



Andrew M. Cuomo, Governor

Homes and Community Renewal

RuthAnne Visnauskas, Commissioner/CEO

Annual Procurement Report

Fiscal Year 2018 – 2019

For the Period Commencing November 1, 2018 and Ending October 31, 2019¹

January 30, 2020

***NEW YORK STATE HOUSING FINANCE AGENCY
STATE OF NEW YORK MORTGAGE AGENCY
NEW YORK STATE AFFORDABLE HOUSING CORPORATION
STATE OF NEW YORK MUNICIPAL BOND BANK AGENCY
TOBACCO SETTLEMENT FINANCING CORPORATION***



**Homes and
Community Renewal**

641 Lexington Avenue | New York, NY 10022

212-688-4000 | www.nyshcr.org

¹ Although AHC's fiscal year runs from April 1st through March 31st, for purposes of this consolidated Report, AHC's procurement activity is reported using a November 1, 2018 – October 31, 2019 period, which conforms to the fiscal period shared by four of the five Agencies.



**Homes and
Community Renewal**

***NEW YORK STATE HOUSING FINANCE AGENCY
STATE OF NEW YORK MORTGAGE AGENCY
NEW YORK STATE AFFORDABLE HOUSING CORPORATION
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TOBACCO SETTLEMENT FINANCING CORPORATION***

Annual Procurement Report

For the Period Commencing November 1, 2018 and Ending October 31, 2019

Annual Procurement Report Index

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TAB 1

Agencies' Listing of Pre-qualified Panels



Agencies' Listing of Pre-Qualified Panels 2018-2019

Advertising Consultant Services Pre-Qualified Panel of the:

- ▶ State of New York Mortgage Agency
 - Butler/Till Media Services, Inc. ²
 - Dixon Schwabl Advertising, Inc. ²

Arbitrage Rebate Services Pre-qualified Panel of the:

- ▶ New York State Housing Finance Agency
 - BLX Group LLC
 - Hawkins, Delafield & Wood LLP
 - Omnicap Group LLC
- ▶ State of New York Mortgage Agency
- ▶ State of New York Municipal Bond Bank Agency
- ▶ Tobacco Settlement Financing Corporation
 - Hawkins, Delafield & Wood LLP

Audit Services Pre-qualified Panel of the:

- ▶ New York State Affordable Housing Corporation
 - Accounting Firm of Susan Rich, CPA d/b/a Long Island Financial Management Services ²
 - BCA Watson Rice¹
 - Cohn Reznick LLP
 - EFPR Group, LLP (*formerly known as Toski & Co., CPAs*)
 - Les S. Thompson & Co., LLP¹
 - Lumsden & McCormick LLP
 - Padilla and Company LLP
 - RSM US (*formerly known as McGladrey LLP*)
 - Tabriztchi & Co., CPA, P.C.
 - Wei Wei & Co., LLP¹

¹Minority-Owned Business Enterprise

²Women-Owned Business Enterprise

³Minority and Women-Owned Business Enterprise



Agencies' Listing of Pre-Qualified Panels 2018-2019

Financial and Swap Advisor Pre-qualified Panel of the:

- ▶ New York State Housing Finance Agency
- ▶ State of New York Mortgage Agency
- ▶ State of New York Municipal Bond Bank Agency
- ▶ Tobacco Settlement Financing Corporation
 - A.C. Advisory, Inc. ³
 - Acacia Financial Group, Inc. ²
 - Caine Mitter & Associates Incorporated
 - CSG Advisors Incorporated
 - Mohanty Gargiulo LLC³
 - Public Resources Advisory Group, Inc.
 - Swap Financial Group LLC

Insurance Consultant Services Pre-qualified Panel of the:

- ▶ New York State Housing Finance Agency
 - Insurance Advisors LLC
 - Sullivan-Hernandez Agency, Inc.³

Information Technology Temporary Staffing Consultant Services Pre-qualified Panel:

- ▶ New York State Housing Finance Agency
- ▶ State of New York Mortgage Agency
 - Currier, McCabe and Associates d/b/a CMA Consulting Services ²
 - Computer Aid, Inc.
 - Edwards Daniels Group, Inc. ²
 - InfoPeople Corporation¹
 - Infosys International, Inc. ¹
 - InnoSoul, Inc. ³
 - Mindlance Inc. *
 - Novisync Inc. ¹
 - Quantilus, Inc. ¹
 - Resourcesys Inc. ³

**In January 2018, Mindlance Inc. was added to the Panel.*

¹Minority-Owned Business Enterprise

²Women-Owned Business Enterprise

³Minority and Women-Owned Business Enterprise



Agencies' Listing of Pre-Qualified Panels 2018-2019

Information Technology Temporary Staffing Consultant Services Pre-qualified Panel (continued from previous page):

- Spruce Technology, Inc.¹
- Systems Application Information Network, Inc. d/b/a Computer Resources of America, Inc. ("CRA")¹
- Tech Valley Talent, LLC²
- Unique Comp, Inc.³

Outside Bond Counsel Pre-qualified Panel of the:

- ▶ New York State Housing Finance Agency
- ▶ State of New York Municipal Bond Bank Agency
- ▶ Tobacco Settlement Financing Corporation
 - Barclay Damon, LLP (*formerly known as Hiscock & Barclay LLP*)
 - Cozen O'Connor*
 - Dentons US LLP
 - Tiber Hudson, LLC¹ (*formerly known as Graves, Horton, Askew & Johns, LLC*)
 - Harris Beach LLP
 - Hawkins, Delafield & Wood LLP
 - Mintz Levin Cohn Ferris Glovsky and Popeo, P.C.
 - Nixon Peabody LLP
 - Orrick Herrington & Sutcliffe LLP
 - Pugh, Jones & Johnson, P.C.¹
- ▶ State of New York Mortgage Agency
 - Hawkins Delafield & Wood LLP

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**In October 2018, Cozen O'Connor was added to the Panel.*

¹Minority-Owned Business Enterprise

²Women-Owned Business Enterprise

³Minority and Women-Owned Business Enterprise

Agencies' Listing of Pre-Qualified Panels 2018-2019

Outside Co-Bond Counsel Pre-qualified Panel of the:

- ▶ New York State Housing Finance Agency
- ▶ State of New York Mortgage Agency
- ▶ State of New York Municipal Bond Bank Agency
- ▶ Tobacco Settlement Financing Corporation
 - Brown & Hutchinson LLP¹
 - Bryant Rabbino LLP¹
 - Drohan Lee, LLP¹
 - D. Seaton and Associates, P.A.¹
 - Golden Holley James, LLP¹
 - Hardwick Law Firm, LLC¹
 - Law Offices of Joseph C. Reid, P.A.¹
 - Lewis & Munday, P.C.¹
 - McGlashan Law Firm, P.C.¹
 - Pearlman & Miranda, LLC³
 - Soeder Associates, LLC²
 - Thompson & Thompson, PLLC¹

Outside Non-Bond Counsel Pre-qualified Panel firms for legal services other than those pertaining to municipal finance matters of the:

- ▶ New York State Housing Finance Agency
- ▶ State of New York Mortgage Agency
- ▶ New York State Affordable Housing Corporation
- ▶ State of New York Municipal Bond Bank Agency
- ▶ Tobacco Settlement Financing Corporation

PANEL A – MAJORITY FIRMS

- Anderson Kill & Olick, P.C.
- Arent Fox LLP
- Boylan, Brown, Code, Vigdor & Wilson, LLP
- Day Pitney LLP
- Dentons (US) LLP
- Edwards Wildman Palmer LLP
- Golenbock Eisman Assor Bell & Peskoe LLP
- Harris Beach, PLLC
- Holland & Knight, LLP
- Jaspan Schlesinger Hoffman, LLP

¹Minority-Owned Business Enterprise

²Women-Owned Business Enterprise

³Minority and Women-Owned Business Enterprise



Agencies' Listing of Pre-Qualified Panels 2018-2019

Outside Non-Bond Counsel Pre-qualified Panel firms for legal services other than those pertaining to municipal finance matters of the:

- Mintz, Levin, Cohn, Ferris, Glovsky & Popeo, P.C.
- Nixon Peabody, LLP
- Seyfarth Shaw LLP
- Squire, Sanders & Dempsey, LLP
- Venable, LLP

PANEL A – M/WBE FIRMS

- Bryant Rabbino LLP¹
- Brown & Hutchinson LLP¹
- Drohan Lee, LLP¹
- Hoguet Newman Regal & Kenney LLP²
- Love & Long LLP³
- McGlashan Law Firm P.C.¹
- Morris, Duffy, Alonso & Faley³
- Pacheco & Lugo, PLLC³
- Schoeman Updike Kaufman Stern & Ascher LLP²
- Wilson & Chan LLP¹
- Younkins & Schector LLP²

Davis Bacon Prevailing Wage Monitoring Services Pre-qualified Panel of the:

- New York State Housing Finance Agency

Davis Bacon Prevailing Wage Monitoring Services (11 firms)

- BANC3, Inc.¹
- Cashin Associates, PC
- Clampett Industries LLC (d/b/a EMG)
- Gandhi Engineering, Inc.¹
- The Institute for Building Technology and Safety
- Inspection & Valuation International, Inc.
- Kenneth O. Wille & Associates, Inc.
- NobleStrategy NY, Inc.¹
- Thacher Associates, LLC
- Works-In-Progress Associates²

¹Minority-Owned Business Enterprise

²Women-Owned Business Enterprise

³Minority and Women-Owned Business Enterprise



Agencies' Listing of Pre-Qualified Panels 2018-2019

Professional Temporary Staffing Consultant Services Pre-qualified Panel of the:

- ▶ New York State Housing Finance Agency
- ▶ State of New York Mortgage Agency
- ▶ New York State Affordable Housing Corporation
 - 22nd Century Technologies, Inc.¹
 - ALS Staffing, Inc. d/b/a All About People, Inc.
 - COGO Sourcing, LLC d/b/a COGO Partners¹
 - Datrose, Inc.¹
 - Diamond Personnel, LLC
 - LanceSoft, Inc.
 - Mindlance Inc.
 - MP Engineers, P.C.¹
 - New Wave People, Inc.³
 - Nexus Staffing, Inc.¹
 - Penda Aiken, Inc.³
 - Special Counsel Inc.
 - TemPositions, Inc.
 - The Execu-Search Group
 - Yorkson Legal for Staffing Services²

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¹Minority-Owned Business Enterprise

²Women-Owned Business Enterprise

³Minority and Women-Owned Business Enterprise

TAB 2

Summary of the Agencies' procurement activities

Run Date: 01/15/2020

Procurement Contract Report For '18 - '19 (11/01/2018 to 10/31/2019)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/18 to 10/31/19					Life of Contract Amount Paid	
									HFA	SONYMA	AHC	MBBA	TSFC		
Audit and Accounting Services															
HFA	Automatic Data Processing, Inc. 1 ADP Blvd Roseland, NJ 07068	PAYROLL SERVICES	1972	10/01/2005 / / Upon Notice	Single Src 10/01/2005	1	Y	15,950	100%						103,933
SONYMA	Automatic Data Processing, Inc. 1 ADP Blvd Roseland, NJ 07068	PAYROLL SERVICES	1973	10/01/2005 / / Upon Notice	Single Src 10/01/2005	1	Y	27,117		100%					191,929
AHC	Automatic Data Processing, Inc. 1 ADP Blvd Roseland, NJ 07068	PAYROLL SERVICES	1974	10/01/2005 / / Upon Notice	Single Src 10/01/2005	1	Y	21,555	4%		96%				138,181
HFA SONYMA AHC	Benefit Resource, Inc. 2320 Brighton-Henrietta Townline Rd. Rochester, NY 14623-2782	MAINTENANCE OF QUALIFIED TRANSPORTATION EXPENSE PLAN	1872	05/05/2005 / / Upon Notice	Comp Bid 03/03/2005	5	Y	16,298	60%	28%	10%	1%	1%		138,035
HFA	Ernst & Young LLP 5 Times Square New York, NY 10035-6530	AUDIT SERVICES	3085	09/16/2015 09/15/2020	RFP 03/03/2015	6	Y	218,830	100%						803,453
% Subcontracting with a MWBE															

Run Date: 01/15/2020

Procurement Contract Report For '18 - '19 (11/01/2018 to 10/31/2019)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/18 to 10/31/19					Life of Contract Amount Paid
									HFA	SONYMA	AHC	MBBA	TSFC	
<u>Audit and Accounting Services</u>														
	%													
SONYMA	Ernst & Young LLP 5 Times Square % New York, NY 10035-6530	AUDIT SERVICES	3086	09/16/2015 09/15/2020	RFP 03/03/2015	6	Y	163,500		100%				664,405
MBBA	Ernst & Young LLP 5 Times Square % New York, NY 10035-6530	AUDIT SERVICES	3101	09/16/2015 09/15/2020	RFP 03/03/2015	6	Y	17,300				100%		66,240
TSFC	Ernst & Young LLP 5 Times Square % New York, NY 10035-6530	AUDIT SERVICES	3102	09/16/2015 09/15/2020	RFP 03/03/2015	6	Y	18,200					100%	69,575
AHC	Ernst & Young LLP 5 Times Square % New York, NY 10035-6530	AUDIT SERVICES	3103	09/16/2015 09/15/2020	RFP 03/03/2015	6	Y	12,900			100%			49,554

% Subcontracting with a MWBE

Run Date: 01/15/2020

Procurement Contract Report For '18 - '19 (11/01/2018 to 10/31/2019)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/18 to 10/31/19					Life of Contract Amount Paid
									HFA	SONYMA	AHC	MBBA	TSFC	
<u>Audit and Accounting Services</u>														
AHC	Les S. Thompson & Co., LLP + 112 W 34th Street, 18th Fl New York, NY 10120	AUDIT SERVICES	3282	10/17/2018 10/16/2019	Comp Bid 08/03/2017	6	Y	4,385			100%			4,385
HFA SONYMA AHC	Milliman, Inc. 1550 Liberty Ridge Drive Suite 200 Wayne, PA 19087	GASB 45 & 75 ACTUARIAL SERVICES	2761	07/18/2012 01/31/2020	RFP 04/27/2012	3	N	20,000	48%	50%		1%	1%	65,000
AHC	Padilla and Company, LLP + 175-61 Hillside Ave, Ste 200 Jamaica, NY 11432	AUDIT SERVICES	3281	10/17/2018 10/16/2019	Comp Bid 08/03/2017	6	Y	14,000			100%			14,000
<u>Communications/Marketing Services</u>														
SONYMA	Amsterdam News Corp + 2340 Frederick Douglas Blvd New York, NY 10027	SONYMA ADS	3237	10/06/2017 10/06/2018	Single Src 10/06/2017	1	Y	533		100%				5,863

% Subcontracting with a MWBE
+ Minority-Owned Business Enterprise

Run Date: 01/15/2020

Procurement Contract Report For '18 - '19 (11/01/2018 to 10/31/2019)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/18 to 10/31/19					Life of Contract Amount Paid
									HFA	SONYMA	AHC	MBBA	TSFC	
<u>Communications/Marketing Services</u>														
SONYMA	++Butler/Till Media Services, Inc. 1565 Jefferson Road Bldg 200 S Rochester, NY 14623	ADVERTISING CONSULTANT SERVICES	3252	11/06/2017 11/05/2022	Preq List 07/13/2017	10	Y	62,104		100%				346,638
SONYMA	++ <i>Dixon Schwabl Advertising, Inc.</i> <i>1595 Moselley Road</i> <i>% Victor, NY 14564</i>	<i>ADVERTISING CONSULTANT SERVICES</i>	3310	<i>06/03/2019</i> <i>10/31/2022</i>	<i>Preq List</i> <i>07/13/2017</i>	10	Y	88,336		100%				88,336
SONYMA	++Harlem Community Newspaper, Inc. + 55 West 116th Street Ste #171 New York, NY 10026	ADVERTISING SERVICES	3280	06/30/2018 12/30/2018	Single Src 06/30/2018	1	Y	4,741		100%				9,482
<u>Debt Issuance Services</u>														
HFA SONYMA	++Acacia Financial Group, Inc 13000 Lincoln Drive West Suite 206 Marlton, NJ 08053	FINANCIAL ADVISORY SERVICES	3109	12/10/2015 12/09/2020	Preq List 08/17/2015	11	Y	37,500	100%					197,500

++ Women-Owned Business Enterprise
% Subcontracting with a MWBE
+ Minority-Owned Business Enterprise

Procurement Contract Report For '18 - '19 (11/01/2018 to 10/31/2019)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/18 to 10/31/19					Life of Contract Amount Paid
									HFA	SONYMA	AHC	MBBA	TSFC	
Debt Issuance Services														
HFA SONYMA	Bondlink Inc. 330 Congress Street - 5th Fl Boston, MA 02210	ELECTRONIC PLATFORM FOR SERVICES RELATING TO INVESTOR RELATIONS	3298	01/29/2019 / / Upon Notice	Single Src 01/29/2019	1	Y	31,442	88%	12%				31,442
HFA SONYMA	CSG ADVISORS INCORPORATED 1 Post Street, Suite 2130 San Francisco, CA 94104	FINANCIAL ADVISORY SERVICES	3123	12/10/2015 12/09/2020	Preq List 08/17/2015	11	N	75,000		100%				275,000
HFA SONYMA	Caine Mitter & Associates Inc 225 West 35th Street Suite 900 New York, NY 10001	FINANCIAL ADVISORY SERVICES	3152	12/10/2015 12/09/2020	Preq List 08/17/2015	11	N	90,000	100%					387,000
HFA	Caine Mitter & Associates Inc 225 West 35th Street Suite 900 New York, NY 10001	COMPUTATIONAL ANALYTIC SERVICES	3304	01/01/2019 12/31/2021	RFP 09/27/2018	4	N	303,500	100%					303,500
SONYMA	Cfx Incorporated 55 Broadway Suite 2608 New York, NY 10006	COMPUTATIONAL ANALYTIC SERVICES	3184	01/01/2016 12/31/2020	RFP 09/01/2015	3	Y	850,000		100%				3,187,500
Bold and Italics indicate Procurement Contracts Executed During '18 - '19 (11/01/2018 to 10/31/2019)														

Procurement Contract Report For '18 - '19 (11/01/2018 to 10/31/2019)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/18 to 10/31/19					Life of Contract Amount Paid
									HFA	SONYMA	AHC	MBBA	TSFC	
Debt Issuance Services														
HFA SONYMA	ImageMaster LLC + 1182 Oak Valley Drive Ann Arbor, MI 48108	FINANCIAL PRINTING	3100	09/08/2015 09/09/2020	RFP 04/20/2015	1	Y	24,048	80%	20%				129,891
HFA SONYMA	++Mohanty Gargiulo LLC + 100 Park Avenue Suite 1600 New York, NY 10017	SWAP ADVISORY SERVICES	3125	12/10/2015 12/09/2020	Preq List 08/17/2015	11	Y	118,500	1%	99%				236,500
HFA	Sustainalytics U.S., Inc. 24 School Street, Suite 803 Boston, MA 02108	CLIMATE BOND VERIFICATION SERVICES	3255	03/16/2018 12/31/2019	Single Src 03/16/2018	1	Y	20,000	100%					36,000
HFA SONYMA	Swap Financial Group LLC 76 South Orange Avenue Suite 212 South Orange, NJ 07079	SWAP ADVISORY SERVICES	3124	12/10/2015 12/09/2020	Preq List 08/17/2015	11	N	94,000		100%				145,667
++ Women-Owned Business Enterprise + Minority-Owned Business Enterprise														

Run Date: 01/15/2020

Procurement Contract Report For '18 - '19 (11/01/2018 to 10/31/2019)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/18 to 10/31/19					Life of Contract Amount Paid
									HFA	SONYMA	AHC	MBBA	TSFC	
<u>Debt Issuance Services</u>														
<u>Facilities & Administrative Services</u>														
HFA SONYMA AHC	AT&T 65 Wolf Rd. Albany, NY 12205	COMMUNICATION SERVICES	1882	05/19/2002 09/15/2019	St Ctrct 05/19/2002	0	NYD	29,882 See End Notes	75%	24%				684,160
HFA SONYMA	CASO Document Management d/b/a 3453 IH 35N, Suite 215 % San Antonio, TX 78219 ^^	ELECTRONIC RECORD MANAGEMENT SYSTEM	3253	02/12/2018 02/11/2021	RFP 10/18/2017	9	Y	920,493	93%	7%				1,651,496
HFA SONYMA	Collins Building Services, Inc. 1775 Broadway-Suite 1420 New York, NY 10019	MAINTENANCE & CLEANING SERVICES	2145	01/01/2007 01/18/2019	Sole Src 01/01/2007	1	Y	28,814	48%	50%		1%	1%	1,121,967
HFA SONYMA	Deluxe Delivery Systems, Inc. d/b/a + 64 West 48th Street 4th Fl New York, NY 10036	OFF SITE STORAGE AND RETRIEVAL ACCESS SERVICES	2771	08/01/2012 07/31/2020	Single Src 01/01/2012	2	Y	57,433	48%	50%		1%	1%	444,550

NYD indicates Not Yet Determined. Unavailable data at this time as Agencies are in the process of updating their files.

