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Division of Economic & Financial Opportunity
110 William Street
New York, NY 10038

NYC Agency M/WBE Utilization Plans

Fiscal Year 2019

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Administration for Children's Services

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A. Agency Contact Information

Agency Name Administration For Children's Services
Street Address 150 William Street **City** New York **State** NY **Zip Code** 10038
M/WBE Officer Name Mitch Gipson **Email** mitch.gipson@acs.nyc.gov **Telephone #** 212-341-9005
ACCO Name Rachel E. Miller **Email** rachel.miller@acs.nyc.gov **Telephone #** 212-341-4865
Date June 19, 2018

B. Local Law 1 Requirements

New York City's Minority and Women-Owned Business Enterprise (M/WBE) program, established in 2005, was designed to promote government contracting opportunities for certified M/WBEs. Accordingly, the Department of Small Business Services (SBS) built a program dedicated to promote fairness and equity in accessing contracting opportunities for City procurement.

In 2013, Local Law 1 was enacted to help strengthen the M/WBE Program. Some of the changes to the program include: (i) eliminating the \$1 million cap on contracts subject M/WBE participation goals; (ii) establishing participation goals on all services contracts (construction, professional and standard services); (iii) eliminating goals for goods over \$100,000; (iv) eliminating the distinction between prime contracts and subcontracts for the purposes of goal setting, including the Target Subcontracting Percentage; and (v) establishing participation goals for all ethnic and gender categories, except Asian Americans in Professional Services. Additionally, new monitoring and accountability requirements have been established in order to ensure transparency in the law's implementation, some of which include: (i) quarterly instead of bi-annual reporting requirements; (ii) establishing an M/WBE Director who will oversee agency compliance and will convene quarterly meetings with M/WBE officers to discuss agency performance in attaining Agency Utilization goals (agency Commissioners are required to attend two such meetings); and (iii) the creation of an annual Performance Improvement Plan and a monthly turnaround document to track agency progress.

Agencies with total procurements in excess of \$5 million in the previous full fiscal year (excluding contracts that are exempt from the M/WBE participation requirements as required by local law) are required to prepare annual M/WBE Utilization Plans. The following Utilization Plan template is designed to be a planning tool for each agency. Agencies are required to establish M/WBE participation goals for Fiscal Year 2019 based on the size and nature of the anticipated procurements that will be subject to the M/WBE participation requirements as well as the availability of certified M/WBEs with the capacity to perform the specific types and scale of work anticipated in such procurements. Agencies are further required to set specific M/WBE participation goals for procurements in all industries valued: at or below \$20,000 (Goods and Services); at or below \$35,000 (Construction); at or below \$100,000 and over \$100,000 (except for Goods). When establishing goals for procurements valued at or below \$100,000, agencies must consider the potential for such purchases to provide opportunities for M/WBEs to develop greater capacity, thereby increasing competition for city procurement.

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C. FY 19 Utilization Goals as established by LL1 of 2013

		FY 19 Utilization Goals								
		Less than or equal to \$35,000			\$35,001 to \$100,000			Greater than \$100,000		
		Citywide	Agency		Citywide	Agency		Citywide	Agency	
			FY18	FY19		FY18	FY19		FY18	FY19
Construction	Total Construction	38.00%	15 %	15.00%	38.00%	20 %	20.00%	38.00%	20 %	30.00%
	Black	8.00%	5 %	5.00 %	8.00%	5 %	5.00 %	8.00%	5 %	6.00%
	Hispanic	4.00%	2 %	2.00%	4.00%	2 %	2.00%	4.00%	5 %	3.00%
	Asian	8.00%	2 %	2.00%	8.00%	4 %	4.00%	8.00%	5 %	6.00%
	Women	18.00%	6 %	6.00%	18.00%	9 %	9.00%	18.00%	6 %	15.00%

		FY 19 Utilization Goals								
		Less than or equal to \$20,000			\$20,001 to \$100,000			Greater than \$100,000		
		Citywide	Agency		Citywide	Agency		Citywide	Agency	
			FY18	FY19		FY18	FY19		FY18	FY19
Professional Services	Total Professional Services	37.00%	37 %	37%	37.00%	42 %	42%	37.00%	20 %	30%
	% Black	12.00%	12 %	12.00%	12.00%	15 %	15.00%	12.00%	6 %	10.00%
	Hispanic	8.00%	8 %	8.00%	8.00%	10 %	10.00%	8.00%	4 %	4.00%
	Asian	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal
	Women	17.00%	17 %	17.00%	17.00%	17 %	17.00%	17.00%	10 %	16.00%

Standard Services	Total Standard Services	31.00%	45 %	41.00%	31.00%	50 %	40.00%	31.00%	21 %	21.00%
	Black	12.00%	15 %	15.00%	12.00%	20 %	15.00%	12.00%	5 %	5.00%
	Hispanic	6.00%	14 %	10.00%	6.00%	14 %	9.00%	6.00%	5 %	5.00%
	Asian	3.00%	4 %	4.00%	3.00%	4 %	4.00%	3.00%	5 %	5.00%
	Women	10.00%	12 %	12.00%	10.00%	12 %	12.00%	10.00%	6 %	6.00%

Goods (Under 100K)	Total Goods	45.00%	57 %	57.00%	45.00%	55 %	55.00%	No Goal	No Goal	No Goal
	Black	7.00%	10 %	10.00%	7.00%	9 %	9.00%	No Goal	No Goal	No Goal
	Hispanic	5.00%	8 %	8.00%	5.00%	7 %	7.00%	No Goal	No Goal	No Goal
	Asian	8.00%	9 %	9.00%	8.00%	9 %	9.00%	No Goal	No Goal	No Goal
	Women	25.00%	330 %	30.00%	25.00%	30 %	30.00%	No Goal	No Goal	No Goal

* Please provide an explanation for your agency goals in section D.

D. Justification Page: Please explain how you arrived at your agency goals for all industries and levels of procurement.

CONSTRUCTION:

Under \$35K

The Construction goals for FY19 remain the same as the FY18 goals due to a modest number of construction services contracts which ACS procures. The majority of the ACS' construction needs are primarily bundled and submitted to the NYC Department of Design and Construction. However, there are construction-related contracts that ACS anticipates procuring, such as bathroom renovations, office renovations and the improvement of building infrastructure.

\$35K-\$100K

The construction goals for FY19 remain the same as the FY18 goals in the \$35K-\$100K category. ACS does anticipate does anticipate minor construction-related projects for FY19, but not enough to significantly impact and raise the current utilization goals.

Over \$100K

ACS anticipates awarding approximately five (5) construction related contracts for plumbing, electrical, fire alarm, roof repair/maintenance, and elevator inspection/repair/maintenance services. Historically, these types of contracts have significant MWBE prime and subcontracting opportunities. ACS continues to aggressively encourage non-MWBE prime vendors to consider MWBE vendors for potential subcontracting opportunities. We will also increase our efforts to identify and encourage non-certified MWBE vendors to seek NYC MWBE certification.

PROFESSIONAL SERVICES:

Under \$20K

Professional services at ACS consist of vendors with specialized certifications and licenses, i.e. vendors certified by New York State to provide care and education to juveniles. ACS strives to match the citywide goals in this category. An important challenge in this category is getting these types of vendors to seek and complete the NYC/SBS certification process. Therefore, ACS now exerts efforts in communicating with ACS Contract Management Liaisons to determine which vendors are eligible for and/or have started the certification process. This office intercedes by contacting the SBS Certification Unit seeking assistance in conducting outreach to the potential vendors and facilitating the certification process.

\$20K-\$100K

ACS MWBE utilization goals for the \$20K-\$100K threshold match citywide goals for this category because many of our Professional Services solicitations require specialized certification. ACS will continue to encourage the specialized groups of vendors, where applicable, to seek and complete the MWBE certification process.

Over \$100K

ACS contracts with a very specialized group of organizations and providers in the child welfare, juvenile justice and early care and education field. These service providers are typically large entities or individuals with special licenses, certifications, service models and/or expertise. As such the subcontracting opportunities for MWBE participation have historically been limited. Our goals reflect realistic expectations based on past trends such as Full Waiver MWBE requests and take into account our ongoing outreach efforts. We work collaboratively with divisional staff during the preliminary stage of SOW/specification development, as part of the goal setting analysis, to identify prime and subcontractor opportunities.

STANDARD SERVICES:

Under \$20K

ACS is more stringent in following established practices: i.e., MWBE cert radial check box on each Purchase requisition. A thorough review of Purchase Requisitions is conducted regarding non-usage of MWBE justification. Vague or inadequate justifications result in the Purchase requisition being returned to the Program Division. Small Purchasing staff conduct independent searches to determine if any qualified MWBE vendors were overlooked by the Program Division. Additionally, Program Representatives receive training on using the SBSMWBE Directory.

\$20K-\$100K

ACS has set a high goal in this category based on past performance. This category of Small Purchasing has traditionally out-paced Citywide performance and we are planning to maintain the high standards including the 5+10 on solicitations and as many MWBEs as possible on Requests for Bid (RFBs). ACS is implementing internal procurement policies to enhance accountability and ensure MWBE are considered.

Over \$100K

Historically, MWBE vendors in this category have been under-utilized. Agency-wide education sessions have been implemented as part of our procurement process with Program Division staff to familiarize them with and encourage the use of Certified MWBE vendors whenever possible to meet their operational needs with emphasis on the Innovative Procurement method for certified MWBEs. We work collaboratively with divisional staff during the preliminary stage of SOW/specification development, as part of the goal setting analysis, to identify prime and subcontractor opportunities.

GOODS:

Under \$20K

Historically, ACS has not performed very high in this category due to the use of DCAS Requirements Contracts, in particular, for food, clothing and furniture. For example, all ACS Food contracts for the Detention Centers are issued through DCAS and clothing is also procured utilizing the DCAS requirements Contracts. ACS does however plan to procure other goods such as recreational supplies, cleaning supplies, electronic games, and various building material. Within all of these categories there are opportunities for MWBEs that would ultimately assist in raising our goals.

\$20K-\$100K

traditionally, ACS does not process many Small Purchase Bids for goods in this category, but ACS will exercise the option of adding additional MWBEs to our bids that would result in increased awards. Some examples of anticipated procurements are: nursery supplies, various equipment, and recreational activities. These efforts should assist us in meeting our goals.

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E. Prime Contractor Utilization Initiatives

LL1 Required Activities	
<input checked="" type="checkbox"/>	Engage in outreach activities and networking events (ie: co-sponsoring with other agencies, one-on-one meetings, etc.)
<input checked="" type="checkbox"/>	Encourage eligible firms to apply for certification.
<input checked="" type="checkbox"/>	Include language in RFPs and invitations to bid requiring potential bidders/ proposers to consult directories of certified M/WBE firms.
<input checked="" type="checkbox"/>	Encourage M/WBEs to join pre-qualified bidder's lists.
<input checked="" type="checkbox"/>	Advertise procurement opportunities in minority publications.
<input checked="" type="checkbox"/>	Conduct detailed analysis on a contract by contract basis to determine goals based on availability.
<input checked="" type="checkbox"/>	Consider reducing scope and size of contracts when planning procurements.
<input checked="" type="checkbox"/>	For construction contracts, enter into separate prime contracts for construction support services.
<input checked="" type="checkbox"/>	Attend quarterly M/WBE meetings (including two attended by the Commissioner.)
<input checked="" type="checkbox"/>	Conduct quarterly meetings with M/WBEs to discuss the agency's requirements for bids/ proposals.
<input checked="" type="checkbox"/>	Encourage prime contractors to enter into joint ventures with certified M/WBEs.
<input checked="" type="checkbox"/>	Designate dedicated staff to M/WBE program, including M/WBE Officer who is directly accountable to the agency head.
<input checked="" type="checkbox"/>	Submit to City Chief Procurement Officer all contracts valued over \$10 million to determine if they can be divided into smaller contracts (unbundling contracts.)
Performance Improvement Required Activities	
<input checked="" type="checkbox"/>	Meet with oversight agencies: Review performance (P-card, spending trends, etc.) and identify detailed lists of M/WBEs for upcoming procurements.
<input checked="" type="checkbox"/>	Review Utilization Plans: Assess anticipated procurements, M/WBE availability, and historical goals.
<input checked="" type="checkbox"/>	Review M/WBE initiatives: Past initiatives, effectivity of the actions, and new initiative to undertake.
<input checked="" type="checkbox"/>	Require contracting personnel to attend at least one of the monthly SBS/MOCS trainings.
<input checked="" type="checkbox"/>	Require post-award debriefings requested by an M/WBE.
Additional Initiatives (Select three or more)	
<input checked="" type="checkbox"/>	Participate in networking events, meetings, and workshops for certified M/WBE firms.
<input type="checkbox"/>	Post M/WBE program information on your agency's website.
<input checked="" type="checkbox"/>	Include M/WBE Utilization updates in all procurement team meetings.
<input type="checkbox"/>	Require buyers and P-card users to reach out to SBS's Account Management team for assistance identifying M/WBE firms for upcoming solicitations and other procurement opportunities.
<input checked="" type="checkbox"/>	Hold pre-bid/proposal conferences on all procurements with M/WBE participation requirements.
<input type="checkbox"/>	Establish formal means of tracking M/WBE utilization and sharing information within agency.
Compliance Administration and Monitoring	
<input checked="" type="checkbox"/>	Ensure timely prime contractor compliance with all LL1 submission requirements.
<input checked="" type="checkbox"/>	Ensure prime contractor's actual compliance with utilization plan by regularly employing monitoring techniques (at a minimum: contacting M/WBEs, auditing prime's books and records, and visiting job sites.)
<input checked="" type="checkbox"/>	Take appropriate enforcement action in cases where prime contractor is found to be out of compliance with utilization plan.
<input checked="" type="checkbox"/>	Record in PIP all actual payments to subcontractors.
<input checked="" type="checkbox"/>	As necessary, develop or modify written procedures pertaining to LL1 compliance administration, monitoring, and documentation.
Other Initiatives – List any other initiatives to be enacted by your agency	
<p>Other: Advertising procurements in various publications targeting MWBE vendors Continue to Include MWBE presentations in all Pre-Bid and Proposal Conferences for procurements containig MWBE goals Continue PCard training Encourage the use of the Innovative Procurement method for MWBE Small Purchases where practicable Co-sponsor an MWBE networking event Identify/hire dedicated MWBE compliance/monitoring staff</p>	

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F. Open Contracts with M/WBE Utilization Requirements

Approximate # of prime contracts <u>open</u> and subject to participation goals (under LL129 and LL1):	6
Approximate # of upcoming contracts which have potential for subcontracting (under LL1):	31

G. Agency Organization

Attach the agency organizational chart with the names, titles, and contact information of all agency personnel responsible for implementation of the agency utilization plan.

List and describe any legislation, rules, policies or programs, other than those listed in the City Charter, PPB rules, General Municipal Law 103, and the Administrative Code, that impact agency utilization or the ability to participate in this program, i.e., Federal, State, or Local MBE, WBE, or Disadvantaged Business Enterprise (DBE) program requirements, etc.

H. Agency Approval

Provide authorized signatures below and submit to SBS with attached the agency organizational chart with the names, titles, and contract information of all agency personnel responsible for implementation of the agency utilization plan.

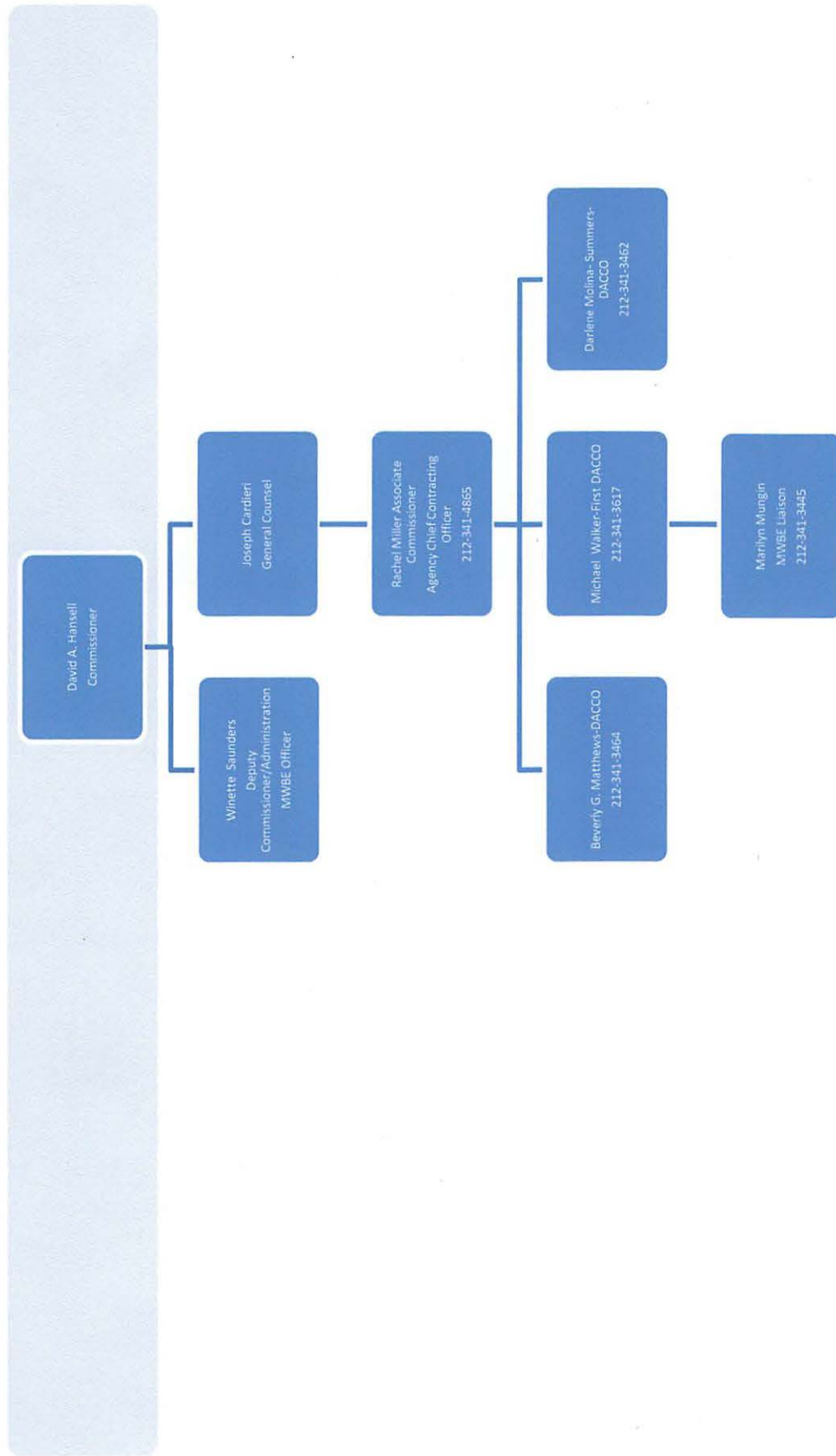
Authorized Signature (M/WBE Officer): 

Title: Deputy Commissioner Date: 6/18/18

Authorized Signature (ACCO): 

Title: ACCO Date: 6/17/18

Administration For Children's Services



Department of Citywide Administrative Services

Fiscal Year 2019 Agency M/WBE Utilization Plan



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A. Agency Contact Information

Agency Name Department of Citywide Administrative Services (DCAS)
Street Address 1 Centre Street City New York State NY Zip Code 10007
M/WBE Officer Name Julieann Lee Email Julee@dcas.nyc.gov Telephone # 212-386-04600
ACCO Name Adam Buchanan Email ABuchanan@dcas.nyc.gov Telephone # (212) 386-6333
Date 06/7/2018

B. Local Law 1 Requirements

New York City's Minority and Women-Owned Business Enterprise (M/WBE) program, established in 2005, was designed to promote government contracting opportunities for certified M/WBEs. Accordingly, the Department of Small Business Services (SBS) built a program dedicated to promote fairness and equity in accessing contracting opportunities for City procurement.

In 2013, Local Law 1 was enacted to help strengthen the M/WBE Program. Some of the changes to the program include: (i) eliminating the \$1 million cap on contracts subject M/WBE participation goals; (ii) establishing participation goals on all services contracts (construction, professional and standard services); (iii) eliminating goals for goods over \$100,000; (iv) eliminating the distinction between prime contracts and subcontracts for the purposes of goal setting, including the Target Subcontracting Percentage; and (v) establishing participation goals for all ethnic and gender categories, except Asian Americans in Professional Services. Additionally, new monitoring and accountability requirements have been established in order to ensure transparency in the law's implementation, some of which include: (i) quarterly instead of bi-annual reporting requirements; (ii) establishing an M/WBE Director who will oversee agency compliance and will convene quarterly meetings with M/WBE officers to discuss agency performance in attaining Agency Utilization goals (agency Commissioners are required to attend two such meetings); and (iii) the creation of an annual Performance Improvement Plan and a monthly turnaround document to track agency progress.

Agencies with total procurements in excess of \$5 million in the previous full fiscal year (excluding contracts that are exempt from the M/WBE participation requirements as required by local law) are required to prepare annual M/WBE Utilization Plans. The following Utilization Plan template is designed to be a planning tool for each agency. Agencies are required to establish M/WBE participation goals for Fiscal Year 2019 based on the size and nature of the anticipated procurements that will be subject to the M/WBE participation requirements as well as the availability of certified M/WBEs with the capacity to perform the specific types and scale of work anticipated in such procurements. Agencies are further required to set specific M/WBE participation goals for procurements in all industries valued: at or below \$20,000 (Goods and Services); at or below \$35,000 (Construction); at or below \$100,000 and over \$100,000 (except for Goods). When establishing goals for procurements valued at or below \$100,000, agencies must consider the potential for such purchases to provide opportunities for M/WBEs to develop greater capacity, thereby increasing competition for city procurement.

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C. FY 19 Utilization Goals as established by LL1 of 2013

		FY 19 Utilization Goals								
		Less than or equal to \$35,000			\$35,001 to \$100,000			Greater than \$100,000		
		Citywide	Agency		Citywide	Agency		Citywide	Agency	
			FY18	FY19		FY18	FY19		FY18	FY19
Construction	Total Construction	38.00%	5 %	5.00%	38.00%	5 %	5.00%	38.00%	20 %	20.00%
	Black	8.00%	1 %	1.00%	8.00%	1 %	1.00%	8.00%	4 %	4.00%
	Hispanic	4.00%	1 %	1.00%	4.00%	1 %	1.00%	4.00%	2 %	2.00%
	Asian	8.00%	1 %	1.00%	8.00%	1 %	1.00%	8.00%	4 %	4.00%
	Women	18.00%	2 %	2.00%	18.00%	2 %	2.00%	18.00%	10 %	10.00%

		FY 19 Utilization Goals								
		Less than or equal to \$20,000			\$20,001 to \$100,000			Greater than \$100,000		
		Citywide	Agency		Citywide	Agency		Citywide	Agency	
			FY18	FY19		FY18	FY19		FY18	FY19
Professional Services	Total Professional Services	37.00%	10 %	10.00%	37.00%	10 %	10.00%	37.00%	5 %	5.00%
	% Black	12.00%	2 %	2.00%	12.00%	2 %	2.00%	12.00%	1 %	1.00%
	Hispanic	8.00%	2 %	2.00%	8.00%	2 %	2.00%	8.00%	1 %	1.00%
	Asian	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal
	Women	17.00%	6 %	6.00%	17.00%	6 %	6.00%	17.00%	3 %	3.00%

Standard Services	Total Standard Services	31.00%	31 %	31.00%	31.00%	31 %	31.00%	31.00%	31 %	31.00%
	Black	12.00%	12 %	12.00%	12.00%	12 %	12.00%	12.00%	12 %	12.00%
	Hispanic	6.00%	6 %	6.00%	6.00%	6 %	6.00%	6.00%	6 %	6.00%
	Asian	3.00%	3 %	3.00%	3.00%	3 %	3.00%	3.00%	3 %	3.00%
	Women	10.00%	10 %	10.00%	10.00%	10 %	10.00%	10.00%	10 %	10.00%

Goods (Under 100K)	Total Goods	45.00%	45 %	45.00%	45.00%	45 %	45.00%	No Goal	No Goal	No Goal
	Black	7.00%	7 %	7.00%	7.00%	7 %	7.00%	No Goal	No Goal	No Goal
	Hispanic	5.00%	5 %	5.00%	5.00%	5 %	5.00%	No Goal	No Goal	No Goal
	Asian	8.00%	8 %	8.00%	8.00%	8 %	8.00%	No Goal	No Goal	No Goal
	Women	25.00%	25 %	25.00%	25.00%	25 %	25.00%	No Goal	No Goal	No Goal

* Please provide an explanation for your agency goals in section D.

D. Justification Page: Please explain how you arrived at your agency goals for all industries and levels of procurement.

CONSTRUCTION:

Under \$35K

*Goals are only for DCAS 856 agency contracts.

DCAS construction services procurement at the \$35K threshold is limited. There were no construction services contracts during Q1-Q3 of FY18. Therefore, adopting the City goal of 38% would be unattainable. DCAS proposes a reduced goal of 5.00%. There are unlikely to be any construction services procurements for renovation in FY19.

\$35K-\$100K

*Goals are only for DCAS 856 agency contracts.

There were no construction services contracts during Q1-Q3 of FY 18. Adopting the City goal would be unattainable. DCAS proposes a reduced goal of 5.00%. There are unlikely to be any construction services procurements for renovation in FY19.

Over \$100K

*Goals are only for DCAS 856 agency contracts.

DCAS Capital Construction contracts were transferred to DDC in FY'14. As a result, DCAS proposes a reduced goal of 20% from the Citywide goal of 38%. For FY19 DCAS anticipates construction services procurements for renovation.

PROFESSIONAL SERVICES:

Under \$20K

*Goals are only for DCAS 856 agency contracts.

DCAS will adopt the citywide goal of 37%. DCAS expects FY19 contract awards in the Training and Professional Development areas.

\$20K-\$100K

*Goals are only for DCAS 856 agency contracts.

DCAS will adopt the citywide goal of 37%. DCAS expects FY19 contract awards in the Training and Professional Development areas.

Over \$100K

Goals are only for DCAS 856 agency contracts.

DCAS will adopt the citywide goal of 37%. DCAS expects FY19 contract awards in the Training and Professional Development areas.



STANDARD SERVICES:

Under \$20K

Goals are only for DCAS 856 agency contracts.

DCAS will adopt the citywide goal of 31%. Procurements in FY19 may include elevator repair and maintenance work.

\$20K-\$100K

Goals are only for DCAS 856 agency contracts.

DCAS will adopt the citywide goal of 31%. Procurements in FY19 may include elevator repair and maintenance work.

Over \$100K

MWBE Goals are only for DCAS 856 agency contracts.

DCAS will adopt the citywide goal of 31%. Procurements in FY19 may include elevator repair and maintenance work.

GOODS:

Under \$20K

MWBE Goals are only for DCAS 856 agency contracts.

DCAS will adopt the citywide goal of 45%.

\$20K-\$100K

MWBE Goals are only for DCAS 856 agency contracts.

DCAS will adopt the citywide goal of 45%.

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E. Prime Contractor Utilization Initiatives

LL1 Required Activities	
<input checked="" type="checkbox"/>	Engage in outreach activities and networking events (ie: co-sponsoring with other agencies, one-on-one meetings, etc.)
<input checked="" type="checkbox"/>	Encourage eligible firms to apply for certification.
<input checked="" type="checkbox"/>	Include language in RFPs and invitations to bid requiring potential bidders/ proposers to consult directories of certified M/WBE firms.
<input checked="" type="checkbox"/>	Encourage M/WBEs to join pre-qualified bidder's lists.
<input checked="" type="checkbox"/>	Advertise procurement opportunities in minority publications.
<input checked="" type="checkbox"/>	Conduct detailed analysis on a contract by contract basis to determine goals based on availability.
<input checked="" type="checkbox"/>	Consider reducing scope and size of contracts when planning procurements.
<input checked="" type="checkbox"/>	For construction contracts, enter into separate prime contracts for construction support services.
<input checked="" type="checkbox"/>	Attend quarterly M/WBE meetings (including two attended by the Commissioner.)
<input checked="" type="checkbox"/>	Conduct quarterly meetings with M/WBEs to discuss the agency's requirements for bids/ proposals.
<input checked="" type="checkbox"/>	Encourage prime contractors to enter into joint ventures with certified M/WBEs.
<input checked="" type="checkbox"/>	Designate dedicated staff to M/WBE program, including M/WBE Officer who is directly accountable to the agency head.
<input checked="" type="checkbox"/>	Submit to City Chief Procurement Officer all contracts valued over \$10 million to determine if they can be divided into smaller contracts (unbundling contracts.)
Performance Improvement Required Activities	
<input checked="" type="checkbox"/>	Meet with oversight agencies: Review performance (P-card, spending trends, etc.) and identify detailed lists of M/WBEs for upcoming procurements.
<input checked="" type="checkbox"/>	Review Utilization Plans: Assess anticipated procurements, M/WBE availability, and historical goals.
<input checked="" type="checkbox"/>	Review M/WBE initiatives: Past initiatives, effectivity of the actions, and new initiative to undertake.
<input checked="" type="checkbox"/>	Require contracting personnel to attend at least one of the monthly SBS/MOCS trainings.
<input checked="" type="checkbox"/>	Require post-award debriefings requested by an M/WBE.
Additional Initiatives (Select three or more)	
<input checked="" type="checkbox"/>	Participate in networking events, meetings, and workshops for certified M/WBE firms.
<input checked="" type="checkbox"/>	Post M/WBE program information on your agency's website.
<input checked="" type="checkbox"/>	Include M/WBE Utilization updates in all procurement team meetings.
<input checked="" type="checkbox"/>	Require buyers and P-card users to reach out to SBS's Account Management team for assistance identifying M/WBE firms for upcoming solicitations and other procurement opportunities.
<input checked="" type="checkbox"/>	Hold pre-bid/proposal conferences on all procurements with M/WBE participation requirements.
<input checked="" type="checkbox"/>	Establish formal means of tracking M/WBE utilization and sharing information within agency.
Compliance Administration and Monitoring	
<input checked="" type="checkbox"/>	Ensure timely prime contractor compliance with all LL1 submission requirements.
<input checked="" type="checkbox"/>	Ensure prime contractor's actual compliance with utilization plan by regularly employing monitoring techniques (at a minimum: contacting M/WBEs, auditing prime's books and records, and visiting job sites.)
<input checked="" type="checkbox"/>	Take appropriate enforcement action in cases where prime contractor is found to be out of compliance with utilization plan.
<input checked="" type="checkbox"/>	Record in PIP all actual payments to subcontractors.
<input checked="" type="checkbox"/>	As necessary, develop or modify written procedures pertaining to LL1 compliance administration, monitoring, and documentation.
Other Initiatives – List any other initiatives to be enacted by your agency	
<p>Other: DCAS P-Card holders will be required reach out to the M/WBE Team for assistance identifying M/WBE firms for upcoming procurement opportunities. DCAS plans to continue to host "meet & greet" events and facilitate meetings between non- M/WBE primes who are awarded contacts and potential M/WBE subcontractors.</p>	

Fiscal Year 2019 Agency M/WBE Utilization Plan



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F. Open Contracts with M/WBE Utilization Requirements

Approximate # of prime contracts <u>open</u> and subject to participation goals (under LL129 and LL1):	38
Approximate # of upcoming contracts which have potential for subcontracting (under LL1):	10

G. Agency Organization

Attach the agency organizational chart with the names, titles, and contact information of all agency personnel responsible for implementation of the agency utilization plan.

List and describe any legislation, rules, policies or programs, other than those listed in the City Charter, PPB rules, General Municipal Law 103, and the Administrative Code, that impact agency utilization or the ability to participate in this program, i.e., Federal, State, or Local MBE, WBE, or Disadvantaged Business Enterprise (DBE) program requirements, etc.

DCAS is subject to various program requirements that attach to New York State and Federal Funding.

H. Agency Approval

Provide authorized signatures below and submit to SBS with attached the agency organizational chart with the names, titles, and contract information of all agency personnel responsible for implementation of the agency utilization plan.

Authorized Signature (M/WBE Officer):

Title:

M/WBE Officer

Date:

12/5/18

Authorized Signature (ACCO):

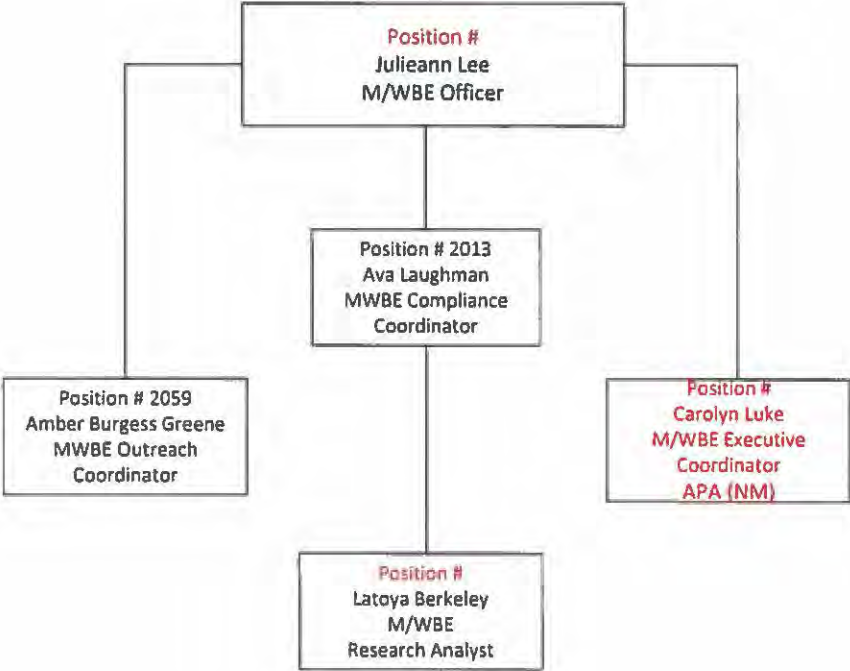
Title:

ACCO/Assistant Commissioner

Date:

12/5/18

M/WBE Unit



9/28/18

**DEPARTMENT OF CITYWIDE ADMINISTRATIVE SERVICES
1 CENTRE STREET
NEW YORK, NY 10007**

Contact Information:

Julieann Lee

M/WBE Officer

Julee@dcas.nyc.gov

212-386-0460

Ava Laughman

MWBE Compliance Coordinator

Alaughman@dcas.nyc.gov

212-386- 0448

Department of Design & Construction

Fiscal Year 2019 Agency M/WBE Utilization Plan



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A. Agency Contact Information

Agency Name Department of Design and construction
Street Address 30-30 Thomson Ave **City** Long Island City **State** NY **Zip Code** 11101
M/WBE Officer Name Magalie Austin **Email** Austinma@ddc.nyc.gov **Telephone #** 718-391-1586
ACCO Name Nicholas Mendoza **Email** Mendozani@ddc.nyc.gov **Telephone #** 718-391-1452
Date 01/08/2019

B. Local Law 1 Requirements

New York City's Minority and Women-Owned Business Enterprise (M/WBE) program, established in 2005, was designed to promote government contracting opportunities for certified M/WBEs. Accordingly, the Department of Small Business Services (SBS) built a program dedicated to promote fairness and equity in accessing contracting opportunities for City procurement.

In 2013, Local Law 1 was enacted to help strengthen the M/WBE Program. Some of the changes to the program include: (i) eliminating the \$1 million cap on contracts subject M/WBE participation goals; (ii) establishing participation goals on all services contracts (construction, professional and standard services); (iii) eliminating goals for goods over \$100,000; (iv) eliminating the distinction between prime contracts and subcontracts for the purposes of goal setting, including the Target Subcontracting Percentage; and (v) establishing participation goals for all ethnic and gender categories, except Asian Americans in Professional Services. Additionally, new monitoring and accountability requirements have been established in order to ensure transparency in the law's implementation, some of which include: (i) quarterly instead of bi-annual reporting requirements; (ii) establishing an M/WBE Director who will oversee agency compliance and will convene quarterly meetings with M/WBE officers to discuss agency performance in attaining Agency Utilization goals (agency Commissioners are required to attend two such meetings); and (iii) the creation of an annual Performance Improvement Plan and a monthly turnaround document to track agency progress.

Agencies with total procurements in excess of \$5 million in the previous full fiscal year (excluding contracts that are exempt from the M/WBE participation requirements as required by local law) are required to prepare annual M/WBE Utilization Plans. The following Utilization Plan template is designed to be a planning tool for each agency. Agencies are required to establish M/WBE participation goals for Fiscal Year 2019 based on the size and nature of the anticipated procurements that will be subject to the M/WBE participation requirements as well as the availability of certified M/WBEs with the capacity to perform the specific types and scale of work anticipated in such procurements. Agencies are further required to set specific M/WBE participation goals for procurements in all industries valued: at or below \$20,000 (Goods and Services); at or below \$35,000 (Construction); at or below \$100,000 and over \$100,000 (except for Goods). When establishing goals for procurements valued at or below \$100,000, agencies must consider the potential for such purchases to provide opportunities for M/WBEs to develop greater capacity, thereby increasing competition for city procurement.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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C. FY 19 Utilization Goals as established by LL1 of 2013

		FY 19 Utilization Goals								
		Less than or equal to \$35,000			\$35,001 to \$100,000			Greater than \$100,000		
		Citywide	Agency		Citywide	Agency		Citywide	Agency	
			FY18	FY19		FY18	FY19		FY18	FY19
Construction	Total Construction	38.00%	33.00 %	33.00%	38.00%	54.00 %	38.00%	38.00%	20.00 %	20.00%
	Black	8.00%	8.25 %	8.25%	8.00%	13.50 %	9.50%	8.00%	5.00 %	5.00%
	Hispanic	4.00%	8.25 %	8.25%	4.00%	13.50 %	9.50%	4.00%	5.00 %	5.00%
	Asian	8.00%	8.25 %	8.25%	8.00%	13.50 %	9.50%	8.00%	5.00 %	5.00%
	Women	18.00%	8.25 %	8.25%	18.00%	13.50 %	9.50%	18.00%	5.00 %	5.00%

		FY 19 Utilization Goals									
		Less than or equal to \$20,000			\$20,001 to \$100,000			Greater than \$100,000			
		Citywide	Agency		Citywide	Agency		Citywide	Agency		
			FY18	FY19		FY18	FY19		FY18	FY19	
Professional Services	Total Professional Services	37.00%	46.00 %	37.00%	37.00%	58.00 %	37.00%	37.00%	30.00 %	37.00%	
	% Black	12.00%	15.00 %	12.00%	12.00%	19.00 %	12.00%	12.00%	10.00 %	12.00%	
	Hispanic	8.00%	15.00 %	8.00%	8.00%	19.00 %	8.00%	8.00%	10.00 %	8.00%	
	Asian	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal
	Women	17.00%	16.00 %	17.00%	17.00%	20.00 %	17.00%	17.00%	10.00 %	17.00%	

Standard Services	Total Standard Services	31.00%	23.00 %	23.00%	31.00%	31.00 %	31.00%	31.00%	20.00 %	31.00%
	Black	12.00%	5.75 %	5.75%	12.00%	12.00 %	12.00%	12.00%	5.00 %	12.00%
	Hispanic	6.00%	5.75 %	5.75%	6.00%	6.00 %	6.00%	6.00%	5.00 %	6.00%
	Asian	3.00%	5.75 %	5.75%	3.00%	3.00 %	3.00%	3.00%	5.00 %	3.00%
	Women	10.00%	5.75 %	5.75%	10.00%	10.00 %	10.00%	10.00%	5.00 %	10.00%

Goods (Under 100k)	Total Goods	45.00%	30.00 %	45.00%	45.00%	45.00 %	45.00%	No Goal	No Goal	No Goal
	Black	7.00%	5.00 %	7.00%	7.00%	7.00 %	7.00%	No Goal	No Goal	No Goal
	Hispanic	5.00%	3.00 %	5.00%	5.00%	5.00 %	5.00%	No Goal	No Goal	No Goal
	Asian	8.00%	7.00 %	8.00%	8.00%	8.00 %	8.00%	No Goal	No Goal	No Goal
	Women	25.00%	15.00 %	25.00%	25.00%	25.00 %	25.00%	No Goal	No Goal	No Goal

* Please provide an explanation for your agency goals in section D.

