



NEW YORK CITY COMPTROLLER
SCOTT M. STRINGER

COMPTROLLER'S
MWBE UNIVERSITY
MINORITY AND WOMEN OWNED BUSINESS ENTERPRISES



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NEW YORK CITY COMPTROLLER SCOTT M. STRINGER

COMPTROLLER'S **MWBE UNIVERSITY** MINORITY AND WOMEN OWNED BUSINESS ENTERPRISES



Comptroller's M/WBE University is a series of workshops designed to increase access to the Comptroller's Office and citywide opportunities for M/WBEs.

CLASSROOM: 9:30 AM – 12:00 PM

Feb 28 | Win Your Next Contract and Get Paid

Learn how to conduct your own market analysis, check on the status of an existing contract, and know your rights in the contract dispute resolution process.

David N. Dinkins Municipal Building
1 Centre St, Room 1005

Mar 22 | Become a Prequalified NYC Auditor: for CPAs Only

Learn what it takes to become prequalified to conduct audits on behalf of New York City.

David N. Dinkins Municipal Building
1 Centre St, 5th Floor Boardroom

Apr 3 | Accelerate the Digital Transformation of NYC

Learn what it takes to accelerate the digital transformation of your clients, including City agencies.

Microsoft Offices, 11 Times Square, 6th Floor

May 23 | Become a NYC Depository Bank & Receive Tax Breaks

Learn how to become a NYC Designated Bank and receive tax breaks for contributing to NYC's economic development efforts.

David N. Dinkins Municipal Building
1 Centre St, Room 1005

Aug 2 | Doing Business with the Comptroller's Office

Hear directly from the Comptroller's Office about opportunities for professional services, standard services, and goods contracts.

David N. Dinkins Municipal Building
1 Centre St, Room 1005

Dec 6 | The Future of M/WBEs

Discuss solutions and recommendations to help NYC M/WBEs move to the next level and get briefed on the latest Making the Grade report.

David N. Dinkins Municipal Building
1 Centre St, Room 1005

WEBINAR SERIES:

Market Analysis: Understanding the M/WBE Market and Industry Trends

Contact us for one-on-one meetings with the Comptroller's Office. Or join one of the web sessions below to learn how to conduct your own market analysis.

Agencies

- Apr 30, 2019 | 9:30 AM – 10:30 AM
- Jun 04, 2019 | 9:30 AM – 10:30 AM **(New)**

M/WBEs

- Jun 24, 2019 | 9:30 AM – 11:30 AM **(New)**

To RSVP, visit <http://ComptrollerDiversity.eventbrite.com> or email diversity@comptroller.nyc.gov. If you need interpretation services or other special accommodations, please call (212) 669-3916.



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THE CITY OF NEW YORK
OFFICE OF THE COMPTROLLER
SCOTT M. STRINGER

Comptroller's M/WBE University: Doing Business with the Comptroller's Office

August 2, 2019 9:30 AM – 12:00 PM
1 Centre Street, 10th Floor, Room 1005

Agenda

1. **8:30 AM – 9:35 AM Registration and Networking**
2. **9:35 AM – 09:50 AM Introduction and Landscape of M/WBEs in New York City**
Wendy Garcia, Chief Diversity Officer
3. **09:50 AM – 10:05 AM Procurement Process Overview**
John Katsorhis, Agency Chief Contracting Officer
4. **10:05 AM – 11:30 AM Business Opportunities with the Office of the Comptroller: Bureau Matchmaking Sessions**
 - Bureau of Administration: 10th Floor, Room 1005
John Katsorhis, Agency Chief Contracting Officer
 - Accountancy: 2nd Floor, 200 South
Man Hon Cheung, Assistant Bureau Chief / Division Chief, Financial Reporting
Leonel Ferreira, Div. Chief, Capital, Technical & Professional Standards
 - Information Systems and Technology, 22nd Floor, 2230 Conference Room
Michael Bott, Assistant Comptroller & Chief Information Officer
 - Law and Adjustment, 12th Floor, Room 1200
Adam Karp, Director of Tort Claims
 - Special Events & Special Projects, 5th Floor, Room 530A
Aja Meeks, Director of Events & Special Project
 - Public Finance, 6th Floor, Room 602
Timothy Martin, Assistant Comptroller for Public Finance

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CITY

[Does New York City Need a Chief Diversity Officer?](#)

April 15, 2019 | by [Truman Stephens](#)



(photo: Michael Appleton/Mayoral Photography Office)

Many days throughout the year there are people gathered on the steps of City Hall calling on city government to make policy. On March 14, a rally of women and people of color who own businesses, organized by city Comptroller Scott Stringer, focused on a change that could significantly alter the direction of city government and opportunities for those business owners and others in similar positions.

Those in attendance were backing Stringer's push to have the 2019 New York City Charter Revision Commission put a proposal on the November ballot to require a Chief Diversity Officer in the mayor's cabinet and one at each city agency.

Fittingly, Mayor Bill de Blasio, AirPods in his ears, walked into City Hall at the time of the rally, seemingly paying it little mind. Over the last several years, Stringer has assailed the de Blasio administration's approach to contracting with MWBEs -- minority- and women-owned business enterprises -- and called on the mayor to add a chief diversity officer (CDO) to his administration. De Blasio has adjusted the city's MWBE contracting goals multiple times and created an MWBE office in 2016, but he has not created the CDO position. He has also repeatedly dismissed Stringer's criticisms.

A second-term Democrat who created a CDO at the comptroller's office upon taking the citywide position in 2014, Stringer has now pushed the issue to the fore as the 2019 charter commission considers what changes to the city's central governing document and structure it will propose to voters this fall -- it is listed first among Stringer's [65 charter revision proposals](#).

The City Hall rally, which included Stringer, MWBE owners, faith leaders, Manhattan City Council Member Ben Kallos, and Brooklyn Assembly Member Rodneyse Bichotte, came just hours before Stringer and others testified before the commission on the subject of adding the CDO positions to the charter.

Among other responsibilities, the CDO position would oversee city procurement and contracting with MWBEs, as well as strategies to improve those efforts. The city spends billions of procurement dollars each year to buy things such as office supplies or hire contractors on city construction projects. The CDO would also focus on issues of equity and diversity in city government, with each CDO at individual city agencies handling these tasks with a narrower scope.

"I've said to the mayor every year that we would really benefit from a chief diversity officer in City Hall," Stringer told Gotham Gazette just after the rally. "For me, talk is cheap. We're either going to be in the business of equality and economic justice or we're not."

The CDO in Stringer's office, currently Wendy Garcia, is tasked with overseeing all of its procurement dollars, about \$14 million spent annually.

"Every time I see a law or a regulation or some rule that inhibits minorities or women to have access, my job is to fix it and change it," Garcia told Gotham Gazette in an interview. According to Stringer's charter revision proposals, Garcia has helped the Office of the Comptroller almost double its spending with MWBEs to over 24% of its procurement spending in fiscal year 2017.

"I think people do not fully appreciate the role of the chief diversity officer," Stringer said. "Imagine a chief diversity officer in City Hall in this building right now working every day across all agencies to look at ways to up-spend to bring more people into the procurement process. This is a necessary part of government. It's the future of the city. There's nothing more important than creating wealth with opportunity."

Each year, Stringer puts out an MWBE report card for city agencies and the mayor's office, and he includes his office as well. Six of the 32 agencies graded by the Comptroller's Office already have CDOs: Department of Design and Construction, Department of Finance, Department of Information Technology and Telecommunications, Department of Sanitation, Department of Transportation, Fire Department, and Law Department. (None of the agencies with chief diversity officers increased their share of procurement going to MWBEs by over 2.5% from 2017 to 2018 except the Department of Finance which spent only \$25 million on procurement in total, about 21% of its procurement dollars.)

The Department of Design and Construction (DDC) has one of the biggest procurement budgets in city government, totaling nearly \$1.7 billion, about as large as the other agencies with CDOs combined. DDC hired Chief Diversity and Industry Relations Officer Magalie D. Austin in 2014. According to budget testimony delivered last month by DDC Commissioner Lorraine Grillo, "Mayor de Blasio singled out DDC as the top performing agency in the City's MWBE program. We've awarded more than \$1 billion to M/WBE firms since 2015. Between FY15 to FY18, our overall MWBE utilization rate has increased from just under ten percent to 23 percent."

Furthermore, the Metropolitan Transportation Authority (MTA) and New York State also have chief diversity officers. Governor Andrew Cuomo, who took office in 2011, responded to a [2010 disparity study](#), by focusing on the state's procurement dollars going to MWBEs. In 2014, he upgraded his goal for MWBE utilization from 20% to 30% of the value of state contracts. In fiscal year 2017, the percentage of MWBE utilization in New York State was 28.6%, according to Empire State Development's Division of Minority and Women's Business Development [Annual Report 2018](#).

The state chief diversity officer originally solely oversaw the MWBE procurement process but has recently added workforce diversity and inclusion duties as well. Currently, the role of chief diversity officer is filled by Lourdes Zapata.

Other Major Cities Have CDOs

Outside of New York City, the position of chief diversity officer can be found in other major city governments around the country, almost all only created in the past five years.

There are currently chief diversity officers in Chicago, Boston, Philadelphia, Columbus, San Antonio, Austin, Nashville, and Buffalo. The duties (and titles) of these CDOs vary – most of the positions are human resources in nature, such as researching workplace diversity, recruiting diverse applicants for city jobs, and raising awareness for diverse hiring practices.

If the proposal passed, New York would be the first major city with a chief diversity officer whose main job duty would be to oversee procurement for MWBEs.

In Philadelphia, the role of [Chief Diversity and Inclusion Officer](#) is filled by Nolan Atkinson Jr. When offered the job, "I had one qualification. I wanted the title to be the Chief Diversity and Inclusion Officer," he told Gotham Gazette in a phone interview. "I believe inclusion is vital in having a successful tenure in this position."

Atkinson's office provides diversity training to city employees, publishes quarterly reports, and oversees the Office of Economic Opportunity, which manages procurement to WMBEs.

Philadelphia city government awarded over \$440 million out of an estimated \$1.4 billion contracting budget (30.5%) to M/W/DSBE's (Philadelphia includes business owners with a disability) in fiscal year 2018, a \$128 million increase over fiscal year 2017, according to the City of Philadelphia's Department of Commerce's Office of Economic Opportunity Fiscal Year 2018 Annual Report. Philadelphia has set an "aspirational" goal of 35% of contracting dollars to go to diverse businesses. In terms of city employee diversity, the Philadelphia city workforce skews heavily male, at 65% of the workforce, and 58% of "new hires."

Boston's CDO Danielson Tavares has had more success reflecting the city's population in the city's workforce but does not oversee procurement.

Danielson Tavares, [Chief Diversity Officer](#) of the City of Boston, told Gotham Gazette, "my initial mandate was as to try to diversify the [city government] workforce to be as reflective of the city population as possible with special attention to underrepresented populations."

According to the first ever [workforce report](#) looking at diversity in Boston in 2015, just 42% of city workers were non-white while 54% of the city was non-white. The [December 2018 report](#) showed that out of the nearly 1,500 new city hires in the year before the report, 55% were non-white.

Something both Atkinson and Tavares emphasized: for a CDO position to work, they need the support of the mayor of the city.

It doesn't seem like the proposal has it in New York.