% Subcontracting with a MWBE
+ Minority-Owned Business Enterprise

^^ Small Business Enterprise

Procurement Contract Report For '18 - '19 (11/01/2018 to 10/31/2019)

NYD indicates Not Yet Determined. Unavailable data at this time as Agencies are in the process of updating their files.

% Subcontracting with a MWBE
+ Minority-Owned Business Enterprise

Bold and Italics indicate Procurement Contracts Executed During '18 - '19 (11/01/2018 to 10/31/2019)

Procurement Contract Report For '18 - '19 (11/01/2018 to 10/31/2019)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/18 to 10/31/19					Life of Contract	
									HFA	SONYMA	AHC	MBBA	TSFC	Amount Paid	
Facilities & Administrative Services															
HFA SONYMA AHC	United Parcel Service P.O. Box 7247-0244 Philadelphia, PA 19170-0001	COURIER SERVICES	2354	01/02/2009 03/20/2021	St Ctrct 01/02/2009	0	NYD	28,947	49%	49%		1%	1%	293,273	
HFA SONYMA AHC	Verizon Business 11 Wards Lane Menands, NY 12204	COMMUNICATION SERVICES	1906	05/19/2002 09/15/2019	St Ctrct 05/19/2002	0	NYD	381,789 See End Notes	83%	17%				2,671,744	
HFA SONYMA AHC	Verizon Business 11 Wards Lane Menands, NY 12204	COMMUNICATION SERVICES	3318	09/16/2019 09/15/2024	St Ctrct 09/16/2019	0	NYD	62,231 See End Notes	71%	28%			1%	62,231	
HFA SONYMA AHC	Verizon Wireless 7600 Montpelier Road Laurel, MD 20723	WIRELESS COMMUNICATION SERVICES	1907	08/17/2004 09/15/2019	St Ctrct 08/17/2004	0	NYD	75,157 See End Notes	48%	50%		1%	1%	708,707	
Financial Services															
HFA	BLX Group LLC 51 West 52nd St New York, NY 10019	ARBITRAGE REBATE CALCULATIONS	3029	09/09/2014 09/08/2020	RFP 04/09/2014	4	Y	52,550	100%					180,450	
NYD indicates Not Yet Determined. Unavailable data at this time as Agencies are in the process of updating their files.															

Run Date: 01/15/2020

Procurement Contract Report For '18 - '19 (11/01/2018 to 10/31/2019)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/18 to 10/31/19					Life of Contract Amount Paid
									HFA	SONYMA	AHC	MBBA	TSFC	
Financial Services														
HFA SONYMA	Bloomberg, L.P. 499 Park Ave. New York, NY 10022	ELECTRONIC INFO SERVICES - LEASE OF DATA DISTRIBUTION	173	05/01/2003 / / Upon Notice	Sole Src 05/01/2003	1	NYD	28,617	48%	50%		1%	1%	409,059
HFA SONYMA	Hawkins, Delafield, & Wood 28 Liberty Street -42nd Fl New York, NY 10005	ARBITRAGE REBATE CALCULATIONS	3061	03/04/2015 03/03/2020	RFP 04/09/2014	4	Y	78,040	100%					293,690
MBBA TSFC	Hawkins, Delafield, & Wood 28 Liberty Street -42nd Fl New York, NY 10005	ARBITRAGE REBATE CALCULATIONS	3062	03/04/2015 03/03/2020	RFP 04/09/2014	4	Y	4,720				100%		71,070
HFA SONYMA	Joseph C. Reid, P.A. +230 Park Ave, Suite 1000 New York, NY 10169	ARBITRAGE REBATE CALCULATIONS	3128	03/04/2015 03/03/2020	RFP 04/09/2014	4	Y	20,690	94%			6%		52,540

NYD indicates Not Yet Determined. Unavailable data at this time as Agencies are in the process of updating their files.

+ Minority-Owned Business Enterprise

Procurement Contract Report For '18 - '19 (11/01/2018 to 10/31/2019)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/18 to 10/31/19					Life of Contract Amount Paid
									HFA	SONYMA	AHC	MBBA	TSFC	
<u>Financial Services</u>														
HFA	Omnicap Group LLC 437 Madison Ave- 18th Fl New York, NY 10022	ARBITRAGE REBATE CALCULATIONS	3057	03/04/2015 03/03/2020	RFP 04/09/2014	4	Y	30,250	100%					130,125
<u>Information Technology Services</u>														
HFA	Amazon Web Services, Inc. 410 Terry Ave North Seattle, WA 98109	HOSTING SERVICES	3177	09/21/2016 / / Upon Notice	RFP 06/15/2015	7	N	352,520	77%	23%				438,643
SONYMA	Application Oriented 9100 NW 36 Street Doral, FL 33178	SOFTWARE MAINTENANCE SERVICES	27	03/05/1984 / / Upon Notice	Single Src 03/05/1984	1	N	129,390		100%				2,347,621
SONYMA	Application Oriented 8550 N.W. 33rd Street Doral, FL 33122	SOFTWARE MAINTENANCE OF LENDER ONLINE	28	10/31/2000 / / Upon Notice	Single Src 10/31/2000	1	N	23,210		100%				487,907
HFA SONYMA	Systems Application Information Network, +64 West 48th Street Fl 4 New York, NY 10036	IT TEMPORARY STAFFING CONSULTANT SERVICES	3174	12/15/2016 12/14/2020	Preq List 02/03/2016	66	Y	1,119,900	93%	7%				3,584,560
+ Minority-Owned Business Enterprise														

Run Date: 01/15/2020

Procurement Contract Report For '18 - '19 (11/01/2018 to 10/31/2019)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/18 to 10/31/19					Life of Contract Amount Paid
Information Technology Services														
HFA	Gartner, Inc. 291 Broadway, 9th Floor New York, NY 10007	PROFESSIONAL CONSULTANT SERVICES	3295	12/13/2018 12/12/2019	Single Src 12/13/2018	1	Y	381,924	100%					381,924
HFA SONYMA	++Edward Daniel's Group, Inc. 5 Main St Kisco Park Mount Kisco, NY 10549	IT TEMPORARY STAFFING CONSULTANT SERVICES	3273	08/20/2018 12/14/2020	Preq List 02/03/2016	66	Y	12,342,789	100%					12,342,789
HFA SONYMA	Housing and Development Software, LLC 2685 Executive Park Drive Suite 8 Weston, FL 33331	SECTION 8 CONTRACT ADMINISTRATION SOFTWARE & MAINTENANCE SERVICES	2542	02/01/2007 / / Upon Notice	Single Src 02/01/2007	1	NYD	16,260	100%					125,639
HFA SONYMA	InfoPeople Corporation + 450 Seventh Ave, Suite # 1106 New York, NY 10123	IT TEMPORARY STAFFING CONSULTANT SERVICES	3175	12/15/2016 12/14/2020	Preq List 02/03/2016	66	Y	417,290	100%					1,080,990

NYD indicates Not Yet Determined. Unavailable data at this time as Agencies are in the process of updating their files.

++ Women-Owned Business Enterprise

+ Minority-Owned Business Enterprise

Bold and Italics indicate Procurement Contracts Executed During '18 - '19 (11/01/2018 to 10/31/2019)

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Procurement Contract Report For '18 - '19 (11/01/2018 to 10/31/2019)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/18 to 10/31/19					Life of Contract Amount Paid
									HFA	SONYMA	AHC	MBBA	TSFC	
Information Technology Services														
HFA SONYMA	Mindlance, Inc. 1095 Morris Avenue Unit 101A Union, NJ 07083	IT TEMPORARY STAFFING CONSULTANT SERVICES	3287	08/20/2018 12/14/2020	Preq List 02/03/2016	66	Y	1,585,431	100%					1,585,431
SONYMA	Presidio Network Solutions Groups, LLC 110 Parkway Drive South Hauppauge, NY 11788	IT CONSULTANT SERVICES	3219	07/14/2017 12/31/2017	NonCmp/Crit 07/07/2017	1	Y	-10,000 See End Notes		100%				6,722
HFA	Prolink Solutions, Inc. 98 Inverness Drive East Suite 250 Englewood, CO 80112	HOSTED TECHNOLOGY SERVICES	3277	08/08/2016 08/08/2021	RFP 06/15/2015	7	Y	1,147,612	100%					1,312,007
SONYMA	Protiviti, Inc. 2884 Sand Hill Road, Suite 200 Menlo Park, CA 94025	INTERNAL AUDIT AND RISK ASSESSMENT SERVICE	3278	08/28/2018 10/09/2018	NonCmp/Crit 08/28/2018	1	Y	49,000	48%	50%		1%	1%	49,000

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Procurement Contract Report For '18 - '19 (11/01/2018 to 10/31/2019)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/18 to 10/31/19					Life of Contract Amount Paid
									HFA	SONYMA	AHC	MBBA	TSFC	
<u>Information Technology Services</u>														
HFA	RealPage, Inc. 4000 International Parkway Carrollton, TX 75007-1913	HOUSING SOFTWARE LICENSING FOR SECTION 8 HAP PAYMENTS	2567	08/13/2010 / / Upon Notice	Single Src 08/13/2010	1	NYD	2,485	100%					21,187
HFA	SAP Public Services Inc. 3999 West Chester Pike Newtown Square, PA 19073	ESCROW ANALYSIS SERVICES AGREEMENT - BAM PROJECT	3243	05/01/2017 08/18/2017	RFP 06/15/2015	7	NYD	24,000	100%					99,000
HFA	SAP Public Services Inc. 3999 West Chester Pike Newtown Square, PA 19073	STAFF AUGMENTATION SERVICES	3271	07/01/2018 08/19/2018	NonCmp/Crit 07/01/2018	1	NYD	101,514	100%					790,380
HFA	SAP Public Services Inc. 3999 West Chester Pike Newtown Square, PA 19073	STAFF AUGMENTATION SERVICES	3272	08/13/2018 08/31/2018	NonCmp/Crit 08/13/2018	1	NYD	10,743	100%					10,743
HFA SONYMA	++Tech Valley Talent, LLC 1360 Kania road Amsterdam, NY 12010	IT TEMPORARY STAFFING CONSULTANT SERVICES	3213	06/26/2017 12/14/2020	Preq List 02/03/2016	66	Y	2,089,962	90%	10%				3,335,281
NYD indicates Not Yet Determined. Unavailable data at this time as Agencies are in the process of updating their files.														
++ Women-Owned Business Enterprise														

Procurement Contract Report For '18 - '19 (11/01/2018 to 10/31/2019)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/18 to 10/31/19					Life of Contract Amount Paid
									HFA	SONYMA	AHC	MBBA	TSFC	
Information Technology Services														
HFA SONYMA	TierPoint New York, LLC 17 Skyline Drive Hawthorne, NY 10532	DISASTER RECOVERY SERVICES	3209	06/01/2015 02/23/2019	RFP 07/19/2011	5	Y	45,700	48%	50%		1%	1%	123,390
Insurance Services														
HFA SONYMA	E.G. Bowman Co., Inc. +97 Wall Street New York, NY 10005	INSURANCE BROKERAGE SERVICES	3036	05/03/2014 05/02/2020	RFP 03/13/2014	6	Y	372,290	83%	14%		1%	2%	1,692,842
Legal - Bond Counsel Services														
HFA	Barclay Damon, LLP 80 State Street Albany, NY 12207	BOND COUNSEL SERVICES	3084	06/01/2015 01/28/2020	Preq List 04/16/2013	28	Y	451,225	100%					816,340
HFA	Bryant Rabbino LLP +1180 Avenue of the Americas Suite #610 New York, NY 10036	CO-BOND COUNSEL SERVICES	3026	01/29/2014 01/28/2019	Preq List 04/16/2013	28	Y	14,865	100%					154,945
+ Minority-Owned Business Enterprise														

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Procurement Contract Report For '18 - '19 (11/01/2018 to 10/31/2019)

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									HFA	SONYMA	AHC	MBBA	TSFC	
Legal - Bond Counsel Services														
HFA	Cozen O'Connor 1650 Market Street Suite 2800 Philadelphia, PA 19103	BOND COUNSEL SERVICES	3268	04/24/2018 01/28/2020	Preq List 04/16/2013	28	Y	70,000	100%					76,000
SONYMA	D. Seaton and Associates, P.A. + 245 Park Ave, 39th Fl New York, NY 10167	DISCLOSURE COUNSEL SERVICES	3107	09/15/2015 01/28/2020	Preq List 04/16/2013	28	Y	140,000		100%				470,000
HFA	Tiber Hudson, LLC + 205 Lexington Ave, Ste 4 New York, NY 10016	BOND COUNSEL SERVICES	3313	04/08/2019 01/28/2020	RFP 04/16/2013	28	Y	20,175	100%					20,175
HFA	Harris Beach PLLC 99 Garnsey Road Pittsford, NY 14534	BOND COUNSEL SERVICES	3024	01/29/2014 01/28/2020	Preq List 04/16/2013	28	Y	78,867	100%					602,153

+ Minority-Owned Business Enterprise

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- + Minority-Owned Business Enterprise

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Procurement Contract Report For '18 - '19 (11/01/2018 to 10/31/2019)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/18 to 10/31/19					Life of Contract Amount Paid
									HFA	SONYMA	AHC	MBBA	TSFC	
<u>Legal - Bond Counsel Services</u>														
HFA	Nixon Peabody, LLP 55 West 46th Street New York, NY 10036-4120	BOND COUNSEL SERVICES	3013	01/29/2014 01/28/2020	Preq List 04/16/2013	28	N	14,854	100%					816,293
HFA	Orrick, Herrington & Sutcliffe, LLP 666 Fifth Ave. New York, NY 10103-0001	BOND COUNSEL SERVICES	2975	01/29/2014 01/28/2020	Preq List 04/16/2013	28	N	310,778	100%					1,678,453
HFA	Orrick, Herrington & Sutcliffe, LLP 666 Fifth Ave. New York, NY 10103-0001	DISCLOSURE COUNSEL SERVICES	2978	01/29/2014 01/28/2020	Preq List 04/16/2013	28	N	140,000	100%					755,000
HFA SONYMA	++Pearlman & Miranda LLC +2 Broad Street Ste 510 Bloomfield, NJ 07003	CO-BOND COUNSEL SERVICES	3161	05/26/2016 10/31/2019	Preq List 04/16/2013	28	Y	45,000	100%					165,474

++ Women-Owned Business Enterprise

- + Minority-Owned Business Enterprise

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									HFA	SONYMA	AHC	MBBA	TSFC	
<u>Legal - Bond Counsel Services</u>														
HFA	++Pearlman & Miranda LLC +2 Broad Street Ste 510 Bloomfield, NJ 07003	DISCLOSURE COUNSEL SERVICES	3176	05/26/2016 01/28/2020	Preq List 04/16/2013	28	Y	140,300	100%					395,300
HFA	Pugh, Jones & Johnson, P.C. +180 North LaSalle Street, Suite 3400 Chicago, IL 60601	BOND COUNSEL SERVICES	3046	01/29/2014 01/28/2020	Preq List 04/16/2013	28	Y	38,500	100%					392,464
<u>Legal - Other Outside Counsel Services</u>														
HFA SONYMA AHC	Brown Hutchinson LLP +925 Crossroads Building Two State Street Rochester, NY 14614	NON-BOND COUNSEL LEGAL SERVICES	3279	11/01/2017 10/31/2019	Preq List 08/24/2012	36	Y	35,632	13%	87%				38,245
HFA	Ganfer Shore Leeds & Zauderer LLP 360 Lexington Avenue - 14th Fl New York, NY 10017	NON-BOND COUNSEL LEGAL SERVICES	3076	05/01/2015 04/30/2020	Single Src 05/01/2015	1	Y	62,753	100%					118,105