D. Justification Page: Please explain how you arrived at your agency goals for all industries and levels of procurement.

CONSTRUCTION:

Under \$35K

Although the M/WBE utilization rate in this category was zero in the first three quarters of Fiscal Year 18, we believe it is reasonable to maintain a goal of 33% because there exists an abundance of M/WBE vendors who have the capacity to perform contracts at this level. While the vast majority of DDC's construction projects are valued at over \$100,000, the agency strives to award contracts in the under

\$35K-\$100K

Construction procurement at this level is rare at this agency. Although the M/WBE utilization in this category for first three quarters of fiscal year 18 was 100%, there were only two contract awards in the period in this category which likely may have skewed the utilization rate. Therefore, we have adopted citywide goals across all ethnicity as an effort to promote M/WBE awards in this category.

Over \$100K

Our project is based on the actual utilization rate in the first three quarters of fiscal year 18 in the same category. We believe we can achieve a 20% utilization rate through our outreach efforts as well as our comprehensive business development programs (Section E). DDC anticipates procuring construction service for both infrastructure and public building projects.

PROFESSIONAL SERVICES:

Under \$20K

Direct procurement of professional service at this level is extremely rare at this agency. The first three quarters of fiscal year 18 reports no procurement or M/WBE participation. However we believe that should there be any procurement at this level, the agency has put in place initiatives that promote M/WBE participation. Therefore we have adopted citywide goals across all ethnicity groups.

\$20K-\$100K

Although the M/WBE utilization in this category for first three quarters of fiscal year 18 was 100%, there were only three contracts in this category which may likely have skewed the M/BE utilization rate. Nevertheless, we believe we will be able to achieve the citywide goals through the agency's rigorous outreach plan and the City's new innovative M/WBE procurement initiatives.

Over \$100K

Our project is based on the actual utilization rate in the first three quarters of fiscal year 18 in the same category. We believe we will achieve the citywide goal across all ethnicities.

STANDARD SERVICES:

Under \$20K

Although actual M/WBE utilization rate in the first three quarters of fiscal year 18 is lower, we believe our outreach efforts and the new innovative procurement will enable us to maintain the goal. DDC anticipates procuring standard services such as Audio/Video production, signage at this contract level.

\$20K-\$100K

Direct procurement at this contract level is rare. Due to the insufficient number of procurements in the first three quarters of fiscal year 18, the utilization rate is skewed. DDC anticipates procuring standard services such as Laboratory Testing, Lead Abatement, as well as Site Safety and Support at this contract level. The agency's robust outreach plan and the implementation of the new innovative procurement method to promote M/WBE awards will enable us to achieve a higher goal. Therefore, citywide goals were adopted across all ethnicity groups.

Over \$100K

The agency's actual M/WBE utilization in the first three quarters of fiscal year 18 is higher than previous years. Although not typical, since there exists limited M/WBE capacity to handle the scope of work at this spending level, we believe we will be able to maintain the citywide goal in this category.

GOODS:

Under \$20K

Our project is based on the actual M/WBE utilization for the first three quarters of fiscal year 18. With the wide availability of M/WBE vendors at this level, we believe the agency can achieve the citywide goal.

\$20K-\$100K

The agency's actual M/WBE utilization for the first three quarters of fiscal year 18 allows us to be confident in achieving the citywide goal across all ethnicity groups.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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E. Prime Contractor Utilization Initiatives

LL1 Required Activities	
<input checked="" type="checkbox"/>	Engage in outreach activities and networking events (ie: co-sponsoring with other agencies, one-on-one meetings, etc.)
<input checked="" type="checkbox"/>	Encourage eligible firms to apply for certification.
<input checked="" type="checkbox"/>	Include language in RFPs and invitations to bid requiring potential bidders/ proposers to consult directories of certified M/WBE firms.
<input checked="" type="checkbox"/>	Encourage M/WBEs to join pre-qualified bidder's lists.
<input checked="" type="checkbox"/>	Advertise procurement opportunities in minority publications.
<input checked="" type="checkbox"/>	Conduct detailed analysis on a contract by contract basis to determine goals based on availability.
<input checked="" type="checkbox"/>	Consider reducing scope and size of contracts when planning procurements.
<input checked="" type="checkbox"/>	For construction contracts, enter into separate prime contracts for construction support services.
<input checked="" type="checkbox"/>	Attend quarterly M/WBE meetings (including two attended by the Commissioner.)
<input type="checkbox"/>	Conduct quarterly meetings with M/WBEs to discuss the agency's requirements for bids/ proposals.
<input checked="" type="checkbox"/>	Encourage prime contractors to enter into joint ventures with certified M/WBEs.
<input checked="" type="checkbox"/>	Designate dedicated staff to M/WBE program, including M/WBE Officer who is directly accountable to the agency head.
<input checked="" type="checkbox"/>	Submit to City Chief Procurement Officer all contracts valued over \$10 million to determine if they can be divided into smaller contracts (unbundling contracts.)
Performance Improvement Required Activities	
<input checked="" type="checkbox"/>	Meet with oversight agencies: Review performance (P-card, spending trends, etc.) and identify detailed lists of M/WBEs for upcoming procurements.
<input checked="" type="checkbox"/>	Review Utilization Plans: Assess anticipated procurements, M/WBE availability, and historical goals.
<input checked="" type="checkbox"/>	Review M/WBE initiatives: Past initiatives, effectivity of the actions, and new initiative to undertake.
<input checked="" type="checkbox"/>	Require contracting personnel to attend at least one of the monthly SBS/MOCS trainings.
<input checked="" type="checkbox"/>	Require post-award debriefings requested by an M/WBE.
Additional Initiatives (Select three or more)	
<input checked="" type="checkbox"/>	Participate in networking events, meetings, and workshops for certified M/WBE firms.
<input checked="" type="checkbox"/>	Post M/WBE program information on your agency's website.
<input type="checkbox"/>	Include M/WBE Utilization updates in all procurement team meetings.
<input type="checkbox"/>	Require buyers and P-card users to reach out to SBS's Account Management team for assistance identifying M/WBE firms for upcoming solicitations and other procurement opportunities.
<input type="checkbox"/>	Hold pre-bid/proposal conferences on all procurements with M/WBE participation requirements.
<input checked="" type="checkbox"/>	Establish formal means of tracking M/WBE utilization and sharing information within agency.
Compliance Administration and Monitoring	
<input checked="" type="checkbox"/>	Ensure timely prime contractor compliance with all LL1 submission requirements.
<input checked="" type="checkbox"/>	Ensure prime contractor's actual compliance with utilization plan by regularly employing monitoring techniques (at a minimum: contacting M/WBEs, auditing prime's books and records, and visiting job sites.)
<input checked="" type="checkbox"/>	Take appropriate enforcement action in cases where prime contractor is found to be out of compliance with utilization plan.
<input checked="" type="checkbox"/>	Record in PIP all actual payments to subcontractors.
<input checked="" type="checkbox"/>	As necessary, develop or modify written procedures pertaining to LL1 compliance administration, monitoring, and documentation.
Other Initiatives – List any other initiatives to be enacted by your agency	

Other:

Fiscal Year 2019 Agency M/WBE Utilization Plan



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F. Open Contracts with M/WBE Utilization Requirements

Approximate # of prime contracts open and subject to participation goals (under LL129 and LL1):	300
Approximate # of upcoming contracts which have potential for subcontracting (under LL1):	3745

G. Agency Organization

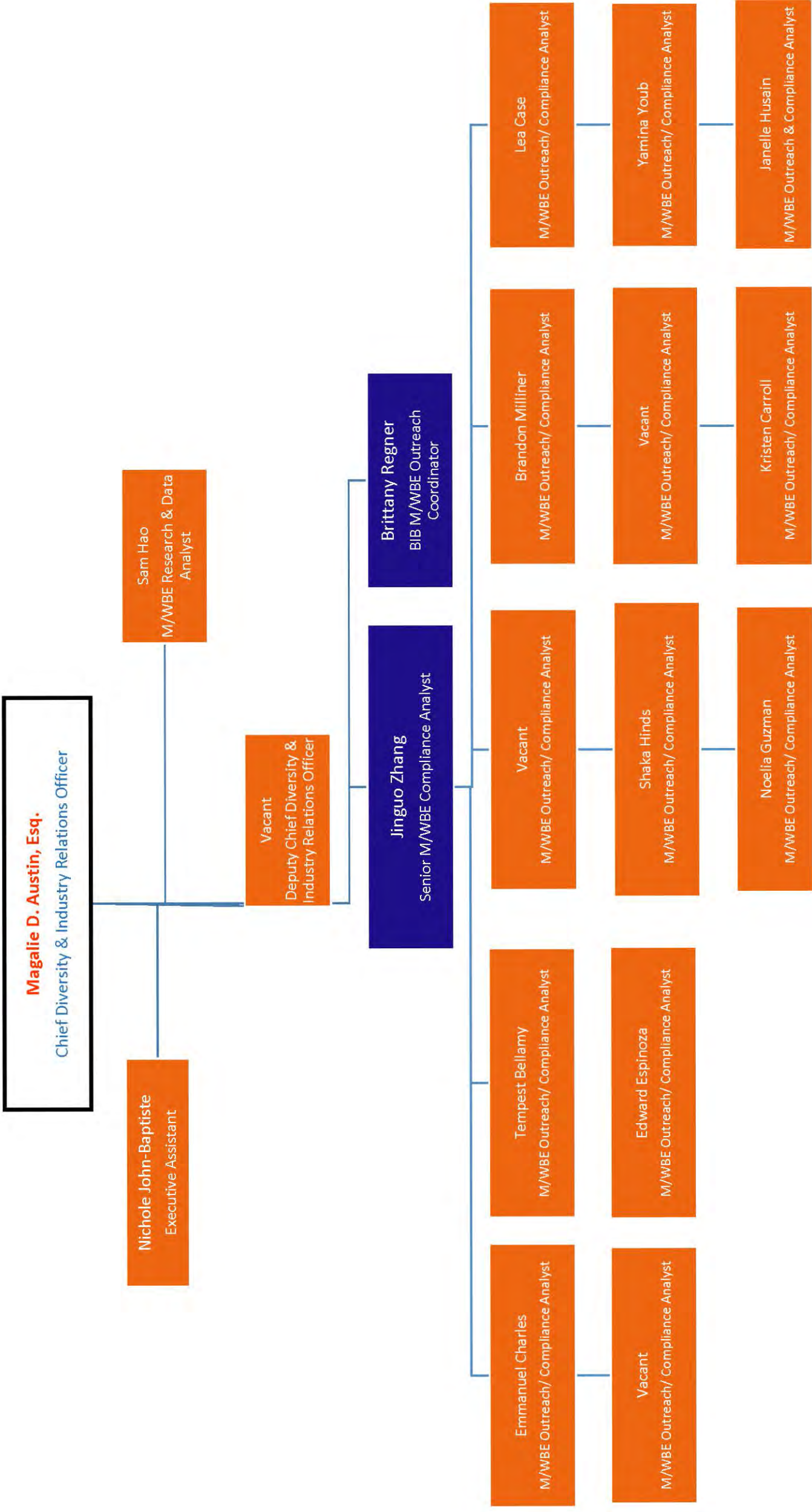
Attach the agency organizational chart with the names, titles, and contact information of all agency personnel responsible for implementation of the agency utilization plan.

List and describe any legislation, rules, policies or programs, other than those listed in the City Charter, PPB rules, General Municipal Law 103, and the Administrative Code, that impact agency utilization or the ability to participate in this program, i.e., Federal, State, or Local MBE, WBE, or Disadvantaged Business Enterprise (DBE) program requirements, etc.

H. Agency Approval

Provide authorized signatures below and submit to SBS with attached the agency organizational chart with the names, titles, and contract information of all agency personnel responsible for implementation of the agency utilization plan.

Authorized Signature (M/WBE Officer): Margaret D. Austin
Title: Agency Chief Diversity and Industry Relation officer Date: 01/10/19
Authorized Signature (ACCO): [Signature]
Title: ACCO Date: 01/10/19



G. Agency Organization

Agency M/WBE Officer
Chief Diversity & Industry Relations Officer

Magalie D. Austin
718-391-1586
AustinMa@ddc.nyc.gov

Senior M/WBE Compliance Analyst

Jinguo Zhang
718-391-1399
ZhangJi@ddc.nyc.gov

M/WBE Compliance Analyst

Lea Mapp
718-391-1003
CaseLe@ddc.nyc.gov

Agency Chief Contracting Officer

Nicholas Mendoza
718-391-1452
MendozaNi@ddc.nyc.gov

Deputy Chief Contracting Officer

Lorraine Holley
718-391-2601
HolleyL1@ddc.nyc.gov

Deputy Chief Contracting Officer

Michael Shipman
718-391-1866
Shipman@Mi@ddc.nyc.gov

Department of Environmental Protection

Fiscal Year 2019 Agency M/WBE Utilization Plan



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A. Agency Contact Information

Agency Name DEPARTMENT OF ENVIRONMENTAL PROTECTION (DEP)
Street Address 59-17 Junction Blvd 17th Fl **City** Flushing **State** NY **Zip Code** 11373
M/WBE Officer Name Joseph Murin **Email** jmurin@dep.nyc.gov **Telephone #** 718-595-6576
ACCO Name Elisa Velazquez **Email** EVelazquez@dep.nyc.gov **Telephone #** 718-595-3925
Date 12/3/18

B. Local Law 1 Requirements

New York City's Minority and Women-Owned Business Enterprise (M/WBE) program, established in 2005, was designed to promote government contracting opportunities for certified M/WBEs. Accordingly, the Department of Small Business Services (SBS) built a program dedicated to promote fairness and equity in accessing contracting opportunities for City procurement.

In 2013, Local Law 1 was enacted to help strengthen the M/WBE Program. Some of the changes to the program include: (i) eliminating the \$1 million cap on contracts subject M/WBE participation goals; (ii) establishing participation goals on all services contracts (construction, professional and standard services); (iii) eliminating goals for goods over \$100,000; (iv) eliminating the distinction between prime contracts and subcontracts for the purposes of goal setting, including the Target Subcontracting Percentage; and (v) establishing participation goals for all ethnic and gender categories, except Asian Americans in Professional Services. Additionally, new monitoring and accountability requirements have been established in order to ensure transparency in the law's implementation, some of which include: (i) quarterly instead of bi-annual reporting requirements; (ii) establishing an M/WBE Director who will oversee agency compliance and will convene quarterly meetings with M/WBE officers to discuss agency performance in attaining Agency Utilization goals (agency Commissioners are required to attend two such meetings); and (iii) the creation of an annual Performance Improvement Plan and a monthly turnaround document to track agency progress.

Agencies with total procurements in excess of \$5 million in the previous full fiscal year (excluding contracts that are exempt from the M/WBE participation requirements as required by local law) are required to prepare annual M/WBE Utilization Plans. The following Utilization Plan template is designed to be a planning tool for each agency. Agencies are required to establish M/WBE participation goals for Fiscal Year 2019 based on the size and nature of the anticipated procurements that will be subject to the M/WBE participation requirements as well as the availability of certified M/WBEs with the capacity to perform the specific types and scale of work anticipated in such procurements. Agencies are further required to set specific M/WBE participation goals for procurements in all industries valued: at or below \$20,000 (Goods and Services); at or below \$35,000 (Construction); at or below \$100,000 and over \$100,000 (except for Goods). When establishing goals for procurements valued at or below \$100,000, agencies must consider the potential for such purchases to provide opportunities for M/WBEs to develop greater capacity, thereby increasing competition for city procurement.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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C. FY 19 Utilization Goals as established by LL1 of 2013

		FY 19 Utilization Goals								
		Less than or equal to \$35,000			\$35,001 to \$100,000			Greater than \$100,000		
		Citywide	Agency		Citywide	Agency		Citywide	Agency	
			FY18	FY19		FY18	FY19		FY18	FY19
Construction	Total Construction	38.00%	0 %	0.00%	38.00%	0 %	0.00%	38.00%	3 %	4.00%
	Black	8.00%	0 %	0.00%	8.00%	0 %	0.00%	8.00%	1 %	1.00%
	Hispanic	4.00%	0 %	0.00%	4.00%	0 %	0.00%	4.00%	1 %	1.00%
	Asian	8.00%	0 %	0.00%	8.00%	0 %	0.00%	8.00%	1 %	1.00%
	Women	18.00%	0 %	0.00%	18.00%	0 %	0.00%	18.00%	2 %	1.00%

		FY 19 Utilization Goals								
		Less than or equal to \$20,000			\$20,001 to \$100,000			Greater than \$100,000		
		Citywide	Agency		Citywide	Agency		Citywide	Agency	
			FY18	FY19		FY18	FY19		FY18	FY19
Professional Services	Total Professional Services	37.00%	10 %	12.00%	37.00%	11 %	31.00%	37.00%	4 %	4.00%
	% Black	12.00%	1 %	1.00%	12.00%	4 %	6.00%	12.00%	1 %	1.00%
	Hispanic	8.00%	1 %	1.00%	8.00%	2 %	2.00%	8.00%	1 %	1.00%
	Asian	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal
	Women	17.00%	8 %	13.00%	17.00%	5 %	23.00%	17.00%	2 %	2.00%

Standard Services	Total Standard Services	31.00%	23 %	23.00%	31.00%	16 %	16.00%	31.00%	0 %	0.00%
	Black	12.00%	6 %	7.00%	12.00%	4 %	4.00%	12.00%	0 %	0.00%
	Hispanic	6.00%	6 %	7.00%	6.00%	4 %	4.00%	6.00%	0 %	0.00%
	Asian	3.00%	3 %	4.00%	3.00%	4 %	4.00%	3.00%	0 %	0.00%
	Women	10.00%	8 %	11.00%	10.00%	4 %	4.00%	10.00%	0 %	0.00%

Goods (Under 100K)	Total Goods	45.00%	37 %	36.00%	45.00%	11 %	30.00%	No Goal	No Goal	No Goal
	Black	7.00%	9 %	9.00%	7.00%	2 %	8.00%	No Goal	No Goal	No Goal
	Hispanic	5.00%	9 %	9.00%	5.00%	3 %	8.00%	No Goal	No Goal	No Goal
	Asian	8.00%	9 %	9.00%	8.00%	2 %	6.00%	No Goal	No Goal	No Goal
	Women	25.00%	10 %	9.00%	25.00%	4 %	8.00%	No Goal	No Goal	No Goal

* Please provide an explanation for your agency goals in section D.

D. Justification Page: Please explain how you arrived at your agency goals for all industries and levels of procurement.

CONSTRUCTION:

Under \$35K

The percentage listed is based upon information from FY'17 & Q1-Q2 of FY'18.

DEP's procurement history shows limited micropurchase activity within the Construction industry. The utilization of the HVAC, Electrical, Mechanical, Plumbing, and GC Job Order Contracts further limit solicitations in this area.

\$35K-\$100K

The percentage listed is based upon information from FY'17 & Q1-Q2 of FY'18.

The modification of the PPB rules increasing the Construction micro purchase dollar threshold will lead to a slight decline in small purchase activity. Additionally, the anticipated registration of the HVAC, Electrical, Mechanical, Plumbing, and GC Job Order Contracts in the next fiscal year, will continue to limit the number of Construction solicitations that would have fallen into the small purchase category. For these reasons we have decided to remain at a 0% utilization for our anticipated M/WBE goals for small purchase orders.

Over \$100K

The percentage listed is based upon information from FY'17 & Q1-Q2 of FY'18.

The modification of the PPB rules increasing the Construction micro purchase dollar threshold will lead to a slight decline in small purchase activity. Additionally, the anticipated registration of the HVAC, Electrical, Mechanical, Plumbing, and GC Job Order Contracts in the next fiscal year, will decrease the number of Construction solicitations that would have fallen into the small purchase category. For these reasons we have reduced our anticipated M/WBE goals for small purchase orders.

PROFESSIONAL SERVICES:

Under \$20K

DEP does anticipate an increase of activity under this category; we will continue to put forth every effort in soliciting more M/WBE's when the need arises for procurements in this category, such as Architecture & Engineering, Construction Management and Engineering Design contracts. As a result, we have elected to increase our M/WBE goals in FY19.

\$20K-\$100K

DEP does anticipate an increase of activity under this category; we will continue to put forth every effort in soliciting more M/WBE's when the need arises for procurements in this category, such as Architecture & Engineering, Construction Management and Engineering Design contracts. As a result, we have elected to increase our M/WBE goals in FY19.

Over \$100K

DEP's current data for M/WBE participation under this category for Professional Services Contracts has been low for FY18. However, we are anticipating a couple of upcoming contracts for Professional Services. In FY19, DEP is breaking up these contracts for Architecture & Engineering, Construction Management and Design services into smaller contracts in an effort to give M/WBEs a better opportunity to submit proposals.

STANDARD SERVICES:

Under \$20K

DEP used an average between the actual utilization of FY'17 and FY'18 Quarter 1 & 2 performance to set the utilization goal. We expect to procure cable installation, asbestos inspector training services, maintenance & repair of generators, chemical waste removal, calibration services, and the maintenance of sludge tanks.

\$20K-\$100K

DEP used an average between the actual utilization of FY'17 and FY'18 Quarter 1 & 2 performance to set the utilization goal. We expect to procure environment consulting, investigative services, chemical and lab supplies, panel wall systems maintenance and repair, water leak detection, tire and tube mounting, bio-solids management, valve maintenance and repair, fire prevention, and service & repair to calibration systems.

Over \$100K

We anticipate no opportunities for M/WBE utilization in this spending category. The reason is because DEP standard contracts include scopes of work in areas where there is no M/WBE availability. The areas include maintenance of flight pumps, installing and maintaining water mains and valves, the transportation via mass trucking and railing of hazardous materials & bio-solids, which have BIC licensing requirements. DEP has many facilities in the Catskills region, Ashkonan, and Croton. Because of this, DEP does not expect availability of M/WBEs to travel to these areas to perform work.

GOODS:

Under \$20K

DEP used an average between the actual utilization of FY' 17 and FY'18 Quarter 1 and 2 performance to set its utilization goal.

In FY'19, DEP anticipates on procuring goods such as building maintenance supplies, valves, various lab supplies, window alarm equipment, and air monitoring equipment.

\$20K-\$100K

DEP used an average between the actual utilization of FY'17 and FY'18 Quarter 1 & 2 performance, which is 6%, to set the utilization goal. We believe however, that under the new 5+10 small purchase directive, 10% would be achievable. DEP anticipates procuring goods such as sewage and sludge pumps, propellers, valves, brass and copper, pipe repair clamps, couplings, leak kits, pneumatic machines, demolition tools, and paving breakers.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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E. Prime Contractor Utilization Initiatives

LL1 Required Activities	
<input checked="" type="checkbox"/>	Engage in outreach activities and networking events (ie: co-sponsoring with other agencies, one-on-one meetings, etc.)
<input checked="" type="checkbox"/>	Encourage eligible firms to apply for certification.
<input checked="" type="checkbox"/>	Include language in RFPs and invitations to bid requiring potential bidders/ proposers to consult directories of certified M/WBE firms.
<input checked="" type="checkbox"/>	Encourage M/WBEs to join pre-qualified bidder's lists.
<input checked="" type="checkbox"/>	Advertise procurement opportunities in minority publications.
<input checked="" type="checkbox"/>	Conduct detailed analysis on a contract by contract basis to determine goals based on availability.
<input checked="" type="checkbox"/>	Consider reducing scope and size of contracts when planning procurements.
<input checked="" type="checkbox"/>	For construction contracts, enter into separate prime contracts for construction support services.
<input checked="" type="checkbox"/>	Attend quarterly M/WBE meetings (including two attended by the Commissioner.)
<input checked="" type="checkbox"/>	Conduct quarterly meetings with M/WBEs to discuss the agency's requirements for bids/ proposals.
<input checked="" type="checkbox"/>	Encourage prime contractors to enter into joint ventures with certified M/WBEs.
<input checked="" type="checkbox"/>	Designate dedicated staff to M/WBE program, including M/WBE Officer who is directly accountable to the agency head.
<input checked="" type="checkbox"/>	Submit to City Chief Procurement Officer all contracts valued over \$10 million to determine if they can be divided into smaller contracts (unbundling contracts.)
Performance Improvement Required Activities	
<input checked="" type="checkbox"/>	Meet with oversight agencies: Review performance (P-card, spending trends, etc.) and identify detailed lists of M/WBEs for upcoming procurements.
<input checked="" type="checkbox"/>	Review Utilization Plans: Assess anticipated procurements, M/WBE availability, and historical goals.
<input checked="" type="checkbox"/>	Review M/WBE initiatives: Past initiatives, effectivity of the actions, and new initiative to undertake.
<input checked="" type="checkbox"/>	Require contracting personnel to attend at least one of the monthly SBS/MOCS trainings.
<input checked="" type="checkbox"/>	Require post-award debriefings requested by an M/WBE.
Additional Initiatives (Select three or more)	
<input checked="" type="checkbox"/>	Participate in networking events, meetings, and workshops for certified M/WBE firms.
<input checked="" type="checkbox"/>	Post M/WBE program information on your agency's website.
<input checked="" type="checkbox"/>	Include M/WBE Utilization updates in all procurement team meetings.
<input checked="" type="checkbox"/>	Require buyers and P-card users to reach out to SBS's Account Management team for assistance identifying M/WBE firms for upcoming solicitations and other procurement opportunities.
<input checked="" type="checkbox"/>	Hold pre-bid/proposal conferences on all procurements with M/WBE participation requirements.
<input checked="" type="checkbox"/>	Establish formal means of tracking M/WBE utilization and sharing information within agency.
Compliance Administration and Monitoring	
<input checked="" type="checkbox"/>	Ensure timely prime contractor compliance with all LL1 submission requirements.
<input checked="" type="checkbox"/>	Ensure prime contractor's actual compliance with utilization plan by regularly employing monitoring techniques (at a minimum: contacting M/WBEs, auditing prime's books and records, and visiting job sites.)
<input checked="" type="checkbox"/>	Take appropriate enforcement action in cases where prime contractor is found to be out of compliance with utilization plan.
<input checked="" type="checkbox"/>	Record in PIP all actual payments to subcontractors.
<input checked="" type="checkbox"/>	As necessary, develop or modify written procedures pertaining to LL1 compliance administration, monitoring, and documentation.
Other Initiatives – List any other initiatives to be enacted by your agency	

Other: DEP offers the operating bureaus of the agency an opportunity to approve M/WBE subcontractors on JOCS contracts at a higher dollar value to minimize requests of subcontractor approval for Prime contractors on a subsequent job.

In an effort to make the JOCS process more understandable, special training is offered to M/WBEs by the Gordian Group, which is responsible for administering the JOCS contracting program at DEP. JOCS contracts are being broken up into smaller dollar values in an effort to increase M/WBE utilization.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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F. Open Contracts with M/WBE Utilization Requirements

Approximate # of prime contracts <u>open</u> and subject to participation goals (under LL129 and LL1):	190
Approximate # of upcoming contracts which have potential for subcontracting (under LL1):	58

G. Agency Organization

Attach the agency organizational chart with the names, titles, and contact information of all agency personnel responsible for implementation of the agency utilization plan.


List and describe any legislation, rules, policies or programs, other than those listed in the City Charter, PPB rules, General Municipal Law 103, and the Administrative Code, that impact agency utilization or the ability to participate in this program, i.e., Federal, State, or Local MBE, WBE, or Disadvantaged Business Enterprise (DBE) program requirements, etc.


DEP offers the operating bureaus of the agency an opportunity to approve M/WBE subcontractors on JOCS contracts at a higher dollar value to minimize requests of subcontractor approval for Prime contractors on a subsequent job.

In an effort to make the JOCS process more understandable, special training is offered to M/WBEs by the Gordian Group, which is responsible for administering the JOCS contracting program at DEP. JOCS contracts are being broken up into smaller dollar values in an effort to increase M/WBE utilization

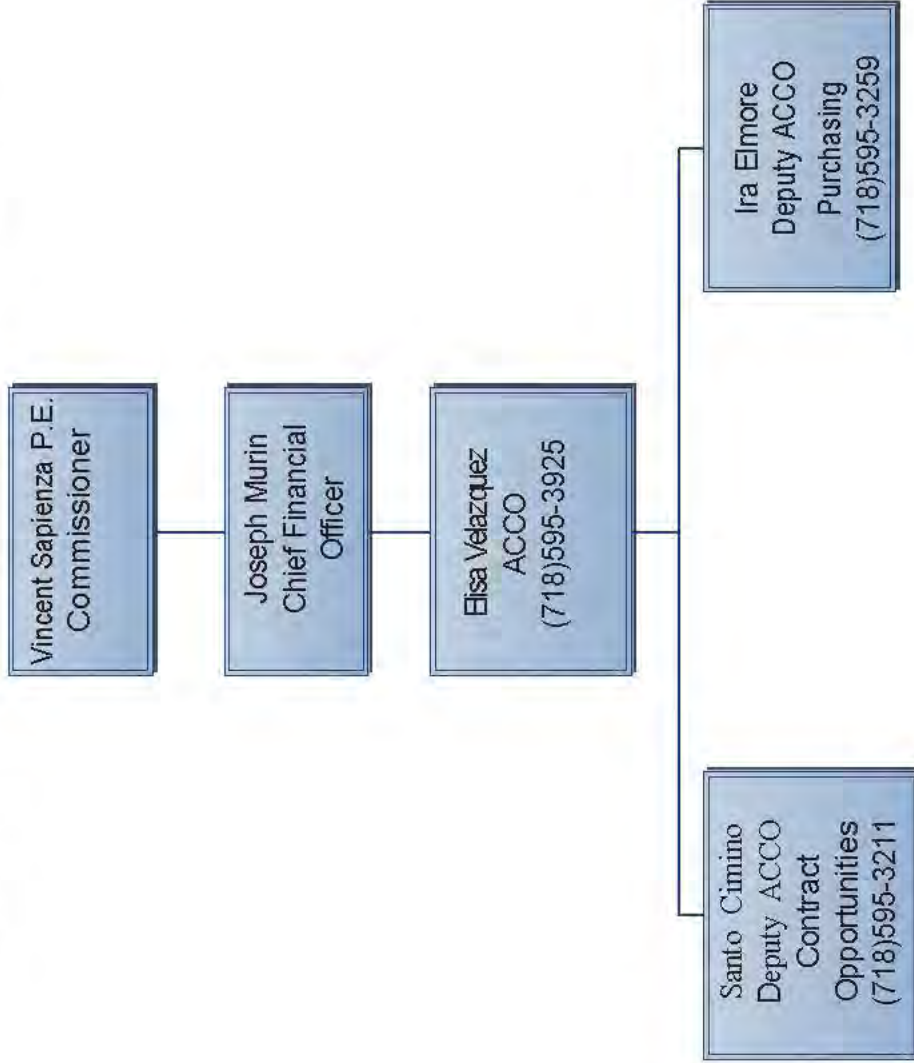
H. Agency Approval

Provide authorized signatures below and submit to SBS with attached the agency organizational chart with the names, titles, and contract information of all agency personnel responsible for implementation of the agency utilization plan.

Authorized Signature (M/WBE Officer): 
Title: Chief Financial Officer Date: 12/4/18

Authorized Signature (ACCO): 
Title: Assistant Commissioner/ACCO Date: 12/4/18

NYC DEP M/WBE Utilization Plan Organization



Department of Homeless Services

Fiscal Year 2019 Agency M/WBE Utilization Plan



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A. Agency Contact Information

Agency Name Department of Social Services (DHS)

Street Address 150 Greenwich St. (4 WTC) **City** New York

State NY **Zip Code** 10007

M/WBE Officer Name Vincent Pullo

Email pullov@dss.nyc.gov

Telephone # 929-221-6347

ACCO Name Vincent Pullo

Email pullov@dss.nyc.gov

Telephone # 929-221-6347

Date 6/12/2018

B. Local Law 1 Requirements

New York City's Minority and Women-Owned Business Enterprise (M/WBE) program, established in 2005, was designed to promote government contracting opportunities for certified M/WBEs. Accordingly, the Department of Small Business Services (SBS) built a program dedicated to promote fairness and equity in accessing contracting opportunities for City procurement.

In 2013, Local Law 1 was enacted to help strengthen the M/WBE Program. Some of the changes to the program include: (i) eliminating the \$1 million cap on contracts subject M/WBE participation goals; (ii) establishing participation goals on all services contracts (construction, professional and standard services); (iii) eliminating goals for goods over \$100,000; (iv) eliminating the distinction between prime contracts and subcontracts for the purposes of goal setting, including the Target Subcontracting Percentage; and (v) establishing participation goals for all ethnic and gender categories, except Asian Americans in Professional Services. Additionally, new monitoring and accountability requirements have been established in order to ensure transparency in the law's implementation, some of which include: (i) quarterly instead of bi-annual reporting requirements; (ii) establishing an M/WBE Director who will oversee agency compliance and will convene quarterly meetings with M/WBE officers to discuss agency performance in attaining Agency Utilization goals (agency Commissioners are required to attend two such meetings); and (iii) the creation of an annual Performance Improvement Plan and a monthly turnaround document to track agency progress.

Agencies with total procurements in excess of \$5 million in the previous full fiscal year (excluding contracts that are exempt from the M/WBE participation requirements as required by local law) are required to prepare annual M/WBE Utilization Plans. The following Utilization Plan template is designed to be a planning tool for each agency. Agencies are required to establish M/WBE participation goals for Fiscal Year 2019 based on the size and nature of the anticipated procurements that will be subject to the M/WBE participation requirements as well as the availability of certified M/WBEs with the capacity to perform the specific types and scale of work anticipated in such procurements. Agencies are further required to set specific M/WBE participation goals for procurements in all industries valued: at or below \$20,000 (Goods and Services); at or below \$35,000 (Construction); at or below \$100,000 and over \$100,000 (except for Goods). When establishing goals for procurements valued at or below \$100,000, agencies must consider the potential for such purchases to provide opportunities for M/WBEs to develop greater capacity, thereby increasing competition for city procurement.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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C. FY 19 Utilization Goals as established by LL1 of 2013

		FY 19 Utilization Goals								
		Less than or equal to \$35,000			\$35,001 to \$100,000			Greater than \$100,000		
		Citywide	Agency		Citywide	Agency		Citywide	Agency	
			FY18	FY19		FY18	FY19		FY18	FY19
Construction	Total Construction	38.00%	15 %	5.00	38.00%	10 %	5.00	38.00%	30 %	35.00
	Black	8.00%	8 %	6.00	8.00%	5 %	5.00	8.00%	10 %	10.00
	Hispanic	4.00%	4 %	2.00	4.00%	3 %	2.00	4.00%	3 %	3.00
	Asian	8.00%	8 %	4.00	8.00%	4 %	6.00	8.00%	10 %	15.00
	Women	18.00%	2 %	2.00	18.00%	2 %	2.00	18.00%	1 %	1.00

		FY 19 Utilization Goals								
		Less than or equal to \$20,000			\$20,001 to \$100,000			Greater than \$100,000		
		Citywide	Agency		Citywide	Agency		Citywide	Agency	
			FY18	FY19		FY18	FY19		FY18	FY19
Professional Services	Total Professional Services	37.00%	33 %	32.00	37.00%	20 %	20.00	37.00%	20 %	20.00
	% Black	12.00%	12 %	12.00	12.00%	5 %	5.00	12.00%	9 %	9.00
	Hispanic	8.00%	6 %	6.00	8.00%	3 %	3.00	8.00%	1 %	1.00
	Asian	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal
	Women	17.00%	15 %	15.00	17.00%	12 %	12.00	17.00%	10 %	10.00

Standard Services	Total Standard Services	31.00%	31 %	31.00	31.00%	31 %	31.00	31.00%	31 %	31.00
	Black	12.00%	12 %	12.00	12.00%	12 %	12.00	12.00%	12 %	12.00
	Hispanic	6.00%	5 %	5.00	6.00%	5 %	5.00	6.00%	5 %	5.00
	Asian	3.00%	3 %	3.00	3.00%	4 %	4.00	3.00%	4 %	4.00
	Women	10.00%	10 %	10.00	10.00%	10 %	10.00	10.00%	10 %	10.00

Goods (Under 100K)	Total Goods	45.00%	42 %	45.00	45.00%	40 %	40.00	No Goal	No Goal	No Goal
	Black	7.00%	7 %	7.00	7.00%	7 %	7.00	No Goal	No Goal	No Goal
	Hispanic	5.00%	5 %	5.00	5.00%	5 %	5.00	No Goal	No Goal	No Goal
	Asian	8.00%	8 %	8.00	8.00%	8 %	8.00	No Goal	No Goal	No Goal
	Women	25.00%	22 %	23.00	25.00%	20 %	20.00	No Goal	No Goal	No Goal

* Please provide an explanation for your agency goals in section D.

D. Justification Page: Please explain how you arrived at your agency goals for all industries and levels of procurement.

CONSTRUCTION:

Under \$35K

For FY19, DHS does not anticipate procuring any small purchase construction contracts as in previous years. The agency now has awarded two on-call general contractors to cure Department of Building violations and make repairs as needed to City-run shelters.

\$35K-\$100K

Same as above. DHS anticipates procuring fewer small purchases procurement in this category. The two on-call general contractors will be able to handle the agency's needs regarding maintenance and repair of City-run shelters.

Over \$100K

All of our construction projects in this category have M/WBE goals. The maintenance, Repair, Capital Construction (MRCC) Division identified potential areas of the bids that can be sub-contracted to M/WBEs. They also work closely with DSS Integrity Unit to identify and reach out to potential M/WBEs. Our numbers reflect the responses we normally receive from the vendor community. DHS issued at least nine (9) construction bids in FY18 and to issue a similar volume in FY19. DHS will continue to do more M/WBE outreach to bring in new vendors.

PROFESSIONAL SERVICES:

Under \$20K

These services typically cover IT subscriptions and licenses, as well as subscription to on-line trainings. DHS Information Technology Division is now under DSS IT, and will not be soliciting new contracts under DHS. DHS anticipates procuring on-going training for various program areas on an as-needed basis.

\$20K-\$100K

On average, DHS solicits under eight (8) contracts per year for these services. They mostly consist of Medical and Psychological testing for the Department's Peace Officers. Anticipated needs for FY19 in the areas of consultant trainings, and temporary workers.

Over \$100K

The contracts under this category typically are the Architectural and Engineering Services for the Agency's Construction Management Services unit. The agency expects to have an additional A & E vendor for the coming fiscal year. The anticipated goals are based on availability of M/WBEs in this area. Due to the merging of DHS and HRA IT services under the umbrella of the Department of Social Services, (DSS), all IT contracts will be captured under HRA contracts.

STANDARD SERVICES:

Under \$20K

The anticipated goals reflect historical use of these services. They tend to be POs for various agency programs. Services include printing, shredding and cleaning.

\$20K-\$100K

These anticipated goals are based on the type of services DHS normally contract for moving services, parking, and elevator inspection. They reflect the anticipated needs for FY18.

Over \$100K

This category mostly involves DHS Maintenance & Repair contracts. These contracts tend to be "On-Call", therefore, the bulk of this work is done by the Prime and there is no guarantee of actual work. We encourage program to set sub-contracting goals to identified areas. Anticipated services for FY19 include moving clients, and furniture, travel services, food contracts, snow removal, elevator repair, and Maintenance and Repair of HVAC.

GOODS:

Under \$20K

This category mostly covers office supplies, promotional items, and plumbing supplies. These items are typically procured through DCAS Requirement contracts. When purchase orders are utilized, program areas are strongly encouraged to purchase from M/WBE vendors when available. The goals reflect typical use.

