



BROOKLYN NAVY YARD DEVELOPMENT CORPORATION

REQUEST FOR PROPOSALS

ENVIRONMENTAL & TRAFFIC CONSULTING SERVICES: ADMIRALS ROW, BROOKLYN NAVY YARD

ISSUE DATE: MARCH 12, 2010

The Brooklyn Navy Yard Development Corporation seeks proposals to provide environmental and traffic consulting services relating to the redevelopment of Admirals Row – a 6.07-acre site on the perimeter of the Brooklyn Navy Yard, at the intersection of Flushing Avenue and Navy Street.

DEADLINE FOR RESPONSES: APRIL 5, 2010, 5:00 PM EST

Questions must be submitted in writing no later than March 25, 2010 to Shani Leibowitz via email: sleibowitz@brooklynnavyyard.com. Addenda to this RFP, including responses to any questions will be posted on BNYDC's website www.brooklynnavyyard.com by March 26, 2010

REQUEST FOR PROPOSALS

ENVIRONMENTAL & TRAFFIC CONSULTING SERVICES: ADMIRALS ROW, BROOKLYN NAVY YARD

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INTRODUCTION

Project Overview

The Brooklyn Navy Yard Development Corporation (BNYDC) is issuing this Request for Proposals (RFP) to select a consulting firm to provide environmental and traffic consulting services and other environmental technical support as needed pursuant to the requirements of the State Environmental Quality Review Act (SEQRA), the City's Environmental Quality Review (CEQR) process, and the Uniform Land Use Review Process (ULURP) in connection with the redevelopment of Admirals Row at the Brooklyn Navy Yard. Development plans for Admirals Row include a large-format supermarket, neighborhood retail and industrial space. Development will incorporate both new construction and renovation of existing structures.

The following actions will be subject to ULURP, SEQRA and CEQR:

- Acquisition of Admirals Row by the City of New York from the federal government
- Lease of Admirals Row from the City of New York to BNYDC
- Special Permit to permit retail larger than 10,000 SF in an industrial zoning district

Federal disposition of Admirals Row will be subject to review under the National Environmental Policy Act (NEPA) and Section 106 of the National Historic Preservation Act.

About BNYDC

BNYDC is a not-for-profit development corporation whose mission, on behalf of the Yard's owner, the City of New York, is to improve the economic well being of the City by developing and maintaining the former Navy Yard as a center for small- and medium-sized industrial businesses. The Yard occupies approximately 300 acres, with 4 million square feet of leasable space spread over more than 40 buildings (See Exhibit 1). It is currently home to 230 businesses, employing more than 5,000 people.

