New York City Campaign Finance Board
100 Church Street, 12th Floor, New York, NY 10007
212.409.1800 | www.nyccfb.info

Solicitation for Application Development Services to Complete Development of a "Paperless Voter" Opt-In/Opt-Out System for the NYC Voter Guide

PIN #004201700015
(Contract amount not to exceed $99,999)

Release Date: April 26, 2017

Response Due Date: May 10, 2017 by 5 p.m.

The New York City Campaign Finance Board ("CFB") is seeking an application developer to complete development of a .Net based web application with a SQL server backend database that allows NYC voters to opt-in to receive email communications and opt-out of receiving printed Voter Guides by mail.

BACKGROUND

The New York City Campaign Finance Board ("CFB") was created in 1988 as an independent, nonpartisan city agency that enhances the role of New York City residents in elections. The CFB's mission is to increase voter participation and awareness, provide campaign finance information to the public, enable more citizens to run for office, strengthen the role of small contributors, and reduce the potential for actual or perceived corruption.

Since 1989, the City Charter has mandated the CFB to produce the official Voter Guide (Guide) for New York City, providing information about the offices, candidates, and proposals on the ballot for every regularly scheduled election, and to mail a printed Guide to every New York City household with an eligible registered voter. Recent legislative changes to the Charter have amended that mandate to permit voters to opt out of receiving a printed copy of the Voter Guide by postal mail.

The CFB also produces an interactive online Voter Guide containing the same information as the printed editions. To ensure voters can opt-out of receiving printed Guides while continuing to be informed about local elections, the CFB has begun development of a web-based system that permits voters to locate their voter record—referencing data supplied to the CFB by the NYC Board of Elections (BOE)—and opt out of receiving printed Guides by opting in to receiving email alerts that will keep them informed about local elections and connect them to the online guide when it is published.

The CFB uses NationBuilder to manage its election-based email alerts. The "paperless voter" system the CFB seeks to develop must generate an opt-in list containing much of the data in each paperless voter's BOE record in a format that supports uploading to NationBuilder or, preferably, connect directly to NationBuilder to add paperless voters to the election-alerts email list on a transactional basis.

The BOE-supplied voter data that will power the paperless voter system is also used by the CFB's printing contractor to create the printed Voter Guide mailing list. The completed paperless voter system must enable the CFB to generate a filtered version of the BOE voter data file, i.e., the BOE voter data file minus all voters who have opted to go paperless. **Please note that there are approximately 4.5 million active voter records in the BOE-supplied data file.**

The BOE provides a new voter data file each month (in which new registrants have been added and some records have changed, e.g., to reflect changes of address submitted by existing voters). The paperless voter system must support uploading this new file (overwriting the old file) on a monthly basis, while maintaining the opt-outs already processed. In other words, the system cannot process opt-outs by simply deleting voter records from uploaded BOE data, because it will be overwritten. In addition, voters who have opted out must remain opted out even when they change aspects of their record, such as their residential address.

Currently, the CFB has a working beta version of the paperless voter user interface that references the BOE data, enables voter record look-up, and creates a simple opt-out list. The contractor selected via this solicitation will utilize the work already performed to finish a launch-ready system that meets all the CFB's technical requirements, preferably using Agile development practices. The beta system is housed on Microsoft's Azure platform; the selected contractor may continue development on this platform, or port it to another platform with the CFB's approval.

PROJECT REQUIREMENTS

Complete the development of a .NET Core MVC web-based application with a SQL server backend database that:

- Has an intuitive web-based user interface enabling NYC voters to enter specific information to find their voter record in the BOE voter data file and opt to "go paperless"
- Requires provision of an email address and generates an onscreen error message if the structure of the supplied email appears to be invalid
- Alerts users on-screen that by opting out of receiving printed Guides, they are opting in to receive election-related email alerts
- Implements bot prevention during the opt-out process

- Automatically generates a verification email to the supplied address requiring the user to confirm their opt-in/opt-out, and only processes opt-outs that complete this step.