++ Women-Owned Business Enterprise
+ Minority-Owned Business Enterprise

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									HFA	SONYMA	AHC	MBBA	TSFC	
Legal - Other Outside Counsel Services														
HFA SONYMA	Hinckley, Allen & Snyder, LLP 30 South Pearl Street, Ste 901 Albany, NY 12207	LEGAL SERVICES	3306	06/29/2018 06/28/2019	Single Src 06/29/2018	1	Y	7,167	48%	50%		1%	1%	7,167
HFA SONYMA AHC	++Hoguet Newman Regal & Kenney, LLP 10 East 40th Street, 35th Fl New York, NY 10016	NON-BOND COUNSEL SERVICES	3028	01/29/2013 01/28/2020	Preq List 08/24/2012	36	Y	4,865	100%					156,119
HFA SONYMA	Holland & Knight LLP 31 West 52nd Street New York, NY 10019	NON-BOND COUNSEL SERVICES	2906	01/29/2013 01/28/2020	Preq List 08/24/2012	36	Y	107,846	68%	31%			1%	444,604
HFA SONYMA	Nixon Peabody, LLP 55 West 46th Street New York, NY 10036-4120	NON-BOND COUNSEL SERVICES	3232	10/05/2017 01/28/2019	Preq List 08/24/2012	36	N	7,000	100%					21,535
HFA SONYMA	++Schoeman Updike Kaufman Gerber LLP 551 Fifth Ave New York, NY 10176	NON-BOND COUNSEL SERVICES	3312	11/01/2018 01/28/2020	Preq List 07/10/2013	36	Y	27,185	48%	50%		1%	1%	27,185
++ Women-Owned Business Enterprise														
^^ Small Business Enterprise														
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Procurement Contract Report For '18 - '19 (11/01/2018 to 10/31/2019)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/18 to 10/31/19					Life of Contract Amount Paid
									HFA	SONYMA	AHC	MBBA	TSFC	
<u>Legal - Other Outside Counsel Services</u>														
^^														
HFA SONYMA	Venable LLP 1270 Avenue of the Americas New York, NY 10020	NON-BOND COUNSEL SERVICES	2976	12/20/2013 01/28/2020	Preq List 08/24/2012	36	Y	185,269	44%	55%		1%	1%	736,890
<u>Legal - Research, Library Services</u>														
HFA	CQ Roll Call 1255 22nd St NW Washington, DC 20037	ELECTRONIC LICENSES FOR FEDERAL LEGISLATIVE TRACKING	3257	04/12/2018 04/11/2020	Single Src 04/12/2018	1	NYD	9,849	48%	50%		1%	1%	19,504
HFA	Legislative Retrieval System State of New York Legislative Bill Drafting Comm 55 Elk Street Albany, NY 12210	ELECTRONIC LEGISLATIVE INFO. SERVICES FOR NYS	1983	03/13/2002 03/12/2020	Single Src 03/13/2002	1	NYD	4,250	48%	50%		1%	1%	76,814
HFA	Reed Elsevier, Inc. 125 Park Ave.-23rd Floor New York, NY 10017	ELECTRONIC ONLINE DATABASE ACCESS SERVICES (LEX/NEX)	1896	01/01/2017 12/31/2021	St Ctrct 01/01/2017	0	N	20,700	48%	50%		1%	1%	444,604
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									HFA	SONYMA	AHC	MBBA	TSFC	
Legal - Research, Library Services														
HFA	Reed Elsevier, Inc. 28330 Network Place Chicago, IL 60673	ELECTRONIC INFORMATION SERVICES (ACCURINT)	3118	01/01/2016 12/31/2021	St Ctrct 01/01/2016	0	NYD	3,900	48%	50%		1%	1%	17,160
HFA	West Publishing Corp. DBA West Group 620 Opperman Drive Eagan, MN 55123	ELECTRONIC INFORMATION SERVICES (WESTLAW)	2484	07/01/2009 05/31/2020	St Ctrct 07/01/2009	0	NYD	28,822	48%	50%		1%	1%	251,930
MIF Services														
SONYMA	Genworth Financial Services, Inc. 8325 Six Forks Road Raleigh, NC 27615	ADMINISTRATIVE & UNDERWRITING SERVICES	2415	02/01/2005 12/31/2020	RFP 06/16/2004	1	N	31,965		100%				555,973
SONYMA	Radian Guaranty 1601 Market Street Philadelphia, PA 19103	REINSURANCE & ADMINISTRATIVE SERVICES FOR SONYMA MIF	1944	01/01/2001 / / Upon Notice	Single Src 01/01/2001	1	Y	67,989		100%				8,731,647

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Includes payment for prior services performed by Commonwealth Mortgage Assurance Company and Amerlin. Commonwealth Mortgage Assurance Company and Amerlin merged to form successor entity "Radian Guaranty Inc."

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Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/18 to 10/31/19					Life of Contract Amount Paid
									HFA	SONYMA	AHC	MBBA	TSFC	
Non Procurement Services														
HFA SONYMA	136 East 55th Street Garage LLC c/o Rudin Management Co., Inc. 345 Park Avenue New York, NY 10154-0101	LEASED GARAGE SPACE	2801	12/31/2012 / / Upon Notice	Brd Res 12/31/2012	0	NYD	12,408	48%	50%		1%	1%	81,671
HFA SONYMA	First Lexington Corporation C/O Rudin Management Co., Inc. 345 Park Avenue New York, NY 10154-0101	RENEWAL OF LEASE FOR 641 LEXINGTON AVENUE, NY, NY.	2142	01/01/2009 10/05/2018	Brd Res 01/01/2009	0	Y	1,604,898	48%	50%		1%	1%	52,014,145
HFA SONYMA	First Lexington Corporation C/O Rudin Management Co., Inc. 345 Park Avenue New York, NY 10154-0101	RENEWAL OF LEASE FOR 641 LEXINGTON AVENUE, NY, NY	3297	12/06/2018 07/31/2040	Brd Res 12/06/2018	0	Y	1,683,459	99%	1%				1,683,459
HFA	Gary Weinstock 1211 5th Avenue New Hyde Park, NY 11040	CONSULTANT SERVICES	3316	08/01/2019 01/31/2020	Sole Src 08/01/2019	0	Y	11,475	100%					11,475

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Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/18 to 10/31/19					Life of Contract	
									HFA	SONYMA	AHC	MBBA	TSFC	Amount Paid	
Non Procurement Services															
SONYMA	George M. Leocata 181 Railroad Ave Norwood, NJ 07648	CONSULTANT SERVICES	3105	10/08/2015 12/13/2019	Sole Src 10/08/2015	1	N	43,200		100%					132,635
HFA SONYMA AHC	Guardian Life Insurance Company of 7 Hanover Square New York, NY 10004	DENTAL INSURANCE SERVICES	3260	06/01/2018 05/31/2020	Comp Bid 06/01/2018	1	Y	866,031	57%	34%	7%	1%	1%		1,189,197
HFA	ISKALO DEVELOPMENT CORP. 5166 Main Street Williamsville, NY 14221	OFFICE LEASE FOR 535 WASHINGTON ST, BUFFALO, NY	2438	05/11/2009 10/31/2024	Brd Res 05/11/2009	0	NYD	30,316	100%						297,182
HFA	State Of New York Employee Benefits Division P.O. Box 1369 New York, NY 10116-1369	EMPLOYEE HEALTH INSURANCE-HFA	1960	11/01/2004 / / Upon Notice	Brd Res 11/01/2004	0	Y	3,058,601	64%	22%	12%	1%	1%		30,350,185
SONYMA	State Of New York Employee Benefits Division P.O. Box 1369 New York, NY 10116-1369	EMPLOYEE HEALTH INSURANCE -SONYMA	1961	11/01/2004 / / Upon Notice	Brd Res 11/01/2004	0	Y	3,094,580 See End Notes	52%	43%	3%	1%	1%		30,886,284
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									HFA	SONYMA	AHC	MBBA	TSFC	
Non Procurement Services														
HFA	Natural Heritage Trust PO Box 189 Waterford, NY 12188	PROJECT HISTORIC RESOURCES REVIEW	3144	04/01/2016 / / Upon Notice	Sole Src 04/01/2016	0	Y	18,448	100%					53,748
HFA SONYMA	The Switzer Group, Inc. +902 Broadway New York, NY 10010	ARCHITECTURAL DESIGN SERVICES	3305	05/11/2017 02/13/2020	RFP 03/14/2017	5	Y	200,453 See End Notes	59%	39%		1%	1%	200,453
Other Services														
HFA SONYMA AHC	Diamond Personnel LLC 252 W 37th Street - Suite 1202 New York, NY 10018	PROFESSIONAL TEMPORARY STAFFING CONSULTANT SERVICES	3292	10/22/2018 07/13/2021	Preq List 03/04/2016	21	Y	8,746	48%	50%		1%	1%	8,746
HFA SONYMA AHC	Execu-Search Holdings, LLC dba P.O. Box 844276 Boston, MA 02284-4276		3314	07/10/2019 07/13/2021	RFP 03/04/2016	66	NYD	0						0

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+ Minority-Owned Business Enterprise

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									HFA	SONYMA	AHC	MBBA	TSFC	
Other Services														
HFA	Global Background Screening, Inc 20900 NE 30 Avenue, Ste 843 Aventura, FL 33180	BACKGROUND SCREENING & REPORTING SERVICES	3058	03/30/2015 / / Upon Notice	Comp Bid 03/30/2015	5	Y	5,923	48%	50%		1%	1%	24,258
HFA	Greystone Servicing Corporation, Inc. 419 Belle Air Lane Warrenton, VA 20186	PORTFOLIO LOAN SERVICING	2863	06/05/2013 07/31/2019	RFP 06/05/2013	1	N	49,415	100%					734,992
HFA SONYMA AHC	LanceSoft Inc. +13454 Sunrise Valley Drive, St Herndon, VA 20171	PROFESSIONAL TEMPORARY STAFFING CONSULTANT SERVICES	3293	10/15/2018 07/13/2021	Preq List 03/04/2016	21	Y	53,583	48%	50%		1%	1%	53,583
HFA SONYMA AHC	Mindlance, Inc. 1095 Morris Avenue Unit 101A Union, NJ 07083	PROFESSIONAL TEMPORARY STAFFING CONSULTANT SERVICES	3294	10/31/2018 07/13/2021	Preq List 03/04/2016	21	Y	19,846	48%	50%		1%	1%	19,846
HFA SONYMA AHC	Nexus Staffing, Inc. +99 Tulip Ave, Suite 106 Floral Park, NY 11001	PROFESSIONAL TEMPORARY STAFFING CONSULTANT SERVICES	3223	09/06/2017 07/13/2021	Preq List 03/04/2016	21	Y	137,864	48%	50%		1%	1%	218,243
+ Minority-Owned Business Enterprise														

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^^ Small Business Enterprise

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Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/18 to 10/31/19					Life of Contract Amount Paid
									HFA	SONYMA	AHC	MBBA	TSFC	
Single Family Services														
SONYMA	Douglas W. Dylla d/b/a 109 Auburn Street % Ithaca, NY 14850	CONSULTING SERVICES	2828	03/06/2013 03/05/2019	RFP 01/04/2013	4	Y	25,000		100%				168,500
SONYMA	Ellie Mae, Inc. 4420 Rosewood Drive, Suite 500 Pleasanton, CA 94588	LICENSE, CUSTOM PUBLISHING AND HOSTING SERVICES FOR SONYMA SELLER GUIDE	3104	12/22/2015 12/31/2019	Single Src 12/22/2015	1	N	5,495		100%				42,460
SONYMA	Greater Rochester Housing Partnership 16 East Main Street, Suite 610 Rochester, NY 14614	TECHNICAL ASSISTANCE SERVICES	3247	01/11/2018 01/10/2019	Single Src 01/11/2018	1	Y	5,000		100%				15,000
SONYMA	Hsin-Hua Alice Chen 13205 Valley Drive Rockville, MD 20850	IT CONSULTANT SERVICES FOR SONYMA EXPRESS	3089	10/12/2015 10/11/2020	Sole Src 10/12/2015	1	N	137,500		100%				582,034

% Subcontracting with a MWBE

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									HFA	SONYMA	AHC	MBBA	TSFC	
Single Family Services														
SONYMA	Long Island Housing Partnership, Inc 180 Oser Avenue- Suite 800 Hauppauge, NY 11788	TECHNICAL ASSISTANCE SERVICES	3239	11/30/2017 11/29/2018	Single Src 11/30/2017	1	Y	10,000		100%				10,000
SONYMA	RUPCO 289 Fair Street Kingston, NY 12401	TECHNICAL ASSISTANCE SERVICES	3264	06/22/2018 06/21/2019	Single Src 06/22/2018	1	Y	20,500		100%				20,500
SONYMA	The Center for New York City 17 Battery Place, Suite 728 New York, NY 10004	TECHNICAL ASSISTANCE SERVICES	3246	01/11/2018 01/10/2019	Single Src 01/11/2018	1	Y	5,000		100%				20,000
Training Services														
HFA SONYMA	++Professional Development Co., Inc. 875 West End Ave, Suite 5B New York, NY 10025	SENIOR STAFF TRAINING SERVICES	3276	09/27/2018 12/31/2018	Comp Bid 09/19/2018	1	Y	8,350	48%	50%		1%	1%	8,350
Trustee Services														

++ Women-Owned Business Enterprise

Procurement Contract Report For '18 - '19 (11/01/2018 to 10/31/2019)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/18 to 10/31/19					Life of Contract Amount Paid
									HFA	SONYMA	AHC	MBBA	TSFC	
Trustee Services														
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	1403	04/05/2004 / / Upon Notice	RFP 04/05/2004	0	Y	80	100%					6,217
TSFC	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	1426	05/29/2003 / / Upon Notice	RFP 05/29/2003	0	Y	3,000					100%	327,392
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	1428	12/29/2003 / / Upon Notice	RFP 12/29/2003	0	Y	15,280	100%					27,904
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	1429	05/14/2004 / / Upon Notice	RFP 05/14/2004	0	Y	80	100%					21,257
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	1449	11/09/2004 / / Upon Notice	RFP 11/09/2004	0	Y	80	100%					10,290

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Procurement Contract Report For '18 - '19 (11/01/2018 to 10/31/2019)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/18 to 10/31/19					Life of Contract Amount Paid
									HFA	SONYMA	AHC	MBBA	TSFC	
<u>Trustee Services</u>														
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	1453	12/29/2003 / / Upon Notice	RFP 12/29/2003	0	Y	4,160	100%					29,181
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	1455	11/29/2004 / / Upon Notice	RFP 11/29/2004	0	Y	80	100%					7,217
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	1459	01/06/2005 / / Upon Notice	RFP 01/06/2005	0	Y	4,000	100%					11,250
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	1472	01/17/2003 / / Upon Notice	RFP 01/17/2003	0	Y	4,000	100%					27,153

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Procurement Contract Report For '18 - '19 (11/01/2018 to 10/31/2019)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/18 to 10/31/19					Life of Contract Amount Paid
									HFA	SONYMA	AHC	MBBA	TSFC	
Trustee Services														
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	1798	12/29/2003 / / Upon Notice	RFP 12/29/2003	0	Y	480	100%					24,473
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2086	09/29/2006 / / Upon Notice	RFP 09/29/2006	3	Y	80	100%					4,467
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2087	09/05/2006 / / Upon Notice	RFP 09/05/2006	5	Y	80	100%					4,506
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2188	01/17/2007 / / Upon Notice	RFP 01/17/2007	5	Y	80	100%					5,506
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2190	06/05/2007 / / Upon Notice	RFP 06/05/2007	3	Y	80	100%					4,506

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Procurement Contract Report For '18 - '19 (11/01/2018 to 10/31/2019)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/18 to 10/31/19					Life of Contract Amount Paid
									HFA	SONYMA	AHC	MBBA	TSFC	
<u>Trustee Services</u>														
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2220	08/31/2007 / / Upon Notice	RFP 08/31/2007	4	Y	49,900	100%					537,365
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2273	06/08/2008 / / Upon Notice	RFP 06/08/2008	3	Y	4,000	100%					25,080
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2295	07/22/2008 / / Upon Notice	RFP 07/22/2008	5	Y	4,000	100%					6,389
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2507	09/01/1991 / / Upon Notice	RFP 09/01/1991	0	Y	120	100%					3,564

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Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/18 to 10/31/19					Life of Contract Amount Paid
									HFA	SONYMA	AHC	MBBA	TSFC	
Trustee Services														
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2574	10/08/2010 / / Upon Notice	RFP 10/08/2010	3	Y	7,000	100%					12,000
MBBA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2579	12/16/2010 / / Upon Notice	RFP 12/16/2010	5	Y	3,000				100%		46,454
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2726	03/22/2012 / / Upon Notice	RFP 03/22/2012	3	Y	6,000	100%					50,500
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2797	10/11/2012 / / Upon Notice	RFP 10/11/2012	2	Y	9,040	100%					73,290
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2898	09/13/2013 / / Upon Notice	RFP 09/13/2013	3	Y	3,000	100%					38,500

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Procurement Contract Report For '18 - '19 (11/01/2018 to 10/31/2019)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/18 to 10/31/19					Life of Contract Amount Paid
									HFA	SONYMA	AHC	MBBA	TSFC	
<u>Trustee Services</u>														
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2918	12/05/2013 / / Upon Notice	RFP 12/05/2013	3	Y	1,000	100%					21,400
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2919	12/05/2013 / / Upon Notice	RFP 12/05/2013	3	Y	5,000	100%					44,000
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2983	05/14/2014 / / Upon Notice	RFP 05/14/2014	3	Y	3,750	100%					25,000
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2995	05/14/2014 / / Upon Notice	RFP 05/14/2014	3	Y	4,000	100%					14,500

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Procurement Contract Report For '18 - '19 (11/01/2018 to 10/31/2019)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/18 to 10/31/19					Life of Contract Amount Paid
									HFA	SONYMA	AHC	MBBA	TSFC	
Trustee Services														
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	3015	10/10/2014 / / Upon Notice	RFP 10/10/2014	3	Y	22,500	100%					57,500
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	3016	11/14/2014 / / Upon Notice	RFP 11/14/2014	4	Y	6,000	100%					30,000
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	3041	11/21/2014 / / Upon Notice	RFP 11/12/2014	3	Y	6,280	100%					32,280
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	3042	11/25/2014 / / Upon Notice	RFP 11/19/2014	1	Y	41,035	100%					121,035
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	3065	05/22/2015 / / Upon Notice	RFP 04/30/2015	1	Y	7,500	100%					86,300

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Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/18 to 10/31/19					Life of Contract Amount Paid
									HFA	SONYMA	AHC	MBBA	TSFC	
<u>Trustee Services</u>														
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	3071	07/07/2015 / / Upon Notice	RFP 06/19/2015	2	Y	1,500	100%					18,000
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	3081	09/23/2015 / / Upon Notice	RFP 09/11/2015	1	Y	27,000	100%					82,500
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	3095	10/28/2015 / / Upon Notice	RFP 10/08/2015	2	Y	4,500	100%					17,500
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	3138	07/28/2016 / / Upon Notice	RFP 07/15/2016	2	Y	2,000	100%					17,580

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Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/18 to 10/31/19					Life of Contract Amount Paid
									HFA	SONYMA	AHC	MBBA	TSFC	
Trustee Services														
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	3172	10/12/2016 / / Upon Notice	RFP 10/07/2016	3	Y	4,000	100%					15,500
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE SERVICES	3284	07/21/2017 / / Upon Notice	RFP 07/21/2017	4	Y	6,000	100%					6,000
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE SERVICES	3285	07/21/2017 / / Upon Notice	RFP 07/21/2017	4	Y	2,000	100%					2,000
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE SERVICES	3286	07/18/2018 / / Upon Notice	RFP 10/11/2012	2	Y	4,000	100%					4,000
SONYMA	Bank Of New York Mellon 101 Barclay Street Floor 7W New York, NY 10286	TRUSTEE	1883	10/15/1997 / / Upon Notice	RFP 10/15/1997	0	NYD	200,250 See End Notes		100%				3,688,592

NYD indicates Not Yet Determined. Unavailable data at this time as Agencies are in the process of updating their files.