The New York City Push, MWBE Spending, & the Charter Revision Commission

In a statement to Gotham Gazette, de Blasio spokesperson Raul Contreras highlighted the work of the Mayor's Office of Minority and Women-owned Business Enterprises but was noncommittal regarding the CDO proposal that's in front of the charter revision commission.

A chief diversity officer in New York would undoubtedly cause changes in the procurement spending infrastructure with the Mayor's Office of M/WBE's currently overseeing procurement to M/WBE's. When asked at a March 21 press conference -- one week after the Stringer-led rally and testimony at the charter revision commission -- about the possibility of a CDO in New York City, de Blasio said, "I think the current approach is a very aggressive, effective way. We'll always look at ways we can improve it, but I think this model is the way to get it done."

"If you're chief diversity officer and you don't report to the head, you're set up to fail," said Wendy Garcia. "If you're reporting directly to the head, you're part of the system."

"As long as it doesn't get overly politicized, we see the power and leverage of a position like this necessarily maintained," said Julie Nelson, Co-Director of the Government Alliance on Race and Equality (GARE).

An issue the 2019 Charter Revision Commission brought up in [its hearing](#) was the already existing framework in the city overseeing M/WBE investment. Commissioner James Caras asked the panelist of experts who testified on the issue if a CDO was really necessary as the duties of the position, diversity hiring and overseeing the MWBE program, are already handled by the Department of Citywide Administrative Services (DCAS) and the Mayor's Office of M/WBEs, respectively.

Commissioner Stephen Fiala argued that the specifics of how a CDO would integrate with the current MWBE officers in city agencies are unknown and would only add to a complicated charter and city bureaucratic structure.

"We're always too quick to come up with a catchy title and then try to ram it into the charter and then we're left very disappointed when nothing happens."

A possible downside to the idea of chief diversity officers, said Nelson, is "when individual positions are allocated with the responsibility, that can take the pressure or the weight off other people" when promoting diversity.

Asked about this reservation, Garcia told Gotham Gazette it is the reason the CDO must be in every agency and there must be one CDO who reports directly to the mayor.

If skipped over by the charter revision commission, the creation of a citywide chief diversity officer could be legislated by the New York City Council, however the expert panelists at the revision commission's hearing were dubious of this path as the charter is less malleable to political changes and pressures.

It's notable that of the ways the push for a CDO could succeed, like through legislative action or executive order, changing the city's Charter is the only way that does not directly include the mayor, though he does have four appointees to the 15-member commission. (The City Council could pass a bill then override a mayoral veto. There is no current bill in the Council to create a CDO.)

When the 2019 Charter Revision Commission heard testimony on the proposal of creating a CDO at the March 14 hearing, commissioners appeared interested in the topic. After including the CDO concept in its list of issues to explore further, the commission heard from Stringer and others, among a series of expert hearings it held on a variety of topics, and will now put forward its narrowed focus areas on April 22. That list will determine which issues the commission plans to craft actual ballot proposals around for suggested changes to city government for voters to approve or disapprove in November.

The MWBE program, created by city law in 2005, attempts to increase the amount of city procurement dollars that go to minority- and women-owned businesses. In fiscal year 2018, the city awarded \$19.3 billion in contracts, of which \$1 billion, or about 5.5%, went to MWBEs, according to Comptroller Stringer's [Making the Grade 2018](#) report. In 2007, it was just 1.6%.

In the same 2018 report, Stringer gave the city as a whole a D+. Of the 32 mayoral agencies graded, only nine received a B or higher, including the Office of the Comptroller. On spending specifically with African-American-owned businesses, five mayoral agencies received a B or higher.

To improve, Mayor de Blasio set the goal of awarding \$16 billion to MWBEs by 2025 in his OneNYC plan, a goal which has since been increased to \$20 billion by 2025.

Amid earlier criticism from Stringer, de Blasio created the Office of MWBEs in September of 2016, which is currently responsible for overseeing the MWBE program. The office, currently led by Jonnel Doris, is part of the mayor's office and is overseen by the Deputy Mayor for Strategic Policy Initiatives, currently Phil Thompson. The office was created and enhanced under Thompson's predecessor, Richard Buery.

Talk of a chief diversity officer actually came up in the 2013 New York City mayoral race. At a very early forum in the race -- held in June 2012 when Stringer was exploring a mayoral bid before he shifted to the comptroller's race -- participating candidates including de Blasio criticized the Bloomberg administration approach to diverse hiring and MWBE contracting. According to news reports the candidates all supported the

idea of a CDO at City Hall. "De Blasio also endorsed the idea, but said he would go further, making the person who holds that post a deputy mayor," according to [a Reuters article](#) from the time. That's what de Blasio has done, in a way.

But the city has failed to hit MWBE procurement benchmarks that were codified by Local Law 1 in 2013. For example, 18% of the value of city construction contracts awarded are supposed to go to women-owned businesses. In 2018, the city awarded just 4.1%, according to the comptroller's Making the Grade 2018 report.

On the matter of diversity in the mayor's office and city government more broadly, little has changed since de Blasio took office, according to the most recent statistics available from the city. While de Blasio has elevated more women and people of color to top city leadership positions, the larger workforce is about what it was in Mayor Michael Bloomberg's final year of 2013.

[According to the U.S. Census Bureau](#), as of July 2017, New York City as a whole was 52.3% female and 46.7% male, and 32% white, 29% Hispanic, 24% black, 14% Asian, and 1% other races.

According to the city's Department of Citywide Administration Services: [in 2013](#) the mayor's office was: 60% female and 40% male, and 54% white, 17% black, 15% Hispanic, and 14% Asian; [in 2017](#) the mayor's office was: 58% female and 42% male, and 46% white, 20% black, 15% Hispanic, 16% Asian, and 3% some other race.

In 2013 the city government workforce was 58% female and 42% male, and 40% white, 31% black, 19% Hispanic, 8% Asian, and 2% some other race. In 2017 the city government workforce was 59% female and 41% male, and 38% white, 30% black, 20% Hispanic, 9% Asian, and 3% some other race.

Nelson, of the Government Alliance on Race and Equality, told Gotham Gazette the vast resources and dollars of New York City could have a real benefit on policies that would help people of color, if implemented well.

"What we don't want to have happen is for these positions just to be spokespeople for the status quo," she said.

by Truman Stephens, Gotham Gazette

[Read more by this writer.](#)

Ben Max contributed to this article.

Note: this article has been corrected to reflect accurate procurement spending with MWBEs by DDC. The original published version of the article inaccurately described DDC as making minimal progress in MWBE contracting in recent years whereas it has increased such spending significantly.



Commonly Used Procurement Methods

Procurement Method	Brief Description	Examples of Use	Approximate \$	Approximate Timeframe	Public Notice	Competition	Notes
Competitive Sealed Bid (CSB)	City's preferred method of awarding contracts. Contract award is made to lowest responsible bidder whose bid meets the requirements and criteria listed in the Invitation for Bids (IFB).	Typically used to procure goods, construction and standard services.	Typically > \$100,000	6-8 months	City Record* Agency Website Journals, Newspapers, etc. (*required)	Open, Competitive	City rules allow agencies to issue Best Value procurements to consider bids from vendors within 10% of lowest bidder, including certified M/WBEs.
Competitive Sealed Proposal (CSP)	Utilized when a CSB is not practicable or advantageous. Contract award is made to the responsive and responsible proposer whose proposal is most advantageous to the City considering price and other evaluation criteria described in the Request for Proposals (RFP).	Typically used to procure services such as architecture, engineering, human, financial, accounting, legal, information technology or other professional services.	Typically > \$100,000	12 months	City Record* Agency Website Journals, Newspapers, etc. (*required)	Open, Competitive	When evaluating proposals, the agency is prohibited from using any other factors or criteria that isn't specified in the RFP. City rules allow agencies to issue Best Value procurements to award points to proposals from certified M/WBEs.
Small Purchase	Procurements valued at no more than the \$100,000 threshold. PPB Rules lay out specific competition requirements.	Typically used to procure goods, services, construction or construction-related services.	No more than \$100,000	3-5 months	Not publicly advertised	Small purchases are solicited from a list of 5 randomly selected vendors and at least 10 randomly selected certified M/WBE vendors.	Agencies are permitted to add as many certified M/WBE vendors to the competition pool as they may like. Agencies can't artificially divide procurements to meet Small Purchase threshold.
Accelerated Procurements	Used by the Department of Citywide Administrative Services (DCAS) to quickly procure certain commodities whose price fluctuates due to market conditions.	Typically used to procure chemicals, energy and food.	Any amount	< 1 month	City Record* Agency Website Journals, Newspapers, etc. (*required)	Open, Competitive	Commodities must be approved by the CCPO.



Commonly Used Procurement Methods

Procurement Method	Brief Description	Examples of Use	Approximate \$	Approximate Timeframe	Public Notice	Competition	Notes
Negotiated Acquisition	Utilized to negotiate contracts directly with vendors in specific situations where it's not practicable nor advantageous to award through CSB or CSP.	Typically used in time-sensitive situations; limited suppliers available; compelling need to extend a contract beyond 1 year limit.	Any amount	4-6 months	City Record (over \$100,000). Notice of Intent to Enter Negotiations.	Limited, Non-Competitive	Agency must obtain prior approval from CCPO to enter negotiations.
Micro Purchase	Considered a sub-set of Small Purchases. No formal competition is required as long as value doesn't exceed Micro Purchase threshold.	Typically used for purchasing office supplies, catering, IT products, etc.	Goods and services \$20,000 and less. Construction \$35,000 and less.	< 1 month	Not publicly advertised	Distribute appropriately among responsible vendors, including M/WBEs.	Agencies can't artificially divide procurements to meet Micro Purchase threshold.
M/WBE Purchase Method	City's new innovative procurement method for direct purchases from City certified M/WBEs.	Typically used for purchasing goods, standard services and professional services.	Over \$20,000 and up to \$150,000	1-2 months	Not publicly advertised; Notice of award is published in City Record (for awards over (\$100k)	Obtain at least 3 price quotes from City-certified M/WBEs	M/WBE Purchase Method does not cover construction or human services or federally funded projects.
Sole Source	Contract is awarded without competition after the Agency determines there is only one source for the required goods, services and/or construction.	Typically used for purchasing a unique product or service, such as proprietary IT software.	Any amount	4-6 months	City Record (Notice of Intent to Enter Negotiations)	Limited, Non-Competitive	City Record notice must request applications from qualified vendors who can provide what the Agency is looking to procure.
Intergovernmental	Utilized when an Agency awards a contract through a contract that was let by another government entity.	Typically procuring goods and services through NYS Office of General Services (OGS) or General Services Administration (GSA).	Any amount	4-6 months	Not publicly advertised	Limited, Non-Competitive	Agency is limited to purchasing only items on contract. Prices offered to City for goods must be lower than the prevailing market price. For services, fair and reasonable.
Emergency Procurement	Utilized when Agency must respond immediately to an unforeseen danger to life, safety, or property.	Typically for procuring goods, services and construction that may be required to mitigate emergency.	Any amount	Vendor can start work upon prior approval by Law Department and Comptroller's Office.	Not publicly advertised.	Limited, Non-Competitive	Agency is required to obtain as much competition as is practicable.
Investment Manager Search	Alternative procurement method to procure investment manager services.	Typically used by NYC Retirement Systems.	Any amount	12 months	City Record* Agency Website Journals, Newspapers, etc. (*required)	Qualified vendors required to enroll in databases specified in Notice of Search.	Preferred method of procurement of the Comptroller's Bureau of Asset Management (BAM).