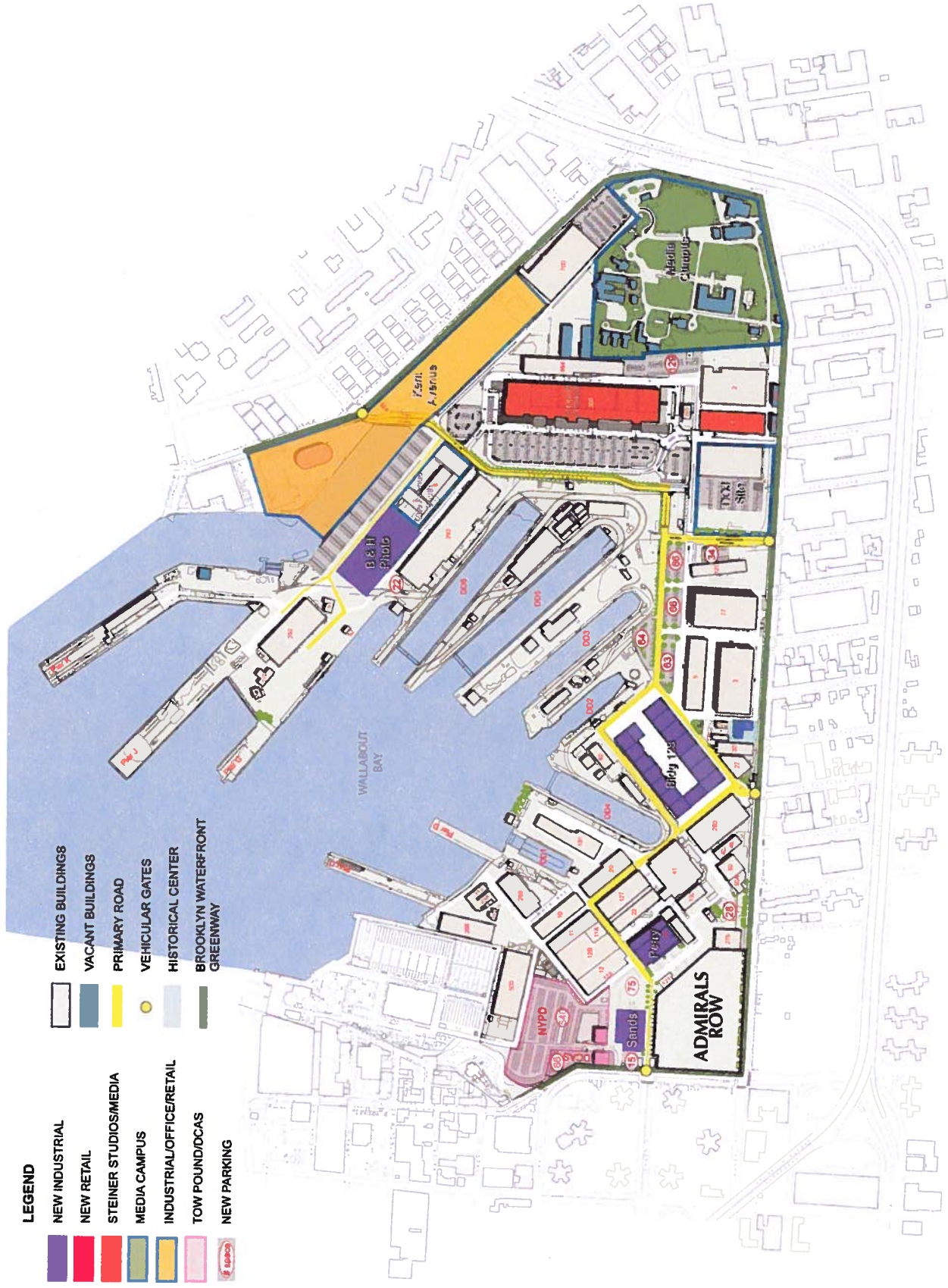
Pre-Submission Meeting and Inquiries

A pre-submission meeting will be held March 19, 2010 at 10:00 am at BNYDC's office in the Brooklyn Navy Yard (Building 292, 3rd floor). Personnel from BNYDC will make a presentation on the Admirals Row project and answer questions regarding this RFP. Persons planning to attend are requested to contact Shani Leibowitz, VP Director of Development & Planning, at sleibowitz@brooklynnavyyard.com.

Please note that site visits will not be allowed, as Admirals Row is still a federally-owned site. However, the site can be viewed from outside the Navy Yard from both Flushing and Navy Streets.

All communication relating to this RFP must be in writing. BNYDC will not respond to telephone calls or other verbal inquiries.

Exhibit 1: Brooklyn Navy Yard Map



- LEGEND**
- NEW INDUSTRIAL
 - NEW RETAIL
 - STEINER STUDIOS/MEDIA
 - MEDIA CAMPUS
 - INDUSTRIAL/OFFICE/RETAIL
 - TOW POUND/DOKS
 - NEW PARKING
 - EXISTING BUILDINGS
 - VACANT BUILDINGS
 - PRIMARY ROAD
 - VEHICULAR GATES
 - HISTORICAL CENTER
 - BROOKLYN WATERFRONT GREENWAY