Procurement Contract Report For '18 - '19 (11/01/2018 to 10/31/2019)

NYD indicates Not Yet Determined. Unavailable data at this time as Agencies are in the process of updating their files.

Procurement Contract Report For '18 - '19 (11/01/2018 to 10/31/2019)

[illegible]

Procurement Contract Report For '18 - '19 (11/01/2018 to 10/31/2019)

[illegible]

Procurement Contract Report For '18 - '19 (11/01/2018 to 10/31/2019)

[illegible]

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Procurement Contract Report For '18 - '19 (11/01/2018 to 10/31/2019)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/18 to 10/31/19					Life of Contract Amount Paid
									HFA	SONYMA	AHC	MBBA	TSFC	
Trustee Services														
HFA	Manufacturers & Traders Trust Company Corporate Trust Admin., 7th Fl One M&T Plaza Buffalo, NY 14203	TRUSTEE	3220	08/11/2017 / / Upon Notice	RFP 07/26/2017	1	Y	3,000	100%					10,000
HFA	U.S. Bank National Association 100 Wall Street- Suite 1600 New York, NY 10005	TRUSTEE	1413	11/17/1978 / / Upon Notice	RFP 11/17/1978	0	Y	8,686	100%					197,869
HFA	U.S. Bank National Association 100 Wall Street- Suite 1600 New York, NY 10005	TRUSTEE	2865	06/30/2013 / / Upon Notice	RFP 06/30/2013	3	Y	3,250	100%					14,250
HFA	U.S. Bank National Association 100 Wall Street- Suite 1600 New York, NY 10005	TRUSTEE	2933	08/23/2013 / / Upon Notice	RFP 08/23/2013	1	Y	6,542	100%					27,705

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Procurement Contract Report For '18 - '19 (11/01/2018 to 10/31/2019)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/18 to 10/31/19					Life of Contract Amount Paid
									HFA	SONYMA	AHC	MBBA	TSFC	
Trustee Services														
SONYMA	U.S. Bank National Association 100 Wall Street- Suite 1600 New York, NY 10005	TRUSTEE	2948	09/27/2011 / / Upon Notice	RFP 09/27/2011	1	Y	17,400		100%				97,850
HFA	U.S. Bank National Association 100 Wall Street- Suite 1600 New York, NY 10005	TRUSTEE	3190	02/08/2017 / / Upon Notice	RFP 01/31/2017	3	Y	1,500	100%					12,250
HFA	U.S. Bank National Association 100 Wall Street- Suite 1600 New York, NY 10005	TRUSTEE	3230	09/20/2017 / / Upon Notice	RFP 09/14/2017	4	Y	1,000	100%					7,000
HFA	U.S. Bank National Association 100 Wall Street- Suite 1600 New York, NY 10005	TRUSTEE	3250	01/25/2018 / / Upon Notice	RFP 01/19/2018	2	Y	3,500	100%					8,000
HFA	U.S. Bank National Association 100 Wall Street- Suite 1600 New York, NY 10005	TRUSTEE	3296	07/01/2004 / / Upon Notice	RFP 07/01/2004	0	Y	7,500	100%					7,500

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Procurement Contract Report For '18 - '19 (11/01/2018 to 10/31/2019)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/18 to 10/31/19					Life of Contract Amount Paid
									HFA	SONYMA	AHC	MBBA	TSFC	
Trustee Services														
HFA	Wells Fargo Bank, NA 1 Boston Pl Boston, MA 02108	TRUSTEE	2400	03/24/2009 / / Upon Notice	RFP 12/11/2008	5	N	1,750	100%					21,500
HFA	Wells Fargo Bank, NA 1 Boston Pl Boston, MA 02108	TRUSTEE	2401	03/24/2009 / / Upon Notice	RFP 12/11/2008	5	N	1,750	100%					21,500
HFA	Wells Fargo Bank, NA 1 Boston Pl Boston, MA 02108	TRUSTEE	2403	03/24/2009 / / Upon Notice	RFP 12/11/2008	5	N	1,000	100%					21,500
HFA	Wells Fargo Bank, NA 1 Boston Pl Boston, MA 02108	TRUSTEE	2406	03/24/2009 / / Upon Notice	RFP 12/11/2008	5	N	1,750	100%					22,250

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Procurement Contract Report For '18 - '19 (11/01/2018 to 10/31/2019)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/18 to 10/31/19					Life of Contract Amount Paid
									HFA	SONYMA	AHC	MBBA	TSFC	
Trustee Services														
HFA	Wells Fargo Bank, NA 1 Boston Pl Boston, MA 02108	TRUSTEE	2407	03/24/2009 / / Upon Notice	RFP 12/11/2008	5	N	1,750	100%					20,750
HFA	Wells Fargo Bank, NA 1 Boston Pl Boston, MA 02108	TRUSTEE	2408	03/24/2009 / / Upon Notice	RFP 12/11/2008	5	N	1,750	100%					20,750

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Endnotes for Procurement Contract Report For 2018-2019 (11/01/2018 to 10/31/2019)

Agency(s)	Vendor Name	Scope of Services	Contract No.	Contract Date	ENDNOTE
HFHA SONYMA AHC	AT&T	COMMUNICATION SERVICES	1882	05/19/2002	10/31/2019 REPLACED BY CONTRACT #3329.
SONYMA	Bank Of New York Mellon	TRUSTEE	1883	10/15/1997	01/31/2019 CONTRACT # 1883 AND CONTRACT # 2144 ARE ONE AND THE SAME CONTRACT.
HFHA SONYMA AHC	Verizon Business	COMMUNICATION SERVICES	1906	05/19/2002	10/31/2019 REPLACED BY CONTRACT #3318
HFHA SONYMA AHC	Verizon Wireless	WIRELESS COMMUNICATION SERVICES	1907	08/17/2004	10/31/2019 REPLACED BY CONTRACT #3330
SONYMA	State Of New York	EMPLOYEE HEALTH INSURANCE -SONYMA	1961	11/01/2004	10/31/2019 Fringe benefit allocations across all Agencies based on SONYMA payroll allocations.
HFHA SONYMA	The Switzer Group, Inc.	ARCHITECTURAL DESIGN SERVICES	3210	05/11/2017	07/31/2019 TRANSFER OF PAYMENTS TO CONTRACT# 3305 IN THE AMOUNT OF \$200,453. 10/31/2019 ALL PAYMENTS RECLASSIFIED TO BOARD APPROVED BUDGET UNDER ONE CENTER
SONYMA	Presidio Network Solutions	IT CONSULTANT SERVICES	3219	07/14/2017	10/31/2019 RECEIVED VENDOR REFUND
SONYMA	Conduent Mortgage Services,	IMAGING SERVICES	3228	03/01/2017	01/31/2019 DUE TO LEGAL NAME CHANGE FROM XEROX MORTGAGE SERVICES, INC., CONTRACT #2795 AND THIS CONTRACT ARE THE SAME CONTRACT.
HFHA SONYMA	The Switzer Group, Inc.	ARCHITECTURAL DESIGN SERVICES	3305	05/11/2017	07/31/2019 RECORD TO REFLECT PAYMENTS MADE BY HFA/SONYMA ON BEHALF OF OGS FOR DHCR FOR ITEMS REGARDING FIRST LEXINGTON LEASE
HFHA SONYMA AHC	Verizon Business	COMMUNICATION SERVICES	3318	09/16/2019	10/31/2019 REPLACES CONTRACT #1906

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Purchase Orders

11/01/2018 - 10/31/2019

														Payments
11/01/2018 - 10/31/2019														
Agency	Vendor		Subject Matter	Selection Code	NYS	Desig	Goods/ Svces	Current Payment	HFA	SON	AHC	MBBA	TSFC	To Date
SONYMA	345 Park Ave L.P. c/o Rudin Management Co 345 Park Ave New York, NY 10154		Cleaning & Maintenance Leasehold Improvements	Single Source	NYD	Exempt	S	5,659	48%	50%		1%	1%	5,659
SONYMA	415 Madison Ave LLC c/o Rudin Management Co. 345 Park Avenue New York, NY 10154-0101		Leasehold Improvements Misc- OTPS & Board Meet	Single Source	NYD	Exempt	S	8,294	48%	50%		1%	1%	8,294
SONYMA	Big Apple Sign Corp. 247 West 35th St. New York, NY 10001		Office Supplies	Competitive Bid	NYD	Exempt	S	5,356	48%	50%		1%	1%	5,356
SONYMA	CDW Government Inc. 75 Remittance Drive Suite 1515 Chicago, IL 60675-1515		Info. Tech. -Acquisition Office Supplies	Competitive Bid State Contract	NYD	Exempt	S	11,096	48%	50%		1%	1%	11,096
SONYMA	Citizens Housing & Planning 50 East 42 Street- Suite 407 New York, NY 10017-5405		Sponsorship Fees	Single Source	NYD	Exempt	S	5,000	48%	50%		1%	1%	5,000
SONYMA	Citrix Systems, Inc. 851 West Cypress Creek Road Fort Lauderdale, FL 33309		Info.Tech. - Maintenance	State Contract	NYD	Exempt	S	38,768	48%	50%		1%	1%	38,768
SONYMA	Coffee Distributing Corp. P.O. Box 766 Garden City Park, NY 11040		Kitchen Expenses Prepaid Expense	Competitive Bid	Y	Exempt	S	22,843	48%	50%		1%	1%	22,843

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Purchase Orders

11/01/2018 - 10/31/2019

Payments													11/01/2018 - 10/31/2019
Agency	Vendor	Subject Matter	Selection Code	NYS	Desig	Goods/ Svcs	Current Payment	HFA	SON	AHC	MBBA	TSFC	To Date
		Rental of Office Equipmnt											
SONYMA	Cogent Communications, Inc. P.O. Box 791087 Baltimore, MD 21279-1087	Communications	Single Source	NYD	Exempt	S	6,315	48%	50%		1%	1%	6,315
SONYMA	Compass IT Compliance, LLC 412 Angell Road North Providence, RI 02904	Info.Tech. - Maintenance	Competitive Bid	Y	Exempt	S	10,890	48%	50%		1%	1%	10,890
SONYMA	Corporate Computer Solutions, Inc. 55 Halstead Ave Harrison, NY 10528	++ Info. Tech. -Acquisition Info.Tech. - Maintenance Office Supplies	Competitive Bid State Contract	Y	MWBE	S	56,427	48%	50%		1%	1%	56,427
SONYMA	Dell Marketing L.P. PO Box 643561 Pittsburgh, PA 15264-3561	Info. Tech. -Acquisition Info.Tech. - Maintenance	Competitive Bid State Contract	Y	Exempt	S	114,237	48%	50%		1%	1%	114,237
SONYMA	EMC Corporation 176 South Street Hopkinton, MA 01748	Info.Tech. - Maintenance	Emergency State Contract	NYD	Exempt	S	19,860	48%	50%		1%	1%	19,860
HFA	Europa Bar & Grill 1776 Broadway Suite 1500 New York, NY 10019	COI- Other Reimbursed by Project Travel- Bus Lunch &	Competitive Bid	NYD	Exempt	S	13,221	64%	36%		0%	0%	13,221

++ Women owned business enterprise

NYD indicates Not Yet Determined. Unavailable data at this time as Agencies are in the process of updating their files.

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Purchase Orders

11/01/2018 - 10/31/2019

Payments													11/01/2018 - 10/31/2019
Agency	Vendor	Subject Matter	Selection Code	NYS	Desig	Goods/ Svcs	Current Payment	HFA	SON	AHC	MBBA	TSFC	To Date
		Recpt Workshops											
HFA	Executive Charge, Inc. 1440 39th Street Brooklyn, NY 11218	Reimbursed by Project Travel- Local Travel- Out-of-Town	Competitive Bid	NYD	Exempt	S	5,226	67%	33%		0%	0%	5,226
SONYMA	Falk Technical Service Corp. 227 West 19th Street New York, NY 10011	Cleaning & Maintenance	Emergency Single Source	Y	Exempt	S	6,771	48%	50%		1%	1%	6,771
SONYMA	HOSELTON CHEVROLET INC. 909 Fairport Road East Rochester, NY 14445	Auto Expenses	Competitive Bid	NYD	Exempt	S	14,755	48%	50%		1%	1%	14,755
SONYMA	Hangtian Capital Group, LLC Holiday Inn Plainview 215 Sunnyside Blvd Plainview, NY 11803	Marketing Fees	Competitive Bid	NYD	Exempt	S	8,792		100%				8,792
HFA	JP Morgan Chase Bank 12 Corporate Woods Blvd.-4th F Albany, NY 12211	Fees & Exp- Trustee	Single Source	Y	Exclusion	S	41,947	64%	36%				41,947
SONYMA	Jennifer Temps Inc. 80 Maiden Lane - Suite 605	+++Temp Employees- Empl Agy	State Contract	Y	MWBE	S	36,110	48%	50%		1%	1%	36,110

++ Women owned business enterprise
+ Minority owned business enterprise

NYD indicates Not Yet Determined. Unavailable data at this time as Agencies are in the process of updating their files.

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Purchase Orders

11/01/2018 - 10/31/2019

Payments													
11/01/2018 - 10/31/2019													
Agency	Vendor	Subject Matter	Selection Code	NYS	Desig	Goods/ Svcs	Current Payment	HFA	SON	AHC	MBBA	TSFC	To Date
	New York, NY 10038												
SONYMA	MICRO FOCUS (US), INC. Dept CH 19224 Palatine, IL 60055-9224	Info.Tech. - Maintenance	Competitive Bid	NYD	Exempt	S	6,882		100%				6,882
SONYMA	Metropolitan Office & Computer 345 Park Avenue New York, NY 10154	Books & Periodicals Office Supplies Purchase of Office Equip	Competitive Bid	Y	Exempt	S	5,685	48%	50%		1%	1%	5,685
SONYMA	NYS Coalition for Excellence in 289 Fair Street Kingston, NY 12401	Sponsorship Fees	Non Procurement	NYD	Exempt	S	10,000		100%				10,000
SONYMA	Neighborhood Housing Services of 60-20 Woodside Avenue - 2nd Fl Woodside, NY 11377	Sponsorship Fees	Competitive Bid	Y	Exempt	S	13,000		100%				13,000
HFA	Neuman's Catering, dba TastedBud Caterin 203 Chrystie Street New York, NY 10002	COI- Other Reimbursed by Project	Competitive Bid	NYD	Exempt	S	6,055	100%					6,055
SONYMA	OneSpan North America 121 West Wacker Drive - Ste 20 Chicago, IL 60601	Info.Tech. - Maintenance	Single Source	NYD	Exempt	S	7,100		100%				7,100

Run Date:01/27/2020

Purchase Orders

11/01/2018 - 10/31/2019

Payments													11/01/2018 - 10/31/2019
Agency	Vendor	Subject Matter	Selection Code	NYS	Desig	Goods/ Svcs	Current Payment	HFA	SON	AHC	MBBA	TSFC	To Date
SONYMA	Penda Aiken, Inc. 330 Livingston Street Brooklyn, NY 11217	++ Temp Employees- Empl Agy	State Contract	Y	MWBE	S	5,247	48%	50%		1%	1%	5,247
SONYMA	Politico LLC P.O. Box 419342 Boston, MA 02241-9342	Books & Periodicals	Sole Source	Y	Exempt	S	8,775		100%				8,775
SONYMA	Robert Half International, Inc 2613 Camino Ramon San Ramon, CA 94583	Temp Employees- Empl Agy	State Contract	Y	Exempt	S	21,915	48%	50%		1%	1%	21,915
SONYMA	Royel Marketing 555 Fifth Avenue, 17th Fl New York, NY 10017	+ Marketing Fees Miscellaneous- Personnel Office Supplies Personnel Recruit & Adv	Competitive Bid Single Source	Y	MWBE	S	47,638	8%	90%	1%	0%	0%	47,638
SONYMA	SHI International Corp. Weston Canal Plaza Two Riverview Drive Somerset, NJ 08873	Info. Tech. -Acquisition Info.Tech. - Maintenance	Competitive Bid State Contract	NYD	Exempt	S	16,857	48%	50%		1%	1%	16,857
SONYMA	Sher-Del Transfer & Relocation Services, 140 Varick Avenue Brooklyn, NY 11237	Leasehold Improvements	State Contract	Y	Exempt	S	196,839	48%	50%		1%	1%	196,839
SONYMA	SolarWinds, Inc. d/b/a 3711 S. MoPac Expressway	Info.Tech. - Maintenance	Single Source	NYD	Exempt	S	7,594	48%	50%		1%	1%	7,594

++ Women owned business enterprise
+ Minority owned business enterprise

NYD indicates Not Yet Determined. Unavailable data at this time as Agencies are in the process of updating their files.

Run Date:01/27/2020

Purchase Orders

11/01/2018 - 10/31/2019

Payments													
11/01/2018 - 10/31/2019													
Agency	Vendor	Subject Matter	Selection Code	NYS	Desig	Goods/ Svcs	Current Payment	HFA	SON	AHC	MBBA	TSFC	To Date
	Building Two Austin, TX 78746												
SONYMA	Staff Today Inc. 212 E. Rowland St #313 Covina, CA 91723	Temp Employees- Empl Agy	State Contract	Y	Exempt	S	18,740	48%	50%		1%	1%	18,740
SONYMA	Staples Contract & Commercial Inc. 500 Staples Drive Framingham, MA 01702	Furniture & Fixtures Leasehold Improvements Office Supplies Purchase of Office Equip	State Contract	Y	Exempt	S	41,003	46%	53%		1%	1%	41,003
SONYMA	Systems Application Information Network, 777 8th Avenue New York, NY 10036	Info. Tech. -Acquisition	Competitive Bid	Y	MWBE	S	12,159	48%	50%		1%	1%	12,159
HFA	The New York Times Company P.O. Box 19218 Newark, NJ 07195-0218	COI- Printing Reimbursed by Project	Single Source	Y	Exclusion	S	68,510	100%					68,510
SONYMA	Trisec Group, Inc. 19 North Broadway, Suite 5 Tarrytown, NY 10591	Info.Tech. - Maintenance	State Contract	NYD	Exempt	S	34,643	48%	50%		1%	1%	34,643
SONYMA	Veritiv Operating Company P.O. Box 644520 Pittsburgh, PA 15264	Office Supplies	State Contract	NYD	Exempt	S	10,617	48%	50%		1%	1%	10,617

+ Minority owned business enterprise

NYD indicates Not Yet Determined. Unavailable data at this time as Agencies are in the process of updating their files.