\$20K-\$100K

DHS historically purchases various goods for the warehouse and where possible, we will continue to reach out to all available M/WBEs; and the identified goals reflect our typical vendors. Most of the purchases are made through DCAS requirement contracts. Purchases typically include mattresses, plumbing materials, fuel, power tools, office supplies, furniture, and electrical supplies.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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E. Prime Contractor Utilization Initiatives

LL1 Required Activities	
<input checked="" type="checkbox"/>	Engage in outreach activities and networking events (ie: co-sponsoring with other agencies, one-on-one meetings, etc.)
<input checked="" type="checkbox"/>	Encourage eligible firms to apply for certification.
<input checked="" type="checkbox"/>	Include language in RFPs and invitations to bid requiring potential bidders/ proposers to consult directories of certified M/WBE firms.
<input checked="" type="checkbox"/>	Encourage M/WBEs to join pre-qualified bidder's lists.
<input checked="" type="checkbox"/>	Advertise procurement opportunities in minority publications.
<input checked="" type="checkbox"/>	Conduct detailed analysis on a contract by contract basis to determine goals based on availability.
<input checked="" type="checkbox"/>	Consider reducing scope and size of contracts when planning procurements.
<input checked="" type="checkbox"/>	For construction contracts, enter into separate prime contracts for construction support services.
<input checked="" type="checkbox"/>	Attend quarterly M/WBE meetings (including two attended by the Commissioner.)
<input checked="" type="checkbox"/>	Conduct quarterly meetings with M/WBEs to discuss the agency's requirements for bids/ proposals.
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<input checked="" type="checkbox"/>	Designate dedicated staff to M/WBE program, including M/WBE Officer who is directly accountable to the agency head.
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Performance Improvement Required Activities	
<input checked="" type="checkbox"/>	Meet with oversight agencies: Review performance (P-card, spending trends, etc.) and identify detailed lists of M/WBEs for upcoming procurements.
<input checked="" type="checkbox"/>	Review Utilization Plans: Assess anticipated procurements, M/WBE availability, and historical goals.
<input checked="" type="checkbox"/>	Review M/WBE initiatives: Past initiatives, effectivity of the actions, and new initiative to undertake.
<input checked="" type="checkbox"/>	Require contracting personnel to attend at least one of the monthly SBS/MOCS trainings.
<input checked="" type="checkbox"/>	Require post-award debriefings requested by an M/WBE.
Additional Initiatives (Select three or more)	
<input checked="" type="checkbox"/>	Participate in networking events, meetings, and workshops for certified M/WBE firms.
<input checked="" type="checkbox"/>	Post M/WBE program information on your agency's website.
<input checked="" type="checkbox"/>	Include M/WBE Utilization updates in all procurement team meetings.
<input checked="" type="checkbox"/>	Require buyers and P-card users to reach out to SBS's Account Management team for assistance identifying M/WBE firms for upcoming solicitations and other procurement opportunities.
<input checked="" type="checkbox"/>	Hold pre-bid/proposal conferences on all procurements with M/WBE participation requirements.
<input checked="" type="checkbox"/>	Establish formal means of tracking M/WBE utilization and sharing information within agency.
Compliance Administration and Monitoring	
<input checked="" type="checkbox"/>	Ensure timely prime contractor compliance with all LL1 submission requirements.
<input checked="" type="checkbox"/>	Ensure prime contractor's actual compliance with utilization plan by regularly employing monitoring techniques (at a minimum: contacting M/WBEs, auditing prime's books and records, and visiting job sites.)
<input checked="" type="checkbox"/>	Take appropriate enforcement action in cases where prime contractor is found to be out of compliance with utilization plan.
<input checked="" type="checkbox"/>	Record in PIP all actual payments to subcontractors.
<input checked="" type="checkbox"/>	As necessary, develop or modify written procedures pertaining to LL1 compliance administration, monitoring, and documentation.
Other Initiatives – List any other initiatives to be enacted by your agency	
<p>Other:</p> <ol style="list-style-type: none"> 1) Meet on a quarterly basis with M/WBEs on upcoming solicitations. 2) Send invitation to Bids to all M/WBEs DHS contacted and met in the past on released Bids. 3) Lowering Bonding requirements on some projects; this is an identified problem for M/WBEs. 4) Attend M/WBE Fairs sponsored by other City Agencies throughout the year. 5) Ensure solicitations are forwarded to appropriate M/WBEs contacted at various fairs. 	

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F. Open Contracts with M/WBE Utilization Requirements

Approximate # of prime contracts <u>open</u> and subject to participation goals (under LL129 and LL1):	13
Approximate # of upcoming contracts which have potential for subcontracting (under LL1):	25

G. Agency Organization

Attach the agency organizational chart with the names, titles, and contact information of all agency personnel responsible for implementation of the agency utilization plan.

List and describe any legislation, rules, policies or programs, other than those listed in the City Charter, PPB rules, General Municipal Law 103, and the Administrative Code, that impact agency utilization or the ability to participate in this program, i.e., Federal, State, or Local MBE, WBE, or Disadvantaged Business Enterprise (DBE) program requirements, etc.

H. Agency Approval

Provide authorized signatures below and submit to SBS with attached the agency organizational chart with the names, titles, and contract information of all agency personnel responsible for implementation of the agency utilization plan.

Authorized Signature (M/WBE Officer):

Title:

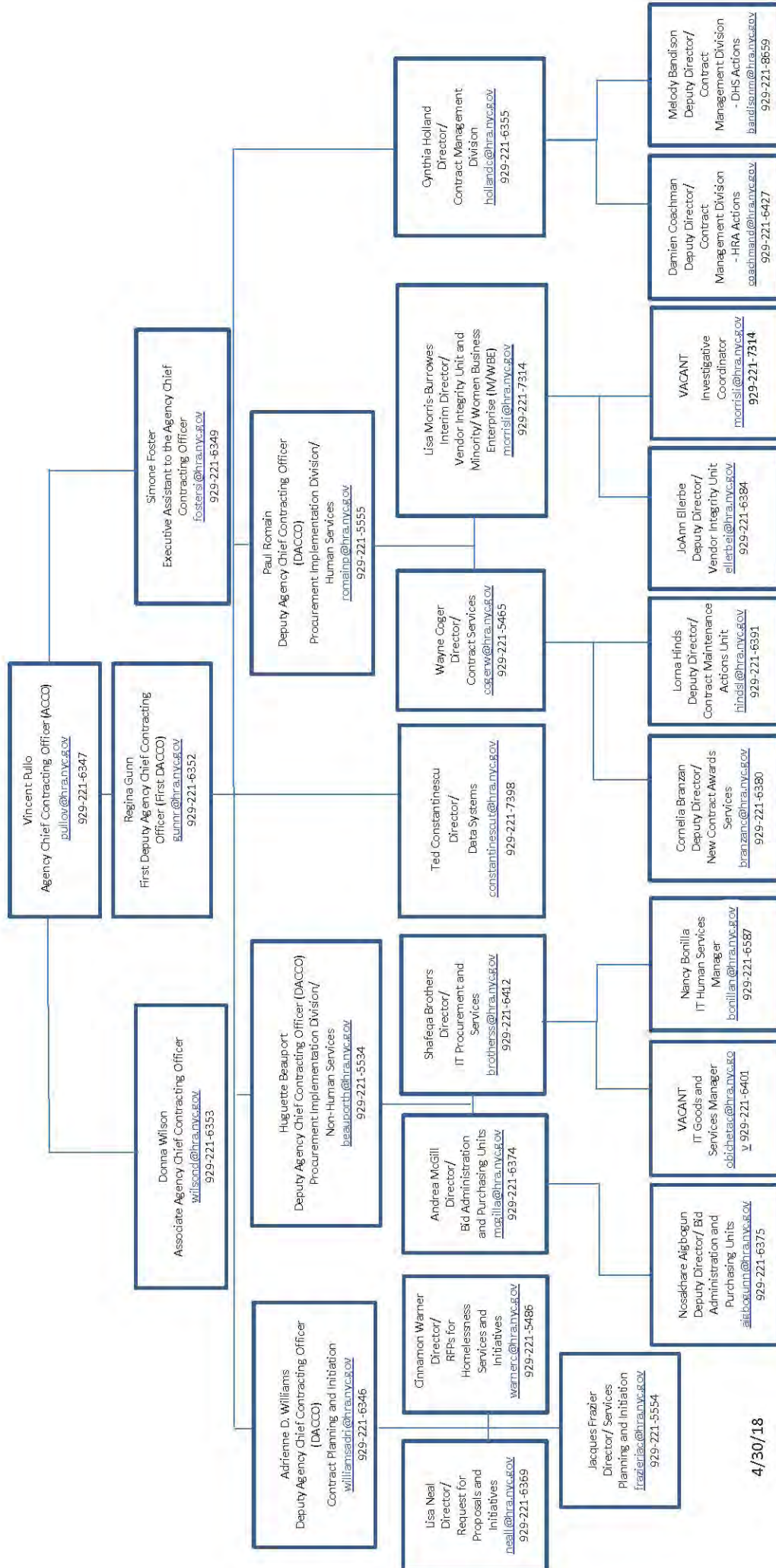
Date:

Authorized Signature (ACCO):

Title:

Date:

**DEPARTMENT OF SOCIAL SERVICES
OFFICE OF CONTRACTS
150 GREENWICH STREET, 37TH FLOOR
NEW YORK, NY 10007**



4/30/18

DEPARTMENT OF SOCIAL SERVICES
OFFICE OF CONTRACTS
150 GREENWICH STREET, 37TH FLOOR
NEW YORK, NY 10007

Agency Chief Contracting Officer (ACCO)
Minority/ Women Business Enterprise (M/WBE) Officer

Vincent Pullo
929-221-6347
pullov@hra.nyc.gov

First Deputy Agency Chief Contracting Officer (First DACCO)

Regina Gunn
929-221-6352
gunnr@dss.nyc.gov

Associate Agency Chief Contracting Officer

Donna Wilson
929-221-6353
wilsond@dss.nyc.gov

Executive Assistant to the Agency Chief Contracting Officer

Simone Foster
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Deputy Agency Chief Contracting Officer (DACCO)
Contract Planning and Initiation

Adrienne D. Williams
929-221-6346
williamsadri@dss.nyc.gov

Deputy Agency Chief Contracting Officer (DACCO)
Procurement Implementation Division/
Non-Human Services

Huguette Beauport
929-221-5534
beauport@dss.nyc.gov

Deputy Agency Chief Contracting Officer (DACCO)
Procurement Implementation Division/
Human Services

Paul Romain
929-221-5555
romainp@dss.nyc.gov

Director/ Request for Proposals and Initiatives

Lisa Neal
929-221-6369
neall@dss.nyc.gov

Director/ RFPs for Homelessness Services and Initiatives	Cinnamon Warner 929-221-5486 warnerc@dss.nyc.gov
Director/ Services Planning and Initiation	Jacques Frazier 929-221-5554 frazierjac@dss.nyc.gov
Director/ Bid Administration and Purchasing Units	Andrea McGill 929-221-6374 mcgilla@dss.nyc.gov
Director/ IT Procurement and Services	Shafeqa Brothers 929-221-6412 brotherss@dss.nyc.gov
Director/ Data Systems	Ted Constantinescu 929-221-7398 constantinescut@dss.nyc.gov
Director/ Contract Services	Wayne Coger 929-221-5465 cogerw@dss.nyc.gov
Director/ Vendor Integrity Unit and Deputy Minority/ Women Business Enterprise (M/WBE) Officer	Lisa Morris-Burrowes 929-221-7314 morrisli@dss.nyc.gov
Deputy Director/ Bid Administration and Purchasing Units	VACANT 929-221-6375
Deputy Director/ IT Goods and Services	VACANT 929-221-6401
Deputy Director/ IT Human Services	Nancy Bonilla 929-221-6587 bonillan@dss.nyc.gov
Deputy Director/ New Contract Awards Services	Cornelia Branzan 929-221-6380 branzanc@dss.nyc.gov

Deputy Director/ Contract Maintenance Actions Unit

Lorna Hinds
929-221-6391
hindsl@dss.nyc.gov

Associate Minority/ Women Business Enterprise Officer

Bobby Akumah
929-221-6381
akumahb@dss.nyc.gov

Deputy Director/ Vendor Integrity Unit

JoAnn Ellerbe
929-221-6384
ellerbej@dss.nyc.gov

Investigative Coordinator

Vitali Bunos
929-221-5361
bunosv@dss.nyc.gov

Deputy Director/ Contract Management Division

Damien Coachman
929-221-6427
coachmand@dss.nyc.gov

Department of Correction

Fiscal Year 2019 Agency M/WBE Utilization Plan



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A. Agency Contact Information

Agency Name Department of Correction (DOC)

Street Address 75-20 Astoria Blvd. Suite 16 City East Elmhurst State NY Zip Code 11370

M/WBE Officer Name LacyAnn Dunkley **Email** lacyann.dunkley@doc.nyc.gov **Telephone #** 718-546-0766

ACCO Name Ava B. Rice **Email** ava.rice@doc.nyc.gov **Telephone #** 718-546-0690

Date June 11, 2018

B. Local Law 1 Requirements

New York City's Minority and Women-Owned Business Enterprise (M/WBE) program, established in 2005, was designed to promote government contracting opportunities for certified M/WBEs. Accordingly, the Department of Small Business Services (SBS) built a program dedicated to promote fairness and equity in accessing contracting opportunities for City procurement.

In 2013, Local Law 1 was enacted to help strengthen the M/WBE Program. Some of the changes to the program include: (i) eliminating the \$1 million cap on contracts subject M/WBE participation goals; (ii) establishing participation goals on all services contracts (construction, professional and standard services); (iii) eliminating goals for goods over \$100,000; (iv) eliminating the distinction between prime contracts and subcontracts for the purposes of goal setting, including the Target Subcontracting Percentage; and (v) establishing participation goals for all ethnic and gender categories, except Asian Americans in Professional Services. Additionally, new monitoring and accountability requirements have been established in order to ensure transparency in the law's implementation, some of which include: (i) quarterly instead of bi-annual reporting requirements; (ii) establishing an M/WBE Director who will oversee agency compliance and will convene quarterly meetings with M/WBE officers to discuss agency performance in attaining Agency Utilization goals (agency Commissioners are required to attend two such meetings); and (iii) the creation of an annual Performance Improvement Plan and a monthly turnaround document to track agency progress.

Agencies with total procurements in excess of \$5 million in the previous full fiscal year (excluding contracts that are exempt from the M/WBE participation requirements as required by local law) are required to prepare annual M/WBE Utilization Plans. The following Utilization Plan template is designed to be a planning tool for each agency. Agencies are required to establish M/WBE participation goals for Fiscal Year 2019 based on the size and nature of the anticipated procurements that will be subject to the M/WBE participation requirements as well as the availability of certified M/WBEs with the capacity to perform the specific types and scale of work anticipated in such procurements. Agencies are further required to set specific M/WBE participation goals for procurements in all industries valued: at or below \$20,000 (Goods and Services); at or below \$35,000 (Construction); at or below \$100,000 and over \$100,000 (except for Goods). When establishing goals for procurements valued at or below \$100,000, agencies must consider the potential for such purchases to provide opportunities for M/WBEs to develop greater capacity, thereby increasing competition for city procurement.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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C. FY 19 Utilization Goals as established by LL1 of 2013

		FY 19 Utilization Goals								
		Less than or equal to \$35,000			\$35,001 to \$100,000			Greater than \$100,000		
		Citywide	Agency		Citywide	Agency		Citywide	Agency	
			FY18	FY19		FY18	FY19		FY18	FY19
Construction	Total Construction	38.00%	0 %	0%	38.00%	0 %	0%	38.00%	5 %	12.00%
	Black	8.00%	0 %	0	8.00%	0 %	0	8.00%	0 %	0
	Hispanic	4.00%	0 %	0	4.00%	0 %	0	4.00%	0 %	0
	Asian	8.00%	0 %	0	8.00%	0 %	0	8.00%	0 %	0
	Women	18.00%	0 %	0	18.00%	0 %	0	18.00%	0 %	0

		FY 19 Utilization Goals								
		Less than or equal to \$20,000			\$20,001 to \$100,000			Greater than \$100,000		
		Citywide	Agency		Citywide	Agency		Citywide	Agency	
			FY18	FY19		FY18	FY19		FY18	FY19
Professional Services	Total Professional Services	37.00%	6 %	8.00%	37.00%	0 %	5.00%	37.00%	2 %	8.00%
	% Black	12.00%	0 %	0	12.00%	0 %	0	12.00%	0 %	0
	Hispanic	8.00%	0 %	0	8.00%	0 %	0	8.00%	0 %	0
	Asian	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal
	Women	17.00%	0 %	0	17.00%	0 %	0	17.00%	0 %	0

Standard Services	Total Standard Services	31.00%	10 %	10.00%	31.00%	2 %	6.00	31.00%	8 %	10.00%
	Black	12.00%	0 %	0	12.00%	0 %	0	12.00%	0 %	0
	Hispanic	6.00%	0 %	0	6.00%	0 %	0	6.00%	0 %	0
	Asian	3.00%	0 %	0	3.00%	0 %	0	3.00%	0 %	0
	Women	10.00%	0 %	0	10.00%	0 %	0	10.00%	0 %	0

Goods (Under 100K)	Total Goods	45.00%	45 %	45.00%	45.00%	45 %	45.00%	No Goal	No Goal	No Goal
	Black	7.00%	7 %	7.00	7.00%	7 %	7.00	No Goal	No Goal	No Goal
	Hispanic	5.00%	5 %	5.00	5.00%	5 %	5.00	No Goal	No Goal	No Goal
	Asian	8.00%	8 %	8.00	8.00%	8 %	8.00	No Goal	No Goal	No Goal
	Women	25.00%	25 %	25.00	25.00%	25 %	25.00	No Goal	No Goal	No Goal

* Please provide an explanation for your agency goals in section D.

D. Justification Page: Please explain how you arrived at your agency goals for all industries and levels of procurement.

CONSTRUCTION:

Under \$35K

DOC does not anticipate any procurements in this category for FY19 as there are no historical spending in this category.

\$35K-\$100K

DOC does not anticipate any procurements in this category for FY19 as there are no historical spending in this category.

Over \$100K

Based on incoming procurements DOC anticipates the availability of M/WBE'S to perform the work. DOC has taken into consideration the specialized nature of the department's procurements, historical utilization of M/WBE firms, and the challenges of working in a correctional facility when the construction utilization goals.

PROFESSIONAL SERVICES:

Under \$20K

Based on DOC historical M/WBE utilization goal and projected procurements, DOC anticipates low availability of M/WBEs to perform the work in FY19.

\$20K-\$100K

Based on DOC historical M/WBE utilization and projected procurements, DOC anticipates low availability of M/WBEs to perform the work in FY19.

Over \$100K

DOC anticipates availability of M/WBE'S to perform the work for FY19. DOC utilization rates a low in this category due to specialized nature of incoming procurements that requires a narrow expertise such as the demonstration project, a pilot project for facial recognition, and several professional software contracts that may limit the use of an M/WBE Firm.

STANDARD SERVICES:

Under \$20K

Based on DOC historical M/WBE utilization and projected procurements, DOC anticipates low availability of M/WBEs to perform the work in FY19.

\$20K-\$100K

Based on DOC historical M/WBE utilization and projected procurements, DOC anticipates low availability of M/WBEs to perform the work in FY19.

Over \$100K

Based on incoming procurements DOC anticipates the availability of M/WBE'S to perform the work. However; due to specialized nature of DOCs procurements, DOC anticipates a low availability of M/WBE. For example contracts such as the maintenance of floor scrubbing machines where there is only one (1) M/WBE available, and the maintenance and Repair of Body Scanners across DOC Facilities, and several on-call/requirement contracts that are limited to M/WBE participation due to the specialized scope of the procurements.

GOODS:

Under \$20K

Based on DOC historical M/WBE utilization and projected procurements, DOC anticipates the availability of M/WBEs to perform the work in FY19.

\$20K-\$100K

Based on DOCs historical M/WBE utilization goals and projected procurements, DOC anticipates the availability of M/WBEs to perform the work in FY19. In addition, DOC-Central Office of Procurement is utilizing the new M/WBE Innovative Method; this added resource will boost the Department's M/WBE utilization rates.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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E. Prime Contractor Utilization Initiatives

LL1 Required Activities	
<input checked="" type="checkbox"/>	Engage in outreach activities and networking events (ie: co-sponsoring with other agencies, one-on-one meetings, etc.)
<input checked="" type="checkbox"/>	Encourage eligible firms to apply for certification.
<input checked="" type="checkbox"/>	Include language in RFPs and invitations to bid requiring potential bidders/ proposers to consult directories of certified M/WBE firms.
<input checked="" type="checkbox"/>	Encourage M/WBEs to join pre-qualified bidder's lists.
<input checked="" type="checkbox"/>	Advertise procurement opportunities in minority publications.
<input checked="" type="checkbox"/>	Conduct detailed analysis on a contract by contract basis to determine goals based on availability.
<input checked="" type="checkbox"/>	Consider reducing scope and size of contracts when planning procurements.
<input checked="" type="checkbox"/>	For construction contracts, enter into separate prime contracts for construction support services.
<input checked="" type="checkbox"/>	Attend quarterly M/WBE meetings (including two attended by the Commissioner.)
<input checked="" type="checkbox"/>	Conduct quarterly meetings with M/WBEs to discuss the agency's requirements for bids/ proposals.
<input checked="" type="checkbox"/>	Encourage prime contractors to enter into joint ventures with certified M/WBEs.
<input checked="" type="checkbox"/>	Designate dedicated staff to M/WBE program, including M/WBE Officer who is directly accountable to the agency head.
<input checked="" type="checkbox"/>	Submit to City Chief Procurement Officer all contracts valued over \$10 million to determine if they can be divided into smaller contracts (unbundling contracts.)
Performance Improvement Required Activities	
<input checked="" type="checkbox"/>	Meet with oversight agencies: Review performance (P-card, spending trends, etc.) and identify detailed lists of M/WBEs for upcoming procurements.
<input checked="" type="checkbox"/>	Review Utilization Plans: Assess anticipated procurements, M/WBE availability, and historical goals.
<input checked="" type="checkbox"/>	Review M/WBE initiatives: Past initiatives, effectivity of the actions, and new initiative to undertake.
<input checked="" type="checkbox"/>	Require contracting personnel to attend at least one of the monthly SBS/MOCS trainings.
<input checked="" type="checkbox"/>	Require post-award debriefings requested by an M/WBE.
Additional Initiatives (Select three or more)	
<input checked="" type="checkbox"/>	Participate in networking events, meetings, and workshops for certified M/WBE firms.
<input checked="" type="checkbox"/>	Post M/WBE program information on your agency's website.
<input checked="" type="checkbox"/>	Include M/WBE Utilization updates in all procurement team meetings.
<input checked="" type="checkbox"/>	Require buyers and P-card users to reach out to SBS's Account Management team for assistance identifying M/WBE firms for upcoming solicitations and other procurement opportunities.
<input checked="" type="checkbox"/>	Hold pre-bid/proposal conferences on all procurements with M/WBE participation requirements.
<input checked="" type="checkbox"/>	Establish formal means of tracking M/WBE utilization and sharing information within agency.
Compliance Administration and Monitoring	
<input checked="" type="checkbox"/>	Ensure timely prime contractor compliance with all LL1 submission requirements.
<input checked="" type="checkbox"/>	Ensure prime contractor's actual compliance with utilization plan by regularly employing monitoring techniques (at a minimum: contacting M/WBEs, auditing prime's books and records, and visiting job sites.)
<input checked="" type="checkbox"/>	Take appropriate enforcement action in cases where prime contractor is found to be out of compliance with utilization plan.
<input checked="" type="checkbox"/>	Record in PIP all actual payments to subcontractors.
<input checked="" type="checkbox"/>	As necessary, develop or modify written procedures pertaining to LL1 compliance administration, monitoring, and documentation.
Other Initiatives – List any other initiatives to be enacted by your agency	
Other:	Department of Correction (DOC), Central Office of Procurement (COP) has implemented the 10/20 or more (M/WBE) rule depending on the industry. Whenever possible 20 M/WBEs or more and 10 non-M/WBE are solicited. DOC's COP Unit has been utilizing the new M/WBE Innovative Method since March 2018. DOC COP staff were trained and end-users were informed of the New M/WBE Innovative Method. As well as provided the SBS Online directory guide and DOC's M/WBE Compliance Officer as an added resource. DOC has developed documents to assist in the monitoring of awarded contracts sent to prime contractors alerting them quarterly of the contract's M/WBE goals; progress on meeting the M/WBE contract goals; consequences of not complying and/or how DOC can provide assistance in helping them meet the contract's M/WBE goals.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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E. Prime Contractor Utilization Initiatives

LL1 Required Activities	
<input checked="" type="checkbox"/>	Engage in outreach activities and networking events (ie: co-sponsoring with other agencies, one-on-one meetings, etc.)
<input checked="" type="checkbox"/>	Encourage eligible firms to apply for certification.
<input checked="" type="checkbox"/>	Include language in RFPs and invitations to bid requiring potential bidders/ proposers to consult directories of certified M/WBE firms.
<input checked="" type="checkbox"/>	Encourage M/WBEs to join pre-qualified bidder's lists.
<input checked="" type="checkbox"/>	Advertise procurement opportunities in minority publications.
<input checked="" type="checkbox"/>	Conduct detailed analysis on a contract by contract basis to determine goals based on availability.
<input checked="" type="checkbox"/>	Consider reducing scope and size of contracts when planning procurements.
<input checked="" type="checkbox"/>	For construction contracts, enter into separate prime contracts for construction support services.
<input checked="" type="checkbox"/>	Attend quarterly M/WBE meetings (including two attended by the Commissioner.)
<input checked="" type="checkbox"/>	Conduct quarterly meetings with M/WBEs to discuss the agency's requirements for bids/ proposals.
<input checked="" type="checkbox"/>	Encourage prime contractors to enter into joint ventures with certified M/WBEs.
<input checked="" type="checkbox"/>	Designate dedicated staff to M/WBE program, including M/WBE Officer who is directly accountable to the agency head.
<input checked="" type="checkbox"/>	Submit to City Chief Procurement Officer all contracts valued over \$10 million to determine if they can be divided into smaller contracts (unbundling contracts.)
Performance Improvement Required Activities	
<input checked="" type="checkbox"/>	Meet with oversight agencies: Review performance (P-card, spending trends, etc.) and identify detailed lists of M/WBEs for upcoming procurements.
<input checked="" type="checkbox"/>	Review Utilization Plans: Assess anticipated procurements, M/WBE availability, and historical goals.
<input checked="" type="checkbox"/>	Review M/WBE initiatives: Past initiatives, effectivity of the actions, and new initiative to undertake.
<input checked="" type="checkbox"/>	Require contracting personnel to attend at least one of the monthly SBS/MOCS trainings.
<input checked="" type="checkbox"/>	Require post-award debriefings requested by an M/WBE.
Additional Initiatives (Select three or more)	
<input checked="" type="checkbox"/>	Participate in networking events, meetings, and workshops for certified M/WBE firms.
<input checked="" type="checkbox"/>	Post M/WBE program information on your agency's website.
<input checked="" type="checkbox"/>	Include M/WBE Utilization updates in all procurement team meetings.
<input checked="" type="checkbox"/>	Require buyers and P-card users to reach out to SBS's Account Management team for assistance identifying M/WBE firms for upcoming solicitations and other procurement opportunities.
<input checked="" type="checkbox"/>	Hold pre-bid/proposal conferences on all procurements with M/WBE participation requirements.
<input checked="" type="checkbox"/>	Establish formal means of tracking M/WBE utilization and sharing information within agency.
Compliance Administration and Monitoring	
<input checked="" type="checkbox"/>	Ensure timely prime contractor compliance with all LL1 submission requirements.
<input checked="" type="checkbox"/>	Ensure prime contractor's actual compliance with utilization plan by regularly employing monitoring techniques (at a minimum: contacting M/WBEs, auditing prime's books and records, and visiting job sites.)
<input checked="" type="checkbox"/>	Take appropriate enforcement action in cases where prime contractor is found to be out of compliance with utilization plan.
<input checked="" type="checkbox"/>	Record in PIP all actual payments to subcontractors.
<input checked="" type="checkbox"/>	As necessary, develop or modify written procedures pertaining to LL1 compliance administration, monitoring, and documentation.
Other Initiatives – List any other initiatives to be enacted by your agency	
<p>Other: Department of Correction (DOC), Central Office of Procurement (COP) has implemented the 10/20 or more (M/WBE) rule depending on the industry. Whenever possible 20 M/WBEs or more and 10 non-M/WBE are solicited. DOC's COP Unit has been utilizing the new M/WBE Innovative Method since March 2018. DOC COP staff were trained and end-users were informed of the New M/WBE Innovative Method. As well as provided the SBS Online directory guide and DOC's M/WBE Compliance Officer as an added resource. DOC has developed documents to assist in the monitoring of awarded contracts sent to prime contractors alerting them quarterly of the contract's M/WBE goals; progress on meeting the M/WBE contract goals; consequences of not complying and/or how DOC can provide assistance in helping them meet the contract's M/WBE goals.</p>	

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F. Open Contracts with M/WBE Utilization Requirements

Approximate # of prime contracts <u>open</u> and subject to participation goals (under LL129 and LL1):	49
Approximate # of upcoming contracts which have potential for subcontracting (under LL1):	45

G. Agency Organization

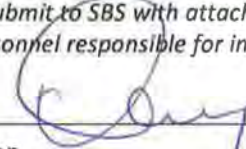
Attach the agency organizational chart with the names, titles, and contact information of all agency personnel responsible for implementation of the agency utilization plan.

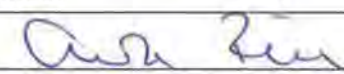
List and describe any legislation, rules, policies or programs, other than those listed in the City Charter, PPB rules, General Municipal Law 103, and the Administrative Code, that impact agency utilization or the ability to participate in this program, i.e., Federal, State, or Local MBE, WBE, or Disadvantaged Business Enterprise (DBE) program requirements, etc.

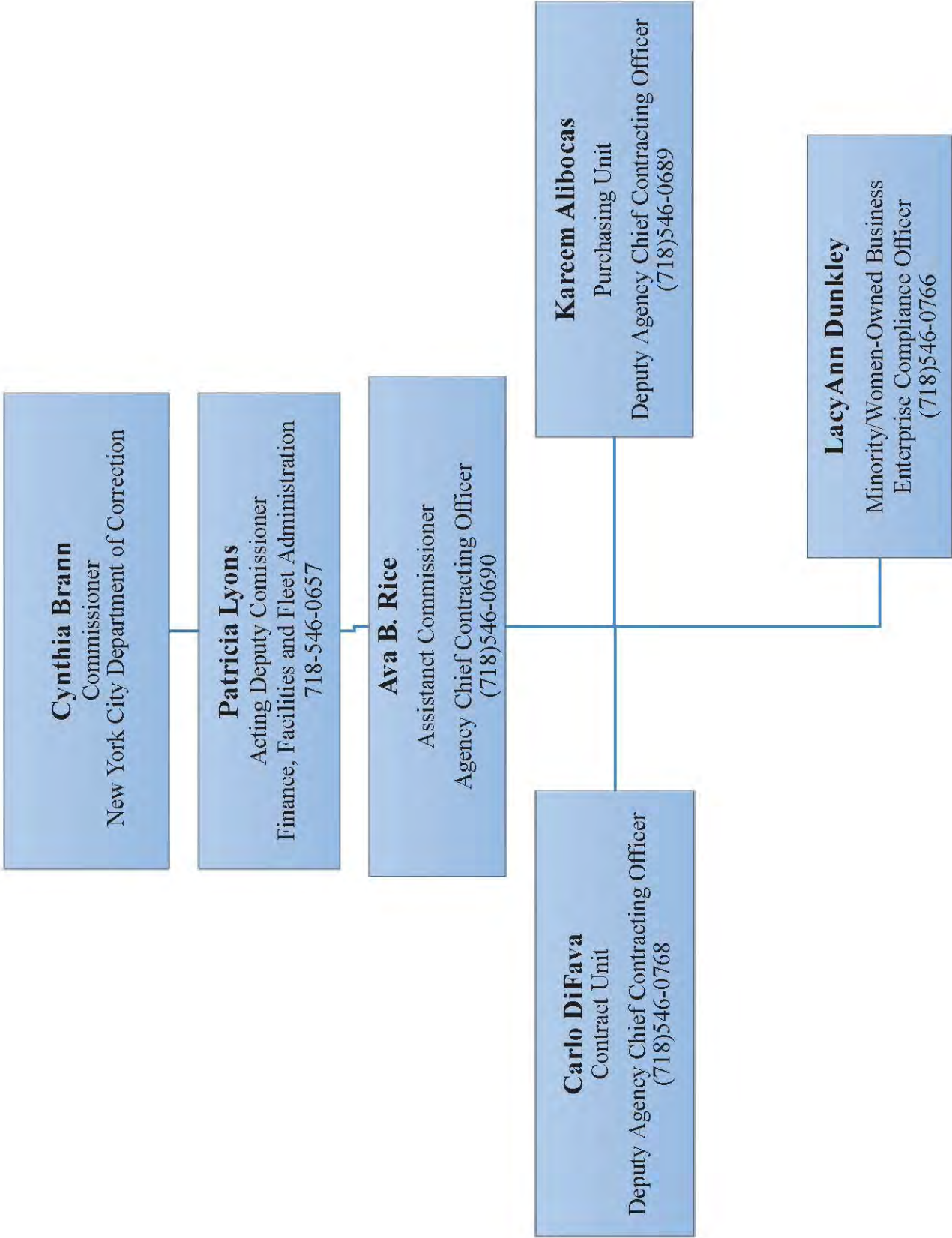
The M/WBE Compliance Officer works closely with the Central Office of Procurement (COP). Deputy Agency Chief Contracting Officers of the Small Purchasing and Formal Contracting Units, COP Contract Managers, and DOC End-users to increase DOC's M/WBE participation goals. The M/WBE Compliance Officer regularly communicates with NYC SBS and MOCS for guidance and assistance on M/WBE participation in order to set goals on upcoming and/or complex/difficult procurements that historically have had little or no M/WBE vendors. As a result, the goals have been raised on new procurements. The M/WBE Compliance Officer communicates with M/WBE vendors as well as prime non-M/WBE vendors by providing guidance and/or information during other municipalities' and City agencies' M/WBE vendor events, DOC M/WBE events, DOC contract kick-off meetings, pre-bid conferences, pre-proposal conferences, telephone and email correspondence. DOC's M/WBE Compliance Officer also acts as a facilitator by connecting M/WBE vendors to commodity specific/identified DOC end-users via telephone calls/emails/meetings/presentations; in addition to attending NYC SBS and procurement workshops. The M/WBE Compliance Officer reports directly to the Assistant Commissioner/ACCO and meets on a weekly basis to discuss M/WBE compliance, initiatives, protocol, reporting and/or challenges.

H. Agency Approval

Provide authorized signatures below and submit to SBS with attached the agency organizational chart with the names, titles, and contract information of all agency personnel responsible for implementation of the agency utilization plan.

Authorized Signature (M/WBE Officer): 
 Title: M/WBE Compliance Officer Date: 6/11/18

Authorized Signature (ACCO): 
 Title: Assistant Commissioner/ACCO Date: 6/11/18



Department of Health and Mental Hygiene

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A. Agency Contact Information

Agency Name Department of Health and Mental Hygiene (DOHMH)
Street Address 42-09 28th Street **City** Long Island City **State** NY **Zip Code** 11101
M/WBE Officer Name Judi Rich Soehren **Email** jsoehren@health.nyc.gov **Telephone #** (347)396-6644
ACCO Name Judi Rich Soehren **Email** jsoehren@health.nyc.gov **Telephone #** (347)396-6644
Date 5/23/2018

B. Local Law 1 Requirements

New York City's Minority and Women-Owned Business Enterprise (M/WBE) program, established in 2005, was designed to promote government contracting opportunities for certified M/WBEs. Accordingly, the Department of Small Business Services (SBS) built a program dedicated to promote fairness and equity in accessing contracting opportunities for City procurement.

In 2013, Local Law 1 was enacted to help strengthen the M/WBE Program. Some of the changes to the program include: (i) eliminating the \$1 million cap on contracts subject M/WBE participation goals; (ii) establishing participation goals on all services contracts (construction, professional and standard services); (iii) eliminating goals for goods over \$100,000; (iv) eliminating the distinction between prime contracts and subcontracts for the purposes of goal setting, including the Target Subcontracting Percentage; and (v) establishing participation goals for all ethnic and gender categories, except Asian Americans in Professional Services. Additionally, new monitoring and accountability requirements have been established in order to ensure transparency in the law's implementation, some of which include: (i) quarterly instead of bi-annual reporting requirements; (ii) establishing an M/WBE Director who will oversee agency compliance and will convene quarterly meetings with M/WBE officers to discuss agency performance in attaining Agency Utilization goals (agency Commissioners are required to attend two such meetings); and (iii) the creation of an annual Performance Improvement Plan and a monthly turnaround document to track agency progress.

Agencies with total procurements in excess of \$5 million in the previous full fiscal year (excluding contracts that are exempt from the M/WBE participation requirements as required by local law) are required to prepare annual M/WBE Utilization Plans. The following Utilization Plan template is designed to be a planning tool for each agency. Agencies are required to establish M/WBE participation goals for Fiscal Year 2019 based on the size and nature of the anticipated procurements that will be subject to the M/WBE participation requirements as well as the availability of certified M/WBEs with the capacity to perform the specific types and scale of work anticipated in such procurements. Agencies are further required to set specific M/WBE participation goals for procurements in all industries valued: at or below \$20,000 (Goods and Services); at or below \$35,000 (Construction); at or below \$100,000 and over \$100,000 (except for Goods). When establishing goals for procurements valued at or below \$100,000, agencies must consider the potential for such purchases to provide opportunities for M/WBEs to develop greater capacity, thereby increasing competition for city procurement.

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C. FY 19 Utilization Goals as established by LL1 of 2013

		FY 19 Utilization Goals								
		Less than or equal to \$35,000			\$35,001 to \$100,000			Greater than \$100,000		
		Citywide	Agency		Citywide	Agency		Citywide	Agency	
			FY18	FY19		FY18	FY19		FY18	FY19
Construction	Total Construction	38.00%	10.00%	25.00%	38.00%	0.00%	0.00%	38.00%	0.00%	0.00%
	Black	8.00%	2.00%	4.00%	8.00%	0.00%	0.00%	8.00%	0.00%	0.00%
	Hispanic	4.00%	2.00%	7.00%	4.00%	0.00%	0.00%	4.00%	0.00%	0.00%
	Asian	8.00%	2.00%	9.00%	8.00%	0.00%	0.00%	8.00%	0.00%	0.00%
	Women	18.00%	4.00%	5.00%	18.00%	0.00%	0.00%	18.00%	0.00%	0.00%

		FY 19 Utilization Goals								
		Less than or equal to \$20,000			\$20,001 to \$100,000			Greater than \$100,000		
		Citywide	Agency		Citywide	Agency		Citywide	Agency	
			FY18	FY19		FY18	FY19		FY18	FY19
Professional Services	Total Professional Services	37.00%	15.00%	20.00%	37.00%	8.00%	15.00%	37.00%	10.00%	10.00%
	Black	12.00%	4.00%	6.00%	12.00%	2.00%	5.00%	12.00%	2.00%	2.00%
	Hispanic	8.00%	4.00%	4.00%	8.00%	2.00%	5.00%	8.00%	2.00%	2.00%
	Asian	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal
	Women	17.00%	7.00%	10.00%	17.00%	4.00%	5.00%	17.00%	6.00%	6.00%

Standard Services	Total Standard Services	31.00%	15.00%	20.00%	31.00%	20.00%	20.00%	31.00%	15.00%	15.00%
	Black	12.00%	3.00%	6.00%	12.00%	5.00%	8.00%	12.00%	2.50%	3.00%
	Hispanic	6.00%	2.00%	4.00%	6.00%	3.00%	6.00%	6.00%	1.50%	3.00%
	Asian	3.00%	3.00%	4.00%	3.00%	2.00%	2.00%	3.00%	3.00%	3.00%
	Women	10.00%	7.00%	6.00%	10.00%	10.00%	4.00%	10.00%	8.00%	6.00%

Goods (Under 100K)	Total Goods	45.00%	25.00%	36.00%	45.00%	30.00%	35.00%	No Goal	No Goal	No Goal
	Black	7.00%	5.00%	6.00%	7.00%	5.00%	6.00%	No Goal	No Goal	No Goal
	Hispanic	5.00%	3.00%	6.00%	5.00%	3.00%	4.00%	No Goal	No Goal	No Goal
	Asian	8.00%	6.00%	12.00%	8.00%	7.00%	15.00%	No Goal	No Goal	No Goal
	Women	25.00%	11.00%	12.00%	25.00%	15.00%	10.00%	No Goal	No Goal	No Goal

* Please provide an explanation for your agency goals in section D.

D. Justification Page: Please explain how your agency arrived at its goals for all industries and levels of procurement.

CONSTRUCTION:

Under \$35K

Based on DOHMH's actual utilization for FY'16 (95% of \$41k), FY'17 (86% of \$131k), FY'18 Q1-Q2 (98% of \$73k from 5 contracts), a preliminary analysis of potential upcoming procurements, where in most cases DOHMH has no history of subcontracting or joint-venturing, the agency will establish a 25% goal in this area.

Additionally, the agency will continue implementing the micro purchase policy, directing all agency buyers to conduct a detailed search for available M/WBEs before utilizing a non-M/WBE.

DOHMH's goal for this category will be reviewed as the procurement needs of the agency evolve during the fiscal year, and the agency will make the best good faith efforts to identify and utilize M/WBEs for all opportunities.