I. BACKGROUND INFORMATION

A. History

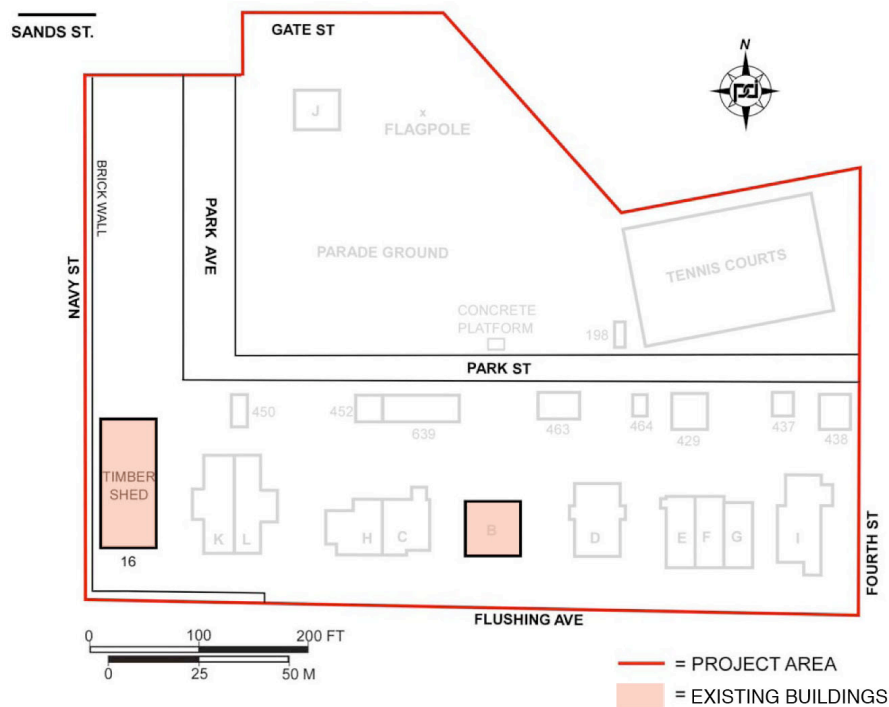
The six-acre Admirals Row Site, at the corner of Flushing Avenue and Navy Street, was initially developed for domestic use in the mid to late 19th century. The Site included a row of single-family, attached and semi-attached masonry senior naval officer quarters fronting Flushing Avenue and also included a Timber Shed at the corner of Flushing and Navy Streets. Though the exact built dates of the buildings have not been determined, it is believed each was built in various years between 1864 and 1901.

While the majority of the Brooklyn Navy Yard was transferred to the City of New York in 1966, the Admirals Row Site has remained under the control of the federal government. The Site, which had been fenced off from the interior of the Navy Yard, was used for federal government functions until it was vacated in the 1970s. It continues to be vacant to this day, under the ownership of the Department of the Army– The National Guard Bureau (NGB). No longer meeting the mission of the federal government, the NGB is seeking to sell the property.

Under Public Law 100-202, the United States Congress authorized the sale of the Site to the City of New York at Fair Market Value. Beginning in 2007, the NGB has led a National Historic Preservation Act (NHPA) Section 106 review of the Site in anticipation of disposal of the property as per Public Law 100-202 to the City of New York, and subsequently, to BNYDC.

In anticipation of purchasing the Site, BNYDC issued a Request for Proposals in July 2009 for developers to redevelop the Admirals Row Site by incorporating historic structures and constructing new supermarket, retail and industrial space. The SEQRA/CEQR/ULURP review will analyze the development plan that has been selected in that RFP process. The federal government is allowing BNYDC to begin the SEQRA/CEQR/ULURP process prior to the sale of the Site.