- Enables the CFB to upload a new BOE file on a monthly basis while: (a) retaining the information about which voters have opted to go paperless, (b) updating the record of any paperless voter whose information, e.g., address, has changed

- Enables the CFB to export a "filtered" data file (all the BOE-supplied voter records minus voters who have opted to go paperless) on demand, for use by the CFB's commercial mail house

- Either connects directly to the CFB's NationBuilder system to add paperless voters to the email alerts list, or generates a file of paperless voters that can be imported into NationBuilder in an automated manner, including updating information that has changed for voters who previously went paperless

- Provides a mechanism for the CFB to restore voters to the Voter Guide mailing list, either automatically (preferred) or via batch processing, if the verified email becomes invalid

- Allows a voter to manually opt back in to receiving paper Guides through the user interface

- Provides administrative reporting tools that enable the CFB to track and analyze use of the system, number of opt-outs, etc.

The ideal vendor will have expertise working with large datasets (there are approximately 4.5 million active voter records in the BOE database), including experience with securing this data and dealing with performance-related issues. The ideal vendor will have demonstrated ability to create applications such as described in this solicitation. Experience working with NationBuilder's API is a plus.

ANTICIPATED TIMELINE

Solicitation release .... April 26, 2017
Responses due .... May 10, 2017 by 5 p.m.
Interviews with vendors .... May 15–18, 2017 by appointment
Tentative contractor selection .... May 19, 2017
Contract to vendor for execution .... approximately May 26, 2017
Contract registration .... approximately June 29, 2017
Selected vendor commences work .... approximately July 3, 2017
Target launch date .... August 28, 2017

RESPONDING TO THIS SOLICITATION

Responses to this solicitation must be **received by the CFB no later than 5 p.m. on May 10, 2017** and must include the following:

- **A completed Vendor Response Form** (Attachment A), on which you will provide information about your organization and the personnel you would assign to this project; your organization's experience and expertise in designing and developing systems similar to the project described in this solicitation; your work for other city agencies (if any); references the CFB may contact; a concise description of your approach to this project; and your rates for the project.

- **Iran Divestment Act Certification Form** (Attachment B)

- **Affirmation** (Attachment C)

- **Doing Business Data Form** (Attachment D)

You may also submit any additional information that you believe may help us evaluate your organization.

Responses must be emailed, mailed, or hand-delivered by the deadline to:

Elizabeth Upp
NYC Campaign Finance Board
100 Church St, 12th Floor
New York, NY 10007
eupp@nyccfb.info

Questions concerning this solicitation can be directed to Elizabeth Upp at eupp@nyccfb.info or (212) 409-1760.

EVALUATION AND CONTRACT AWARD PROCEDURES

The CFB's Evaluation Committee will evaluate and rate all responses based on the Evaluation Criteria prescribed below. One or more proposers may be invited to the CFB for an interview prior to award of the contract. Discussions may be conducted with organizations responding to this solicitation, but award of the contract may be made without any discussions.

A. Evaluation criteria:

- Demonstrated experience and expertise in providing similar services of the highest professional quality (30 points)

- Quality of proposed work plan, including proposed project timeline (25 points)

- Technical and human resources allotted to the project (25 points)
- Fees/cost (20 points)

B. Basis of contract award.

The contract will be awarded to the responsible proposer whose response is determined to be the most advantageous to the city, taking into consideration cost and the other criteria listed above. Contract award shall be subject to timely completion of contract negotiations between the CFB and the proposer.

The contents of this solicitation and the selected response will be incorporated into and made part of the final contract. The anticipated term of the contract is one year.

GENERAL PROPOSER REQUIREMENTS AND INFORMATION

A. Insurance Requirements.

The selected contractor shall not commence performing services unless and until the following required insurance is in effect and documentation is provided to the CFB:

Commercial General Liability Insurance

1. The Contractor shall maintain Commercial General Liability Insurance covering the Contractor as Named Insured and the City as an Additional Insured in the amount of at least One Million Dollars ($1,000,000) per occurrence. Such insurance shall protect the City and the Contractor from claims for property damage and/or bodily injury, including death that may arise from any of the operations under this Agreement. Coverage under this insurance shall be at least as broad as that provided by the most recently issued Insurance Services Office (“ISO”) Form CG 0001, and shall be "occurrence" based rather than “claims-made.”

