial Progress performance is evaluated in four areas:

- Transparency, Outreach and Accessibility Initiatives | Agencies must initiate or continue three or more qualifying initiatives that promote the transparency of procurement practices and opportunities to MWBE firms; educate MWBEs about doing business with the City and getting certified; or increase the accessibility of contracts to M/WBEs.
- Micro Purchase Utilization Rate | MOCS and SBS established a 50% utilization goal for agencies.
- Level of Competition | When using the small purchase method, agencies must randomly select at least 10 vendors - 5 from the general bidders pool and a minimum of 5 from the City’s list of certified M/WBEs - at least 90% of the time.
- Administration of subcontracting goals | Agencies must correctly establish subcontracting goals and ensure that prime contractors adhere to performance expectations.

Each section in the M/WBE Performance Breakdown has the following components:



Progress towards goals is not evaluated if an agency has awarded fewer contracts subject to goals than there are goal categories. For example, an agency has three prime contracting goals in the professional service industry, for Hispanic-owned businesses, women-owned businesses, and Black-owned businesses, but the agency only awarded two professional contracts under the purview of the law. Therefore, too few contracts were awarded to evaluate performance in all goal categories and the Local Law 129 Goal amount and Local Law 129 M/WBE amount will be listed as “N/A”.

**ACTION PLAN**

Located at the bottom of the first page is the Action Plan. This section identifies specific steps an agency can undertake to improve its performance in goal areas. SBS works with agency staff and takes into account the particular purchasing environment of the agency and how successful strategies from other agencies may be implemented.



### ABOUT ACS

ACS ensures the safety and well-being of New York City's children by providing neighborhood-based and preventive services.

ACS typically purchases human services, including child care; standard services such as janitorial services, equipment repair and on-call maintenance services; and professional services such as consultant and engineer services.

### Procurement Summary

In FY 2009, ACS awarded 1,143 contracts totaling \$802.8 million.

#### CONTRACTS NOT SUBJECT TO GOALS

**98.56%** of the dollar value of contracts awarded fell outside the purview of LL129. This primarily included \$763.5 million in the human service industry, and an additional \$27.7 million in contract sizes greater than \$1 million and through procurement methods not covered under LL129.

VALUE OF  
FY 2009  
PROCUREMENTS

**\$791.3M**

#### CONTRACTS SUBJECT TO GOALS

**1.44%** of the dollar value of contracts awarded was subject to LL129 goals:

**Micro Purchases** | \$1.09 million, 429 contracts

**Small Purchases** | \$5.21 million, 134 contracts

**Contracts through other Methods** | \$5.25 million, 22 contracts

**\$11.5M**

**Subcontracts** | 4 contracts eligible for establishing subcontracting goals\*

*\*Prime contracts eligible for establishing subcontracting goals may not necessarily be subject to LL129 prime contracting goals*

### M/WBE Performance Breakdown

ACS made substantial progress towards meeting its LL129 M/WBE goals by implementing and continuing activities to increase transparency and outreach to M/WBE firms and by ensuring their ability to compete in LL129 goal areas.

#### TRANSPARENCY, OUTREACH, AND ACCESSIBILITY INITIATIVES

The number of activities to increase the transparency and accessibility of contract opportunities and outreach to M/WBE firms is used to evaluate performance in this category. ACS continued or implemented 3 or more initiatives to increase transparency and outreach to M/WBE firms.

- ▶ Coordinated efforts with SBS to encourage eligible vendors already doing business with the agency to get certified; mailed program brochures and called vendors
- ▶ Included M/WBE information in e-bulletins distributed to all 7,000 employees and in procurement forms to ensure consistent outreach to vendors
- ▶ Performed audit of FY 2009 small and micro purchases to assess areas for increased M/WBE utilization
- ▶ Advertised solicitations in minority publications
- ▶ Staff attended Procurement Training Institute sessions sponsored by SBS and MOCS
- ▶ Participated in events with targeted outreach to M/WBEs

### ACTION PLAN

#### STEPS TO IMPROVE PERFORMANCE IN 2010:

- ✓ **Work with SBS to encourage eligible consultants already doing business with the agency to get certified**
- ✓ **Contact SBS to help identify qualified M/WBEs for all small purchase solicitations**

## M/WBE Performance Breakdown (continued)

VALUE OF  
FY 2009  
PROCUREMENTS

**\$791.3M**

PRIME CONTRACTS  
**\$7,113,121**  
51 M/WBE FIRMS

**\$11.5M**

Overall, ACS awarded 51 M/WBE firms a total of \$7,113,121 in prime awards; 10% of this dollar value was applicable to LL129 goals.

### MICRO PURCHASES

All M/WBE Awards | **\$159,867**

The utilization rate of M/WBE firms is used to evaluate performance in this category. ACS achieved a 15% utilization rate, as compared to the 15% citywide average and the 50% goal.

LL129 Goal | **\$543,410**

LL129 M/WBE Awards | **\$159,867**

### SMALL PURCHASES

All M/WBE Awards | **\$715,248**

The percent of small purchase contracts that reflect a level of competition of 10 firms or more is used to evaluate performance in this category. 94% of small purchase contracts reflected a level of competition of 10 or more firms, as compared to the 82% citywide average and the 90% requirement.

LL129 Goal | **\$1,496,838**

LL129 M/WBE Awards | **\$545,483**

### SUBCONTRACTS

All M/WBE Awards | **No awards to M/WBEs**

The M/WBE subcontracting goals set by the agency and the M/WBE utilization rate achieved by the prime contractor are used to evaluate performance in this category. ACS set construction subcontracting goals higher than the \$19,671 value of the citywide goals. ACS set professional service subcontracting goals higher than the \$114,375 value of the citywide goals.

#### Construction Services

All M/WBE Awards | **No awards to M/WBEs**

1 contract was eligible for establishing M/WBE subcontracting goals. Goals were established for a projected total of \$20,201 in subcontracts to M/WBEs. The anticipated subcontracting had not been awarded by the close of FY 2009.

LL129 Goal | **\$20,201**

LL129 M/WBE Awards | **\$0**

#### Professional Services

All M/WBE Awards | **No awards to M/WBEs**

3 contracts were eligible for establishing M/WBE subcontracting goals. Goals were established on all 3 for a projected total of \$138,750 in subcontracts to M/WBEs. The anticipated subcontracting had not been awarded by the close of FY 2009.

LL129 Goal | **\$138,750**

LL129 M/WBE Awards | **\$0**

### CONTRACTS THROUGH OTHER METHODS

All M/WBE Awards: **\$6,238,006**

In this category, agencies have limited ability to impact the number of awards to M/WBEs beyond the initiatives listed on the previous page. The following breakdown summarizes contract opportunities and M/WBE awards by industry.

Construction Services	Professional Services	Standard Services	Goods
<p>All M/WBE Awards   <b>No awards to M/WBEs</b></p> <p>The number of contracts is too few to evaluate performance across all goal categories. 1 of the 2 construction service contracts was subject to LL129.</p> <p>LL129 Goal   <b>N/A</b></p> <p>LL129 M/WBE Awards   <b>N/A</b></p>	<p>All M/WBE Awards   <b>\$5,756,380</b></p> <p>11 of the 22 professional service contracts were subject to LL129, predominately procured to extend existing contracts.</p> <p>LL129 Goal   <b>\$495,764</b></p> <p>LL129 M/WBE Awards   <b>\$2,000</b></p>	<p>All M/WBE Awards   <b>\$456,626</b></p> <p>10 of the 34 standard service contracts were subject to LL129, predominately procured through competitive sealed bid.</p> <p>LL129 Goal   <b>\$742,786</b></p> <p>LL129 M/WBE Awards   <b>\$0</b></p>	<p>All M/WBE Awards   <b>\$25,000</b></p> <p>The number of contracts is too few to evaluate performance across all goal categories. None of the 17 goods contracts were subject to LL129. In its role as the administrative arm of New York City government, DCAS procures most goods contracts valued over \$100 thousand on behalf of other city agencies.</p> <p>LL129 Goal   <b>N/A</b></p> <p>LL129 M/WBE Awards   <b>N/A</b></p>



### ABOUT DFTA

DFTA works for the empowerment, independence, dignity and quality of life of New York City's diverse older adults and for the support of their families through advocacy, education and the coordination and delivery of services.

DFTA typically purchases human services, including home care; standard services such as transportation; and professional services such as legal and auditing services.

### Procurement Summary

In FY 2009, DFTA awarded 2,194 contracts totaling \$267.8 million.

#### CONTRACTS NOT SUBJECT TO GOALS

**99.36%** of the dollar value of procurements awarded fell outside the purview of LL129. This primarily included \$265 million in the human service industry and an additional \$1.1 million in contract sizes greater than \$1 million and through procurement methods not covered under LL129.

VALUE OF  
FY 2009  
PROCUREMENTS

**\$266.1 M**

#### CONTRACTS SUBJECT TO GOALS

**0.64%** of the dollar value of procurements awarded was subject to LL129 goals:

**Micro Purchases** | \$772,072, 337 contracts

**Small Purchases** | \$848,652, 19 contracts

**Contracts through other Methods** | \$92,075, 6 contracts

**\$1.7 M**

**Subcontracts** | No contracts eligible for establishing subcontracting goals

### M/WBE Performance Breakdown

DFTA made substantial progress towards meeting its LL129 M/WBE goals by implementing and continuing activities to increase transparency and outreach to M/WBE firms and by ensuring their ability to compete in LL129 goal areas.

#### TRANSPARENCY, OUTREACH, AND ACCESSIBILITY INITIATIVES

The number of activities to increase the transparency and accessibility of contract opportunities and outreach to M/WBE firms is used to evaluate performance in this category. DFTA continued or implemented 3 or more initiatives to increase transparency and outreach to M/WBE firms.

- ▶ Encouraged all inquirers seeking contract opportunities to register with SBS or partner with an M/WBE
- ▶ Distributed M/WBE program brochures with Requests For Proposals
- ▶ Advertised solicitations in minority publications and notified community based organizations about the M/WBE program
- ▶ Distributed M/WBE program information to all unit directors and executive staff
- ▶ Held meeting with senior staff to encourage contracting with MWBE vendors
- ▶ Continued quarterly compliance review of M/WBE utilization
- ▶ Provided debriefing to unsuccessful M/WBE bidders
- ▶ Increased solicitation of M/WBEs for small purchases
- ▶ Staff attended Procurement Training Institute sessions sponsored by SBS and MOCS
- ▶ Participated in events with targeted outreach to M/WBEs

### ACTION PLAN

#### STEPS TO IMPROVE PERFORMANCE IN 2010:

- ✓ **Work with SBS to encourage eligible consultants already doing business with the agency to get certified**
- ✓ **Contact SBS to learn more about best practices from other agencies**

## M/WBE Performance Breakdown (continued)

VALUE OF  
FY 2009  
PROCUREMENTS

**\$266.1 M**

PRIME CONTRACTS  
**\$437,821**  
12 M/WBE FIRMS

**\$1.7 M**

Overall, DFTA awarded 12 M/WBE firms a total of \$437,821 in prime awards; 64% of this dollar value was applicable to LL129 goals.

### MICRO PURCHASES

All M/WBE Awards | **\$104,312**

The utilization rate of M/WBE firms is used to evaluate performance in this category. DFTA achieved a 14% utilization rate, as compared to the 15% citywide average and the 50% goal.

LL129 Goal | **\$386,036**

LL129 M/WBE Awards | **\$104,312**

### SMALL PURCHASES

All M/WBE Awards | **\$294,945**

The percent of small purchase contracts that reflect a level of competition of 10 firms or more is used to evaluate performance in this category. 73% of small purchase contracts reflected a level of competition of 10 or more firms, as compared to the 82% citywide average and the 90% requirement.

LL129 Goal | **\$240,810**

LL129 M/WBE Awards | **\$174,950**

### SUBCONTRACTS

All M/WBE Awards | **No awards to M/WBEs**

The M/WBE subcontracting goals set by the agency and the M/WBE utilization rate achieved by the prime contractor are used to evaluate performance in this category. None of the awarded prime contracts were eligible for setting LL129 subcontracting goals.

#### Construction Services

All M/WBE Awards | **No awards to M/WBEs**

No contracts were eligible for establishing M/WBE construction subcontracting goals.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

#### Professional Services

All M/WBE Awards | **No awards to M/WBEs**

No contracts were eligible for establishing M/WBE professional service subcontracting goals.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

### CONTRACTS THROUGH OTHER METHODS

All M/WBE Awards | **\$38,564**

In this category, agencies have limited ability to impact the number of awards to M/WBEs beyond the initiatives listed on the previous page. The following breakdown summarizes contract opportunities and M/WBE awards by industry.

#### Construction Services

All M/WBE Awards | **\$12,164**

The number of contracts is too few to evaluate performance across all goal categories. The single construction service contract awarded was not subject to LL129.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

#### Professional Services

All M/WBE Awards | **\$26,400**

6 of the 17 professional service contracts were subject to LL129, predominately procured to extend existing contracts.

LL129 Goal | **\$28,083**

LL129 M/WBE Awards | **\$1,400**

#### Standard Services

All M/WBE Awards | **No awards to M/WBEs**

The number of contracts is too few to evaluate performance across all goal categories. None of the 14 standard service contracts were subject to LL129.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

#### Goods

All M/WBE Awards | **No awards to M/WBEs**

The number of contracts is too few to evaluate performance across all goal categories. None of the 19 goods contracts were subject to LL129. In its role as the administrative arm of New York City government, DCAS procures most goods contracts valued over \$100 thousand on behalf of other city agencies.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

## ABOUT DOB

DOB ensures the safe and lawful use of buildings and properties by enforcing the building code and zoning regulation.

DOB typically purchases goods such as IT software and office supplies and standard services such as materials testing, printer maintenance, and license examination services.

## Procurement Summary

In FY 2009, DOB awarded 220 contracts totaling \$17.2 million.

### CONTRACTS NOT SUBJECT TO GOALS

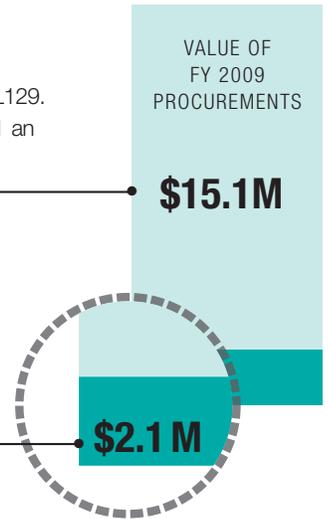
**87.73%** of the dollar value of contracts awarded fell outside the purview of LL129. This primarily included \$10.3 million in contract sizes greater than \$1 million and an additional \$4.7 million through procurement methods not covered under LL129.

### CONTRACTS SUBJECT TO GOALS

**12.27%** of the dollar value of contracts awarded was subject to LL129 goals:

- Micro Purchases** | \$203,739, 103 contracts
- Small Purchases** | \$1.84 million, 62 contracts
- Contracts through other Methods** | \$63,670, 5 contracts

**Subcontracts** | No contracts eligible for establishing subcontracting goals



## ACTION PLAN

### STEPS TO IMPROVE PERFORMANCE IN 2010:

- ✓ **Contact SBS to help identify qualified M/WBEs for all small purchase solicitations**
- ✓ **Promote your contract opportunities to M/WBEs through targeted outreach events**
- ✓ **Encourage consistent use of the M/WBE Online Directory and other SBS resources by authorized P-Card users**

## M/WBE Performance Breakdown

DOB made substantial progress towards meeting its LL129 M/WBE goals by implementing and continuing activities to increase transparency and outreach to M/WBE firms and by ensuring their ability to compete in LL129 goal areas.

### TRANSPARENCY, OUTREACH, AND ACCESSIBILITY INITIATIVES

The number of activities to increase the transparency and accessibility of contract opportunities and outreach to M/WBE firms is used to evaluate performance in this category. DOB continued or implemented 3 or more initiatives to increase transparency and outreach to M/WBE firms.

- ▶ Encouraged vendors already doing business with the agency to get certified
- ▶ Distributed procurement information packages to vendors
- ▶ Included M/WBE program language in all solicitations
- ▶ Increased solicitation of M/WBEs for micro and small purchases
- ▶ Staff attended Procurement Training Institute sessions sponsored by SBS and MOCS
- ▶ Participated in events with targeted outreach to M/WBEs

## M/WBE Performance Breakdown (continued)

VALUE OF  
FY 2009  
PROCUREMENTS

**\$15.1M**

PRIME CONTRACTS  
**\$1,342,825**  
29 M/WBE FIRMS

**\$2.1 M**

Overall, DOB awarded 29 M/WBE firms a total of \$1,342,825 in prime awards; 29% of this dollar value was applicable to LL129 goals.

DOB rarely procures contracts in the construction sector and therefore does not set LL129 construction prime or subcontracting goals.

### MICRO PURCHASES

All M/WBE Awards | **\$54,244**

The utilization rate of M/WBE firms is used to evaluate performance in this category. DOB achieved a 27% utilization rate, as compared to the 15% citywide average and the 50% goal.

LL129 Goal | **\$ 101,865**

LL129 M/WBE Awards | **\$54,244**

### SMALL PURCHASES

All M/WBE Awards | **\$432,369**

The percent of small purchase contracts that reflect a level of competition of 10 firms or more is used to evaluate performance in this category. 73% of small purchase contracts reflected a level of competition of 10 or more firms, as compared to the 82% citywide average and the 90% requirement.

LL129 Goal | **\$554,921**

LL129 M/WBE Awards | **\$332,369**

### SUBCONTRACTS

All M/WBE Awards | **No awards to M/WBEs**

The M/WBE subcontracting goals set by the agency and the M/WBE utilization rate achieved by the prime contractor are used to evaluate performance in this category. None of the awarded prime contracts were eligible for setting LL129 subcontracting goals.

#### Construction Services

All M/WBE Awards | **No awards to M/WBEs**

No contracts were eligible for establishing M/WBE construction subcontracting goals.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

#### Professional Services

All M/WBE Awards | **No awards to M/WBEs**

No contracts were eligible for establishing M/WBE professional service subcontracting goals.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

### CONTRACTS THROUGH OTHER METHODS

All M/WBE Awards | **\$856,211**

In this category, agencies have limited ability to impact the number of awards to M/WBEs beyond the initiatives listed on the previous page. The following breakdown summarizes contract opportunities and M/WBE awards by industry.

#### Construction Services

All M/WBE Awards | **N/A**

No construction service contracts were procured in FY 2009.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

#### Professional Services

All M/WBE Awards | **\$756,186**

The number of contracts is too few to evaluate performance across all goal categories. 1 of the 12 professional service contracts was subject to LL129.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

#### Standard Services

All M/WBE Awards | **\$100,025**

4 of the 22 standard service contracts were subject to LL129, predominately procured to extend existing contracts.

LL129 Goal | **\$7,736**

LL129 M/WBE Awards | **\$0**

#### Goods

All M/WBE Awards |

**No awards to M/WBEs**

The number of contracts is too few to evaluate performance across all goal categories. None of the 20 goods contracts were subject to LL129. In its role as the administrative arm of New York City government, DCAS procures most goods contracts valued over \$100 thousand on behalf of other city agencies.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

### ABOUT DCAS

DCAS provides critical resources to City agencies by helping them manage their personnel, facilities, real estate, procurement and security needs so that the City can effectively function and provide the best possible services to the public.

DCAS typically purchases construction and construction related services; standard services such as security services; and goods such as uniforms, janitorial equipment & supplies, books, motor vehicle parts and IT software and hardware.

## Procurement Summary

In FY 2009, DCAS awarded 1,648 contracts totaling \$651.7 million.

### CONTRACTS NOT SUBJECT TO GOALS

**87.69%** of the dollar value of contracts awarded fell outside the purview of LL129. This primarily included \$560.1 million in contract sizes greater than \$1 million and an additional \$11.3 million through procurement methods not covered under LL129.

VALUE OF  
FY 2009  
PROCUREMENTS

**\$571.5M**

### CONTRACTS SUBJECT TO GOALS

**12.31%** of the dollar value of contracts awarded was subject to LL129 goals:

**Micro Purchases** | \$1.17 million, 693 contracts

**Small Purchases** | \$5.50 million, 168 contracts

**Contracts through other Methods** | \$73.52 million, 302 contracts

**\$80.2M**

**Subcontracts** | 12 contracts eligible for establishing subcontracting goals\*

\*Prime contracts eligible for establishing subcontracting goals may not necessarily be subject to LL129 prime contracting goals

## M/WBE Performance Breakdown

DCAS made substantial progress towards meeting its LL129 M/WBE goals by implementing and continuing activities to increase transparency and outreach to M/WBE firms and by ensuring their ability to compete in LL129 goal areas.

