

## **Preparing for Contracting Checklist**

- **Avenue NYC/City Council Discretionary-funded Program Budget**
  - Complete your Avenue NYC/City Council Discretionary-funded Program Budget.  
This was e-mailed to you by your contract manager. You can also download the budget template from the *Preparing for Contract* section of the SBS website. Include all project categories for which you are receiving funding.
  - E-mail an electronic copy of your Avenue NYC/City Council Discretionary-funded Program Budget to your contract manager.
  
- **Cost Allocation Plan:**
  - Complete your Cost Allocation Plan.  
You can download a copy of the Cost Allocation Plan from the *Preparing for Contract* section of the SBS website. If your organization already has a similar cost allocation plan in your own format, you may use this instead of SBS' template.
  - E-mail an electronic copy of your Cost Allocation Plan to your contract manager.
  
- **Doing Business Data Form**
  - Complete the Doing Business Data Form and send a hard copy with original signature to your contract manager.  
You can download this form from the *Preparing for Contract* section of the SBS website.
  - Send a hard copy of the Doing Business Data Form with original signature to your contract manager.
  
- **Disclosure & Compliance Certification Form**
  - Complete the Disclosure & Compliance Certification Form and attach a list of any disclosures that apply to your organization.  
You can download this form from the *Preparing for Contract* section of the SBS website.
  - Sign and notarize the completed Disclosure & Compliance Certification Form and send a hard copy with original signature and any attached disclosures to your contract manager.
  
- **Audited Financial Statements**
  - If your organization's contract with SBS is \$5,000 or greater:  
Send a copy of your organization's most recent audited financial statements to your contract manager. These must be from one of the past two fiscal years.
  - If your organization's contract with SBS is for less than \$5,000:  
Send a copy of your organization's most recent IRS Form 990 to your contract manager.

□ **Registration and Compliance with the New York State Charities Bureau**

- If your organization is already registered:  
Ensure that your registration is accurate and up-to-date.  
**or**
- If your organization is not already registered:  
Register with the New York State Charities Bureau.  
**or**
- If your organization is exempt from registration:  
Obtain a confirmation of exemption letter from the Charities Bureau and send a copy to your contract manager.

□ **Insurance**

- Make sure that your organization has the following forms of insurance:
  - Commercial General Liability
  - Business Automobile (if your organization owns/operates a vehicle)
  - Worker's Compensation and Employee Liability (if your organization has employees)
- Designate the New York City Department of Small Business Services as a Certificate Holder and add SBS as an additional insured to each of these insurance policies.
- Send proof of insurance to your contract manager in the form of an insurance ACORD certificate.
- If your organization does not own a vehicle or does not have employees:  
Send a letter on your organization's letterhead to your contract manager stating that you do not own a vehicle and/or that you do not have employees.

□ **By-Laws and Certificate of Incorporation:**

- Make sure that your organization's Board of Directors has indicated, in the form of a resolution, who has the authority to sign agreements on behalf of your organization.
- Locate your corporate seal and ensure that it is in good working order.
- If you have been instructed to do so by your contract manager:  
Send a copy of your organization's by-laws, Certificate of Incorporation, and/or Board of Directors resolution (signed, notarized, and affixed with your corporate seal) to your contract manager.

□ **W-9 Tax Information:**

- Make sure that you have entered your information in New York City's Payee Information Portal system and that it is up to date.

## □ VENDEX

*If your organization's contract with SBS is \$100,000 or greater **or** your organization is receiving \$100,000 or more in total from SBS and any other City agencies for the fiscal year, you will need to comply with VENDEX requirements.*

- If your organization has not previously submitted VENDEX forms **or** has not submitted VENDEX forms within the past three years:
  - Complete the *VENDEX Vendor Questionnaire*.  
You can download the questionnaire from the Mayor's Office of Contract Services website.
  - Complete a *VENDEX Principal Questionnaire* for each of the principals at your organization.  
You can download the questionnaire from the Mayor's Office of Contract Services website.
  - Submit your completed VENDEX questionnaires to the Mayor's Office of Contract Services.  
Do not send completed VENDEX questionnaires to SBS.
  - Complete and send a *Submitted VENDEX Memo* to your contract manager.  
You can download the memo from the *Preparing for Contract* section of the SBS website.
- If your organization has submitted VENDEX forms within the last three years and there have been NO CHANGES to your submitted information:
  - *For contracts \$100,000 or greater only:*  
Complete and send **two** copies of the *Certification of No Change* to your contract manager.  
You can download the certification from the Mayor's Office of Contract Services website.
- If your organization has previously submitted VENDEX forms and there have been changes to your submitted information on BOTH the Principal and Vendor Questionnaires:
  - Complete the *VENDEX Vendor Questionnaire*.  
You can download the questionnaire from the Mayor's Office of Contract Services website.
  - Complete a *VENDEX Principal Questionnaire* for each of the principals at your organization.  
You can download the questionnaire from the Mayor's Office of Contract Services website.
  - Submit your completed VENDEX documents to the Mayor's Office of Contract Services.  
Do not send completed VENDEX questionnaires to SBS.

- Complete and send a *Submitted VENDEX Memo* to your contract manager.  
You can download the memo from the *Preparing for Contract* section of the SBS website.
  
- If you have previously submitted VENDEX forms and there have been changes to your submitted information on ONLY ONE of the questionnaires:
  - Complete the VENDEX *Vendor Questionnaire* or VENDEX *Principal Questionnaire* with the information that has changed.  
You can download the questionnaires from the Mayor's Office of Contract Services website.
  
  - Submit your completed VENDEX questionnaire to the Mayor's Office of Contract Services.  
Do not send completed VENDEX questionnaires to SBS.
  
  - Complete and send a *Submitted VENDEX Memo* to your contract manager.  
You can download the memo from the *Preparing for Contract* section of the SBS website.
  
  - *For contracts \$100,000 or greater only:*  
Complete and send **two** copies of the *Certification of No Change* to your contract manager.  
You can download the certification from the Mayor's Office of Contract Services website.