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Vendor Opportunities

Bureau of Administration: Room 1005

John Katsorhis, Agency Chief Contracting Officer

- Printing Services
- Equipment Sales
- Maintenance and repairs
- Painting services

Bureau of Accountancy: Room 200 South

Man Hon Cheung -- Assistant Bureau Chief /

Division Chief, Financial Reporting

Leonel Ferreira -- Div. Chief, Capital, Technical & Professional Standards

- Catering
- Citywide financial statement audit
- Printing
- Pension demand banking
- Escrow Agent of City debt securities
- Stenography recording

**Bureau of Information Systems & Technology:
Room 2230**

Michael Bott, Chief Information Officer

- Professional Computer Services
- Data Processing Equipment, Supplies, and Maintenance
- Telephone and other Communications

Bureau of Law & Adjustment: Room 1200

Adam Karp, Director of Tort Claims

- Law firms to conduct 50-H Hearings
- Court Transcription
- Translation services

Bureau of Public Affairs: Room 529A

Aja Meeks, Director of Events & Special Projects

- Venue spaces
- Catering Services and Supplies
- Sign Language Interpretation Translation Services
- Simultaneous Language Translation
- KART

Bureau of Public Finance: Room 602

Timothy Martin, Assistant Comptroller for Public Finance

- Underwriters
- Specialized Counsel (Bond Counsel, Disclosure Counsel, and Underwriter Counsel)
- Specialized Advisor (Financial Advisors and Swap Advisors)
- Arbitrage Rate Consultant
- Verification Agents
- Financial Printer



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August 2, 2019 9:30 AM – 12:00 PM
1 Centre Street, 10th Floor, Room 1005

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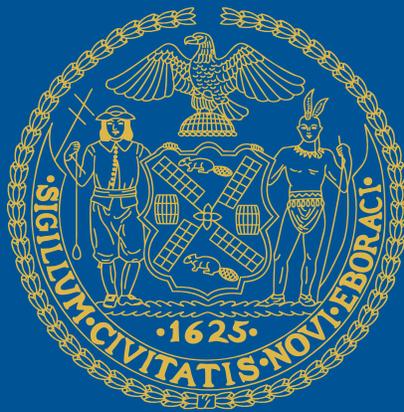
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Bureau of Administration

Bureau Responsibilities

- Managing the operating and capital budget of the Comptroller's Office,
- Functioning as the human resources arm of the office,
- Facilities management,
- And support services.

Vendor Opportunities

- Printing Services
- Equipment Sales
- Maintenance & Repairs
- Painting Services



Contact Us

Diversity

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Contracting and Purchasing

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- **Denise Hudson, Deputy Agency Chief Contracting Officer**
212-669-1808, dhudson@comptroller.nyc.gov





Vendor Opportunities

Services	Next Solicitation (Anticipated)	Services Provided...	Procurement Cycle
Citywide financial statement audit	Fiscal Year 2020 – Quarter 2	May – March 31 st (annually)	Every 4 years
Catering	Fiscal Year 2020 – Quarter 2	Monthly (October-June)	Monthly (October-June)
Stenography recording	Fiscal Year 2020 – Quarter 1	Monthly (October-June) for approx. 3 hour meeting	Annual
Printing	Fiscal Year 2024 – Quarter 3	June – December	Dependent upon contract terms
Pension Demand Banking	Fiscal Year 2025 – Quarter 3	Daily, Weekly & Monthly	Dependent upon contract terms
Escrow Agent of City debt securities	Fiscal Year 2022 – Quarter 2	Daily, Weekly & Monthly	Dependent upon contract terms



Upcoming Solicitations

Citywide financial statement audit:

- CPA Prequalified List (<https://comptroller.nyc.gov/services/for-businesses/prequalified-cpa/become-a-prequalified-cpa-firm/>)
- Completed applications or questions regarding the Prequalified list should be addressed to: cpalist@comptroller.nyc.gov .
- Citywide Audit, Single Audit, DOE Audit, 5-Retirement Systems Audit (occurs simultaneously July-October) & additional services.

Catering:

- NYC Audit Committee Meetings (October-June) *once a month*
- 50+ attendees
- Arrival must be at 8:30am

Stenography Service:

- NYC Audit Committee Meetings (October-June) *once a month*
- Approx. 3 hour meeting
- Turnaround of transcribed recording (within 5-7 days of recording)



PQL of Auditors

[established in accordance with NYC PPB Rules §3-10 (k)]

Application Process:

- ✓ Completed Accounting Firm Questionnaire (Initial application);
- ✓ Firm's current registration with the New York State Education Department (Must be submitted with initial application and yearly thereafter);
- ✓ Firm's current peer review report, letter of comments, if any and AICPA acceptance letter (Must be submitted with initial application and updated whenever a peer review has been done); and
- ✓ Confirmation of Vendor and Principal Questionnaires submitted in PASSPort



Citywide Financial Statement Audit

- Must be completed for CAFR NYC Charter deadline of Oct. 31st
- Audit begins in May and continues to the following year March.
- Stats related to scope of work:
 - Citywide audit consists of approximately \$92 billion budget
 - DOE audit consists of approximately \$25 billion budget
 - Federal Single Audit is approximately \$23 billion in federal grants
 - 5 Retirement Systems Audit, including OPEB consists of approximately \$242 billion in assets, numbers as of FY'18



Any Questions





ACCOUNTING FIRM QUESTIONNAIRE FOR THE COMPTROLLER'S PRE-QUALIFIED LIST OF AUDITORS

Pursuant to Section 3-10 (k) of the New York City Procurement Policy Board (PPB) Rules, the New York City Office of the Comptroller maintains a Pre-Qualified List of Auditors (CPA List). City agencies seeking to award an external auditing contract must solicit the services from firms that are on the CPA List.

To be considered for placement on the CPA List and to remain on the CPA List, your firm must:

1. Be registered with the New York State Education Department to practice in the State of New York, under your firm's current organizational status.
2. Have had a System or Engagement Peer Review (Peer Review) of your firm's auditing and accounting practice within the last three years and continue to have such peer reviews conducted every three years in accordance with American Institute of Certified Public Accountants (AICPA) Standards. In addition, firms must be aware of the following:
 - a. A firm must receive a pass rating or a pass with deficiencies rating to qualify.
 - b. A firm, whether applying for the first time or already on the list, that receives a pass with deficiencies, will be placed on the list, or be allowed to remain on the list.
 - c. A firm that receives a pass with deficiencies, if, on their next peer review, regardless of when that takes place, it again receives a pass with deficiencies, their continued placement on the list will be under internal review .
 - d. A firm, previously removed from the list, must receive a pass (without deficiencies) rating before it is restored to the list.
3. Submit a completed Vendor and Principal Questionnaire via PASSPORT (Procurement and Sourcing Solutions Portal). CPA firms are highly encouraged to create a vendor account in the new online PASSPORT system, which replaced the paper-based process in VENDEX. The Comptroller's Office will periodically review the information submitted to ensure that the CPA firm remains in good standing to do business with the City.
4. Submit the Annual Affirmation Form attesting that there have been no changes to the information submitted in the Accounting Firm Questionnaire by June 30th of each calendar year. If there have been changes, submit an updated Questionnaire with any supporting information. In either case, this submission must include the firm's current peer review report, and the follow-up results of any pass with deficiencies rating.

Audits performed for the City are generally required to comply with Generally Accepted Government Auditing Standards (GAGAS) issued by the Comptroller General of the United States.

Please answer all questions. If a question does not apply to your firm, answer N/A (not applicable). Please identify any attachments to the specific question(s) to which they apply. Failure to answer all questions will delay your application.

1. Is the firm registered to practice with the New York State Education Department under its current organizational structure (individual, partnership, or PC)?

YES NO

Note: If your firm is not registered to practice with the New York State Education Department, it cannot be placed on the CPA List.

Certificate of Registration Number

Date of Most Recent Registration (Include Copy of Current Certificate)

2. The Comptroller's Office requires that firms on its CPA List undergo a Peer Review of their auditing and accounting practices; this review must be conducted in accordance with AICPA Standards. Your firm must have had a Peer Review within the last three years and received a pass rating, or a pass with deficiencies, which must be corrected by its next peer review, in order to be placed on the Comptroller's CPA List. Your firm must continue to have Peer Reviews conducted every three years, in accordance with AICPA Standards, and receive a pass rating or a pass with deficiencies, in order to remain on the CPA List. (As previously noted, a firm will be allowed only one pass with deficiencies; if it again receives a pass with deficiencies rating its continued placement on the list will be under internal review.) The current details of any pass with deficiencies, pass with a scope limitation rating, and subsequent corrective follow-up actions must be provided to the Comptroller's Office as part of the initial and subsequent Annual Affirmations.

2a. Has your firm had a peer review? YES NO

Note: If your firm has not had a peer review, it cannot be placed on the CPA List.

2b. Who performed the last peer review? _____

2c. What was the date of the last peer review report? _____

2d. What was the peer review period year-end date? _____

2e. What was the result of the last peer review?

Pass Pass with Deficiencies Pass with a Scope Limitation¹ Fail

(Include a copy of the peer review report, any additional comment letters, your firm's response(s) if any, and the AICPA review acceptance letter)

Note: The final resolution indicating AICPA acceptance of any follow-up actions to a "Pass with Deficiencies" rating must be submitted to our office.

3. **Has the license of any principal of the firm ever been revoked or suspended, or has any principal of the firm ever been censured or reprimanded by the State Board for Public Accountancy? YES NO**

If YES, please provide all relevant details. (Attach additional sheet if necessary.)

4. **Have you or any member(s) of your firm ever been involved in legal proceedings that resulted in indictment, debarment, or suspensions that precluded you from rendering work for any government or private organization? YES NO**

If YES, please give all relevant details. (Attach additional sheet if necessary. To the extent this information is covered in the PASSPORT submission, the applicant may provide a cross- reference, rather than repeat the information.)

¹ *If the scope of the review is limited by conditions that preclude the application of one or more peer review procedure(s) considered necessary in the circumstances and the review team cannot accomplish the objectives of those procedures through alternate procedures, a report with a scope limitation should be issued. A scope limitation may be issued in a report with a peer review rating of pass if the team captain concludes, for the areas which were reviewed (areas with no scope limitation) that the firm's system of quality control for the accounting and auditing practice has been suitably designed and complied with to provide the firm with reasonable assurance of performing and reporting in conformity with applicable professional standards in all material respects.*

5. **Have you or any member(s) of your firm ever been indicted on charges relating to or stemming from your/their roles as a CPA? YES NO**

If YES, please give all relevant details. (Attach additional sheet if necessary. To the extent this information is covered in the PASSPORT submission, the applicant may provide a cross- reference, rather than repeat the information.)

6. **Are any of the principals or professional employees of your firm affiliated with any other public accounting firm or firms? YES NO**

If YES, indicate name(s) of the individuals and firm(s), and describe the relationship(s). Also indicate whether the firms are on the CPA List.

7. **Have you or any member(s) of your firm ever been associated with a firm that has been removed or suspended from the CPA List? YES NO**

If YES, list name of firm, date removed or suspended from the list, and function performed at the time by such individual(s). Provide any relevant details. (Attach additional sheet if necessary.)