### TRANSPARENCY, OUTREACH, AND ACCESSIBILITY INITIATIVES

The number of activities to increase the transparency and accessibility of contract opportunities and outreach to M/WBE firms is used to evaluate performance in this category. DCAS continued or implemented 3 or more initiatives to increase transparency and outreach to M/WBE firms.

- ▶ Referred several companies to SBS for certification
- ▶ Advertised solicitations in minority publications
- ▶ Continued compliance tracking and reporting for micro and small purchases
- ▶ Discussed M/WBE subcontractor utilization goals and requirements at pre-bid and pre-award meetings
- ▶ Referred prime contractors to SBS for assistance in locating M/WBE subcontractors.
- ▶ Held one-on-one and group meetings with M/WBEs. Worked closely with potential M/WBE subcontractors to assist with any issues preventing them from being approved to work on DCAS projects
- ▶ Increased solicitation of M/WBEs for small purchases
- ▶ Shared best practices for M/WBE utilization with other agency staff at two SBS and MOCS sponsored training sessions
- ▶ Staff attended Procurement Training Institute sessions sponsored by SBS and MOCS
- ▶ Participated and hosted events with targeted outreach to M/WBEs

### ACTION PLAN

#### STEPS TO IMPROVE PERFORMANCE IN 2010:

- ✓ Continue to work with SBS on monitoring performance on Small Purchase awards
- ✓ Work with SBS to share best practices with other agencies

## M/WBE Performance Breakdown (continued)

VALUE OF  
FY 2009  
PROCUREMENTS

**\$571.5M**

PRIME CONTRACTS  
**\$18,295,772**  
103 M/WBE FIRMS

**\$80.2M**

Overall, DCAS awarded 103 M/WBE firms a total of \$18,295,772 in prime awards; 14% of this dollar value was applicable to LL129 goals.

In addition, 16 M/WBE firms won a total of \$4,276,511 in subcontracts, of which \$2,745,521 was applicable to subcontracting goals.

The Division of Municipal Supply Services procures the City's requirements contracts for various goods including office supplies.

### MICRO PURCHASES

All M/WBE Awards | **\$713,104**

The utilization rate of M/WBE firms is used to evaluate performance in this category. DCAS achieved a 61% utilization rate, as compared to the 15% citywide average and the 50% goal.

LL129 Goal | **\$585,021**

LL129 M/WBE Awards | **\$713,104**

### SMALL PURCHASES

All M/WBE Awards | **\$900,668**

The percent of small purchase contracts that reflect a level of competition of 10 firms or more is used to evaluate performance in this category. 90% of small purchase contracts reflected a level of competition of 10 or more firms, as compared to the 82% citywide average and the 90% requirement.

LL129 Goal | **\$1,665,716**

LL129 M/WBE Awards | **\$555,668**

### SUBCONTRACTS

All M/WBE Awards | **\$4,276,511**

The M/WBE subcontracting goals set by the agency and the M/WBE utilization rate achieved by the prime contractor are used to evaluate performance in this category. DCAS set construction subcontracting goals lower than the \$2,914,086 value of the citywide goals. DCAS set professional service subcontracting goals higher than the \$1,316,001 value of the citywide goals.

#### Construction Services

All M/WBE Awards | **\$1,762,811**

DCAS awarded \$1,762,811 in construction subcontracts to M/WBE firms. 9 contracts were eligible for establishing M/WBE subcontracting goals. Goals were established on all 9 for a projected total of \$2,899,123 in subcontracts to M/WBEs. The anticipated subcontracting will not begin until FY 2010.

LL129 Goal | **\$2,899,123**

LL129 M/WBE Awards | **\$560,355**

#### Professional Services

All M/WBE Awards | **\$2,513,700**

DCAS awarded \$2,513,700 in professional services subcontracts to M/WBE firms. 3 contracts were eligible for establishing M/WBE subcontracting goals. Of those contracts, goals were established on 2 for a projected total of \$1,337,575 in subcontracts to M/WBEs. The remaining contract had no anticipated subcontracting in goal areas. M/WBE subcontract awards in goal categories surpassed the LL129 goal.

LL129 Goal | **\$1,337,575**

LL129 M/WBE Awards | **\$2,185,166**

### CONTRACTS THROUGH OTHER METHODS

All M/WBE Awards | **\$16,682,000**

In this category, agencies have limited ability to impact the number of awards to M/WBEs beyond the initiatives listed on the previous page. The following breakdown summarizes contract opportunities and M/WBE awards by industry.

#### Construction Services

All M/WBE Awards | **\$10,592,396**

5 of the 61 construction service contracts were subject to LL129, predominately procured to extend existing contracts.

LL129 Goal | **\$194,044**

LL129 M/WBE Awards | **\$0**

#### Professional Services

All M/WBE Awards |  
**No awards to M/WBEs**

The number of contracts is too few to evaluate performance across all goal categories. 2 of the 29 professional service contracts were subject to LL129.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

#### Standard Services

All M/WBE Awards | **\$1,552,546**

8 of the 83 standard service contracts were subject to LL129, predominately procured through competitive sealed bid.

LL129 Goal | **\$967,538**

LL129 M/WBE Awards | **\$471,975**

#### Goods

All M/WBE Awards | **\$4,537,058**

287 of the 612 goods contracts were subject to LL129, predominately procured through competitive sealed bid. In its role as the administrative arm of New York City government, DCAS procures most goods contracts valued over \$100 thousand on behalf of other city agencies.

LL129 Goal | **\$24,326,631**

LL129 M/WBE Awards | **\$817,116**



### ABOUT DOC

DOC maintains and operates 14 correctional facilities as well as court detention facilities and hospital prison wards. DOC also provides transportation for city inmates and burial services for the indigent in the city cemetery.

DOC typically purchases construction services; standard services, including sewer cleaning; and goods such as building construction materials, telephones and security items.

### Procurement Summary

In FY 2009, DOC awarded 1,043 contracts totaling \$34.1 million.

#### CONTRACTS NOT SUBJECT TO GOALS

**58.72%** of the dollar value of contracts awarded fell outside the purview of LL129. This primarily included \$11.3 million in contract sizes greater than \$1 million and an additional \$8.7 million in the human service industry and through procurement methods not covered under LL129.

VALUE OF  
FY 2009  
PROCUREMENTS

**\$20.0M**

#### CONTRACTS SUBJECT TO GOALS

**41.28%** of the dollar value of contracts awarded was subject to LL129 goals:

**Micro Purchases** | \$1.68 million, 633 contracts

**Small Purchases** | \$7.12 million, 252 contracts

**Contracts through other Methods** | \$5.26 million, 12 contracts

**\$14.1M**

**Subcontracts** | 2 contracts eligible for establishing subcontracting goals\*

\*Prime contracts eligible for establishing subcontracting goals may not necessarily be subject to LL129 prime contracting goals

### M/WBE Performance Breakdown

DOC made substantial progress towards meeting its LL129 M/WBE goals by implementing and continuing activities to increase transparency and outreach to M/WBE firms and by ensuring their ability to compete in LL129 goal areas.

#### TRANSPARENCY, OUTREACH, AND ACCESSIBILITY INITIATIVES

The number of activities to increase the transparency and accessibility of contract opportunities and outreach to M/WBE firms is used to evaluate performance in this category. DOC continued or implemented 3 or more initiatives to increase transparency and outreach to M/WBE firms.

- ▶ Encouraged vendors already doing business with the agency to get certified
- ▶ Discussed M/WBE program at pre-bid and pre-proposal conferences and M/WBE requirements at post-registration meetings
- ▶ Followed-up with M/WBEs who did not respond to micro and small purchase solicitations
- ▶ Increased solicitation of M/WBEs for small and micro purchases
- ▶ Conducted in-house staff training on M/WBE initiatives
- ▶ Staff attended Procurement Training Institute sessions sponsored by SBS and MOCS
- ▶ Participated in events that targeted outreach to M/WBEs

### ACTION PLAN

#### STEPS TO IMPROVE PERFORMANCE IN 2010:

- ✓ **Work with SBS to encourage eligible consultants already doing business with the agency to get certified**
- ✓ **Promote your contract opportunities to M/WBEs through a targeted outreach event**
- ✓ **Monitor prime contractors with M/WBE subcontractor utilization plans and ensure that certified subcontractors are being used accordingly.**

## M/WBE Performance Breakdown (continued)

VALUE OF  
FY 2009  
PROCUREMENTS

**\$20.0M**

**\$14.1M**

PRIME CONTRACTS  
**\$837,971**  
51 M/WBE FIRMS

Overall, DOC awarded 51 M/WBE firms a total of \$837,971 in prime awards; 98% of this dollar value was applicable to LL129 goals.

In addition, 1 M/WBE firm won a total of \$600,000 in subcontracts, of which none was applicable to subcontracting goals.

.....  
DOC rarely procures goods over \$100 thousand and therefore does not set LL129 goods goals.

### MICRO PURCHASES

All M/WBE Awards | **\$223,733**

The utilization rate of M/WBE firms is used to evaluate performance in this category. DOC achieved a 13% utilization rate, as compared to the 15% citywide average and the 50% goal.

LL129 Goal | **\$840,723**  
LL129 M/WBE Awards | **\$223,733**

### SMALL PURCHASES

All M/WBE Awards | **\$610,187**

The percent of small purchase contracts that reflect a level of competition of 10 firms or more is used to evaluate performance in this category. 92% of small purchase contracts reflected a level of competition of 10 or more firms, as compared to the 82% citywide average and the 90% requirement.

LL129 Goal | **\$2,305,675**  
LL129 M/WBE Awards | **\$598,907**

### SUBCONTRACTS

All M/WBE Awards | **\$600,000**

The M/WBE subcontracting goals set by the agency and the M/WBE utilization rate achieved by the prime contractor are used to evaluate performance in this category. No M/WBE subcontracting goals were established as there was no subcontracting anticipated in goal areas.

#### Construction Services

All M/WBE Awards | **\$600,000**  
DOC awarded \$600,000 in construction subcontracts to M/WBE firms. No contracts were eligible for establishing M/WBE construction subcontracting goals.

LL129 Goal | **N/A**  
LL129 M/WBE Awards | **N/A**

#### Professional Services

All M/WBE Awards | **No awards to M/WBEs**  
2 contracts were eligible for establishing M/WBE subcontracting goals. No goals were established. The contracts had no anticipated subcontracting in goal areas.

LL129 Goal | **N/A**  
LL129 M/WBE Awards | **N/A**

### CONTRACTS THROUGH OTHER METHODS

All M/WBE Awards | **\$4,051**

In this category, agencies have limited ability to impact the number of awards to M/WBEs beyond the initiatives listed on the previous page. The following breakdown summarizes contract opportunities and M/WBE awards by industry.

#### Construction Services

All M/WBE Awards | **No awards to M/WBEs**

4 of the 6 construction service contracts were subject to LL129, predominately procured to extend existing contracts.

LL129 Goal | **\$219,222**  
LL129 M/WBE Awards | **\$0**

#### Professional Services

All M/WBE Awards | **No awards to M/WBEs**

The number of contracts is too few to evaluate performance across all goal categories. 3 of the 4 professional service contracts were subject to LL129.

LL129 Goal | **N/A**  
LL129 M/WBE Awards | **N/A**

#### Standard Services

All M/WBE Awards | **No awards to M/WBEs**

4 of the 38 standard service contracts were subject to LL129, predominately procured through competitive sealed bid.

LL129 Goal | **\$742,752**  
LL129 M/WBE Awards | **\$0**

#### Goods

All M/WBE Awards | **\$4,051**

The number of contracts is too few to evaluate performance across all goal categories. 1 of the 91 goods contracts was subject to LL129. In its role as the administrative arm of New York City government, DCAS procures most goods contracts valued over \$100 thousand on behalf of other city agencies.

LL129 Goal | **N/A**  
LL129 M/WBE Awards | **N/A**



### ABOUT DDC

DDC manages the City's major capital construction projects. The Department uses in-house resources, private consultants and contractors to perform design and construction services.

DDC typically purchases professional services such as engineering, design and construction management services; goods, such as furniture; and construction services such as HVAC, plumbing and electrical services. Subcontracting opportunities include painting, asbestos abatement, carpentry, masonry, demolition and excavation.

### ACTION PLAN

#### STEPS TO IMPROVE PERFORMANCE IN 2010:

- ✓ **Promote your micro purchase opportunities to M/WBEs through targeted outreach activities**
- ✓ **Contact SBS to help identify qualified M/WBEs for all small purchase solicitations**
- ✓ **Work with SBS to encourage eligible consultants already doing business with the agency to get certified**

## Procurement Summary

In FY 2009, DDC awarded 1,048 contracts totaling \$965.0 million.

### CONTRACTS NOT SUBJECT TO GOALS

**96.98%** of the dollar value of contracts awarded fell outside the purview of LL129. This primarily included \$890 million in contract sizes greater than \$1 million and an additional \$45.8 million through procurement methods not covered under LL129.

VALUE OF  
FY 2009  
PROCUREMENTS

**\$935.8 M**

### CONTRACTS SUBJECT TO GOALS

**3.02%** of the dollar value of contracts awarded was subject to LL129 goals:

**Micro Purchases** | \$544.465, 269 contracts

**Small Purchases** | \$997,604, 56 contracts

**Contracts through other Methods** | \$27.62 million, 181 contracts

**Subcontracts** | 101 contracts eligible for establishing subcontracting goals\*

\*Prime contracts eligible for establishing subcontracting goals may not necessarily be subject to LL129 prime contracting goals

**\$29.2 M**

## M/WBE Performance Breakdown

DDC made substantial progress towards meeting its LL129 M/WBE goals by implementing and continuing activities to increase transparency and outreach to M/WBE firms and by ensuring their ability to compete in LL129 goal areas.

### TRANSPARENCY, OUTREACH, AND ACCESSIBILITY INITIATIVES

The number of activities to increase the transparency and accessibility of contract opportunities and outreach to M/WBE firms is used to evaluate performance in this category. DDC continued or implemented 3 or more initiatives to increase transparency and outreach to M/WBE firms.

- ▶ Encouraged vendors already doing business with the agency to get certified
- ▶ Continued posting M/WBE program information and link to SBS website on agency website
- ▶ Enhanced transparency of the procurement process by making the plan holders list available on the website
- ▶ Instituted quarterly meetings with MWBE firms who submitted bids on agency projects
- ▶ Increased solicitation of M/WBEs for small purchases
- ▶ Trained agency procurement and program staff in-house on the M/WBE program
- ▶ Staff attended Procurement Training Institute sessions sponsored by SBS and MOCS
- ▶ Participated in events with targeted outreach to M/WBEs
- ▶ Participated in workshop to inform M/WBEs about City procurement policies

## M/WBE Performance Breakdown (continued)

VALUE OF  
FY 2009  
PROCUREMENTS

**\$935.8 M**

PRIME CONTRACTS  
**\$80,439,156**  
33 M/WBE FIRMS

**\$29.2 M**

Overall, DDC awarded 33 M/WBE firms a total of \$80,439,156 in prime awards, none applicable to LL129 goals.

In addition, 95 M/WBE firms won a total of \$32,164,765 in subcontracts, of which \$8,095,877 was applicable to subcontracting goals.

DDC rarely procures in the standard service industry and therefore does not set LL129 standard service goals.

The large contract sizes, specialized work, and state and federal funding sources preclude many of DDC's construction and professional service procurements from LL129 goals. However, city certified firms who qualify under state and federal M/WBE or DBE programs participate in DDC's subcontracting opportunities.

### MICRO PURCHASES

All M/WBE Awards | **\$39,964**

The utilization rate of M/WBE firms is used to evaluate performance in this category. DDC achieved a 7% utilization rate, as compared to the 15% citywide average and the 50% goal.

LL129 Goal | **\$272,232**

LL129 M/WBE Awards | **\$39,964**

### SMALL PURCHASES

All M/WBE Awards | **\$63,233**

The percent of small purchase contracts that reflect a level of competition of 10 firms or more is used to evaluate performance in this category. 95% of small purchase contracts reflected a level of competition of 10 or more firms, as compared to the 82% citywide average and the 90% requirement.

LL129 Goal | **\$304,086**

LL129 M/WBE Awards | **\$63,233**

### SUBCONTRACTS

All M/WBE Awards | **\$32,164,765**

The M/WBE subcontracting goals set by the agency and the M/WBE utilization rate achieved by the prime contractor are used to evaluate performance in this category. DDC set construction subcontracting goals higher than the \$19,187,608 value of the citywide goals. DDC set professional service subcontracting goals higher than the \$4,311,445 value of the citywide goals.

#### Construction Services

All M/WBE Awards | **\$31,307,255**

DDC awarded \$31,307,255 in construction subcontracts to M/WBE firms. 54 contracts were eligible for establishing M/WBE subcontracting goals. Of those contracts, goals were established on 41 for a projected total of \$33,634,855 in subcontracts to M/WBEs. The remaining contracts either had no anticipated subcontracting in city, state, or federal goal areas, or had approved waivers. Over \$8 million had been awarded to M/WBEs in goal areas by the close of FY 2009. Additional subcontracts will begin in FY 2010 or have yet to be identified by the prime contractor.

LL129 Goal | **\$33,634,855**

LL129 M/WBE Awards | **\$8,020,877**

#### Professional Services

All M/WBE Awards | **\$286,660**

DDC awarded \$286,660 in professional services subcontracts to M/WBE firms. 47 contracts were eligible for establishing M/WBE subcontracting goals. Of those contracts, goals were established on 31 for a projected total of \$7,363,836 in subcontracts to M/WBEs. The remaining contracts either had no anticipated subcontracting in city, state, or federal goal areas, or had approved waivers. \$75,000 had been awarded to M/WBEs in goal areas by the close of FY 2009. Additional subcontracts will begin in FY 2010.

LL129 Goal | **\$7,363,836**

LL129 M/WBE Awards | **\$75,000**

### CONTRACTS THROUGH OTHER METHODS

All M/WBE Awards | **\$80,335,959**

In this category, agencies have limited ability to impact the number of awards to M/WBEs beyond the initiatives listed on the previous page. The following breakdown summarizes contract opportunities and M/WBE awards by industry.

#### Construction Services

All M/WBE Awards | **\$36,505,174**

167 of the 496 construction service contracts were subject to LL129, predominately procured to extend existing contracts.

LL129 Goal | **\$4,775,595**

LL129 M/WBE Awards | **\$0**

#### Professional Services

All M/WBE Awards | **\$43,738,100**

14 of the 167 professional service contracts were subject to LL129, predominately procured by request for proposals and to extend existing contracts.

LL129 Goal | **\$1,709,688**

LL129 M/WBE Awards | **\$0**

#### Standard Services

All M/WBE Awards |

**No awards to M/WBEs**

The number of contracts is too few to evaluate performance across all goal categories. None of the 20 standard service contracts were subject to LL129.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

#### Goods

All M/WBE Awards | **\$92,685**

The number of contracts is too few to evaluate performance across all goal categories. None of the 33 goods contracts were subject to LL129. In its role as the administrative arm of New York City government, DCAS procures most goods contracts valued over \$100 thousand on behalf of other city agencies.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**



### ABOUT DEP

DEP manages the City's water supply, protecting the environmental health, welfare and natural resources of the City and its residents.

DEP typically purchases professional services, including design consultant and engineering services; construction services, including heavy construction; goods such as paint, safety equipment and supplies; and standard services such as maintenance and repair services. Subcontracting opportunities available through DEP include IT consulting and construction trades.

## Procurement Summary

In FY 2009, DEP awarded 5,446 contracts totaling \$2.5 billion.

### CONTRACTS NOT SUBJECT TO GOALS

**97.86%** of the dollar value of contracts awarded fell outside the purview of LL129. This primarily included \$2.4 billion in contract sizes greater than \$1 million and an additional \$11.9 million through procurement methods not covered under LL129.