2. Such Commercial General Liability Insurance shall name the City, together with its officials and employees, as an Additional Insured with coverage at least as broad as the most recently issued ISO Form CG 20 10.

Professional Liability Insurance

3. The Contractor shall maintain and submit evidence of Professional Liability Insurance appropriate to the type(s) of such services to be provided under this Agreement in the amount of at least One Million Dollars ($1,000,000) per claim. The policy or policies shall include an endorsement to cover the liability assumed by the Contractor under this Agreement arising out of the negligent performance of professional services or caused by an error, omission or negligent act of the Contractor or anyone employed by the Contractor.

4. All subcontractors of the Contractor providing professional services under this Agreement for which Professional Liability Insurance is reasonably commercially available shall also maintain such insurance in the amount of at least One Million Dollars ($1,000,000) per claim, and the Contractor shall provide to the Department, at the time of the request for subcontractor approval, evidence of such Professional Liability Insurance on forms acceptable to the Department.

5. Claims-made policies will be accepted for Professional Liability Insurance. All such policies shall have an extended reporting period option or automatic coverage of not less than two (2) years. If available as an option, the Contractor shall purchase extended reporting period coverage effective on cancellation or termination of such insurance unless a new policy is secured with a retroactive date, including at least the last policy year.

B. Contractual Requirements.

Contract award is subject to all applicable laws, rules, and regulations promulgated by any federal, state, or municipal authority having jurisdiction over the subject matter thereof, including all applicable provisions of federal, New York State and New York City laws and executive orders requiring affirmative action and equal employment opportunity. The selected contractor will be required to sign the City's standard contract provisions (see Appendix A, attached hereto, for provisions that are included in all City contracts). All subcontractors are also subject to the City's contracting requirements. By submitting a proposal, the proposer understands that these standard contract provisions will become part of the final contract.

C. Electronic Funds Transfer.

The selected proposer will be required to accept payment from the City by electronic funds transfer. Prior to the first payment, the selected proposer shall designate one financial institution or other authorized payment agent and shall complete an "EFT Vendor Payment Enrollment Form" in order to provide the Commissioner of Finance with information necessary for the selected proposer to receive electronic funds transfer payments through the designated financial institution or authorized payment agent. This form is not required as part of the proposal.

Additional Information

1. **Complaints.** The New York City Comptroller is charged with the audit of contracts in New York City. Any proposer who believes that there has been unfairness, favoritism or impropriety in the proposal process should inform the Comptroller, Office of Contract Administration, 1 Centre Street, Room 835, New York, NY 10007; the telephone number is (212) 669-3000. In addition, the New York City Department of Investigation should be informed of such complaints at its Investigations Division, 80 Maiden Lane, New York, NY 10038; the telephone number is (212) 825-5959.

2. **Applicable Laws.** This solicitation and the resulting contract award(s), if any, unless otherwise stated, are subject to all applicable provisions of New York State Law, the New York City Administrative Code, New York City Charter and New York City Procurement Policy Board (PPB) Rules. A copy of the PPB Rules may be obtained by contacting the PPB at (212) 788-7820.

3. **General Contract Provisions.** Contracts shall be subject to New York City's General Contract Provisions, a copy of which is attached hereto.

4. **Proposer Appeal Rights.** Pursuant to New York City's Procurement Policy Board Rules, proposers have the right to appeal agency non-responsiveness determinations and agency non-responsibility determinations and to protest an agency's determination regarding the solicitation or award of a contract.

5. **Multi-Year Contracts.** Multi-year contracts are subject to modification or cancellation if adequate funds are not appropriated to the agency to support continuation of performance in any City fiscal year succeeding the first fiscal year and/or if the contractor's performance is not satisfactory. The agency will notify the contractor as soon as is practicable that the funds are, or are not, available for the continuation of the multi-year contract for each succeeding City fiscal year. In the event of cancellation, the contractor will be reimbursed for those costs, if any, which are so provided for in the contract.