\$35K-\$100K

Based on DOHMH's actual utilization for FY'16 (0% - no spending), FY'17 (63%), FY'18 Q1-Q2 (0% - no spending), and a preliminary analysis of upcoming procurements, where in most cases DoHMH has no history of subcontracting, the agency will establish a 0% goal in this area.

DOHMH's goal for this category will be reviewed as the procurement needs of the agency evolve during the fiscal year, and the agency will make the best good faith efforts to identify and utilize M/WBEs for all opportunities. Additionally, the agency will continue to include additional M/WBEs to the current 5+10 process (i.e., 5+11, 5+12, 5+13,...).

Over \$100K

Based on DOHMH's actual utilization for FY'16 (0% - no spending), FY'17 (100% - 1 contract), FY'18 Q1-Q2 (0% - 3 contracts) a preliminary analysis of potential upcoming procurements where the agency has identified available M/WBEs, DOHMH will establish a goal of 0% in this area.

DOHMH's goal for this category will be reviewed as the procurement needs of the agency evolve during the fiscal year, and the agency will make the best good faith efforts to identify and utilize M/WBEs for all opportunities.

PROFESSIONAL SERVICES:

Under \$20K

Based on DOHMH's actual utilization for FY'16 (11%), FY'17 (23%), FY'18 Q1-Q2 (19%), a preliminary analysis of potential upcoming procurements (which are primarily for specialized medical services), and the availability of M/WBEs, DOHMH will set a 20% goal in this area.

Additionally, the agency will continue implementing the micro purchase policy directing all agency buyers to conduct a detailed search for available M/WBEs before utilizing a non-M/WBE.

DOHMH's goal for this category will be reviewed as the procurement needs of the agency evolve during the fiscal year, and the agency will make the best good faith efforts to identify and utilize M/WBEs for all opportunities.

\$20K-\$100K

Based on DOHMH's actual utilization for FY'16 (0%), FY'17 (28%), FY'18 Q1-Q2 (21%), and a preliminary analysis of potential upcoming procurements (which are primarily for specialized medical services, where there aren't many M/WBEs who provide the service), DOHMH will set a 15% goal in this area.

DOHMH's goal for this category will be reviewed as the procurement needs of the agency evolve during the fiscal year, and the agency will make the best good faith efforts to identify and utilize M/WBEs for all opportunities. Additionally, the agency will continue to include additional M/WBEs to the current 5+10 process (i.e., 5+11, 5+12, 5+13,...).

Over \$100K

Based on DOHMH's actual utilization for FY'16 (0%), FY'17 (33%), FY'18 Q1-Q2 (0% - 1 contract), and a preliminary analysis of potential upcoming procurements, DOHMH will set a 10% goal in this area.

DOHMH's goal for this category will be reviewed as the procurement needs of the agency evolve during the fiscal year, and the agency will make the best good faith efforts to identify and utilize M/WBEs for all opportunities.

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STANDARD SERVICES:

Under \$20K

Based on DOHMH's actual utilization for FY'16 (7%), FY'17 (30%), FY'18 Q1-Q2 (28%), a preliminary analysis of potential upcoming procurements, and the availability of M/WBEs, a goal of 20% has been set in this category.

Additionally, the agency will continue implementing the micro purchase policy directing all agency buyers to conduct a detailed search for available M/WBEs before utilizing a non-M/WBE.

DOHMH's goal for this category will be reviewed as the procurement needs of the agency evolve during the fiscal year, and the agency will make the best good faith efforts to identify and utilize M/WBEs for all opportunities.

\$20K-\$100K

Based on DOHMH's actual utilization for FY'16 (0% - no spending), FY'17 (40%), FY'18 Q1-Q2 (34%), a preliminary analysis of potential upcoming procurements, and the limited availability of M/WBEs who provide services such as lab and medical equipment repair/maintenance, and parking garages and car wash facilities, a goal of 20% has been set in this category.

DOHMH's goal for this category will be reviewed as the procurement needs of the agency evolve during the fiscal year, and the agency will make the best good faith efforts to identify and utilize M/WBEs for all opportunities. Additionally, the agency will continue to include additional M/WBEs to the current 5+10 process (i.e., 5+11, 5+12, 5+13,...).

Over \$100K

Based on DOHMH's actual utilization for FY'16 (0% - no spending), FY'17 (65%), FY'18 Q1-Q2 (0% - 5 contracts), and a preliminary analysis of potential upcoming procurements, DOHMH will maintain an overall goal of 15% in this area.

DOHMH's goal for this category will be reviewed as the procurement needs of the agency evolve during the fiscal year, and the agency will make the best good faith efforts to identify and utilize M/WBEs for all opportunities.

GOODS:

Under \$20K

Based on DOHMH's actual utilization for FY'16 (17%), FY'17 (43%), FY'18 Q1-Q2 (44%) and a preliminary analysis of potential upcoming procurements, a goal of 36% has been set in this category.

Additionally, the agency will continue implement the micro purchase policy directing all agency buyers to conduct a detailed search for available M/WBEs before utilizing a non-M/WBE.

DOHMH's goal for this category will be reviewed as the procurement needs of the agency evolve during the fiscal year, and the agency will make the best good faith efforts to identify and utilize M/WBEs for all opportunities.

\$20K-\$100K

Based on DOHMH's actual utilization for FY'16 (42%), FY'17 (48%), FY'18 Q1-Q2 (47%) and a preliminary analysis of potential upcoming procurements, and the availability of M/WBEs, a goal of 35% has been determined to be achievable.

DOHMH's goal for this category will be reviewed as the procurement needs of the agency evolve during the fiscal year, and the agency will make the best good faith efforts to identify and utilize M/WBEs for all opportunities. Additionally, the agency will continue to include additional M/WBEs to the current 5+10 process (i.e., 5+11, 5+12, 5+13,...).

Fiscal Year 2019 Agency M/WBE Utilization Plan



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E. Prime Contractor Utilization Initiatives

LL1 Required Activities	
<input checked="" type="checkbox"/>	Engage in outreach activities and networking events (ie: co-sponsoring with other agencies, one-on-one meetings, etc.)
<input checked="" type="checkbox"/>	Encourage eligible firms to apply for certification.
<input checked="" type="checkbox"/>	Include language in RFPs and invitations to bid requiring potential bidders/ proposers to consult directories of certified M/WBE firms.
<input checked="" type="checkbox"/>	Encourage M/WBEs to join pre-qualified bidder's lists.
<input checked="" type="checkbox"/>	Advertise procurement opportunities in minority publications.
<input checked="" type="checkbox"/>	Conduct detailed analysis on a contract by contract basis to determine goals based on availability.
<input checked="" type="checkbox"/>	Consider reducing scope and size of contracts when planning procurements.
<input checked="" type="checkbox"/>	For construction contracts, enter into separate prime contracts for construction support services.
<input checked="" type="checkbox"/>	Attend quarterly M/WBE meetings (including two attended by the Commissioner.)
<input checked="" type="checkbox"/>	Conduct quarterly meetings with M/WBEs to discuss the agency's requirements for bids/ proposals.
<input checked="" type="checkbox"/>	Encourage prime contractors to enter into joint ventures with certified M/WBEs.
<input checked="" type="checkbox"/>	Designate dedicated staff to M/WBE program, including M/WBE Officer who is directly accountable to the agency head.
<input checked="" type="checkbox"/>	Submit to City Chief Procurement Officer all contracts valued over \$10 million to determine if they can be divided into smaller contracts (unbundling contracts.)
Performance Improvement Required Activities	
<input checked="" type="checkbox"/>	Meet with oversight agencies: Review performance (P-card, spending trends, etc.) and identify detailed lists of M/WBEs for upcoming procurements.
<input checked="" type="checkbox"/>	Review Utilization Plans: Assess anticipated procurements, M/WBE availability, and historical goals.
<input checked="" type="checkbox"/>	Review M/WBE initiatives: Past initiatives, effectivity of the actions, and new initiative to undertake.
<input checked="" type="checkbox"/>	Require contracting personnel to attend at least one of the monthly SBS/MOCS trainings.
<input checked="" type="checkbox"/>	Require post-award debriefings requested by an M/WBE.
Additional Initiatives (Select three or more)	
<input checked="" type="checkbox"/>	Participate in networking events, meetings, and workshops for certified M/WBE firms.
<input checked="" type="checkbox"/>	Post M/WBE program information on your agency's website.
<input checked="" type="checkbox"/>	Include M/WBE Utilization updates in all procurement team meetings.
<input checked="" type="checkbox"/>	Require buyers and P-card users to reach out to SBS's Account Management team for assistance identifying M/WBE firms for upcoming solicitations and other procurement opportunities.
<input checked="" type="checkbox"/>	Hold pre-bid/proposal conferences on all procurements with M/WBE participation requirements.
<input checked="" type="checkbox"/>	Establish formal means of tracking M/WBE utilization and sharing information within agency.
Compliance Administration and Monitoring	
<input checked="" type="checkbox"/>	Ensure timely prime contractor compliance with all LL1 submission requirements.
<input checked="" type="checkbox"/>	Ensure prime contractor's actual compliance with utilization plan by regularly employing monitoring techniques (at a minimum: contacting M/WBEs, auditing prime's books and records, and visiting job sites.)
<input checked="" type="checkbox"/>	Take appropriate enforcement action in cases where prime contractor is found to be out of compliance with utilization plan.
<input checked="" type="checkbox"/>	Record in PIP all actual payments to subcontractors.
<input checked="" type="checkbox"/>	As necessary, develop or modify written procedures pertaining to LL1 compliance administration, monitoring, and documentation.
Other Initiatives – List any other initiatives to be enacted by your agency	
<p>Other:</p> <ul style="list-style-type: none"> - Continue coordination with SBS, MOCS, and other related agencies to conduct various M/WBE trainings, workshops, and networking events for vendors and staff - Continue implementation and enhancement of the agency's Micro Purchase Policy - Leverage the new Innovative Procurement Method (\$20k - \$150k) to identify more contract opportunities for M/WBEs 	

Fiscal Year 2019 Agency M/WBE Utilization Plan



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F. Open Contracts with M/WBE Utilization Requirements

Approximate # of prime contracts <u>open</u> and subject to participation goals (under LL129 and LL1):	11
Approximate # of upcoming contracts which have potential for subcontracting (under LL1):	9


G. Agency Organization


Attach the agency organizational chart with the names, titles, and contact information of all agency personnel responsible for implementation of the agency utilization plan.

List and describe any legislation, rules, policies or programs, other than those listed in the City Charter, PPB rules, General Municipal Law 103, and the Administrative Code, that impact agency utilization or the ability to participate in this program, i.e., Federal, State, or Local MBE, WBE, or Disadvantaged Business Enterprise (DBE) program requirements, etc.

H. Agency Approval

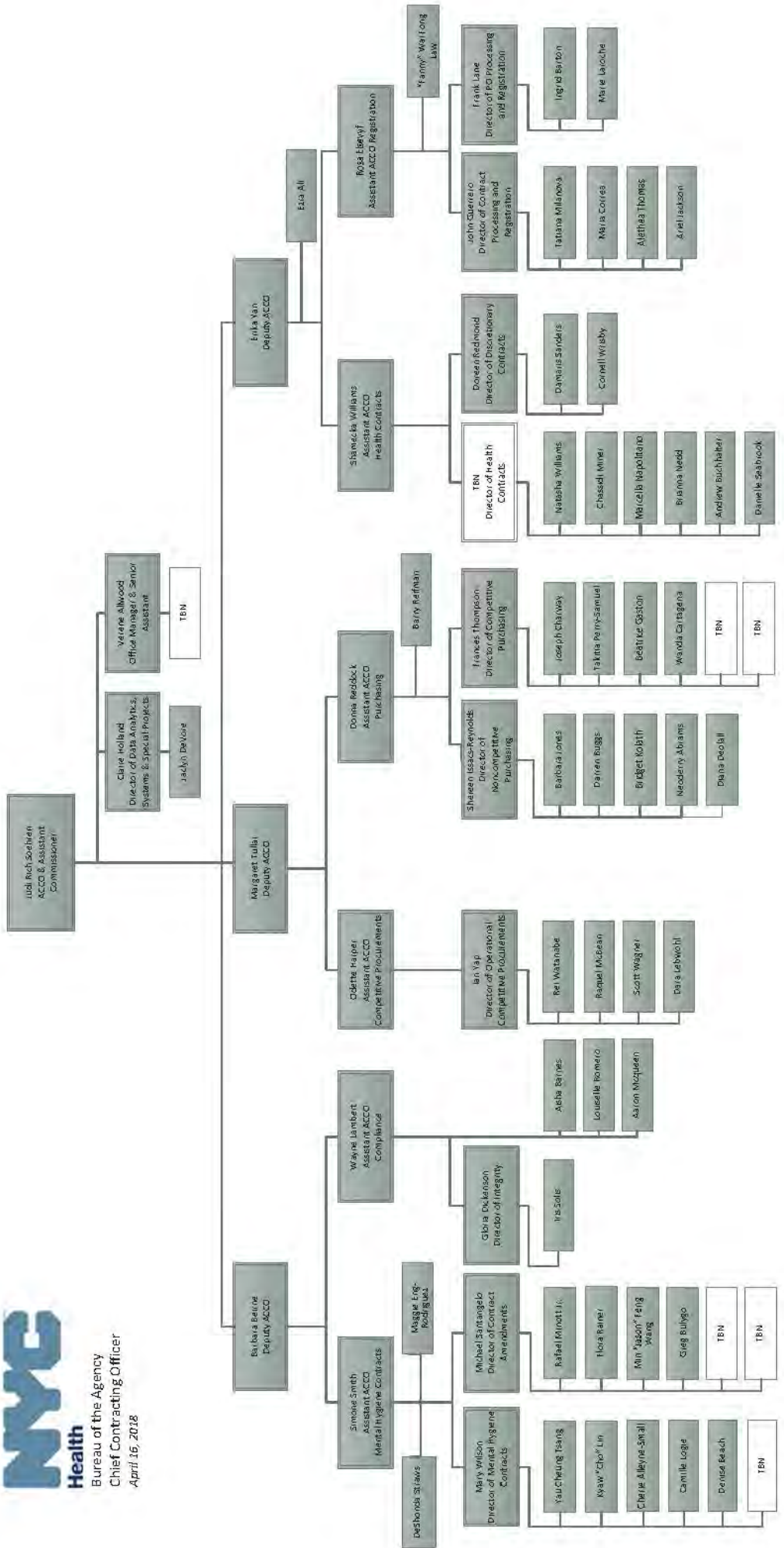
Provide authorized signatures below and submit to SBS with attached the agency organizational chart with the names, titles, and contract information of all agency personnel responsible for implementation of the agency utilization plan.

Authorized Signature (M/WBE Officer): 
Title: ACCO/Assistant Commissioner Date: 12.4.18

Authorized Signature (ACCO): 
Title: ACCO/Assistant Commissioner Date: 12.4.18



**Bureau of the Agency
Chief Contracting Officer**
April 15, 2018





Primary Agency M/WBE Representatives

Judi Rich Soehren
Agency Chief Contracting Officer (ACCO)
P: (347)396 – 6644
E: jsoerhen@health.nyc.gov

Barbara Beirne
Deputy ACCO
P: (347)396 – 6667
E: bbeirne@health.nyc.gov

Wayne Lambert
Assistant ACCO of Compliance
P: (347)396 – 6606
E: wlambert@health.nyc.gov

Aisha Barnes
Procurement Coordinator
P: (347)396 – 6708
E: abarnes2@health.nyc.gov

Department of Information Technology & Telecommunications

Fiscal Year 2019 Agency M/WBE Utilization Plan



careers
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A. Agency Contact Information

Agency Name Department of Information Technology and Telecommunications

Street Address 2 MetroTech Center **City** Brooklyn **State** NY **Zip Code** 11201

M/WBE Officer Name Annette Heintz **Email** aheintz@doitt.nyc.gov **Telephone #** 718-403-8205

ACCO Name John Katsorhis **Email** jkatsorhis@doitt.nyc.gov **Telephone #** 718-403-8678

Date June 12, 2018

B. Local Law 1 Requirements

New York City's Minority and Women-Owned Business Enterprise (M/WBE) program, established in 2005, was designed to promote government contracting opportunities for certified M/WBEs. Accordingly, the Department of Small Business Services (SBS) built a program dedicated to promote fairness and equity in accessing contracting opportunities for City procurement.

In 2013, Local Law 1 was enacted to help strengthen the M/WBE Program. Some of the changes to the program include: (i) eliminating the \$1 million cap on contracts subject M/WBE participation goals; (ii) establishing participation goals on all services contracts (construction, professional and standard services); (iii) eliminating goals for goods over \$100,000; (iv) eliminating the distinction between prime contracts and subcontracts for the purposes of goal setting, including the Target Subcontracting Percentage; and (v) establishing participation goals for all ethnic and gender categories, except Asian Americans in Professional Services. Additionally, new monitoring and accountability requirements have been established in order to ensure transparency in the law's implementation, some of which include: (i) quarterly instead of bi-annual reporting requirements; (ii) establishing an M/WBE Director who will oversee agency compliance and will convene quarterly meetings with M/WBE officers to discuss agency performance in attaining Agency Utilization goals (agency Commissioners are required to attend two such meetings); and (iii) the creation of an annual Performance Improvement Plan and a monthly turnaround document to track agency progress.

Agencies with total procurements in excess of \$5 million in the previous full fiscal year (excluding contracts that are exempt from the M/WBE participation requirements as required by local law) are required to prepare annual M/WBE Utilization Plans. The following Utilization Plan template is designed to be a planning tool for each agency. Agencies are required to establish M/WBE participation goals for Fiscal Year 2019 based on the size and nature of the anticipated procurements that will be subject to the M/WBE participation requirements as well as the availability of certified M/WBEs with the capacity to perform the specific types and scale of work anticipated in such procurements. Agencies are further required to set specific M/WBE participation goals for procurements in all industries valued: at or below \$20,000 (Goods and Services); at or below \$35,000 (Construction); at or below \$100,000 and over \$100,000 (except for Goods). When establishing goals for procurements valued at or below \$100,000, agencies must consider the potential for such purchases to provide opportunities for M/WBEs to develop greater capacity, thereby increasing competition for city procurement.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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C. FY 19 Utilization Goals as established by LL1 of 2013

		FY 19 Utilization Goals								
		Less than or equal to \$35,000			\$35,001 to \$100,000			Greater than \$100,000		
		Citywide	Agency		Citywide	Agency		Citywide	Agency	
			FY18	FY19		FY18	FY19		FY18	FY19
Construction	Total Construction	38.00%	0 %	0	38.00%	0 %	0	38.00%	0 %	0
	Black	8.00%	0 %	0	8.00%	0 %	0	8.00%	0 %	0
	Hispanic	4.00%	0 %	0	4.00%	0 %	0	4.00%	0 %	0
	Asian	8.00%	0 %	0	8.00%	0 %	0	8.00%	0 %	0
	Women	18.00%	0 %	0	18.00%	0 %	0	18.00%	0 %	0

		FY 19 Utilization Goals								
		Less than or equal to \$20,000			\$20,001 to \$100,000			Greater than \$100,000		
		Citywide	Agency		Citywide	Agency		Citywide	Agency	
			FY18	FY19		FY18	FY19		FY18	FY19
Professional Services	Total Professional Services	37.00%	5 %	10	37.00%	10 %	30	37.00%	30 %	30
	% Black	12.00%	1 %	2	12.00%	2 %	10	12.00%	10 %	10
	Hispanic	8.00%	2 %	4	8.00%	4 %	10	8.00%	5 %	10
	Asian	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal
	Women	17.00%	2 %	4	17.00%	4 %	10	17.00%	15 %	10

Standard Services	Total Standard Services	31.00%	20 %	20	31.00%	20 %	20	31.00%	31 %	10
	Black	12.00%	3 %	2	12.00%	3 %	3	12.00%	3 %	2
	Hispanic	6.00%	5 %	10	6.00%	5 %	10	6.00%	6 %	2
	Asian	3.00%	4 %	4	3.00%	8 %	3	3.00%	12 %	3
	Women	10.00%	8 %	4	10.00%	4 %	4	10.00%	10 %	3

Goods (Under 100K)	Total Goods	45.00%	50 %	50	45.00%	50 %	75	No Goal	No Goal	No Goal
	Black	7.00%	8 %	7	7.00%	8 %	12	No Goal	No Goal	No Goal
	Hispanic	5.00%	7 %	14	5.00%	7 %	24	No Goal	No Goal	No Goal
	Asian	8.00%	5 %	14	8.00%	5 %	12	No Goal	No Goal	No Goal
	Women	25.00%	30 %	15	25.00%	30 %	25	No Goal	No Goal	No Goal

* Please provide an explanation for your agency goals in section D.

D. Justification Page: Please explain how you arrived at your agency goals for all industries and levels of procurement.

CONSTRUCTION:

Under \$35K

DoITT does not procure in the construction industry and therefore Local Law 1 Utilization Goals are not established.

\$35K-\$100K

DoITT does not procure in the construction industry and therefore Local Law 1 Utilization Goals are not established.

Over \$100K

DoITT does not procure in the construction industry and therefore Local Law 1 Utilization Goals are not established.

PROFESSIONAL SERVICES:

Under \$20K

DoITT anticipates having a small number of contracts for professional services under \$20k in FY19, and the nature of these engagements does not lend itself to setting high goals. These are typically one-time small consulting engagements for time-sensitive technical projects (e.g., cybersecurity services, telecom consulting, mainframe cost optimization studies, proprietary software services, media and entertainment-related services, etc.)

\$20K-\$100K

DoITT anticipates improved performance in this area versus previous years due in large part to the City's new M/WBE Not to Exceed \$150K. Also, through aggressive efforts to engage with the M/WBE firms that provide technology services and educating DoITT and agency technical staff, DoITT hopes to award more contracts in this category to M/WBE firms in FY19.

Over \$100K

DoITT anticipates improved performance in this area versus previous years primarily due to: (1) the City's new M/WBE Not to Exceed \$150K, and (2) the number and dollar value of planned renewals of DoITT's citywide master agreements in FY19 are smaller than in the past - these large value contracts heavily influence DoITT's M/WBE utilization performance.

STANDARD SERVICES:

Under \$20K

DoITT does not process a lot of standard services contracts. However, there is availability of M/WBEs in this area for services such as software training, inspections, industry information services, etc.

\$20K-\$100K

DoITT does not process a lot of standard services contracts. However, there is availability of M/WBEs in this area for services such as software training, inspections, industry information services, etc.

Over \$100K

In FY19 we anticipate registering several large citywide telecom service provider/carrier contracts (totaling hundreds of millions of dollars) which are currently being negotiated from a DoITT issued RFP, to which Local Law 1 is not applicable. Once registered, they will increase our base of standard services, making it a challenge to meet a high level goal. In the telecom area, there is no availability of M/WBE telecommunication providers/carriers that meet City agency voice and data communication services requirements.

GOODS:

Under \$20K

DoITT places heavy emphasis on M/WBE utilization in this category. The FY18 Q1-3 data shows DoITT at 44%. For micro-purchases of IT goods, there are a significant number of M/WBE firms that DoITT regularly works with and in FY19 we will continue to expand our partnerships with current and new M/WBE firms. This category includes purchases of laptops, computer accessories, software, etc.

\$20K-\$100K

DoITT places heavy emphasis on M/WBE utilization in this category. The FY18 Q1-3 data shows DoITT at 94% so we are anticipating surpassing the Citywide goal of 45%. For small purchases of IT goods, there are a significant number of M/WBE firms that DoITT regularly works with and in FY19 we will continue to expand our partnerships with current and new M/WBE firms. This category includes purchases of laptops, computer accessories, software, network equipment, etc. There are a significant number of M/WBE firms who have an advantage with 5 +10 procurement rules and with the new M/WBE Not to Exceed \$150K method.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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E. Prime Contractor Utilization Initiatives

LL1 Required Activities

- Engage in outreach activities and networking events (ie: co-sponsoring with other agencies, one-on-one meetings, etc.)
- Encourage eligible firms to apply for certification.
- Include language in RFPs and invitations to bid requiring potential bidders/ proposers to consult directories of certified M/WBE firms.
- Encourage M/WBEs to join pre-qualified bidder's lists.
- Advertise procurement opportunities in minority publications.
- Conduct detailed analysis on a contract by contract basis to determine goals based on availability.
- Consider reducing scope and size of contracts when planning procurements.
- For construction contracts, enter into separate prime contracts for construction support services.
- Attend quarterly M/WBE meetings (including two attended by the Commissioner.)
- Conduct quarterly meetings with M/WBEs to discuss the agency's requirements for bids/ proposals.
- Encourage prime contractors to enter into joint ventures with certified M/WBEs.
- Designate dedicated staff to M/WBE program, including M/WBE Officer who is directly accountable to the agency head.
- Submit to City Chief Procurement Officer all contracts valued over \$10 million to determine if they can be divided into smaller contracts (unbundling contracts.)

Performance Improvement Required Activities

- Meet with oversight agencies: Review performance (P-card, spending trends, etc.) and identify detailed lists of M/WBEs for upcoming procurements.
- Review Utilization Plans: Assess anticipated procurements, M/WBE availability, and historical goals.
- Review M/WBE initiatives: Past initiatives, effectivity of the actions, and new initiative to undertake.
- Require contracting personnel to attend at least one of the monthly SBS/MOCS trainings.
- Require post-award debriefings requested by an M/WBE.

Additional Initiatives (Select three or more)

- Participate in networking events, meetings, and workshops for certified M/WBE firms.
- Post M/WBE program information on your agency's website.
- Include M/WBE Utilization updates in all procurement team meetings.
- Require buyers and P-card users to reach out to SBS's Account Management team for assistance identifying M/WBE firms for upcoming solicitations and other procurement opportunities.
- Hold pre-bid/proposal conferences on all procurements with M/WBE participation requirements.
- Establish formal means of tracking M/WBE utilization and sharing information within agency.

Compliance Administration and Monitoring

- Ensure timely prime contractor compliance with all LL1 submission requirements.
- Ensure prime contractor's actual compliance with utilization plan by regularly employing monitoring techniques (at a minimum: contacting M/WBEs, auditing prime's books and records, and visiting job sites.)
- Take appropriate enforcement action in cases where prime contractor is found to be out of compliance with utilization plan.
- Record in PIP all actual payments to subcontractors.
- As necessary, develop or modify written procedures pertaining to LL1 compliance administration, monitoring, and documentation.

Other Initiatives – List any other initiatives to be enacted by your agency

Other: DoITT is actively engaged with the Mayor's Office of M/WBE, MOCS and SBS on a project to procure and implement a citywide diversity management software tool.

DoITT actively engages the M/WBE vendor community in multiple ways, including sponsoring its own events, and participating in Mayor's Office, SBS, Comptroller and other agencies' events, roundtable discussions, procurement fairs, programs, and meetings.

DoITT frequently meets with M/WBE vendors, one-on-one or in concert with the Mayor's Office and SBS to: provide more, detailed information about the procurement and contracting process; offer post-bid debriefing sessions; resolve issues with prime contractors; identify contracting opportunities with DoITT and other City agencies; and provide contact information for key business stakeholders and prime contractors.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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F. Open Contracts with M/WBE Utilization Requirements

Approximate # of prime contracts <u>open</u> and subject to participation goals (under LL129 and LL1):	15
Approximate # of upcoming contracts which have potential for subcontracting (under LL1):	15

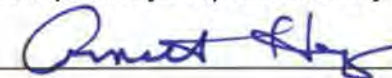
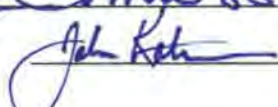
G. Agency Organization

Attach the agency organizational chart with the names, titles, and contact information of all agency personnel responsible for implementation of the agency utilization plan.

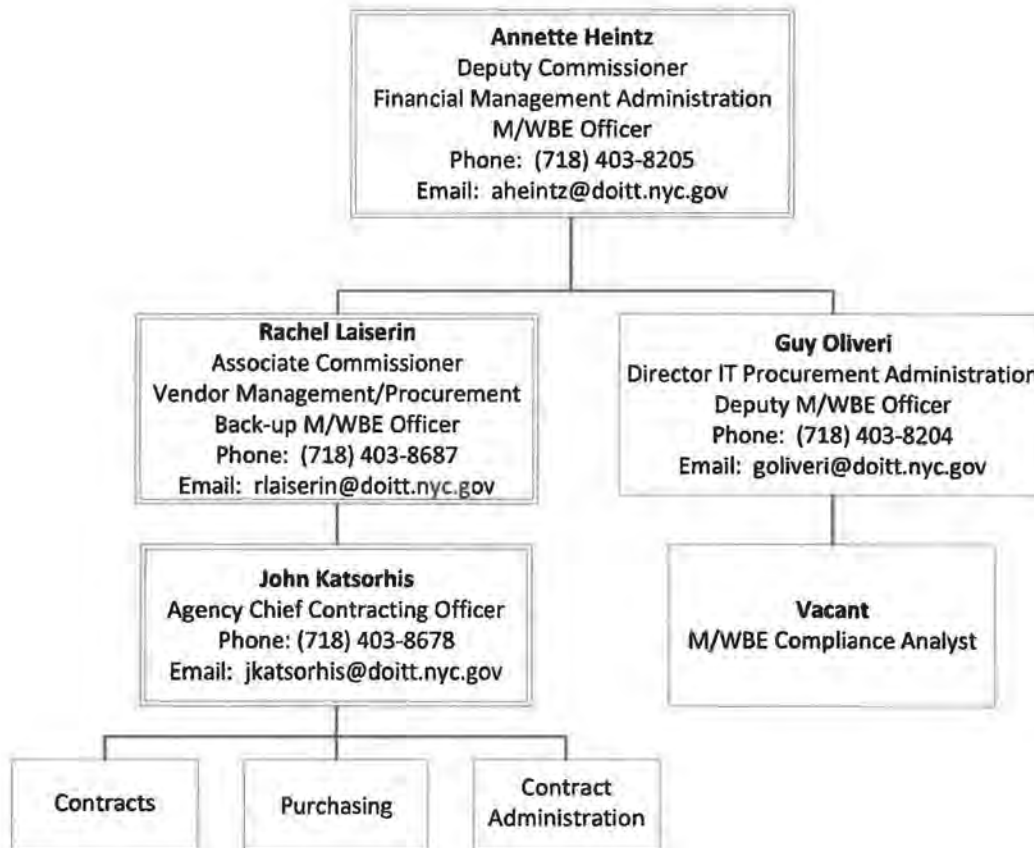
List and describe any legislation, rules, policies or programs, other than those listed in the City Charter, PPB rules, General Municipal Law 103, and the Administrative Code, that impact agency utilization or the ability to participate in this program, i.e., Federal, State, or Local MBE, WBE, or Disadvantaged Business Enterprise (DBE) program requirements, etc.

H. Agency Approval

Provide authorized signatures below and submit to SBS with attached the agency organizational chart with the names, titles, and contract information of all agency personnel responsible for implementation of the agency utilization plan.

Authorized Signature (M/WBE Officer): 
Title: Deputy Commissioner Date: 6/19/18
Authorized Signature (ACCO): 
Title: ACCO Date: 6/19/18

NYC DoITT-FY19 M/WBE Utilization Plan Organization Chart (As of 6/11/18)



Department of Transportation

Fiscal Year 2019 Agency M/WBE Utilization Plan



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A. Agency Contact Information

Agency Name New York City Department of Transportation

Street Address 55 Water Street **City** New York **State** NY **Zip Code** 10041

M/WBE Officer Name Carlos Bannister' **Email** cbannister@dot.nyc.gov **Telephone #** 212 839-9421

ACCO Name Nancy Carolan **Email** ncarolan@dot.nyc.gov **Telephone #** 212 839-9292

Date 7/30/18

B. Local Law 1 Requirements

New York City's Minority and Women-Owned Business Enterprise (M/WBE) program, established in 2005, was designed to promote government contracting opportunities for certified M/WBEs. Accordingly, the Department of Small Business Services (SBS) built a program dedicated to promote fairness and equity in accessing contracting opportunities for City procurement.

In 2013, Local Law 1 was enacted to help strengthen the M/WBE Program. Some of the changes to the program include: (i) eliminating the \$1 million cap on contracts subject M/WBE participation goals; (ii) establishing participation goals on all services contracts (construction, professional and standard services); (iii) eliminating goals for goods over \$100,000; (iv) eliminating the distinction between prime contracts and subcontracts for the purposes of goal setting, including the Target Subcontracting Percentage; and (v) establishing participation goals for all ethnic and gender categories, except Asian Americans in Professional Services. Additionally, new monitoring and accountability requirements have been established in order to ensure transparency in the law's implementation, some of which include: (i) quarterly instead of bi-annual reporting requirements; (ii) establishing an M/WBE Director who will oversee agency compliance and will convene quarterly meetings with M/WBE officers to discuss agency performance in attaining Agency Utilization goals (agency Commissioners are required to attend two such meetings); and (iii) the creation of an annual Performance Improvement Plan and a monthly turnaround document to track agency progress.

Agencies with total procurements in excess of \$5 million in the previous full fiscal year (excluding contracts that are exempt from the M/WBE participation requirements as required by local law) are required to prepare annual M/WBE Utilization Plans. The following Utilization Plan template is designed to be a planning tool for each agency. Agencies are required to establish M/WBE participation goals for Fiscal Year 2019 based on the size and nature of the anticipated procurements that will be subject to the M/WBE participation requirements as well as the availability of certified M/WBEs with the capacity to perform the specific types and scale of work anticipated in such procurements. Agencies are further required to set specific M/WBE participation goals for procurements in all industries valued: at or below \$20,000 (Goods and Services); at or below \$35,000 (Construction); at or below \$100,000 and over \$100,000 (except for Goods). When establishing goals for procurements valued at or below \$100,000, agencies must consider the potential for such purchases to provide opportunities for M/WBEs to develop greater capacity, thereby increasing competition for city procurement.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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C. FY 19 Utilization Goals as established by LL1 of 2013

		FY 19 Utilization Goals								
		Less than or equal to \$35,000			\$35,001 to \$100,000			Greater than \$100,000		
		Citywide	Agency		Citywide	Agency		Citywide	Agency	
			FY18	FY19		FY18	FY19		FY18	FY19
Construction	Total Construction	38.00%	4 %	5.00	38.00%	5 %	10	38.00%	7 %	15.00
	Black	8.00%	1 %	1.00	8.00%	1 %	2	8.00%	2 %	5.00
	Hispanic	4.00%	1 %	1.00	4.00%	1 %	2	4.00%	2 %	2.00
	Asian	8.00%	1 %	1.00	8.00%	1 %	2	8.00%	1 %	3.00
	Women	18.00%	1 %	2.00	18.00%	2 %	4	18.00%	2 %	5.00

		FY 19 Utilization Goals								
		Less than or equal to \$20,000			\$20,001 to \$100,000			Greater than \$100,000		
		Citywide	Agency		Citywide	Agency		Citywide	Agency	
			FY18	FY19		FY18	FY19		FY18	FY19
Professional Services	Total Professional Services	37.00%	9 %	10.00	37.00%	18 %	20.00	37.00%	18 %	20.00
	% Black	12.00%	2 %	3.00	12.00%	4 %	4.00	12.00%	6 %	6.00
	Hispanic	8.00%	3 %	3.00	8.00%	7 %	8.00	8.00%	6 %	7.00
	Asian	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal
	Women	17.00%	4 %	4.00	17.00%	7 %	8.00	17.00%	6 %	7.00

Standard Services	Total Standard Services	31.00%	17 %	17.00	31.00%	20 %	20.00	31.00%	7 %	7.00
	Black	12.00%	4 %	3.00	12.00%	5 %	4.00	12.00%	1 %	2.00
	Hispanic	6.00%	5 %	4.00	6.00%	5 %	4.00	6.00%	1 %	2.00
	Asian	3.00%	1 %	3.00	3.00%	3 %	4.00	3.00%	1 %	1.00
	Women	10.00%	7 %	7.00	10.00%	7 %	8.00	10.00%	4 %	2.00

Goods (Under 100K)	Total Goods	45.00%	45 %	47.00	45.00%	50 %	50.00	No Goal	No Goal	No Goal
	Black	7.00%	8 %	8.00	7.00%	7 %	7.00	No Goal	No Goal	No Goal
	Hispanic	5.00%	7 %	9.00	5.00%	5 %	5.00	No Goal	No Goal	No Goal
	Asian	8.00%	8 %	8.00	8.00%	8 %	8.00	No Goal	No Goal	No Goal
	Women	25.00%	22 %	22.00	25.00%	30 %	30.00	No Goal	No Goal	No Goal

* Please provide an explanation for your agency goals in section D.

D. Justification Page: Please explain how you arrived at your agency goals for all industries and levels of procurement.

CONSTRUCTION:

Under \$35K

We have analyzed our FY'17/18 MWBE utilization and decided to increase our FY'19 goal to 5%. DOT anticipates in FY' 19 to procure more construction services projects (i.e. Construction of the NYCDOT Air Conditioning System Upgrades) in this category.

\$35K-\$100K

We have analyzed our FY'17 / 18 MWBE utilization and decided to increase our FY'19 goal to 10%. DOT anticipates procuring in FY' 19, construction projects for Installation of LED Lighting, Milling and demolition projects that will provide more subcontracting opportunities for MWBE's. DOT's increased use of the MWBE vendor list will assist with soliciting whenever possible.

Over \$100K

We have assessed the procurement opportunities in the agency procurement plan for FY' 19, and DOT believes we can increase the goal in this category for FY'19 to 15%. DOT anticipates a significant amount MWBE subcontracting opportunities for Milling, Bridge Rehabilitation, and Bridge Demolition. Additionally, there will be opportunities for MWBE's to be Prime contractors for some of the upcoming Bridge Rehabilitation projects and Demolition of Pedestrian Bridges.

PROFESSIONAL SERVICES:

Under \$20K

In FY' 19 DOT anticipates opportunities for MWBE sub-consultants in this category for task orders on our Engineering Service Agreement Contracts. Also, there are opportunities for micro-purchases for roof assessment and HVAC upgrades at various DOT locations. Consequently, we have decided to increase our MWBE utilization goal for FY' 19 to 10%.

\$20K-\$100K

In FY' 19 DOT has decided to increase the goal in this category because of the increase in sub-consultant opportunities (i.e., Community Outreach, Architectural Design and Environmental Planning) on the Total Design, Construction Support Services, and Resident Engineering Services Contracts.

Over \$100K

In FY'19 DOT has decided to increase the goal in this category because of opportunities for Qualified Joint Ventures for Resident Engineering for Bridge Component Rehabilitation and Total Design Contracts. Additionally, we anticipate more MWBE Prime/Sub Consultant opportunities due to the utilization of the agency's Pre-Qualified List.

STANDARD SERVICES:

Under \$20K

In FY' 19 DOT decided to keep the 17% goal in this category. DOT does not anticipate an increase of MWBE opportunities in this category for FY' 19. Most of the procurements are state/federal funded and thus fewer opportunities for MWBE Utilization.

\$20K-\$100K

In FY' 19 DOT decided to keep the 20% goal in this category. DOT does not anticipate an increase of MWBE opportunities in this category for FY' 19. Most of the procurements are state/federal funded and thus fewer opportunities for MWBE Utilization. Most of the procurements are for (i.e., Professional Maritime Training, Marine Electronic & Radio Repair Services, Maritime Safety & Security).

Over \$100K

In FY'19 DOT does not anticipate an increase of MWBE subcontracting; therefore, we decided to keep the 7% goal in this category. The amount of procurements for Maintenance and Operation of Parking Garages has decreased in FY'19, and it will affect the number of opportunities for MWBE Utilization. Most of the procurements are Street Light Maintenance which requires special certifications which limits the opportunities for MWBEs.

GOODS:

Under \$20K

In FY' 19 DOT will increase the MWBE goal to 47% in this category due to more spending via the Citywide P-Card program. In our P-Card program, we ask the Fiscal Officers to use MWBEs for the purchases in this category primarily, so we expect an increase in our utilization. We anticipate more IT related purchases for MWBE suppliers.