### CONTRACTS SUBJECT TO GOALS

**2.14%** of the dollar value of contracts awarded was subject to LL129 goals:

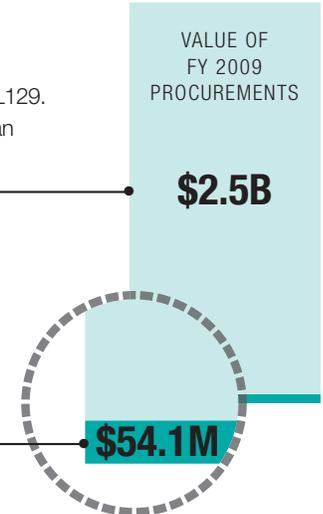
**Micro Purchases** | \$10.23 million, 3,512 contracts

**Small Purchases** | \$10.87 million, 343 contracts

**Contracts Through Other Methods** | \$32.95 million, 124 contracts

**Subcontracts** | 66 contracts eligible for establishing subcontracting goals\*

\*Prime contracts eligible for establishing subcontracting goals may not necessarily be subject to LL129 prime contracting goals



### ACTION PLAN

#### STEPS TO IMPROVE PERFORMANCE IN 2010:

- ✓ **Contact SBS to help identify qualified M/WBEs for all small purchase solicitations**
- ✓ **Work with SBS to share best practices with other agencies**

## M/WBE Performance Breakdown

DEP made substantial progress towards meeting its LL129 M/WBE goals by implementing and continuing activities to increase transparency and outreach to M/WBE firms and by ensuring their ability to compete in LL129 goal areas.

### TRANSPARENCY, OUTREACH, AND ACCESSIBILITY INITIATIVES

The number of activities to increase the transparency and accessibility of contract opportunities and outreach to M/WBE firms is used to evaluate performance in this category. DEP continued or implemented 3 or more initiatives to increase transparency and outreach to M/WBE firms.

- ▶ Encouraged vendors already doing business with the agency or with agency prime contractors to get certified
- ▶ Held bi-monthly M/WBE utilization compliance reviews with field representatives, resident engineers and buyers
- ▶ Regularly updated micro and small purchase buyers on available M/WBE vendors
- ▶ Continued outreach program to small and micro M/WBE vendors, engaging one-on-one with vendors on how to do business with the agency
- ▶ Discussed LL129 and program goals at pre-bid and pre-award meetings
- ▶ Increased solicitation of M/WBEs for micro and small purchases
- ▶ Participated in events with targeted outreach to M/WBEs
- ▶ Participated in workshop to inform M/WBEs about City procurement policies

## M/WBE Performance Breakdown (continued)

VALUE OF  
FY 2009  
PROCUREMENTS

**\$2.5B**

**PRIME CONTRACTS**  
**\$21,914,098**  
123 M/WBE FIRMS

**\$54.1M**

**Overall, DEP awarded 123 M/WBE firms a total of \$21,914,098 in prime awards; 10% of this dollar value was applicable to LL129 goals.**

**In addition, 73 M/WBE firms won a total of \$97,604,383 in subcontracts, of which \$75,000 was applicable to subcontracting goals.**

The large contract sizes, specialized work, and state and federal funding sources preclude many of DEP's construction and professional service procurements from LL129 goals. However, city certified firms who qualify under state and federal M/WBE or DBE programs participate in DEP's subcontracting opportunities and continue to win contracts with DEP.

### MICRO PURCHASES

All M/WBE Awards | **\$2,024,589**

The utilization rate of M/WBE firms is used to evaluate performance in this category. DEP achieved a 20% utilization rate, as compared to the 15% citywide average and the 50% goal.

LL129 Goal | **\$5,116,236**

LL129 M/WBE Awards | **\$2,024,589**

### SMALL PURCHASES

All M/WBE Awards | **\$391,735**

The percent of small purchase contracts that reflect a level of competition of 10 firms or more is used to evaluate performance in this category. 100% of small purchase contracts reflected a level of competition of 10 or more firms, as compared to the 82% citywide average and the 90% requirement.

LL129 Goal | **\$3,240,040**

LL129 M/WBE Awards | **\$204,735**

### SUBCONTRACTS

All M/WBE Awards | **\$97,604,383**

The M/WBE subcontracting goals set by the agency and the M/WBE utilization rate achieved by the prime contractor are used to evaluate performance in this category. DEP set construction subcontracting goals lower than the \$1,993,651 value of the citywide goals. DEP set professional service subcontracting goals higher than the \$260,721 value of the citywide goals.

#### Construction Services

All M/WBE Awards | **\$90,648,708**

DEP awarded \$90,648,708 in construction subcontracts to M/WBE firms. 47 contracts were eligible for establishing M/WBE subcontracting goals. Of those contracts, goals were established on 5 for a projected total of \$1,341,742 in subcontracts to M/WBEs. The remaining contracts either had state or federal goals, or had no anticipated subcontracting in goal areas. \$75,000 had been awarded to M/WBEs in goal areas by the close of FY 2009. Additional subcontracts will begin in FY 2010.

LL129 Goal | **\$1,341,742**

LL129 M/WBE Awards | **\$75,000**

#### Professional Services

All M/WBE Awards | **\$3,793,990**

DEP awarded \$3,793,990 in professional services subcontracts to M/WBE firms. 19 contracts were eligible for establishing M/WBE subcontracting goals. Of those contracts, goals were established on 3 for a projected total of \$267,475 in subcontracts to M/WBEs. The remaining contracts either had state or federal goals, or had no anticipated subcontracting in goal areas. M/WBE subcontractors have yet to be identified by the prime contractor.

LL129 Goal | **\$267,475**

LL129 M/WBE Awards | **\$0**

### CONTRACTS THROUGH OTHER METHODS

All M/WBE Awards | **\$19,497,774**

In this category, agencies have limited ability to impact the number of awards to M/WBEs beyond the initiatives listed on the previous page. The following breakdown summarizes contract opportunities and M/WBE awards by industry.

#### Construction Services

All M/WBE Awards | **\$8,954,621**

57 of the 772 construction service contracts were subject to LL129, predominately procured to extend existing contracts.

LL129 Goal | **\$2,883,924**

LL129 M/WBE Awards | **\$0**

#### Professional Services

All M/WBE Awards | **\$3,462,889**

28 of the 309 professional service contracts were subject to LL129, predominately procured to extend existing contracts and by negotiated acquisition

LL129 Goal | **\$1,454,896**

LL129 M/WBE Awards | **\$0**

#### Standard Services

All M/WBE Awards | **\$7,021,081**

39 of the 194 standard service contracts were subject to LL129, predominately procured through competitive sealed bid and to extend existing contracts.

LL129 Goal | **\$3,694,477**

LL129 M/WBE Awards | **\$34,587**

#### Goods

All M/WBE Awards | **\$59,183**

The number of contracts is too few to evaluate performance across all goal categories. None of the 308 goods contracts were subject to LL129. In its role as the administrative arm of New York City government, DCAS procures most goods contracts valued over \$100 thousand on behalf of other city agencies.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**



### ABOUT DOF

DOF helps people pay the right amount on time. The agency collects City revenues, encourages compliance with City tax and other revenue laws, values all real property in the City, provides a forum for the public to dispute tax and parking violation liability, and maintains property records.

DOF typically purchases standard services such as banking, technology, telecommunication, and printing services, and goods such as furniture and office supplies.

## Procurement Summary

In FY 2009, DOF awarded 299 contracts totaling \$66.3 million.

### CONTRACTS NOT SUBJECT TO GOALS

**96.61%** of the dollar value of contracts awarded fell outside the purview of LL129. This primarily included \$62.8 million in contract sizes greater than \$1 million and an additional \$1.2 million through procurement methods not covered under LL129.

VALUE OF  
FY 2009  
PROCUREMENTS

**\$64.1 M**

### CONTRACTS SUBJECT TO GOALS

**3.39%** of the dollar value of contracts awarded was subject to LL129 goals:

**Micro Purchases** | \$439,841, 226 contracts

**Small Purchases** | \$1.31 million, 52 contracts

**Contracts through other methods** | \$498,239, 2 contracts

**\$2.2 M**

**Subcontracts** | No contracts eligible for establishing subcontracting goals

## M/WBE Performance Breakdown

DOF made substantial progress towards meeting its LL129 M/WBE goals by implementing and continuing activities to increase transparency and outreach to M/WBE firms and by ensuring their ability to compete in LL129 goal areas.

### TRANSPARENCY, OUTREACH, AND ACCESSIBILITY INITIATIVES

The number of activities to increase the transparency and accessibility of contract opportunities and outreach to M/WBE firms is used to evaluate performance in this category. DOF continued or implemented 3 or more initiatives to increase transparency and outreach to M/WBE firms.

- ▶ Encouraged certification by including M/WBE applications in all solicitation documents and directly notifying half a dozen firms on how to get certified with SBS
- ▶ Distributed materials, forms, and memos regarding MWBE compliance to contracts staff
- ▶ Encouraged prime contractors to search for and hire M/WBE subcontractors
- ▶ Discussed agency M/WBE subcontracting goals in all pre-bid or pre-proposal conferences
- ▶ Increased solicitation of M/WBEs for small purchases
- ▶ Trained contracting officers and buyers in LL129 requirements and forms
- ▶ Participated in events that targeted outreach to M/WBEs

### ACTION PLAN

#### STEPS TO IMPROVE PERFORMANCE IN 2010:

- ✓ **Work with SBS to encourage eligible consultants already doing business with the agency to get certified**
- ✓ **Promote your contract opportunities to M/WBEs through a targeted outreach event**

## M/WBE Performance Breakdown (continued)

VALUE OF  
FY 2009  
PROCUREMENTS

**\$64.1 M**

PRIME CONTRACTS  
**\$548,816**  
12 M/WBE FIRMS

**\$2.2 M**

Overall, DOF awarded 12 M/WBE firms a total of \$548,816 in prime awards; 43% of this dollar value was applicable to LL129 goals.

DOF rarely procures in the construction industry and therefore does not set LL129 construction prime or subcontracting goals.

### MICRO PURCHASES

All M/WBE Awards | **\$51,496**

The utilization rate of M/WBE firms is used to evaluate performance in this category. DOF achieved a 12% utilization rate, as compared to the 15% citywide average and the 50% goal.

LL129 Goal | **\$219,920**

LL129 M/WBE Awards | **\$51,496**

### SMALL PURCHASES

All M/WBE Awards | **\$185,080**

The percent of small purchase contracts that reflect a level of competition of 10 firms or more is used to evaluate performance in this category. 89% of small purchase contracts reflected a level of competition of 10 or more firms, as compared to the 82% citywide average and the 90% requirement.

LL129 Goal | **\$402,950**

LL129 M/WBE Awards | **\$185,080**

### SUBCONTRACTS

All M/WBE Awards | **No awards to M/WBEs**

The M/WBE subcontracting goals set by the agency and the M/WBE utilization rate achieved by the prime contractor are used to evaluate performance in this category. None of the awarded prime contracts were eligible for setting LL129 subcontracting goals.

#### Construction Services

All M/WBE Awards | **No awards to M/WBEs**

No contracts were eligible for establishing M/WBE construction subcontracting goals.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

#### Professional Services

All M/WBE Awards | **No awards to M/WBEs**

No contracts were eligible for establishing M/WBE professional service subcontracting goals.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

### CONTRACTS THROUGH OTHER METHODS

All M/WBE Awards | **\$312,239**

In this category, agencies have limited ability to impact the number of awards to M/WBEs beyond the initiatives listed on the previous page. The following breakdown summarizes contract opportunities and M/WBE awards by industry.

#### Construction Services

All M/WBE Awards | **No awards to M/WBEs**

No construction service contracts were procured in FY 2009.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

#### Professional Services

All M/WBE Awards | **No awards to M/WBEs**

The number of contracts is too few to evaluate performance across all goal categories. None of the 5 professional service contracts were subject to LL129.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

#### Standard Services

All M/WBE Awards | **\$312,239**

The number of contracts is too few to evaluate performance across all goal categories. 2 of the 13 standard service contracts were subject to LL129.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

#### Goods

All M/WBE Awards | **No awards to M/WBEs**

The number of contracts is too few to evaluate performance across all goal categories. Neither of the 2 goods contracts were subject to LL129. In its role as the administrative arm of New York City government, DCAS procures most goods contracts valued over \$100 thousand on behalf of other city agencies.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**



### ABOUT DHMH

DHMH works to improve the health of the City's most vulnerable residents. The Health Department recognizes that social and economic factors are inextricably linked to health and has made great progress in improving the health of all New York City residents.

DHMH typically purchases goods such as computer hardware and software, medical supplies, and pharmaceuticals; standard services such as consulting services; and construction services such as plumbing, electrical, and on-call carpentry services.

## Procurement Summary

In FY 2009, DHMH awarded 2,950 contracts totaling \$684.4 million.

### CONTRACTS NOT SUBJECT TO GOALS

**97.06%** of the dollar value of contracts awarded fell outside the purview of LL129. This primarily included \$587 million in the human service industry and an additional \$77.3 million in contract sizes greater than \$1 million and through procurement methods not covered under LL129.

VALUE OF  
FY 2009  
PROCUREMENTS

**\$664.3M**

### CONTRACTS SUBJECT TO GOALS

**2.94%** of the dollar value of contracts awarded was subject to LL129 goals:

**Micro Purchases** | 3.48 million, 1,374 contracts

**Small Purchases** | \$10.56 million, 462 contracts

**Contracts through other Methods** | \$6.10 million, 40 contracts

**\$20.1M**

**Subcontracts** | 8 contracts eligible for establishing subcontracting goals\*

\*Prime contracts eligible for establishing subcontracting goals may not necessarily be subject to LL129 prime contracting goals

## M/WBE Performance Breakdown

DHMH made substantial progress towards meeting its LL129 M/WBE goals by implementing and continuing activities to increase transparency and outreach to M/WBE firms and by ensuring their ability to compete in LL129 goal areas.

### TRANSPARENCY, OUTREACH, AND ACCESSIBILITY INITIATIVES

The number of activities to increase the transparency and accessibility of contract opportunities and outreach to M/WBE firms is used to evaluate performance in this category. DHMH continued or implemented 3 or more initiatives to increase transparency and outreach to M/WBE firms.

- ▶ Encouraged vendors already doing business with the agency or with agency prime contractors to get certified
- ▶ Met with M/WBE vendors to determine available products and services
- ▶ Worked with SBS to implement best practice recommendations
- ▶ Implemented compliance reporting, continuously monitored P-card activity to increase M/WBE participation
- ▶ Increased solicitation of M/WBEs for small and micro purchases
- ▶ Staff attended Procurement Training Institute sessions sponsored by SBS and MOCS
- ▶ Trained executive staff to gain M/WBE program support from the highest level of the agency
- ▶ Participated in events that targeted outreach to M/WBEs

## ACTION PLAN

### STEPS TO IMPROVE PERFORMANCE IN 2010:

- ✓ **Work with SBS to encourage eligible consultants already doing business with the agency to get certified**
- ✓ **Contact SBS to help identify qualified M/WBEs for all small purchase solicitations**

## M/WBE Performance Breakdown (continued)

VALUE OF  
FY 2009  
PROCUREMENTS

**\$664.3M**

PRIME CONTRACTS  
**\$2,520,128**  
84 M/WBE FIRMS

**\$20.1M**

Overall, DHMH awarded 84 M/WBE firms a total of \$2,520,128 in prime awards; 48% of this dollar value was applicable to LL129 goals.

### MICRO PURCHASES

All M/WBE Awards | **\$538,206**

The utilization rate of M/WBE firms is used to evaluate performance in this category. DHMH achieved a 15% utilization rate, as compared to the 15% citywide average and the 50% goal.

LL129 Goal | **\$1,739,706**

LL129 M/WBE Awards | **\$538,206**

### SMALL PURCHASES

All M/WBE Awards | **\$859,617**

The percent of small purchase contracts that reflect a level of competition of 10 firms or more is used to evaluate performance in this category.

76% of small purchase contracts reflected a level of competition of 10 or more firms, as compared to the 82% citywide average and the 90% requirement.

LL129 Goal | **\$3,242,633**

LL129 M/WBE Awards | **\$648,417**

### SUBCONTRACTS

All M/WBE Awards | **No awards to M/WBEs**

The M/WBE subcontracting goals set by the agency and the M/WBE utilization rate achieved by the prime contractor are used to evaluate performance in this category. DHMH set professional services subcontracting goals lower than the \$203,050 value of the citywide goals.

#### Construction Services

All M/WBE Awards | **No awards to M/WBEs**

No contracts were eligible for establishing M/WBE construction subcontracting goals.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

#### Professional Services

All M/WBE Awards | **No awards to M/WBEs**

8 contracts were eligible for establishing M/WBE subcontracting goals. Of those contracts, goals were established on 5 for a projected total of \$201,822 in subcontracts to M/WBEs. The remaining contracts had no anticipated contracting in goal areas or an approved waiver. The anticipated subcontracting had not been awarded by the close of FY 2009.

LL129 Goal | **\$201,822**

LL129 M/WBE Awards | **\$0**

### CONTRACTS THROUGH OTHER METHODS

All M/WBE Awards | **\$1,122,306**

In this category, agencies have limited ability to impact the number of awards to M/WBEs beyond the initiatives listed on the previous page. The following breakdown summarizes contract opportunities and M/WBE awards by industry.

Construction Services	Professional Services	Standard Services	Goods
<p>All M/WBE Awards   <b>No awards to M/WBEs</b></p> <p>The number of contracts is too few to evaluate performance across all goal categories. The single construction service contract awarded was subject to LL129.</p> <p>LL129 Goal   <b>N/A</b></p> <p>LL129 M/WBE Awards   <b>N/A</b></p>	<p>All M/WBE Awards   <b>\$1,078,717</b></p> <p>20 of the 58 professional service contracts were subject to LL129, predominately procured to extend existing contracts.</p> <p>LL129 Goal   <b>\$1,125,998</b></p> <p>LL129 M/WBE Awards   <b>\$25,000</b></p>	<p>All M/WBE Awards   <b>No awards to M/WBEs</b></p> <p>19 of the 84 standard service contracts were subject to LL129, predominately procured to extend existing contracts.</p> <p>LL129 Goal   <b>\$593,762</b></p> <p>LL129 M/WBE Awards   <b>\$0</b></p>	<p>All M/WBE Awards   <b>\$43,589</b></p> <p>The number of contracts is too few to evaluate performance across all goal categories. None of the 74 goods contracts were subject to LL129. In its role as the administrative arm of New York City government, DCAS procures most goods contracts valued over \$100 thousand on behalf of other city agencies.</p> <p>LL129 Goal   <b>N/A</b></p> <p>LL129 M/WBE Awards   <b>N/A</b></p>



### ABOUT DHS

DHS works to prevent homelessness wherever possible and provides short-term emergency shelter and re-housing support. To this end DHS partners with public agencies and the business and non-profit communities.

DHS typically purchases human services; standard services, such as security and transportation services; construction services; and goods such as shelter supplies and IT hardware.

### Procurement Summary

In FY 2009, DHS awarded 698 contracts totaling \$606.9 million.

#### CONTRACTS NOT SUBJECT TO GOALS

**98.41%** of the dollar value of contracts awarded fell outside the purview of LL129. This primarily included \$575.7 million in contract sizes greater than \$1 million and an additional \$21.6 million in industries and through methods not covered under LL129.

VALUE OF  
FY 2009  
PROCUREMENTS

**\$597.3M**

#### CONTRACTS SUBJECT TO GOALS

**1.59%** of the dollar value of contracts awarded was subject to LL129 goals:

**Micro Purchases** | \$508,219, 269 contracts

**Small Purchases** | \$2.73 million, 150 contracts

**Contracts through other Methods** | \$6.39 million, 32 contracts

**\$9.6M**

**Subcontracts** | 9 contracts eligible for establishing subcontracting goals\*

\*Prime contracts eligible for establishing subcontracting goals may not necessarily be subject to LL129 prime contracting goals

### M/WBE Performance Breakdown

DHS made substantial progress towards meeting its LL129 M/WBE goals by implementing and continuing activities to increase transparency and outreach to M/WBE firms and by ensuring their ability to compete in LL129 goal areas.

#### TRANSPARENCY, OUTREACH, AND ACCESSIBILITY INITIATIVES

The number of activities to increase the transparency and accessibility of contract opportunities and outreach to M/WBE firms is used to evaluate performance in this category. DHS continued or implemented 3 or more initiatives to increase transparency and outreach to M/WBE firms.

- ▶ Encouraged vendors already doing business with the agency to get certified; distributed M/WBE program brochures to vendors at Bid pick-up
- ▶ 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 and other executive leadership to implement internal initiatives, monitor agency performance, and detail procedural compliance with LL129
- ▶ Assisted prime contractors in identifying M/WBE subcontractors
- ▶ Assisted M/WBEs in finding subcontracting opportunities by distributing pre-bid and pre-proposal attendee lists
- ▶ Reviewed M/WBE program requirements at pre-bid and pre-proposal conferences; referred vendors to SBS for training
- ▶ Increased solicitation of M/WBEs for micro, small and P-card purchases
- ▶ Conducted in-house training for program and procurement staff on LL129 and its procedural impacts
- ▶ Participated and hosted events with targeted outreach to M/WBEs

### ACTION PLAN

#### STEPS TO IMPROVE PERFORMANCE IN 2010:

- ✓ **Require program staff to obtain ACCO approval for all micro purchases that do not have an M/WBE suggested vendor**
- ✓ **Work with SBS to share best practices with other agencies**

## M/WBE Performance Breakdown (continued)

VALUE OF  
FY 2009  
PROCUREMENTS

**\$597.3M**

PRIME CONTRACTS  
**\$2,269,293**  
37 M/WBE FIRMS

**\$9.6M**

Overall, DHS awarded 37 M/WBE firms a total of \$2,269,293 in prime awards; 49% of this dollar value was applicable to LL129 goals.