6. **Prompt Payment Policy.** Pursuant to the New York City's Procurement Policy Board Rules, it is the policy of the City to process contract payments efficiently and expeditiously.

7. **Prices Irrevocable.** Prices proposed by the proposer shall be irrevocable until contract award, unless the proposal is withdrawn. Proposals may only be withdrawn by submitting a written request to the agency prior to contract award but after the expiration of 90 days after the opening of proposals. This shall not limit the discretion of the agency to request proposers to revise proposed prices through the submission of best and final offers and/or the conduct of negotiations.

8. **Confidential, Proprietary Information or Trade Secrets.** Proposers should give specific attention to the identification of those portions of their proposals that they deem to be confidential, proprietary information or trade secrets and provide any justification of why such materials, upon request, should not be disclosed by the City. Such information must be easily separable from the non-confidential sections of the proposal.

9. **Postponement/Cancellation.** The agency reserves the right to postpone or cancel this solicitation, in whole or in part, and to reject all proposals.

10. **Proposer Costs.** Proposers will not be reimbursed for any costs incurred to prepare proposals.

ATTACHMENT A: VENDOR RESPONSE FORM

Please complete and submit this form with your response. Responses must be **received** at the CFB by **May 10, 2017 at 5 PM**. Proposals can be emailed, faxed, or hand delivered.

Company Name: ____

Address: ____

____

Contact Person: ____

Phone: ____

Fax: ____

Email: ____

Project Manager: ____

Project members/roles:

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Please provide a resume for each proposed team member, including the project manager.

Please provide the following information:

1. A description of your company including any areas of specialization (advertising, government, educational, etc.).

2. How long have you been in the business of providing application development services, particularly .Net development services?

3. Total billings and/or hours billed for the provision of application development services.

4. Total number of staff (full time or temporary), and total number of staff you will assign to this project.

5. If you currently have any other contracts with a NYC agency, provide a brief description along with the agency name and contact information (attach a separate sheet if necessary).

6. Describe any specific knowledge, skills, and experience that make your company well suited to perform the work described in this solicitation. This should include a description of relevant projects conducted within the last two years that demonstrate your company's ability to carry out the specified work. Please include any experience working with voter data and/or the NationBuilder API.

7. Please provide a brief description of your approach to completing this project, including anticipated project timeline.

8. Please provide the names and contact information for three professional references we may contact regarding your work on similar projects.

Project Rates

Please list all rates that will apply to this project in the space below. **The CFB cannot approve payment for any rates or fees that are not listed on this submission**, which will become part of the final agreement between the selected vendor and the CFB, so please be sure to indicate **ALL** applicable costs. Payments for work will be made to the selected vendor based on these supplied rates and the amount of work actually performed. The amount of work required by the CFB to complete this project may vary, and no minimum amount of work is guaranteed under this contract. Payments under the resulting Agreement cannot exceed $99,999.

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ATTACHMENT B: CERTIFICATION OF COMPLIANCE WITH IRAN DIVESTMENT ACT

Pursuant to General Municipal Law §103-g, which generally prohibits the City from entering into contracts with persons engaged in investment activities in the energy sector of Iran, the bidder/proposer submits the following certification: [*Please Check One*]

BIDDER'S CERTIFICATION

☐ By submission of this bid or proposal, each bidder/proposer and each person signing on behalf of any bidder/proposer certifies, and in the case of a joint bid each party thereto certifies as to its own organization, under penalty of perjury, that to the best of its knowledge and belief, that each bidder/proposer is not on the list created pursuant to paragraph (b) of subdivision 3 of Section 165-a of the State Finance Law.

☐ I am unable to certify that my name and the name of the bidder/proposer does not appear on the list created pursuant to paragraph (b) of subdivision 3 of Section 165-a of the State Finance Law. I have attached a signed statement setting forth in detail why I cannot so certify.