\$20K-\$100K

In FY' 19 DOT decided to keep the 50% MWBE goal in this category. In FY' 18 we fell short of the goal but we anticipate to meet the goal due to the new Innovative MWBE purchasing method.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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E. Prime Contractor Utilization Initiatives

LL1 Required Activities	
<input checked="" type="checkbox"/>	Engage in outreach activities and networking events (ie: co-sponsoring with other agencies, one-on-one meetings, etc.)
<input checked="" type="checkbox"/>	Encourage eligible firms to apply for certification.
<input checked="" type="checkbox"/>	Include language in RFPs and invitations to bid requiring potential bidders/ proposers to consult directories of certified M/WBE firms.
<input checked="" type="checkbox"/>	Encourage M/WBEs to join pre-qualified bidder's lists.
<input checked="" type="checkbox"/>	Advertise procurement opportunities in minority publications.
<input checked="" type="checkbox"/>	Conduct detailed analysis on a contract by contract basis to determine goals based on availability.
<input checked="" type="checkbox"/>	Consider reducing scope and size of contracts when planning procurements.
<input checked="" type="checkbox"/>	For construction contracts, enter into separate prime contracts for construction support services.
<input checked="" type="checkbox"/>	Attend quarterly M/WBE meetings (including two attended by the Commissioner.)
<input checked="" type="checkbox"/>	Conduct quarterly meetings with M/WBEs to discuss the agency's requirements for bids/ proposals.
<input checked="" type="checkbox"/>	Encourage prime contractors to enter into joint ventures with certified M/WBEs.
<input checked="" type="checkbox"/>	Designate dedicated staff to M/WBE program, including M/WBE Officer who is directly accountable to the agency head.
<input checked="" type="checkbox"/>	Submit to City Chief Procurement Officer all contracts valued over \$10 million to determine if they can be divided into smaller contracts (unbundling contracts.)
Performance Improvement Required Activities	
<input checked="" type="checkbox"/>	Meet with oversight agencies: Review performance (P-card, spending trends, etc.) and identify detailed lists of M/WBEs for upcoming procurements.
<input checked="" type="checkbox"/>	Review Utilization Plans: Assess anticipated procurements, M/WBE availability, and historical goals.
<input checked="" type="checkbox"/>	Review M/WBE initiatives: Past initiatives, effectivity of the actions, and new initiative to undertake.
<input checked="" type="checkbox"/>	Require contracting personnel to attend at least one of the monthly SBS/MOCS trainings.
<input checked="" type="checkbox"/>	Require post-award debriefings requested by an M/WBE.
Additional Initiatives (Select three or more)	
<input checked="" type="checkbox"/>	Participate in networking events, meetings, and workshops for certified M/WBE firms.
<input checked="" type="checkbox"/>	Post M/WBE program information on your agency's website.
<input checked="" type="checkbox"/>	Include M/WBE Utilization updates in all procurement team meetings.
<input checked="" type="checkbox"/>	Require buyers and P-card users to reach out to SBS's Account Management team for assistance identifying M/WBE firms for upcoming solicitations and other procurement opportunities.
<input checked="" type="checkbox"/>	Hold pre-bid/proposal conferences on all procurements with M/WBE participation requirements.
<input checked="" type="checkbox"/>	Establish formal means of tracking M/WBE utilization and sharing information within agency.
Compliance Administration and Monitoring	
<input checked="" type="checkbox"/>	Ensure timely prime contractor compliance with all LL1 submission requirements.
<input checked="" type="checkbox"/>	Ensure prime contractor's actual compliance with utilization plan by regularly employing monitoring techniques (at a minimum: contacting M/WBEs, auditing prime's books and records, and visiting job sites.)
<input checked="" type="checkbox"/>	Take appropriate enforcement action in cases where prime contractor is found to be out of compliance with utilization plan.
<input checked="" type="checkbox"/>	Record in PIP all actual payments to subcontractors.
<input checked="" type="checkbox"/>	As necessary, develop or modify written procedures pertaining to LL1 compliance administration, monitoring, and documentation.
Other Initiatives – List any other initiatives to be enacted by your agency	
<p>Other: We have met with the Oversight agency and other stakeholders to implement a system to monitor the MWBE Utilization and track the agencies performance. We are introducing vendor's from networking events to our current contractor's to increase MWBE participation. Lastly, we plan to de bundle our Component Bridge Rehabilitation Contracts so MWBEs will have more opportunities to become Prime Contractors.</p>	

Fiscal Year 2019 Agency M/WBE Utilization Plan



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F. Open Contracts with M/WBE Utilization Requirements

Approximate # of prime contracts <u>open</u> and subject to participation goals (under LL129 and LL1):	131
Approximate # of upcoming contracts which have potential for subcontracting (under LL1):	30

G. Agency Organization

Attach the agency organizational chart with the names, titles, and contact information of all agency personnel responsible for implementation of the agency utilization plan.

List and describe any legislation, rules, policies or programs, other than those listed in the City Charter, PPB rules, General Municipal Law 103, and the Administrative Code, that impact agency utilization or the ability to participate in this program, i.e., Federal, State, or Local MBE, WBE, or Disadvantaged Business Enterprise (DBE) program requirements, etc.

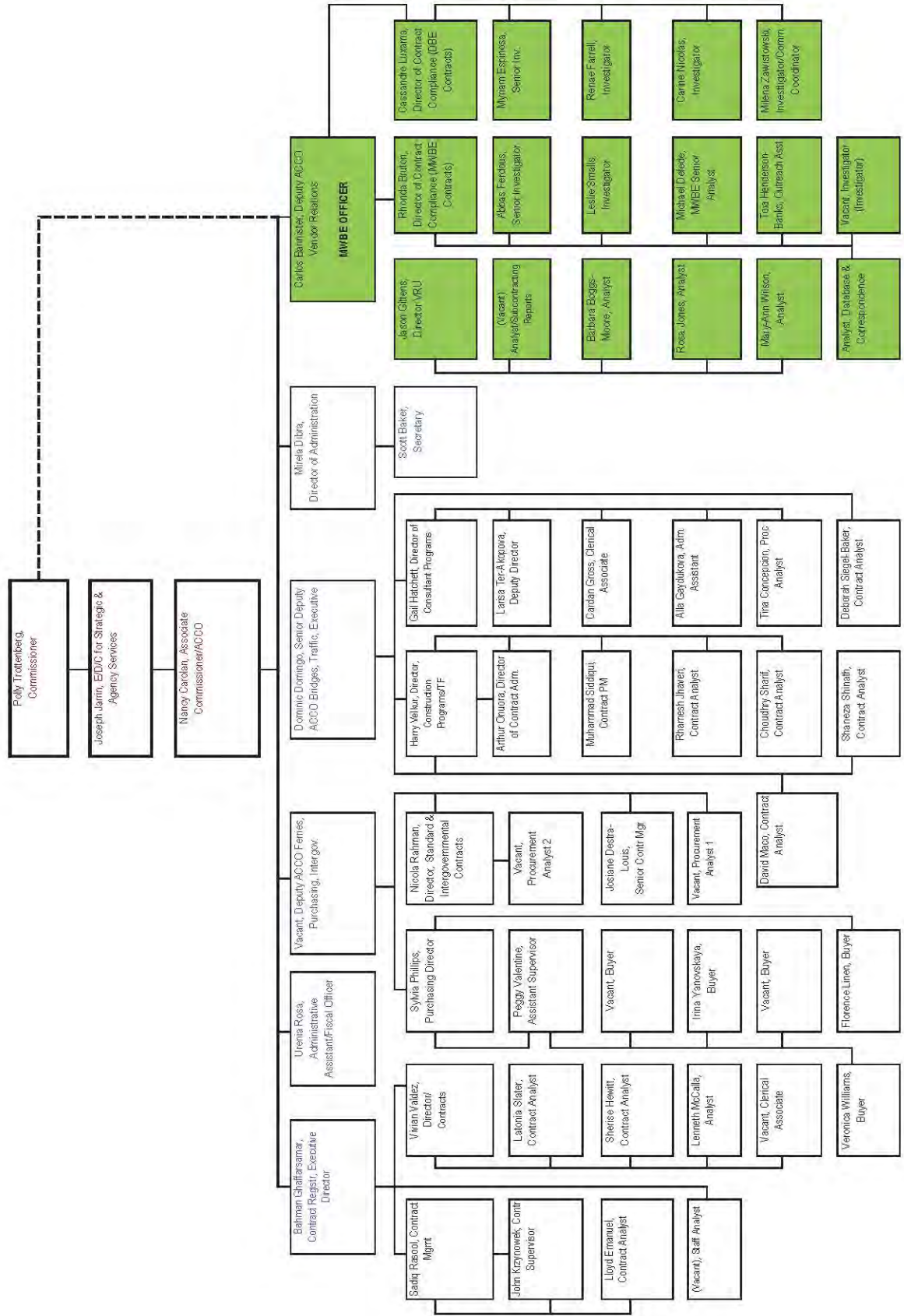
Primarily the programs that impact NYCDOT's MWBE Utilization or its ability to participate in the Local Law 1 program are the USDOT Federal Highway Administration (FHWA) and Federal Transit Administration (FTA) DBE Program, and the MWBE for State program Consolidated Local Street and Highway Improvement Program (CHIPS).

H. Agency Approval

Provide authorized signatures below and submit to SBS with attached the agency organizational chart with the names, titles, and contract information of all agency personnel responsible for implementation of the agency utilization plan.

Authorized Signature (M/WBE Officer): Carlos Bannister
 Title: Deputy ACCO / MWBE officer Date: 7/31/18
 Authorized Signature (ACCO): Nancy Curfan
 Title: ACCO - Date: 7/31/18

DOT AGENCY CHIEF CONTRACTING OFFICER'S OFFICE (ACCO'S OFFICE)



**NYC DEPARTMENT OF TRANSPORTATION
55 WATER STREET
NEW YORK, NY 10041**

Contact Information:

Carlos Bannister

Deputy Agency Chief Contracting Officer / Senior MWBE Officer

(212) 839-9421

cbannister@dot.nyc.gov

Rhonda Bruton

Director of MWBE Compliance

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Michael Defede

MWBE Analyst

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Toia Henderson

MWBE Outreach

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Abbas Ferdous

Senior Investigator

aferdous@dot.nyc.gov

Department of Parks and Recreation

Fiscal Year 2019 Agency M/WBE Utilization Plan



A. Agency Contact Information

Agency Name NYC Department of Parks and Recreation

Street Address The Arsenal, Central Park **City** New York **State** NY **Zip Code** 10065

M/WBE Officer Name Iyana Titus **Email** iyana.titus@parks.nyc.gov **Telephone #** 212-360-2707

ACCO Name Christopher Adkins **Email** christopher.adkins@parks.nyc.gov **Telephone #** 718-760-3789

Date June 1, 2018

B. Local Law 1 Requirements

New York City's Minority and Women-Owned Business Enterprise (M/WBE) program, established in 2005, was designed to promote government contracting opportunities for certified M/WBEs. Accordingly, the Department of Small Business Services (SBS) built a program dedicated to promote fairness and equity in accessing contracting opportunities for City procurement.

In 2013, Local Law 1 was enacted to help strengthen the M/WBE Program. Some of the changes to the program include: (i) eliminating the \$1 million cap on contracts subject M/WBE participation goals; (ii) establishing participation goals on all services contracts (construction, professional and standard services); (iii) eliminating goals for goods over \$100,000; (iv) eliminating the distinction between prime contracts and subcontracts for the purposes of goal setting, including the Target Subcontracting Percentage; and (v) establishing participation goals for all ethnic and gender categories, except Asian Americans in Professional Services. Additionally, new monitoring and accountability requirements have been established in order to ensure transparency in the law's implementation, some of which include: (i) quarterly instead of bi-annual reporting requirements; (ii) establishing an M/WBE Director who will oversee agency compliance and will convene quarterly meetings with M/WBE officers to discuss agency performance in attaining Agency Utilization goals (agency Commissioners are required to attend two such meetings); and (iii) the creation of an annual Performance Improvement Plan and a monthly turnaround document to track agency progress.

Agencies with total procurements in excess of \$5 million in the previous full fiscal year (excluding contracts that are exempt from the M/WBE participation requirements as required by local law) are required to prepare annual M/WBE Utilization Plans. The following Utilization Plan template is designed to be a planning tool for each agency. Agencies are required to establish M/WBE participation goals for Fiscal Year 2019 based on the size and nature of the anticipated procurements that will be subject to the M/WBE participation requirements as well as the availability of certified M/WBEs with the capacity to perform the specific types and scale of work anticipated in such procurements. Agencies are further required to set specific M/WBE participation goals for procurements in all industries valued: at or below \$20,000 (Goods and Services); at or below \$35,000 (Construction); at or below \$100,000 and over \$100,000 (except for Goods). When establishing goals for procurements valued at or below \$100,000, agencies must consider the potential for such purchases to provide opportunities for M/WBEs to develop greater capacity, thereby increasing competition for city procurement.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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C. FY 19 Utilization Goals as established by LL1 of 2013

		FY 19 Utilization Goals								
		Less than or equal to \$35,000			\$35,001 to \$100,000			Greater than \$100,000		
		Citywide	Agency		Citywide	Agency		Citywide	Agency	
			FY18	FY19		FY18	FY19		FY18	FY19
Construction	Total Construction	38.00%	0 %	0	38.00%	0 %	0	38.00%	28 %	30.00%
	Black	8.00%	0 %	0	8.00%	0 %	0	8.00%	4 %	5.00%
	Hispanic	4.00%	0 %	0	4.00%	0 %	0	4.00%	5 %	6.00%
	Asian	8.00%	0 %	0	8.00%	0 %	0	8.00%	7 %	7.00%
	Women	18.00%	0 %	0	18.00%	0 %	0	18.00%	12 %	12.00%

		FY 19 Utilization Goals								
		Less than or equal to \$20,000			\$20,001 to \$100,000			Greater than \$100,000		
		Citywide	Agency		Citywide	Agency		Citywide	Agency	
			FY18	FY19		FY18	FY19		FY18	FY19
Professional Services	Total Professional Services	37.00%	14 %	0	37.00%	20 %	0	37.00%	20 %	20.00%
	% Black	12.00%	1 %	0	12.00%	5 %	0	12.00%	2 %	2.00%
	Hispanic	8.00%	1 %	0	8.00%	10 %	0	8.00%	4 %	4.00%
	Asian	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal
	Women	17.00%	10 %	0	17.00%	35 %	0	17.00%	14 %	14.00%

Standard Services	Total Standard Services	31.00%	13 %	13	31.00%	10 %	10	31.00%	6 %	6.00%
	Black	12.00%	1 %	1	12.00%	1 %	1	12.00%	1 %	1.00%
	Hispanic	6.00%	2 %	2	6.00%	0 %	0	6.00%	4 %	4.00%
	Asian	3.00%	1 %	1	3.00%	1 %	1	3.00%	0 %	0.00%
	Women	10.00%	9 %	9	10.00%	8 %	8	10.00%	1 %	1.00%

Goods (Under 100K)	Total Goods	45.00%	38 %	38	45.00%	23 %	23	No Goal	No Goal	No Goal
	Black	7.00%	3 %	3	7.00%	2 %	2	No Goal	No Goal	No Goal
	Hispanic	5.00%	5 %	5	5.00%	4 %	4	No Goal	No Goal	No Goal
	Asian	8.00%	8 %	8	8.00%	2 %	2	No Goal	No Goal	No Goal
	Women	25.00%	22 %	22	25.00%	15 %	15	No Goal	No Goal	No Goal

* Please provide an explanation for your agency goals in section D.

D. Justification Page: Please explain how you arrived at your agency goals for all industries and levels of procurement.

CONSTRUCTION:

Under \$35K

It's challenging to predict what our micro purchase needs will be in the construction industry and there are a limited number of M/WBEs that provide the services that we need, but we will make every effort to utilize M/WBE firms for these procurements. In the FY16 Utilization Plan, we increased our goals in this category to meet the Citywide goals and we are maintaining these elevated targets in FY19.

\$35K-\$100K

It's challenging to predict what our small purchase needs will be in the construction industry and there are a limited number of M/WBEs that provide the services that we need, but we will make every effort to utilize M/WBE firms for these procurements. We have increased our goal to meet the Citywide goal in this category.

Over \$100K

Our goal is inclusive of everything that we may contract in FY17. Our Agency is quite successful in M/WBE subcontracting opportunities, but awards to primes are difficult to predict given that awards are made to the lowest responsive and responsible bidder. Additionally, we are expecting many of the contracts will be effective at the same time which may impact the capacity of M/WBE vendors to be able to work simultaneously on multiple projects throughout the City. DPR has noticed prime building contractors encountering difficulty with procuring the services of MEP (particularly plumbing) M/WBE vendors.

PROFESSIONAL SERVICES:

Under \$20K

Our agency rarely engages in Professional Services contracts for less than \$100K.

\$20K-\$100K

Our Agency rarely engages in Professional Services contracts for less than \$100K, and as such our goals are limited in this category. These goals were set based on current knowledge of the availability of firms to provide the services generally procured by the Agency, as well as the types of procurements we intend to enter in the next Fiscal Year.

Over \$100K

The MWBE Goals will be set on each task order (depending on the funding source). While we will make every effort to utilize M/WBE firms for our needs in the professional services industry. There are a very limited number of certified M/WBE firms that provide these services.

STANDARD SERVICES:

Under \$20K

It is difficult to predict what our upcoming procurements will be in this category since these procurements are created as needs are identified. Our Expense unit puts these micro-purchases out to bid, even though it is not necessary to do so, in order to give M/WBEs the opportunity to be awarded. We will continue our due diligence to utilize M/WBE vendors when possible.

\$20K-\$100K

Parks rarely subcontracts on procurements in this category. We will utilize the innovative method for purchases up to \$150K in an attempt to increase our M/WBE utilization.

Over \$100K

We will maintain the 10% goal in this category. There has been little growth in the availability of M/WBE firms in this category and we have very little control over what firms are selected for these procurements since they are awarded through the bidding process. Additionally, the Agency rarely has subcontracts in this category.

GOODS:

Under \$20K

It is difficult to predict what our upcoming procurements will be in this category since these procurements are created as needs are identified. In addition, there is a limited number of M/WBE vendors that can provide what we need in the necessary quantities and their prices are often prohibitive. Parks performs outreach and attends M/WBE networking events in a continuing effort to identify additional prospective M/WBE vendors.

\$20K-\$100K

It is difficult to predict what our upcoming procurements will be in this category since these procurements are created as needs are identified. Additionally, there is a limited number of M/WBE vendors that can provide what we need in the necessary quantities. Parks has no history of subcontracting in this category, further limiting our ability to increase M/WBE utilization in this area. We will utilize the innovative method for purchases in an attempt to increase our M/WBE utilization.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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E. Prime Contractor Utilization Initiatives

LL1 Required Activities	
<input checked="" type="checkbox"/>	Engage in outreach activities and networking events (ie: co-sponsoring with other agencies, one-on-one meetings, etc.)
<input checked="" type="checkbox"/>	Encourage eligible firms to apply for certification.
<input checked="" type="checkbox"/>	Include language in RFPs and invitations to bid requiring potential bidders/ proposers to consult directories of certified M/WBE firms.
<input checked="" type="checkbox"/>	Encourage M/WBEs to join pre-qualified bidder's lists.
<input type="checkbox"/>	Advertise procurement opportunities in minority publications.
<input checked="" type="checkbox"/>	Conduct detailed analysis on a contract by contract basis to determine goals based on availability.
<input type="checkbox"/>	Consider reducing scope and size of contracts when planning procurements.
<input type="checkbox"/>	For construction contracts, enter into separate prime contracts for construction support services.
<input checked="" type="checkbox"/>	Attend quarterly M/WBE meetings (including two attended by the Commissioner.)
<input checked="" type="checkbox"/>	Conduct quarterly meetings with M/WBEs to discuss the agency's requirements for bids/ proposals.
<input checked="" type="checkbox"/>	Encourage prime contractors to enter into joint ventures with certified M/WBEs.
<input checked="" type="checkbox"/>	Designate dedicated staff to M/WBE program, including M/WBE Officer who is directly accountable to the agency head.
<input checked="" type="checkbox"/>	Submit to City Chief Procurement Officer all contracts valued over \$10 million to determine if they can be divided into smaller contracts (unbundling contracts.)
Performance Improvement Required Activities	
<input checked="" type="checkbox"/>	Meet with oversight agencies: Review performance (P-card, spending trends, etc.) and identify detailed lists of M/WBEs for upcoming procurements.
<input checked="" type="checkbox"/>	Review Utilization Plans: Assess anticipated procurements, M/WBE availability, and historical goals.
<input checked="" type="checkbox"/>	Review M/WBE initiatives: Past initiatives, effectivity of the actions, and new initiative to undertake.
<input type="checkbox"/>	Require contracting personnel to attend at least one of the monthly SBS/MOCS trainings.
<input checked="" type="checkbox"/>	Require post-award debriefings requested by an M/WBE.
Additional Initiatives (Select three or more)	
<input checked="" type="checkbox"/>	Participate in networking events, meetings, and workshops for certified M/WBE firms.
<input checked="" type="checkbox"/>	Post M/WBE program information on your agency's website.
<input type="checkbox"/>	Include M/WBE Utilization updates in all procurement team meetings.
<input checked="" type="checkbox"/>	Require buyers and P-card users to reach out to SBS's Account Management team for assistance identifying M/WBE firms for upcoming solicitations and other procurement opportunities.
<input checked="" type="checkbox"/>	Hold pre-bid/proposal conferences on all procurements with M/WBE participation requirements.
<input checked="" type="checkbox"/>	Establish formal means of tracking M/WBE utilization and sharing information within agency.
Compliance Administration and Monitoring	
<input checked="" type="checkbox"/>	Ensure timely prime contractor compliance with all LL1 submission requirements.
<input checked="" type="checkbox"/>	Ensure prime contractor's actual compliance with utilization plan by regularly employing monitoring techniques (at a minimum: contacting M/WBEs, auditing prime's books and records, and visiting job sites.)
<input checked="" type="checkbox"/>	Take appropriate enforcement action in cases where prime contractor is found to be out of compliance with utilization plan.
<input checked="" type="checkbox"/>	Record in PIP all actual payments to subcontractors.
<input checked="" type="checkbox"/>	As necessary, develop or modify written procedures pertaining to LL1 compliance administration, monitoring, and documentation.
Other Initiatives – List any other initiatives to be enacted by your agency	

Other: DPR will partner with other Agencies and entities (i.e., Queens Chamber of Commerce, etc.) to hold MWBE technical assistance events.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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F. Open Contracts with M/WBE Utilization Requirements

Approximate # of prime contracts open and subject to participation goals (under LL129 and LL1):	100
Approximate # of upcoming contracts which have potential for subcontracting (under LL1):	200

G. Agency Organization

Attach the agency organizational chart with the names, titles, and contact information of all agency personnel responsible for implementation of the agency utilization plan.

List and describe any legislation, rules, policies or programs, other than those listed in the City Charter, PPB rules, General Municipal Law 103, and the Administrative Code, that impact agency utilization or the ability to participate in this program, i.e., Federal, State, or Local MBE, WBE, or Disadvantaged Business Enterprise (DBE) program requirements, etc.

To the extent that projects are partially funded with State or Federal Funds, State/Federal MWBE and DBE program requirements are applied.

H. Agency Approval

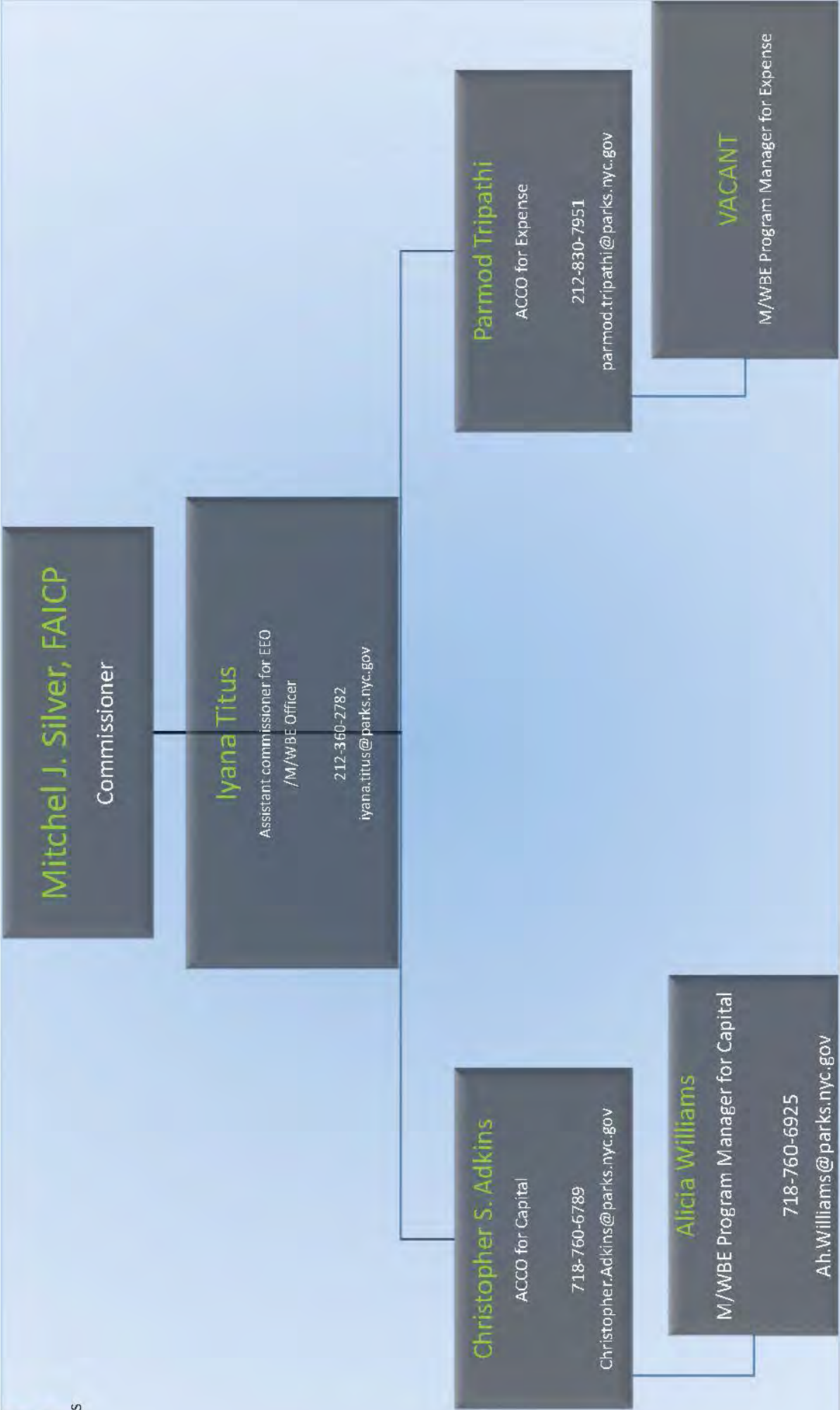
Provide authorized signatures below and submit to SBS with attached the agency organizational chart with the names, titles, and contract information of all agency personnel responsible for implementation of the agency utilization plan.

Authorized Signature (M/WBE Officer): *Ryan Adams*

Title: MWBE Officer Assistant Commissioner Date: 6/1/18

Authorized Signature (ACCO): *[Signature]*

Title: ACCO Date: 6/1/18



Department of Sanitation

Fiscal Year 2019 Agency M/WBE Utilization Plan



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A. Agency Contact Information

Agency Name	DSNY						
Street Address	44 Beaver Street	City	New York	State	NY	Zip Code	10004
M/WBE Officer Name	Robert Orlin	Email	rorlin@dsny.nyc.gov	Telephone #	(646)885-5006		
ACCO Name	Kirk Eng	Email	kieng@dsny.nyc.gov	Telephone #	(212)437-5048		
Date	5/29/2018						

B. Local Law 1 Requirements

New York City's Minority and Women-Owned Business Enterprise (M/WBE) program, established in 2005, was designed to promote government contracting opportunities for certified M/WBEs. Accordingly, the Department of Small Business Services (SBS) built a program dedicated to promote fairness and equity in accessing contracting opportunities for City procurement.

In 2013, Local Law 1 was enacted to help strengthen the M/WBE Program. Some of the changes to the program include: (i) eliminating the \$1 million cap on contracts subject M/WBE participation goals; (ii) establishing participation goals on all services contracts (construction, professional and standard services); (iii) eliminating goals for goods over \$100,000; (iv) eliminating the distinction between prime contracts and subcontracts for the purposes of goal setting, including the Target Subcontracting Percentage; and (v) establishing participation goals for all ethnic and gender categories, except Asian Americans in Professional Services. Additionally, new monitoring and accountability requirements have been established in order to ensure transparency in the law's implementation, some of which include: (i) quarterly instead of bi-annual reporting requirements; (ii) establishing an M/WBE Director who will oversee agency compliance and will convene quarterly meetings with M/WBE officers to discuss agency performance in attaining Agency Utilization goals (agency Commissioners are required to attend two such meetings); and (iii) the creation of an annual Performance Improvement Plan and a monthly turnaround document to track agency progress.

Agencies with total procurements in excess of \$5 million in the previous full fiscal year (excluding contracts that are exempt from the M/WBE participation requirements as required by local law) are required to prepare annual M/WBE Utilization Plans. The following Utilization Plan template is designed to be a planning tool for each agency. Agencies are required to establish M/WBE participation goals for Fiscal Year 2019 based on the size and nature of the anticipated procurements that will be subject to the M/WBE participation requirements as well as the availability of certified M/WBEs with the capacity to perform the specific types and scale of work anticipated in such procurements. Agencies are further required to set specific M/WBE participation goals for procurements in all industries valued: at or below \$20,000 (Goods and Services); at or below \$35,000 (Construction); at or below \$100,000 and over \$100,000 (except for Goods). When establishing goals for procurements valued at or below \$100,000, agencies must consider the potential for such purchases to provide opportunities for M/WBEs to develop greater capacity, thereby increasing competition for city procurement.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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C. FY 19 Utilization Goals as established by LL1 of 2013

		FY 19 Utilization Goals								
		Less than or equal to \$35,000			\$35,001 to \$100,000			Greater than \$100,000		
		Citywide	Agency		Citywide	Agency		Citywide	Agency	
			FY18	FY19		FY18	FY19		FY18	FY19
Construction	Total Construction	38.00%	20.00%	25.00%	38.00%	32.00%	25.00%	38.00%	22.00%	25.00%
	Black	8.00%	4.00%	6.00%	8.00%	4.00%	6.00%	8.00%	6.00%	6.00%
	Hispanic	4.00%	2.00%	2.00%	4.00%	4.00%	2.00%	4.00%	4.00%	2.00%
	Asian	8.00%	4.00%	6.00%	8.00%	12.00%	6.00%	8.00%	6.00%	6.00%
	Women	18.00%	10.00%	11.00%	18.00%	12.00%	11.00%	18.00%	6.00%	11.00%

		FY 19 Utilization Goals								
		Less than or equal to \$20,000			\$20,001 to \$100,000			Greater than \$100,000		
		Citywide	Agency		Citywide	Agency		Citywide	Agency	
			FY18	FY19		FY18	FY19		FY18	FY19
Professional Services	Total Professional Services	37.00%	20.00%	25.00%	37.00%	20.00%	30.00%	37.00%	16.00%	16.00%
	Black	12.00%	7.00%	6.00%	12.00%	5.00%	9.00%	12.00%	5.00%	5.00%
	Hispanic	8.00%	3.00%	5.00%	8.00%	5.00%	6.00%	8.00%	3.00%	3.00%
	Asian	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal
	Women	17.00%	10.00%	14.00%	17.00%	10.00%	15.00%	17.00%	8.00%	8.00%

Standard Services	Total Standard Services	31.00%	24.00%	20.00%	31.00%	16.00%	18.00%	31.00%	4.00%	8.00%
	Black	12.00%	8.00%	8.00%	12.00%	2.00%	6.00%	12.00%	1.00%	2.00%
	Hispanic	6.00%	4.00%	4.00%	6.00%	2.00%	3.00%	6.00%	1.00%	2.00%
	Asian	3.00%	6.00%	2.00%	3.00%	4.00%	3.00%	3.00%	1.00%	1.00%
	Women	10.00%	6.00%	6.00%	10.00%	8.00%	6.00%	10.00%	1.00%	3.00%

Goods (Under 100K)	Total Goods	45.00%	48.00%	48.00%	45.00%	25.00%	30.00%	No Goal	No Goal	No Goal
	Black	7.00%	7.00%	7.00%	7.00%	5.00%	5.00%	No Goal	No Goal	No Goal
	Hispanic	5.00%	4.00%	4.00%	5.00%	5.00%	5.00%	No Goal	No Goal	No Goal
	Asian	8.00%	8.00%	8.00%	8.00%	5.00%	5.00%	No Goal	No Goal	No Goal
	Women	25.00%	29.00%	29.00%	25.00%	10.00%	15.00%	No Goal	No Goal	No Goal

* Please provide an explanation for your agency goals in section D.

D. Justification Page: Please explain how you arrived at your agency goals for all industries and levels of procurement.

CONSTRUCTION:

Under \$35K

DSNY has set a FY19 goal of 25%. In FY17 the goal was 2% and DSNY increased the goal to 20% in FY18. DSNY's procurement history shows limited micropurchase activity within the construction industry. The majority of the agency's construction projects are over \$100,000. In FY18 (reviewing Q1-Q3), the agency awarded one construction micropurchase and that micropurchase was awarded to an M/WBE. DSNY anticipates limited micropurchase opportunities in the upcoming fiscal year. As a result, the agency believes the 25% goal is achievable.

\$35K-\$100K

DSNY has set a FY19 goal of 25%. In FY17 the goal was 30% and DSNY increased the goal to 32% in FY18. In FY17, DSNY awarded six job order contracting services (JOCS) contracts which have limited the need for small purchase orders in construction-related industries. The only exception to the JOCS contracts is specialized work such as electrical, masonry, plumbing and general construction services that are too specialized to be assigned through any of the existing JOCS contracts. In addition, in FY18 (reviewing Q1-Q3), there were no construction small purchases done by DSNY. As a result, the agency is decreasing the goal to 25%.

Over \$100K

DSNY has set a FY19 goal of 25%. In FY17 the goal was 20% and DSNY increased the goal to 22% in FY18. DSNY currently has six JOCS contracts in place Citywide which the agency utilizes. Out of the six contracts, two were awarded to M/WBEs. In FY18 (reviewing Q1-Q3), out of the five awards, three were awarded to M/WBEs. In the upcoming fiscal year, the agency is planning to release five construction management RFPs and two additional construction job order contracting services (JOCS) contracts which will provide opportunities for M/WBEs. For these reasons, the agency is increasing the goal to 25%.

PROFESSIONAL SERVICES:

Under \$20K

DSNY has set a FY19 goal of 25%. In FY17 the goal was 6% and DSNY increased the goal to 20% in FY18. In FY18 (reviewing Q1-Q3), out of twenty-three micropurchase awards, nine were awarded to M/WBEs. In addition, as specialized building inspections and environmental testing services opportunities will continue in FY19 which have M/WBE availability, the agency has increased the goal to 25%.

\$20K-\$100K

DSNY has set a FY19 goal of 30%. In FY17 the goal was 5% and DSNY increased the goal to 20% in FY18. In FY18 (reviewing Q1-Q3), out of three awards, two were awarded to M/WBEs. In addition, as the micropurchase discretionary threshold for M/WBEs under professional services has increased, the agency will have more opportunities for M/WBEs in the upcoming fiscal year. As a result, the agency has increased the goal to 30%.

Over \$100K

DSNY has set a FY19 goal of 16%. In FY17 the goal was 15% and DSNY increased the goal to 16% in FY18. In FY18 (reviewing Q1-Q3), out of six awards, none were awarded to M/WBEs. M/WBEs are working or will be working on these contracts as subcontractors. With the upcoming design and IT opportunities in FY19 which have M/WBE availability and the micropurchase discretionary threshold for M/WBEs under professional services increasing to \$150,000, the 16% goal is achievable.

STANDARD SERVICES:

Under \$20K

DSNY has set a FY19 goal of 20%. In FY17 the goal was 20% and DSNY increased the goal to 24% in FY18. In FY18 (reviewing Q1-Q3), out of seventy-two micropurchase awards, thirteen were awarded to M/WBEs. The agency has decreased the contract goal to 20%. In FY19, there will be a need for office machine repairs services which will allow the agency to meet the 20% M/WBE goal.

\$20K-\$100K

DSNY has set a FY19 goal of 18%. In FY17 the goal was 15% and DSNY increased the goal to 16% in FY18. In FY18 (reviewing Q1-Q3), out of six awards, one was awarded to a M/WBE. As the micropurchase discretionary threshold for M/WBEs under standard services has increased, the agency will have more opportunities for M/WBEs in the upcoming fiscal year. As a result, the agency has increased the goal to 18%.

Over \$100K

DSNY has set a FY19 goal of 8%. In FY17 the goal was 2% and DSNY increased the goal to 4% in FY18. Generally the majority of DSNY's expenditure in this area is for waste export contracts where there are no M/WBEs available. In FY18 (reviewing Q1-Q3), out of twenty-eight awards in this category, five were awarded to M/WBEs. In addition, the micropurchase discretionary threshold for M/WBEs under standard services has increased to \$150,000. Therefore, the agency believes the 8% is achievable.

GOODS:

Under \$20K

DSNY has set a FY19 goal of 48%. In FY17 the goal was 47% and DSNY increased the goal to 48% in FY18. In FY18 (reviewing Q1-Q3), a total of 684 goods micropurchases were awarded and 297 of those were awarded to M/WBEs. As DSNY continues to procure required goods such as fabrics, fittings, and mechanical parts for our numerous in-house mechanic shops, a goal of 48% is realistic.

\$20K-\$100K

DSNY has set a FY19 goal of 30%. In FY17 the goal was 20% and DSNY increased the goal to 25% in FY18. Most of the agency's goods are secured through DCAS requirements contracts and the number of M/WBEs available to provide goods in the certain areas needed by DSNY is limited. However, DSNY has increased the participation goal by 5% from FY18. In FY18 (reviewing Q1-Q3), out of 56 awards, 25 were awarded to M/WBEs. In addition, as the micropurchase discretionary threshold for M/WBEs under goods has increased, the agency will have more opportunities for M/WBEs. As a result, the agency believes the 30% goal is achievable.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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E. Prime Contractor Utilization Initiatives

LL1 Required Activities	
<input checked="" type="checkbox"/>	Engage in outreach activities and networking events (ie: co-sponsoring with other agencies, one-on-one meetings, etc.)
<input checked="" type="checkbox"/>	Encourage eligible firms to apply for certification.
<input checked="" type="checkbox"/>	Include language in RFPs and invitations to bid requiring potential bidders/ proposers to consult directories of certified M/WBE firms.
<input checked="" type="checkbox"/>	Encourage M/WBEs to join pre-qualified bidder's lists.
<input checked="" type="checkbox"/>	Advertise procurement opportunities in minority publications.
<input checked="" type="checkbox"/>	Conduct detailed analysis on a contract by contract basis to determine goals based on availability.
<input checked="" type="checkbox"/>	Consider reducing scope and size of contracts when planning procurements.
<input checked="" type="checkbox"/>	For construction contracts, enter into separate prime contracts for construction support services.
<input checked="" type="checkbox"/>	Attend quarterly M/WBE meetings (including two attended by the Commissioner.)
<input checked="" type="checkbox"/>	Conduct quarterly meetings with M/WBEs to discuss the agency's requirements for bids/ proposals.
<input checked="" type="checkbox"/>	Encourage prime contractors to enter into joint ventures with certified M/WBEs.
<input checked="" type="checkbox"/>	Designate dedicated staff to M/WBE program, including M/WBE Officer who is directly accountable to the agency head.
<input checked="" type="checkbox"/>	Submit to City Chief Procurement Officer all contracts valued over \$10 million to determine if they can be divided into smaller contracts (unbundling contracts.)
Performance Improvement Required Activities	
<input checked="" type="checkbox"/>	Meet with oversight agencies: Review performance (P-card, spending trends, etc.) and identify detailed lists of M/WBEs for upcoming procurements.
<input checked="" type="checkbox"/>	Review Utilization Plans: Assess anticipated procurements, M/WBE availability, and historical goals.
<input checked="" type="checkbox"/>	Review M/WBE initiatives: Past initiatives, effectivity of the actions, and new initiative to undertake.
<input checked="" type="checkbox"/>	Require contracting personnel to attend at least one of the monthly SBS/MOCS trainings.
<input checked="" type="checkbox"/>	Require post-award debriefings requested by an M/WBE.
Additional Initiatives (Select three or more)	
<input checked="" type="checkbox"/>	Participate in networking events, meetings, and workshops for certified M/WBE firms.
<input checked="" type="checkbox"/>	Post M/WBE program information on your agency's website.
<input checked="" type="checkbox"/>	Include M/WBE Utilization updates in all procurement team meetings.
<input checked="" type="checkbox"/>	Require buyers and P-card users to reach out to SBS's Account Management team for assistance identifying M/WBE firms for upcoming solicitations and other procurement opportunities.
<input checked="" type="checkbox"/>	Hold pre-bid/proposal conferences on all procurements with M/WBE participation requirements.
<input checked="" type="checkbox"/>	Establish formal means of tracking M/WBE utilization and sharing information within agency.
Compliance Administration and Monitoring	
<input checked="" type="checkbox"/>	Ensure timely prime contractor compliance with all LL1 submission requirements.
<input checked="" type="checkbox"/>	Ensure prime contractor's actual compliance with utilization plan by regularly employing monitoring techniques (at a minimum: contacting M/WBEs, auditing prime's books and records, and visiting job sites.)
<input checked="" type="checkbox"/>	Take appropriate enforcement action in cases where prime contractor is found to be out of compliance with utilization plan.
<input checked="" type="checkbox"/>	Record in PIP all actual payments to subcontractors.
<input checked="" type="checkbox"/>	As necessary, develop or modify written procedures pertaining to LL1 compliance administration, monitoring, and documentation.
Other Initiatives – List any other initiatives to be enacted by your agency	

Other: Please see attached

Fiscal Year 2019 Agency M/WBE Utilization Plan



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F. Open Contracts with M/WBE Utilization Requirements

Approximate # of prime contracts <u>open</u> and subject to participation goals (under LL129 and LL1):	42
Approximate # of upcoming contracts which have potential for subcontracting (under LL1):	30

G. Agency Organization

Attach the agency organizational chart with the names, titles, and contact information of all agency personnel responsible for implementation of the agency utilization plan.