Run Date:01/27/2020

Purchase Orders

11/01/2018 - 10/31/2019

Payments													
11/01/2018 - 10/31/2019													
Agency	Vendor	Subject Matter	Selection Code	NYS	Desig	Goods/ Svcs	Current Payment	HFA	SON	AHC	MBBA	TSFC	To Date
HFA	Verizon Business PO Box 15124 Albany, NY 12212-5124	Communications Consultants Fees Reimbursed by Project	State Contract	NYD	Exempt	S	41,195	77%	22%		0%	0%	41,195
HFA	Verizon Network Intergration Corp. P.O. Box 650457 Dallas, TX 75265--045	Leasehold Improvements Reimbursed by Project	State Contract	NYD	Exempt	G	477,568	51%	47%		1%	1%	477,568
SONYMA	Xerox Corporation P.O. Box 827598 Philadelphia, PA 19182-7598	Maint of Office Equipment Rental of Office Equipmnt	Competitive Bid	Y	Exclusion	S	38,155	48%	50%		1%	1%	38,155
SONYMA	ZOHO Corporation 4900 Hopyard Road, Suite 310 Pleasanton, CA 94588-7100	Info.Tech. - Maintenance	Uniquely Qualified Source	NYD	Exempt	S	10,795	48%	50%		1%	1%	10,795
SONYMA	Zones, Inc. P.O. Box 34740 Seattle, WA 98124-1740	Info. Tech. -Acquisition Info.Tech. - Maintenance Maint of Office Equipment	Competitive Bid	N	MWBE		116,080	48%	50%		1%	1%	116,080

TAB 3

MWBE Analysis for Procurement Contracts and Purchase Orders

MWBE Annual Procurement Contract Report for 2018-2019
For the Period Commencing November 1, 2018 to October 31, 2019

Agency	Vendor	Contact No	Description	Sel Method	Begin Date	End Date	Amount Paid	MWBE	Exclusion	Exemption	Justification	Life	MBE	WBE	Goods	Services	Subcontracting
HFA	Edward Daniel's Group, Inc. +	3273	IT TEMPORARY STAFFING CONSULTING SERVICE	Preq List	8/20/2018	12/14/2020	12,342,789	12,342,789				12,342,789		12,342,789		X	
HFA	Tech Valley Talent, LLC +	3213	IT TEMPORARY STAFFING CONSULTANT SERVICE	Preq List	6/26/2017	12/14/2020	2,089,962	2,089,962				3,335,281		2,089,962		X	
HFA	Pearlman & Miranda LLC +	3176	BOND COUNSEL DISCLOSURE SERVICES	Preq List	5/26/2016	01/28/2020	140,300	140,300				395,300		140,300		X	
SONYMA	Mohanty Gargiulo LLC +	3125	SWAP ADVISORY SERVICES	Preq List	12/10/2015	12/09/2020	118,500	118,500				236,500		118,500		X	
SONYMA	Dixon Schwabl Advertising, Inc. +	3310	ADVERTISING CONSULTANT SERVICES	Preq List	6/3/2019	10/31/2022	88,336	88,336				88,336		88,336		X	X
SONYMA	Butler/Till Media Services, Inc. +	3252	ADVERTISING CONSULTANT SERVICES	Preq List	11/6/2017	11/05/2022	62,104	62,104				346,638		62,104		X	
HFA	Pearlman & Miranda LLC +	3161	CO-BOND COUNSEL SERVICES	Preq List	5/26/2016	10/31/2019	45,000	45,000				165,474		45,000		X	
HFA	Acacia Financial Group, Inc +	3109	FINANCIAL ADVISORY SERVICES	Preq List	12/10/2015	12/09/2020	37,500	37,500				197,500		37,500		X	
HFA	Schoeman Updike Kaufman + Gerber LLP	3312	NON-BOND COUNSEL SERVICES FORECLOSURE,	Preq List	11/1/2018	01/28/2020	27,185	27,185				27,185		27,185		X	
HFA	Professional Development Co., Inc. +	3276	SENIOR STAFF TRAINING SERVICES	Comp Bid	9/27/2018	12/31/2018	8,350			8,350		8,350		8,350		X	
HFA	Hoguet Newman Regal & Kenney, LLP +	3028	NON-BOND COUNSEL LEGAL SERVICES	Preq List	1/29/2013	01/28/2020	4,865	4,865				156,119		4,865		X	
SONYMA	Harlem Community Newspaper, Inc. +	3280	ADVERTISING SERVICES	Single Src	6/30/2018	12/30/2018	4,741	4,741				9,482		4,741		X	
HFA	Systems Application Information Network, #	3174	IT TEMPORARY STAFFING CONSULTANT SERVICE	Preq List	12/15/2016	12/14/2020	1,119,900	1,119,900				3,584,560	1,119,900			X	
HFA	The Switzer Group, Inc. #	3210	ARCHITECTURAL DESIGN SERVICES	RFP	5/11/2017	02/13/2020	590,954	590,954				1,349,148	590,954			X	X
HFA	InfoPeople Corporation #	3175	IT TEMPORARY STAFFING CONSULTANT SERVICE	Preq List	12/15/2016	12/14/2020	417,290	417,290				1,080,990	417,290			X	
HFA	The Switzer Group, Inc. #	3305	ARCHITECTURAL DESIGN SERVICES	RFP	5/11/2017	02/13/2020	200,453	200,453				200,453	200,453			X	
SONYMA	D. Seaton and Associates, P.A. #	3107	BOND COUNSEL DISCLOSURE SERVICES	Preq List	9/15/2015	01/28/2020	140,000	140,000				470,000	140,000			X	
HFA	Nexus Staffing, Inc. #	3223	PROFESSIONAL TEMPORARY STAFFING CONSULTA	Preq List	9/6/2017	07/13/2021	137,864	137,864				218,243	137,864			X	
HFA	The Cayemite Group, Inc #	3254	TECHNICAL ASSISTANCE AND CONSULTANT SERV	Disc Spnd	3/27/2018	03/26/2020	114,060	114,060				199,995	114,060			X	
HFA	McGlashan Law Firm, P.C. #	3133	CO-BOND COUNSEL SERVICES	Preq List	1/29/2016	10/31/2019	89,665	89,665				234,630	89,665			X	
HFA	Deluxe Delivery Systems, Inc. #	2771	OFF SITE STORAGE AND RETRIEVAL ACCESS SE	Single Src	8/1/2012	07/31/2020	57,433	57,433				444,550	57,433			X	
HFA	LanceSoft Inc. #	3293	PROFESSIONAL TEMPORARY STAFFING CONSULTA	Preq List	10/15/2018	07/13/2021	53,583	53,583				53,583	53,583			X	
HFA	Joseph C. Reid, P.A. #	2736	CO-BOND COUNSEL SERVICES	Preq List	11/1/2011	10/31/2019	51,795	51,795				122,295	51,795			X	
HFA	E.G. Bowman Co., Inc. #	3036	INSURANCE BROKERAGE SERVICES	RFP	5/3/2014	05/02/2020	372,290	50,259		322,031	Insurance Co.	1,692,842	50,259			X	
HFA	Pugh, Jones & Johnson, P.C. #	3046	BOND COUNSEL LEGAL SERVICES	Preq List	1/29/2014	01/28/2020	38,500	38,500				392,464	38,500			X	
SONYMA	Brown Hutchinson LLP #	3279	NON-BOND COUNSEL LEGAL SERVICES	Preq List	11/1/2017	10/31/2019	35,632	35,632				38,245	35,632			X	
HFA	ImageMaster LLC #	3100	FINANCIAL PRINTING	RFP	9/8/2015	09/09/2020	24,048	24,048				129,891	24,048			X	
HFA	Joseph C. Reid, P.A. #	3128	LEGAL OPINION FOR ARBITRAGE REBATE CALCU	RFP	3/4/2015	03/03/2020	20,690	20,690				52,540	20,690			X	
HFA	Tiber Hudson, LLC #	3313	BOND COUNSEL SERVICES	RFP	4/8/2019	01/28/2020	20,175	20,175				20,175	20,175			X	
HFA	Bryant Rabbino LLP #	3026	CO-BOND COUNSEL SERVICES	Preq List	1/29/2014	01/28/2019	14,865	14,865				154,945	14,865			X	
AHC	Padilla and Company, LLP #	3281	AUDIT SERVICES FOR PROJECT HFH-NYS 2013	Comp Bid	10/17/2018	10/16/2019	14,000	14,000				14,000	14,000			X	
AHC	Les S. Thompson & Co., LLP #	3282	AUDIT SERVICES	Comp Bid	10/17/2018	10/16/2019	4,385	4,385				4,385	4,385			X	
SONYMA	Amsterdam News Corp #	3237	SONYMA ADS	Single Src	10/6/2017	10/06/2018	533	533				5,863	533			X	
HFA	Milliman, Inc.	2761	GASB 45 & 75 ACTUARIAL SERVICES	RFP	7/18/2012	01/31/2020	20,000	20,000				65,000				X	X
SONYMA	Douglas W. Dylla	2828	CONSULTING SERVICES	RFP	3/6/2013	03/05/2019	25,000	25,000				168,500				X	X
HFA	Ernst & Young LLP	3085	AUDIT SERVICES	RFP	9/16/2015	09/15/2020	218,830	218,830				803,453				X	X
SONYMA	Ernst & Young LLP	3086	AUDIT SERVICES	RFP	9/16/2015	09/15/2020	163,500	163,500				664,405				X	X
MBBA	Ernst & Young LLP	3101	AUDIT SERVICES	RFP	9/16/2015	09/15/2020	17,300	17,300				66,240				X	X
TSFC	Ernst & Young LLP	3102	AUDIT SERVICES	RFP	9/16/2015	09/15/2020	18,200	18,200				69,575				X	X
AHC	Ernst & Young LLP	3103	AUDIT SERVICES	RFP	9/16/2015	09/15/2020	12,900	12,900				49,554				X	X
HFA	CASO Document Management	3253	ELECTRONIC RECORD MANAGEMENT SYSTEM	RFP	2/12/2018	02/11/2021	920,493	920,493				1,651,496				X	X
SONYMA	Application Oriented	27	MAINTAIN SOFTWARE WITH INCLUDING UPDATE	Single Src	3/5/1984	Upon Notice	129,390			129,390	Proprietary Software Svcs	2,347,621				X	
SONYMA	Application Oriented	28	MAINTENANCE OF LENDER ONLINE	Single Src	10/31/2000	Upon Notice	23,210			23,210	Proprietary Software Svcs	487,907				X	

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Agency	Vendor	Contact No	Description	Sel Method	Begin Date	End Date	Amount Paid	MWBE	Exclusion	Exemption	Justification	Life	MBE	WBE	Goods	Services	Subcontracting
HFA	Bloomberg, L.P.	173	LEASE OF EQUIPMENT FOR DATA DISTRIBUTION	Sole Src	5/1/2003	Upon Notice	28,617			28,617	Proprietary Software Svcs	409,059				X	
HFA	The Bank Of New York Mellon	1403	1554 2004A WASHINGTON APTS 1554 2	RFP	4/5/2004	Upon Notice	80			80	<=\$25,000	6,217				X	
HFA	U.S. Bank National Association	1413	1096 1978A TOWPATH TOWERS	RFP	11/17/1978	Upon Notice	8,686		8,686			197,869				X	
TSFC	The Bank Of New York Mellon	1426	>2003A TOBACCO SETTLEMENT FINANCING	RFP	5/29/2003	Upon Notice	3,000		3,000			327,392				X	
HFA	The Bank Of New York Mellon	1428	1477 2000A 66 W 38TH ST 1477 2000	RFP	12/29/2003	Upon Notice	15,280		15,280			27,904				X	
HFA	The Bank Of New York Mellon	1429	1550 2004A FRAMARK PLACE 1550 200	RFP	5/14/2004	Upon Notice	80			80	<=\$25,000	21,257				X	
HFA	The Bank Of New York Mellon	1449	1523 2004A ARCHSTONE AT ROOSEVELT CEN	RFP	11/9/2004	Upon Notice	80			80	<=\$25,000	10,290				X	
HFA	The Bank Of New York Mellon	1453	1473 2000A 501-503 W 41ST AKA THE VIC	RFP	12/29/2003	Upon Notice	4,160		4,160			29,181				X	
HFA	The Bank Of New York Mellon	1455	1582 2004A EXTRA PLACE APTS 1582	RFP	11/29/2004	Upon Notice	80			80	<=\$25,000	7,217				X	
HFA	The Bank Of New York Mellon	1472	1524 2003A CHELSEA APTS 1524 2003	RFP	1/17/2003	Upon Notice	4,000		4,000			27,153				X	
HFA	The Bank Of New York Mellon	1798	2001A WORTH STREET 2001B WORTH STREE	RFP	12/29/2003	Upon Notice	480			480	Bank	24,473				X	
HFA	Benefit Resource, Inc.	1872	PLAN, IMPLEMENT & MAINTAIN QUALIFIED	Comp Bid	5/5/2005	Upon Notice	16,298		16,298			138,035				X	
HFA	AT&T	1882	COMMUNICATION SERVICES	St Ctrct	5/19/2002	09/15/2019	29,882			29,882	State Contract	684,160				X	
SONYMA	Bank Of New York Mellon	1883	HOMEOWNER MORTGAGE REVENUE BONDS (HMB)	RFP	10/15/1997	Upon Notice	200,250		200,250			3,688,592				X	
HFA	Reed Elsevier, Inc.	1896	ELECTRONIC INFORMATION SERVICES	St Ctrct	1/1/2017	12/31/2021	20,700			20,700	State Contract	444,604				X	
HFA	Verizon Business	1906	COMMUNICATION SERVICES	St Ctrct	5/19/2002	09/15/2019	381,789			381,789	State Contract	2,671,744				X	
HFA	Verizon Wireless	1907	WIRELESS COMMUNICATION SERVICES	St Ctrct	8/17/2004	09/15/2019	75,157			75,157	State Contract	708,707				X	
SONYMA	Radian Guaranty	1944	REINSURANCE & ADMINISTRATIVE SERVICES F	Single Src	1/1/2001	Upon Notice	67,989		67,989			8,731,647				X	
HFA	State Of New York	1960	EMPLOYEE HEALTH INSURANCE - HFA	Brd Res	11/1/2004	Upon Notice	3,058,601			3,058,601	State Contract	30,350,185				X	
SONYMA	State Of New York	1961	EMPLOYEE HEALTH INSURANCE - SONYMA	Brd Res	11/1/2004	Upon Notice	3,094,580			3,094,580	State Contract	30,886,284				X	
HFA	Automatic Data Processing, Inc.	1972	PAYROLL SERVICES	Single Src	10/1/2005	Upon Notice	15,950		15,950			103,933				X	
SONYMA	Automatic Data Processing, Inc.	1973	PAYROLL SERVICES	Single Src	10/1/2005	Upon Notice	27,117		27,117			191,929				X	
AHC	Automatic Data Processing, Inc.	1974	PAYROLL SERVICES	Single Src	10/1/2005	Upon Notice	21,555		21,555			138,181				X	
HFA	Elrac, Inc.	1975	AUTO RENTAL	St Ctrct	8/15/2005	10/18/2019	10,238			10,238	State Contract	104,908				X	
HFA	Legislative Retrieval System	1983	ELECTRONIC INFORMATION SERVICES (LEGISL	Single Src	3/13/2002	03/12/2020	4,250			4,250	Intergovernmental Agreeeme	76,814				X	
SONYMA	Bank Of New York Mellon	2050	MIF ACCOUNTS	RFP	6/1/1999	Upon Notice	7,500		7,500			167,205				X	
HFA	Time Warner Cable Of N.Y. City	2079	CABLE TV SERVICES	Single Src	8/9/1994	Upon Notice	3,975			3,975	Utilities	39,055				X	
HFA	The Bank Of New York Mellon	2086	KENISCO TERRACE APARTMENTS MULTI-FAMILY	RFP	9/29/2006	Upon Notice	80			80	<=\$25,000	4,467				X	
HFA	The Bank Of New York Mellon	2087	CROTONA ESTATES MULTI-FAMILY HOUSING REV	RFP	9/5/2006	Upon Notice	80			80	<=\$25,000	4,506				X	
HFA	First Lexington Corporation	2142	LEASE FOR 641 LEXINGTON AVENUE	Brd Res	1/1/2009	10/05/2018	1,604,898			1,604,898	Real Property Lease/Svcs	52,014,145				X	
HFA	Collins Building Services, Inc.	2145	MAINTENANCE & CLEANING SERVICES	Sole Src	1/1/2007	01/18/2019	28,814		28,814			1,121,967				X	
HFA	The Bank Of New York Mellon	2188	HIGHLAND AVENUE SENIOR APARTMENTS MULTI-	RFP	1/17/2007	Upon Notice	80			80	<=\$25,000	5,506				X	
HFA	The Bank Of New York Mellon	2190	NORTH STREET Y APARTMENTS MULTI FAMILY H	RFP	6/5/2007	Upon Notice	80			80	<=\$25,000	4,506				X	
HFA	The Bank Of New York Mellon	2220	AFFORDABLE HOUSING REVENUE BOND GENERAL	RFP	8/31/2007	Upon Notice	49,900		49,900			537,365				X	
HFA	The Bank Of New York Mellon	2273	80 DEKALB AVENUE HOUSING REVENUE BONDS S	RFP	6/8/2008	Upon Notice	4,000		4,000			25,080				X	
HFA	Fire Service, Inc.	2305	MAINTENANCE OF FIRE ALARM SYSTEM & EQUIP	Single Src	5/1/2008	04/30/2020	1,704			1,704	<=\$25,000	16,345				X	
HFA	United Parcel Service	2354	COURIER SERVICES	St Ctrct	1/2/2009	03/20/2021	28,947			28,947	State Contract	293,273				X	
HFA	Wells Fargo Bank, NA	2400	363 WEST 30TH ST HOUSING REVENUE BONDS S	RFP	3/24/2009	Upon Notice	1,750			1,750	<=\$25,000	21,500				X	
HFA	Wells Fargo Bank, NA	2401	THEATRE ROW HOUSING REVENUE BONDS SERIES	RFP	3/24/2009	Upon Notice	1,750			1,750		21,500				X	
HFA	Wells Fargo Bank, NA	2403	AVALON BOWERY PLACE I HOUSING REVENUE BO	RFP	3/24/2009	Upon Notice	1,000			1,000	<=\$25,000	21,500				X	
HFA	Wells Fargo Bank, NA	2406	1500 LEXINGTON AVENUE HOUSING REVENUE BO	RFP	3/24/2009	Upon Notice	1,750			1,750	Bank	22,250				X	
HFA	Wells Fargo Bank, NA	2407	NORTH END AVENUE HOUSING REVENUE BONDS	RFP	3/24/2009	Upon Notice	1,750			1,750	<=\$25,000	20,750				X	
HFA	Wells Fargo Bank, NA	2408	THE HELENA HOUSING REVENUE BONDS SERIES	RFP	3/24/2009	Upon Notice	1,750			1,750	<=\$25,000	20,750				X	