Exhibit 2: Site Map



B. Development Goals

The following development goals were considered in the RFP to develop Admirals Row:

Major Components

- **Large Format Grocery Store (~55,000 SF).** There is overwhelming support for a supermarket from the public and community representatives in order to address a public health issue of providing fresh, affordable produce and groceries to a highly underserved population in the Farragut, Walt Whitman and Ingersoll Public Houses. In addition to the surrounding community, a large-format supermarket on Admirals Row will also become a destination market similar to Fairway in Redhook, Pathmark in Atlantic Terminal and Food Town in Bedford Stuyvesant.
- **Community-Oriented Retail,** i.e. bank, dry cleaner, pharmacy, local restaurant, etc.
- **Industrial Space** to meet BNYDC's core mission and to create jobs for the surrounding community
- **Surface Parking.** The site must accommodate sufficient parking to satisfy the retail occupancies.
- **Rehabilitation of Historic Structures as per Section 106 Requirements.** (A) Building B: a three-story structure (plus basement), approximately 7,000 square feet, that will likely be used for community or retail use (B) Timber Shed: a one-story brick structure, approximately 6,000

square feet, that will likely be used for retail use.

Additional Considerations

- LEED Silver certification or higher for renovated and new buildings.
- Sustainable approach to development, including optimizing green space and landscaping opportunities, use of alternate energy sources, and incorporation of various sustainability components such as storm water run-off reduction and water conservation measures.
- Accommodation of a 7-foot strip of land along the Site's Flushing Avenue frontage and a 5- to 7-foot strip of land along the Site's Navy Street frontage that will become part of the Brooklyn Waterfront Greenway for pedestrians and bicyclists.
- Preservation of mature trees along Flushing Avenue, where possible.

Redevelopment of Admirals Row will occur in accordance with a Memorandum of Understanding (MOU) between the NGB, SHPO, City of New York and BNYDC that will formalize the Site requirements and restrictions associated with Site acquisition by the City of New York.

C. Description of Project Area

Dating back to the nineteenth-century, historically Admirals Row was a landscaped park-like residential area for senior naval officers. As can still be seen today, the Site is anchored by a row of masonry residential structures and a Timber Shed along Flushing Avenue. The Site is located in the southwest corner of the Brooklyn Navy Yard. A brick wall and decorative iron fencing runs along the Site's perimeter along Flushing Avenue and Navy Street. The Site and its buildings represent the federal government's proto-typical officer's row design, as constructed from the 1850s up through the first decade of the twentieth century. The Navy closed the Brooklyn Navy Yard in 1966 and vacated Admirals Row by the early 1970s. Since that time, the federal government has allowed the Site to become overgrown with no maintenance undertaken to the Site, the deteriorating structures or the landscaping.

Location and Access

The Brooklyn Navy Yard is located on the Brooklyn waterfront between the Manhattan and Williamsburg Bridges, bounded by Navy Street to the west, Flushing Avenue to the south and the Brooklyn-Queens Expressway and Kent Avenue to the east. The Yard is easily accessible from downtown Brooklyn and Manhattan via the Manhattan, Brooklyn and Williamsburg Bridges. Adjacent Brooklyn neighborhoods include Williamsburg, Fort Greene and Vinegar Hill/DUMBO. The Yard is situated on the northeastern border of Community Board 2, and is abutted by Community Boards 1 and 3. Admirals Row is situated at the southwest corner of the Navy Yard. Directly across from Admirals Row on Flushing Avenue is Commodore Barry Park. Opposite the site on Navy Street are the Farragut Houses – a 16-acre New York City Housing Authority complex.

Mass transit to the Site includes the F and C/A subway lines, which are within a ten-minute walk to the Site and several MTA bus lines, including the B61, B57 and B69. In addition, the Brooklyn Waterfront Greenway, a pedestrian/bike path that will connect the thriving communities of Williamsburg, Fort Greene and DUMBO, will run around the south and west perimeters of the Site.

Zoning

The Site is entirely zoned for manufacturing. Abutting the site on the north is a residential core zoned R-6 along Kent Avenue. The area along Flushing Avenue to the south is zoned M-1 and R-6. The Yard is mainly zoned M3-1. However, Admirals Row is within both the M1-2 and M3-1 zoning districts.