In addition, 1 M/WBE firm won a total of \$35,100 in subcontracts, of which none was applicable to subcontracting goals.

### MICRO PURCHASES

All M/WBE Awards | **\$78,721**

The utilization rate of M/WBE firms is used to evaluate performance in this category. DHS achieved a 15% utilization rate, as compared to the 15% citywide average and the 50% goal.

LL129 Goal | **\$254,109**

LL129 M/WBE Awards | **\$78,721**

### SMALL PURCHASES

All M/WBE Awards | **\$632,775**

The percent of small purchase contracts that reflect a level of competition of 10 firms or more is used to evaluate performance in this category.

56% of small purchase contracts reflected a level of competition of 10 or more firms, as compared to the 82% citywide average and the 90% requirement.

LL129 Goal | **\$838,222**

LL129 M/WBE Awards | **\$500,525**

### SUBCONTRACTS

All M/WBE Awards | **\$35,100**

The M/WBE subcontracting goals set by the agency and the M/WBE utilization rate achieved by the prime contractor are used to evaluate performance in this category. DHS set construction subcontracting goals higher than the \$13,560 value of the citywide goals. DHS set professional services subcontracting goals lower than the \$256,200 value of the citywide goals.

#### Construction Services

All M/WBE Awards | **\$35,100**

DHS awarded \$35,100 in construction subcontracts to M/WBE firms. 4 contracts were eligible for establishing M/WBE subcontracting goals. Of those contracts, goals were established on 1 for a projected total of \$21,759 in subcontracts to M/WBEs. The remaining contracts either had no anticipated subcontracting in goal areas or had an approved waiver. The anticipated subcontracting will not begin until FY 2010.

LL129 Goal | **\$21,759**

LL129 M/WBE Awards | **\$0**

#### Professional Services

All M/WBE Awards | **No awards to M/WBEs**

5 contracts were eligible for establishing M/WBE subcontracting goals. Of those contracts, goals were established on 2 for a projected total of \$252,000 in subcontracts to M/WBEs. The remaining contracts had no anticipated subcontracting in goal areas. The anticipated LL129 subcontracting will not begin until FY 2010.

LL129 Goal | **\$252,000**

LL129 M/WBE Awards | **\$0**

### CONTRACTS THROUGH OTHER METHODS

All M/WBE Awards | **\$1,557,797**

In this category, agencies have limited ability to impact the number of awards to M/WBEs beyond the initiatives listed on the previous page. The following breakdown summarizes contract opportunities and M/WBE awards by industry.

#### Construction Services

All M/WBE Awards | **\$1,245,227**

10 of the 30 construction service contracts were subject to LL129, predominately procured through competitive sealed bid.

LL129 Goal | **\$528,886**

LL129 M/WBE Awards | **\$525,427**

#### Professional Services

All M/WBE Awards | **\$312,570**

8 of the 17 professional service contracts were subject to LL129, predominately procured by request for proposals.

LL129 Goal | **\$282,678**

LL129 M/WBE Awards | **\$0**

#### Standard Services

All M/WBE Awards | **No awards to M/WBEs**

10 of the 24 standard service contracts were subject to LL129, predominately procured through competitive sealed bid.

LL129 Goal | **\$636,498**

LL129 M/WBE Awards | **\$0**

#### Goods

All M/WBE Awards | **\$64,853**

The number of contracts is too few to evaluate performance across all goal categories. 4 of the 10 goods contracts were subject to LL129. In its role as the administrative arm of New York City government, DCAS procures most goods contracts valued over \$100 thousand on behalf of other city agencies.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**



### ABOUT DOITT

DoITT oversees the City's use of existing and emerging technologies in government operations, and its delivery of services to the public.

DoITT typically purchases goods such as audio visual equipment and IT software and hardware; standard services such as cleaning services and HVAC; and professional services such as IT consulting services.

### Procurement Summary

In FY 2009, DoITT awarded 381 contracts totaling \$451.6 million.

#### CONTRACTS NOT SUBJECT TO GOALS

**99.14%** of the dollar value of contracts awarded fell outside the purview of LL129. This primarily included \$435.7 in contract sizes greater than \$1 million and an additional \$12 million through procurement methods not covered under LL129.

VALUE OF  
FY 2009  
PROCUREMENTS

**\$447.7M**

#### CONTRACTS SUBJECT TO GOALS

**0.86%** of the dollar value of contracts awarded was subject to LL129 goals:

**Micro Purchases** | \$392,949, 189 contracts

**Small Purchases** | \$1.90 million, 69 contracts

**Contracts through other methods** | \$1.60 million, 7 contracts

**\$3.9M**

**Subcontracts** | 1 contract eligible for establishing subcontracting goals\*

\*Prime contracts eligible for establishing subcontracting goals may not necessarily be subject to LL129 prime contracting goals

### M/WBE Performance Breakdown

DoITT made substantial progress towards meeting its LL129 M/WBE goals by implementing and continuing activities to increase transparency and outreach to M/WBE firms and by ensuring their ability to compete in LL129 goal areas.

#### TRANSPARENCY, OUTREACH, AND ACCESSIBILITY INITIATIVES

The number of activities to increase the transparency and accessibility of contract opportunities and outreach to M/WBE firms is used to evaluate performance in this category. DoITT continued or implemented 3 or more initiatives to increase transparency and outreach to M/WBE firms.

- ▶ Encouraged vendors already doing business with the agency to get certified
- ▶ Advertised in minority publications
- ▶ Encouraged prime contractors to partner or subcontract with M/WBEs
- ▶ Held unsuccessful bidder/proposer debriefings with certified M/WBEs, referred vendors to SBS to receive technical assistance
- ▶ Increased solicitation of M/WBEs for micro and small purchases as well as RFP and Bid solicitations
- ▶ Staff attended Procurement Training Institute sessions sponsored by SBS and MOCS
- ▶ Participated in events with targeted outreach to M/WBEs

### ACTION PLAN

#### STEPS TO IMPROVE PERFORMANCE IN 2010:

- ✓ **Encourage IT vendors to choose M/WBE vendors for subcontracting opportunities**
- ✓ **Use the M/WBE Online Directory to help identify qualified M/WBEs for all small purchase solicitations**

## M/WBE Performance Breakdown (continued)

VALUE OF  
FY 2009  
PROCUREMENTS

**\$447.7M**

PRIME CONTRACTS  
**\$10,195,064**  
31 M/WBE FIRMS

**\$3.9M**

Overall, DOITT awarded 31 M/WBE firms a total of \$10,195,064 in prime awards; 4% of this dollar value was applicable to LL129 goals.

DOITT did not procure in the construction industry in FY 2009.

### MICRO PURCHASES

All M/WBE Awards | **\$ 74,014**

The utilization rate of M/WBE firms is used to evaluate performance in this category. DOITT achieved a 19% utilization rate, as compared to the 15% citywide average and the 50% goal.

LL129 Goal | **\$196,474**

LL129 M/WBE Awards | **\$74,014**

### SMALL PURCHASES

All M/WBE Awards | **\$298,972**

The percent of small purchase contracts that reflect a level of competition of 10 firms or more is used to evaluate performance in this category. 73% of small purchase contracts reflected a level of competition of 10 or more firms, as compared to the 82% citywide average and the 90% requirement.

LL129 Goal | **\$578,478**

LL129 M/WBE Awards | **\$298,972**

### SUBCONTRACTS

All M/WBE Awards | **No awards to M/WBEs**

The M/WBE subcontracting goals set by the agency and the M/WBE utilization rate achieved by the prime contractor are used to evaluate performance in this category. No M/WBE subcontracting goals were established as there was no subcontracting anticipated in goal areas.

#### Construction Services

All M/WBE Awards | **No awards to M/WBEs**

No contracts were eligible for establishing M/WBE construction subcontracting goals.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

#### Professional Services

All M/WBE Awards | **No awards to M/WBEs**

1 contract was eligible for establishing M/WBE subcontracting goals. No goals were established. The contract had no anticipated subcontracting in goal areas.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

### CONTRACTS THROUGH OTHER METHODS

All M/WBE Awards | **\$9,822,078**

In this category, agencies have limited ability to impact the number of awards to M/WBEs beyond the initiatives listed on the previous page. The following breakdown summarizes contract opportunities and M/WBE awards by industry.

Construction Services	Professional Services	Standard Services	Goods
<p>All M/WBE Awards   <b>N/A</b></p> <p>No construction service contracts were procured in FY 2009.</p> <p>LL129 Goal   <b>N/A</b></p> <p>LL129 M/WBE Awards   <b>N/A</b></p>	<p>All M/WBE Awards   <b>\$8,520,523</b></p> <p>The number of contracts is too few to evaluate performance across all goal categories. 1 of the 41 professional service contracts was subject to LL129.</p> <p>LL129 Goal   <b>N/A</b></p> <p>LL129 M/WBE Awards   <b>N/A</b></p>	<p>All M/WBE Awards   <b>\$1,275,907</b></p> <p>6 of the 51 standard service contracts were subject to LL129, predominately procured through competitive sealed bid.</p> <p>LL129 Goal   <b>\$321,291</b></p> <p>LL129 M/WBE Awards   <b>\$0</b></p>	<p>All M/WBE Awards   <b>\$25,648</b></p> <p>The number of contracts is too few to evaluate performance across all goal categories. None of the 29 goods contracts were subject to LL129. In its role as the administrative arm of New York City government, DCAS procures most goods contracts valued over \$100 thousand on behalf of other city agencies.</p> <p>LL129 Goal   <b>N/A</b></p> <p>LL129 M/WBE Awards   <b>N/A</b></p>



### ABOUT DJJ

DJJ provides temporary care and custody to alleged juvenile delinquents and alleged juvenile offenders pending adjudication of their cases or transfer to state facilities after sentencing. The Department serves a dual role to promote public safety and to care for the young people remanded to its care by the courts.

DJJ typically purchases goods such as personal supplies and IT software & hardware; professional services such as dentist and mental health services; and standard services such as building maintenance and congregate care services.

## Procurement Summary

In FY 2009, DJJ awarded 333 contracts totaling \$19.0 million.

### CONTRACTS NOT SUBJECT TO GOALS

**90.84%** of the dollar value of contracts awarded fell outside the purview of LL129. This primarily included \$17 million in the human service industry and an additional \$292 thousand through procurement methods not covered under LL129.

VALUE OF  
FY 2009  
PROCUREMENTS

**\$17.3M**

### CONTRACTS SUBJECT TO GOALS

**9.16%** of the dollar value of contracts awarded was subject to LL129 goals:

- Micro Purchases** | \$548,364, 252 contracts
- Small Purchases** | \$1.20 million, 53 contracts
- Contracts through other Methods** | None

**\$1.7M**

**Subcontracts** | No contracts eligible for establishing subcontracting goals

## ACTION PLAN

### STEPS TO IMPROVE PERFORMANCE IN 2010:

- ✓ **Work with SBS to encourage eligible consultants already doing business with the agency to get certified**
- ✓ **Contact SBS to learn more about best practices from other agencies**

## M/WBE Performance Breakdown

DJJ made substantial progress towards meeting its LL129 M/WBE goals by implementing and continuing activities to increase transparency and outreach to M/WBE firms and by ensuring their ability to compete in LL129 goal areas.

### TRANSPARENCY, OUTREACH, AND ACCESSIBILITY INITIATIVES

The number of activities to increase the transparency and accessibility of contract opportunities and outreach to M/WBE firms is used to evaluate performance in this category. DJJ continued or implemented 3 or more initiatives to increase transparency and outreach to M/WBE firms.

- ▶ Encouraged vendors already doing business with the agency to get certified
- ▶ Performed monthly internal review of small and micro purchases to ensure maximum participation by M/WBE firms
- ▶ Increased solicitation of M/WBEs for small purchases
- ▶ Solicited M/WBEs on all micro purchases
- ▶ Staff attended Procurement Training Institute sessions sponsored by SBS and MOCS
- ▶ Participated in events with targeted outreach to M/WBEs

## M/WBE Performance Breakdown (continued)

VALUE OF  
FY 2009  
PROCUREMENTS

**\$17.3M**

PRIME CONTRACTS  
**\$561,782**  
31 M/WBE FIRMS

**\$1.7M**

Overall, DJJ awarded 31 M/WBE firms a total of \$561,782 in prime awards; 98% of this dollar value was applicable to LL129 goals.

DJJ rarely procures in the construction industry and therefore does not set LL129 construction prime or subcontracting goals.

### MICRO PURCHASES

All M/WBE Awards | **\$109,782**

The utilization rate of M/WBE firms is used to evaluate performance in this category. DJJ achieved a 20% utilization rate, as compared to the 15% citywide average and the 50% goal.

LL129 Goal | **\$274,182**

LL129 M/WBE Awards | **\$109,782**

### SMALL PURCHASES

All M/WBE Awards | **\$452,000**

The percent of small purchase contracts that reflect a level of competition of 10 firms or more is used to evaluate performance in this category. 42% of small purchase contracts reflected a level of competition of 10 or more firms, as compared to the 82% citywide average and the 90% requirement.

LL129 Goal | **\$315,855**

LL129 M/WBE Awards | **\$442,000**

### SUBCONTRACTS

All M/WBE Awards | **No awards to M/WBEs**

The M/WBE subcontracting goals set by the agency and the M/WBE utilization rate achieved by the prime contractor are used to evaluate performance in this category. None of the awarded prime contracts were eligible for setting LL129 subcontracting goals.

#### Construction Services

All M/WBE Awards | **No awards to M/WBEs**

No contracts were eligible for establishing M/WBE construction subcontracting goals.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

#### Professional Services

All M/WBE Awards | **No awards to M/WBEs**

No contracts were eligible for establishing M/WBE professional service subcontracting goals.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

### CONTRACTS THROUGH OTHER METHODS

All M/WBE Awards | **No awards to M/WBEs**

In this category, agencies have limited ability to impact the number of awards to M/WBEs beyond the initiatives listed on the previous page. The following breakdown summarizes contract opportunities and M/WBE awards by industry.

Construction Services	Professional Services	Standard Services	Goods
<p>All M/WBE Awards   <b>N/A</b></p> <p>No construction service contracts were procured in FY 2009.</p> <p>LL129 Goal   <b>N/A</b></p> <p>LL129 M/WBE Awards   <b>N/A</b></p>	<p>All M/WBE Awards   <b>No awards to M/WBEs</b></p> <p>The number of contracts is too few to evaluate performance across all goal categories. The single professional service contract awarded was not subject to LL129.</p> <p>LL129 Goal   <b>N/A</b></p> <p>LL129 M/WBE Awards   <b>N/A</b></p>	<p>All M/WBE Awards   <b>N/A</b></p> <p>No standard service contracts were procured in FY 2009.</p> <p>LL129 Goal   <b>N/A</b></p> <p>LL129 M/WBE Awards   <b>N/A</b></p>	<p>All M/WBE Awards   <b>N/A</b></p> <p>No goods contracts were procured in FY 2009. In its role as the administrative arm of New York City government, DCAS procures most goods contracts valued over \$100 thousand on behalf of other city agencies.</p> <p>LL129 Goal   <b>N/A</b></p> <p>LL129 M/WBE Awards   <b>N/A</b></p>



### ABOUT DPR

DPR is responsible for the maintenance and operation of the city's municipal park system, which encompasses more than 28,000 acres of parks, playgrounds, athletic fields, tennis courts, swimming pools, recreational centers, beaches, golf courses, ice rinks, marinas and zoos.

DPR typically purchases construction services such as building, facility, and playground construction; standard services such as landscaping, tree planting and pruning, auto maintenance, and bus transportation; and goods such as IT equipment and uniforms.

## Procurement Summary

In FY 2009, DPR awarded 3,296 contracts totaling \$398.9 million.

### CONTRACTS NOT SUBJECT TO GOALS

**74.06%** of the dollar value of contracts awarded fell outside the purview of LL129. This primarily included \$277.3 million in contract sizes greater than \$1 million and an additional \$18.1 million through procurement methods not covered under LL129.

VALUE OF  
FY 2009  
PROCUREMENTS

**\$295.4M**

### CONTRACTS SUBJECT TO GOALS

**25.94%** of the dollar value of contracts awarded was subject to LL129 goals:

**Micro Purchases** | \$4.37 million, 2,088 contracts

**Small Purchases** | \$9.20 million, 458 contracts

**Contracts through other methods** | \$89.91 million, 214 contracts

**\$103.5M**

**Subcontracts** | 157 contracts eligible for establishing subcontracting goals\*

\*Prime contracts eligible for establishing subcontracting goals may not necessarily be subject to LL129 prime contracting goals

## M/WBE Performance Breakdown

DPR made substantial progress towards meeting its LL129 M/WBE goals by implementing and continuing activities to increase transparency and outreach to M/WBE firms and by ensuring their ability to compete in LL129 goal areas.

### TRANSPARENCY, OUTREACH, AND ACCESSIBILITY INITIATIVES

The number of activities to increase the transparency and accessibility of contract opportunities and outreach to M/WBE firms is used to evaluate performance in this category. DPR continued or implemented 3 or more initiatives to increase transparency and outreach to M/WBE firms.

- ▶ Encouraged certification by supplying applications to vendors picking up bid-documents
- ▶ Encouraged vendors already doing business with the agency to get certified
- ▶ Worked with SBS to help agency prime contractors identify potential M/WBE subcontractors
- ▶ Conducted quarterly meetings with procurement staff to monitor M/WBE utilization
- ▶ Increased solicitation of M/WBE firms for micro and small purchases
- ▶ Trained staff regularly on M/WBE program requirements
- ▶ Participated in events with targeted outreach to M/WBEs
- ▶ Participated in workshops to inform M/WBEs about City procurement policies

## ACTION PLAN

### STEPS TO IMPROVE PERFORMANCE IN 2010:

- ✓ **Enforce the solicitation of at least 5 M/WBE vendors for all small purchases**
- ✓ **Review methodology for setting M/WBE subcontracting goals**

## M/WBE Performance Breakdown (continued)

VALUE OF  
FY 2009  
PROCUREMENTS

**\$295.4M**

**\$103.5M**

PRIME CONTRACTS  
**\$50,438,566**  
106 M/WBE FIRMS

Overall, DPR awarded 106 M/WBE firms a total of \$50,438,566 in prime awards; 10% of this dollar value was applicable to LL129 goals.

In addition, 75 M/WBE firms won a total of \$15,997,560 in subcontracts, of which \$7,021,347 was applicable to subcontracting goals.

.....  
The large contract sizes, specialized work, and state and federal funding sources preclude many of DPR's construction and professional service procurements from LL129 goals. However, city certified firms who qualify under state and federal M/WBE or DBE programs participate in DPR's subcontracting opportunities.

### MICRO PURCHASES

All M/WBE Awards | **\$711,962**

The utilization rate of M/WBE firms is used to evaluate performance in this category. DPR achieved a 16% utilization rate, as compared to the 15% citywide average and the 50% goal.

LL129 Goal | **\$2,186,291**

LL129 M/WBE Awards | **\$711,962**

### SMALL PURCHASES

All M/WBE Awards | **\$841,980**

The percent of small purchase contracts that reflect a level of competition of 10 firms or more is used to evaluate performance in this category. 98% of small purchase contracts reflected a level of competition of 10 or more firms, as compared to the 82% citywide average and the 90% requirement.

LL129 Goal | **\$2,815,065**

LL129 M/WBE Awards | **\$482,500**

### SUBCONTRACTS

All M/WBE Awards | **\$15,997,560**

The M/WBE subcontracting goals set by the agency and the M/WBE utilization rate achieved by the prime contractor are used to evaluate performance in this category. DPR set construction subcontracting goals lower than the \$9,389,079 value of the citywide goals. DPR set professional services subcontracting goals lower than the \$275,185 value of the citywide goals.