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Agency	Vendor	Contact No	Description	Sel Method	Begin Date	End Date	Amount Paid	MWBE	Exclusion	Exemption	Justification	Life	MBE	WBE	Goods	Services	Subcontracting
SONYMA	Genworth Financial Services, Inc.	2415	ADMINISTRATIVE SERVICES REGARDING SONYMA	RFP	2/1/2005	12/31/2020	31,965		31,965			555,973				X	
HFA	ISKALO DEVELOPMENT CORP.	2438	OFFICE LEASE FOR 535 WASHINGTON ST, BUFF	Brd Res	5/11/2009	10/31/2024	30,316			30,316	Real Property Lease/Svcs	297,182				X	
HFA	West Publishing Corp. DBA West Group	2484	ELECTRONIC INFORMATION SERVICES	St Ctrct	7/1/2009	Upon Notice	28,822			28,822	State Contract	251,930				X	
HFA	The Bank Of New York Mellon	2507	MULTI-FAMILY HOUSING REVENUE BONDS (SECU	RFP	9/1/1991	Upon Notice	120			120	<=\$25,000	3,564				X	
HFA	Housing and Development Software, LLC	2542	SECTION 8 CONTRACT ADMINISTRATION SOFTWA	Single Src	2/1/2007	Upon Notice	16,260			16,260	Proprietary Software Svcs	125,639				X	
HFA	RealPage, Inc.	2567	HOUSING SOFTWARE LICENSING FOR SECTION	Single Src	8/13/2010	Upon Notice	2,485			2,485	<=\$25,000	21,187				X	
HFA	The Bank Of New York Mellon	2574	330 WEST 39TH STREET HOUSING REVENUE BON	RFP	10/8/2010	Upon Notice	7,000			7,000	<=\$25,000	12,000				X	
MBBA	The Bank Of New York Mellon	2579	STATE OF NEW YORK MUNICIPAL BOND BANK AG	RFP	12/16/2010	Upon Notice	3,000		3,000			46,454				X	
HFA	The Bank Of New York Mellon	2726	RELATED 30TH AND 10TH HOUSING REVENUE BO	RFP	3/22/2012	Upon Notice	6,000		6,000			50,500				X	
HFA	The Bank Of New York Mellon	2797	175 WEST 60TH STREET HOUSING REVENUE BON	RFP	10/11/2012	Upon Notice	9,040		9,040			73,290				X	
HFA	136 East 55th Street Garage LLC	2801	LEASED GARAGE SPACE/ VERBAL AGREEMENT W	Brd Res	12/31/2012	Upon Notice	12,408			12,408	Real Property Lease/Svcs	81,671				X	
HFA	Greystone Servicing Corporation, Inc.	2863	ESDC PORTFOLIO LOAN SERVICING	RFP	6/5/2013	Upon Notice	49,415	49,415				734,992				X	
HFA	U.S. Bank National Association	2865	44th DRIVE APARTMENTS HOUSING REVENUE BO	RFP	6/30/2013	Upon Notice	3,250			3,250	<=\$25,000	14,250				X	
HFA	The Bank Of New York Mellon	2898	626 FLATBUSH AVENUE REVENUE BONDS	RFP	9/13/2013	Upon Notice	3,000		3,000			38,500				X	
HFA	Holland & Knight LLP	2906	REAL ESTATE, LAND USE, CONSTRUCTION AND	Preq List	1/29/2013	01/28/2020	107,846	107,846				444,604				X	
HFA	The Bank Of New York Mellon	2918	RELATED-205 EAST 92ND STREET HOUSING REV	RFP	12/5/2013	Upon Notice	1,000			1,000	<=\$25,000	21,400				X	
HFA	The Bank Of New York Mellon	2919	149 KENT AVENUE APARTMENTS HOUSING REVEN	RFP	12/5/2013	Upon Notice	5,000		5,000			44,000				X	
HFA	U.S. Bank National Association	2933	STATE PERSONAL INCOME TAX BONDS	RFP	8/23/2013	Upon Notice	6,542		6,542			27,705				X	
HFA	Manufacturers & Traders Trust Company	2936	188 LUDLOW STREET HOUSING REVENUE BOND 5	RFP	3/24/2009	Upon Notice	3,500			3,500	<=\$25,000	11,000				X	
SONYMA	Manufacturers & Traders Trust Company	2940	SONYMA STUDENT LOANS	RFP	10/30/2009	Upon Notice	500			500	<=\$25,000	7,600				X	
SONYMA	Hawkins, Delafield, & Wood	2944	BOND COUNSEL SERVICES	Preq List	1/29/2014	01/28/2020	535,325	535,325				3,211,044				X	
SONYMA	U.S. Bank National Association	2948	SONYMA MORTGAGE REVENUE BONDS - VARIOUS	RFP	9/27/2011	Upon Notice	17,400		17,400			97,850				X	
HFA	Orrick, Herrington & Sutcliffe, LLP	2975	BOND COUNSEL SERVICES	Preq List	1/29/2014	01/28/2020	310,778	310,778				1,678,453				X	
HFA	Venable LLP	2976	NON BOND LEGAL SERVICES	Preq List	12/20/2013	01/28/2020	185,269	185,269				736,890				X	
HFA	Hawkins, Delafield, & Wood	2977	BOND COUNSEL SERVICES	Preq List	1/29/2014	01/28/2020	697,156	697,156				4,735,466				X	
HFA	Orrick, Herrington & Sutcliffe, LLP	2978	BOND COUNSEL DISCLOSURE SERVICES	Preq List	1/29/2014	01/28/2020	140,000	140,000				755,000				X	
HFA	The Bank Of New York Mellon	2983	605 WEST 42ND ST HOUSING REVENUE BONDS	RFP	5/14/2014	Upon Notice	3,750		3,750			25,000				X	
HFA	The Bank Of New York Mellon	2995	NAVY PIER COURT HOUSING REVENUE BONDS SE	RFP	5/14/2014	Upon Notice	4,000			4,000	<=\$25,000	14,500				X	
HFA	Manufacturers & Traders Trust Company	3011	625 WEST 57TH STREET HOUSING REVENUE BON	RFP	10/7/2014	Upon Notice	11,500		11,500			43,033				X	
HFA	Nixon Peabody, LLP	3013	BOND COUNSEL SERVICES	Preq List	1/29/2014	01/28/2020	14,854	14,854				816,293				X	
HFA	The Bank Of New York Mellon	3015	606 WEST 57TH STREET HOUSING REVENUE BO	RFP	10/10/2014	Upon Notice	22,500		22,500			57,500				X	
HFA	The Bank Of New York Mellon	3016	BAM SOUTH HOUSING REVENUE BONDS SERIES 2	RFP	11/14/2014	Upon Notice	6,000		6,000			30,000				X	
TSFC	Hawkins, Delafield, & Wood	3018	BOND COUNSEL SERVICES	Preq List	1/29/2014	01/28/2019	1,290	1,290				14,093				X	
HFA	Harris Beach PLLC	3024	BOND COUNSEL SERVICES	Preq List	1/29/2014	01/28/2020	78,867	78,867				602,153				X	
HFA	BLX Group LLC	3029	ARBITRAGE REBATE CALCULATIONS	RFP	9/9/2014	09/08/2020	52,550		52,550			180,450				X	
HFA	Manufacturers & Traders Trust Company	3033	MANHATTAN WEST RESIDENTIAL HOUSING REVEN	RFP	11/14/2014	Upon Notice	6,000		6,000			37,017				X	
HFA	The Bank Of New York Mellon	3041	TRUSTEE SERVICES - 555 10TH AVENUE HOUSI	RFP	11/21/2014	Upon Notice	6,280		6,280			32,280				X	
HFA	The Bank Of New York Mellon	3042	TRUSTEE SERVICES - 525 WEST 52ND STREET	RFP	11/25/2014	Upon Notice	41,035		41,035			121,035				X	
HFA	Omnicap Group LLC	3057	ARBITRAGE REBATE CALCULATIONS	RFP	3/4/2015	03/03/2020	30,250		30,250			130,125				X	
HFA	Global Background Screening, Inc	3058	BACKGROUND SCREENING & REPORTING SERVICE	Comp Bid	3/30/2015	Upon Notice	5,923			5,923	<=\$25,000	24,258				X	
HFA	Hawkins, Delafield, & Wood	3061	ARBITRAGE REBATE CALCULATIONS	RFP	3/4/2015	03/03/2020	78,040		78,040			293,690				X	
MBBA	Hawkins, Delafield, & Wood	3062	ARBITRAGE REBATE CALCULATIONS	RFP	3/4/2015	03/03/2020	4,720		4,720			71,070				X	
HFA	The Bank Of New York Mellon	3065	TRUSTEE - SERIES 2015 A-1, A-2, A-3, 201	RFP	5/22/2015	Upon Notice	7,500		7,500			86,300				X	

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Agency	Vendor	Contact No	Description	Sel Method	Begin Date	End Date	Amount Paid	MWBE	Exclusion	Exemption	Justification	Life	MBE	WBE	Goods	Services	Subcontracting
HFA	Manufacturers & Traders Trust Company	3066	TRUSTEE	RFP	6/5/2015	Upon Notice	8,000		8,000			72,017				X	
HFA	Manufacturers & Traders Trust Company	3067	TRUSTEE	RFP	6/5/2015	Upon Notice	2,000			2,000	<=\$25,000	12,000				X	
HFA	Manufacturers & Traders Trust Company	3068	TRUSTEE	RFP	6/5/2015	Upon Notice	8,365		8,365			37,381				X	
HFA	Manufacturers & Traders Trust Company	3070	TERRANCE GARDENS APARTMENTS HOUSING REVE	RFP	6/11/2013	Upon Notice	1,200			1,200	<=\$25,000	6,000				X	
HFA	The Bank Of New York Mellon	3071	TRUSTEE	RFP	7/7/2015	Upon Notice	1,500			1,500	<=\$25,000	18,000				X	
HFA	Ganfer Shore Leeds & Zauderer LLP	3076	LEGAL SERVICES - CONDOMINIUM AND COOPERA	Single Src	5/1/2015	04/30/2020	62,753	62,753				118,105				X	
HFA	The Bank Of New York Mellon	3081	TRUSTEE	RFP	9/23/2015	Upon Notice	27,000		27,000			82,500				X	
HFA	Manufacturers & Traders Trust Company	3082	TRUSTEE	RFP	9/23/2015	Upon Notice	2,000			2,000	<=\$25,000	12,025				X	
HFA	Barclay Damon, LLP	3084	BOND COUNSEL SERVICES	Preq List	6/1/2015	01/28/2020	451,225	451,225				816,340				X	
HFA	Manufacturers & Traders Trust Company	3087	TRUSTEE	RFP	10/28/2015	Upon Notice	9,035			9,035	<=\$25,000	19,055				X	
SONYMA	Bela Vizy	3088	IT CONSULTANT SERVICES FOR SONYMA EXPRES	Sole Src	10/12/2015	10/11/2020	150,000			150,000	Sole Source	604,542				X	
SONYMA	Hsin-Hua Alice Chen	3089	IT CONSULTANT SERVICES FOR SONYMA EXPRES	Sole Src	10/12/2015	10/11/2020	137,500			137,500	Sole Source	582,034				X	
MBBA	Manufacturers & Traders Trust Company	3090	MBBA SPECIAL PURPOSE REVENUE BONDS SERIE	RFP	3/12/2009	Upon Notice	1,000			1,000	<=\$25,000	4,000				X	
HFA	The Bank Of New York Mellon	3095	TRUSTEE	RFP	10/28/2015	Upon Notice	4,500			4,500	<=\$25,000	17,500				X	
SONYMA	Ellie Mae, Inc.	3104	LICENSING, CUSTOM PUBLISHING AND HOSTING	Single Src	12/22/2015	12/31/2019	5,495		5,495			42,460				X	
SONYMA	George M. Leocata	3105	IT CONSULTANT SERVICES	Sole Src	10/8/2015	12/13/2019	43,200			43,200	Sole Source	132,635				X	
HFA	Reed Elsevier, Inc.	3118	ELECTRONIC INFORMATION SERVICES (ACCURIN	St Ctrct	1/1/2016	12/31/2021	3,900			3,900	State Contract	17,160				X	
SONYMA	CSG ADVISORS INCORPORATED	3123	FINANCIAL ADVISORY SERVICES	Preq List	12/10/2015	12/09/2020	75,000	75,000				275,000				X	
SONYMA	Swap Financial Group LLC	3124	SWAP ADVISORY SERVICES	Preq List	12/10/2015	12/09/2020	94,000	94,000				145,667				X	
HFA	Manufacturers & Traders Trust Company	3129	TRUSTEE	RFP	4/28/2016	Upon Notice	500			500	<=\$25,000	12,000				X	
HFA	Manufacturers & Traders Trust Company	3130	TRUSTEE	RFP	4/28/2016	Upon Notice	2,500			2,500	<=\$25,000	11,509				X	
HFA	The Bank Of New York Mellon	3138	TRUSTEE	RFP	7/28/2016	Upon Notice	2,000			2,000	<=\$25,000	17,580				X	
HFA	Natural Heritage Trust	3144	PROJECT HISTORIC RESOURCES REVIEW	Sole Src	4/1/2016	Upon Notice	18,448			18,448	Intergovernmental Agreement	53,748				X	
HFA	Caine Mitter & Associates Inc	3152	FINANCIAL ADVISORY SERVICES	Preq List	12/10/2015	12/09/2020	90,000	90,000				387,000				X	
HFA	Manufacturers & Traders Trust Company	3160	TRUSTEE - RIVERSIDE CENTER	RFP	12/9/2016	Upon Notice	27,000		27,000			117,058				X	
HFA	The Bank Of New York Mellon	3172	TRUSTEE 79 AVENUE D STREET HOUSING REVEN	RFP	10/12/2016	Upon Notice	4,000			4,000	<=\$25,000	15,500				X	
HFA	Amazon Web Services, Inc.	3177	HOSTING SERVICES - SONYMA EXPRESS	RFP	9/21/2016	Upon Notice	352,520		352,520			438,643				X	
SONYMA	Cfx Incorporated	3184	COMPUTATIONAL ANALYTIC SERVICES	RFP	1/1/2016	12/31/2019	850,000		850,000			3,187,500				X	
HFA	U.S. Bank National Association	3190	TRUSTEE - 810 FULTON STREET	RFP	2/8/2017	Upon Notice	1,500			1,500	<=\$25,000	12,250				X	
HFA	TierPoint New York, LLC	3209	DISASTER RECOVERY SERVICES	RFP	6/1/2015	02/23/2019	45,700		45,700			123,390				X	
HFA	Manufacturers & Traders Trust Company	3220	TRUSTEE - HALLETTS POINT 2017 A & B, SER	RFP	8/11/2017	Upon Notice	3,000			3,000	<=\$25,000	10,000				X	
HFA	PathStone Corporation	3221	CONSULTANT SERVICES - PRELIMINARY ASSES	Single Src	9/7/2017	09/06/2018	3,771			3,771	<=\$25,000	3,771				X	
SONYMA	Conduent Mortgage Services, Inc.	3228	IMAGING SERVICES	Single Src	3/1/2017	Upon Notice	66,351		66,351			151,796				X	
HFA	U.S. Bank National Association	3230	TRUSTEE - 572 11TH AVENUE	RFP	9/20/2017	Upon Notice	1,000			1,000	<=\$25,000	7,000				X	
HFA	Nixon Peabody, LLP	3232	NON-BOND COUNSEL LEGAL SERVICES	Preq List	10/5/2017	01/28/2019	7,000	7,000			<=\$25,000	21,535				X	
SONYMA	Long Island Housing Partnership, Inc	3239	TECHNICAL ASSISTANCE SERVICES - SONYMA A	Single Src	11/30/2017	11/29/2018	10,000			10,000	<=\$25,000	10,000				X	
HFA	SAP Public Services Inc.	3243	ESCROW ANALYSIS SERVICES AGREEMENT	RFP	5/1/2017	08/18/2017	24,000			24,000	Proprietary Software Svcs	99,000				X	
SONYMA	The Center for New York City	3246	TECHNICAL ASSISTANCE SERVICES - SONYMA A	Single Src	1/11/2018	01/10/2019	5,000			5,000	<=\$25,000	20,000				X	
SONYMA	Greater Rochester Housing Partnership	3247	TECHNICAL ASSISTANCE SERVICES - SONYMA A	Single Src	1/11/2018	01/10/2019	5,000			5,000	<=\$25,000	15,000				X	
HFA	U.S. Bank National Association	3250	TRUSTEE - 260 KENT AVENUE	RFP	1/25/2018	Upon Notice	3,500			3,500	<=\$25,000	8,000				X	
HFA	Sustainalytics U.S., Inc.	3255	CLIMATE BOND VERIFICATION SERVICES	Single Src	3/16/2018	12/31/2019	20,000		20,000			36,000				X	
HFA	CQ Roll Call	3257	ELECTRONIC LICENSES FOR FEDERAL LEGISLAT	Single Src	4/12/2018	04/11/2020	9,849			9,849	<=\$25,000	19,504				X	
HFA	Guardian Life Insurance Company of	3260	DENTAL AND LONG TERM DISABILITY INSURANC	Comp Bid	6/1/2018	05/31/2020	866,031			866,031	Insurance Co.	1,189,197				X	