II. SCOPE OF SERVICES

A. Scope of Work: Environmental and Traffic Consulting Services

BNYDC seeks to obtain the services of a Consultant to provide environmental and traffic consulting services related to: 1) the preparation of an EAS and if required an EIS pursuant to the requirements of SEQRA and CEQR and 2) other environmental technical support as may be required in connection with the planning, preservation and redevelopment of Admirals Row, including the acquisition of any city, state and federal permits, funds and approvals. The methodologies and analysis requirements as outlined in the New York City *CEQR Technical Manual* shall be applied.

The selected Consultant will be expected to administer all project management related tasks including subconsultant management, invoicing, monthly progress reporting, and preparation of public meeting materials.

Proposers to this RFP may add, expand or modify their responses as they believe is appropriate to propose supporting services as may be required in connection with the Project.

The scope of services shall generally consist of, but not be limited to, the following:

1. Environmental Impact Review Documents

The Consultant will prepare, revise, submit and refine documents relating to the environmental review, in accordance with SEQRA and CEQR for the Project, including if required a draft and final Scoping Document, and all relevant sections of the draft and final EIS, including, but not limited to, the following:

- Land Use, Zoning, and Public Policy
- Socioeconomic Conditions
- Community Resources and Open Space
- Shadows
- Cultural and Historic Resources
- Urban Design and Visual Resources
- Neighborhood Character
- Natural Resources and Water Quality
- Waterfront Revitalization Program
- Hazardous Materials
- Traffic and Transportation
- Air Quality

- Noise
- Infrastructure and Energy
- Construction
- Alternatives

The Consultant will be required to organize, attend and participate in meetings with BNYDC its consultants, City and State agencies as required, the public and other interested parties to present, coordinate, review and refine environmental impact methodologies. In response to BNYDC and other parties' comments, the Consultant will be required to make any revisions to the environmental review documents in an expedited manner. If an EIS is required, the Consultant will also prepare draft responses to written and oral comments on the Draft EIS and on the Final EIS, if requested by BNYDC, as well as Findings. BNYDC expects the Consultant to produce quality work products within a timely manner.

2. Other Environmental Technical Support Services

At BNYDC's request, the Consultant may be requested to provide technical services in connection with the ULURP process and/or studies not needed for the EIS but related to the Consultant's expertise.

B. Work Schedule

Proposals should include a recommended timeline that considers all tasks associated with preparation of the EIS as well as coordination with the ULURP process. BNYDC intends for the Consultant to begin work on the EIS as soon as possible. For the purpose of your response, assume a contract start date of late April 2010.

III. PROJECT COORDINATION

X will act as lead agency under CEQR and will perform the necessary environmental review. BNYDC will manage the contract. In coordination with BNYDC, if an EIS is required, the Environmental Consultant will develop an EIS Scoping Document and Draft EIS, based on available historic and existing conditions information, the site plan prepared by BNYDC's chosen Developer for Admirals Row, and reasonable alternatives, as required by CEQR. BNYDC will coordinate the public review. The Environmental Consultant will be required to support BNYDC in its efforts relative to public participation and to make presentations and attend public meetings, as necessary. The environmental review of the project will conclude with the adoption of Findings.

The environmental review for the project will require close cooperation with BNYDC's Developer Partner and with government agencies and interested entities in addition to BNYDC, which may include but not be limited to:

- New York City Dept. of City Planning
- New York City Dept. of Transportation
- New York State Historic Preservation Office
- Brooklyn Community Board 2

IV. SUBMISSION REQUIREMENTS

A. Proposal Content

Proposals should provide a straightforward, complete and concise description of the Consultant's capabilities to satisfy the requirements of the RFP. Proposals must include, but are not limited to:

1. Cover Letter summarizing key points of your proposal and history of the firm's experience with similar environmental reviews, particularly with respect to development projects for the City of New York, economic development organizations, private developers and not-for-profits.
2. A detailed scope of work: The scope should include a description of the tasks to be performed by the firm and tasks that will be performed by other subconsultants.
3. A detailed approach to the Project describing the respondent's understanding of the technical and management issues involved in delivering the services and respondent's ability to coordinate and facilitate the expeditious completion of the Project.