8. **Firm name, address, and telephone:**

Firm Name

Firm Address

Firm Telephone Number

9. First time applying or Revision

10. Firm website url:

11. State the name, title (partner, etc.), telephone number, and email address of the individual who has authority to act for the firm and who will have overall responsibility for City audit engagements:

Name

Title

Telephone Number

Email Address of Individual

12. State the name, title (partner, etc.), telephone number, and email address of the individual who will act as the liaison/secondary contact:

Name of Liaison/Secondary Contact

Title

Telephone Number

Email Address of Individual

13. Type of Firm: Individual Partnership PC

14. Indicate the appropriate identification number:

Employer Identification Number (Partnerships and Professional Corporations)

Social Security Number (Sole Practitioners)

15. On what date did the firm begin business under its current structure?

Date

16. Is the firm certified as a Minority- and/or 51% Women-Owned Business Enterprise (M/WBE)? YES NO If no, proceed to question #18

If YES, What Type of Business: Women-Owned Asian-Owned
African American-Owned Hispanic-Owned Other

If other, please provide all relevant details.

17. Please indicate the agency that issued the M/WBE certification (select more than one, if applicable):

NYC SBS (Small Business Services) New York State Other

Please include a copy of the certificate with your submission.

If other, please provide all relevant details.

18. State the number of accountants in your firm and how many of them are CPAs.

18a. Number of Accountants in firm _____

18b. Number of CPAs _____

19. What percentage of the audits that you performed in the last three years were audits of government agencies or not-for-profit entities? _____%

20. How many years have you been performing Government audits or audits of not-for-profit entities? _____ Years

NOTE

In addition to the annual submission of the Accounting Firm Questionnaire, you are responsible for prompt written notification to the Comptroller's Office of any changes in the information provided in this application which could result in a reconsideration of the firm's qualifications to perform City audit engagements. In addition, written notification of all changes of address should be made immediately, as well as notification of any significant changes (10%) in the number of professionals in the firm. A change in the firm's name requires reapplication. Failure to comply with these requirements may result in revocation of pre-qualification status in accordance with Section 3-10 (l) of the PPB Rules.

I, _____ **Authorized to Represent** _____
Print Name and Title **Print Name of Firm**

Certify that the information contained in this application is to the best of my knowledge, information, and belief, accurate and complete and that I have read the above "Note".

Signature of Firm Representative **Date**



The Technology Landscape In New York City

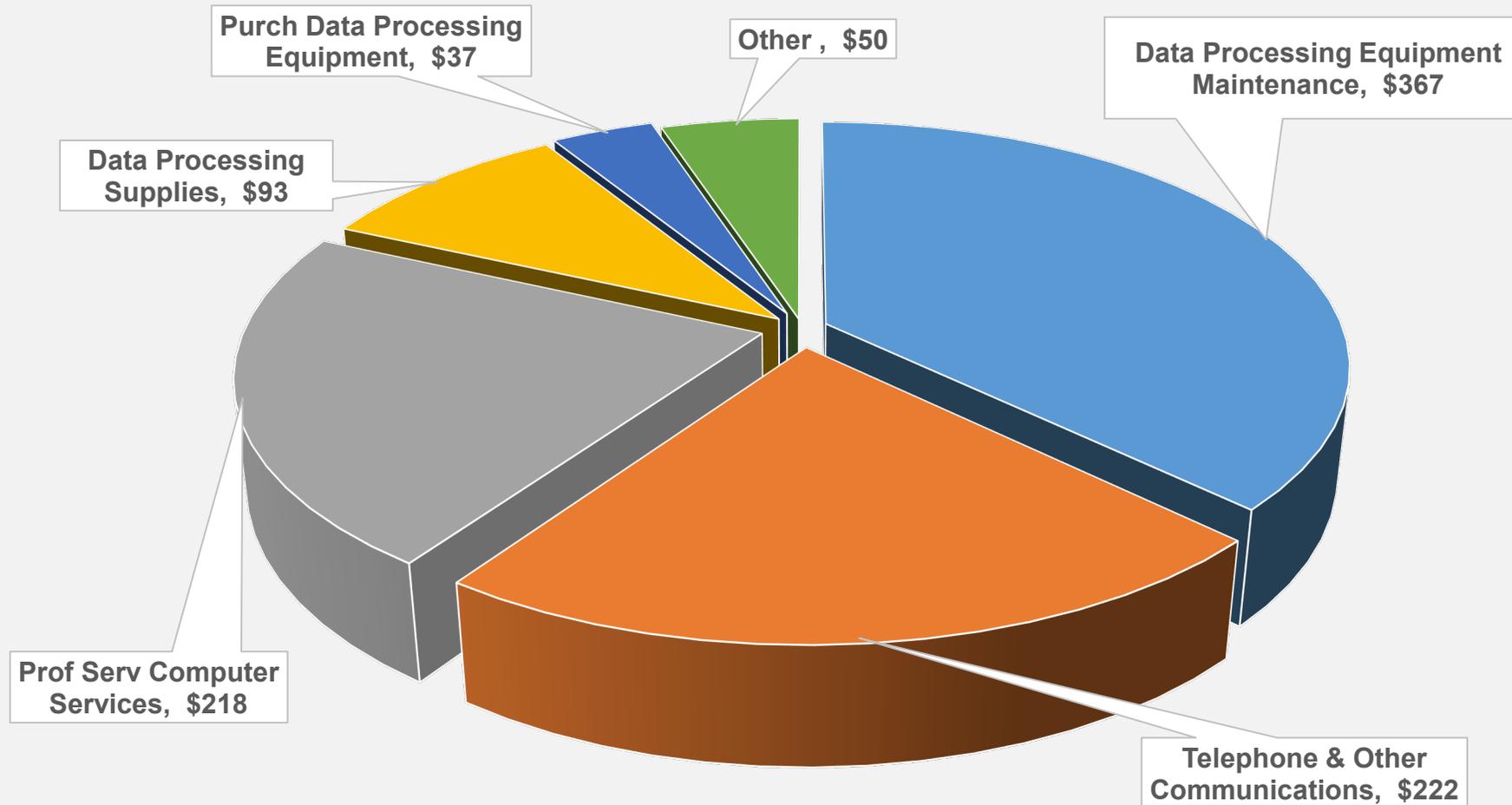
Spending Over the Last Four Years

Category	Fiscal Year 2016	Fiscal Year 2017	Fiscal Year 2018	Fiscal Year 2019
Total Citywide Spending	\$ 87 billion	\$86 billion	\$92 billion	\$107 billion
Total IT Spending	\$831 million	\$821 million	\$831 million	\$987 million
Total MWBE IT Spending	\$76 million	\$98 million	\$ 121 million	\$ 206 million
MWBE as a % of Total IT spend	9%	13%	15%	21%
% change in MMWBE Spend from Prior Year	—	+ 29%	+ 23%	+ 70%



The Technology Landscape in New York City

Spending (in millions) By Expense Category for FY2019



The Technology Landscape in New York City

Digital Transformation Projects

- Cloud-based Solutions
- Cybersecurity
- Data Loss Prevention & Data Privacy
- Data Analytics & Data Sharing
- Artificial Intelligence & Machine Learning
- Mobile Applications
- Internet of Things



The Technology Landscape in New York City

Two Of NYC's Large Centralized IT Entities

- ❑ The Department of Information Technology & Telecommunications – DoITT
- ❑ The Financials Information Services Agency - FISA

The Technology Landscape In New York City

DOITT is the City's Technology Shared Services Provider

- The City's Internet Service Provider
- Establishes Technology Policy
- Runs co-located Data Center utilities
- Establishes City-Wide Enterprise License Agreements
- Works closely with NYC's Cyber Command



The Technology Landscape In New York City

Functional Clusters

Administration

Includes Agencies that provide administrative services to the public or an admin. support function to other City Agencies

Regulatory

Includes Agencies, boards, commissions and elected officials responsible for the policy, enforcement and/or regulatory oversight of NYC organizational practices and services to the public

Health, Human Services, and Education

Includes Agencies that provide health, human or education services to the public

Housing & Economic Development

Includes Agencies that provide services, which help grow, strengthen and diversify NYC's economy and culture

Infrastructure & Operations

Includes Agencies that provide core operational services to the public or manage the critical infrastructure supporting the City's operations

Public Safety

Includes Agencies that oversee or provide uniformed public safety, law enforcement or emergency services to the public

The Technology Landscape In New York City

NYC Comptroller's Office

Technology Projects with MWBE Firms

- ❑ Integration of a large quasi-city agency's financial information into Checkbook NYC
- ❑ Deployment of various Microsoft solutions:
 - Dynamics CRM
 - Systems Center Operations Manager
 - Privileged Access Workstations
 - Office 365 Services
- ❑ Upgrade critical network and computing infrastructure
- ❑ Update access and video surveillance security systems





Bureau of Law and Adjustment

Adam Karp, Director of Tort Claim

- Settles and adjusts claims for and against the City of New York, before the filing of any suit, and to approve the settlement of any lawsuits in favor of or against the City of New York.
- Handles contract disputes with companies that do business with the City of New York.
- Seeks the efficient, effective and fair resolution of liability claims in order to protect the financial interest of the City of New York and the rights of its citizens.



Bureau of Law and Adjustment

Vendor Opportunities

- All opportunities are through Request for Proposals and are not temporary
- Law firms to conduct 50-H Hearings
- Court Transcription
- Translation services



Bureau of Law and Adjustment

Evaluation Criteria

- Established law firms with experience handling personal injury litigation
 - Authorized to practice law in NYS and practicing in the State for at least 5 years
 - Minimum of 3 years experience taking depositions in personal injury and property damage claims
 - ADA-Compliant Offices and hearing rooms in New York City near public transportation
 - Portion of practice dedicated to personal injury and property damage defense
 - 50 attorneys or fewer: at least 50%
 - 51-100 attorneys: at least 33%
 - More than 100 attorneys: at least 25%





Bureau of Special Events and Special Projects

Aja Meeks, Director of Events & Special Projects

The Department of Public Affairs is the principal liaison to the public, mayoral agencies, federal, state, and local authorities for the New York City Comptroller's Office.

Units

- Community Action Center
- Community Affairs
- Scheduling
- Special Events
- Policy
- Intergovernmental



Bureau of Public Affairs

Division of Events and Special Projects

- 20 cultural events per year
 - Example: Caribbean-American Heritage Celebration, Flatbush, Brooklyn
- Town halls, parades, fairs, breakfasts
 - Example: Pride Celebration, Macy's Herald Square
- Meetings with civic leaders, community leaders, clergy members in all 5 boroughs



Bureau of Public Affairs

Division of Event and Special Projects

February:

African American Heritage
Lunar New Year

March:

Women's History Month
Irish Breakfast

April:

Divine Nine breakfast

May:

Haitian Flag Breakfast
Jewish Heritage

June:

Caribbean American Heritage
LGBTQ Pride
Russian Speaking Community
Event
Eid

July:

NALFO breakfast

September:

African Immigrant Heritage
Month
Hispanic Heritage Month

October:

Italian Heritage
BAM Conference

November:

Diwali

December:

Holiday Party
Interfaith Breakfast

Town Halls all year round.