#### Construction Services

All M/WBE Awards | **\$15,630,410**

DPR awarded \$15,630,410 in construction subcontracts to M/WBE firms. 152 contracts were eligible for establishing M/WBE subcontracting goals. Of those contracts, goals were established on 78 for a projected total of \$6,793,447 in subcontracts to M/WBEs. The remaining contracts either had no anticipated subcontracting in goal areas, state or federal goals, or an approved waiver. M/WBE subcontract awards in goal areas surpassed the LL129 goal.

LL129 Goal | **\$6,793,447**

LL129 M/WBE Awards | **\$6,980,097**

#### Professional Services

All M/WBE Awards | **\$41,250**

DPR awarded \$41,250 in professional services subcontracts to M/WBE firms. 5 contracts were eligible for establishing M/WBE subcontracting goals. Of those contracts, goals were established on all 5 for a projected total of \$135,224 in subcontracts to M/WBEs. The anticipated subcontracts will begin in FY 2010 and continue over 2 years.

LL129 Goal | **\$135,224**

LL129 M/WBE Awards | **\$41,250**

### CONTRACTS THROUGH OTHER METHODS

All M/WBE Awards | **\$48,884,623**

In this category, agencies have limited ability to impact the number of awards to M/WBEs beyond the initiatives listed on the previous page. The following breakdown summarizes contract opportunities and M/WBE awards by industry.

#### Construction Services

All M/WBE Awards | **\$40,657,201**

171 of the 288 construction service contracts were subject to LL129, predominately procured through competitive sealed bid.

LL129 Goal | **\$14,920,976**

LL129 M/WBE Awards | **\$2,254,008**

#### Professional Services

All M/WBE Awards | **\$6,231,671**

5 of the 53 professional service contracts were subject to LL129, predominately procured by request for proposal and to extend existing contracts

LL129 Goal | **\$519,183**

LL129 M/WBE Awards | **\$0**

#### Standard Services

All M/WBE Awards | **\$1,906,380**

36 of the 96 standard service contracts were subject to LL129, predominately procured through competitive sealed bid.

LL129 Goal | **\$4,343,231**

LL129 M/WBE Awards | **\$1,790,310**

#### Goods

All M/WBE Awards | **\$89,373**

The number of contracts is too few to evaluate performance across all goal categories. 2 of the 157 goods contracts were subject to LL129. In its role as the administrative arm of New York City government, DCAS procures most goods contracts valued over \$100 thousand on behalf of other city agencies.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**



### ABOUT PROB

PROB protects the NYC community by intervening in the lives of offenders, holding them accountable and serving as a catalyst for positive change. The agency provides information and services to the courts, gives victims a voice in the justice system and helps strengthen families.

PROB typically purchases goods such as office supplies and standard services such as equipment maintenance and IT services.

### Procurement Summary

In FY 2009, PROB awarded 202 contracts totaling \$11.4 million.

#### CONTRACTS NOT SUBJECT TO GOALS

**96.97%** of the dollar value of contracts awarded fell outside the purview of LL129. This primarily included \$9.4 million in the human service industry and an additional \$1.7 million through procurement methods not covered under LL129.

#### CONTRACTS SUBJECT TO GOALS

**3.03%** of the dollar value of contracts awarded was subject to LL129 goals:

- Micro Purchases** | \$143,015, 93 contracts
- Small Purchases** | \$157,603, 13 contracts
- Contracts through other methods** | \$47,000, 3 contracts

**Subcontracts** | No contracts eligible for establishing subcontracting goals



### M/WBE Performance Breakdown

PROB made substantial progress towards meeting its LL129 M/WBE goals by implementing and continuing activities to increase transparency and outreach to M/WBE firms and by ensuring their ability to compete in LL129 goal areas.

#### TRANSPARENCY, OUTREACH, AND ACCESSIBILITY INITIATIVES

The number of activities to increase the transparency and accessibility of contract opportunities and outreach to M/WBE firms is used to evaluate performance in this category. PROB continued or implemented 3 or more initiatives to increase transparency and outreach to M/WBE firms.

- ▶ Encouraged certification by distributing M/WBE program brochures; calling, meeting and e-mailing vendors; and including language on how to get certified in Request For Proposals and solicitations
- ▶ Increased monitoring for micro & small purchases to ensure optimal outreach
- ▶ Held semi-annual meetings with Bureau Contracting Officers to ensure they have the latest list of qualified M/WBE vendors
- ▶ Increased accessibility of procurement opportunities by soliciting quotes from M/WBE contractors listed on state and federal contracts
- ▶ Staff attended Procurement Training Institute sessions sponsored by SBS and MOCS
- ▶ Increased solicitation of M/WBEs for small purchases
- ▶ Screened all micro purchases for M/WBE utilization. Staff required to document solicitation of M/WBE vendors

### ACTION PLAN

#### STEPS TO IMPROVE PERFORMANCE IN 2010:

- ✓ **Work with SBS to encourage eligible consultants already doing business with the agency to get certified**
- ✓ **Contact SBS to learn more about best practices from other agencies**

## M/WBE Performance Breakdown (continued)

VALUE OF  
FY 2009  
PROCUREMENTS

**\$11.1M**

PRIME CONTRACTS  
**\$1,429,682**  
17 M/WBE FIRMS

**\$347.6**

Overall, PROB awarded 17 M/WBE firms a total of \$1,429,682 in prime awards; 12% of this dollar value was applicable to LL129 goals.

PROB did not procure in the construction industry in FY2009.

### MICRO PURCHASES

All M/WBE Awards | **\$68,999**

The utilization rate of M/WBE firms is used to evaluate performance in this category. PROB achieved a 48% utilization rate, as compared to the 15% citywide average and the 50% goal.

LL129 Goal | **\$71,508**

LL129 M/WBE Awards | **\$68,999**

### SMALL PURCHASES

All M/WBE Awards | **\$72,815**

The percent of small purchase contracts that reflect a level of competition of 10 firms or more is used to evaluate performance in this category. 50% of small purchase contracts reflected a level of competition of 10 or more firms, as compared to the 82% citywide average and the 90% requirement.

LL129 Goal | **\$51,374**

LL129 M/WBE Awards | **\$72,815**

### SUBCONTRACTS

All M/WBE Awards | **No awards to M/WBEs**

The M/WBE subcontracting goals set by the agency and the M/WBE utilization rate achieved by the prime contractor are used to evaluate performance in this category. None of the awarded prime contracts were eligible for setting LL129 subcontracting goals

#### Construction Services

All M/WBE Awards | **No awards to M/WBEs**

No contracts were eligible for establishing M/WBE construction subcontracting goals.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

#### Professional Services

All M/WBE Awards | **No awards to M/WBEs**

No contracts were eligible for establishing M/WBE professional service subcontracting goals.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

### CONTRACTS THROUGH OTHER METHODS

All M/WBE Awards | **\$1,287,868**

In this category, agencies have limited ability to impact the number of awards to M/WBEs beyond the initiatives listed on the previous page. The following breakdown summarizes contract opportunities and M/WBE awards by industry.

#### Construction Services

All M/WBE Awards | **N/A**

No construction service contracts were procured in FY 2009.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

#### Professional Services

All M/WBE Awards | **No awards to M/WBEs**

The number of contracts is too few to evaluate performance across all goal categories. The single professional service contract was subject to LL129.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

#### Standard Services

All M/WBE Awards | **\$1,108,094**

The number of contracts is too few to evaluate performance across all goal categories. 2 of the 22 standard service contracts were subject to LL129.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

#### Goods

All M/WBE Awards | **\$179,774**

The number of contracts is too few to evaluate performance across all goal categories. None of the 66 goods contracts were subject to LL129. In its role as the administrative arm of New York City government, DCAS procures most goods contracts valued over \$100 thousand on behalf of other city agencies.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**



## ABOUT DSNY

DSNY provides waste collection and disposal services to the City of New York.

DSNY typically purchases standard services such as cleaning and janitorial services, waste hauling, and export services; professional services such as medical testing and construction management; construction services such as electrical, plumbing, HVAC, and general construction; and goods such as building and automotive supplies, office supplies, tools, and lumber.

## Procurement Summary

In FY 2009, DSNY awarded 2,277 contracts totaling \$2.3 billion.

### CONTRACTS NOT SUBJECT TO GOALS

**99.29%** of the dollar value of contracts awarded fell outside the purview of LL129. This primarily included \$2.3 billion in contract sizes greater than \$1 million and an additional \$11.4 million through procurement methods not covered under LL129.

VALUE OF  
FY 2009  
PROCUREMENTS

**\$2.3B**

### CONTRACTS SUBJECT TO GOALS

**0.71%** of the dollar value of contracts awarded was subject to LL129 goals:

**Micro Purchases** | \$2.90 million, 1,723 contracts

**Small Purchases** | \$5.30 million, 174 contracts

**Contracts through other methods** | \$8.49 million, 53 contracts

**\$16.7M**

**Subcontracts** | 6 contracts eligible for establishing subcontracting goals\*

\*Prime contracts eligible for establishing subcontracting goals may not necessarily be subject to LL129 prime contracting goals

## M/WBE Performance Breakdown

DSNY made substantial progress towards meeting its LL129 M/WBE goals by implementing and continuing activities to increase transparency and outreach to M/WBE firms and by ensuring their ability to compete in LL129 goal areas.

### TRANSPARENCY, OUTREACH, AND ACCESSIBILITY INITIATIVES

The number of activities to increase the transparency and accessibility of contract opportunities and outreach to M/WBE firms is used to evaluate performance in this category. DSNY continued or implemented 3 or more initiatives to increase transparency, outreach, and accessibility of contracting to M/WBE firms.

- ▶ Encouraged vendors already doing business with the agency to get certified and/or partner with M/WBE vendors
- ▶ Advertised competitive sealed bids and request for proposals in minority publications
- ▶ Encouraged M/WBEs to do business with the agency. Mailed an invitation to bid on all Competitive Sealed Bids and Requests for Proposals over \$1 million
- ▶ Helped prime contractors identify M/WBE subcontractors. Distributed list of M/WBEs with business services in the trades to be subcontracted on Marine Transfer projects
- ▶ Increased the accessibility of contract opportunities by establishing open market orders for goods not available on requirement contract
- ▶ Continued meeting with M/WBE firms that were contacted via e-mail to invite them to meet the ACCO's office 1 on 1 or at various outreach seminars
- ▶ Shared best practices on identifying M/WBEs with DEP and DCAS
- ▶ Encouraged bid follow-up meetings with non-responsive M/WBE bidders, referred vendors to SBS for technical assistance
- ▶ Coordinated with SBS to follow-up on M/WBE vendors experiencing problems in administering a contract
- ▶ Increased solicitation of M/WBEs for small and micro purchases
- ▶ Staff attended Procurement Training Institute sessions sponsored by SBS and MOCS
- ▶ Conducted annual internal training session on the M/WBE Program
- ▶ Participated and hosted networking events with targeted outreach to M/WBEs, forwarded new M/WBE contact information to buyers across the agency
- ▶ Transported M/WBE vendors to pre-bid meetings for Marine Transfer Station contracts to network with prime bidders
- ▶ Participated in workshops to inform M/WBEs about City procurement policies

## ACTION PLAN

### STEPS TO IMPROVE PERFORMANCE IN 2010:

- ✓ **Require program staff to obtain ACCO approval for all micro purchases that do not have an M/WBE suggested vendor**
- ✓ **Contact SBS to help identify qualified M/WBEs for all small purchase solicitations**
- ✓ **Promote your subcontract opportunities to M/WBEs by encouraging them to attend pre-bid meetings and pick up Plan Holders Lists**

## M/WBE Performance Breakdown (continued)

VALUE OF  
FY 2009  
PROCUREMENTS

**\$2.3B**

PRIME CONTRACTS  
**\$4,408,641**  
71 M/WBE FIRMS

**\$16.7M**

Overall, DSNY awarded 71 M/WBE firms a total of \$4,408,641 in prime awards; 20% of this dollar value was applicable to LL129 goals.

In addition, 4 M/WBE firms won a total of \$712,700 in subcontracts, of which none was applicable to subcontracting goals.

### MICRO PURCHASES

All M/WBE Awards | **\$343,729**

The utilization rate of M/WBE firms is used to evaluate performance in this category. DSNY achieved a 12% utilization rate, as compared to the 15% citywide average and the 50% goal.

LL129 Goal | **\$1,451,287**

LL129 M/WBE Awards | **\$343,729**

### SMALL PURCHASES

All M/WBE Awards | **\$584,581**

The percent of small purchase contracts that reflect a level of competition of 10 firms or more is used to evaluate performance in this category. 63% of small purchase contracts reflected a level of competition of 10 or more firms, as compared to the 82% citywide average and the 90% requirement.

LL129 Goal | **\$1,633,639**

LL129 M/WBE Awards | **\$470,578**

### SUBCONTRACTS

All M/WBE Awards | **\$712,700**

The M/WBE subcontracting goals set by the agency and the M/WBE utilization rate achieved by the prime contractor are used to evaluate performance in this category. No M/WBE subcontracting goals were established as the contracts had no subcontracting anticipated in goal areas.

#### Construction Services

All M/WBE Awards | **\$250,000**

DSNY awarded \$250,000 in construction subcontracts to M/WBE firms. 6 contracts were eligible for establishing M/WBE subcontracting goals. No goals were established. The contracts had no anticipated subcontracting in goal areas.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

#### Professional Services

All M/WBE Awards |

**No awards to M/WBEs**

No contracts were eligible for establishing M/WBE professional service subcontracting goals.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

### CONTRACTS THROUGH OTHER METHODS

All M/WBE Awards | **\$3,480,331**

In this category, agencies have limited ability to impact the number of awards to M/WBEs beyond the initiatives listed on the previous page. The following breakdown summarizes contract opportunities and M/WBE awards by industry.

#### Construction Services

All M/WBE Awards | **\$3,262,496**

32 of the 254 construction service contracts were subject to LL129, predominately procured through competitive sealed bid and to extend existing contracts.

LL129 Goal | **\$895,519**

LL129 M/WBE Awards | **\$0**

#### Professional Services

All M/WBE Awards | **\$100,000**

10 of the 37 professional service contracts were subject to LL129, predominately procured to extend existing contracts.

LL129 Goal | **\$675,439**

LL129 M/WBE Awards | **\$0**

#### Standard Services

All M/WBE Awards | **\$117,835**

11 of the 59 standard service contracts were subject to LL129, predominately procured through competitive sealed bid and to extend existing contracts.

LL129 Goal | **\$533,313**

LL129 M/WBE Awards | **\$53,800**

#### Goods

All M/WBE Awards |

**No awards to M/WBEs**

The number of contracts is too few to evaluate performance across all goal categories. None of the 23 goods contracts were subject to LL129. In its role as the administrative arm of New York City government, DCAS procures most goods contracts valued over \$100 thousand on behalf of other city agencies.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**



## ABOUT SBS

SBS provides direct assistance to business owners, fosters neighborhood development, and links employers to a skilled and qualified workforce.

SBS typically purchases professional services such as consulting; standard services such as catering and photography; and goods, such as IT hardware, software and office supplies.

## Procurement Summary

In FY 2009, SBS awarded 325 contracts totaling \$1.3 billion.

### CONTRACTS NOT SUBJECT TO GOALS

**99.89%** of the dollar value of contracts awarded fell outside the purview of LL129. This primarily included \$1.3 billion in contract sizes greater than \$1 million and an additional \$11.4 million through procurement methods and in industries not covered by LL129.

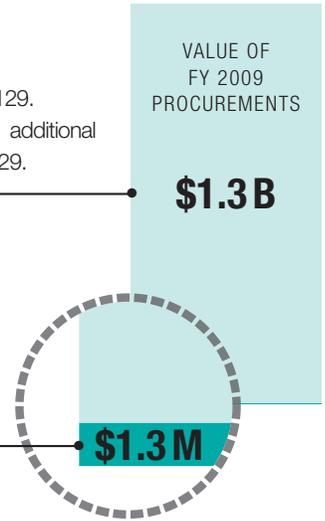
### CONTRACTS SUBJECT TO GOALS

**0.11%** of the dollar value of contracts awarded was subject to LL129 goals:

- Micro Purchases** | \$276,581, 144 contracts
- Small Purchases** | \$704,426, 22 contracts
- Contracts Through Other Methods** | \$365,617, 3 contracts

**Subcontracts** | 1 contract eligible for establishing subcontracting goals\*

\*Prime contracts eligible for establishing subcontracting goals may not necessarily be subject to LL129 prime contracting goals



## ACTION PLAN

### STEPS TO IMPROVE PERFORMANCE IN 2010:

- ✓ **Contact your account manager to help identify qualified M/WBEs for all small purchase solicitations**
- ✓ **Look for opportunities to set M/WBE subcontractor utilization goals on eligible prime contracts**

## M/WBE Performance Breakdown

SBS made substantial progress towards meeting its LL129 M/WBE goals by implementing and continuing activities to increase transparency and outreach to M/WBE firms and by ensuring their ability to compete in LL129 goal areas.

### TRANSPARENCY, OUTREACH, AND ACCESSIBILITY INITIATIVES

The number of activities to increase the transparency and accessibility of contract opportunities and outreach to M/WBE firms is used to evaluate performance in this category. SBS continued or implemented 3 or more initiatives to increase transparency and outreach to M/WBE firms.

- ▶ Encouraged vendors already doing business with the agency to get certified
- ▶ Encouraged M/WBEs to recertify. Procurement staff notified vendors of expiration of M/WBE status or missing or out of date contact information
- ▶ Encouraged requirements contract holders to subcontract with M/WBEs, specifically with design and printing services
- ▶ Met with M/WBEs to inform them of procurement policies
- ▶ Held unsuccessful-bidder/proposer debriefing sessions
- ▶ Made procurement opportunities more transparent by posting solicitations on agency website
- ▶ Increased solicitation of M/WBEs for micro and small purchases
- ▶ Staff attended Procurement Training Institute sessions sponsored by SBS and MOCS
- ▶ Participated in events with targeted outreach to M/WBEs
- ▶ Participated in workshops to inform M/WBEs about City procurement policies

## M/WBE Performance Breakdown (continued)

VALUE OF  
FY 2009  
PROCUREMENTS

**\$1.3B**

**PRIME CONTRACTS**  
**\$7,510,753**  
42 M/WBE FIRMS

**\$1.3M**

**Overall, SBS awarded 42 M/WBE firms a total of \$7,510,753 in prime awards; 1% of this dollar value was applicable to LL129 goals.**

**In addition, 2 M/WBE firms won a total of \$1,363,597 in subcontracts, of which none was applicable to subcontracting goals.**

A large part of SBS spending is routinely awarded to the NYC Economic Development Corporation for economic development services. Outside of these contracts, SBS has little to no construction spending and therefore does not set LL129 construction prime or subcontracting goals.

### MICRO PURCHASES

All M/WBE Awards | **\$63,564**

The utilization rate of M/WBE firms is used to evaluate performance in this category. SBS achieved a 23% utilization rate, as compared to the 15% citywide average and the 50% goal.

LL129 Goal | **\$138,291**

LL129 M/WBE Awards | **\$63,564**

### SMALL PURCHASES

All M/WBE Awards | **\$53,973**

The percent of small purchase contracts that reflect a level of competition of 10 firms or more is used to evaluate performance in this category. 83% of small purchase contracts reflected a level of competition of 10 or more firms, as compared to the 82% citywide average and the 90% requirement.

LL129 Goal | **\$221,107**

LL129 M/WBE Awards | **\$43,973**

### SUBCONTRACTS

All M/WBE Awards | **\$1,363,597**

The M/WBE subcontracting goals set by the agency and the M/WBE utilization rate achieved by the prime contractor are used to evaluate performance in this category. No M/WBE subcontracting goals were established as the only eligible contract had an approved waiver.

#### Construction Services

All M/WBE Awards | **No awards to M/WBEs**

No contracts were eligible for establishing M/WBE construction subcontracting goals.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

#### Professional Services

All M/WBE Awards | **\$1,363,597**

SBS awarded \$1,363,597 in professional services subcontracts to M/WBE firms. 1 contract was eligible for establishing M/WBE subcontracting goals. No goals were established. The contract had an approved waiver.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

### CONTRACTS THROUGH OTHER METHODS

All M/WBE Awards | **\$7,393,216**

In this category, agencies have limited ability to impact the number of awards to M/WBEs beyond the initiatives listed on the previous page. The following breakdown summarizes contract opportunities and M/WBE awards by industry.