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Agency	Vendor	Contact No	Description	Sel Method	Begin Date	End Date	Amount Paid	MWBE	Exclusion	Exemption	Justification	Life	MBE	WBE	Goods	Services	Subcontracting
SONYMA	RUPCO	3264	TECHNICAL ASSISTANCE SERVICES - ANCHOR P	Single Src	6/22/2018	06/21/2019	20,500			20,500	<=\$25,000	20,500				X	
HFA	Cozen O'Connor	3268	BOND COUNSEL SERVICES	Preq List	4/24/2018	01/28/2020	70,000	70,000				76,000				X	
HFA	SAP Public Services Inc.	3271	STAFF AUGMENTATION SERVICES	NonCmp/Crit	7/1/2018	08/19/2018	101,514		101,514			790,380				X	
HFA	SAP Public Services Inc.	3272	STAFF AUGMENTATION SERVICES	NonCmp/Crit	8/13/2018	08/31/2018	10,743		10,743			10,743				X	
HFA	Bank Of New York Mellon	3275	TRUSTEE SERVICES FOR 125 WEST 31ST STREE	RFP	7/21/2017	Upon Notice	4,000			4,000	<=\$25,000	4,000				X	
HFA	Prolink Solutions, Inc.	3277	HOSTED TECHNOLOGY SERVICES FIRST AMENDM	RFP	8/8/2016	08/08/2021	1,147,612		1,147,612			1,312,007				X	
SONYMA	Protiviti, Inc.	3278	INTERNAL AUDIT AND RISK ASSESSMENT SERVI	NonCmp/Crit	8/28/2018	10/09/2018	49,000		49,000			49,000				X	
HFA	The Bank Of New York Mellon	3284	TRUSTEE SERVICES FOR 88 LEONARD STREET H	RFP	7/21/2017	Upon Notice	6,000			6,000	<=\$25,000	6,000				X	
HFA	The Bank Of New York Mellon	3285	TRUSTEE SERVICES FOR 150 EAST 44TH STREE	RFP	7/21/2017	Upon Notice	2,000			2,000	<=\$25,000	2,000				X	
HFA	The Bank Of New York Mellon	3286	TRUSTEE SERVICES FOR 605 WEST 42NS STREE	RFP	7/18/2018	Upon Notice	4,000			4,000	<=\$25,000	4,000				X	
HFA	Mindlance, Inc.	3287	IT TEMPORARY STAFFING CONSULTANT SERVICE	Preq List	8/20/2018	12/14/2020	1,585,431	1,585,431				1,585,431				X	
HFA	Diamond Personnel LLC	3292	PROFESSIONAL TEMPORARY STAFFING CONSULTA	Preq List	10/22/2018	07/13/2021	8,746			8,746	<=\$25,000	8,746				X	
HFA	Mindlance, Inc.	3294	PROFESSIONAL TEMPORARY STAFFING CONSULTA	Preq List	10/31/2018	07/13/2021	19,846			19,846	<=\$25,000	19,846				X	
HFA	Gartner, Inc.	3295	ASSESSMENT OF BAM PROJECT	Single Src	12/13/2018	12/12/2019	381,924		381,924			381,924				X	
HFA	U.S. Bank National Association	3296	1478 2002A EIGHTH AVENUE & W 47TH ST	RFP	7/1/2004	Upon Notice	7,500			7,500	<=\$25,000	7,500				X	
HFA	First Lexington Corporation	3297	LEASE FOR 641 LEXINGTON AVENUE	Brd Res	12/6/2018	07/31/2040	1,683,459			1,683,459	Real Property Lease/Svcs	1,683,459				X	
HFA	Bondlink Inc.	3298	INVESTOR PORTAL USER AGREEMENT	Single Src	1/29/2019	Upon Notice	31,442		31,442			31,442				X	
HFA	Caine Mitter & Associates Inc	3304	COMPUTATIONAL SERVICES	RFP	1/1/2019	12/31/2021	303,500		303,500			303,500				X	
HFA	Hinckley, Allen & Snyder, LLP	3306	LEGAL SERVICES	Single Src	6/29/2018	06/28/2019	7,167			7,167	<=\$25,000	7,167				X	
SONYMA	Iron Mountain, Inc.	3308	TEMPORARY STORAGE	NonCmp/Crit	1/4/2019	02/04/2020	74,733		74,733			74,733				X	
HFA	Gary Weinstock	3316	CONSULTANT SERVICES	Sole Src	8/1/2019	01/31/2019	11,475			11,475	Sole Source	11,475				X	
HFA	Verizon Business	3318		St Ctrct	9/16/2019	09/15/2024	62,231			62,231	State Contract	62,231				X	
Totals							40,552,899	24,109,798	4,337,470	12,105,631			3,196,084	14,969,632	18,165,716		
Percentage of Total							59.45%	10.70%	29.85%				13.26%	62.09%	75.35%		
Count							194	58	53	84			21	12	33		
Percentage of Total Count							29.90%	27.32%	43.30%				36.21%	20.69%	56.90%		
Totals - Purchase Orders							1,646,325	273,661	148,612	1,224,052			59,797	97,784	157,581		
Percentage of Total - Purchase Orders							16.62%	9.03%	74.35%				21.85%	35.73%	57.58%		
Count - Purchase Orders							42	6	3	33			2	3	5		
Percentage of Total Count - Purchase Orders							14.29%	7.14%	78.57%				33.33%	50.00%	83.33%		
Totals for Purchase Orders & Contracts							42,199,224	24,383,459	4,486,082	13,329,683			3,255,881	15,067,416	18,323,297		
Percentage of Total - Purchase Orders & Contracts							57.78%	10.63%	31.59%				13.35%	61.79%	75.15%		
Total Count for Purchase Orders & Contracts							236	64	56	117			23	15	38		
Percentage of Total Count - Purchase Orders & Contracts							27.12%	23.73%	49.58%				35.94%	23.44%	59.38%		
Total MWBE Utilization for Fiscal Year 2018-2019																75.15%	
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Agency	Vendor/Address	Subject Matter	Selection Method	NYSBE	Designation	Goods/Service	Amount	MWBE	Exclusion	Exemption	Justification	Life-To-Date Paid	MBE	WBE
SONYMA	345 Park Ave L.P. c/o Rudin Management Co 345 Park Ave New York, NY 10154	Cleaning & Maintenance Leasehold Improvements	Single Source	NYD	Exempt	S	5,659			5,659	<=\$25,000	5,659		
SONYMA	Big Apple Sign Corp. 247 West 35th St. New York, NY 10001	Office Supplies	Competitive Bid	NYD	Exempt	S	5,356			5,356	<=\$25,000	5,356		
SONYMA	CDW Government Inc. 75 Remittance Drive Suite 1515 Chicago, IL 60675-1515	Info. Tech. -Acquisition Office Supplies	Competitive Bid	NYD	Exempt	S	11,096			11,096	<=\$25,000	11,096		
SONYMA	Citizens Housing & Planning 50 East 42 Street- Suite 407 New York, NY 10017-5405	Sponsorship Fees	Single Source	NYD	Exempt	S	5,000			5,000	<=\$25,000	5,000		
SONYMA	Citrix Systems, Inc. 851 West Cypress Creek Road Fort Lauderdale, FL 33309	Info.Tech. - Maintenance	State Contract	NYD	Exempt	S	38,768			38,768	State Contract	38,768		
SONYMA	Coffee Distributing Corp. 200 Broadway Garden City, NY 11040	Kitchen Expenses Prepaid Expense Rental of Office Equipmnt	Competitive Bid	Y	Exempt	S	22,843			22,843	<=\$25,000	22,843		
SONYMA	Cogent Communications, Inc. P.O. Box 791087 Baltimore, MD 21279-1087	Communications	Single Source	NYD	Exempt	S	6,315			6,315	<=\$25,000	6,315		
SONYMA	Compass IT Compliance, LLC 412 Angell Road North Providence, RI 02904	Info.Tech. - Maintenance	Competitive Bid	Y	Exempt	S	10,890			10,890	<=\$25,000	10,890		
SONYMA	Corporate Computer Solutions, Inc. 55 Halstead Ave Harrison, NY 10528	Info. Tech. -Acquisition Info.Tech. - Maintenance Office Supplies	Competitive Bid	Y	MWBE	S	56,427	56,427				56,427		56,427
SONYMA	Dell Marketing L.P. PO Box 643561 Pittsburgh, PA 15264-3561	Info. Tech. -Acquisition Info.Tech. - Maintenance	Competitive Bid/ State Contract	Y	Exempt	S	114,237			114,237	State Contract	114,237		
SONYMA	EMC Corporation 176 South Street Hopkinton, MA 01748	Info.Tech. - Maintenance	Emergency	NYD	Exempt	S	19,860			19,860	<=\$25,000	19,860		
HFA	Europa Bar & Grill 1776 Broadway Suite 1500 New York, NY 10019	COI- Other Reimbursed by Project Travel- Bus Lunch & Recpt Workshops	Competitive Bid	NYD	Exclusion	S	13,221			13,221	<=\$25,000	13,221		
HFA	Executive Charge, Inc. 1440 39th Street Brooklyn, NY 11218	Reimbursed by Project Travel- Local Travel- Out-of-Town	Competitive Bid	NYD	Exempt	S	5,226			5,226	<=\$25,000	5,226		
SONYMA	Falk Technical Service Corp. 227 West 19th Street New York, NY 10011	Cleaning & Maintenance	Emergency	Y	Exempt	S	6,771			6,771	<=\$25,000	6,771		
SONYMA	Hangtian Capital Group, LLC Holiday Inn Plainview 215 Sunnyside Blvd Plainview, NY 11803	Marketing Fees	Competitive Bid	NYD	Exempt	S	8,792			8,792	<=\$25,000	8,792		
SONYMA	HOSELTON CHEVROLET INC. 909 Fairport Road East Rochester, NY 14445	Auto Expenses	Competitive Bid	NYD	Exempt	S	14,755			14,755	<=\$25,000	14,755		
SONYMA	Jennifer Temps Inc. + 80 Maiden Lane - Suite 605 New York, NY 10038	Temp Employees- Empl Agy	State Contract	Y	MWBE	S	36,110	36,110				36,110		36,110
HFA	JP Morgan Chase Bank 12 Corporate Woods Blvd.-4th F Albany, NY 12211	Fees & Exp- Trustee	Single Source	Y	Exclusion	S	41,947		41,947			41,947		
SONYMA	Metropolitan Office & Computer 345 Park Avenue New York, NY 10154	Books & Periodicals Office Supplies Purchase of Office Equip	Competitive Bid	Y	Exempt	S	5,685			5,685	<=\$25,000	5,685		
SONYMA	MICRO FOCUS (US), INC. Dept CH 19224 Palatine, IL 60055-9224	Info.Tech. - Maintenance	Competitive Bid	NYD	Exempt	S	6,882			6,882	<=\$25,000	6,882		

MWBE Annual Purchase Order Procurement Report for 2018-2019
for the Period Commencing November 1, 2018 through October 31, 2019

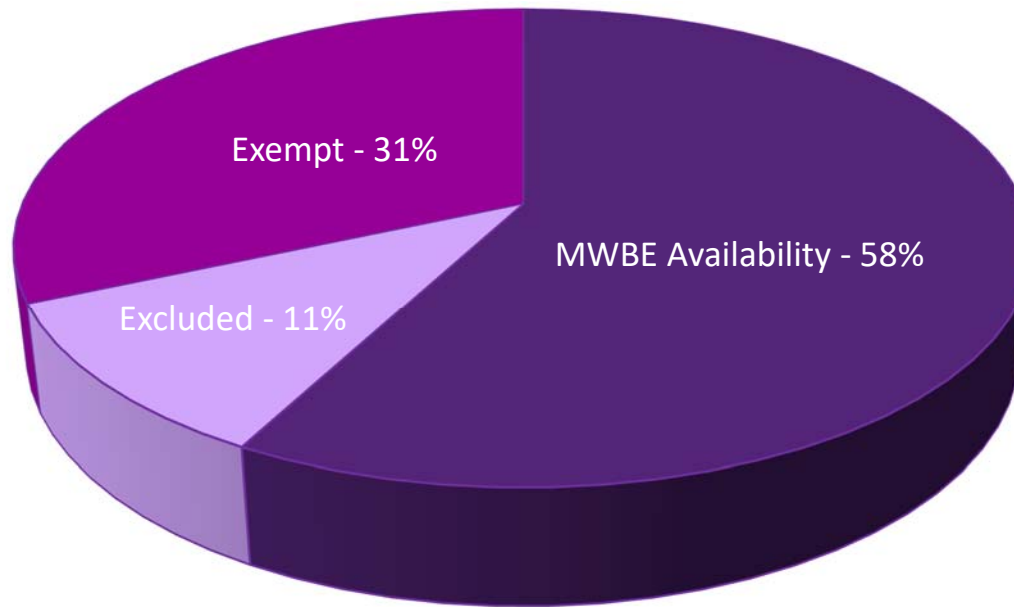
Agency	Vendor/Address	Subject Matter	Selection Method	NYSBE	Designation	Goods/Service	Amount	MWBE	Exclusion	Exemption	Justification	Life-To-Date Paid	MBE	WBE
SONYMA	Neighborhood Housing Services of 60-20 Woodside Avenue - 2nd Fl Woodside, NY 11377	Sponsorship Fees	Non-Procurement	Y	Exempt	S	13,000			13,000	<=\$25,000	13,000		
HFA	Neuman's Catering, dba TastedBud Caterin 203 Chrystie Street New York, NY 10002	COI- Other Reimbursed by Project	Competitive Bid	NYD	Exempt	S	6,055			6,055	<=\$25,000	6,055		
SONYMA	NYS Coalition for Excellence in 289 Fair Street Kingston, NY 12401	Sponsorship Fees	Non-Procurement	NYD	Exempt		10,000			10,000	<=\$25,000	10,000		
SONYMA	OneSpan North America 121 West Wacker Drive - Ste 20 Chicago, IL 60601	Info.Tech. - Maintenance	Single Source	NYD	Exempt	S	7,100			7,100	<=\$25,000	7,100		
SONYMA	Penda Aiken, Inc. 330 Livingston Street Brooklyn, NY 11217	Temp Employees- Empl Agy	State Contract	Y	MWBE	S	5,247	5,247				5,247		5,247
SONYMA	Politico LLC P.O. Box 419342 Boston, MA 02241-9342	Books & Periodicals	Sole Source	Y	Exempt	S	8,775			8,775	<=\$25,000	8,775		
SONYMA	Robert Half International, Inc 2613 Camino Ramon San Ramon, CA 94583	Temp Employees- Empl Agy	State Contract	Y	Exclusion	S	21,915			21,915	<=\$25,000	21,915		
SONYMA	Royal Marketing 555 Fifth Avenue, 17th Fl New York, NY 10017	Marketing Fees Miscellaneous- Personnel Office Supplies Personnel Recruit & Adv	Competitive Bid	Y	Exempt	S	47,638	47,638				47,638	47,638	
SONYMA	Sher-Del Transfer & Relocation Services, 140 Varick Avenue Brooklyn, NY 11237	Leasehold Improvements	State Contract	Y	Exclusion	S	196,839			196,839	State Contract	196,839		
SONYMA	SHI International Corp. Weston Canal Plaza Two Riverview Drive Somerset, NJ 08873	Info. Tech. -Acquisition Info.Tech. - Maintenance	Competitive Bid	NYD	Exempt	S	16,857			16,857	<=\$25,000	16,857		
SONYMA	SolarWinds, Inc. d/b/a 3711 S. MoPac Expressway Building Two Austin, TX 78746	Info.Tech. - Maintenance	Single Source	NYD	Exempt	S	7,594			7,594	<=\$25,000	7,594		
SONYMA	Staff Today Inc. 212 E. Rowland St #313 Covina, CA 91723	Temp Employees- Empl Agy	State Contract	Y	Exclusion	S	18,740			18,740	<=\$25,000	18,740		
SONYMA	Staples Contract & Commercial Inc. 500 Staples Drive Framingham, MA 01702	Furniture & Fixtures Leasehold Improvements Office Supplies Purchase of Office Equip	State Contract	Y	Exempt	S	41,003			41,003	State Contract	41,003		
SONYMA	Systems Application Information Network, 777 8th Avenue New York, NY 10036	Info. Tech. -Acquisition	Competitive Bid	Y	Exempt	S	12,159	12,159				12,159	12,159	
HFA	The New York Times Company P.O. Box 19218 Newark, NJ 07195-0218	COI- Printing Reimbursed by Project	Single Source	Y	Exclusion	S	68,510		68,510			68,510		
SONYMA	Trisec Group, Inc. 19 North Broadway, Suite 5 Tarrytown, NY 10591	Info.Tech. - Maintenance	State Contract	NYD	Exempt	S	34,643			34,643	State Contract	34,643		
SONYMA	Veritiv Operating Company P.O. Box 644520 Pittsburgh, PA 15264	Office Supplies	State Contract	NYD	Exempt	S	10,617			10,617	<=\$25,000	10,617		
HFA	Verizon Business PO Box 15124 Albany, NY 12212-5124	Communications Consultants Fees Reimbursed by Project	State Contract	NYD	Exempt	S	41,195			41,195	State Contract	41,195		

**MWBE Annual Purchase Order Procurement Report for 2018-2019
for the Period Commencing November 1, 2018 through October 31, 2019**

Agency	Vendor/Address	Subject Matter	Selection Method	NYSBE	Designation	Goods/Service	Amount	MWBE	Exclusion	Exemption	Justification	Life-To-Date Paid	MBE	WBE
HFA	Verizon Network Intergration Corp. P.O. Box 650457 Dallas, TX 75265--045	Leasehold Improvements Reimbursed by Project	State Contract	NYD	Exempt	G	477,568			477,568	State Contract	477,568		
SONYMA	Xerox Corporation P.O. Box 827598 Philadelphia, PA 19182-7598	Maint of Office Equipment Rental of Office Equipmnt	Competitive Bid	Y	Exclusion	S	38,155		38,155			38,155		
SONYMA	ZOHO Corporation 4900 Hopyard Road, Suite 310 Pleasanton, CA 94588-7100	Info.Tech. - Maintenance	Uniquely Qualified Source	NYD	Exempt	S	10,795			10,795	<=\$25,000	10,795		
SONYMA	Zones , Inc. P.O. Box 34740 Seattle, WA 98124-1740	Info. Tech. -Acquisition Info.Tech. - Maintenance Maint of Office Equipment	Competitive Bid	N	MWBE	S	116,080	116,080				116,080		

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MWBE Data - Fiscal Year 2019