Bureau of Public Affairs

Division of Event and Special Projects

Vendor Opportunities

- Venue spaces
 - ADA compliant
 - 100-300 people depending on the event
 - Location (close to transportation, community familiarity, catering halls)
- Catering Services and Supplies
 - Examples: Caribbean food, Halal food
 - Pricing Conversation are held with ACCO team
- Sign Language Interpretation Translation Services
- Simultaneous Language Translation
- KART





Bureau of Public Finance

Timothy Martin, Assistant Comptroller for Public Finance

The Bureau of Public Finance shares responsibility with the Mayor's Office to issue debt finance across 4 major issuers.

These credits are:

- GO (General Obligation)
- TFA-FTS (NYC Transitional Finance Authority - Future Tax Secured)
- FTS-BARBS (NYC Transitional Finance Authority - Building Aid Revenue Bonds)
- NYW (NYC Municipal Water Finance Authority)



Bureau of Public Finance

Our bonds fund the construction and repair of infrastructure, such as:

- Roads
- Bridges
- Schools
- The Water and Sewer Systems



Bureau of Public Finance

- Manages a \$100 billion debt portfolio of outstanding bonds and identifies opportunities to provide savings through refinancing of debt
- Establishes and enforces fiscally responsible borrowing practices
- Secures the lowest feasible risk-appropriate borrowing cost on debt of the City and its affiliated entities
- Provides timely information to investors on City debt, finances, and the economy



Bureau of Public Finance

Vendor Opportunities

- All procurement decisions are made jointly with OMB (Office of Management and Budget)
- All hiring of vendors is done through a competitive RFP process which does not fall under the Procurement Policy Board Rules
 - Not posted to the Comptroller's website or the City Record
 - Emailed directly to bidder's list and posted in Bond Buyer and Minority Commerce Weekly
 - Each RFP has a technical section that deals with the specific nature of each assignment
- After proposals are submitted vendors participate in interviews with the Comptroller's Office and OMB
- All contracts are multi-year cycles between 3-5 years
- Through these processes we look for ways to increase M/WBE participation



Bureau of Public Finance

Vendor Opportunities

- Underwriters
 - 2016 RFP resulted in more than 30% senior manager assignments to M/WBEs
 - Requires banking, capital commitment and/or bond distribution capabilities
 - Bond selling: reach out at any time to request a questionnaire to be admitted
- Specialized Counsel (Bond Counsel, Disclosure Counsel, and Underwriter Counsel)
 - Small and M/WBE firms qualified through an RFQ, which pairs them with larger firms
 - Lawyers with knowledge and experience dealing with municipal issuers in areas such as NYS local finance law, Federal Tax code relating to tax-exempt financings, etc.



Bureau of Public Finance

Vendor Opportunities

- Specialized Advisor (Financial Advisors and Swap Advisors)
 - Procurement currently being finalized
 - Licensing requirements, knowledge and experience with NYS Local Finance Law
 - M/WBE advisors since 2004 and a sole M/WBE swap advisor since 2012
- Arbitrage Rate Consultant
 - Expertise and experience, specifically dealing with large complex issuers such as NYC
- Verification Agents
 - Procured on a rolling, deal specific basis
 - Requires a CPA knowledge and experience with NYS Local Finance Law
- Financial Printer



Bureau of Public Finance

Contact Us

- Tim Martin, Assistant Comptroller for Public Finance
tmartin@comptroller.nyc.gov
- Nathan Bennett, Bureau of Public Finance
nbennett@comptroller.nyc.gov
- Adrian Lopez, NYC OMB- Financial Policy Unit
lopeza@omb.nyc.gov





2016 Selling Group Request for Qualifications

The City of New York (the "City"), the New York City Transitional Finance Authority ("TFA") and the New York City Municipal Water Finance Authority ("NYW" and, collectively with the City and the TFA, the "Issuers") are seeking statements of qualifications from firms that wish to participate in the Issuers' Selling Group. Firms that wish to be considered for a position in the Issuers' underwriting syndicates should reply to the Request for Proposals ("RFP") being issued simultaneously with this Request for Qualifications ("RFQ"). All firms that apply under the Underwriter RFP will also be considered for positions in the Selling Group and do not need to reply to this RFQ.

Note that all responses to this RFQ must be received no later than 3:00 p.m., on February 2, 2016.

The Issuers are committed to diversity and equal employment opportunities among their underwriters and, accordingly, encourage proposals from minority-owned and women-owned business enterprises ("M/WBEs"), and service-disabled veteran-owned business enterprises ("SDVBEs"). The Issuers also encourage proposals from firms that include diversity among their team members who cover the Issuers. In addition, the Issuers encourage proposals from New York City-based businesses.

The attached Request for Qualifications identifies the information required to be submitted. We look forward to receiving your proposal.

Sincerely,

The City of New York

New York City Transitional
Finance Authority

New York City Municipal
Water Finance Authority

2016 Selling Group Request for Qualifications

I. PROPOSAL OVERVIEW AND GENERAL DIRECTIONS

General Information

All firms that would like to serve in the Issuers' Selling Group must submit a proposal pursuant to either the Underwriter RFP or this Selling Group RFQ. Previously constituted Selling Groups will be terminated at the conclusion of the RFP and RFQ processes and a new Selling Group may be named. Firms will be assumed to be requesting placement in the Selling Group for all Issuers unless the firm indicates to the contrary.

Issuance of this Selling Group RFQ does not obligate the Issuers to name a Selling Group or utilize a Selling Group on any given transaction. Further, the Issuers' policies on Selling Group participation in transactions, including but not limited to policies on placing orders and receiving designations, are subject to change at any time at the sole discretion of the Issuer. Performance of Selling Group members will be monitored and firms may be dropped from or added to the Selling Group at any time at the sole discretion of the Issuers. All potential responders to this RFQ, including firms that have previously participated in the Issuers' offerings via distribution agreements with member of the Issuers' syndicate or Selling Group, should be aware that the issuers may, in their sole discretion at any time, limit, impose new qualification procedures for or forbid the use of distribution agreements with unaffiliated firms. Therefore all firms that wish to participate in the Issuers' bond offerings as selling members are encouraged to apply under this RFQ. All firms who wish to participate as underwriters at any time during the period covered by the Underwriter RFP should respond to that RFP.

Firms that respond to this RFQ regarding any Issuer will need to abide by the terms of Selling Group Agreements that are prepared for each transaction on behalf of the underwriting syndicate as well as participation rules established by the Issuers and detailed in the pricing wires for a given issue. Members

of the Selling Group will have no contractual relationship with any of the Issuers. Please note that the Issuers will not make any representation as to the continued accuracy of their respective official statements/offering circulars subsequent to the date of closing of a bond issue.

Content and Format

Proposals shall consist of a transmittal letter and two sections.

Section 1: Questions for all Firms

Section 2: Compliance Information for all Firms

Some questions request data in tabular form, for which a template is provided (Attachment I). Unless specifically requested, a question that asks for a response in tabular format should not include further text. Other questions have page limitations. Firms are advised that to the extent their proposal is less than the page count maximum indicated, it is not necessary to add additional information.

Style and Page Limitations

Proposals must be confined to the specified page limits with no smaller than 12 point type. If importing a table into the document, please lay out the page to achieve as close to 12 point type in the table as possible. The transmittal letter must be limited to one page. Unless otherwise specified in a specific question, data presented in a tabular format as provided in the RFQ and compliance information will not be counted against the page limitations.

Outside assistance in responding to this RFQ is discouraged. All firms responding to the RFQ should either certify that the responses to the RFQ were written internally without external assistance, using permanent full-time employees, or indicate details of such outside assistance and/or part-time employees.

Interviews

There will be no interviews conducted in connection with this RFQ.

Selection Criteria

Licensed broker-dealers will be selected for participation in the Issuer Selling Groups based on the needs of the Issuers, Issuer experience with the firms and written proposals. The Issuers will select firms that provide the most value-added to the Issuers, with a primary focus on the ability to provide unique and complementary channels of distribution for Issuer bond sales. Selection criteria will include: firm resources and capabilities in the marketing of municipal bonds, especially to individual retail customers; prior performance on Issuers' financings; firm capital and commitment to the municipal bond marketplace, and to the secondary market support of the Issuers' debt; and record of compliance and responsiveness to municipal regulatory requirements.

Questions

Questions regarding this Request for Qualifications should be directed in writing via email no later than 1:00 pm on January 19, 2016, to the designated contact person, Albert Rodriguez, Chief of Municipal Finance of the New York City Law Department. Written responses to questions will be provided to all firms that received this RFQ. Questions should be submitted via email to albrodri@law.nyc.gov.

Contact with City, NYW, TFA Officials

Proposing broker-dealers may only contact the designated contact person and may not contact any other City, TFA, or NYW official or advisor, including bond counsel, regarding this RFQ. Any attempt to do so may be considered grounds for disqualification. Until the completion of the RFQ process, firms may

contact the Issuers only with respect to the next upcoming financing of such Issuer and ongoing operational matters unless a specific request is made by the Issuers to the proposing firm. Firms are also requested not to share or discuss the contents of this RFQ with any news media or other outside sources.

Attachments

Please find attachments I through III at the end of this document. Attachments II and III should be completed and submitted as appendices to your proposal.

- I. Templates of tables for data to be provided in tabular form in response to specified RFQ questions. These templates are also provided in a separate excel spreadsheet file.
- II. Affirmation of compliance and a certification and disclosure of any findings of non-responsibility pertaining to Lobbying and Procurement requirements pursuant to Section 139 of the State Finance Law.
- III. Certification of Compliance with MSRB Rule G-37.

Delivery of Proposals

Proposals must be submitted in both hard copy and electronic media form. Proposals must be received in their entirety by 3:00 p.m. on February 2, 2016 by the persons listed below. Electronic Proposals shall be loaded onto CD-ROMs or USB Flash Drives. The document should be in PDF format except where specified and pages should be consecutively numbered. A Submission Checklist is provided in Section III of the RFQ.

Kung Ko (1 Hard Copy, 1 Electronic)
Agency Chief Contracting Officer/Contracting Officer
New York City Office of Management and Budget
New York City Transitional Finance Authority
New York City Municipal Water Finance Authority
255 Greenwich Street
New York, NY 10007

Tim Martin (2 Hard Copies, 1 Electronic)
Director of Bond Finance
NYC Office of the Comptroller
1 Centre Street, Room 654
New York, NY 10007

Albert Rodriguez (**1 Hard Copy, 1 Electronic**)
Chief of Municipal Finance
New York City Law Dept.
100 Church Street
New York, NY 10007

Other Information

The Issuers reserve, without limitation, the right to: reject any and all proposals received in response to this RFQ; not make a Selling Group appointment; and to cancel the RFQ at any time. No proposer shall have any rights against the Issuers as a result of any such decisions. The Issuers also reserve the right to waive strict compliance with this RFQ if the Issuers, in their sole judgment, determine that such non-compliance does not have a significant adverse effect on the competitive process and that a waiver is in the best interests of the Issuers.

Proposers will not be reimbursed for any costs incurred to prepare proposals or for any work performed in connection therewith, or during any negotiations on proposed appointments.

All materials submitted in response to the RFQ will become the property of the Issuers. The Issuers request confidentiality with respect to this RFP. Please note, however, that the Issuers cannot guarantee the confidentiality of proposals which may, under certain circumstances, be subject to disclosure pursuant to legal or other requirements.

II. QUESTIONS

The “Evaluation Period” for purposes of RFQ responses is defined as the period starting January 1, 2013 through the date of issuance of this RFQ. For transaction-related responses, the closing date should determine whether or not such transaction falls within the Evaluation Period. For all questions that request answers in tabular format, a template has been provided in Attachment I. Unless otherwise indicated, the tabular data should be included in the body of the response, not the appendix.