Dated: __________, New York
_______ , 20 __

____
SIGNATURE

____
PRINTED NAME

____
TITLE

Sworn to before me this
_____ day of_____, 20___

____
Notary Public

Dated:

ATTACHMENT C: AFFIRMATION

The undersigned proposer or bidder affirms and declares that said proposer or bidder is not in arrears to the City of New York upon debt, contract or taxes and is not a defaulter, as surety or otherwise, upon obligation to the City of New York, and has not been declared not responsible, or disqualified, by any agency of the City of New York, nor is there any proceeding pending relating to the responsibility or qualification of the proposer or bidder to receive public contract except ____.

Full name of Proposer or Bidder *[below]*

____

Address____

City___________________________ State_____________________ Zip Code____________

CHECK ONE BOX AND INCLUDE APPROPRIATE NUMBER:

☐ A - Individual or Sole Proprietorships

SOCIAL SECURITY NUMBER _____________________________________

☐ B - Partnership, Joint Venture or other unincorporated organization

EMPLOYER IDENTIFICATION NUMBER ___________________________

☐ C - Corporation

EMPLOYER IDENTIFICATION NUMBER ___________________________

By_____________________________
Signature

____
Title

If a corporation place seal here

Must be signed by an officer or duly authorized representative.

* Under the Federal Privacy Act, the furnishing of Social Security numbers by bidders or proposers on City contracts is voluntary. Failure to provide a Social Security number will not result in a bidder's/proposer's disqualification. Social Security numbers will be used to identify bidders, proposers or vendors to ensure their compliance with laws, to assist the City in enforcement of laws, as well as to provide the City a means of identifying businesses seeking City contracts.

ATTACHMENT D: Doing Business Data Form

Pursuant to Local Law 34 of 2007, amending the City's Campaign Finance Law, the City is required to establish a computerized database containing the names of any "person" that has "business dealings with the city" as such terms are defined in Local Law. In order for the City to obtain necessary information to establish the required database, vendors responding to this solicitation are required to complete the attached Doing Business Data Form and return it with this proposal. (If the responding vendor is a proposed joint venture, the entities that comprise the proposed joint venture must each complete a Data Form.) If the City determines that a vendor has failed to submit a Data Form or has submitted a Data Form that is not complete, the vendor will be notified by the agency and will be given four (4) calendar days from receipt of notification to cure the specified deficiencies and return a complete Data Form to the agency. Failure to do so will result in a determination that the proposal is non-responsive. Receipt of notification is defined as the day notice is e-mailed or faxed (if the vendor has provided an e-mail address or fax number), or no later than five (5) days from the date of mailing or upon delivery, if delivered.

Attached are two separate documents: the Doing Business Data Form, which must be completed and submitted with your proposal, and a Frequently Asked Questions (FAQ) about the Doing Business Accountability Project, which is provided to explain why this data is being collected and how it will be used.

DOING BUSINESS ACCOUNTABILITY PROJECT

QUESTIONS AND ANSWERS ABOUT THE DOING BUSINESS DATA FORM

What is the purpose of this *Data Form*?

To collect accurate, up-to-date identification information about organizations that have business dealings with the City of New York in order to comply with Local Law 34 of 2007 (LL 34), the recently passed campaign finance reform law. LL 34 limits municipal campaign contributions from principal officers, owners and senior managers of entities doing business with the City and mandates the creation of a *Doing Business Database* to allow the City to enforce the law. The information requested in this *Data Form* must be provided, regardless of whether the organization or the people associated with it make or intend to make campaign contributions. No sensitive personal information collected will be disclosed to the public.

Why have I received this *Data Form*?

The contract, franchise, concession, grant or economic development agreement you are proposing on, applying for or have already been awarded is considered a business dealing with the City under LL 34. <u>No proposal or application will be considered and no award will be made unless this *Data Form* is completed</u>. Most transactions valued at more than $5,000 are considered business dealings and require completion of the *Data Form*. Exceptions include transactions awarded on an emergency basis or by publicly advertised, non-pre-qualified, competitive sealed bid. Other types of transactions that are considered business dealings include real property and land use actions with the City.