#### Construction Services

All M/WBE Awards | **No awards to M/WBEs**

The number of contracts is too few to evaluate performance across all goal categories. None of the 2 construction service contracts were subject to LL129.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

#### Professional Services

All M/WBE Awards\* | **\$7,386,593**

The number of contracts is too few to evaluate performance across all goal categories. None of the 7 professional service contracts were subject to LL129.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

*\*Includes Human Service contracts*

#### Standard Services

All M/WBE Awards | **No awards to M/WBEs**

The number of contracts is too few to evaluate performance across all goal categories. 3 of the 7 standard service contracts were subject to LL129.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

#### Goods

All M/WBE Awards | **\$6,623**

The number of contracts is too few to evaluate performance across all goal categories. None of the 4 goods contracts were subject to LL129. In its role as the administrative arm of New York City government, DCAS procures most goods contracts valued over \$100 thousand on behalf of other city agencies.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**



## ABOUT DOT

DOT manages much of the City's transportation infrastructure, including city streets, highways, sidewalks, and bridges.

DOT typically purchases construction services, standard services, such as municipal garage management and vehicle maintenance; and goods such as, electrical supplies, time clocks, tires & tools for auto body repair, and office supplies.

## Procurement Summary

In FY 2009, DOT awarded 1,380 contracts totaling \$690.3 million.

### CONTRACTS NOT SUBJECT TO GOALS

**96.85%** of the dollar value of contracts awarded fell outside the purview of LL129. This primarily included \$643.2 in contract sizes greater than \$1 million and an additional \$25.3 million through procurement methods not covered by LL129.

VALUE OF  
FY 2009  
PROCUREMENTS

**\$668.5M**

### CONTRACTS SUBJECT TO GOALS

**3.15%** of the dollar value of contracts awarded was subject to LL129 goals:

**Micro Purchases** | \$2.49 million, 811 contracts

**Small Purchases** | \$10.36 million, 323 contracts

**Contracts through other methods** | \$8.93 million, 19 contracts

**\$21.8M**

**Subcontracts** | 38 contracts eligible for establishing subcontracting goals\*

\*Prime contracts eligible for establishing subcontracting goals may not necessarily be subject to LL129 prime contracting goals

## M/WBE Performance Breakdown

DOT made substantial progress towards meeting its LL129 M/WBE goals by implementing and continuing activities to increase transparency and outreach to M/WBE firms and by ensuring their ability to compete in LL129 goal areas.

## ACTION PLAN

### STEPS TO IMPROVE PERFORMANCE IN 2010:

- ✓ **Require program staff to obtain ACCO approval for all micro purchases that do not have an M/WBE suggested vendor**
- ✓ **Contact SBS to help identify qualified M/WBEs for all small purchase solicitations**
- ✓ **Promote your contract opportunities to M/WBEs through a targeted outreach event**

### TRANSPARENCY, OUTREACH, AND ACCESSIBILITY INITIATIVES

The number of activities to increase the transparency and accessibility of contract opportunities and outreach to M/WBE firms is used to evaluate performance in this category. DOT continued or implemented 3 or more initiatives to increase transparency and outreach to M/WBE firms.

- ▶ Encouraged vendors already doing business with the agency, including DBE firms, to get certified
- ▶ Encouraged M/WBE vendors to enroll in the P-Card program and informed them about the benefits of using the P-Card
- ▶ Advertised solicitations in minority publications
- ▶ Continued to distribute a vendor's guide to doing business with the agency at events and agency locations
- ▶ Instituted weekly M/WBE compliance tracking
- ▶ Hired additional staff to administer the M/WBE program
- ▶ Discussed M/WBE program and requirements at pre-bid meetings
- ▶ Held unsuccessful bidder/proposer debriefings with M/WBEs
- ▶ Held meetings with certified firms wishing to do business with the agency
- ▶ Increased solicitation of M/WBEs for micro and small purchases
- ▶ Encouraged small purchase buyers to reach out to SBS to identify M/WBE vendors
- ▶ Staff attended Procurement Training Institute sessions sponsored by SBS and MOCS
- ▶ Participated and hosted events with targeted outreach to M/WBEs and DBEs
- ▶ Participated in workshops to inform M/WBEs about City procurement policies

## M/WBE Performance Breakdown (continued)

VALUE OF  
FY 2009  
PROCUREMENTS

**\$668.5M**

PRIME CONTRACTS  
**\$11,874,361**  
39 M/WBE FIRMS

**\$21.8M**

Overall, DOT awarded 39 M/WBE firms a total of \$11,874,361 in prime awards; 8% of this dollar value was applicable to LL129 goals.

In addition, 37 M/WBE firms won a total of \$15,831,500 in subcontracts, of which \$5,417,593 was applicable to subcontracting goals.

The large contract sizes, specialized work, and state and federal funding sources preclude many of DOT's construction and professional service procurements from LL129 goals. However, city certified firms may qualify under state and federal M/WBE or DBE programs, if properly certified.

### MICRO PURCHASES

All M/WBE Awards | **\$98,895**

The utilization rate of M/WBE firms is used to evaluate performance in this category. DOT achieved a 4% utilization rate, as compared to the 15% citywide average and the 50% goal.

LL129 Goal | **\$1,242,970**

LL129 M/WBE Awards | **\$98,895**

### SMALL PURCHASES

All M/WBE Awards | **\$766,779**

The percent of small purchase contracts that reflect a level of competition of 10 firms or more is used to evaluate performance in this category. 88% of small purchase contracts reflected a level of competition of 10 or more firms, as compared to the 82% citywide average and the 90% requirement.

LL129 Goal | **\$3,286,168**

LL129 M/WBE Awards | **\$739,932**

### SUBCONTRACTS

All M/WBE Awards | **\$15,831,500**

The M/WBE subcontracting goals set by the agency and the M/WBE utilization rate achieved by the prime contractor are used to evaluate performance in this category. DOT set construction subcontracting goals lower than the \$2,922,350 value of the citywide goals. DOT set professional services subcontracting goals lower than the \$1,125,162 value of the citywide goals.

#### Construction Services

All M/WBE Awards | **\$5,871,900**

DOT awarded \$5,871,900 in construction subcontracts to M/WBE firms. 19 contracts were eligible for establishing M/WBE subcontracting goals. Of those contracts, goals were established on 4 for a projected total of \$2,365,204 in subcontracts to M/WBEs. The remaining contracts either had no anticipated subcontracting in goal areas, state or federal goals, or an approved waiver. M/WBE subcontract awards in goal areas surpassed the LL129 goal.

LL129 Goal | **\$2,365,204**

LL129 M/WBE Awards | **\$2,449,200**

#### Professional Services

All M/WBE Awards | **\$9,717,100**

DOT awarded \$9,717,100 in professional services subcontracts to M/WBE firms. 19 contracts were eligible for establishing M/WBE subcontracting goals. Of those contracts, goals were established on 10 for a projected total of \$981,886 in subcontracts to M/WBEs. The remaining contracts either had state or federal goals, an approved waiver, or no anticipated subcontracting in goal areas. M/WBE subcontract awards in goal areas surpassed the LL129 goal.

LL129 Goal | **\$981,886**

LL129 M/WBE Awards | **\$2,968,393**

### CONTRACTS THROUGH OTHER METHODS

All M/WBE Awards | **\$11,008,687**

In this category, agencies have limited ability to impact the number of awards to M/WBEs beyond the initiatives listed on the previous page. The following breakdown summarizes contract opportunities and M/WBE awards by industry.

#### Construction Services

All M/WBE Awards |  
**No awards to M/WBEs**

4 of the 91 construction service contracts were subject to LL129, predominately procured to extend existing contracts.

LL129 Goal | **\$241,210**

LL129 M/WBE Awards | **\$0**

#### Professional Services

All M/WBE Awards | **\$10,878,537**

The number of contracts is too few to evaluate performance across all goal categories. 3 of the 75 professional service contracts were subject to LL129.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

#### Standard Services

All M/WBE Awards | **\$101,600**

12 of the 55 standard service contracts were subject to LL129, predominately procured through competitive sealed bid and to extend existing contracts.

LL129 Goal | **\$1,651,540**

LL129 M/WBE Awards | **\$101,600**

#### Goods

All M/WBE Awards | **\$30,790**

The number of contracts is too few to evaluate performance across all goal categories. None of the 23 goods contracts were subject to LL129. In its role as the administrative arm of New York City government, DCAS procures most goods contracts valued over \$100 thousand on behalf of other city agencies.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**



### ABOUT DYCD

DYCD provides the City of New York with high-quality, efficient youth and family programming. The department administers available city, state and federal funds to strong and effective community-based organizations that are attuned to the needs of the people they serve, and devoted to the highest principles of community service and sound fiscal management.

DYCD typically purchases human services, standard services such as transportation, equipment repair and language translation and goods such as IT software and office supplies.

## Procurement Summary

In FY 2009, DYCD awarded 3,236 contracts totaling \$354.6 million.

### CONTRACTS NOT SUBJECT TO GOALS

**99.46%** of the dollar value of contracts awarded fell outside the purview of LL129. This primarily included \$348.7 million in the human service industry and an additional \$3.9 million through procurement methods not covered by LL129.

VALUE OF  
FY 2009  
PROCUREMENTS

**\$352.7M**

### CONTRACTS SUBJECT TO GOALS

**0.54%** of the dollar value of contracts awarded was subject to LL129 goals:

**Micro Purchases** | \$232,756, 118 contracts

**Small Purchases** | \$70,047, 9 contracts

**Contracts through other methods** | \$1.61 million, 6 contracts

**\$1.9M**

**Subcontracts** | No contracts eligible for establishing subcontracting goals

## M/WBE Performance Breakdown

DYCD made substantial progress towards meeting its LL129 M/WBE goals by implementing and continuing activities to increase transparency and outreach to M/WBE firms and by ensuring their ability to compete in LL129 goal areas.

### TRANSPARENCY, OUTREACH, AND ACCESSIBILITY INITIATIVES

The number of activities to increase the transparency and accessibility of contract opportunities and outreach to M/WBE firms is used to evaluate performance in this category. DYCD continued or implemented 3 or more initiatives to increase transparency and outreach to M/WBE firms.

- ▶ Encouraged certification by distributing M/WBE program brochures to vendors
- ▶ Increased solicitation of M/WBEs for small and micro purchases
- ▶ Participated in events with targeted outreach to M/WBEs

## ACTION PLAN

### STEPS TO IMPROVE PERFORMANCE IN 2010:

- ✓ **Require program staff to obtain ACCO approval for all micro purchases that do not have an M/WBE suggested vendor**
- ✓ **Contact SBS to help identify qualified M/WBEs for all small purchase solicitations**
- ✓ **Promote your contract opportunities to M/WBEs through a targeted outreach event**

## M/WBE Performance Breakdown (continued)

VALUE OF  
FY 2009  
PROCUREMENTS

**\$352.7M**

PRIME CONTRACTS  
**\$1,295,941**  
9 M/WBE FIRMS

**\$1.9M**

Overall, DYCD awarded 9 M/WBE firms a total of \$1,295,941 in prime awards; 2% of this dollar value was applicable to LL129 goals.

DYCD does not procure in the construction industry and therefore does not set construction prime or subcontracting goals.

### MICRO PURCHASES

All M/WBE Awards | **\$19,670**

The utilization rate of M/WBE firms is used to evaluate performance in this category. DYCD achieved an 8% utilization rate, as compared to the 15% citywide average and the 50% goal.

LL129 Goal | **\$116,378**

LL129 M/WBE Awards | **\$19,670**

### SMALL PURCHASES

All M/WBE Awards | **\$8,225**

The percent of small purchase contracts that reflect a level of competition of 10 firms or more is used to evaluate performance in this category. 11% of small purchase contracts reflected a level of competition of 10 or more firms, as compared to the 82% citywide average and the 90% requirement.

LL129 Goal | **\$17,796**

LL129 M/WBE Awards | **\$8,225**

### SUBCONTRACTS

All M/WBE Awards | **No awards to M/WBES**

The M/WBE subcontracting goals set by the agency and the M/WBE utilization rate achieved by the prime contractor are used to evaluate performance in this category. None of the awarded prime contracts were eligible for setting LL129 subcontracting goals.

#### Construction Services

All M/WBE Awards | **No awards to M/WBES**

No contracts were eligible for establishing M/WBE construction subcontracting goals.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

#### Professional Services

All M/WBE Awards | **No awards to M/WBES**

No contracts were eligible for establishing M/WBE professional service subcontracting goals.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

### CONTRACTS THROUGH OTHER METHODS

All M/WBE Awards | **\$1,268,046**

In this category, agencies have limited ability to impact the number of awards to M/WBES beyond the initiatives listed on the previous page. The following breakdown summarizes contract opportunities and M/WBE awards by industry.

Construction Services	Professional Services	Standard Services	Goods
<p>All M/WBE Awards   <b>N/A</b></p> <p>No construction service contracts were procured in FY 2009.</p> <p>LL129 Goal   <b>N/A</b></p> <p>LL129 M/WBE Awards   <b>N/A</b></p>	<p>All M/WBE Awards   <b>\$1,236,676</b></p> <p>4 of the 9 professional service contracts were subject to LL129, predominately procured to extend existing contracts.</p> <p>LL129 Goal   <b>\$417,675</b></p> <p>LL129 M/WBE Awards   <b>\$0</b></p>	<p>All M/WBE Awards   <b>\$8,453</b></p> <p>The number of contracts is too few to evaluate performance across all goal categories. 2 of the 5 standard service contracts were subject to LL129.</p> <p>LL129 Goal   <b>N/A</b></p> <p>LL129 M/WBE Awards   <b>N/A</b></p>	<p>All M/WBE Awards   <b>\$22,917</b></p> <p>The number of contracts is too few to evaluate performance across all goal categories. None of the 14 goods contracts were subject to LL129. In its role as the administrative arm of New York City government, DCAS procures most goods contracts valued over \$100 thousand on behalf of other city agencies.</p> <p>LL129 Goal   <b>N/A</b></p> <p>LL129 M/WBE Awards   <b>N/A</b></p>

## ABOUT FDNY

FDNY protects the lives and property of New York City residents and visitors as first responders to fires, public safety and medical emergencies, disasters and terrorist acts.

FDNY typically purchases standard services, such as chimney cleaning, janitorial services, vehicle maintenance and repair; goods, such as paint, carpentry and plumbing supplies, and auto parts; and construction services, including building construction and the construction trades.

## Procurement Summary

In FY 2009, FDNY awarded 1,224 contracts totaling \$221.8 million.

### CONTRACTS NOT SUBJECT TO GOALS

**94.44%** of the dollar value of contracts awarded fell outside the purview of LL129. This primarily included \$206.1 million in contract sizes greater than \$1 million and an additional \$3.4 million through procurement methods not covered by LL129.

VALUE OF  
FY 2009  
PROCUREMENTS

**\$209.5M**

### CONTRACTS SUBJECT TO GOALS

**5.56%** of the dollar value of contracts awarded was subject to LL129 goals:

**Micro Purchases** | \$2.06 million, 825 contracts

**Small Purchases** | \$7.30 million, 274 contracts

**Contracts through other methods** | \$2.97 million, 8 contracts

**Subcontracts** | 3 contracts eligible for establishing subcontracting goals\*

**\$12.3M**

\*Prime contracts eligible for establishing subcontracting goals may not necessarily be subject to LL129 prime contracting goals

## M/WBE Performance Breakdown

FDNY made substantial progress towards meeting its LL129 M/WBE goals by implementing and continuing activities to increase transparency, outreach, and the accessibility of contracting to M/WBE firms and by ensuring their ability to compete in LL129 goal areas.

## ACTION PLAN

### STEPS TO IMPROVE PERFORMANCE IN 2010:

- ✓ **Require program staff to obtain ACCO approval for all micro purchases that do not have an M/WBE suggested vendor**
- ✓ **Promote your small purchase opportunities to M/WBEs through a targeted outreach event**
- ✓ **Monitor prime contractors with M/WBE subcontractor utilization plans and ensure that certified subcontractors are being used accordingly.**

### TRANSPARENCY, OUTREACH, AND ACCESSIBILITY INITIATIVES

The number of activities to increase the transparency and accessibility of contract opportunities and outreach to M/WBE firms is used to evaluate performance in this category. FDNY continued or implemented 3 or more initiatives to increase transparency, outreach, and accessibility of contracting to M/WBE firms.

- ▶ Promoted certification and procurement opportunities with the agency by sending letters to approximately 30 M/WBE organizations encouraging them to add a link to the FDNY website
- ▶ Provided information on eligibility for certification on agency website and linked website to the SBS website
- ▶ Promoted subcontracting opportunities at pre-bid conferences and included M/WBE information in the bid documents
- ▶ Created a guide to doing business with the Fire Department for distribution at events and conferences
- ▶ Provided one-on-one M/WBE Certification assistance to individual firms
- ▶ Made opportunities more accessible splitting contracts to reduce their size and scope
- ▶ Conducted regular meetings with all procurement staff members to enhance M/WBE utilization
- ▶ Increased solicitation of M/WBEs for small and micro purchases
- ▶ Used the Online Directory of certified firms to conduct outreach to M/WBEs
- ▶ Staff attended Procurement Training Institute sessions sponsored by SBS and MOCS
- ▶ Participated in events with targeted outreach to M/WBEs

## M/WBE Performance Breakdown (continued)

VALUE OF  
FY 2009  
PROCUREMENTS

**\$209.5M**

PRIME CONTRACTS  
**\$16,195,411**  
32 M/WBE FIRMS

**\$12.3M**

Overall, FDNY awarded 32 M/WBE firms a total of \$16,195,411 in prime awards; 5% of this dollar value was applicable to LL129 goals.

In addition, 3 M/WBE firms won a total of \$818,260 in subcontracts, of which \$45,000 was applicable to subcontracting goals.

### MICRO PURCHASES

All M/WBE Awards | **\$66,765**

The utilization rate of M/WBE firms is used to evaluate performance in this category. FDNY achieved a 3% utilization rate, as compared to the 15% citywide average and the 50% goal.

LL129 Goal | **\$1,029,325**

LL129 M/WBE Awards | **\$66,765**

### SMALL PURCHASES

All M/WBE Awards | **\$724,011**

The percent of small purchase contracts that reflect a level of competition of 10 firms or more is used to evaluate performance in this category. 59% of small purchase contracts reflected a level of competition of 10 or more firms, as compared to the 82% citywide average and the 90% requirement.

LL129 Goal | **\$2,346,580**

LL129 M/WBE Awards | **\$717,222**

### SUBCONTRACTS

All M/WBE Awards | **\$818,260**

The M/WBE subcontracting goals set by the agency and the M/WBE utilization rate achieved by the prime contractor are used to evaluate performance in this category. FDNY matched the \$4,765,217 value of the citywide goals.

#### Construction Services

All M/WBE Awards | **\$818,260**

FDNY awarded \$818,260 in construction subcontracts to M/WBE firms. 2 contracts were eligible for establishing M/WBE subcontracting goals. Goals were established on each for a projected total of \$4,765,217 in subcontracts to M/WBEs. \$45,000 had been awarded to M/WBEs in goal areas by the close of FY 2009. Additional M/WBE subcontracts in goal areas began in FY 2010 and surpassed the LL129 goal.

LL129 Goal | **\$4,765,217**

LL129 M/WBE Awards | **\$45,000**

#### Professional Services

All M/WBE Awards |

**No awards to M/WBEs**

1 contract was eligible for establishing M/WBE subcontracting goals. No goals were established. The contract had no anticipated subcontracting in goal areas.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

### CONTRACTS THROUGH OTHER METHODS

All M/WBE Awards | **\$15,404,635**

In this category, agencies have limited ability to impact the number of awards to M/WBEs beyond the initiatives listed on the previous page. The following breakdown summarizes contract opportunities and M/WBE awards by industry.

#### Construction Services

All M/WBE Awards |  
**No awards to M/WBEs**

The number of contracts is too few to evaluate performance across all goal categories. None of the 5 construction service contracts were subject to LL129.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

#### Professional Services

All M/WBE Awards |  
**No awards to M/WBEs**

The number of contracts is too few to evaluate performance across all goal categories. None of the 5 professional service contracts were subject to LL129.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

#### Standard Services

All M/WBE Awards | **\$15,404,635**

8 of the 40 standard service contracts were subject to LL129, predominately procured through competitive sealed bid and to extend existing contracts.

LL129 Goal | **\$736,234**

LL129 M/WBE Awards | **\$0**

#### Goods

All M/WBE Awards |  
**No awards to M/WBEs**

The number of contracts is too few to evaluate performance across all goal categories. None of the 55 goods contracts were subject to LL129. In its role as the administrative arm of New York City government, DCAS procures most goods contracts valued over \$100 thousand on behalf of other city agencies.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**



## ABOUT HPD

HPD protects the existing housing stock and expands housing options for New Yorkers as it strives to improve the availability, affordability, and quality of housing in New York City.