Section 1: Questions About Proposing Firms

1. Organization of Firm (Limit: 1/2 page)

- a. State when your firm was organized, its legal form of organization and whether publicly or privately held. Identify the main lines of business your firm engages in.
- b. Is your firm certified as a minority-owned or women-owned business enterprise by the City and/or the State of New York?
- c. Is your firm certified as a service-disabled veteran-owned business enterprise by the State of New York?

2. Staffing for Issuer Transactions

- a. List the primary members of your team that will cover the Issuers. Identify only the principal and key supporting team members that manage capital commitment to municipal securities and your municipal underwriting/syndicate desk, municipal sales and municipal trading functions. If your firm does not engage in all three of these functions, please state this. Provide the following information for each team member in tabular format (Table A):
 - i. Name and title;
 - ii. Role of team member;

- iii. Years with current firm, years in industry;
- iv. Location of primary office of team member; and
- v. Whether the team member is a full-time salaried employee of the firm or is employed on a part-time, commission-only or consultant basis.

You may provide a brief biographical summary in Appendix A for each team member.

3. Underwriting Experience

- a. If your firm is currently a member of the Issuers' underwriting syndicate or selling group, state for each Issuer the orders your firm submitted in that role during the Evaluation Period by providing a breakdown of those orders between professional retail, individual retail, distribution agreements, priority and member. Provide this information in total dollars and as a percent of your aggregate liability on each transaction, if applicable. If a syndicate member, identify the institutional investors your firm brought in to these transactions. State the total allotments and total designations received by your firm during the Evaluation Period for each Issuer (Table B).
- b. In Appendix B, provide SDC league table rankings for long term fixed rate bond sales using the Thomson Reuters's "AT3" league table for (1) negotiated offerings, and (2) competitive offerings, using the same methodology as the league tables published in the Bond Buyer with the full par amount of an issue being credited to the book-running manager; in issues with multiple book-runners, each firm is credited with the allocation that it received. Provide the ranking of your firm for the calendar years 2013, 2014 and 2015 (through December 31, 2015).
- c. State whether your firm provided LOC, SBPA or direct purchases to any of the Issuers during the Evaluation Period. (Limit ½ page.)

4. *Retail Distribution and Marketing* (Limit: 1 page)

- a. Describe your firm's marketing and distribution capabilities. Clearly delineate internal capabilities of your firm and any further capabilities through distribution agreements. Does your firm specialize in any unique distribution channels? How would this benefit the Issuers?
- b. What strategies could the Issuers undertake to encourage more retail participation in their primary offerings?
- c. Identify firms with which you have ongoing distribution agreements that you would propose to use if selected for the Selling Group.

5. *Firm Attributes* (Limit 2 pages including tabular data)

- a. State whether your firm is headquartered or maintains a public finance banking office and/or underwriting desk in the City. In Table C provide the total number and breakdown of professionals dedicated exclusively to municipal finance (i.e., public finance banking, underwriting, remarketing, sales and trading) working in the City and outside of the City as of December 31, 2015. Numbers of such employees who work in part on municipal finance and in part on other market segments should be separately identified.
- b. State your firm's (or parent company's) long term and short term ratings and rating outlooks from all three major rating agencies as of the date of this RFQ (Table D).
- c. State your firm's capitalization for the most recent period and for the 3 prior full years for which audited financial statements are available. Provide equity, debt and excess net capital as defined by the Financial Industry Regulatory Authority (FINRA) (Table E).

- d. Describe the firm's capital commitment to its municipal finance activities, including average daily inventory of municipal bonds (tax-exempt fixed rate only) by year during the Evaluation Period and secondary market trading data, including total number of trades and total par, broken down by buy and sell trades.
- e. What is the dollar amount of all of the Issuers' municipal securities currently held in retail accounts at your firm?

6. *Additional Information*

- a. Provide any additional information that you believe would assist the Issuers in evaluating your firm's proposal to serve as a member of the Selling Group. (Limit: 1 page)

Section 2. Compliance Information (All Proposers – No page limit except where noted for Question 3)

1. EEO Information

The Issuers will only place in the Selling Group firms which do not discriminate against employees or applicants for employment because of race, creed, color, national origin, sex, age, disability, marital status, sexual orientation, gender identity or citizenship status with respect to all employment decisions. The selected firms shall undertake or continue programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, sexual orientation, age, disability or marital status. For these purposes, equal opportunity shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation.

- a. Describe your firm's equal employment opportunity policies and programs.
- b. Please submit a copy of your firm's EEO-1 form. A blank form may be obtained at:
<http://www.eeoc.gov/eo1survey/eo1.pdf>

2. Other Compliance Information

- a. Identify all adverse determinations in the past five years against your firm or any of its partners, directors, officers or employees or persons acting on its behalf, with respect to actions, proceedings, claims or complaints concerning violations of Federal, State or City equal opportunity laws or regulations and a statement regarding whether your firm is in compliance with all applicable Federal, State or City equal opportunity laws or regulations.
- b. State whether or not, in the past five years, your firm or any of its partners, directors, officers or employees or anyone acting on its behalf, has ever been convicted of any

crime or offense arising directly or indirectly from the conduct of your firm's business, or whether any of your firm's partners, directors, officers or employees or persons exercising substantial policy discretion has ever been convicted of any crime or offense involving financial misconduct or fraud, and, if so, please describe any such convictions and surrounding circumstances in detail.

- c. State whether or not your firm or any of its partners, directors, officers or employees or anyone acting on its behalf, has in the last five (5) years ever been indicted or otherwise charged in connection with any criminal matter arising directly or indirectly from the conduct of your firm's business which is still pending, or whether any of your firm's partners, directors, officers or employees or persons exercising substantial policy discretion has ever been indicted or otherwise charged in connection with any criminal matter involving financial misconduct or fraud which is still pending, and, if so, please describe any such indictments or charges and surrounding circumstances in detail.
- d. State whether or not any legal proceedings are pending to which your firm is a party, as well as any such proceedings known to be contemplated by government authorities or private parties (including without limitation whether your firm has received a "Wells Notice" relating to a matter in which charges have not yet been brought) and, if so, a description of each such proceeding.
- e. Describe any SEC, FINRA, MSRB or other administrative proceedings, investigations and civil suits against the firm or any individual employed by the firm whose work is related to the municipal finance business, which are pending or which have been settled or adjudicated adversely to the firm or such individual within the past five (5) years, relating to the firm's or such individual's performance of its professional duties.
- f. Does your firm pay City taxes? If so, what type of taxes? Does your firm have any outstanding tax obligations with the federal government, New York State or New York

City? Describe any existing litigation, disputes or proceedings between your firm and the City regarding the payment of taxes or other charges.

- g. Please append (Appendix D) the certification attached as Attachment III with respect to MSRB compliance.

3. *Discuss the proposer's financial and organizational stability* (limit 1 page).

4. *Conflict of Interest*

- a. Please disclose:
 - i. Any material financial relationships that your firm or any firm employee has with any financial advisory firms, investment banks or law firms or other persons or entities that may create a conflict of interest or the appearance of a conflict of interest in acting as a member of the Selling Group for the Issuers;
 - ii. Any family relationship that any employee of your firm has with any Issuer (or officer, employee or director thereof) that may create a conflict of interest or the appearance of a conflict of interest in acting as a Selling Group member for the Issuer(s); and
 - iii. Any other matter that your firm believes may create a conflict of interest or the appearance of a conflict of interest in acting as a member of the Selling Group for the Issuers.
- b. Please describe any procedures your firm either has, or would adopt, to assure the Issuers that a conflict of interest would not exist for your firm in the future.
- c. Has your firm or any of its officers, employees or directors given gifts totaling \$50 or more to any officer, employee or director of any Issuer in any 12 month period during the last five (5) years?

5. *Please describe the level of coverage for errors and omissions insurance and any fiduciary or professional liability insurance your firm carries. List the insurance carriers supplying the coverage.*

III. PROPOSAL SUBMISSION CHECKLIST

Please submit your proposal in the following order:

Topic

- Transmittal Letter
- 1 Section 1 Questions, including tables and text
- 2 Section 2 Questions, including requested documents

Appendices

- A Team member biographies (Section 1, Question 2a)
- B SDC League Tables (Section 1, Question 3b)
- C Section 139-K (c) Compliance (RFQ Attachment II)
- D MSRB G-37 form (RFQ Attachment III)



Local Law 63 Plan Fiscal 2020 New Procurements

Plan ID #	Agency	Description of Services to be Provided	Anticipated Contract Start Date	Anticipated Contract End Date	Anticipated Procurement Method	Anticipated Fiscal Quarter	Job Titles	Head-count
FY20NComptroller1	Comptroller	Investment Management Services of Emerging Managers of Publicly Traded Equity (Emerging Manager of Manager)	4/1/2020	3/31/2023	Request for Proposal	1	None	0
FY20NComptroller2	Comptroller	Implementation/Integration Services for Compliance Campaign Finance Monitoring System	4/1/2020	3/31/2023	Request for Proposal	1	None	0
FY20NComptroller3	Comptroller	Implementation/Integration Services for Data Collection Software	4/1/2020	3/31/2023	Request for Proposal	1	None	0
FY20NComptroller4	Comptroller	Implementation/Integration Services for Compliance Investment Guideline Monitoring Software	4/1/2020	3/31/2023	Request for Proposal	1	None	0
FY20NComptroller5	Comptroller	Investment Services for Private Equite Brokerage - Secondary Sales	4/1/2020	3/31/2023	Request for Proposal	1	None	0
FY20NComptroller6	Comptroller	Infrastructure Hedge Fund Consultant	10/20/2019	4/20/2021	Negotiated Acquisition Extension	1	None	0
FY20NComptroller7	Comptroller	Private Equity Investment Consultant	9/1/2019	4/30/2021	Negotiated Acquisition Extension	1	None	0
FY20NComptroller8	Comptroller	Investment Management Notice of Search	4/1/2020	3/31/2023	Innovative	1	None	0
FY20NComptroller9	Comptroller	Investment Management Notice of Search	4/1/2020	3/31/2023	Innovative	1	None	0
FY20NComptroller10	Comptroller	Investment Management Notice of Search	4/1/2020	3/31/2023	Innovative	1	None	0
FY20NComptroller11	Comptroller	Investment Management Notice of Search	4/1/2020	3/31/2023	Innovative	1	None	0
FY20NComptroller12	Comptroller	Investment Management Notice of Search	4/1/2020	3/31/2023	Innovative	1	None	0
FY20NComptroller13	Comptroller	Investment Management Notice of Search	4/1/2020	3/31/2023	Innovative	3	None	0
FY20NComptroller14	Comptroller	Investment Management Notice of Search	4/1/2020	3/31/2023	Innovative	2	None	0
FY20NComptroller15	Comptroller	Investment Management Notice of Search	4/1/2020	3/31/2023	Innovative	1	None	0
FY20NComptroller16	Comptroller	Investment Management Notice of Search	4/1/2020	3/31/2023	Innovative	2	None	0
FY20NComptroller17	Comptroller	Investment Management Notice of Search	4/1/2020	3/31/2023	Innovative	4	None	0