What individuals will be included in the *Doing Business Database*?

The principal officers, owners and certain senior managers of organizations listed in the *Doing Business Database* are themselves considered to be doing business with the City and will also be included in the *Database*.

- **Principal Officers** are the Chief Executive Officer (CEO), Chief Financial Officer (CFO) and Chief Operating Officer (COO), or their functional equivalents. See the *Data Form* for examples of titles that apply.

- **Principal Owners** are individuals who own or control 10% of more of the organization. This includes stockholders, partners and anyone else with an ownership or controlling interest in the entity.

- **Senior Managers** include anyone who, either by job title or actual duties, has substantial discretion and high-level oversight regarding the solicitation, letting or administration of any contract, concession, franchise, grant or economic development agreement with the City. At least one Senior Manager must be listed or the Data Form will be considered incomplete.

I have already completed a *Doing Business Data Form*; do I have to submit another one?

Yes. An organization is required to submit a *Doing Business Data Form* each time it enters into a transaction considered a business dealing with the City, including contract, concession and franchise proposals. However, the *Data Form* has both a Change option, which requires only information that has changed since the last *Data Form* was filed, and a No Change option. No organization should have to fill out the entire *Data Form* more than once.

If you have already submitted a *Data Form* for one transaction type (such as a contract), and this is the first time you are completing a *Data Form* for a different transaction type (such as a grant), please select the Change option and complete Section 4 (Senior Managers) for the new transaction type.

Will the personal information on this *Data Form* be available to the public?

No. The names and titles of the officers, owners and senior managers reported on the *Data Form* will be made available to the public, as will information about the organization itself. However, personal identifying information, such as home address, home phone and date of birth, will not be disclosed to the public, and home address and phone number information will not be used for communication purposes.

I provided some of this information on the VENDEX Questionnaire; do I have to provide it again?

Yes. Although the *Doing Business Data Form* and the VENDEX Questionnaire request some of the same information, they serve entirely different purposes. In addition, the *Data Form* requests information concerning senior managers, which is not part of the VENDEX Questionnaire.

What organizations will be included in the *Doing Business Database*?

Organizations that hold $100,000 or more in grants, contracts for goods or services, franchises or concessions ($500,000 for construction contracts), or that hold any economic development agreement or pension fund investment contract, are considered to be doing business with the City for the purposes of LL 34. Because all of the business that an organization does or proposes to do with the City will be added together, the *Data Form* must be completed for all transactions valued at more than $5,000 even if the organization doesn't currently do enough business with the City to be listed in the *Database*.

No one in my organization plans to contribute to a candidate; do I have to fill out this *Data Form*?

Yes. All organizations are required to return this *Data Form* with complete and accurate information, regardless of the history or intention of the entity or its officers, owners or senior managers to make campaign contributions. The *Doing Business Database* must be complete so that the Campaign Finance Board can verify whether future contributions are in compliance with the law.

My organization is proposing on a contract with another firm as a Joint Venture that does not exist yet; how should the Data Form be completed?

A joint venture that does not yet exist must submit a Data Form for each of its component firms. If the joint venture receives the award, it must then complete a form in the name of the joint venture.

How long will an organization and its officers, owners and senior managers remain listed on the *Doing Business Database*?

- **Contract, Concession and Economic Development Agreement holders**: generally for the term of the transaction, plus one year.

- **Franchise and Grant holders**: from the commencement or renewal of the transaction, plus one year.

- **Pension investment contracts**: from the time of presentation on an investment opportunity or the submission of a proposal, whichever is earlier, until the end of the contract, plus one year.

- **Line item and discretionary appropriations**: from the date of budget adoption until the end of the contract, plus one year.

- **Contract proposers**: for one year from the proposal date or date of public advertisement of the solicitation, whichever is later.

- **Franchise and Concession proposers**: for one year from the proposal submission date.