List and describe any legislation, rules, policies or programs, other than those listed in the City Charter, PPB rules, General Municipal Law 103, and the Administrative Code, that impact agency utilization or the ability to participate in this program, i.e., Federal, State, or Local MBE, WBE, or Disadvantaged Business Enterprise (DBE) program requirements, etc.

Please see organizational chart attached

H. Agency Approval

Provide authorized signatures below and submit to SBS with attached the agency organizational chart with the names, titles, and contract information of all agency personnel responsible for implementation of the agency utilization plan.

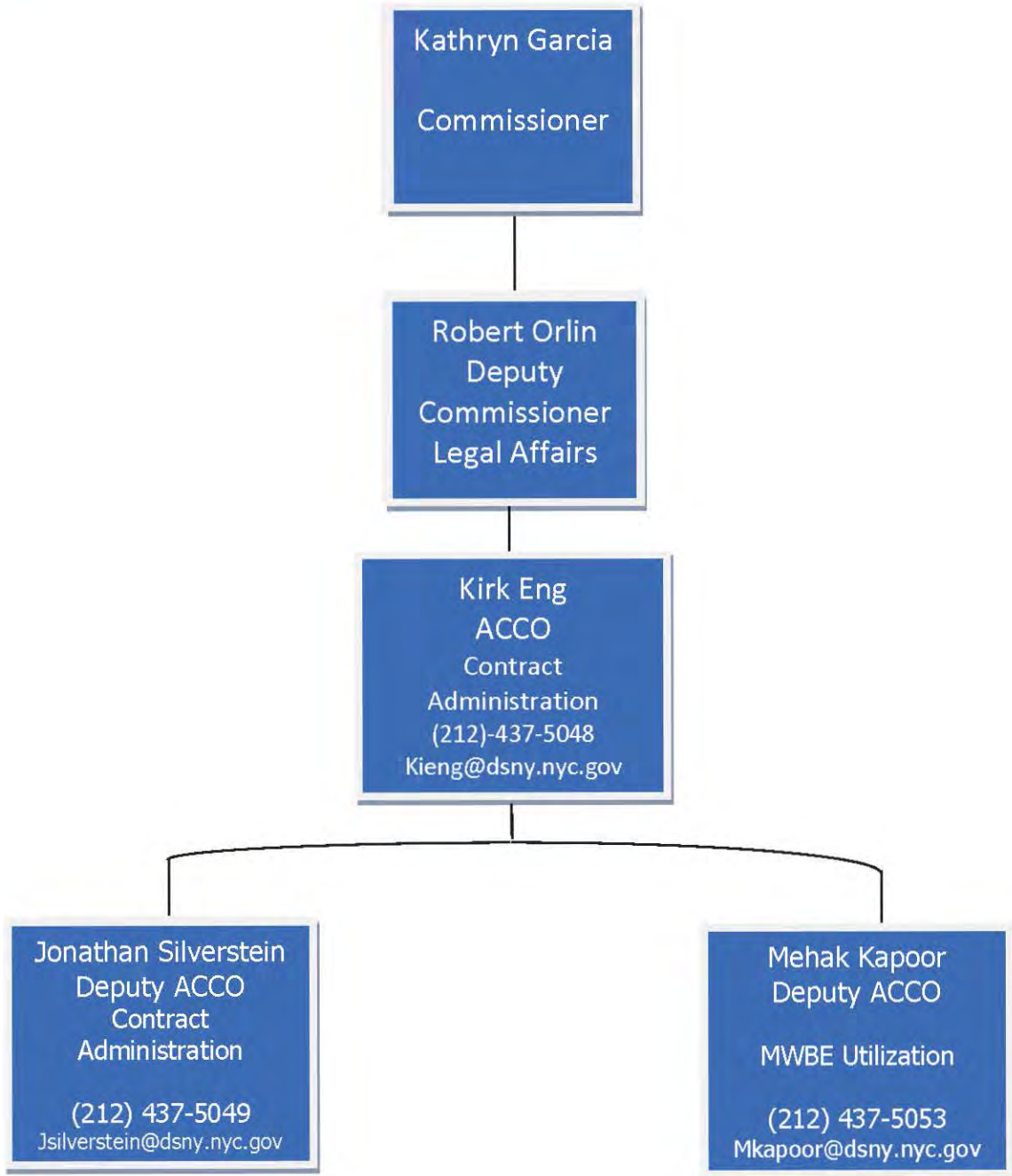
Authorized Signature (M/WBE Officer): Robert Chen
Title: Deputy Commissioner Date: 6/1/18
Authorized Signature (ACCO): [Signature]
Title: ACCO Date: 6/1/18

DSNY Initiatives

- Under the Small Purchase Procurement Method, DSNY uses the 5 + all list instead of the 5 + 10 list to expand the procurement opportunity to the vendors.
- MWBE List
 - DSNY maintains a contact list of all M/WBEs that DSNY has interacted with at events, over the phone, or by email.
 - For each event that DSNY hosts or attends (Annual DDC MWBE Fair, LaGuardia Matchmaking event, etc.), DSNY emails M/WBEs on the contact list to help promote the event and provide M/WBEs an opportunity to attend.
If there are any vendors that fit the M/WBE requirements, DSNY recommends the vendor to SBS (i.e. McCarey Landscaping).
- Outreach
 - DSNY ensures to highlight at the agency's pre-bid and pre-proposal meetings that if M/WBE companies do not have the capacity to complete the entire work of the contract themselves, M/WBEs should network with potential primes on subcontracting or do a joint venture. DSNY offers to send the potential bidders and proposers the solicitation pick-up list to increase the opportunity for collaboration either by a joint venue or M/WBEs serving as subcontractors.
 - During each M/WBE event or meeting, DSNY highlights the programs and resources available with SBS (loan assistance, mentorship programs, workshops SBS provides on submitting bids and proposals).
- Events
 - DSNY holds a M/WBE workshop each quarter of the fiscal year. For each workshop, over 100+ vendors are invited. After each workshop, the agency meets with vendors in person or conducts phone meetings to further assist the vendor.
- Micropurchase Discretionary Increase for M/WBEs
 - The agency will frequently be exercising the micropurchase increase to procure services and goods.

(RE: Local Law 1)

May 2018



Department of Youth & Community Development

Fiscal Year 2019 Agency M/WBE Utilization Plan



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A. Agency Contact Information

Agency Name NYC Department of Youth and Community Development
Street Address 123 William Street **City** New York **State** NY **Zip Code** 10038
M/WBE Officer Name Alan Cheng **Email** ACheng@dycd.nyc.gov **Telephone #** (646) 343-6810
ACCO Name Dana Cantelmi **Email** DCantelmi@dycd.nyc.gov **Telephone #** (646) 343-6310
Date June 1, 2018

B. Local Law 1 Requirements

New York City's Minority and Women-Owned Business Enterprise (M/WBE) program, established in 2005, was designed to promote government contracting opportunities for certified M/WBEs. Accordingly, the Department of Small Business Services (SBS) built a program dedicated to promote fairness and equity in accessing contracting opportunities for City procurement.

In 2013, Local Law 1 was enacted to help strengthen the M/WBE Program. Some of the changes to the program include: (i) eliminating the \$1 million cap on contracts subject M/WBE participation goals; (ii) establishing participation goals on all services contracts (construction, professional and standard services); (iii) eliminating goals for goods over \$100,000; (iv) eliminating the distinction between prime contracts and subcontracts for the purposes of goal setting, including the Target Subcontracting Percentage; and (v) establishing participation goals for all ethnic and gender categories, except Asian Americans in Professional Services. Additionally, new monitoring and accountability requirements have been established in order to ensure transparency in the law's implementation, some of which include: (i) quarterly instead of bi-annual reporting requirements; (ii) establishing an M/WBE Director who will oversee agency compliance and will convene quarterly meetings with M/WBE officers to discuss agency performance in attaining Agency Utilization goals (agency Commissioners are required to attend two such meetings); and (iii) the creation of an annual Performance Improvement Plan and a monthly turnaround document to track agency progress.

Agencies with total procurements in excess of \$5 million in the previous full fiscal year (excluding contracts that are exempt from the M/WBE participation requirements as required by local law) are required to prepare annual M/WBE Utilization Plans. The following Utilization Plan template is designed to be a planning tool for each agency. Agencies are required to establish M/WBE participation goals for Fiscal Year 2019 based on the size and nature of the anticipated procurements that will be subject to the M/WBE participation requirements as well as the availability of certified M/WBEs with the capacity to perform the specific types and scale of work anticipated in such procurements. Agencies are further required to set specific M/WBE participation goals for procurements in all industries valued: at or below \$20,000 (Goods and Services); at or below \$35,000 (Construction); at or below \$100,000 and over \$100,000 (except for Goods). When establishing goals for procurements valued at or below \$100,000, agencies must consider the potential for such purchases to provide opportunities for M/WBEs to develop greater capacity, thereby increasing competition for city procurement.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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C. FY 19 Utilization Goals as established by LL1 of 2013

		FY 19 Utilization Goals								
		Less than or equal to \$35,000			\$35,001 to \$100,000			Greater than \$100,000		
		Citywide	Agency		Citywide	Agency		Citywide	Agency	
			FY18	FY19		FY18	FY19		FY18	FY19
Construction	Total Construction	38.00%	N/A	0	38.00%	N/A	0	38.00%	N/A	0
	Black	8.00%	N/A	0	8.00%	N/A	0	8.00%	N/A	0
	Hispanic	4.00%	N/A	0	4.00%	N/A	0	4.00%	N/A	0
	Asian	8.00%	N/A	0	8.00%	N/A	0	8.00%	N/A	0
	Women	18.00%	N/A	0	18.00%	N/A	0	18.00%	N/A	0

		FY 19 Utilization Goals								
		Less than or equal to \$20,000			\$20,001 to \$100,000			Greater than \$100,000		
		Citywide	Agency		Citywide	Agency		Citywide	Agency	
			FY18	FY19		FY18	FY19		FY18	FY19
Professional Services	Total Professional Services	37.00%	N/A	0	37.00%	N/A	0	37.00%	N/A	0
	Black	12.00%	N/A	0	12.00%	N/A	0	12.00%	N/A	0
	Hispanic	8.00%	N/A	0	8.00%	N/A	0	8.00%	N/A	0
	Asian	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal
	Women	17.00%	N/A	0	17.00%	N/A	0	17.00%	N/A	0

Standard Services	Total Standard Services	31.00%	N/A	30	31.00%	N/A	0	31.00%	N/A	0
	Black	12.00%	N/A	6	12.00%	N/A	0	12.00%	N/A	0
	Hispanic	6.00%	N/A	8	6.00%	N/A	0	6.00%	N/A	0
	Asian	3.00%	N/A	8	3.00%	N/A	0	3.00%	N/A	0
	Women	10.00%	N/A	8	10.00%	N/A	0	10.00%	N/A	0

Goods (Under 100K)	Total Goods	45.00%	N/A	30%	45.00%	N/A	20%	No Goal	No Goal	No Goal
	Black	7.00%	N/A	5	7.00%	N/A	5	No Goal	No Goal	No Goal
	Hispanic	5.00%	N/A	5	5.00%	N/A	5	No Goal	No Goal	No Goal
	Asian	8.00%	N/A	10	8.00%	N/A	5	No Goal	No Goal	No Goal
	Women	25.00%	N/A	10	25.00%	N/A	5	No Goal	No Goal	No Goal

* Please provide an explanation for your agency goals in section D.

D. Justification Page: Please explain how you arrived at your agency goals for all industries and levels of procurement.

CONSTRUCTION:

Under \$35K

DYCD is a Human Service contracting agency that does not engage in procuring construction-related services. In the event that a construction-related service is needed DYCD will refer to the M/WBE list supplied by SBS.

\$35K-\$100K

DYCD is a Human Service contracting agency that does not engage in procuring construction-related services. In the event that a construction-related service is needed DYCD will refer to the M/WBE list supplied by SBS.

Over \$100K

DYCD is a Human Service contracting agency that does not engage in procuring construction-related services. In the event that a construction-related service is needed DYCD will utilize the M/WBE list supplied by SBS.

PROFESSIONAL SERVICES:

Under \$20K

Over the past five years, DYCD has procured very few professional services contract valued at under \$20k. There are currently no plans to do so in FY 2019. Should the need for a professional service-related contract arise in FY 2019, DYCD will utilize the M/WBE list supplied by SBS.

\$20K-\$100K

Over the past five years, DYCD procured only one professional services contract valued between \$20k and \$100k. There is currently no plans to do so in FY 2019. Should the need for a professional service-related contract arise in FY 2019, DYCD will utilize the M/WBE list supplied by SBS.

Over \$100K

DYCD expects to solicit one Payroll Services contract in FY 2019. No responses were received from M/WBEs in the last two procurements for this contract so we do not believe there would be M/WBE utilization due to the lack of suitable vendors. However, DYCD is open to assistance from the Office of M/WBE and SBS to identify qualified vendors.

STANDARD SERVICES:

Under \$20K

In recent years, DYCD has had increased activity in this category of contracts with M/WBE participation. The 30% FY19 Overall Goal for this category represents our best estimate of what will be achievable with renewed, concerted, and more targeted M/WBE efforts within this category.

\$20K-\$100K

DYCD does not typically procure any open market services valued at between \$20k than \$100k. The services DYCD typically procures at this dollar value level are under City Requirement Contracts such as our computer hardware and software maintenance services.

Over \$100K

DYCD does not typically procure any open market services valued at greater than \$100k. The services DYCD typically procures at this dollar value level are under City Requirement Contracts such as our photocopier maintenance services.

GOODS:

Under \$20K

An analysis of DYCD's purchases of goods with procurements valued at less than \$20k reveals that an average of 32% of the available dollar value of unrestricted (i.e., available for open market purchases, not under Requirement Contracts, etc) AOTPS was awarded to M/WBEs. During the previous five fiscal years, agency utilization in this category ranged from 17% and to 49%. DYCD's commitment to the goal of 30% M/WBE utilization in this category represents our continued efforts to engage and award contracts to certified businesses.

\$20K-\$100K

In recent years, DYCD has had an increase in activity in the \$20K-100K category where historically little was procured. DYCD's commitment to the goal of 20% M/WBE utilization in this category represents our continued efforts to engage and award contracts to certified businesses as opportunities arise.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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E. Prime Contractor Utilization Initiatives

LL1 Required Activities

- Engage in outreach activities and networking events (ie: co-sponsoring with other agencies, one-on-one meetings, etc.)
- Encourage eligible firms to apply for certification.
- Include language in RFPs and invitations to bid requiring potential bidders/ proposers to consult directories of certified M/WBE firms.
- Encourage M/WBEs to join pre-qualified bidder's lists.
- Advertise procurement opportunities in minority publications.
- Conduct detailed analysis on a contract by contract basis to determine goals based on availability.
- Consider reducing scope and size of contracts when planning procurements.
- For construction contracts, enter into separate prime contracts for construction support services.
- Attend quarterly M/WBE meetings (including two attended by the Commissioner.)
- Conduct quarterly meetings with M/WBEs to discuss the agency's requirements for bids/ proposals.
- Encourage prime contractors to enter into joint ventures with certified M/WBEs.
- Designate dedicated staff to M/WBE program, including M/WBE Officer who is directly accountable to the agency head.
- Submit to City Chief Procurement Officer all contracts valued over \$10 million to determine if they can be divided into smaller contracts (unbundling contracts.)

Performance Improvement Required Activities

- Meet with oversight agencies: Review performance (P-card, spending trends, etc.) and identify detailed lists of M/WBEs for upcoming procurements.
- Review Utilization Plans: Assess anticipated procurements, M/WBE availability, and historical goals.
- Review M/WBE Initiatives: Past Initiatives, effectivity of the actions, and new initiative to undertake.
- Require contracting personnel to attend at least one of the monthly SBS/MOCS trainings.
- Require post-award debriefings requested by an M/WBE.

Additional Initiatives (Select three or more)

- Participate in networking events, meetings, and workshops for certified M/WBE firms.
- Post M/WBE program information on your agency's website.
- Include M/WBE Utilization updates in all procurement team meetings.
- Require buyers and P-card users to reach out to SBS's Account Management team for assistance identifying M/WBE firms for upcoming solicitations and other procurement opportunities.
- Hold pre-bid/proposal conferences on all procurements with M/WBE participation requirements.
- Establish formal means of tracking M/WBE utilization and sharing information within agency.

Compliance Administration and Monitoring

- Ensure timely prime contractor compliance with all LL1 submission requirements.
- Ensure prime contractor's actual compliance with utilization plan by regularly employing monitoring techniques (at a minimum: contacting M/WBEs, auditing prime's books and records, and visiting job sites.)
- Take appropriate enforcement action in cases where prime contractor is found to be out of compliance with utilization plan.
- Record in PIP all actual payments to subcontractors.
- As necessary, develop or modify written procedures pertaining to LL1 compliance administration, monitoring, and documentation.

Other Initiatives – List any other initiatives to be enacted by your agency

Other: Micro Purchase Policy
Vendor Approval Form for Micro Purchases
BI-annual Training of Purchasing Staff

Fiscal Year 2019 Agency M/WBE Utilization Plan



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F. Open Contracts with M/WBE Utilization Requirements

Approximate # of prime contracts open and subject to participation goals (under LL129 and LL1): 0
Approximate # of upcoming contracts which have potential for subcontracting (under LL1): 0

G. Agency Organization

Attach the agency organizational chart with the names, titles, and contact information of all agency personnel responsible for implementation of the agency utilization plan.

List and describe any legislation, rules, policies or programs, other than those listed in the City Charter, PPB rules, General Municipal Law 103, and the Administrative Code, that impact agency utilization or the ability to participate in this program, i.e., Federal, State, or Local MBE, WBE, or Disadvantaged Business Enterprise (DBE) program requirements, etc.

H. Agency Approval

Provide authorized signatures below and submit to SBS with attached the agency organizational chart with the names, titles, and contract information of all agency personnel responsible for implementation of the agency utilization plan.

Authorized Signature (M/WBE Officer):

Title: DEPUTY COMMISSIONER, ADMINISTRATION Date: 6/1/18

Authorized Signature (ACCO):

Title: ACCO Date: 6-1-2018

DYCD Organizational Chart

Alan Cheng Deputy Commissioner for Administration / M/WBE Officer	(646) 343-6810	ACHeng@dycd.nyc.gov
Dana Cantelmi Agency Chief Contracting Officer	(646) 343-6310	DCantelmi@dycd.nyc.gov
Mark Hillers Assistant Commissioner, Administrative Services	(646) 343-6240	MHillers@dycd.nyc.gov
Maria Osorio Special Advisor, M/WBE Initiatives	(646) 343-6730	MaOsorio@dycd.nyc.gov

Fire Department

Fiscal Year 2019 Agency M/WBE Utilization Plan



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A. Agency Contact Information

Agency Name New York City Fire Department (FDNY)

Street Address 9 MetroTech Center City Brooklyn State NY Zip Code 11201

M/WBE Officer Name Stephen Rush Email Stephen.Rush@fdny.nyc Telephone # 718-999-2022

ACCO Name Barry Greenspan Email Barry.Greenspan@fdny Telephone # 718-999-1221

Date 6/1/2018

B. Local Law 1 Requirements

New York City's Minority and Women-Owned Business Enterprise (M/WBE) program, established in 2005, was designed to promote government contracting opportunities for certified M/WBEs. Accordingly, the Department of Small Business Services (SBS) built a program dedicated to promote fairness and equity in accessing contracting opportunities for City procurement.

In 2013, Local Law 1 was enacted to help strengthen the M/WBE Program. Some of the changes to the program include: (i) eliminating the \$1 million cap on contracts subject M/WBE participation goals; (ii) establishing participation goals on all services contracts (construction, professional and standard services); (iii) eliminating goals for goods over \$100,000; (iv) eliminating the distinction between prime contracts and subcontracts for the purposes of goal setting, including the Target Subcontracting Percentage; and (v) establishing participation goals for all ethnic and gender categories, except Asian Americans in Professional Services. Additionally, new monitoring and accountability requirements have been established in order to ensure transparency in the law's implementation, some of which include: (i) quarterly instead of bi-annual reporting requirements; (ii) establishing an M/WBE Director who will oversee agency compliance and will convene quarterly meetings with M/WBE officers to discuss agency performance in attaining Agency Utilization goals (agency Commissioners are required to attend two such meetings); and (iii) the creation of an annual Performance Improvement Plan and a monthly turnaround document to track agency progress.

Agencies with total procurements in excess of \$5 million in the previous full fiscal year (excluding contracts that are exempt from the M/WBE participation requirements as required by local law) are required to prepare annual M/WBE Utilization Plans. The following Utilization Plan template is designed to be a planning tool for each agency. Agencies are required to establish M/WBE participation goals for Fiscal Year 2019 based on the size and nature of the anticipated procurements that will be subject to the M/WBE participation requirements as well as the availability of certified M/WBEs with the capacity to perform the specific types and scale of work anticipated in such procurements. Agencies are further required to set specific M/WBE participation goals for procurements in all industries valued: at or below \$20,000 (Goods and Services); at or below \$35,000 (Construction); at or below \$100,000 and over \$100,000 (except for Goods). When establishing goals for procurements valued at or below \$100,000, agencies must consider the potential for such purchases to provide opportunities for M/WBEs to develop greater capacity, thereby increasing competition for city procurement.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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C. FY 19 Utilization Goals as established by LL1 of 2013

		FY 19 Utilization Goals								
		Less than or equal to \$35,000			\$35,001 to \$100,000			Greater than \$100,000		
		Citywide	Agency		Citywide	Agency		Citywide	Agency	
			FY18	FY19		FY18	FY19		FY18	FY19
Construction	Total Construction	38.00%	38 %	38.00%	38.00%	0 %	0.00%	38.00%	20 %	25.00%
	Black	8.00%	4 %	8.00%	8.00%	0 %	0.00%	8.00%	5 %	2.50%
	Hispanic	4.00%	4 %	4.00%	4.00%	0 %	0.00%	4.00%	5 %	2.50%
	Asian	8.00%	10 %	8.00%	8.00%	0 %	0.00%	8.00%	5 %	10.00%
	Women	18.00%	20 %	18.00%	18.00%	0 %	0.00%	18.00%	5 %	10.00%

		FY 19 Utilization Goals								
		Less than or equal to \$20,000			\$20,001 to \$100,000			Greater than \$100,000		
		Citywide	Agency		Citywide	Agency		Citywide	Agency	
			FY18	FY19		FY18	FY19		FY18	FY19
Professional Services	Total Professional Services	37.00%	0 %	0.00%	37.00%	15 %	20.00%	37.00%	20 %	20.00%
	% Black	12.00%	0 %	0.00%	12.00%	3 %	5.00%	12.00%	5 %	5.00%
	Hispanic	8.00%	0 %	0.00%	8.00%	2 %	5.00%	8.00%	5 %	5.00%
	Asian	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal
	Women	17.00%	0 %	0.00%	17.00%	10 %	10.00%	17.00%	10 %	10.00%

Standard Services	Total Standard Services	31.00%	21 %	21.00%	31.00%	10 %	21.00%	31.00%	21 %	21.00%
	Black	12.00%	8 %	8.00%	12.00%	3 %	8.00%	12.00%	8 %	8.00%
	Hispanic	6.00%	4 %	4.00%	6.00%	2 %	4.00%	6.00%	4 %	4.00%
	Asian	3.00%	2 %	2.00%	3.00%	2 %	2.00%	3.00%	2 %	2.00%
	Women	10.00%	7 %	7.00%	10.00%	3 %	7.00%	10.00%	7 %	7.00%

Goods (Under 100K)	Total Goods	45.00%	40 %	45.00%	45.00%	45 %	45.00%	No Goal	No Goal	No Goal
	Black	7.00%	5 %	7.00%	7.00%	7 %	7.00%	No Goal	No Goal	No Goal
	Hispanic	5.00%	5 %	5.00%	5.00%	5 %	5.00%	No Goal	No Goal	No Goal
	Asian	8.00%	10 %	8.00%	8.00%	8 %	8.00%	No Goal	No Goal	No Goal
	Women	25.00%	20 %	25.00%	25.00%	25 %	25.00%	No Goal	No Goal	No Goal

* Please provide an explanation for your agency goals in section D.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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D. Justification Page: Please explain how you arrived at your agency goals for all industries and levels of procurement.

CONSTRUCTION:

Under \$35K

The majority of construction related work for FDNY is performed under task order based requirement contracts. FDNY has been and will continue to review task orders for additional micro purchase awards to M/WBE vendors, as this has been successful in increasing our utilization in the past. In both FY17 and FY18, FDNY met or exceeded our utilization in this area. Moreover, the micro purchase threshold offers the most discretion to award to M/WBE vendors. Therefore, for FY19, the FDNY anticipates that performance will be consistent with historical data, and as a result of this, we set a goal of 38%, consistent with the Citywide Goals in this area.

\$35K-\$100K

The majority of construction related work procured by the FDNY falls under either the micro purchase category (under \$35,000) or as part of a task order based formal contract (over \$100,000). In FY 17 and FY 18 thus far, FDNY did not award any small purchases to M/WBE vendors in this category. Based on our historical performance, the FDNY does not anticipate any awards in this category of work in FY19.

Over \$100K

We anticipate awarding the following contracts in FY19: GC Services for Bronx, Manhattan & Queens, GC Services for Brooklyn & SI, and Repair and Maintenance of Underground Storage Tanks and Fireboat Maintenance and Repair. The Underground Storage Tank contract has already been solicited and is close to award, however the low bidder is a non-M/WBE. The GC contracts have been solicited as well and the vendors are in process of being vetted. However, even if these contracts are not awarded to M/WBE vendors, we expect M/WBE participation for subcontracting services. FDNY does not anticipate a large pool of M/WBE vendors qualified to bid on the Fireboat Maintenance and Repair contract. Due to the nature of the projected procurements for FY19, FDNY set a goal of 25%.

PROFESSIONAL SERVICES:

Under \$20K

Historically, the FDNY does not require professional services in this category. In FY17, the FDNY awarded a micro purchase to a women owned business for medical examination services, however, we do not anticipate a necessity for those services again. In FY18 thus far, FDNY has not awarded any micro purchases in this area. Therefore, the FDNY does not anticipate any awards in this category of work in FY19.

\$20K-\$100K

FDNY anticipates a limited number of professional service awards in this category. In FY17, only one award was made at this threshold and in FY18 thus far, four awards were made to non-M/WBE vendors. However, with the option to utilize the M/WBE Purchase Method, FDNY anticipates that M/WBE vendors will be utilized if at all possible for any professional service purchases in this category for FY19. Considering our historical performance and our continued efforts in outreach, the FDNY has the capability of meeting a utilization goal of 20% in this category of services for FY19.

Over \$100K

We anticipate that several professional service contracts subject to LL1 will be awarded in FY19 (Construction Management Services, Technology Support Center and Staffing, Architectural Engineering, etc.) and that M/WBE participation will be available in these procurements including subcontracting services. However, professional service contracts are typically solicited through the RFP process which is a competitive process. In addition, professional service procurements in general are limited because most are IT related and are procured utilizing NYS OGS or GSA Schedule 70 vendors. Based on this information, FDNY's historical performance and the competitive nature of these procurements, the FDNY has set a utilization goal of 20% for FY19.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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STANDARD SERVICES:

Under \$20K

In the micro purchase category, although the FDNY has seen some improvement in the awards made to M/WBE vendors, we still remain lower than the City targeted goals. FDNY has instituted procedures to encourage users to reach out directly to M/WBE providers in this category and provide documentation of their efforts. FDNY will continue to work with the buyers and users of P-Cards to regularly consult the SBS certified M/WBE listing and our internal M/WBE database to see if new vendors can be located. Based on historical data and our outreach practices, FDNY has set a utilization goal of 21% for FY19.

\$20K-\$100K

The number of awards in this category is limited. Although small purchase goals can be targeted to meet the Citywide goals by continuing to identify qualified M/WBE participants that will provide quotes for bids, comparison of awards for small purchases above the \$20,000 limit indicates that irrespective of increased outreach activities, awards remain less than the Citywide goal. Historically, despite FDNY's outreach, there are a lack of available M/WBEs that possess the capacity to provide the services needed and price competitively. In addition, some of the opportunities in this area such as shredding and small scale cleaning services will be awarded to NYSID.

Over \$100K

In FY19, the FDNY will award contracts for Temporary Staffing, Enterprise Asset Management Maintenance and Support, Process Server Provider and Snow and Ice Removal services in this category, among other procurements. These contracts will provide an opportunity for participation from both primary M/WBE contractors and subcontractors. There are additional contracts at this threshold being awarded in FY19 such as Drug and Medical Profile Testing, Pharmacy Benefits and Prescription Disbursement and Radio Towers Maintenance and Repair Services, however the pool of M/WBE vendors is limited in these areas. Therefore, FDNY has set a utilization goal of 21% for FY19.

GOODS:

Under \$20K

FDNY encourages users to reach out to M/WBE providers directly in this category and provide documentation of their efforts. FDNY will continue to work with the buyers and users of P-Cards to regularly consult the SBS certified M/WBE listing to see if new vendors can be located. In FY19, the FDNY anticipates awarding micro purchases to M/WBEs for goods purchases including, but not limited to, lumber, commercial supplies and equipment, plumbing fixtures, electrical supplies and accessories and tools. In FY18 thus far, the FDNY has achieved 38% M/WBE Utilization. Considering FY17 and FY18 performance, the FDNY has the capability of meeting a utilization goal of 45% in this category for FY19, consistent with the Citywide Goals in this area.

\$20K-\$100K

FDNY has made significant progress in the procurement of goods from M/WBEs in this category. This is partly due to the availability of M/WBE vendors who can provide supplies in this area as well as to an increase in the number of M/WBE vendors that are included in each solicitation. FDNY continues to expand the small purchase bid outreach and has increased the requirements to add matching M/WBE vendors. In FY19, the FDNY anticipates awarding small purchases to M/WBEs for goods including, but not limited to, auto parts, drugs & pharmaceuticals, and electrical, heating and plumbing supplies and therefore is capable of meeting a 45% utilization goal.

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E. Prime Contractor Utilization Initiatives

LL1 Required Activities	
<input checked="" type="checkbox"/>	Engage in outreach activities and networking events (ie: co-sponsoring with other agencies, one-on-one meetings, etc.)
<input checked="" type="checkbox"/>	Encourage eligible firms to apply for certification.
<input checked="" type="checkbox"/>	Include language in RFPs and invitations to bid requiring potential bidders/ proposers to consult directories of certified M/WBE firms.
<input checked="" type="checkbox"/>	Encourage M/WBEs to join pre-qualified bidder's lists.
<input checked="" type="checkbox"/>	Advertise procurement opportunities in minority publications.
<input checked="" type="checkbox"/>	Conduct detailed analysis on a contract by contract basis to determine goals based on availability.
<input checked="" type="checkbox"/>	Consider reducing scope and size of contracts when planning procurements.
<input checked="" type="checkbox"/>	For construction contracts, enter into separate prime contracts for construction support services.
<input checked="" type="checkbox"/>	Attend quarterly M/WBE meetings (including two attended by the Commissioner.)
<input checked="" type="checkbox"/>	Conduct quarterly meetings with M/WBEs to discuss the agency's requirements for bids/ proposals.
<input checked="" type="checkbox"/>	Encourage prime contractors to enter into joint ventures with certified M/WBEs.
<input checked="" type="checkbox"/>	Designate dedicated staff to M/WBE program, including M/WBE Officer who is directly accountable to the agency head.
<input checked="" type="checkbox"/>	Submit to City Chief Procurement Officer all contracts valued over \$10 million to determine if they can be divided into smaller contracts (unbundling contracts.)
Performance Improvement Required Activities	
<input checked="" type="checkbox"/>	Meet with oversight agencies: Review performance (P-card, spending trends, etc.) and identify detailed lists of M/WBEs for upcoming procurements.
<input checked="" type="checkbox"/>	Review Utilization Plans: Assess anticipated procurements, M/WBE availability, and historical goals.
<input checked="" type="checkbox"/>	Review M/WBE initiatives: Past initiatives, effectivity of the actions, and new initiative to undertake.
<input checked="" type="checkbox"/>	Require contracting personnel to attend at least one of the monthly SBS/MOCS trainings.
<input checked="" type="checkbox"/>	Require post-award debriefings requested by an M/WBE.
Additional Initiatives (Select three or more)	
<input checked="" type="checkbox"/>	Participate in networking events, meetings, and workshops for certified M/WBE firms.
<input checked="" type="checkbox"/>	Post M/WBE program information on your agency's website.
<input checked="" type="checkbox"/>	Include M/WBE Utilization updates in all procurement team meetings.
<input checked="" type="checkbox"/>	Require buyers and P-card users to reach out to SBS's Account Management team for assistance identifying M/WBE firms for upcoming solicitations and other procurement opportunities.
<input checked="" type="checkbox"/>	Hold pre-bid/proposal conferences on all procurements with M/WBE participation requirements.
<input checked="" type="checkbox"/>	Establish formal means of tracking M/WBE utilization and sharing information within agency.
Compliance Administration and Monitoring	
<input checked="" type="checkbox"/>	Ensure timely prime contractor compliance with all LL1 submission requirements.
<input checked="" type="checkbox"/>	Ensure prime contractor's actual compliance with utilization plan by regularly employing monitoring techniques (at a minimum: contacting M/WBEs, auditing prime's books and records, and visiting job sites.)
<input checked="" type="checkbox"/>	Take appropriate enforcement action in cases where prime contractor is found to be out of compliance with utilization plan.
<input checked="" type="checkbox"/>	Record in PIP all actual payments to subcontractors.
<input checked="" type="checkbox"/>	As necessary, develop or modify written procedures pertaining to LL1 compliance administration, monitoring, and documentation.
Other Initiatives – List any other initiatives to be enacted by your agency	
<p>Other: 1. The FDNY will partner with the NYC Department of Sanitation to host our annual M/WBE Networking Event in the Fall of 2018. 2. The FDNY will review all applicable procurements to determine if the M/WBE Purchasing Method can be utilized. 3. The FDNY will continue to utilize pre-bid/pre-proposal meetings as networking opportunities for M/WBE vendors to meet and partner with vendors interested in becoming the prime contractor on solicitations. 4. The FDNY will focus intensely on high volume purchases made to non-M/WBE vendors by P-Card holders, FDNY will strive to utilize M/WBE vendors in these areas.</p>	

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F. Open Contracts with M/WBE Utilization Requirements

Approximate # of prime contracts <u>open</u> and subject to participation goals (under LL129 and LL1):	21
Approximate # of upcoming contracts which have potential for subcontracting (under LL1):	14

G. Agency Organization

Attach the agency organizational chart with the names, titles, and contact information of all agency personnel responsible for implementation of the agency utilization plan.

List and describe any legislation, rules, policies or programs, other than those listed in the City Charter, PPB rules, General Municipal Law 103, and the Administrative Code, that impact agency utilization or the ability to participate in this program, i.e., Federal, State, or Local MBE, WBE, or Disadvantaged Business Enterprise (DBE) program requirements, etc.

The Fire Department does not anticipate that there is any legislation, rules, policies and programs, other than those guidelines set forth in the existing new law that would impact the agency utilization or the ability to participate in this program.

H. Agency Approval

Provide authorized signatures below and submit to SBS with attached the agency organizational chart with the names, titles, and contract information of all agency personnel responsible for implementation of the agency utilization plan.

Authorized Signature (M/WBE Officer):

Title: Assistant Commissioner for Budget and Finance Date: 12/4/2018

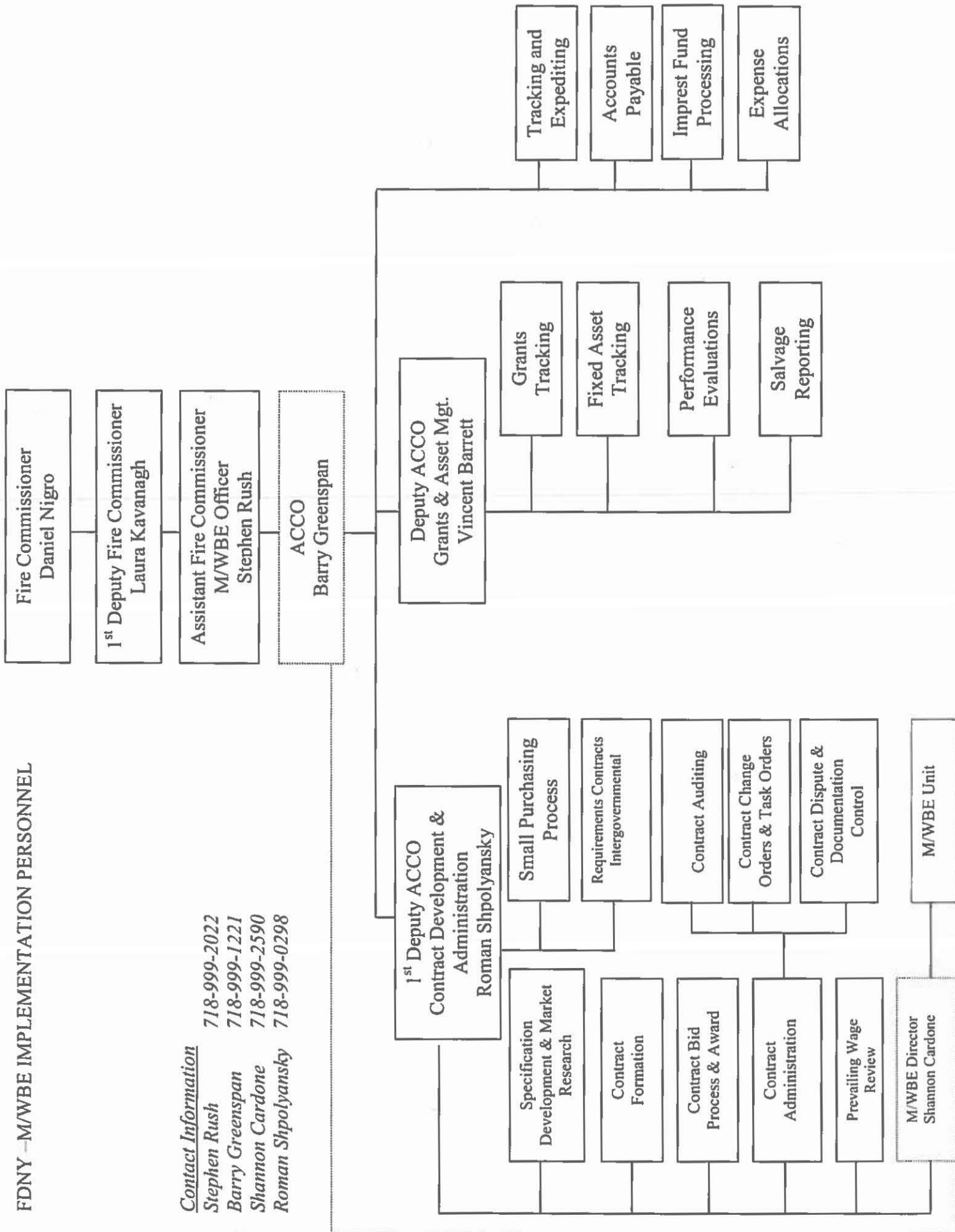
Authorized Signature (ACCO):

Title: Agency Chief Contracting Officer Date: 12/4/2018

FDNY – M/WBE IMPLEMENTATION PERSONNEL

Contact Information

Stephen Rush 718-999-2022
Barry Greenspan 718-999-1221
Shannon Cardone 718-999-2590
Roman Shpolyansky 718-999-0298



**Department
of Housing
Preservation
and
Development**

Fiscal Year 2019 Agency M/WBE Utilization Plan



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A. Agency Contact Information

Agency Name Department of Housing Preservation and Development

Street Address 100 Gold Street **City** New York **State** NY **Zip Code** 10038

M/WBE Officer Name Baaba K. Halm **Email** halmb@hpd.nyc.gov **Telephone #** 212-863-7968

ACCO Name Malissa Smith **Email** smithmal@hpd.nyc.gov **Telephone #** 212-863-6652

Date June 1, 2018

B. Local Law 1 Requirements

New York City's Minority and Women-Owned Business Enterprise (M/WBE) program, established in 2005, was designed to promote government contracting opportunities for certified M/WBEs. Accordingly, the Department of Small Business Services (SBS) built a program dedicated to promote fairness and equity in accessing contracting opportunities for City procurement.