Traffic Analysis

Be sure to include a detailed statement explaining the firm's approach to the traffic analysis as it relates to urban planning and design, including study methods, analytical techniques, models, simulations, and/or other processes that would be employed.

The analysis will include, but not be limited to:

- Traffic volume data (including alternate modes)– locations to be determined in coordination with the Department of City Planning and NYC Department of Transportation.
- Existing traffic conditions – i.e. intersection capacities, volume-to-capacity (v/c) ratios, average vehicle delays, and levels of service using Highway Capacity Manual (HCM) procedures.
- Physical inventory at each of the count locations, including signal timing, parking regulations, the location of street furniture, and the number and widths of traffic and parking lanes.
- Future No Build traffic volumes for the year in which the development would be completed and fully operational (2014).
- Future No Build traffic conditions.
- Traffic assignments for the proposed development program. Trip generation should be developed following CEQR procedures.
- Future Build traffic volumes.
- Future Build traffic conditions.

- Identification of traffic capacity improvements needed to mitigate any significant traffic impacts to the extent such improvements are practicable.
- Summarization of all technical data in one technical memorandum, to be presented to BNYDC in draft form after the conclusion of the analysis.

4. A proposed Work Schedule that demonstrates how the team intends to proceed. The schedule must include all major milestones, including the estimated completion of each task.

5. A Staffing Proposal, including:

(i) Identification of key personnel, stating their relevant experience and specifying the extent of their commitment to this Project. Provide the names and resumes of individuals who will be performing and supervising the services, including personnel from anticipated sub-consultants. Indicate if any of the team members are MBE/WBE (Minority Business Enterprise or Women's Business Enterprise) as certified by New York State.

(ii) Table of the hours to be spent per task by each person assigned to the Project.

6. Documentation of the Consultant's relevant experience. Identify and describe comparable work of a similar nature being performed currently or within the previous five (5) years. Include the client, the name of a contact person who is able to provide a reference, a description of the nature of the work, the size and complexity of the project, and the fee. Work samples may be included in a separate bound document, although they are not required.

7. A Fee Proposal for prime consultant and any subconsultants. The fee proposal must be submitted in a separate, clearly marked, sealed envelope labeled "Admirals Row Environmental & Traffic Consulting Services RFP: Fee Proposal." The fee proposals will not be opened until all of the responses have been evaluated initially. Although proposed fees will be taken into account, BNYDC reserves the right to negotiate a lower or different fee structure with any Consultant that is selected.

The fee proposal should include the following:

(a) A not-to-exceed fee proposal, which will not be exceeded without BNYDC authorization for the scope of work involved in the preparation of the EIS and related documents (assuming an EIS is required). No proposal will be considered without a task-by-task breakdown of costs and hours that relates to the services described herein. This fee should be a best-guess estimate.

(b) Staffing Schedule for all services performed in connection with the requirements of CEQR.

(c) Identification of any unusual conditions that might affect the cost and their potential impacts on the overall cost;

(d) Costs associated with Project-related staff meetings and public meetings, as required under CEQR.

(e) Estimated reimbursable cost.

(f) For Other Environmental Technical Support Services that may be required as part of the redevelopment of Admirals Row, include a schedule of hourly rates which will be the basis of calculating fees for other technical support services, on a time and materials basis with a not-to-exceed limit, authorized in writing by BNYDC.