HPD typically purchases construction services including construction trades; standard services such as exterminating and cleaning services; and goods, including computer equipment.

## Procurement Summary

In FY 2009, HPD awarded 16,266 contracts totaling \$104.0 million.

### CONTRACTS NOT SUBJECT TO GOALS

**78.66%** of the dollar value of contracts awarded fell outside the purview of LL129. This primarily included \$59.1 million in contract sizes greater than \$1 million and an additional \$22.7 million in industries and through procurement methods not covered by LL129.

VALUE OF  
FY 2009  
PROCUREMENTS

**\$81.8M**

### CONTRACTS SUBJECT TO GOALS

**21.34%** of the dollar value of contracts awarded was subject to LL129 goals:

**Micro Purchases** | \$9.13 million, 15,392 contracts

**Small Purchases** | \$10.12 million, 567 contracts

**Contracts through other methods** | \$2.94 million, 37 contracts

**\$22.2M**

**Subcontracts** | 6 contracts eligible for establishing subcontracting goals\*

\*Prime contracts eligible for establishing subcontracting goals may not necessarily be subject to LL129 prime contracting goals

## M/WBE Performance Breakdown

HPD made substantial progress towards meeting its LL129 M/WBE goals by implementing and continuing activities to increase transparency and outreach to M/WBE firms and by ensuring their ability to compete in LL129 goal areas.

### TRANSPARENCY, OUTREACH, AND ACCESSIBILITY INITIATIVES

The number of activities to increase the transparency and accessibility of contract opportunities and outreach to M/WBE firms is used to evaluate performance in this category. HPD continued or implemented 3 or more initiatives to increase transparency and outreach to M/WBE firms.

- ▶ Encouraged vendors already doing business with the agency to get certified, specifically those pre-qualified with the Division of Maintenance
- ▶ Promoted HPD's contractor training program at area CUNY colleges to M/WBE and LBE firms
- ▶ Added an M/WBE page on agency website
- ▶ Advertised solicitations up to \$1M in Minority Commerce Weekly
- ▶ Monitored the use of M/WBE subcontractors on demolition contracts and construction management contracts
- ▶ Contacted certified firms by phone and e-mail to inform them about subcontracting opportunities
- ▶ Met with bidders on the HPD demolition panel to explain LL129 and M/WBE participation
- ▶ Hosted bi-monthly HPD workshops for certified firms
- ▶ Increased solicitation of M/WBEs for micro and small purchases
- ▶ Participated and hosted networking events with targeted outreach to M/WBEs
- ▶ Participated in workshops to inform M/WBEs about City procurement policies

## ACTION PLAN

### STEPS TO IMPROVE PERFORMANCE IN 2010:

- ✓ **Work with SBS to encourage eligible contractors already doing business with the agency to get certified and pre-qualified for the Division of Maintenance contractor panel.**
- ✓ **Monitor prime contractors with M/WBE subcontractor utilization plans and ensure that certified subcontractors are being used accordingly.**

## M/WBE Performance Breakdown (continued)

VALUE OF  
FY 2009  
PROCUREMENTS

**\$81.8M**

**\$22.2M**

PRIME CONTRACTS  
**\$27,269,610**  
79 M/WBE FIRMS

Overall, HPD awarded 79 M/WBE firms a total of \$27,269,610 in prime awards; 7% of this dollar value was applicable to LL129 goals.

In addition, 21 M/WBE firms won a total of \$11,494,185 in subcontracts, of which \$135,500 was applicable to subcontracting goals.

Many of HPD's construction projects are contracted to construction management firms.

Many of HPD's micro purchase and sub five thousand dollar value contracts are procured from a pre-qualified list of vendors.

### MICRO PURCHASES

All M/WBE Awards | **\$1,017,204**

The utilization rate of M/WBE firms is used to evaluate performance in this category. HPD achieved an 11% utilization rate, as compared to the 15% citywide average and the 50% goal.

LL129 Goal | **\$4,566,118**

LL129 M/WBE Awards | **\$1,017,204**

### SMALL PURCHASES

All M/WBE Awards | **\$1,295,630**

The percent of small purchase contracts that reflect a level of competition of 10 firms or more is used to evaluate performance in this category. 68% of small purchase contracts reflected a level of competition of 10 or more firms, as compared to the 82% citywide average and the 90% requirement.

LL129 Goal | **\$2,327,269**

LL129 M/WBE Awards | **\$267,400**

### SUBCONTRACTS

All M/WBE Awards | **\$11,494,185**

The M/WBE subcontracting goals set by the agency and the M/WBE utilization rate achieved by the prime contractor are used to evaluate performance in this category. HPD set construction subcontracting goals higher than the \$91,631 value of the citywide goals.

#### Construction Services

All M/WBE Awards | **\$11,478,985**

HPD awarded \$11,478,985 in construction subcontracts to M/WBE firms. 6 contracts were eligible for establishing M/WBE subcontracting goals. Goals were established on each for a projected total of \$104,796 in subcontracts to M/WBEs. M/WBE subcontract awards in goal areas surpassed the LL129 goal.

LL129 Goal | **\$104,796**

LL129 M/WBE Awards | **\$135,500**

#### Professional Services

All M/WBE Awards |  
**No awards to M/WBEs**

No contracts were eligible for establishing M/WBE professional service subcontracting goals.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

### CONTRACTS THROUGH OTHER METHODS

All M/WBE Awards | **\$24,956,776**

In this category, agencies have limited ability to impact the number of awards to M/WBEs beyond the initiatives listed on the previous page. The following breakdown summarizes contract opportunities and M/WBE awards by industry.

Construction Services	Professional Services	Standard Services	Goods
<p>All M/WBE Awards   <b>No awards to M/WBEs</b></p> <p>34 of the 113 construction service contracts were subject to LL129, predominately procured through competitive sealed bid and to amend existing contracts.</p> <p>LL129 Goal   <b>\$457,580</b></p> <p>LL129 M/WBE Awards   <b>\$0</b></p>	<p>All M/WBE Awards   <b>No awards to M/WBEs</b></p> <p>The number of contracts is too few to evaluate performance across all goal categories. None of the 10 professional service contracts were subject to LL129.</p> <p>LL129 Goal   <b>N/A</b></p> <p>LL129 M/WBE Awards   <b>N/A</b></p>	<p>All M/WBE Awards   <b>\$21,365,867</b></p> <p>The number of contracts is too few to evaluate performance across all goal categories. 3 of the 30 standard service contracts were subject to LL129.</p> <p>LL129 Goal   <b>N/A</b></p> <p>LL129 M/WBE Awards   <b>N/A</b></p>	<p>All M/WBE Awards   <b>\$100,000</b></p> <p>The number of contracts is too few to evaluate performance across all goal categories. None of the 18 goods contracts were subject to LL129. In its role as the administrative arm of New York City government, DCAS procures most goods contracts valued over \$100 thousand on behalf of other city agencies.</p> <p>LL129 Goal   <b>N/A</b></p> <p>LL129 M/WBE Awards   <b>N/A</b></p>

## ABOUT HRA

HRA provides temporary assistance to individuals and families with social service and economic needs, helping them in reaching self-sufficiency.

HRA typically purchases human services; standard services such as equipment maintenance, process servers, transportation, janitorial, security, painting, clerical and messenger services; and professional services, such as IT and business consulting and audit services.

## Procurement Summary

In FY 2009, HRA awarded 1,275 contracts totaling \$296.5 million.

### CONTRACTS NOT SUBJECT TO GOALS

**96.33%** of the dollar value of contracts awarded fell outside the purview of LL129. This primarily included \$242.6 million in contract sizes greater than \$1 million and an additional \$43 million in industries and procurement methods not covered by LL129.

VALUE OF  
FY 2009  
PROCUREMENTS

**\$285.6M**

### CONTRACTS SUBJECT TO GOALS

**3.67%** of the dollar value of contracts awarded was subject to LL129 goals:

**Micro Purchases** | \$961,858, 533 contracts

**Small Purchases** | \$4.14 million, 115 contracts

**Contracts through other methods** | \$5.76 million, 23 contracts

**\$10.9M**

**Subcontracts** | 5 contracts eligible for establishing subcontracting goals\*

*\*Prime contracts eligible for establishing subcontracting goals may not necessarily be subject to LL129 prime contracting goals*

## M/WBE Performance Breakdown

HRA made substantial progress towards meeting its LL129 M/WBE goals by implementing and continuing activities to increase transparency and outreach to M/WBE firms and by ensuring their ability to compete in LL129 goal areas.

### TRANSPARENCY, OUTREACH, AND ACCESSIBILITY INITIATIVES

The number of activities to increase the transparency and accessibility of contract opportunities and outreach to M/WBE firms is used to evaluate performance in this category. HRA continued or implemented 3 or more initiatives to increase transparency and outreach to M/WBE firms.

- ▶ Encouraged vendors already doing business with the agency to get certified
- ▶ Advertised all formal solicitations in Minority Commerce Weekly
- ▶ Distributed M/WBE certification applications at pre-bid conferences
- ▶ Participated in workshops to inform M/WBEs about City procurement policies
- ▶ Increased solicitation of M/WBEs for micro and small purchases
- ▶ Created a list of resources including M/WBE directories from other jurisdictions and professional organizations
- ▶ Attended Procurement Training Institute sessions sponsored by SBS and MOCS
- ▶ Participated in several events that targeted outreach to M/WBEs

## ACTION PLAN

### STEPS TO IMPROVE PERFORMANCE IN 2010:

- ✓ **Work with SBS to encourage eligible consultants already doing business with the agency to get certified**
- ✓ **Work with SBS to share best practices with other agencies**

## M/WBE Performance Breakdown (continued)

VALUE OF  
FY 2009  
PROCUREMENTS

**\$285.6M**

PRIME CONTRACTS  
**\$33,025,963**  
75 M/WBE FIRMS

**\$10.9M**

Overall, HRA awarded 75 M/WBE firms a total of \$33,025,963 in prime awards; 7% of this dollar value was applicable to LL129 goals.

### MICRO PURCHASES

All M/WBE Awards | **\$379,956**

The utilization rate of M/WBE firms is used to evaluate performance in this category. HRA achieved a 40% utilization rate, as compared to the 15% citywide average and the 50% goal.

LL129 Goal | **\$480,929**

LL129 M/WBE Awards | **\$379,956**

### SMALL PURCHASES

All M/WBE Awards | **\$783,953**

The percent of small purchase contracts that reflect a level of competition of 10 firms or more is used to evaluate performance in this category. 79% of small purchase contracts reflected a level of competition of 10 or more firms, as compared to the 82% citywide average and the 90% requirement.

LL129 Goal | **\$1,211,754**

LL129 M/WBE Awards | **\$660,940**

### SUBCONTRACTS

All M/WBE Awards | **No awards to M/WBEs**

The M/WBE subcontracting goals set by the agency and the M/WBE utilization rate achieved by the prime contractor are used to evaluate performance in this category. No M/WBE subcontracting goals were established as there was no subcontracting anticipated in goal areas.

#### Construction Services

All M/WBE Awards | **No awards to M/WBEs**

No contracts were eligible for establishing M/WBE construction subcontracting goals.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

#### Professional Services

All M/WBE Awards | **No awards to M/WBEs**

5 contracts were eligible for establishing M/WBE subcontracting goals. No goals were established. The contracts had no anticipated subcontracting in goal areas.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

### CONTRACTS THROUGH OTHER METHODS

All M/WBE Awards | **\$31,862,054**

In this category, agencies have limited ability to impact the number of awards to M/WBEs beyond the initiatives listed on the previous page. The following breakdown summarizes contract opportunities and M/WBE awards by industry.

#### Construction Services

All M/WBE Awards | **\$1,649,995**

The number of contracts is too few to evaluate performance across all goal categories. 1 of the 2 construction service contracts was subject to LL129.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

#### Professional Services

All M/WBE Awards | **\$9,048,371**

9 of the 58 professional service contracts were subject to LL129, predominately procured through competitive sealed bid or to amend existing contracts.

LL129 Goal | **\$416,801**

LL129 M/WBE Awards | **\$712,100**

#### Standard Services

All M/WBE Awards | **\$21,048,302**

13 of the 59 standard service contracts were subject to LL129, predominately procured through competitive sealed bid.

LL129 Goal | **\$1,079,005**

LL129 M/WBE Awards | **\$494,700**

#### Goods

All M/WBE Awards | **\$115,385**

The number of contracts is too few to evaluate performance across all goal categories. None of the 191 goods contracts were subject to LL129. In its role as the administrative arm of New York City government, DCAS procures most goods contracts valued over \$100 thousand on behalf of other city agencies.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

## ABOUT Law

Law is responsible for all the legal affairs of the City. It represents the City, the Mayor, other elected officials, and the City's many agencies; drafts and reviews local and State legislation, real estate leases, procurement contracts and financial instruments; and provides legal counsel to City officials.

LAW typically purchases standard services such as transportation, court reporting, and translation and goods such as office supplies.

## Procurement Summary

In FY 2009, Law awarded 1,097 contracts totaling \$175.7 million.

### CONTRACTS NOT SUBJECT TO GOALS

**91.19%** of the dollar value of contracts awarded fell outside the purview of LL129. This primarily included \$158 million in contract sizes greater than \$1 million and an additional \$2.2 million through procurement methods not covered by LL129.

### CONTRACTS SUBJECT TO GOALS

**8.81%** of the dollar value of contracts awarded was subject to LL129 goals:

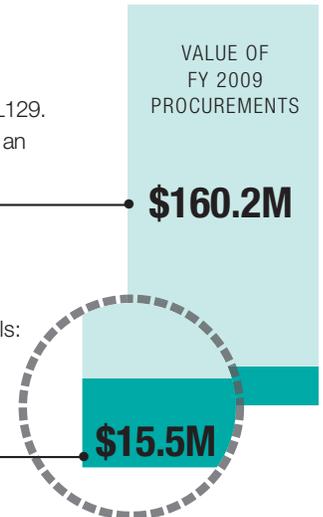
**Micro Purchases** | \$1.42 million, 725 contracts

**Small Purchases** | \$1.71 million, 181 contracts

**Contracts through other methods** | \$12.34 million, 112 contracts

**Subcontracts** | 22 contracts eligible for establishing subcontracting goals\*

\*Prime contracts eligible for establishing subcontracting goals may not necessarily be subject to LL129 prime contracting goals



## ACTION PLAN

### STEPS TO IMPROVE PERFORMANCE IN 2010:

- ✓ **Require program staff to obtain ACCO approval for all micro purchases that do not have an M/WBE suggested vendor**
- ✓ **Contact SBS to help identify qualified M/WBEs for all small purchase solicitations**
- ✓ **Work with SBS to encourage eligible consultants already doing business with the agency to get certified**

## M/WBE Performance Breakdown

Law made substantial progress towards meeting its LL129 M/WBE goals by implementing and continuing activities to increase transparency and outreach to M/WBE firms and by ensuring their ability to compete in LL129 goal areas.

### TRANSPARENCY, OUTREACH, AND ACCESSIBILITY INITIATIVES

The number of activities to increase the transparency and accessibility of contract opportunities and outreach to M/WBE firms is used to evaluate performance in this category. Law continued or implemented 3 or more initiatives to increase transparency and outreach to M/WBE firms.

- ▶ 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
- ▶ Added M/WBE program information to agency website
- ▶ Worked with several industry organizations to identify M/WBE expert witnesses for litigation. Organizations included the Association of Black Psychologists, National Medical Association, American Academy of Orthopedic Surgeons, American Psychiatric Association, and National Hispanic Medical Association
- ▶ Staff attended Procurement Training Institute sessions sponsored by SBS and MOCS
- ▶ Participated in several events that targeted outreach to M/WBEs

## M/WBE Performance Breakdown (continued)

VALUE OF  
FY 2009  
PROCUREMENTS

**\$160.2M**

PRIME CONTRACTS  
**\$530,209**  
22 M/WBE FIRMS

**\$15.5M**

Overall, Law awarded 22 M/WBE firms a total of \$530,209 in prime awards; 37% of this dollar value was applicable to LL129 goals.

The Law Department will not contract with outside law firms and experts representing clients whose interests conflict with the City's, therefore the department does not subcontract in the professional services industry and does not set professional service subcontracting goals.

### MICRO PURCHASES

All M/WBE Awards | **\$75,221**

The utilization rate of M/WBE firms is used to evaluate performance in this category. LAW achieved a 5% utilization rate, as compared to the 15% citywide average and the 50% goal.

LL129 Goal | **\$709,866**

LL129 M/WBE Awards | **\$75,221**

### SMALL PURCHASES

All M/WBE Awards | **\$120,209**

The percent of small purchase contracts that reflect a level of competition of 10 firms or more is used to evaluate performance in this category. 9% of small purchase contracts reflected a level of competition of 10 or more firms, as compared to the 82% citywide average and the 90% requirement.

LL129 Goal | **\$514,403**

LL129 M/WBE Awards | **\$120,209**

### SUBCONTRACTS

All M/WBE Awards | **No awards to M/WBEs**

The M/WBE subcontracting goals set by the agency and the M/WBE utilization rate achieved by the prime contractor are used to evaluate performance in this category. No M/WBE subcontracting goals were established as there was no subcontracting anticipated in goal areas.

#### Construction Services

All M/WBE Awards | **N/A**

No contracts were eligible for establishing M/WBE construction subcontracting goals.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

#### Professional Services

All M/WBE Awards | **N/A**

22 contracts were eligible for establishing M/WBE subcontracting goals. No goals were established. Each had no anticipated subcontracting in goal areas. The Law Department will not contract with outside law firms and experts representing clients whose interests conflict with the City's, therefore the department does not set professional service subcontracting goals and does not subcontract in the professional services industry.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

### CONTRACTS THROUGH OTHER METHODS

All M/WBE Awards | **\$334,779**

In this category, agencies have limited ability to impact the number of awards to M/WBEs beyond the initiatives listed on the previous page. The following breakdown summarizes contract opportunities and M/WBE awards by industry.

#### Construction Services

All M/WBE Awards | **N/A**

No construction service contracts were procured in FY 2009.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

#### Professional Services

All M/WBE Awards | **\$9,779**

107 of the 156 professional service contracts were subject to LL129, predominately procured by negotiated acquisition and to amend existing contracts.

LL129 Goal | **\$3,494,177**

LL129 M/WBE Awards | **\$0**

#### Standard Services

All M/WBE Awards | **\$325,000**

4 of the 28 standard service contracts were subject to LL129, predominately procured by competitive sealed bid.

LL129 Goal | **\$195,333**

LL129 M/WBE Awards | **\$0**

#### Goods

All M/WBE Awards |

**No awards to M/WBEs**

The number of contracts is too few to evaluate performance across all goal categories. 1 of the 7 goods contracts was subject to LL129. In its role as the administrative arm of New York City government, DCAS procures most goods contracts valued over \$100 thousand on behalf of other city agencies.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**



## ABOUT NYPD

NYPD enhances the quality of life by working in partnership with the community and in accordance with constitutional rights to enforce the laws, preserve the peace, reduce fear, and provide for a safe environment.

NYPD typically purchases professional services such as veterinary services and aviation training; goods such as electronics, cleaning supplies and uniforms; standard services such as medical billing and facilities maintenance; and construction services such as plumbing, painting, and fencing services.

## Procurement Summary

In FY 2009, NYPD awarded 4,407 contracts totaling \$226.4 million.

### CONTRACTS NOT SUBJECT TO GOALS

**87.71%** of the dollar value of contracts awarded fell outside the purview of LL129. This primarily included \$187.7 million in contract sizes greater than \$1 million and an additional \$10.9 million through procurement methods not covered by LL129.

VALUE OF  
FY 2009  
PROCUREMENTS

**\$198.6M**

### CONTRACTS SUBJECT TO GOALS

**12.29%** of the dollar value of contracts awarded was subject to LL129 goals:

**Micro Purchases** | \$6.38 million, 3,119 contracts

**Small Purchases** | \$13.59 million, 657 contracts

**Contracts through other methods** | \$7.86 million, 57 contracts

**Subcontracts** | 18 contracts eligible for establishing subcontracting goals\*

\*Prime contracts eligible for establishing subcontracting goals may not necessarily be subject to LL129 prime contracting goals

**\$27.8M**

## M/WBE Performance Breakdown

NYPD made substantial progress towards meeting its LL129 M/WBE goals by implementing and continuing activities to increase transparency and outreach to M/WBE firms and by ensuring their ability to compete in LL129 goal areas.