Local Law 63 Plan Fiscal 2020 New Procurements

Plan ID #	Agency	Description of Services to be Provided	Anticipated Contract Start Date	Anticipated Contract End Date	Anticipated Procurement Method	Anticipated Fiscal Quarter	Job Titles	Head-count
FY20NComptroller18	Comptroller	Investment Management Notice of Search	4/1/2020	3/31/2023	Innovative	1	None	0
FY20NComptroller19	Comptroller	Investment Management Notice of Search	7/1/2020	6/30/2023	Innovative	2	None	0
FY20NComptroller20	Comptroller	Investment Management Notice of Search	7/1/2020	6/30/2023	Innovative	2	None	0
FY20NComptroller21	Comptroller	Investment Management Notice of Search	7/1/2020	6/30/2023	Innovative	2	None	0
FY20NComptroller22	Comptroller	Investment Management Notice of Search	7/1/2020	6/30/2023	Innovative	2	None	0
FY20NComptroller23	Comptroller	Investment Management Notice of Search	7/1/2020	6/30/2023	Innovative	2	None	0
FY20NComptroller24	Comptroller	Performance Reporting Vendor	7/1/2020	6/20/2023	Request for Proposal	2	None	0
FY20NComptroller25	Comptroller	Compensation Benchmarking	7/1/2020	6/20/2023	Request for Proposal	2	None	0
FY20NComptroller26	Comptroller	Operational Best Practices Review	7/1/2020	6/20/2023	Request for Proposal	2	None	0
FY20NComptroller27	Comptroller	Operational Best Practices Review	7/1/2020	6/20/2023	Intergovernmental	2	None	0
FY20NComptroller28	Comptroller	Implementation/Integration Services for a Treasury Management System for the Bureau of Asset Management	1/1/2020	12/31/2023	Intergovernmental	1	None	0
FY20NComptroller29	Comptroller	Implementation/Integration Services for a Treasury Management System for the Bureau of Asset Management	1/1/2020	12/31/2023	Request for Proposal	1	None	0
FY20NComptroller30	Comptroller	Global Macro Consultant	1/1/2020	12/31/2023	Request for Proposal	1	None	0
FY20NComptroller31	Comptroller	Securities Lending Program RFP	1/1/2020	12/31/2023	Request for Proposal	1	None	0
FY20NComptroller32	Comptroller	Implementation/Integration Services of a Customer Relationship Management System for the Bureau of Asset Management	1/1/2020	12/31/2023	Request for Proposal	1	None	0

Local Law 63 Plan Fiscal 2020 New Procurements

Plan ID #	Agency	Description of Services to be Provided	Anticipated Contract Start Date	Anticipated Contract End Date	Anticipated Procurement Method	Anticipated Fiscal Quarter	Job Titles	Head-count
FY20NComptroller33	Comptroller	Implementation/Integration Services of a Customer Relationship Management System for the Bureau of Asset Management	1/1/2020	12/31/2023	Intergovernmental	1	None	0
FY20NComptroller34	Comptroller	Transition Management RFP	1/1/2020	12/31/2023	Request for Proposal	2	None	0
FY20NComptroller35	Comptroller	Hedge Fund Investment Consulting	1/1/2020	6/30/2021	Negotiated Acquisition Extension	1	None	0
FY20NComptroller36	Comptroller	Hedge Fund Investment Consulting	9/1/2020	8/31/2023	Request for Proposal	3	None	0
FY20NComptroller37	Comptroller	Consulting Services for Opportunistic Fixed Income (OFI) Investments	4/1/2020	3/31/2022	Request for Proposal	2	None	0
FY20NComptroller38	Comptroller	Private Markets Consultant Services	7/1/2020	9/30/2023	Request for Proposal	2	None	0
FY20NComptroller39	Comptroller	Private Markets Consultant Services 2	7/1/2020	9/30/2023	Request for Proposal	2	None	0
FY20NComptroller40	Comptroller	Business Process/Analysis Consulting Services	7/1/2020	9/30/2023	Request for Proposal	2	None	0
FY20NComptroller41	Comptroller	Data Conversion Consulting Services	7/1/2020	9/30/2023	Request for Proposal	2	None	0
FY20NComptroller42	Comptroller	Technology Analysis, Design, Programming and Implementation	7/1/2020	9/30/2023	Request for Proposal	2	None	0
FY20NComptroller43	Comptroller	Training for Technolgy Tools for Risk and Client Relationship Management	7/1/2020	9/30/2023	Request for Proposal	2	None	0
FY20NComptroller44	Comptroller	Implementation/Integration Services of an Integrated Reconciliation, Data Management, and Optical Character Recognition System	7/1/2020	9/30/2023	Request for Proposal	2	None	0
FY20NComptroller45	Comptroller	Implementation/Integration Services of an Integrated Reconciliation, Data Management, and Optical Character Recognition System	7/1/2020	9/30/2023	Intergovernmental	2	None	0
FY20NComptroller46	Comptroller	Corporate Governance Research and Advisory Services	7/1/2020	9/30/2023	Request for Proposal	4	None	0
FY20NComptroller47	Comptroller	Investment Management Services for U.S Equity Mid-Capitalization	7/1/2020	6/30/2021	Negotiated Acquisition Extension	4	None	1

Local Law 63 Plan Fiscal 2020 New Procurements

Plan ID #	Agency	Description of Services to be Provided	Anticipated Contract Start Date	Anticipated Contract End Date	Anticipated Procurement Method	Anticipated Fiscal Quarter	Job Titles	Head-count
FY20NComptroller48	Comptroller	Investment Manager Services International Small Capitalization	10/1/2020	9/30/2023	Innovative	2	None	0
FY20NComptroller49	Comptroller	Business Consultant Services for the Bureau of Asset Management	10/1/2020	9/30/2023	Negotiated Acquisition	1	None	0
FY20NComptroller50	Comptroller	Business Consultant Services for the Bureau of Asset Management	10/1/2020	9/30/2023	Request for Proposal	1	None	0
FY20NComptroller51	Comptroller	Implementation/Integration Services of a Contact Management System	10/1/2020	9/30/2023	Request for Proposal	1	None	0
FY20NComptroller52	Comptroller	Implementation/Integration Services of a Contact Management System	10/1/2020	9/30/2023	Intergovernmental	1	None	0
FY20NComptroller53	Comptroller	Implementation/Integration Services of a Document Management System	10/1/2020	9/30/2023	Request for Proposal	1	None	0
FY20NComptroller54	Comptroller	Implementation/Integration Services of a Document Management System	10/1/2020	9/30/2023	Intergovernmental	1	None	0
FY20NComptroller55	Comptroller	Implementation/Integration Services of an Investment Book of Record System to Support Direct Access to Financial Markets	10/1/2020	9/30/2023	Request for Proposal	1	None	0
FY20NComptroller56	Comptroller	Tax Reclaim Evaluator	10/1/2020	9/30/2023	Request for Proposal	1	None	0
FY20NComptroller57	Comptroller	Management and Best Practice Analysis	10/1/2020	9/30/2023	Request for Proposal	1	None	0
FY20NComptroller58	Comptroller	Management and Best Practice Analysis	10/1/2020	9/30/2023	Intergovernmental	1	None	0
FY20NComptroller59	Comptroller	Management and Best Practice Analysis	10/1/2020	9/30/2023	Negotiated Acquisition	1	None	0
FY20NComptroller60	Comptroller	Custodian Services for Short-Term Investment Assets	1/1/2020	10/31/2022	Negotiated Acquisition Extension	1	None	0
FY20NComptroller61	Comptroller	Legal Services/Counsel Pool in Connection with Real Estate Investments	2/1/2021	1/31/2024	Request for Proposal	1	None	0
FY20NComptroller62	Comptroller	Independent Evaluation of Investment Transition Management Services	10/1/2020	9/30/2023	Request for Proposal	1	None	0
FY20NComptroller63	Comptroller	Fire Life Insurance Fund Manager	10/1/2020	9/30/2023	Negotiated Acquisition Extension	1	None	0

Local Law 63 Plan Fiscal 2020 New Procurements

Plan ID #	Agency	Description of Services to be Provided	Anticipated Contract Start Date	Anticipated Contract End Date	Anticipated Procurement Method	Anticipated Fiscal Quarter	Job Titles	Head-count
FY20NComptroller64	Comptroller	Master Custodian Services	10/1/2020	9/30/2023	Request for Proposal	1	None	0
FY20NComptroller65	Comptroller	Implementation/Integration Services for a Document Management and Compliance System	10/1/2020	9/30/2023	Request for Proposal	3	None	0
FY20NComptroller66	Comptroller	Implementation/Integration Services for a Document Management and Compliance System	10/1/2020	9/30/2023	Intergovernmental	3	None	0
FY20NComptroller67	Comptroller	Investment Manager for Foreign Exchange Currency Hedging	10/1/2020	9/30/2023	Request for Proposal	3	None	0
FY20NComptroller68	Comptroller	Consulting Services for Emerging Markets Country Screen	10/1/2020	9/30/2023	Request for Proposal	3	None	0
FY20NComptroller69	Comptroller	Financial Statements, Single Audits and Related Services	7/1/2020	6/30/2025	Request for Proposal	2	None	0
FY20NComptroller70	Comptroller	Installation of PCs & Laptops	10/1/2019	9/30/2022	Intergovernmental	2	Computer Specialist;	30
FY20NComptroller71	Comptroller	Installation of PCs & Laptops	10/1/2019	9/30/2022	Competitive Sealed Bid	2	Computer Specialist;	30
FY20NComptroller72	Comptroller	Server Installation	10/1/2019	9/30/2025	Intergovernmental	2	Computer Specialist;	30
FY20NComptroller73	Comptroller	Server Installation	10/1/2019	9/30/2025	Negotiated Acquisition	2	Computer Specialist;	30
FY20NComptroller74	Comptroller	Purchase, Upgrade and Installation of Veritas Clearwell & eDiscovery Software	12/1/2019	11/30/2021	Negotiated Acquisition	2	Computer Specialist;	30
FY20NComptroller75	Comptroller	Purchase, Upgrade and Installation of Veritas Clearwell & eDiscovery Software	12/1/2019	11/30/2021	Intergovernmental	2	Computer Specialist;	30
FY20NComptroller75	Comptroller	Services for Proxy Servers & Wireless Controllers	12/1/2019	11/30/2020	Intergovernmental	2	Computer Specialist;	30
FY20NComptroller76	Comptroller	Services for Proxy Servers & Wireless Controllers	12/1/2019	11/30/2020	Negotiated Acquisition	2	Computer Specialist;	30
FY20NComptroller77	Comptroller	Microsoft Consulting	11/1/2019	10/31/2022	Negotiated Acquisition	2	Computer Specialist;	30
FY20NComptroller78	Comptroller	Microsoft Consulting	11/1/2019	10/31/2022	Sole Source	2	Computer Specialist;	30