B. RFP Schedule

Issue RFP: March 12, 2010

Pre-Proposal Meeting: March 19, 2010

Submit Written Questions by: March 25, 2006 (5:00 PM EST)

RFP Responses Due: April 5, 2010 (5:00 PM EST)

Consultants Selected: mid April 2010

C. Submission Procedures

Interested firms are required to follow the guidelines and instructions contained in this RFP. At its discretion, BNYDC may make clarifications or amend this RFP in writing at any time. In the event it becomes necessary to revise or amend any part of this RFP, all revisions, clarifications, and changes will be provided by addenda posted on BNYDC's web site (www.brooklynnavyyard.com) "Procurement" page (http://www.brooklynnavyyard.org/procurements_current.html), Environmental & Traffic Consulting Services RFP. It is the responsibility of the respondent to check the BNYDC website for posting of clarifications, amendments, or addenda.

1. You must submit six (6) copies of your proposal and one (1) pdf version, excluding the fee proposal, which should be submitted separately in one (1) sealed envelope. Submissions containing loose items will not be accepted.
2. Proposals must be delivered in **hard copy** by hand, regular mail or express mail. Proposals sent via facsimile or e-mail transmittal will not be accepted.
3. Proposals are due and must be received at the location designated below no later than **5:00 PM EST April 5, 2010**. Proposals received after the indicated date and hour may not be considered at the discretion of BNYDC.
4. Proposals must be submitted to:

Shani Leibowitz, AICP
Brooklyn Navy Yard Development Corp.
63 Flushing Avenue, Unit 300, Building 292
Brooklyn, New York 11205

V. SELECTION CRITERIA / PROCESS

A. Criteria

BNYDC will review, evaluate and score all Proposals in accordance with established qualitative and quantitative criteria pursuant to this request. This evaluation and scoring will determine the Respondent's Technical Rating.

BNYDC places high value on the following factors, not necessarily in order of importance:

- Quality and thoroughness of the written proposal
- Approaches in methodology with respect to anticipated scope of services that demonstrate maximum comprehension of and ability to provide such services to BNYDC
- Experience of firm and employees to be assigned to the project in the area of environmental review related services, particularly complex New York City EIS's
- Experience of firm and employees to be assigned to the project in the areas of traffic and transportation related services
- Demonstrated knowledge of New York City, in particular the transportation network surrounding the project site
- Experience with SEQR, CEQR and New York City ULURP
- Number, complexity and nature of environmental and traffic services provided by the firm
- Firm's staff ability, availability and facility for working with BNYDC, the New York City Department of City Planning and other public/private entities, as required
- M/WBE participation
- Effective presentation and communication skills and the resources necessary to provide high-quality graphics and presentation materials.
- Excellent record of relations, communication and collaborations with past clients, community constituents and other project stakeholders.
- Fee structure and hourly rates. ***NOTE: The fee proposal must be submitted in a separate, clearly marked, sealed envelope. The fees will not be opened until all proposals have been initially evaluated. Although proposed fees will be taken into account, BNYDC reserves the right to negotiate a lower or different fee structure with any firm that is selected.***

B. Interviews

BNYDC may schedule interviews with selected finalists. The intent of the interview would be to provide an opportunity for firms to clarify or elaborate on the proposal. Key personnel and staff assigned to the Consultant Team must be present at the interview. BNYDC reserves the right to interview some, none or all of the respondents, as it deems appropriate. BNYDC's request for an interview shall not constitute acceptance of a proposal.

VI. GENERAL CONDITIONS, TERMS AND LIMITATIONS

The issuance of this RFP and the submission of a response by any respondent, or the acceptance of such response by BNYDC, do not obligate BNYDC or the City of New York in any manner. BNYDC reserves the right (i) to amend, modify, or withdraw this RFP, (ii) to revise any requirements of this RFP, (iii) to require supplemental statements or information from any firm, (iv) to accept or reject any or all responses, (v) to extend the deadline for submission of responses, (vi) to negotiate or hold discussions with any respondent and to waive defects and allow corrections of deficient responses, and (vii) to cancel this RFP, in whole or in part, if BNYDC deems it in its best interest to do so. BNYDC may exercise these rights at any time without notice and without liability to any proposing firm, or any other party, for expenses incurred in the preparation of the responses hereto or otherwise. BNYDC does not assume any liability for any pre-contractual activity and/or cost incurred by the respondents to this RFP and reserves all its rights in law and equity with respect to this RFP.