## ACTION PLAN

### STEPS TO IMPROVE PERFORMANCE IN 2010:

- ✓ **Promote your small purchase opportunities to M/WBEs through a targeted outreach event**
- ✓ **Make increasing micro purchase utilization a priority**
- ✓ **Encourage consistent use of M/WBE Online Directory and other SBS resources by staff at Command Centers**

### TRANSPARENCY, OUTREACH, AND ACCESSIBILITY INITIATIVES

The number of activities to increase the transparency and accessibility of contract opportunities and outreach to M/WBE firms is used to evaluate performance in this category. NYPD continued or implemented 3 or more initiatives to increase transparency and outreach to M/WBE firms.

- ▶ Coordinated efforts with SBS to expand the pool of M/WBEs bidding on and winning small purchases
- ▶ Encouraged certification by providing material and applications to non-certified M/WBEs
- ▶ Advertised in Minority Commerce Weekly
- ▶ Added a one page notice to bid documents about the M/WBE program
- ▶ Made contract opportunities with NYPD more transparent by continuing to disseminate information on contracting opportunities and how to identify opportunities with the Department
- ▶ Established a NYPD Vendor Assessment Committee to help direct vendors to the best liaisons in the agency for the goods/services they provide
- ▶ Offered unsuccessful bidders/proposers debriefings
- ▶ Worked with M/WBEs that requested assistance with the procurement process, including one-on-one sessions
- ▶ Increased solicitation of M/WBEs for small and micro purchases
- ▶ Staff attended Procurement Training Institute sessions sponsored by SBS and MOCS
- ▶ Trained prime contractors on the M/WBE Program and instructed them on Program requirements
- ▶ Participated in events with targeted outreach to M/WBEs
- ▶ Participated in workshops to inform M/WBEs about City procurement policies

## M/WBE Performance Breakdown (continued)

VALUE OF  
FY 2009  
PROCUREMENTS

**\$198.6M**

PRIME CONTRACTS  
**\$5,184,991**  
85 M/WBE FIRMS

**\$27.8M**

Overall, NYPD awarded 85 M/WBE firms a total of \$5,184,991 in prime awards; 32% of this dollar value was applicable to LL129 goals.

In addition, 1 M/WBE firm won a total of \$75,000 in subcontracts, all applicable to subcontracting goals.

### MICRO PURCHASES

All M/WBE Awards | **\$716,075**

The utilization rate of M/WBE firms is used to evaluate performance in this category. NYPD achieved a 11% utilization rate, as compared to the 15% citywide average and the 50% goal.

LL129 Goal | **\$3,188,416**

LL129 M/WBE Awards | **\$716,075**

### SMALL PURCHASES

All M/WBE Awards | **\$1,060,110**

The percent of small purchase contracts that reflect a level of competition of 10 firms or more is used to evaluate performance in this category. 92% of small purchase contracts reflected a level of competition of 10 or more firms, as compared to the 82% citywide average and the 90% requirement.

LL129 Goal | **\$4,303,973**

LL129 M/WBE Awards | **\$962,615**

### SUBCONTRACTS

All M/WBE Awards | **\$75,000**

The M/WBE subcontracting goals set by the agency and the M/WBE utilization rate achieved by the prime contractor are used to evaluate performance in this category. NYPD matched the \$255,476 value of the citywide construction subcontracting goals. NYPD matched the \$389,645 value of the citywide professional service subcontracting goals.

#### Construction Services

All M/WBE Awards | **\$75,000**

NYPD awarded \$75,000 in construction subcontracts to M/WBE firms. 12 contracts were eligible for establishing M/WBE subcontracting goals. Of those contracts, goals were established on 8 for a projected total of \$255,476 in subcontracts to M/WBEs. The remaining contracts had approved waivers. \$75,000 has been awarded to M/WBEs in goal areas. Additional subcontracting will begin in FY 2010.

LL129 Goal | **\$255,476**

LL129 M/WBE Awards | **\$75,000**

#### Professional Services

All M/WBE Awards |  
**No awards to M/WBEs**

6 contracts were eligible for establishing M/WBE subcontracting goals. Of those contracts, goals were established on 1 for a projected total of \$389,645 in subcontracts to M/WBEs. The remaining contracts either had approved waivers or no anticipated subcontracting in goal areas. Subcontracts in goal areas will begin in FY 2010 or have yet to be identified by the prime contractor.

LL129 Goal | **\$389,645**

LL129 M/WBE Awards | **\$0**

### CONTRACTS THROUGH OTHER METHODS

All M/WBE Awards | **\$3,408,806**

In this category, agencies have limited ability to impact the number of awards to M/WBEs beyond the initiatives listed on the previous page. The following breakdown summarizes contract opportunities and M/WBE awards by industry.

#### Construction Services

All M/WBE Awards | **\$2,375,800**

14 of the 19 construction service contracts were subject to LL129, predominately procured through competitive sealed bid.

LL129 Goal | **\$928,706**

LL129 M/WBE Awards | **\$0**

#### Professional Services

All M/WBE Awards | **\$92,457**

8 of the 37 professional service contracts were subject to LL129, predominately procured to amend existing contracts.

LL129 Goal | **\$123,180**

LL129 M/WBE Awards | **\$0**

#### Standard Services

All M/WBE Awards | **\$258,424**

35 of the 132 standard service contracts were subject to LL129, predominately procured through competitive sealed bid and to amend existing contracts.

LL129 Goal | **\$787,465**

LL129 M/WBE Awards | **\$0**

#### Goods

All M/WBE Awards | **\$682,125**

The number of contracts is too few to evaluate performance across all goal categories. None of the 437 goods contracts were subject to LL129. In its role as the administrative arm of New York City government, DCAS procures most goods contracts valued over \$100 thousand on behalf of other city agencies.

LL129 Goal | **N/A**

LL129 M/WBE Awards | **N/A**

## GLOSSARY

**Accelerated Procurement** | A procurement method used to buy commodities, such as fuel, that must be obtained quickly due to significant shortages and/or short-term price fluctuations.

**Architecture/Engineering Services** | Architecture and engineering is a class of services specifically related to the preparation of plans and specifications for construction projects. This category does not include Construction Management or Construction Management and Build contracts, nor does it include the preparation of environmental studies. Contracts to hire licensed architects or professional engineers (PE) are included.

**Bid Document** | Refers to documents pertaining to an agency's solicitation.

**Change Order** | An agency-authorized, written modification of a contract that adjusts price or time for performance. A change order permits the vendor to complete work that is included in the scope of the contract and permits the agency to make non-material changes to the scope.

**City Chief Procurement Officer (CCPO)** | Position delegated authority by the Mayor to coordinate and oversee the procurement activity of mayoral agency staff, including ACCOs. The Mayor has designated the Director of MOCS as the CCPO.

**Competitive Sealed Bid (CSB)** | The most frequently used procurement method for purchasing goods and construction and standardized services. Contracts are awarded to the responsible vendor that agrees to provide the goods or services at the lowest price.

**Competitive Sealed Proposal** | A Competitive Sealed Proposal, also known as a Request for Proposals (RFP), is used when an agency must consider factors in addition to price, such as the vendor's experience and expertise. RFPs are most frequently used when procuring human services, professional services and architecture/engineering services.

**Competitiveness** | Competitiveness is achieved when multiple vendors contend for a contract. For competitive sealed bids, requests for proposals and competitive innovative procurements, a contract is competitive when the agency receives three or more responses. For small purchases, competitiveness is defined as soliciting a minimum of 10 vendors.

**Construction Services** | Construction Services provide construction, rehabilitation and/or renovation of physical structures. This category includes Construction Management and Build contracts as well as other construction-related services such as: painting, carpentry, plumbing and electrical installation, asbestos and lead abatement, carpet installation and removal, and demolition.

**Contract** | A written agreement between the City and a vendor that gives rise to obligations that enforce and regulate law.

**Cycle Time** | The typical length of time it takes City agencies to process competitive sealed bids and RFPs.

**Default** | Inability of a contractor to fulfill the requirements of a contract, usually a result of poor performance, inability to perform, unreasonable delays, loss of insurance or bond or other deviation from the contract.

## GLOSSARY

**Demonstration Project** | A demonstration project is a short-term, carefully planned pilot exercise designed to test and evaluate the feasibility and application of an innovative product, approach or technology not currently used by the City. At the conclusion of the contract term, based upon the documented results of the project, the agency determines whether to competitively acquire or to discontinue the use of the product, approach or technology.

**Design Change Order** | An amendment to a design consultant contract, e.g., architecture or engineering.

**Disadvantaged Business Enterprise** | Department of Transportation's Disadvantaged Business Enterprises (DBE) program is authorized by the Safe, Accountable, Flexible, Efficient Transportation Equity Act. As recipients of DOT financial assistance, state and local transportation agencies are responsible to:

- Certify the eligibility of DBE firms to participate in their DOT-assisted contracts;
- Establish narrowly-tailored goals for the participation of disadvantaged entrepreneurs; and
- Evaluate their DOT-assisted contracts throughout the year and establish contract-specific DBE subcontracting goals as necessary to achieve the overall goal of the agency.

To participate in the DBE program, a small business owned and controlled by socially and economically disadvantaged individuals must receive DBE certification from the relevant state- generally through the state Uniform Certification Program (UCP).

African-Americans, Hispanics, Native Americans, Asian-Pacific and Subcontinent Asian Americans, and women are presumed to be socially and economically disadvantaged. Other individuals can also qualify as socially and economically disadvantaged on a case-by-case basis. To be regarded as economically disadvantaged, an individual must have a personal net worth that does not exceed \$750,000. To be seen as a small business, a firm must meet SBA size criteria AND have average annual gross receipts not to exceed \$20.41 million. Size limits for the airport concessions DBE program are higher.

(This definition is summarized from the Department of Transportation website. Details and a full explanation can be found online at: <http://osdbu.dot.gov/DBEProgram/definitions.cfm>)

**Discretionary Award** | See "line-item appropriation".

**Emergency Procurement** | Method of procurement used to obtain goods and services very quickly, in many instances without competition, when an agency must address threats to public health or safety, or provide a necessary service on an emergency basis.

**Emerging Business Enterprise (EBE)** | Local Law 12 of 2006 establishes participation goals for EBEs, defined as businesses owned and operated by individuals who have experienced social disadvantage in American society as a result of causes not common to individuals who are not disadvantaged, and whose ability to compete in the market has been impaired due to diminished capital and credit opportunities as compared to others in the same business area who are not socially disadvantaged. EBE participation goals for prime contracts and subcontracts apply to the same industries as M/WBE goals. The Department of Small Business Services certifies participating businesses as EBEs.

## GLOSSARY

**Fiscal Year** | The City's fiscal year runs from July 1st of the preceding year to June 30th of the given year. Fiscal 2008 runs from July 1, 2007 through June 30, 2008.

**Goods** | This category includes all purchases of physical items. Most purchases of goods above the small purchase limit of \$100,000 are made by the Department of Citywide Administrative Services.

**Human Services** | A class of services that are provided directly to clients in various at-need groups. This category includes homeless shelters, counseling services, youth programs, after-school programs, homes for the aged, home care and other similar services. Vendors in this category are primarily not-for-profit; some services, such as home care, also have for-profit providers.

**Innovative Procurement** | Agencies are permitted by the PPB Rules to experiment with new procurement methods. They may test any new method on a limited number of procurements. Once the tested methods are evaluated, PPB determines whether to codify the new methods for future use.

**Intergovernmental Purchase** | A fast-track method that enables City agencies to buy goods or services using pre-existing contracts between vendors and other government agencies, commonly the State of New York.

**Line Item Appropriation** | As part of the City's budget process, the City Council and Borough Presidents provide funding to specific vendors, typically community-based human services organizations, cultural institutions or other not-for-profit groups. The contracts through which those funds flow are classified as line item or discretionary appropriations. This type of contract usually results in a high volume of small awards, some valued at only a few thousand dollars.

**LL129 Pre-award Waiver** | A contracting agency may grant a full or partial waiver of the target subcontracting percentage (TSP) to a bidder or proposer who demonstrates that it has legitimate business reasons for proposing the level of subcontracting in its utilization plan. The TSP is the agency-determined percentage of a prime contract that is likely to be subcontracted for construction, professional and architecture/engineering services work where each subcontract's dollar value will fall under one million dollars.

The contracting agency shall make its determination in light of factors which shall include, but not be limited to, whether the bidder or proposer has the capacity and the bona fide intention to perform the contract without any subcontracting, or to perform the contract without awarding the amount of subcontracts for under one million dollars represented by the target subcontracting percentage. In making such determination, the agency may consider whether the utilization plan is consistent with past subcontracting practices of the bidder or proposer, and whether the bidder or proposer has made good faith efforts to identify portions of the contract that it intends to subcontract.

**Micropurchase** | A method of procurement used to quickly buy goods, services or construction valued at up to \$5,000. Agencies may buy from any available vendor at a fair price, without formal competition. Agencies that use micropurchases the most tend to be those responsible for widely dispersed facilities including infrastructure, police station houses, parks and housing complexes.

## GLOSSARY

**Minority/Women-Owned Businesses (M/WBEs)** | Local Law 129 of 2005 establishes citywide participation goals by race, ethnicity and gender for vendors that are certified to be owned by women and/or minorities for contracts less than \$1 million dollars. The citywide goals for Black Americans, Hispanic Americans, Asian Americans and Caucasian women represent the anticipated percentage of contracts by dollar value between City agencies and M/WBE firms during the course of the year. Prime contract participation goals exist in four industry categories: construction, professional services, standardized services and goods. Local Law 129 also establishes participation goals for subcontracts under \$1 million for construction and professional services. Each City agency that does at least \$5 million in procurement annually is responsible for developing an M/WBE utilization plan and meeting the citywide participation goals. The Department of Small Business Services certifies participating businesses as M/WBEs through an application process in order to prevent fraudulent claims under this program.

<b>LL129 GOALS</b>	Asian	Black	Hispanic	Caucasian Female
<b>Prime</b>				
Construction	No Goal	12.63%	9.06%	No Goal
Goods	5.19%	7.47%	4.99%	17.87%
Professional Services	No Goal	9.00%	5.00%	16.50%
Standard Services	No Goal	9.23%	5.14%	10.45%
<b>SUB</b>				
Construction	9.47%	12.63%	9.06%	No Goal
Professional Services	No Goal	9.00%	5.00%	16.50%

**Negotiated Acquisition** | City agencies use this method of contracting when only a few vendors are available to provide the goods or services needed, when there is limited time available to procure necessary goods or services, or when a competitive procurement is otherwise not feasible. This method is often used for a variety of litigation support services.

**Negotiated Acquisition Extension** | A negotiated acquisition extension is the only option to extend a contract when renewal terms have been exhausted or are unavailable, and after the twelve month maximum amendment extension has been used, in order to provide an agency sufficient time to draft, issue and make new awards under an RFP. These extensions ensure that services may continue uninterrupted. Negotiated acquisition extensions are also used to ensure the completion of ongoing construction projects that are not finished by the contract's expiration date. Negotiated acquisition extensions may extend the amount of time, money or both time and money allocated to complete a project.

**Non-Responsible** | A vendor that lacks the business integrity, financial capacity and/or ability to perform the requirements of a particular contract will be determined by the ACCO to be a "non-responsible bidder/proposer" and thus ineligible for a contract award. A vendor that is found non-responsible may appeal that determination to the head of the City agency responsible for the contract, and if the determination is upheld by the agency head, the vendor may appeal again to the CCPO.

**Non-Responsive** | A vendor that submits a bid or proposal that fails to conform to the requirements for documentation/information specified in a Request for Bids or Request for Proposals for a particular solicitation will be determined to be "a non-responsive bidder/proposer" and will not be considered for the contract. A vendor may appeal a finding of non-responsiveness to the head of the agency responsible for the contract.

## GLOSSARY

**Prequalification** | Process used by agencies to evaluate the qualifications of vendors for provision of particular categories of goods, services, construction or construction-related services, based on criteria such as experience, past performance, organizational capability, financial capability, track record of compliance and business integrity.

**Prime Contract** | A contract whose requirements are partly fulfilled by the awarding of subcontracts.

**Procurement** | The City's purchasing process, which includes vendor selection, contract registration, payment, performance evaluation and contract administration.

**Professional Services** | Professional services are a class of services that require an individual to hold an advanced degree or have experience in a specialized field. Professional services are usually procured through a Request for Proposals, where emphasis is placed on the quality of the vendor's approach as the service is likely to be highly individualized. Services of this type include: legal, management consulting, information technology, accounting, auditing, actuarial, advertising, health, architecture, pure construction management (without including construction) and environmental analysis.

**Procurement Policy Board (PPB)** | Pursuant to the New York City Charter, the PPB establishes the rules that govern the methods of selecting procurement types, soliciting bids and proposals, awarding and administering contracts, determining responsibility, retaining records and resolving contract disputes. The PPB must review its rules, policies and procedures on an annual basis and submit a report to the Mayor, Comptroller, and City Council with recommendations on agency organization and personnel qualifications in order to facilitate efficient procurement. The PPB consists of five members, three of whom are appointed by the Mayor and two of whom are appointed by the Comptroller.

**Protest** | Vendors that object to any aspect of a procurement and/or the resulting award, such as the qualifications of the winning vendor, may file a vendor protest with the head of the City agency responsible for the contract. This does not apply to accelerated procurements, emergency procurements and small purchases.

**Public Work** | Public work is defined as construction, reconstruction or maintenance work done by a public entity that takes place on public property with the primary objective of benefiting the public.

**Registration** | The process through which the Comptroller (1) encumbers or holds funds to insure payment to the vendor on successful completion of the contract; (2) records all City contracts and agreements; (3) tracks City payments and revenue associated with each contract or agreement; and (4) objects if there is evidence of corruption related to the procurement process itself or with the selected vendor. After a City agency submits a contract package the Comptroller has 30 days to either register or reject the contract.

**Renewal Contract** | Method used to continue operation of a registered contract beyond its initial terms, as stipulated in the original contract.

**Request for Proposals (RFP)** | See Competitive Sealed Proposal

**Required/Authorized Source or Method** | On occasion, a state or federal agency or a private entity (such as a not-for-profit) that is funding a particular purchase through a City agency mandates either the specific vendor to be used for the provision of goods or services, or a specific process for selecting a vendor. In other instances, state law provides a "preferred source" procurement method for particular types of vendors, e.g., those employing disabled New Yorkers.

## G L O S S A R Y

**Requirement Contract** | A contract entered into by a City agency, usually DCAS or DoITT, with a vendor that agrees to supply the City's entire requirement for the particular types of goods under the contract.

**Responsible Bidder or Proposer** | A vendor that has the capability in all respects to perform all contract requirements, and the business integrity and reliability that will assure performance in good faith.

**Small Purchase** | Method of procurement used for buying goods, services and construction valued at up to \$100,000. It involves a fast-track competitive process that incorporates expanded opportunities for certified M/WBEs.

**Sole Source Contract** | This procurement method may only be used when only one vendor is available to provide the required goods or services. This method is also used to "pass through" funds that support the NYC Economic Development Corporation and the capital construction projects of City-owned cultural institutions.

**Solicitation** | A solicitation is the process of notifying potential vendors that an agency wishes to receive bids or proposals for furnishing goods, services or construction. The process may include public advertising, mailing invitations for bids and requests for proposals, posting notices and/or delivery of telephone or fax messages to prospective vendors.

**Standardized Services** | Standardized services typically do not require the provider to have experience in a specialized field or hold an advanced degree. A standardized service is clearly defined and highly commoditized; procurements for these services are generally awarded based on the lowest price. Examples include: security, janitorial, secretarial, transportation, collection and food related services. Contracts for services such as plumbing, electrical and HVAC for maintenance and repair not related to new construction also fall into this category.

**Sub contract** | A contract between prime contractor and a subcontractor to furnish services for the performance of a prime contract or subcontract.

**Vendor Enrollment Center (VEC)** | Any business wishing to sell goods or services to the City may complete an enrollment form and be added to the citywide bidder lists used by all Mayoral agencies to distribute notices of City procurement opportunities.

**Vendor Information Exchange System (VENDEX)** | A computerized citywide system providing comprehensive information on vendors. Data is added to the VENDEX system from questionnaires completed by vendors. Vendors are required to file both Business Entity Questionnaires and Principal Questionnaires every three years if they have done \$100,000 or more worth of business with the City (contracts, franchises and concessions) during the preceding twelve months, or if they have sole source contracts totaling more than \$10,000.

**Vendor** | An actual or potential contractor.





The New York City Department of Small Business Services  
110 William Street, 2nd Floor  
New York, NY 10038

**Robert W. Walsh**, Commissioner

**Anne Rascón**, Deputy Commissioner  
Division of Economic & Financial Opportunity