In 2013, Local Law 1 was enacted to help strengthen the M/WBE Program. Some of the changes to the program include: (i) eliminating the \$1 million cap on contracts subject M/WBE participation goals; (ii) establishing participation goals on all services contracts (construction, professional and standard services); (iii) eliminating goals for goods over \$100,000; (iv) eliminating the distinction between prime contracts and subcontracts for the purposes of goal setting, including the Target Subcontracting Percentage; and (v) establishing participation goals for all ethnic and gender categories, except Asian Americans in Professional Services. Additionally, new monitoring and accountability requirements have been established in order to ensure transparency in the law's implementation, some of which include: (i) quarterly instead of bi-annual reporting requirements; (ii) establishing an M/WBE Director who will oversee agency compliance and will convene quarterly meetings with M/WBE officers to discuss agency performance in attaining Agency Utilization goals (agency Commissioners are required to attend two such meetings); and (iii) the creation of an annual Performance Improvement Plan and a monthly turnaround document to track agency progress.

Agencies with total procurements in excess of \$5 million in the previous full fiscal year (excluding contracts that are exempt from the M/WBE participation requirements as required by local law) are required to prepare annual M/WBE Utilization Plans. The following Utilization Plan template is designed to be a planning tool for each agency. Agencies are required to establish M/WBE participation goals for Fiscal Year 2019 based on the size and nature of the anticipated procurements that will be subject to the M/WBE participation requirements as well as the availability of certified M/WBEs with the capacity to perform the specific types and scale of work anticipated in such procurements. Agencies are further required to set specific M/WBE participation goals for procurements in all industries valued: at or below \$20,000 (Goods and Services); at or below \$35,000 (Construction); at or below \$100,000 and over \$100,000 (except for Goods). When establishing goals for procurements valued at or below \$100,000, agencies must consider the potential for such purchases to provide opportunities for M/WBEs to develop greater capacity, thereby increasing competition for city procurement.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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C. FY 19 Utilization Goals as established by LL1 of 2013

		FY 19 Utilization Goals								
		Less than or equal to \$35,000			\$35,001 to \$100,000			Greater than \$100,000		
		Citywide	Agency		Citywide	Agency		Citywide	Agency	
			FY18	FY19		FY18	FY19		FY18	FY19
Construction	Total Construction	38.00%	40 %	40	38.00%	50 %	50	38.00%	20 %	20
	Black	8.00%	10 %	10	8.00%	11 %	11	8.00%	4 %	4
	Hispanic	4.00%	4 %	4	4.00%	7 %	7	4.00%	3 %	3
	Asian	8.00%	8 %	8	8.00%	11 %	11	8.00%	4 %	4
	Women	18.00%	18 %	18	18.00%	21 %	21	18.00%	9 %	9

		FY 19 Utilization Goals								
		Less than or equal to \$20,000			\$20,001 to \$100,000			Greater than \$100,000		
		Citywide	Agency		Citywide	Agency		Citywide	Agency	
			FY18	FY19		FY18	FY19		FY18	FY19
Professional Services	Total Professional Services	37.00%	10 %	10	37.00%	10 %	5	37.00%	20 %	20
	% Black	12.00%	4 %	4	12.00%	3 %	2	12.00%	6 %	6
	Hispanic	8.00%	4 %	4	8.00%	3 %	1	8.00%	3 %	3
	Asian	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal
	Women	17.00%	2 %	2	17.00%	4 %	2	17.00%	11 %	11

Standard Services	Total Standard Services	31.00%	20 %	15	31.00%	40 %	50	31.00%	31 %	31
	Black	12.00%	9 %	7	12.00%	16 %	18	12.00%	12 %	12
	Hispanic	6.00%	3 %	2	6.00%	8 %	10	6.00%	6 %	6
	Asian	3.00%	1 %	1	3.00%	4 %	8	3.00%	3 %	3
	Women	10.00%	7 %	5	10.00%	12 %	14	10.00%	10 %	10

Goods (Under 100K)	Total Goods	45.00%	45 %	45	45.00%	5 %	20	No Goal	No Goal	No Goal
	Black	7.00%	7 %	7	7.00%	1 %	4	No Goal	No Goal	No Goal
	Hispanic	5.00%	5 %	5	5.00%	1 %	3	No Goal	No Goal	No Goal
	Asian	8.00%	8 %	8	8.00%	1 %	3	No Goal	No Goal	No Goal
	Women	25.00%	25 %	25	25.00%	2 %	10	No Goal	No Goal	No Goal

* Please provide an explanation for your agency goals in section D.

D. Justification Page: Please explain how you arrived at your agency goals for all industries and levels of procurement.

CONSTRUCTION:

Under \$35K

This category primarily consists of the procurement of contractors to conduct critical and urgent repairs to private residential buildings and demolition-related services for structures deemed unsafe. In light of the Agency's recent performance in this category and known possible contracts for FY19, the Agency is adopting a 40% goal in this category, instead of the citywide goal.

\$35K-\$100K

This category primarily consists of the procurement of contractors to conduct critical and urgent repairs to private residential buildings and demolition-related services for structures deemed unsafe. In light of the Agency's recent performance in this category and known possible contracts for FY19, the Agency is adopting a 40% goal in this category, instead of the citywide goal.

Over \$100K

The Agency has historically had limited large contracts in this category. Contracts of this size, generally relate to the procurement of contractors to conduct critical and urgent repairs to private residential buildings and demolition-related services for structures deemed unsafe. Additionally, some of these contracts are considered emergency-based procurements which do not fall within the ambit of Local Law 1. The Agency anticipates more eligible spending in this category in FY19 and is adopting a 20% goal in this category.

PROFESSIONAL SERVICES:

Under \$20K

The Agency has had very little spending in this category over the past several years. Much of the Agency's professional services spending is excluded from Local Law 1 because those services are primarily IT consulting services that tend to be procured from non-profit organizations or off task orders. We anticipate that that there will be limited, if any, M/WBE participation in this category and therefore are adopting a 10% goal in this category.

\$20K-\$100K

Much of the Agency's professional services spending is excluded from Local Law 1 because those services tend to be procured from non-profit organizations or off task orders. The Agency has had limited to no Local Law 1-eligible spending in this category in recent years. As a result, rather than the citywide goal, the Agency is adopting a 5% goal in this category.

Over \$100K

We have had limited spending in this category in recent years, as much of our recent and projected spending is related to IT consulting needs, which must utilize task orders off of master contracts through DOITT. The few contracts that we have had in this size category have had limited opportunities for subcontracting, however, the agency anticipates some eligible spending in this category for FY19. The Agency is therefore adopting a 20% goal in this category.

STANDARD SERVICES:

Under \$20K

Most of the Local Law 1-eligible spending in this category has been for office products and services such as shipping, certified legal education training, interpretation and translation and maintenance services. In review of the Agency 's overall spending in this category in recent years and projected spending for FY19, rather than the citywide goal, the Agency is adopting a 15% goal in this category.

\$20K-\$100K

Most of the Local Law 1-eligible spending in this category has been for office products and services, such as shipping, certified legal education training and maintenance services. The Agency has consistently surpassed the citywide goal in this category and based on our review of projected spending for FY19, we anticipate opportunities to achieve a similar result. The Agency is adopting a 50% goal for this category rather than the citywide goal.

Over \$100K

The Local Law 1-eligible contracting in this category has typically involved moving services, building services (unrelated to construction) and payroll services. Based on projected contracting opportunities for FY19, the Agency is adopting the citywide goal of 31% in this category.

GOODS:

Under \$20K

The Local Law 1-eligible contracting in this category primarily involves office supplies and furniture. HPD has had consistent spending and met the citywide goal in the last several fiscal years. Based on projected spending for FY19, the Agency is adopting the citywide goal of 45% in this category.

\$20K-\$100K

The Local Law 1-eligible spending in this category primarily involves office supplies and furniture. The agency experienced a decrease in eligible spending and opportunities for M/WBE spending when it moved to buying much of the goods in this category from the New York State Preferred Source Contracts or DCAS requirements contracts. Based on recent and anticipated spending, the Agency is adopting a 20% goal for FY19 rather than the citywide goal.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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E. Prime Contractor Utilization Initiatives

LL1 Required Activities	
<input checked="" type="checkbox"/>	Engage in outreach activities and networking events (ie: co-sponsoring with other agencies, one-on-one meetings, etc.)
<input checked="" type="checkbox"/>	Encourage eligible firms to apply for certification.
<input checked="" type="checkbox"/>	Include language in RFPs and invitations to bid requiring potential bidders/ proposers to consult directories of certified M/WBE firms.
<input checked="" type="checkbox"/>	Encourage M/WBEs to join pre-qualified bidder's lists.
<input checked="" type="checkbox"/>	Advertise procurement opportunities in minority publications.
<input checked="" type="checkbox"/>	Conduct detailed analysis on a contract by contract basis to determine goals based on availability.
<input checked="" type="checkbox"/>	Consider reducing scope and size of contracts when planning procurements.
<input checked="" type="checkbox"/>	For construction contracts, enter into separate prime contracts for construction support services.
<input checked="" type="checkbox"/>	Attend quarterly M/WBE meetings (including two attended by the Commissioner.)
<input checked="" type="checkbox"/>	Conduct quarterly meetings with M/WBEs to discuss the agency's requirements for bids/ proposals.
<input checked="" type="checkbox"/>	Encourage prime contractors to enter into joint ventures with certified M/WBEs.
<input checked="" type="checkbox"/>	Designate dedicated staff to M/WBE program, including M/WBE Officer who is directly accountable to the agency head.
<input checked="" type="checkbox"/>	Submit to City Chief Procurement Officer all contracts valued over \$10 million to determine if they can be divided into smaller contracts (unbundling contracts.)
Performance Improvement Required Activities	
<input checked="" type="checkbox"/>	Meet with oversight agencies: Review performance (P-card, spending trends, etc.) and identify detailed lists of M/WBEs for upcoming procurements.
<input checked="" type="checkbox"/>	Review Utilization Plans: Assess anticipated procurements, M/WBE availability, and historical goals.
<input checked="" type="checkbox"/>	Review M/WBE initiatives: Past initiatives, effectivity of the actions, and new initiative to undertake.
<input checked="" type="checkbox"/>	Require contracting personnel to attend at least one of the monthly SBS/MOCS trainings.
<input checked="" type="checkbox"/>	Require post-award debriefings requested by an M/WBE.
Additional Initiatives (Select three or more)	
<input checked="" type="checkbox"/>	Participate in networking events, meetings, and workshops for certified M/WBE firms.
<input checked="" type="checkbox"/>	Post M/WBE program information on your agency's website.
<input checked="" type="checkbox"/>	Include M/WBE Utilization updates in all procurement team meetings.
<input type="checkbox"/>	Require buyers and P-card users to reach out to SBS's Account Management team for assistance identifying M/WBE firms for upcoming solicitations and other procurement opportunities.
<input checked="" type="checkbox"/>	Hold pre-bid/proposal conferences on all procurements with M/WBE participation requirements.
<input checked="" type="checkbox"/>	Establish formal means of tracking M/WBE utilization and sharing information within agency.
Compliance Administration and Monitoring	
<input checked="" type="checkbox"/>	Ensure timely prime contractor compliance with all LL1 submission requirements.
<input checked="" type="checkbox"/>	Ensure prime contractor's actual compliance with utilization plan by regularly employing monitoring techniques (at a minimum: contacting M/WBEs, auditing prime's books and records, and visiting job sites.)
<input checked="" type="checkbox"/>	Take appropriate enforcement action in cases where prime contractor is found to be out of compliance with utilization plan.
<input checked="" type="checkbox"/>	Record in PIP all actual payments to subcontractors.
<input checked="" type="checkbox"/>	As necessary, develop or modify written procedures pertaining to LL1 compliance administration, monitoring, and documentation.
Other Initiatives – List any other initiatives to be enacted by your agency	

Other:

Fiscal Year 2019 Agency M/WBE Utilization Plan



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F. Open Contracts with M/WBE Utilization Requirements

Approximate # of prime contracts <u>open</u> and subject to participation goals (under LL129 and LL1):	1
Approximate # of upcoming contracts which have potential for subcontracting (under LL1):	10

G. Agency Organization

Attach the agency organizational chart with the names, titles, and contact information of all agency personnel responsible for implementation of the agency utilization plan.

List and describe any legislation, rules, policies or programs, other than those listed in the City Charter, PPB rules, General Municipal Law 103, and the Administrative Code, that impact agency utilization or the ability to participate in this program, i.e., Federal, State, or Local MBE, WBE, or Disadvantaged Business Enterprise (DBE) program requirements, etc.

NYC Citywide Administrative Services' Office of Citywide Procurement and NYS Office of General Services' Preferred Source guidance.

H. Agency Approval

Provide authorized signatures below and submit to SBS with attached the agency organizational chart with the names, titles, and contract information of all agency personnel responsible for implementation of the agency utilization plan.

Authorized Signature (M/WBE Officer): Debra L. Halm

Title: Assistant Commissioner for Economic Opportunity Date: 6/1/18

Authorized Signature (ACCO): for Acco, DACCO for Malissa Smith, ACCO

Title: Agency Chief Contracting Officer Date: 6/1/18

G. Agency Organization

Agency M/WBE Officer
Assistant Commissioner
Economic Opportunity & Regulatory Compliance

Baaba K. Halm
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Executive Director
Regulatory Compliance

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Deputy Director
Labor Monitoring Unit

Terry Riley
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Assistant Commissioner/Agency Chief Contracting Officer

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Deputy Agency Chief Contracting Officer

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Deputy Agency Chief Contracting Officer

Gaurav Channan
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Deputy Agency Chief Contracting Officer

Penny Langsam
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Director of Contract Registration

Lisa Thorpe
212-863-5681
Thropel@hpd.nyc.gov

Human Resources Administration

Fiscal Year 2019 Agency M/WBE Utilization Plan



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A. Agency Contact Information

Agency Name Department of Social Services (HRA)

Street Address 150 Greenwich St. (4 WTC) **City** New York

State NY **Zip Code** 10007

M/WBE Officer Name Vincent Pullo

Email pullov@dss.nyc.gov

Telephone # 929-221-6347

ACCO Name Vincent Pullo

Email pullov@dss.nyc.gov

Telephone # 929-221-6347

Date 6/12/2018

B. Local Law 1 Requirements

New York City's Minority and Women-Owned Business Enterprise (M/WBE) program, established in 2005, was designed to promote government contracting opportunities for certified M/WBEs. Accordingly, the Department of Small Business Services (SBS) built a program dedicated to promote fairness and equity in accessing contracting opportunities for City procurement.

In 2013, Local Law 1 was enacted to help strengthen the M/WBE Program. Some of the changes to the program include: (i) eliminating the \$1 million cap on contracts subject M/WBE participation goals; (ii) establishing participation goals on all services contracts (construction, professional and standard services); (iii) eliminating goals for goods over \$100,000; (iv) eliminating the distinction between prime contracts and subcontracts for the purposes of goal setting, including the Target Subcontracting Percentage; and (v) establishing participation goals for all ethnic and gender categories, except Asian Americans in Professional Services. Additionally, new monitoring and accountability requirements have been established in order to ensure transparency in the law's implementation, some of which include: (i) quarterly instead of bi-annual reporting requirements; (ii) establishing an M/WBE Director who will oversee agency compliance and will convene quarterly meetings with M/WBE officers to discuss agency performance in attaining Agency Utilization goals (agency Commissioners are required to attend two such meetings); and (iii) the creation of an annual Performance Improvement Plan and a monthly turnaround document to track agency progress.

Agencies with total procurements in excess of \$5 million in the previous full fiscal year (excluding contracts that are exempt from the M/WBE participation requirements as required by local law) are required to prepare annual M/WBE Utilization Plans. The following Utilization Plan template is designed to be a planning tool for each agency. Agencies are required to establish M/WBE participation goals for Fiscal Year 2019 based on the size and nature of the anticipated procurements that will be subject to the M/WBE participation requirements as well as the availability of certified M/WBEs with the capacity to perform the specific types and scale of work anticipated in such procurements. Agencies are further required to set specific M/WBE participation goals for procurements in all industries valued: at or below \$20,000 (Goods and Services); at or below \$35,000 (Construction); at or below \$100,000 and over \$100,000 (except for Goods). When establishing goals for procurements valued at or below \$100,000, agencies must consider the potential for such purchases to provide opportunities for M/WBEs to develop greater capacity, thereby increasing competition for city procurement.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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C. FY 19 Utilization Goals as established by LL1 of 2013

		FY 19 Utilization Goals								
		Less than or equal to \$35,000			\$35,001 to \$100,000			Greater than \$100,000		
		Citywide	Agency		Citywide	Agency		Citywide	Agency	
			FY18	FY19		FY18	FY19		FY18	FY19
Construction	Total Construction	38.00%	12 %	12.00	38.00%	15 %	15.00	38.00%	32 %	32.00
	Black	8.00%	3 %	3.00	8.00%	7 %	7.00	8.00%	10 %	10.00
	Hispanic	4.00%	1 %	1.00	4.00%	4 %	4.00	4.00%	2 %	2.00
	Asian	8.00%	3 %	3.00	8.00%	2 %	2.00	8.00%	5 %	5.00
	Women	18.00%	5 %	5.00	18.00%	2 %	2.00	18.00%	1 %	1.00

		FY 19 Utilization Goals								
		Less than or equal to \$20,000			\$20,001 to \$100,000			Greater than \$100,000		
		Citywide	Agency		Citywide	Agency		Citywide	Agency	
			FY18	FY19		FY18	FY19		FY18	FY19
Professional Services	Total Professional Services	37.00%	30 %	30.00	37.00%	28 %	28.00	37.00%	22 %	22.00
	% Black	12.00%	12 %	12.00	12.00%	12 %	12.00	12.00%	10 %	10.00
	Hispanic	8.00%	8 %	8.00	8.00%	8 %	8.00	8.00%	5 %	5.00
	Asian	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal
	Women	17.00%	15 %	15.00	17.00%	8 %	8.00	17.00%	7 %	7.00

Standard Services	Total Standard Services	31.00%	53 %	53.00	31.00%	37 %	40.00	31.00%	32 %	35.00
	Black	12.00%	21 %	21.00	12.00%	16 %	18.00	12.00%	15 %	20.00
	Hispanic	6.00%	21 %	21.00	6.00%	16 %	17.00	6.00%	6 %	7.00
	Asian	3.00%	4 %	4.00	3.00%	2 %	2.00	3.00%	3 %	4.00
	Women	10.00%	7 %	7.00	10.00%	3 %	3.00	10.00%	3 %	4.00

Goods (Under 100K)	Total Goods	45.00%	60 %	60.00	45.00%	50 %	50.00	No Goal	No Goal	No Goal
	Black	7.00%	20 %	20.00	7.00%	12 %	12.00	No Goal	No Goal	No Goal
	Hispanic	5.00%	5 %	5.00	5.00%	5 %	5.00	No Goal	No Goal	No Goal
	Asian	8.00%	10 %	10.00	8.00%	10 %	10.00	No Goal	No Goal	No Goal
	Women	25.00%	25 %	25.00	25.00%	25 %	25.00	No Goal	No Goal	No Goal

* Please provide an explanation for your agency goals in section D.

D. Justification Page: Please explain how you arrived at your agency goals for all industries and levels of procurement.

CONSTRUCTION:

Under \$35K

Historically, HRA has not procured many construction contracts. With limited construction related contracts in the micro purchase category, HRA anticipates procuring fewer small construction contracts for FY19. If any micro purchase procurements arise for construction, HRA will engage an M/WBE vendor through our internal M/WBE data and Small Business Services Online Directory for M/WBE vendors.

\$35K-\$100K

Typically, HRA does not procure many construction contracts under \$100k. However, due to the integration of the Department of Homeless Services and Human Resources Administration under the umbrella of the Department of Social Services, (DSS/HRA/DHS), for FY19 HRA anticipates procuring fewer small purchases in this category since most of these contracts fall under DHS. However, we anticipate a small percentage in utilization goals for this category.

Over \$100K

Historically, HRA has limited construction related solicitations in this category. However, for FY19 we anticipate on soliciting some construction services in this category such as Roof Replacement, Stair Modifications and Fire Alarm Upgrades at HRA facilities.

PROFESSIONAL SERVICES:

Under \$20K

HRA anticipates a modest amount of professional service contracts within this range. However, these contracts all fall under consulting services which are under intergovernmental contracts. Therefore, these goals for this category are set accordingly.

\$20K-\$100K

Many of the vendors contracted with HRA in this category are not-for-profit entities. Therefore, HRA anticipates that goals on all procurement opportunities for professional services such as Training Consultant and Curriculum Developer will be based on goals pertaining to M/WBE availability.

Over \$100K

HRA anticipates a modest amount of contracts subject to Local Law 1 within this range and has set the utilization goals accordingly. Most of our professional services fall under the intergovernmental category which is counted in One NYC. Due to the merging of DHS and HRA IT services under the umbrella of the Department of Social Services, (DSS), all IT contracts will be captured under HRA contracts.

STANDARD SERVICES:

Under \$20K

HRA anticipates an influx amount of standard services within this range and historically has maintained an excellent track record in utilizing M/WBE vendors via Micro purchase, Small purchase and other competitively procured contracts. HRA anticipates awarding a significant number of contracts to M/WBE vendors for services such as Painting, and IT related services in FY19.

\$20K-\$100K

HRA has maintained an excellent track record for utilizing M/WBE vendors for this range of contracts. Therefore, HRA anticipates continued success in awarding a significant number of contracts to M/WBE vendors for services such as installation and re-installation of Security Devices, Burglar Alarm Monitoring and Right to Know contracts.

Over \$100K

Traditionally, HRA has a high utilization with M/WBE vendors as prime contractors in this area of services. However, not many M/WBEs have been low bidders. Due to the nature of these contracts, there are also few sub-contracting opportunities. HRA anticipates procuring services such as On-Call Maintenance, Repair & Supply of Refrigerator Systems (Citywide), Energy Conservation work, and Food Warehousing and Delivery Services in FY19.

GOODS:

Under \$20K

HRA has maintained an excellent track record in utilizing M/WBE vendors in micro-purchase and competitively procured contracts, specifically goods. HRA anticipates procuring goods such as Client Moving, Advertising, and Office Supplies in this category for FY19. Therefore, utilization goals are based on previous years as well as anticipated procurement for FY19.

\$20K-\$100K

HRA anticipates a modest amount of contracts subject to Local Law 1 within this range and has set the utilization goals accordingly. Most of the services provided under this category falls under intergovernmental, OGS, GSA and Sole source contracts. Therefore, HRA anticipates procuring goods such as Toners, Office Furniture and Interior/Exterior Signage in this spending category within FY19.

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E. Prime Contractor Utilization Initiatives

LL1 Required Activities	
<input checked="" type="checkbox"/>	Engage in outreach activities and networking events (ie: co-sponsoring with other agencies, one-on-one meetings, etc.)
<input checked="" type="checkbox"/>	Encourage eligible firms to apply for certification.
<input checked="" type="checkbox"/>	Include language in RFPs and invitations to bid requiring potential bidders/ proposers to consult directories of certified M/WBE firms.
<input checked="" type="checkbox"/>	Encourage M/WBEs to join pre-qualified bidder's lists.
<input checked="" type="checkbox"/>	Advertise procurement opportunities in minority publications.
<input checked="" type="checkbox"/>	Conduct detailed analysis on a contract by contract basis to determine goals based on availability.
<input checked="" type="checkbox"/>	Consider reducing scope and size of contracts when planning procurements.
<input checked="" type="checkbox"/>	For construction contracts, enter into separate prime contracts for construction support services.
<input checked="" type="checkbox"/>	Attend quarterly M/WBE meetings (including two attended by the Commissioner.)
<input checked="" type="checkbox"/>	Conduct quarterly meetings with M/WBEs to discuss the agency's requirements for bids/ proposals.
<input checked="" type="checkbox"/>	Encourage prime contractors to enter into joint ventures with certified M/WBEs.
<input checked="" type="checkbox"/>	Designate dedicated staff to M/WBE program, including M/WBE Officer who is directly accountable to the agency head.
<input checked="" type="checkbox"/>	Submit to City Chief Procurement Officer all contracts valued over \$10 million to determine if they can be divided into smaller contracts (unbundling contracts.)
Performance Improvement Required Activities	
<input checked="" type="checkbox"/>	Meet with oversight agencies: Review performance (P-card, spending trends, etc.) and identify detailed lists of M/WBEs for upcoming procurements.
<input checked="" type="checkbox"/>	Review Utilization Plans: Assess anticipated procurements, M/WBE availability, and historical goals.
<input checked="" type="checkbox"/>	Review M/WBE initiatives: Past initiatives, effectivity of the actions, and new initiative to undertake.
<input checked="" type="checkbox"/>	Require contracting personnel to attend at least one of the monthly SBS/MOCS trainings.
<input checked="" type="checkbox"/>	Require post-award debriefings requested by an M/WBE.
Additional Initiatives (Select three or more)	
<input checked="" type="checkbox"/>	Participate in networking events, meetings, and workshops for certified M/WBE firms.
<input checked="" type="checkbox"/>	Post M/WBE program information on your agency's website.
<input checked="" type="checkbox"/>	Include M/WBE Utilization updates in all procurement team meetings.
<input checked="" type="checkbox"/>	Require buyers and P-card users to reach out to SBS's Account Management team for assistance identifying M/WBE firms for upcoming solicitations and other procurement opportunities.
<input checked="" type="checkbox"/>	Hold pre-bid/proposal conferences on all procurements with M/WBE participation requirements.
<input checked="" type="checkbox"/>	Establish formal means of tracking M/WBE utilization and sharing information within agency.
Compliance Administration and Monitoring	
<input checked="" type="checkbox"/>	Ensure timely prime contractor compliance with all LL1 submission requirements.
<input checked="" type="checkbox"/>	Ensure prime contractor's actual compliance with utilization plan by regularly employing monitoring techniques (at a minimum: contacting M/WBEs, auditing prime's books and records, and visiting job sites.)
<input checked="" type="checkbox"/>	Take appropriate enforcement action in cases where prime contractor is found to be out of compliance with utilization plan.
<input checked="" type="checkbox"/>	Record in PIP all actual payments to subcontractors.
<input checked="" type="checkbox"/>	As necessary, develop or modify written procedures pertaining to LL1 compliance administration, monitoring, and documentation.
Other Initiatives – List any other initiatives to be enacted by your agency	

- Other: 1) Conduct introductory meetings with M/WBE vendors with program area personnel.
2) Provide internal M/WBE training for procurement and program area personnel.
3) Follow-up with non-responsive M/WBE vendors and conduct workshops to increase participation.

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F. Open Contracts with M/WBE Utilization Requirements

Approximate # of prime contracts <u>open</u> and subject to participation goals (under LL129 and LL1):	11
Approximate # of upcoming contracts which have potential for subcontracting (under LL1):	9

G. Agency Organization

Attach the agency organizational chart with the names, titles, and contact information of all agency personnel responsible for implementation of the agency utilization plan.

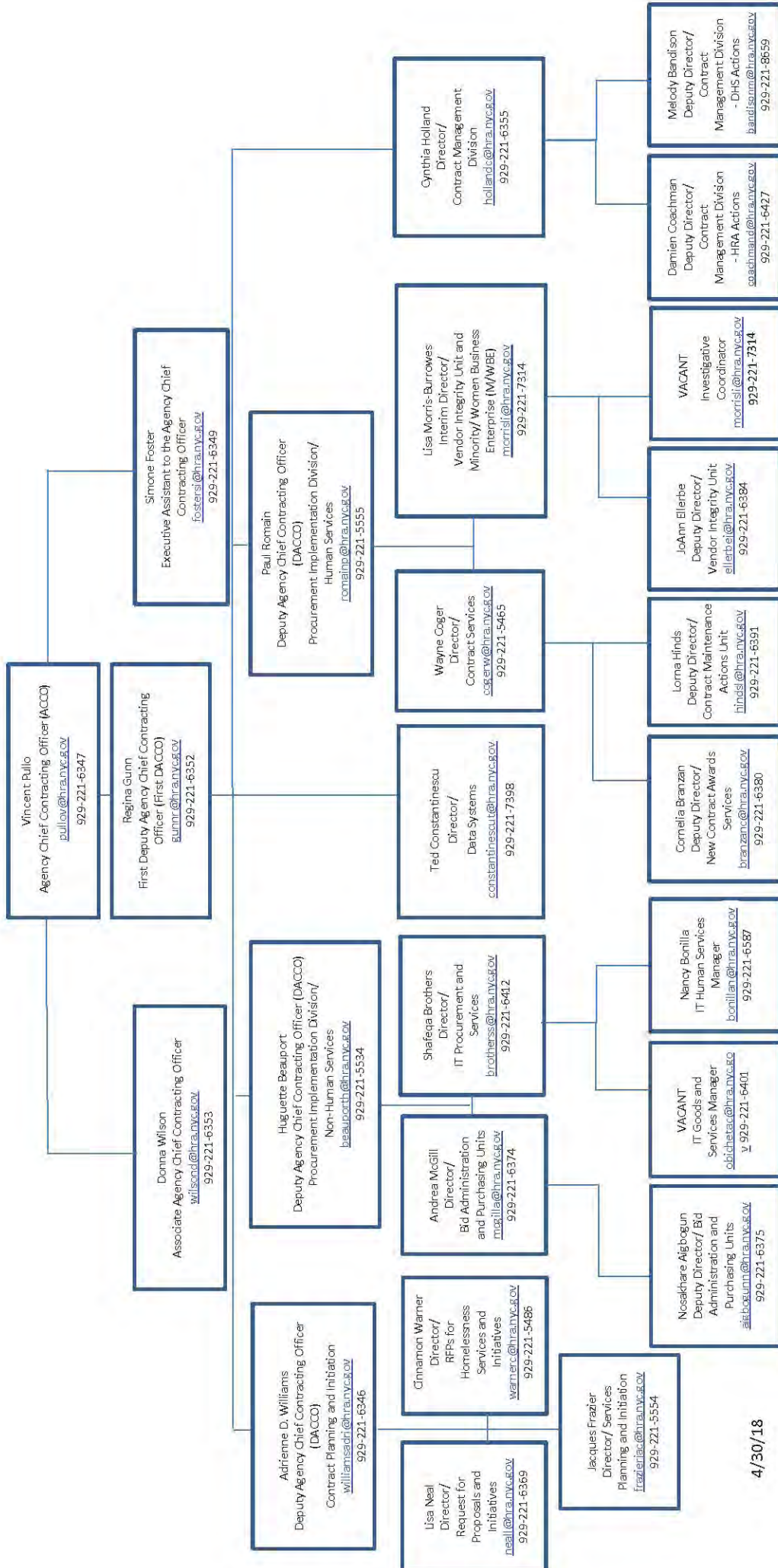
List and describe any legislation, rules, policies or programs, other than those listed in the City Charter, PPB rules, General Municipal Law 103, and the Administrative Code, that impact agency utilization or the ability to participate in this program, i.e., Federal, State, or Local MBE, WBE, or Disadvantaged Business Enterprise (DBE) program requirements, etc.

H. Agency Approval

Provide authorized signatures below and submit to SBS with attached the agency organizational chart with the names, titles, and contract information of all agency personnel responsible for implementation of the agency utilization plan.

Authorized Signature (M/WBE Officer): [Signature]
Title: [Signature] Date: 6/12/18
Authorized Signature (ACCO): [Signature]
Title: [Signature] Date: 6/12/18

**DEPARTMENT OF SOCIAL SERVICES
OFFICE OF CONTRACTS
150 GREENWICH STREET, 37TH FLOOR
NEW YORK, NY 10007**



4/30/18

DEPARTMENT OF SOCIAL SERVICES
OFFICE OF CONTRACTS
150 GREENWICH STREET, 37TH FLOOR
NEW YORK, NY 10007

Agency Chief Contracting Officer (ACCO)
Minority/ Women Business Enterprise (M/WBE) Officer

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First Deputy Agency Chief Contracting Officer (First DACCO)

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Associate Agency Chief Contracting Officer

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Executive Assistant to the Agency Chief Contracting Officer

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Deputy Agency Chief Contracting Officer (DACCO)
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Deputy Agency Chief Contracting Officer (DACCO)
Procurement Implementation Division/
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Director/ Request for Proposals and Initiatives

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Director/ RFPs for Homelessness Services and Initiatives	Cinnamon Warner 929-221-5486 warnerc@dss.nyc.gov
Director/ Services Planning and Initiation	Jacques Frazier 929-221-5554 frazierjac@dss.nyc.gov
Director/ Bid Administration and Purchasing Units	Andrea McGill 929-221-6374 mcgilla@dss.nyc.gov
Director/ IT Procurement and Services	Shafeqa Brothers 929-221-6412 brotherss@dss.nyc.gov
Director/ Data Systems	Ted Constantinescu 929-221-7398 constantinescut@dss.nyc.gov
Director/ Contract Services	Wayne Coger 929-221-5465 cogerw@dss.nyc.gov
Director/ Vendor Integrity Unit and Deputy Minority/ Women Business Enterprise (M/WBE) Officer	Lisa Morris-Burrowes 929-221-7314 morrisli@dss.nyc.gov
Deputy Director/ Bid Administration and Purchasing Units	VACANT 929-221-6375
Deputy Director/ IT Goods and Services	VACANT 929-221-6401
Deputy Director/ IT Human Services	Nancy Bonilla 929-221-6587 bonillan@dss.nyc.gov
Deputy Director/ New Contract Awards Services	Cornelia Branzan 929-221-6380 branzanc@dss.nyc.gov

Deputy Director/ Contract Maintenance Actions Unit

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Associate Minority/ Women Business Enterprise Officer

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Deputy Director/ Vendor Integrity Unit

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Investigative Coordinator

Vitali Bunos
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Deputy Director/ Contract Management Division

Damien Coachman
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coachmand@dss.nyc.gov

Law Department

Fiscal Year 2019 Agency M/WBE Utilization Plan



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A. Agency Contact Information

Agency Name Law Department (Law)

Street Address 100 Church Street **City** New York **State** NY **Zip Code** 10007

M/WBE Officer Name Muriel Goode-Trufant **Email** mgoodetr@law.nyc.gov **Telephone #** 212 356-2200

ACCO Name Anita Fajans, DACCO **Email** afajans@law.nyc.gov **Telephone #** 212 356-1121

Date December 4, 2018

B. Local Law 1 Requirements

New York City's Minority and Women-Owned Business Enterprise (M/WBE) program, established in 2005, was designed to promote government contracting opportunities for certified M/WBEs. Accordingly, the Department of Small Business Services (SBS) built a program dedicated to promote fairness and equity in accessing contracting opportunities for City procurement.

In 2013, Local Law 1 was enacted to help strengthen the M/WBE Program. Some of the changes to the program include: (i) eliminating the \$1 million cap on contracts subject M/WBE participation goals; (ii) establishing participation goals on all services contracts (construction, professional and standard services); (iii) eliminating goals for goods over \$100,000; (iv) eliminating the distinction between prime contracts and subcontracts for the purposes of goal setting, including the Target Subcontracting Percentage; and (v) establishing participation goals for all ethnic and gender categories, except Asian Americans in Professional Services. Additionally, new monitoring and accountability requirements have been established in order to ensure transparency in the law's implementation, some of which include: (i) quarterly instead of bi-annual reporting requirements; (ii) establishing an M/WBE Director who will oversee agency compliance and will convene quarterly meetings with M/WBE officers to discuss agency performance in attaining Agency Utilization goals (agency Commissioners are required to attend two such meetings); and (iii) the creation of an annual Performance Improvement Plan and a monthly turnaround document to track agency progress.

Agencies with total procurements in excess of \$5 million in the previous full fiscal year (excluding contracts that are exempt from the M/WBE participation requirements as required by local law) are required to prepare annual M/WBE Utilization Plans. The following Utilization Plan template is designed to be a planning tool for each agency. Agencies are required to establish M/WBE participation goals for Fiscal Year 2019 based on the size and nature of the anticipated procurements that will be subject to the M/WBE participation requirements as well as the availability of certified M/WBEs with the capacity to perform the specific types and scale of work anticipated in such procurements. Agencies are further required to set specific M/WBE participation goals for procurements in all industries valued: at or below \$20,000 (Goods and Services); at or below \$35,000 (Construction); at or below \$100,000 and over \$100,000 (except for Goods). When establishing goals for procurements valued at or below \$100,000, agencies must consider the potential for such purchases to provide opportunities for M/WBEs to develop greater capacity, thereby increasing competition for city procurement.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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C. FY 19 Utilization Goals as established by LL1 of 2013

		FY 19 Utilization Goals								
		Less than or equal to \$35,000			\$35,001 to \$100,000			Greater than \$100,000		
		Citywide	Agency		Citywide	Agency		Citywide	Agency	
			FY18	FY19		FY18	FY19		FY18	FY19
Construction	Total Construction	38.00%	0 %	0.00%	38.00%	0 %	0.00%	38.00%	0 %	0.00%
	Black	8.00%	0 %	0.00%	8.00%	0 %	0.00%	8.00%	0 %	0.00%
	Hispanic	4.00%	0 %	0.00%	4.00%	0 %	0.00%	4.00%	0 %	0.00%
	Asian	8.00%	0 %	0.00%	8.00%	0 %	0.00%	8.00%	0 %	0.00%
	Women	18.00%	0 %	0.00%	18.00%	0 %	0.00%	18.00%	0 %	0.00%

		FY 19 Utilization Goals								
		Less than or equal to \$20,000			\$20,001 to \$100,000			Greater than \$100,000		
		Citywide	Agency		Citywide	Agency		Citywide	Agency	
			FY18	FY19		FY18	FY19		FY18	FY19
Professional Services	Total Professional Services	37.00%	14 %	14.00%	37.00%	14 %	14.00%	37.00%	14 %	14.00%
	% Black	12.00%	3 %	3.00%	12.00%	3 %	3.00%	12.00%	3 %	3.00%
	Hispanic	8.00%	2 %	2.00%	8.00%	2 %	2.00%	8.00%	2 %	2.00%
	Asian	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal
	Women	17.00%	9 %	9.00%	17.00%	9 %	9.00%	17.00%	9 %	9.00%

Standard Services	Total Standard Services	31.00%	31 %	31.00%	31.00%	31 %	31.00%	31.00%	31 %	31.00%
	Black	12.00%	12 %	12.00%	12.00%	12 %	12.00%	12.00%	12 %	12.00%
	Hispanic	6.00%	6 %	6.00%	6.00%	6 %	6.00%	6.00%	6 %	6.00%
	Asian	3.00%	3 %	3.00%	3.00%	3 %	3.00%	3.00%	3 %	3.00%
	Women	10.00%	10 %	10.00%	10.00%	10 %	10.00%	10.00%	10 %	10.00%

Goods (Under 100K)	Total Goods	45.00%	45 %	45.00%	45.00%	45 %	45.00%	No Goal	No Goal	No Goal
	Black	7.00%	7 %	7.00%	7.00%	7 %	7.00%	No Goal	No Goal	No Goal
	Hispanic	5.00%	5 %	5.00%	5.00%	5 %	5.00%	No Goal	No Goal	No Goal
	Asian	8.00%	8 %	8.00%	8.00%	8 %	8.00%	No Goal	No Goal	No Goal
	Women	25.00%	25 %	25.00%	25.00%	25 %	25.00%	No Goal	No Goal	No Goal

* Please provide an explanation for your agency goals in section D.