All submissions become the property of BNYDC. BNYDC shall be entitled to retain and use for the project, without compensation to any respondent, any information submitted, including, but not limited to, any concept, element or idea disclosed in or evident in the submission or meetings or interviews with respondents. BNYDC believes the information in this RFP is accurate, but BNYDC makes no warranties to such accuracy and assumes no responsibility for errors and omissions contained herein.

BNYDC shall be the sole decision maker of whether a response complies with the requirements of this RFP and whether responses have merit. Nothing contained in this RFP shall limit BNYDC in its selection of firm(s) to be invited to respond to future developments and other solicitations for this project or future projects. Submission of a response to this RFP by any respondent constitutes respondent's permission and consent to inquiries by BNYDC concerning the respondent and its ability to participate in the project, including checking references, credit checks and similar investigations.

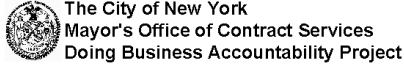
Respondents should be aware that it is possible that their submission may be subject to the Freedom of Information Law, which governs the process of the public disclosure of certain documents in the possession of public agencies and certain other organizations. Individuals or firms that submit proposals to BNYDC may request that BNYDC except all or part of such proposal from public disclosure, pursuant to Section 87 (2) (d) of the Public Officers Law, on the ground that the proposal contains trade secrets, proprietary information, or that the information, if disclosed, would cause substantial injury to the competitive position of the firm submitting the information. Such exception may extend to information contained in the request for exception itself, if public disclosure would defeat the purpose for which the exception is sought. The request for such an exception must be in writing and state, in detail, the specific reasons for the requested exception. It must also specify the proposal or portions thereof for which the exception is requested.

It is the policy of BNYDC and the City of New York to comply with all state and local laws, policies, orders, rules and regulations which prohibit unlawful discrimination because of race, creed, color, national origin, sex, sexual orientation, age, disability or marital status, and to take affirmative action in working with contracting parties to ensure that Minority and Women-owned Business Enterprises

(M/WBEs) share in the economic opportunities generated by BNYDC's participation in projects or initiatives and/or the use of BNYDC funds or resources. M/WBEs are encouraged to respond to this RFP.

Any firm awarded a contract as a result of this RFP will be required to obtain clearance through the City's Vendor Information Exchange System (VENDEX). Since VENDEX clearance is a pre-requisite to BNYDC's award of a contract, Proposers are urged to submit a completed VENDEX form to the Mayor's Office of Contract Services prior to submitting their response to this RFP.

Notice to Proposers: 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 the 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. Required form attached hereto as Attachment (1).



Doing Business Data Form

| To be completed prior to distribution | |
|---------------------------------------|---|
| Agency: _____ | Transaction ID: _____ |
| Check One: | Transaction Type (check one): |
| <input type="checkbox"/> Proposal | <input type="checkbox"/> Concession <input type="checkbox"/> Contract <input type="checkbox"/> Economic Development Agreement |
| <input type="checkbox"/> Award | <input type="checkbox"/> Franchise <input type="checkbox"/> Grant <input type="checkbox"/> 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: _____

| |
|---|
| <p>Entity Filing Status (select one):</p> <p><input type="checkbox"/> Entity has never completed a Doing Business Data Form. <i>Fill out the entire form.</i></p> <p><input type="checkbox"/> Change from previous Data Form dated _____. <i>Fill out only those sections that have changed, and indicate the name of the persons who no longer hold positions with the entity.</i></p> <p><input type="checkbox"/> No Change from previous Data Form dated _____. <i>Skip to the bottom of the last page.</i></p> |
|---|

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.

Doing Business Data Form

EIN/TIN: _____

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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: _____

Doing Business Data Form

EIN/TIN: _____

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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: _____

Doing Business Data Form

EIN/TIN: _____

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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 #: _____

Return the completed Data Form to the agency that supplied it.

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



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