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Plan ID #	Agency	Description of Services to be Provided	Anticipated Contract Start Date	Anticipated Contract End Date	Anticipated Procurement Method	Anticipated Fiscal Quarter	Job Titles	Head-count
FY20NComptroller79	Comptroller	Penetration Testing	1/1/2020	12/31/2025	Negotiated Acquisition	3	Computer Specialist;	30
FY20NComptroller80	Comptroller	Penetration Testing	1/1/2020	12/31/2025	Intergovernmental	3	Computer Specialist;	30
FY20NComptroller81	Comptroller	Hewlett Packard Managed Print Services	6/1/2020	5/31/2023	Intergovernmental	4	Computer Specialist;	30
FY20NComptroller82	Comptroller	Hewlett Packard Managed Print Services	6/1/2020	5/31/2023	Negotiated Acquisition	4	Computer Specialist;	30
FY20NComptroller83	Comptroller	Microsoft Premier Support	7/1/2019	6/30/2021	Intergovernmental	1	Computer Specialist;	30
FY20NComptroller84	Comptroller	Microsoft Premier Support	7/1/2019	6/30/2021	Negotiated Acquisition	1	Computer Specialist;	30
FY20NComptroller85	Comptroller	Cisco Smartnet Maintenance	7/1/2019	6/30/2021	Task Order	1	None	0
FY20NComptroller86	Comptroller	Checkbook NYC Support, Development & Webhosting	7/1/2020	6/30/2021	Negotiated Acquisition Extension	4	Computer Specialist;	30
FY20NComptroller87	Comptroller	Checkbook NYC Support, Development & Webhosting	7/1/2020	6/30/2023	Request for Proposal	4	Computer Specialist;	30
FY20NComptroller88	Comptroller	Checkbook NYC Support, Development & Webhosting	7/1/2020	6/30/2023	Negotiated Acquisition	4	Computer Specialist;	30
FY20NComptroller89	Comptroller	Website Hosting	7/1/2020	6/30/2023	Request for Proposal	4	Computer Specialist;	30
FY20NComptroller90	Comptroller	Website Hosting	7/1/2020	6/30/2023	Intergovernmental	4	Computer Specialist;	30
FY20NComptroller91	Comptroller	Website Hosting	7/1/2020	6/30/2023	Negotiated Acquisition	4	Computer Specialist;	30
FY20NComptroller92	Comptroller	Business Continuity/Disaster Recovery Plan	10/1/2019	9/30/2022	Negotiated Acquisition	2	Computer Specialist;	30

Plan ID #	Agency	Vendor	Description of Services to be Provided	Expiring Contract Award Method	Expiring Contract Type	Expiring Contract End Date	Anticipated R/E Method	Anticipated Modifications to Scope (if any)	Anticipated New Start Date	Anticipated New End Date	Reason for R/E	Job Titles	Head-count
FY20RCOMP2	Comptroller	Wellington Capital Management	U.S. Mid Cap Equity Investment Management Agreement	10	25	6/30/2019	Amendment Extension	none	7/1/2019	6/30/2020	Continuation of Services	None	0
FY20RCOMP3	Comptroller	Ares Management LLC	Bank Loan Pool Investment Management Agreement	10	25	6/30/2019	Renewal	None	7/1/2019	6/30/2022	Continuation of services	None	0
FY20RCOMP4	Comptroller	Bain Capital Credit, LP	Bank Loan Pool Investment Management Agreement	10	25	6/30/2019	Renewal	None	7/1/2019	6/30/2022	Continuation of services	None	0
FY20RCOMP5	Comptroller	Crescent Capital Group LP	Bank Loan Pool Investment Management Agreement	10	25	6/30/2019	Renewal	None	7/1/2019	6/30/2022	Continuation of services	None	0
FY20RCOMP6	Comptroller	Fidelity Institutional Asset Management Trust Co.	Bank Loan Pool Investment Management Agreement	10	25	6/30/2019	Renewal	None	7/1/2019	6/30/2022	Continuation of services	None	0
FY20RCOMP7	Comptroller	Pine Bridge Investments LLC	Bank Loan Pool Investment Management Agreement	10	25	6/30/2019	Renewal	None	7/1/2019	6/30/2022	Continuation of services	None	0
FY20RCOMP8	Comptroller	BlackRock Financial Management, Inc.	Fixed Income Passive Index Pool	10	25	6/30/2019	Renewal	None	7/1/2019	6/30/2022	Continuation of services	None	0
FY20RCOMP9	Comptroller	State Street Global Advisors Trust Company	Fixed Income Passive Index Pool	10	25	6/30/2019	Renewal	None	7/1/2019	6/30/2022	Continuation of services	None	0
FY20RCOMP11	Comptroller	Russell Implementation Services	Foreign Exchange Services	10	25	9/30/2019	Renewal	None	10/1/2019	9/30/2022	Continuation of services	None	0
FY20RCOMP12	Comptroller	New Heights Solutions, LLC	Supplemental Staff to Support BAM's IT and Investment Operations	5	10	9/30/2019	Amendment Extension	None	10/1/2019	9/30/2020	Continuation of services	None	0
FY20RCOMP13	Comptroller	Stepstone Group LP	Infrastructure Consultant	10	25	10/19/2019	Renewal	None	10/20/2019	10/19/2021	Continuation of services	None	0
FY20RCOMP14	Comptroller	Day Pitney, LLP	Private Market Investments Counsel Pool -PE & Opportunistic Fixed Income	10	25	10/31/2019	Renewal	None	11/1/2019	10/31/2021	Continuation of services	None	0
FY20RCOMP15	Comptroller	Foley & Lardner LLP	Private Market Investments Counsel Pool -PE & Opportunistic Fixed Income	10	25	10/31/2019	Renewal	None	11/1/2019	10/31/2021	Continuation of services	None	0
FY20RCOMP16	Comptroller	Foster Pepper PLLC	Private Market Investments Counsel Pool -PE & Opportunistic Fixed Income	10	25	10/31/2019	Renewal	None	11/1/2019	10/31/2021	Continuation of services	None	0
FY20RCOMP17	Comptroller	Morgan, Lewis & Bockius LLP	Private Market Investments Counsel Pool -PE & Opportunistic Fixed Income	10	25	10/31/2019	Renewal	None	11/1/2019	10/31/2021	Continuation of services	None	0
FY20RCOMP18	Comptroller	Pillsbury Winthrop Shaw Pittman, LLP	Private Market Investments Counsel Pool -PE & Opportunistic Fixed Income	10	25	10/31/2019	Renewal	None	11/1/2019	10/31/2021	Continuation of services	None	0
FY20RCOMP19	Comptroller	Reinhart Boerner Van Dueren	Private Market Investments Counsel Pool -PE & Opportunistic Fixed Income	10	25	10/31/2019	Renewal	None	11/1/2019	10/31/2021	Continuation of services	None	0
FY20RCOMP20	Comptroller	Squire Patton Boggs (US) LLP	Private Market Investments Counsel Pool -PE & Opportunistic Fixed Income	10	25	10/31/2019	Renewal	None	11/1/2019	10/31/2021	Continuation of services	None	0
FY20RCOMP21	Comptroller	Institutional Shareholder Services Inc	Proxy Voting and Reporting Platform Services	5	25	11/30/2019	Renewal	None	12/1/2019	11/30/2022	Continuation of services	None	0
FY20RCOMP22	Comptroller	Blackrock Institutional Trust Company	International Emerging Markets Passive Index Equity Securities Investment Management Agreement	10	25	12/31/2019	Amendment Extension	None	1/1/2020	12/31/2020	Continuation of services	None	0
FY20RCOMP23	Comptroller	State Street Bank & Trust Company, N.A.	Custodian Agreement for Short Term Investment Assets	10	10	12/31/2019	Amendment Extension	None	1/1/2020	12/31/2020	Continuation of services	None	0
FY20RCOMP24	Comptroller	Cox, Castle & Nicholson LLP	Legal Services in Support of Private Market Investments	10	25	1/31/2020	Amendment Extension	None	2/1/2020	1/31/2021	Continuation of services	None	0
FY20RCOMP25	Comptroller	Day Pitney, LLP	Legal Services in Support of Private Market Investments	10	25	1/31/2020	Amendment Extension	None	2/1/2020	1/31/2021	Continuation of services	None	0
FY20RCOMP26	Comptroller	Foster Pepper PLLC	Legal Services in Support of Private Market Investments	10	25	1/31/2020	Amendment Extension	None	2/1/2020	1/31/2021	Continuation of services	None	0
FY20RCOMP27	Comptroller	Morgan, Lewis & Bockius	Legal Services in Support of Private Market Investments	10	25	1/31/2020	Amendment Extension	None	2/1/2020	1/31/2021	Continuation of services	None	0
FY20RCOMP28	Comptroller	Pillsbury Winthrop Shaw Pittman, LLP	Legal Services in Support of Private Market Investments	10	25	1/31/2020	Amendment Extension	None	2/1/2020	1/31/2021	Continuation of services	None	0
FY20RCOMP29	Comptroller	Reinhart Boerner Van Deuren	Legal Services in Support of Private Market Investments	10	25	1/31/2020	Amendment Extension	None	2/1/2020	1/31/2021	Continuation of services	None	0

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Renewals/Extensions**

FY20RCOMP30	Comptroller	Seward & Kissel LLP	Legal Services in Support of Private Market Investments	10	25	1/31/2020	Amendment Extension	None	2/1/2020	1/31/2021	Continuation of services	None	0
FY20RCOMP31	Comptroller	Advent Capital Mgmt. LLC	Convertible Bonds Investment Management Services	10	25	3/31/2020	Amendment Extension	None	4/1/2020	3/31/2021	Continuation of services	None	0
FY20RCOMP32	Comptroller	Victory Capital Management	Convertible Bonds Investment Management Services	10	25	3/31/2020	Amendment Extension	None	4/1/2020	3/31/2021	Continuation of services	None	0
FY20RCOMP33	Comptroller	RBC Global Asset Mgmt (US) Inc.	Economically Targeted Agreement Investment Management Agreement	10	25	3/31/2020	Renewal	None	4/1/2020	3/31/2023	Continuation of services	None	0
FY20RCOMP34	Comptroller	Algert Global LLC	Non-US Small Cap Equity Investment Management Agreement	5	25	3/31/2020	Renewal	None	4/1/2020	3/31/2023	Continuation of services	None	0
FY20RCOMP35	Comptroller	Leading Edge Investment Advisors, LLC	Public Equity Fund of Fund / Emerging Managers Investment Management Agreement	10	25	3/31/2020	Renewal	None	4/1/2020	3/31/2023	Continuation of services	None	0
FY20RCOMP36	Comptroller	Legato Capital Management, LLC	Public Equity Fund of Fund/ Emerging Managers Investment Management Agreement	10	25	3/31/2020	Renewal	None	4/1/2020	3/31/2023	Continuation of services	None	0
FY20RCOMP37	Comptroller	Bivium Capital Partners, LLC	Public Equity Fund of Fund / Emerging Managers Investment Management Agreement	10	25	3/31/2020	Renewal	None	4/1/2020	3/31/2023	Continuation of services	None	0
FY20RCOMP38	Comptroller	FIS Group, Inc.	Public Equity Fund of Fund / Emerging Managers Investment Management Agreement	10	25	3/31/2020	Renewal	None	4/1/2020	3/31/2023	Continuation of services	None	0
FY20RCOMP39	Comptroller	QED Financial Systems, Inc.	Maintenance of servers and historical PARIS	5	50	11/30/2019	Renewal	none	12/1/2019	11/30/2024	Continuation of services	None	0
FY20RCOMP40	Comptroller	Bloomberg LP	Bloomberg Terminal Services - Financial Reporting for BAM	43	43	4/30/2020	Renewal	none	5/1/2020	4/30/2022	Continuation of services	None	0
FY20RCOMP41	Comptroller	Bloomberg LP	Bloomberg AIM- Asset and Investment Manager	43	43	4/30/2020	Renewal	none	5/1/2020	4/30/2022	Continuation of services	None	0