D. Justification Page: Please explain how you arrived at your agency goals for all industries and levels of procurement.

CONSTRUCTION:

Under \$35K

The Law Department does not expect to award construction contracts in FY19.

\$35K-\$100K

The Law Department does not expect to award construction contracts in FY19.

Over \$100K

The Law Department does not expect to award construction contracts in FY19.

PROFESSIONAL SERVICES:

Under \$20K

See below.

\$20K-\$100K

See below.

Over \$100K

We anticipate that we can meet about 1/4 of the Citywide goals. The professional services contracts we award typically do not involve subcontracting or joint ventures. Generally, the only way for us to make progress toward a goal is to award a contract to an MWBE. Most of our professional contract awards are for engagements as expert witnesses in litigation; these are experts (typically having advanced degrees such as MDs or Ph.D.s) in professional fields where no certified professionals are listed in the City's MWBE Directory, and none with expert witness experience. It should also be noted that some of our budget expenses are to reimburse contractors selected by pro bono counsel or by another party in litigation involving the City, where there is little Law Department or no control over the selection.

STANDARD SERVICES:

Under \$20K

See below.

\$20K-\$100K

See below.

Over \$100K

We believe we may be able to achieve the Citywide goals. We have had success in the past awarding contracts for services such as photocopying, process serving and court reporting to certified MWBEs.

GOODS:

Under \$20K

See below.

\$20K-\$100K

Based on our past record of awarding goods contracts to certified MWBEs, we believe we may be able to achieve the Citywide goals.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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E. Prime Contractor Utilization Initiatives

LL1 Required Activities	
<input checked="" type="checkbox"/>	Engage in outreach activities and networking events (ie: co-sponsoring with other agencies, one-on-one meetings, etc.)
<input checked="" type="checkbox"/>	Encourage eligible firms to apply for certification.
<input checked="" type="checkbox"/>	Include language in RFPs and invitations to bid requiring potential bidders/ proposers to consult directories of certified M/WBE firms.
<input checked="" type="checkbox"/>	Encourage M/WBEs to join pre-qualified bidder's lists.
<input checked="" type="checkbox"/>	Advertise procurement opportunities in minority publications.
<input checked="" type="checkbox"/>	Conduct detailed analysis on a contract by contract basis to determine goals based on availability.
<input checked="" type="checkbox"/>	Consider reducing scope and size of contracts when planning procurements.
<input checked="" type="checkbox"/>	For construction contracts, enter into separate prime contracts for construction support services.
<input checked="" type="checkbox"/>	Attend quarterly M/WBE meetings (including two attended by the Commissioner.)
<input checked="" type="checkbox"/>	Conduct quarterly meetings with M/WBEs to discuss the agency's requirements for bids/ proposals.
<input checked="" type="checkbox"/>	Encourage prime contractors to enter into joint ventures with certified M/WBEs.
<input checked="" type="checkbox"/>	Designate dedicated staff to M/WBE program, including M/WBE Officer who is directly accountable to the agency head.
<input checked="" type="checkbox"/>	Submit to City Chief Procurement Officer all contracts valued over \$10 million to determine if they can be divided into smaller contracts (unbundling contracts.)
Performance Improvement Required Activities	
<input checked="" type="checkbox"/>	Meet with oversight agencies: Review performance (P-card, spending trends, etc.) and identify detailed lists of M/WBEs for upcoming procurements.
<input checked="" type="checkbox"/>	Review Utilization Plans: Assess anticipated procurements, M/WBE availability, and historical goals.
<input checked="" type="checkbox"/>	Review M/WBE initiatives: Past initiatives, effectivity of the actions, and new initiative to undertake.
<input checked="" type="checkbox"/>	Require contracting personnel to attend at least one of the monthly SBS/MOCS trainings.
<input checked="" type="checkbox"/>	Require post-award debriefings requested by an M/WBE.
Additional Initiatives (Select three or more)	
<input checked="" type="checkbox"/>	Participate in networking events, meetings, and workshops for certified M/WBE firms.
<input type="checkbox"/>	Post M/WBE program information on your agency's website.
<input checked="" type="checkbox"/>	Include M/WBE Utilization updates in all procurement team meetings.
<input type="checkbox"/>	Require buyers and P-card users to reach out to SBS's Account Management team for assistance identifying M/WBE firms for upcoming solicitations and other procurement opportunities.
<input checked="" type="checkbox"/>	Hold pre-bid/proposal conferences on all procurements with M/WBE participation requirements.
<input type="checkbox"/>	Establish formal means of tracking M/WBE utilization and sharing information within agency.
Compliance Administration and Monitoring	
<input checked="" type="checkbox"/>	Ensure timely prime contractor compliance with all LL1 submission requirements.
<input checked="" type="checkbox"/>	Ensure prime contractor's actual compliance with utilization plan by regularly employing monitoring techniques (at a minimum: contacting M/WBEs, auditing prime's books and records, and visiting job sites.)
<input type="checkbox"/>	Take appropriate enforcement action in cases where prime contractor is found to be out of compliance with utilization plan.
<input type="checkbox"/>	Record in PIP all actual payments to subcontractors.
<input type="checkbox"/>	As necessary, develop or modify written procedures pertaining to LL1 compliance administration, monitoring, and documentation.
Other Initiatives – List any other initiatives to be enacted by your agency	
Other:	Before exercising their discretion, Law department staff who have authority to make micropurchase awards and other discretionary awards (i.e., negotiated acquisition of legal services and consulting services in support of litigation) must first conduct a search of the City's MWBE Directory to see if there are any certified MWBEs listed in the Directory who may be qualified to be considered for the award. If there are, staff members must consider such MWBEs along with any other vendors they may be aware of and, if appropriate, award to the certified MWBE. If the certified MWBE is not selected, then before the selection will be approved, the staff member must provide an explanation for why the MWBE was not selected. In addition, where legal services are being procured, the staff member must conduct a search of the website of the National Association of Minority and Woman-Owned Law Firms ("NAMWOLF") to see if there are any NAMWOLF members who may be qualified to be considered for award.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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F. Open Contracts with M/WBE Utilization Requirements

Approximate # of prime contracts <u>open</u> and subject to participation goals (under LL129 and LL1):	None
Approximate # of upcoming contracts which have potential for subcontracting (under LL1):	NONE

G. Agency Organization

Attach the agency organizational chart with the names, titles, and contact information of all agency personnel responsible for implementation of the agency utilization plan.

List and describe any legislation, rules, policies or programs, other than those listed in the City Charter, PPB rules, General Municipal Law 103, and the Administrative Code, that impact agency utilization or the ability to participate in this program, i.e., Federal, State, or Local MBE, WBE, or Disadvantaged Business Enterprise (DBE) program requirements, etc.

In keeping with ethical, court, and professional responsibility rules, the Law Department does not contract with outside law firms or experts whose representation of other clients would conflict with representing the interests of the City.

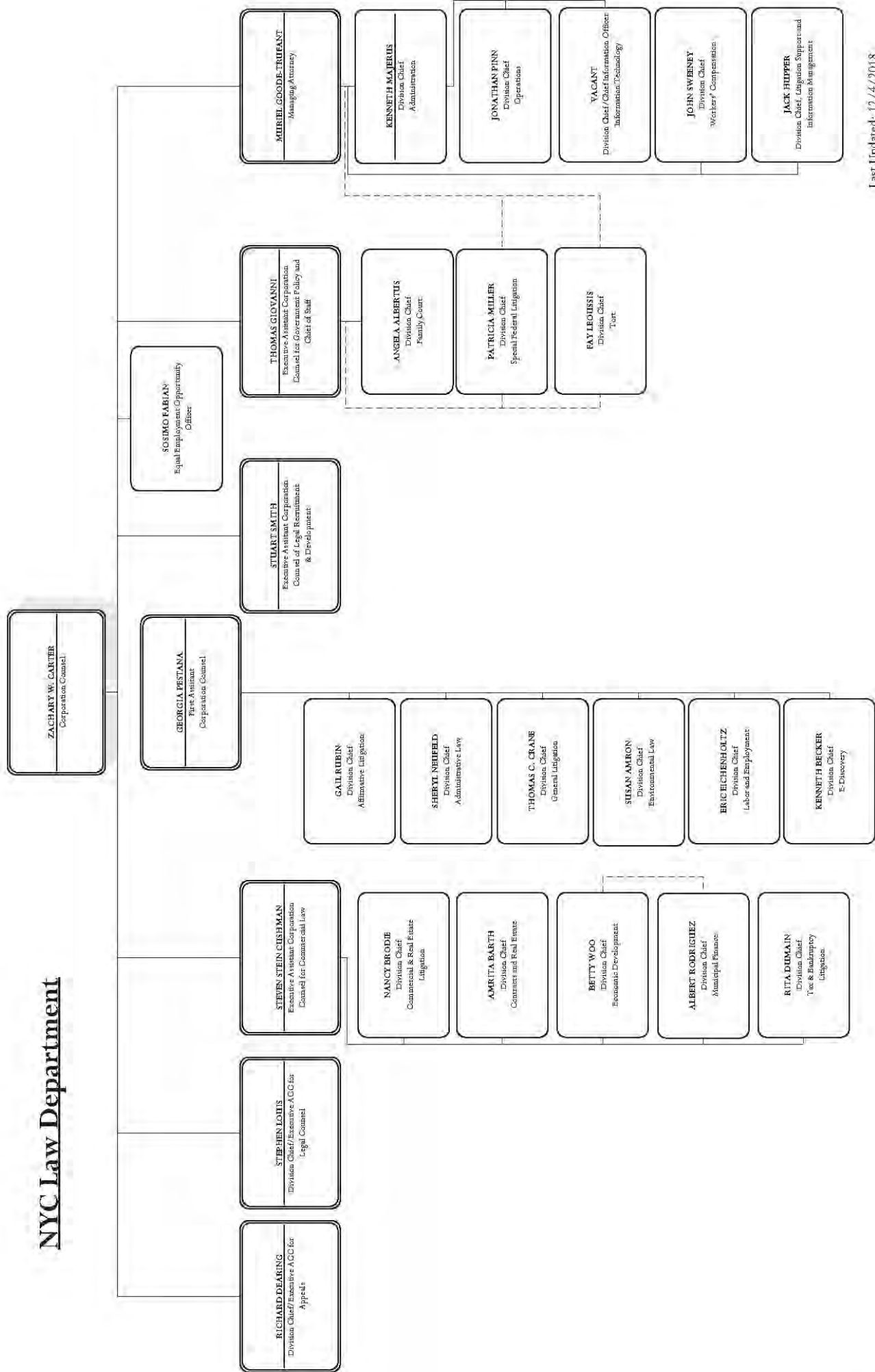
H. Agency Approval

Provide authorized signatures below and submit to SBS with attached the agency organizational chart with the names, titles, and contract information of all agency personnel responsible for implementation of the agency utilization plan.

Authorized Signature (M/WBE Officer): 
Title: MWBE Officer Date: 12/04/2018

Authorized Signature (ACCO): 
Title: DACCO Date: 12/04/2018

NYC Law Department



Last Updated: 12/4/2018

**NYC LAW DEPARTMENT
100 CHURCH STREET
NEW YORK, NY 10007**

Contact Information:

Muriel Goode-Trufant

M/WBE Officer

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212 356-2202

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M/WBE Liaison

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ACCO

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212 356-1120

Anita Fajans

Deputy ACCO

afajans@law.nyc.gov

212 356-1121

New York City Emergency Management

Fiscal Year 2019 Agency M/WBE Utilization Plan



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A. Agency Contact Information

Agency Name New York City Emergency Management (NYCEM)
Street Address 165 Cadman Plaza E **City** Brooklyn **State** NY **Zip Code** 11236
M/WBE Officer Name Stacy Rosenfeld **Email** srosenfeld@oem.nyc.gov **Telephone #** 718-422-3048
ACCO Name Stacy Rosenfeld **Email** srosenfeld@oem.nyc.gov **Telephone #** 718-422-3048
Date 12/05/2018 rev.

B. Local Law 1 Requirements

New York City's Minority and Women-Owned Business Enterprise (M/WBE) program, established in 2005, was designed to promote government contracting opportunities for certified M/WBEs. Accordingly, the Department of Small Business Services (SBS) built a program dedicated to promote fairness and equity in accessing contracting opportunities for City procurement.

In 2013, Local Law 1 was enacted to help strengthen the M/WBE Program. Some of the changes to the program include: (i) eliminating the \$1 million cap on contracts subject M/WBE participation goals; (ii) establishing participation goals on all services contracts (construction, professional and standard services); (iii) eliminating goals for goods over \$100,000; (iv) eliminating the distinction between prime contracts and subcontracts for the purposes of goal setting, including the Target Subcontracting Percentage; and (v) establishing participation goals for all ethnic and gender categories, except Asian Americans in Professional Services. Additionally, new monitoring and accountability requirements have been established in order to ensure transparency in the law's implementation, some of which include: (i) quarterly instead of bi-annual reporting requirements; (ii) establishing an M/WBE Director who will oversee agency compliance and will convene quarterly meetings with M/WBE officers to discuss agency performance in attaining Agency Utilization goals (agency Commissioners are required to attend two such meetings); and (iii) the creation of an annual Performance Improvement Plan and a monthly turnaround document to track agency progress.

Agencies with total procurements in excess of \$5 million in the previous full fiscal year (excluding contracts that are exempt from the M/WBE participation requirements as required by local law) are required to prepare annual M/WBE Utilization Plans. The following Utilization Plan template is designed to be a planning tool for each agency. Agencies are required to establish M/WBE participation goals for Fiscal Year 2019 based on the size and nature of the anticipated procurements that will be subject to the M/WBE participation requirements as well as the availability of certified M/WBEs with the capacity to perform the specific types and scale of work anticipated in such procurements. Agencies are further required to set specific M/WBE participation goals for procurements in all industries valued: at or below \$20,000 (Goods and Services); at or below \$35,000 (Construction); at or below \$100,000 and over \$100,000 (except for Goods). When establishing goals for procurements valued at or below \$100,000, agencies must consider the potential for such purchases to provide opportunities for M/WBEs to develop greater capacity, thereby increasing competition for city procurement.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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C. FY 19 Utilization Goals as established by LL1 of 2013

		FY 19 Utilization Goals											
		Less than or equal to \$35,000				\$35,001 to \$100,000				Greater than \$100,000			
		Citywide	Agency		Citywide	Agency		Citywide	Agency				
			FY18	FY19		FY18	FY19		FY18	FY19			
Construction	Total Construction	38.00%	0	%	0	38.00%	0	%	2	38.00%	0	%	0
	Black	8.00%	0	%	0	8.00%	0	%	2	8.00%	0	%	0
	Hispanic	4.00%	0	%	0	4.00%	0	%	0	4.00%	0	%	0
	Asian	8.00%	0	%	0	8.00%	0	%	0	8.00%	0	%	0
	Women	18.00%	0	%	0	18.00%	0	%	0	18.00%	0	%	0

		FY 19 Utilization Goals											
		Less than or equal to \$20,000				\$20,001 to \$100,000				Greater than \$100,000			
		Citywide	Agency		Citywide	Agency		Citywide	Agency				
			FY18	FY19		FY18	FY19		FY18	FY19			
Professional Services	Total Professional Services	37.00%	0	%	0	37.00%	0	%	0	37.00%	0	%	0
	% Black	12.00%	0	%	0	12.00%	0	%	0	12.00%	0	%	0
	Hispanic	8.00%	0	%	0	8.00%	0	%	0	8.00%	0	%	0
	Asian	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal
	Women	17.00%	0	%	0	17.00%	0	%	0	17.00%	0	%	0

Standard Services	Total Standard Services	31.00%	8	%	10	31.00%	8	%	8	31.00%	2	%	4
	Black	12.00%	4	%	4	12.00%	2	%	3	12.00%	1	%	3
	Hispanic	6.00%	0	%	1	6.00%	1	%	1	6.00%	0	%	0
	Asian	3.00%	0	%	1	3.00%	1	%	1	3.00%	0	%	0
	Women	10.00%	4	%	4	10.00%	2	%	3	10.00%	1	%	1

Goods (Under 100K)	Total Goods	45.00%	20	%	27	45.00%	5	%	6	No Goal	No Goal	No Goal
	Black	7.00%	9	%	7	7.00%	2	%	2	No Goal	No Goal	No Goal
	Hispanic	5.00%	2	%	3	5.00%	1	%	1	No Goal	No Goal	No Goal
	Asian	8.00%	1	%	2	8.00%	1	%	1	No Goal	No Goal	No Goal
	Women	25.00%	8	%	15	25.00%	1	%	2	No Goal	No Goal	No Goal

* Please provide an explanation for your agency goals in section D.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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D. Justification Page: Please explain how you arrived at your agency goals for all industries and levels of procurement.

CONSTRUCTION:

Under \$35K

NYCEM intends to meet 2% MWBE goal. The availability of MWBE's has been assessed for upcoming/potential opportunities in this area.

\$35K-\$100K

NYCEM construction goal \$35- \$100K is 0%. NYCEM does not plan to procure or do not have any up coming contracts projected for FY18 that are construction related.

Over \$100K

NYCEM construction goal over \$100,000 is 0%. NYCEM does not plan to procure or do not have any up coming contracts projected for FY18 that are construction related.

PROFESSIONAL SERVICES:

Under \$20K

NYCEM professional services under \$20,000 is 0%. Based on NYCEM's FY18 purchases, the agency's utilization by value was 0%. The agency will continue to evaluate the upcoming procurements and intends to utilize SBS's MWBE request form to gauge interest among the MWBE vendors

\$20K-\$100K

NYCEM professional services between \$20,000- \$100,000 is 0%. Based on NYCEM's FY18 purchases, the agency's utilization by value was 0%. The agency will evaluate the upcoming procurements and intend to utilize SBS's MWBE request to gauge interest among the MWBE vendors. NYCEMD does not intend to increase contracts in this area.

Over \$100K

Based on NYCEM's FY18 purchases, the agency's utilization value was 0%. NYCEM will continue to evaluate the upcoming procurement and intend to utilize SBS's MWBE request form to gauge interest among the MWBE vendors. The availability of MWBE's has been assessed for upcoming/potential opportunities in this area. NYCEMD does not intend to increase contracts in this area.

STANDARD SERVICES:

Under \$20K

Based on FY18 purchases, NYCEM has increase and set a 10% utilization goal for standard services purchases under \$20,000. The availability of MWBE's has been assessed for upcoming/potential opportunities in this area. NYCEM does not intend to increase contracts in this area.

\$20K-\$100K

Based on the agencies previous purchases, NYCEM has to set a 8% utilization goal for standard services purchases between \$20,000 and \$100,000. The availability of MWBE's has been assessed for upcoming/potential opportunities in this area. NYCEM does not intend to increase contracts in this area

Over \$100K

Based on the agencies previous purchases, NYCEM has to set a 4% utilization goal for standard services purchases between over \$100,000. The availability of MWBE's has been assessed for upcoming/potential opportunities in this area. NYCEM does not intend to increase contracts in this area

GOODS:

Under \$20K

NYCEM intends to meet 27% MWBE goal. The availability of MWBE's has been assessed for upcoming/potential opportunities in this area. NYCEMD does not intend to increase contracts in this area.

\$20K-\$100K

NYCEM intends to meet 6% MWBE goal. The availability of MWBE's has been assessed for upcoming/potential opportunities in this area. NYCEMD does not intend to increase contracts in this area.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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E. Prime Contractor Utilization Initiatives

LL1 Required Activities

- Engage in outreach activities and networking events (ie: co-sponsoring with other agencies, one-on-one meetings, etc.)
- Encourage eligible firms to apply for certification.
- Include language in RFPs and invitations to bid requiring potential bidders/ proposers to consult directories of certified M/WBE firms.
- Encourage M/WBEs to join pre-qualified bidder's lists.
- Advertise procurement opportunities in minority publications.
- Conduct detailed analysis on a contract by contract basis to determine goals based on availability.
- Consider reducing scope and size of contracts when planning procurements.
- For construction contracts, enter into separate prime contracts for construction support services.
- Attend quarterly M/WBE meetings (including two attended by the Commissioner.)
- Conduct quarterly meetings with M/WBEs to discuss the agency's requirements for bids/ proposals.
- Encourage prime contractors to enter into joint ventures with certified M/WBEs.
- Designate dedicated staff to M/WBE program, including M/WBE Officer who is directly accountable to the agency head.
- Submit to City Chief Procurement Officer all contracts valued over \$10 million to determine if they can be divided into smaller contracts (unbundling contracts.)

Performance Improvement Required Activities

- Meet with oversight agencies: Review performance (P-card, spending trends, etc.) and identify detailed lists of M/WBEs for upcoming procurements.
- Review Utilization Plans: Assess anticipated procurements, M/WBE availability, and historical goals.
- Review M/WBE initiatives: Past initiatives, effectivity of the actions, and new initiative to undertake.
- Require contracting personnel to attend at least one of the monthly SBS/MOCS trainings.
- Require post-award debriefings requested by an M/WBE.

Additional Initiatives (Select three or more)

- Participate in networking events, meetings, and workshops for certified M/WBE firms.
- Post M/WBE program information on your agency's website.
- Include M/WBE Utilization updates in all procurement team meetings.
- Require buyers and P-card users to reach out to SBS's Account Management team for assistance identifying M/WBE firms for upcoming solicitations and other procurement opportunities.
- Hold pre-bid/proposal conferences on all procurements with M/WBE participation requirements.
- Establish formal means of tracking M/WBE utilization and sharing information within agency.

Compliance Administration and Monitoring

- Ensure timely prime contractor compliance with all LL1 submission requirements.
- Ensure prime contractor's actual compliance with utilization plan by regularly employing monitoring techniques (at a minimum: contacting M/WBEs, auditing prime's books and records, and visiting job sites.)
- Take appropriate enforcement action in cases where prime contractor is found to be out of compliance with utilization plan.
- Record in PIP all actual payments to subcontractors.
- As necessary, develop or modify written procedures pertaining to LL1 compliance administration, monitoring, and documentation.

Other Initiatives – List any other initiatives to be enacted by your agency

Other:

Fiscal Year 2019 Agency M/WBE Utilization Plan



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F. Open Contracts with M/WBE Utilization Requirements

Approximate # of prime contracts <u>open</u> and subject to participation goals (under LL129 and LL1):	2
Approximate # of upcoming contracts which have potential for subcontracting (under LL1):	1

G. Agency Organization

Attach the agency organizational chart with the names, titles, and contact information of all agency personnel responsible for implementation of the agency utilization plan.

List and describe any legislation, rules, policies or programs, other than those listed in the City Charter, PPB rules, General Municipal Law 103, and the Administrative Code, that impact agency utilization or the ability to participate in this program, i.e., Federal, State, or Local MBE, WBE, or Disadvantaged Business Enterprise (DBE) program requirements, etc.

The new MWBE micro purchase method can not be use if the contact utilizes federal funding. A large portion of NYCEM's budget comes from UASI grants, we are severely restricted and this have a big impact on NYCEM ability to fulfill and utilize more MWBE vendors.

H. Agency Approval

Provide authorized signatures below and submit to SBS with attached the agency organizational chart with the names, titles, and contract information of all agency personnel responsible for implementation of the agency utilization plan.

Authorized Signature (M/WBE Officer):

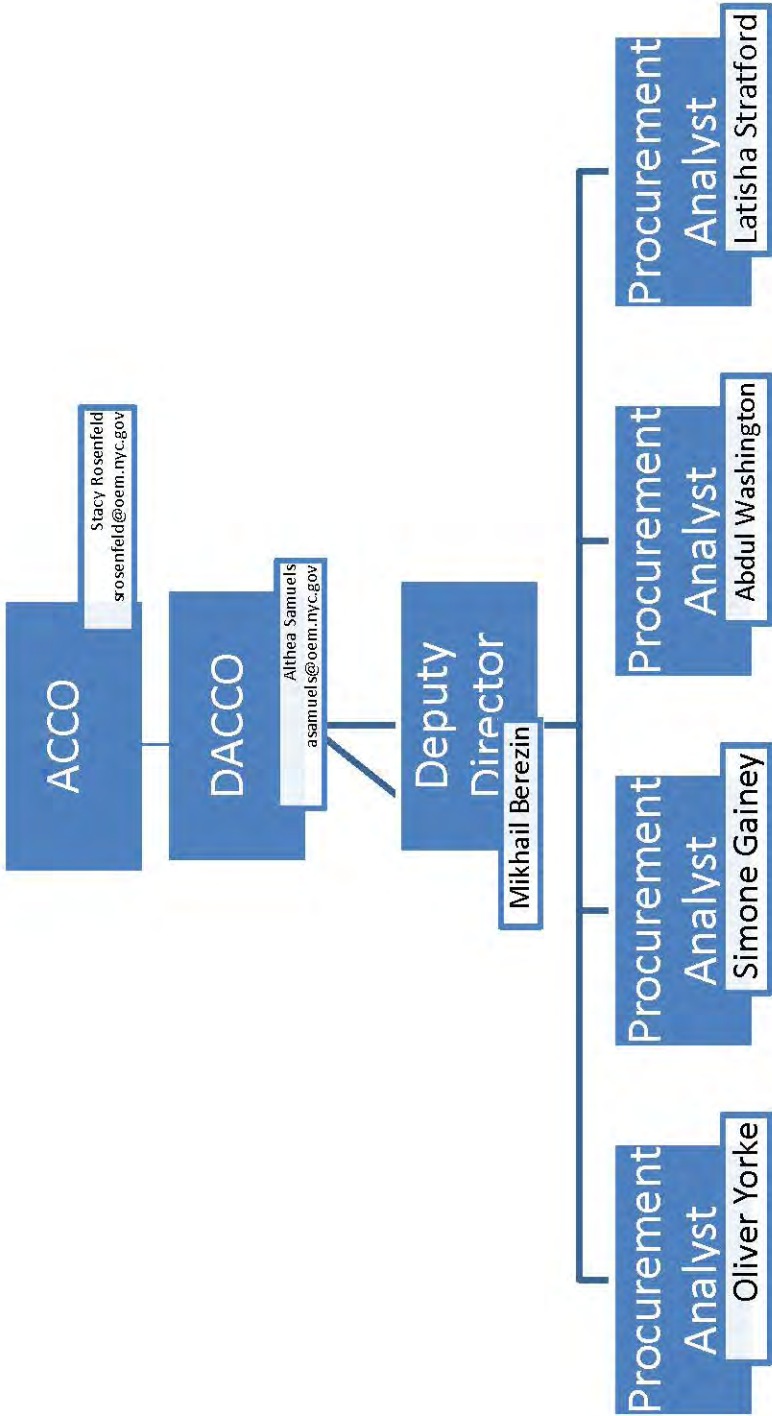
Title: Deputy Commissioner of Admin/ ACCO

Date: 12/7/18

Authorized Signature (ACCO):

Title: ACCO

Date: 12/7/18



**New York City
Police
Department**

Fiscal Year 2019 Agency M/WBE Utilization Plan



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A. Agency Contact Information

Agency Name NEW YORK CITY POLICE DEPARTMENT

Street Address 90 Church Street **City** New York **State** NY **Zip Code** 10007

M/WBE Officer Name Vincent Grippo **Email** vincent.grippo@nypd.org **Telephone #** 646-610-6670

ACCO Name Frank Bello **Email** frank.bello@nypd.org **Telephone #** 646-610-5220

Date 12/20/18

B. Local Law 1 Requirements

New York City's Minority and Women-Owned Business Enterprise (M/WBE) program, established in 2005, was designed to promote government contracting opportunities for certified M/WBEs. Accordingly, the Department of Small Business Services (SBS) built a program dedicated to promote fairness and equity in accessing contracting opportunities for City procurement.

In 2013, Local Law 1 was enacted to help strengthen the M/WBE Program. Some of the changes to the program include: (i) eliminating the \$1 million cap on contracts subject M/WBE participation goals; (ii) establishing participation goals on all services contracts (construction, professional and standard services); (iii) eliminating goals for goods over \$100,000; (iv) eliminating the distinction between prime contracts and subcontracts for the purposes of goal setting, including the Target Subcontracting Percentage; and (v) establishing participation goals for all ethnic and gender categories, except Asian Americans in Professional Services. Additionally, new monitoring and accountability requirements have been established in order to ensure transparency in the law's implementation, some of which include: (i) quarterly instead of bi-annual reporting requirements; (ii) establishing an M/WBE Director who will oversee agency compliance and will convene quarterly meetings with M/WBE officers to discuss agency performance in attaining Agency Utilization goals (agency Commissioners are required to attend two such meetings); and (iii) the creation of an annual Performance Improvement Plan and a monthly turnaround document to track agency progress.

Agencies with total procurements in excess of \$5 million in the previous full fiscal year (excluding contracts that are exempt from the M/WBE participation requirements as required by local law) are required to prepare annual M/WBE Utilization Plans. The following Utilization Plan template is designed to be a planning tool for each agency. Agencies are required to establish M/WBE participation goals for Fiscal Year 2019 based on the size and nature of the anticipated procurements that will be subject to the M/WBE participation requirements as well as the availability of certified M/WBEs with the capacity to perform the specific types and scale of work anticipated in such procurements. Agencies are further required to set specific M/WBE participation goals for procurements in all industries valued: at or below \$20,000 (Goods and Services); at or below \$35,000 (Construction); at or below \$100,000 and over \$100,000 (except for Goods). When establishing goals for procurements valued at or below \$100,000, agencies must consider the potential for such purchases to provide opportunities for M/WBEs to develop greater capacity, thereby increasing competition for city procurement.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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C. FY 19 Utilization Goals as established by LL1 of 2013

		FY 19 Utilization Goals								
		Less than or equal to \$35,000			\$35,001 to \$100,000			Greater than \$100,000		
		Citywide	Agency		Citywide	Agency		Citywide	Agency	
			FY18	FY19		FY18	FY19		FY18	FY19
Construction	Total Construction	38.00%	40 %	38.00%	38.00%	38 %	38.00%	38.00%	38 %	38.00%
	Black	8.00%	8 %	8.00%	8.00%	8 %	8.00%	8.00%	8 %	8.00%
	Hispanic	4.00%	5 %	4.00%	4.00%	4 %	4.00%	4.00%	4 %	4.00%
	Asian	8.00%	8 %	8.00%	8.00%	8 %	8.00%	8.00%	8 %	8.00%
	Women	18.00%	19 %	18.00%	18.00%	18 %	18.00%	18.00%	18 %	18.00%

		FY 19 Utilization Goals								
		Less than or equal to \$20,000			\$20,001 to \$100,000			Greater than \$100,000		
		Citywide	Agency		Citywide	Agency		Citywide	Agency	
			FY18	FY19		FY18	FY19		FY18	FY19
Professional Services	Total Professional Services	37.00%	3 %	3.00%	37.00%	3 %	10.00%	37.00%	15 %	15.00%
	% Black	12.00%	1 %	1.00%	12.00%	1 %	3.00%	12.00%	5 %	5.00%
	Hispanic	8.00%	1 %	1.00%	8.00%	1 %	2.00%	8.00%	3 %	3.00%
	Asian	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal	No Goal
	Women	17.00%	1 %	1.00%	17.00%	1 %	5.00%	17.00%	7 %	7.00%

Standard Services	Total Standard Services	31.00%	15 %	15.00%	31.00%	15 %	15.00%	31.00%	8 %	8.00%
	Black	12.00%	6 %	6.00%	12.00%	6 %	6.00%	12.00%	2 %	2.00%
	Hispanic	6.00%	3 %	3.00%	6.00%	3 %	3.00%	6.00%	2 %	2.00%
	Asian	3.00%	1 %	1.00%	3.00%	1 %	1.00%	3.00%	2 %	2.00%
	Women	10.00%	5 %	5.00%	10.00%	5 %	5.00%	10.00%	2 %	2.00%

Goods (Under 100K)	Total Goods	45.00%	35 %	35.00%	45.00%	35 %	45.00%	No Goal	No Goal	No Goal
	Black	7.00%	6 %	6.00%	7.00%	5 %	7.00%	No Goal	No Goal	No Goal
	Hispanic	5.00%	4 %	4.00%	5.00%	5 %	5.00%	No Goal	No Goal	No Goal
	Asian	8.00%	6 %	6.00%	8.00%	6 %	8.00%	No Goal	No Goal	No Goal
	Women	25.00%	19 %	19.00%	25.00%	19 %	25.00%	No Goal	No Goal	No Goal

* Please provide an explanation for your agency goals in section D.

Fiscal Year 2019 Agency M/WBE Utilization Plan



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D. Justification Page: Please explain how you arrived at your agency goals for all industries and levels of procurement.

CONSTRUCTION:

Under \$35K

In FY'18 Q3, the NYPD awarded 2 contracts in this dollar threshold with 1 award to a MWBE vendor. The NYPD will continue to monitor and promote discretionary spending to MWBE vendors. There is sufficient capacity of MWBE vendors in the construction industry. In FY'19, the NYPD will maintain the citywide goal of 38%.

\$35K-\$100K

In FY'17 the NYPD awarded only 1 contract in this dollar threshold to a MWBE vendor. In FY'18 Q3, the NYPD awarded 2 contracts with one award to a MWBE vendor. Sufficient MWBE capacity has been identified in the construction industry. In FY'19 the NYPD will continue to promote MWBE utilization among the procurement staff in the Building Maintenance Section to maintain the citywide utilization goal of 38%.

Over \$100K

In FY'18 Q3, the NYPD awarded 2 out of the 3 contracts to MWBE vendors. Sufficient MWBE capacity exists in the construction industry. The NYPD anticipates awarding contracts via the MWBE PQL for Mechanical Contractors to perform HVAC work citywide. As a result, in FY'19 the NYPD will continue to maintain the 38% citywide utilization goal.

PROFESSIONAL SERVICES:

Under \$20K

The NYPD does not anticipate awarding many Professional Services contracts in this dollar threshold. In FY'18 Q3, no contracts were awarded in this category. In FY'19, the NYPD will maintain its current goal of 3%.

\$20K-\$100K

The NYPD anticipates awarding more contracts for professional services in this dollar threshold utilizing the new MWBE Micro-Purchase award method. There is sufficient MWBE capacity primarily in the Information Technology industry. As a result in FY'19, the NYPD will increase its current goal of 3% to 10%.

Over \$100K

In FY'18 Q3, the NYPD awarded 2 contracts, both to MWBE vendors. The NYPD anticipates releasing environmental engineering solicitations and sufficient MWBE capacity has been determined. In FY'19, the NYPD will maintain its current utilization goal of 15%.

STANDARD SERVICES:

Under \$20K

In FY'18 Q3, the NYPD has a 5% MWBE utilization. In FY'19, the NYPD anticipates procuring catering services and sufficient capacity has been determined. Therefore, the NYPD will maintain its current utilization goal of 15%.

\$20K-\$100K

In FY'19, the NYPD does not anticipate awarding many contracts in this industry. The NYPD will continue to provide staff training and increase outreach to MWBE vendors in this category. Therefore, the NYPD will maintain its current utilization goal of 15%.

Over \$100K

In FY'18 Q3, the NYPD awarded only 4 contracts in this dollar threshold. The NYPD does not anticipate awarding many contracts in this industry. Therefore, the NYPD will maintain its current utilization goal of 8%.

GOODS:

Under \$20K

In FY'18 Q3, the NYPD is currently at 30% MWBE utilization. In FY'19, the NYPD anticipates procuring electronics and sufficient capacity has been determined in this category. In FY'19, the NYPD will maintain its current utilization goal of 35%.

\$20K-\$100K

In FY'18 Q3, the NYPD is currently at 40% MWBE utilization. The NYPD anticipates utilizing the new M/WBE Micro-Purchase award method for goods in this dollar threshold. In FY'19, the NYPD will increase its current goal from 35% to 45%, same as the citywide goal.

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F. Open Contracts with M/WBE Utilization Requirements

Approximate # of prime contracts <u>open</u> and subject to participation goals (under LL129 and LL1):	15
Approximate # of upcoming contracts which have potential for subcontracting (under LL1):	11

G. Agency Organization

Attach the agency organizational chart with the names, titles, and contact information of all agency personnel responsible for implementation of the agency utilization plan.

List and describe any legislation, rules, policies or programs, other than those listed in the City Charter, PPB rules, General Municipal Law 103, and the Administrative Code, that impact agency utilization or the ability to participate in this program, i.e., Federal, State, or Local MBE, WBE, or Disadvantaged Business Enterprise (DBE) program requirements, etc.

H. Agency Approval

Provide authorized signatures below and submit to SBS with attached the agency organizational chart with the names, titles, and contract information of all agency personnel responsible for implementation of the agency utilization plan.

Authorized Signature (M/WBE Officer): 

Title: Deputy Commissioner of Management and Budget Date: 12/20/18

Authorized Signature (ACCO): 

Title: Assistant Commissioner Date: 12/20/18

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E. Prime Contractor Utilization Initiatives

LL1 Required Activities	
<input checked="" type="checkbox"/>	Engage in outreach activities and networking events (ie: co-sponsoring with other agencies, one-on-one meetings, etc.)
<input checked="" type="checkbox"/>	Encourage eligible firms to apply for certification.
<input checked="" type="checkbox"/>	Include language in RFPs and invitations to bid requiring potential bidders/ proposers to consult directories of certified M/WBE firms.
<input checked="" type="checkbox"/>	Encourage M/WBEs to join pre-qualified bidder's lists.
<input checked="" type="checkbox"/>	Advertise procurement opportunities in minority publications.
<input checked="" type="checkbox"/>	Conduct detailed analysis on a contract by contract basis to determine goals based on availability.
<input checked="" type="checkbox"/>	Consider reducing scope and size of contracts when planning procurements.
<input checked="" type="checkbox"/>	For construction contracts, enter into separate prime contracts for construction support services.
<input checked="" type="checkbox"/>	Attend quarterly M/WBE meetings (including two attended by the Commissioner.)
<input checked="" type="checkbox"/>	Conduct quarterly meetings with M/WBEs to discuss the agency's requirements for bids/ proposals.
<input checked="" type="checkbox"/>	Encourage prime contractors to enter into joint ventures with certified M/WBEs.
<input checked="" type="checkbox"/>	Designate dedicated staff to M/WBE program, including M/WBE Officer who is directly accountable to the agency head.
<input checked="" type="checkbox"/>	Submit to City Chief Procurement Officer all contracts valued over \$10 million to determine if they can be divided into smaller contracts (unbundling contracts.)
Performance Improvement Required Activities	
<input checked="" type="checkbox"/>	Meet with oversight agencies: Review performance (P-card, spending trends, etc.) and identify detailed lists of M/WBEs for upcoming procurements.
<input checked="" type="checkbox"/>	Review Utilization Plans: Assess anticipated procurements, M/WBE availability, and historical goals.
<input checked="" type="checkbox"/>	Review M/WBE initiatives: Past initiatives, effectivity of the actions, and new initiative to undertake.
<input checked="" type="checkbox"/>	Require contracting personnel to attend at least one of the monthly SBS/MOCS trainings.
<input checked="" type="checkbox"/>	Require post-award debriefings requested by an M/WBE.
Additional Initiatives (Select three or more)	
<input checked="" type="checkbox"/>	Participate in networking events, meetings, and workshops for certified M/WBE firms.
<input type="checkbox"/>	Post M/WBE program information on your agency's website.
<input checked="" type="checkbox"/>	Include M/WBE Utilization updates in all procurement team meetings.
<input checked="" type="checkbox"/>	Require buyers and P-card users to reach out to SBS's Account Management team for assistance identifying M/WBE firms for upcoming solicitations and other procurement opportunities.
<input checked="" type="checkbox"/>	Hold pre-bid/proposal conferences on all procurements with M/WBE participation requirements.
<input checked="" type="checkbox"/>	Establish formal means of tracking M/WBE utilization and sharing information within agency.
Compliance Administration and Monitoring	
<input checked="" type="checkbox"/>	Ensure timely prime contractor compliance with all LL1 submission requirements.
<input checked="" type="checkbox"/>	Ensure prime contractor's actual compliance with utilization plan by regularly employing monitoring techniques (at a minimum: contacting M/WBEs, auditing prime's books and records, and visiting job sites.)
<input checked="" type="checkbox"/>	Take appropriate enforcement action in cases where prime contractor is found to be out of compliance with utilization plan.
<input checked="" type="checkbox"/>	Record in PIP all actual payments to subcontractors.
<input checked="" type="checkbox"/>	As necessary, develop or modify written procedures pertaining to LL1 compliance administration, monitoring, and documentation.
Other Initiatives – List any other initiatives to be enacted by your agency	
Other: The NYPD anticipates hosting an event for MWBE Micro-Purchase Opportunities in the Information Technology industry.	

NYPD MWBE Utilization Plan Organization Chart Dec. 2018