For information on other transaction types, contact the Doing Business Accountability Project.

How does a person remove him/herself from the *Doing Business Database*?

When an organization stops doing business with the City, the people associated with it are removed from the *Database* automatically. However, any person who believes that s/he should not be listed may apply for removal. Reasons that a person would be removed include his/her no longer being the principal officer, owner or senior manager of the organization. Organizations may also update their database information by submitting an update form. Removal Request and Update forms are available online at www.nyc.gov/mocs (once there, click MOCS Programs) or by calling 212-788-8104.

What are the new campaign contribution limits for people doing business with the City?

Contributions to City Council candidates are limited to $250 per election cycle; $320 to Borough President candidates; and $400 to candidates for citywide office. Please contact the NYC Campaign Finance Board for more information at www.nyccfb.info, or 212-306-7100.

The *Data Form* is to be returned to the City office that issued it.

If you have any questions about the *Data Form* please contact the Doing Business Accountability Project at

212-788-8104 or DoingBusiness@cityhall.nyc.gov.

1/3/2011

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

Doing Business Data Form

To be completed by the City agency prior to distribution

Agency: 004 Transaction ID: ____________

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

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

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

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

Section 1: Entity Information

Entity Name: ____________

Entity EIN/TIN: ____________

Entity Filing Status (select one):

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

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

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

Entity is a Non-Profit: ☐ Yes ☐ No

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

Address: ____________

City: ____________ State: ____________ Zip: ____________

Phone : ____________ Fax : ____________

E-mail: ____________

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

Section 2: Principal Officers

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

Chief Executive Officer (CEO) or equivalent officer

☐ This position does not exist

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

First Name: ______________________ MI: _____ Last: ______________________

Office Title: ______________________

Employer (if not employed by entity): ______________________

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

Home Address: ______________________

☐ This person replaced former CEO: ______________________ on date: __________

Chief Financial Officer (CFO) or equivalent officer

☐ This position does not exist

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

First Name: ______________________ MI: _____ Last: ______________________

Office Title: ______________________

Employer (if not employed by entity): ______________________

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

Home Address: ______________________

☐ This person replaced former CFO: ______________________ on date: __________

Chief Operating Officer (COO) or equivalent officer

☐ This position does not exist

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

First Name: ______________________ MI: _____ Last: ______________________

Office Title: ______________________

Employer (if not employed by entity): ______________________

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

Home Address: ______________________

☐ This person replaced former COO: ______________________ on date: __________

Section 3: Principal Owners

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

There are no owners listed because (select one):

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

☐ Other (explain): ______________________________

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

First Name: ______________ MI: ____ Last: ______________

Office Title: ______________

Employer (if not employed by entity): ______________

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

Home Address: ______________

First Name: ______________ MI: ____ Last: ______________

Office Title: ______________

Employer (if not employed by entity): ______________

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

Home Address: ______________

First Name: ______________ MI: ____ Last: ______________

Office Title: ______________

Employer (if not employed by entity): ______________

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

Home Address: ______________

Remove the following previously-reported Principal Owners:

Name: ______________ Removal Date: ______________

Name: ______________ Removal Date: ______________

Name: ______________ Removal Date: ______________

Section 4: Senior Managers

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

Senior Managers:

First Name: ______________________ MI: _____ Last: ______________________

Office Title: ______________________

Employer (if not employed by entity): ______________________

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

Home Address: ______________________

First Name: ______________________ MI: _____ Last: ______________________

Office Title: ______________________

Employer (if not employed by entity): ______________________

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

Home Address: ______________________

First Name: ______________________ MI: _____ Last: ______________________

Office Title: ______________________

Employer (if not employed by entity): ______________________

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

Home Address: ______________________

Remove the following previously-reported Senior Managers:

Name: ______________________ Removal Date: ______________

Name: ______________________ Removal Date: ______________

Certification

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

Name: ______________________

Signature: ______________________ Date: ______________

Entity Name: ______________________

Title: ______________________ Work Phone #: ______________

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

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