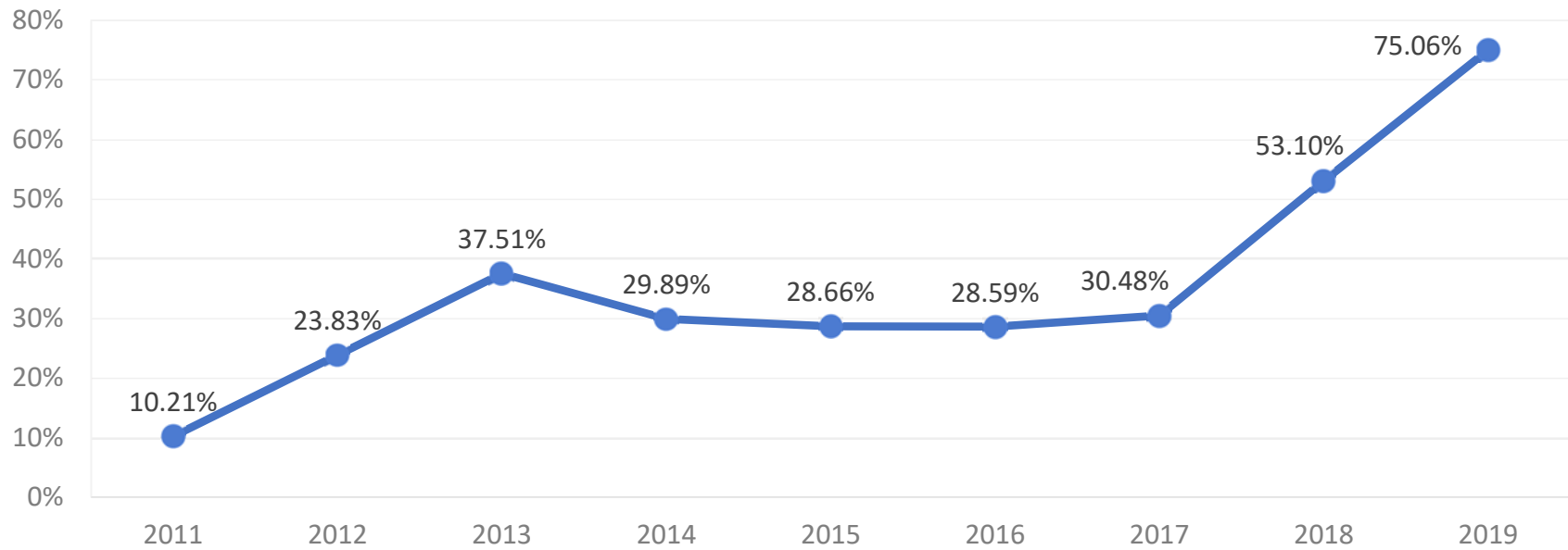
Total Amount Paid under Contracts and Purchase Orders \$42,199,224

■ MWBE Availability \$24,383,459.15

■ Excluded \$4,486,082

■ Exempt \$13,329,682.85

MWBE PARTICIPATION COMPARATIVE DATA FY 2011 - 2019





Procurement Summary with MWBE Comparative Data for Fiscal Years 2012 - 2019

	Fiscal Year 2019		Fiscal Year 2018		Fiscal Year 2017		Fiscal Year 2016		Fiscal Year 2015		Fiscal Year 2014		Fiscal Year 2013		Fiscal Year 2012	
Total Number of Contracts ("Ks") & POs	236		243		261		254		250		301		290		315	
# of Ks & POs with MWBE Opportunities ♦	64	27.12%	65	26.75%	72	27.59%	84	33.07%	79	31.60%	88	29.24%	84	28.97%	61	19.37%
Excluded ♦	56	23.73%	45	18.52%	42	16.09%	19	7.48%	31	12.40%	15	4.98%	14	4.83%	49	15.56%
Exempt ♦	117	49.58%	133	54.73%	147	56.32%	151	59.45%	140	56.00%	198	65.78%	192	66.21%	205	65.08%
# of Ks & POs entered into with MWBE ●	38	59.38%	39	60.00%	53	73.61%	56	66.67%	45	56.96%	49	55.68%	51	60.71%	34	55.74%
# of Agency MBE Ks and POs ●	23	35.94%	24	36.92%	36	50.00%	38	45.24%	32	40.51%	33	37.50%	36	42.86%	23	37.70%
# of Agency WBE Ks and POs ●	15	23.44%	15	23.08%	17	23.61%	18	21.43%	13	16.46%	16	18.18%	15	17.86%	11	18.03%
Total Amount Paid under Ks and POs	\$ 42,199,224		\$ 30,392,738		\$ 28,524,604		\$ 23,147,599		\$ 21,879,875		\$ 20,921,846		\$ 19,797,676		\$ 18,387,695	
Total amount paid under Ks and POs with MWBE Opportunities ★	\$ 24,383,459	57.78%	\$ 10,318,151	33.95%	\$ 9,753,148	34.19%	\$ 5,787,245	25.00%	\$ 6,632,194	30.31%	\$ 6,579,998	31.45%	\$ 5,430,918	27.43%	\$ 4,885,839	26.57%
Excluded ★	\$ 4,486,082	10.63%	\$ 3,951,088	13.00%	\$ 3,621,285	12.70%	\$ 1,174,832	5.08%	\$ 1,597,844	7.30%	\$ 1,359,998	6.50%	\$ 1,868,935	9.44%	\$ 8,099,495	44.05%
Exempt ★	\$ 13,329,683	31.59%	\$ 16,123,499	53.05%	\$ 15,150,171	53.11%	\$ 16,185,522	69.92%	\$ 13,649,837	62.39%	\$ 12,981,850	62.05%	\$ 12,497,823	63.13%	\$ 5,402,361	29.38%
Paid to MWBEs under Ks and POs ▲	\$ 18,323,297	75.15%	\$ 5,478,765	53.10%	\$ 2,972,303	30.48%	\$ 1,654,606	28.59%	\$ 1,900,740	28.66%	\$ 1,966,663	29.89%	\$ 2,036,935	37.51%	\$ 1,164,409	23.83%
Paid to MBEs under Ks and POs ▲	\$ 3,255,881	13.35%	\$ 3,460,138	33.53%	\$ 2,245,587	23.02%	\$ 1,250,163	21.60%	\$ 1,582,574	23.86%	\$ 1,252,960	19.04%	\$ 1,678,095	30.90%	\$ 858,331	17.57%
Paid to WBEs under Ks and POs ▲	\$ 15,067,416	61.79%	\$ 2,018,627	19.56%	\$ 726,717	7.45%	\$ 404,443	6.99%	\$ 318,166	4.80%	\$ 713,703	10.85%	\$ 358,840	6.61%	\$ 306,078	6.26%

♦ Denominator: Total Number of Ks & POs

● Denominator: # of Ks & POs with MWBE Opportunities

★ Denominator: Total Amount Paid under Ks & POs

▲ Denominator: Total Amount Paid under Ks & POs with MWBE Opportunities



Procurement Summary for Fiscal Year 2019 with MWBE Comparative Data (11/01/2018 to 10/31/2019)

Total Number of Contracts	Total Amount Paid to Contractors	Total Number of Purchase Orders ("POs")	Total Amount Paid to PO Vendors
<p>Total Number of Contracts: 194</p> <p>Including:</p> <p>MWBE Opportunities: 58 or 29.90%</p> <p>Excluded: 53 or 27.32%</p> <p>Exempt: 84 or 43.30%</p> <p>Of the 58 contracts with MWBE Opportunities,</p> <p>33 or 56.90% were with MWBEs (including 21 or 36.21% with MBEs and 12 or 20.69% with sWBEs)</p>	<p>Total Amt Paid \$ 40,552,899</p> <p>Including:</p> <p>MWBE Opportunities: \$ 24,109,798 or 59.45%</p> <p>Excluded: \$ 4,337,470 or 10.70%</p> <p>Exempt: \$ 12,105,631 or 29.85%</p> <p>Of the \$24,109,798 amount paid under contracts with MWBE Opportunities,</p> <p>\$18,165,716 or 75.35% was paid to MWBEs (including \$3,196,084 or 13.26% paid to MBEs and \$14,969,632 or 62.02% paid to WBES)</p>	<p>Total Number of POs: 42</p> <p>Including:</p> <p>MWBE Opportunities: 6 or 14.29%</p> <p>Excluded: 3 or 7.14%</p> <p>Exempt: 33 or 78.57%</p> <p>Of the 6 POs with MWBE Opportunities,</p> <p>5 or 83.33% were with MWBEs (including 2 or 33.33% with MBEs and 3 or 50.00% with WBES)</p>	<p>Total Amt Paid \$ 1,646,325</p> <p>Including:</p> <p>MWBE Opportunities: \$273,661 or 16.62%</p> <p>Excluded: \$148,612 or 9.03%</p> <p>Exempt: \$1,224,052 or 74.35%</p> <p>Of the \$273,661 amount paid under POs with MWBE Opportunities,</p> <p>\$157,581 or 57.58% was paid to MWBEs (including \$ 59,797 or 21.85% paid to MBEs and \$ 97,784 or 35.73% paid to WBES)</p>



Homes and Community Renewal

Schedule III

Procurement Summary for Fiscal Year 2018 with MWBE Comparative Data (11/01/2017 to 10/31/2018)

Total Number of Contracts	Total Amount Paid to Contractors	Total Number of Purchase Orders ("POs")	Total Amount Paid to PO Vendors
<p>Total Number of Contracts: 205</p> <p>Including:</p> <p>MWBE Opportunities: 60 or 29.27%</p> <p>Excluded: 41 or 20.00%</p> <p>Exempt: 104 or 50.73%</p> <p>Of the 60 contracts with MWBE Opportunities,</p> <p>34 or 56.67% were with MWBEs (including 21 or 35.00% with MBEs and 13 or 21.67% with a WBE)</p>	<p>Total Amt Paid \$ 29,284,442</p> <p>Including:</p> <p>MWBE Opportunities: \$ 10,153,235 or 34.67%</p> <p>Excluded: \$ 3,722,798 or 12.71%</p> <p>Exempt: \$ 15,408,409 or 52.62%</p> <p>Of the \$10,153,235 amount paid under contracts with MWBE Opportunities,</p> <p>\$5,317,788 or 52.38% paid to MWBEs (including \$3,351,375 or 33.01% paid to MBEs and \$1,966,413 or 19.37% paid to a WBE)</p>	<p>Total Number of POs: 38</p> <p>Including:</p> <p>MWBE Opportunities: 5 or 13.16%</p> <p>Excluded: 4 or 10.53%</p> <p>Exempt: 29 or 76.32%</p> <p>Of the 5 POs with MWBE Opportunities,</p> <p>5 or 100% were with MWBEs (including 3 or 60.00% with MBEs and 2 or 40.00% with WBEs)</p>	<p>Total Amt Paid \$ 1,108,296</p> <p>Including:</p> <p>MWBE Opportunities: \$164,916 or 14.88%</p> <p>Excluded: \$228,290 or 20.60%</p> <p>Exempt: \$715,090 or 64.52%</p> <p>Of the \$164,916 amount paid under POs with MWBE Opportunities,</p> <p>\$164,916 or 100% paid to MWBEs (including \$108,763 or 65.95% paid to MBEs and \$52,214 or 31.66% paid to WBEs)</p>



Homes and Community Renewal

Schedule IV

Procurement Summary for Fiscal Year 2017 with MWBE Comparative Data (11/01/2016 to 10/31/2017)

Total Number of Contracts	Total Amount Paid to Contractors	Total Number of Purchase Orders ("POs")	Total Amount Paid to PO Vendors
<p>Total Number of Contracts: 215</p> <p>Including:</p> <p>MWBE Opportunities: 65 or 30.23%</p> <p>Excluded: 38 or 17.67%</p> <p>Exempt: 112 or 52.09%</p> <p>Of the 65 contracts with MWBE Opportunities,</p> <p>48 or 73.85% were with MWBEs (including 32 or 49.23% with MBEs and 16 or 24.62% with a WBE)</p>	<p>Total Amt Paid \$27,186,646</p> <p>Including:</p> <p>MWBE Opportunities: \$ 9,456,504 or 34.78%</p> <p>Excluded \$ 3,355,916 or 12.34%</p> <p>Exempt: \$14,374,226 or 52.87%</p> <p>Of the \$9,456,504 amount paid under contracts with MWBE Opportunities,</p> <p>\$2,778,498 or 29.38% paid to MWBEs (including \$2,110,392 or 22.32% paid to MBEs and \$668,107 or 7.07% paid to a WBE)</p>	<p>Total Number of POs: 46</p> <p>Including:</p> <p>MWBE Opportunities: 7 or 15.22%</p> <p>Excluded: 4 or 8.70%</p> <p>Exempt 35 or 76.09%</p> <p>Of the 7 POs with MWBE Opportunities,</p> <p>5 or 71.43% were with MWBEs (including 4 or 57.14% with MBEs and 1 or 14.29% with WBEs)</p>	<p>Total Amt Paid \$1,337,958</p> <p>Including:</p> <p>MWBE Opportunities: \$296,644 or 22.17%</p> <p>Excluded: \$265,369 or 19.83%</p> <p>Exempt: \$775,945 or 57.99%</p> <p>Of the \$296,644 amount paid under POs with MWBE Opportunities,</p> <p>\$193,805 or 65.33% paid to MWBEs (including \$135,195 or 45.57% paid to MBEs and \$58,610 or 19.76% paid to WBEs)</p>



Homes and Community Renewal

Schedule V

Procurement Summary for Fiscal Year 2016 with MWBE Comparative Data (11/01/2015 to 10/31/2016)

Total Number of Contracts	Total Amount Paid to Contractors	Total Number of Purchase Orders ("POs")	Total Amount Paid to PO Vendors
<p>Total Number of Contracts: 216</p> <p>Including:</p> <p>MWBE Opportunities: 76 or 35.19%</p> <p>Excluded: 14 or 6.48%</p> <p>Exempt: 126 or 58.33%</p> <p>Of the 76 contracts with MWBE Opportunities,</p> <p>49 or 64.47% were with MWBEs (including 34 or 44.74% with MBEs and 15 or 19.74% with a WBE)</p>	<p>Total Amt Paid \$21,892,271</p> <p>Including:</p> <p>MWBE Opportunities: \$5,464,209 or 24.96%</p> <p>Excluded: \$822,491 or 3.76%</p> <p>Exempt: \$15,605,571 or 71.28%</p> <p>Of the \$5,464,209 amount paid under contracts with MWBE Opportunities,</p> <p>\$1,378,140 or 25.22% paid to MWBEs (including \$1,130,537 or 20.69% paid to MBEs and \$247,603 or 4.53% paid to a WBE)</p>	<p>Total Number of POs: 38</p> <p>Including:</p> <p>MWBE Opportunities: 8 or 21.05%</p> <p>Excluded: 5 or 13.16%</p> <p>Exempt: 25 or 65.79%</p> <p>Of the 8 POs with MWBE Opportunities,</p> <p>7 or 87.50% were with MWBEs (including 4 or 50.00% with MBEs and 3 or 37.50% with WBEs)</p>	<p>Total Amt Paid \$1,255,328</p> <p>Including:</p> <p>MWBE Opportunities: \$323,036 or 25.73%</p> <p>Excluded: \$352,341 or 28.07%</p> <p>Exempt: \$579,951 or 46.20%</p> <p>Of the \$323,036 amount paid under POs with MWBE Opportunities,</p> <p>\$276,466 or 85.58% paid to MWBEs (including \$119,626 or 37.03% paid to MBEs and \$156,840 or 48.55% paid to WBEs)</p>



Homes and Community Renewal

Schedule VI

Procurement Summary for Fiscal Year 2015 with MWBE Comparative Data (11/01/2014 to 10/31/2015)

Total Number of Contracts	Total Amount Paid to Contractors	Total Number of Purchase Orders ("POs")	Total Amount Paid to PO Vendors
<p>Total Number of Contracts: 199</p> <p>Including:</p> <p>MWBE Opportunities: 67 or 33.67%</p> <p>Excluded: 27 or 13.57%</p> <p>Exempt: 105 or 52.76%</p> <p>Of the 67 contracts with MWBE Opportunities,</p> <p>35 or 52.24% were with MWBEs (including 27 or 40.30% with MBEs and 8 or 11.94% with a WBE)</p>	<p>Total Amt Paid \$20,477,196</p> <p>Including:</p> <p>MWBE Opportunities: \$6,092,813 or 29.751%</p> <p>Excluded: \$1,434,857 or 7.01%</p> <p>Exempt: \$12,949,526 or 63.24%</p> <p>Of the \$5,735,719 amount paid under contracts with MWBE Opportunities,</p> <p>\$1,428,597 or 24.91% paid to MWBEs (including \$1,309,164 or 22.82% paid to MBEs and \$119,433 or 2.08% paid to a WBE)</p>	<p>Total Number of POs: 51</p> <p>Including:</p> <p>MWBE Opportunities: 12 or 23.53%</p> <p>Excluded: 5 or 9.80%</p> <p>Exempt: 34 or 66.67%</p> <p>Of the 12 POs with MWBE Opportunities,</p> <p>10 or 83.33% were with MWBEs (including 5 or 41.67% with MBEs and 5 or 41.67% with WBEs)</p>	<p>Total Amt Paid \$1,402,679</p> <p>Including:</p> <p>MWBE Opportunities: \$539,381 or 38.45%</p> <p>Excluded: \$162,987 or 11.62%</p> <p>Exempt: \$700,311 or 49.93%</p> <p>Of the \$539,381 amount paid under POs with MWBE Opportunities,</p> <p>\$472,143 or 87.53% paid to MWBEs (including \$273,410 or 50.69% paid to MBEs and \$198,733 or 36.84% paid to WBEs)</p>



Procurement Summary for Fiscal Year 2014 with MWBE Comparative Data (11/01/2013 to 10/31/2014)

Total Number of Contracts	Total Amount Paid to Contractors	Total Number of Purchase Orders ("POs")	Total Amount Paid to PO Vendors
<p>Total Number of Contracts: 253</p> <p>Including:</p> <p>MWBE Opportunities: 71 or 28.06%</p> <p>Excluded: 15 or 5.93%</p> <p>Exempt: 167 or 66.01%</p> <p>Of the 71 contracts with MWBE Opportunities,</p> <p>36 or 50.70% were with MWBEs (including 26 or 36.62% with MBEs and 10 or 14.08% with WBEs)</p>	<p>Total Amt Paid \$19,052,957</p> <p>Including:</p> <p>MWBE Opportunities: \$5,524,172 or 28.99%</p> <p>Exclusion: \$1,263,201 or 6.63%</p> <p>Exempt: \$12,265,584 or 64.38%</p> <p>Of the \$5,524,172 amount paid under contracts with MWBE Opportunities,</p> <p>\$997,376 or 18.05% were paid to MWBEs (including \$671,198 or 12.15% paid to MBEs and \$326,178 or 5.90% paid to WBEs)</p>	<p>Total Number of POs: 48</p> <p>Including:</p> <p>MWBE Opportunities: 16 or 33.33%</p> <p>Exclusion: 1 or 2.08%</p> <p>Exempt: 31 or 64.58%</p> <p>Of the 16 POs with MWBE Opportunities,</p> <p>13 or 81.25% were with MWBEs (including 7 or 43.75% with MBEs and 6 or 37.50% with WBEs)</p>	<p>Total Amt Paid \$1,868,889</p> <p>Including:</p> <p>MWBE Opportunities: \$1,055,826 or 56.49%</p> <p>Exclusion: \$ 96,797 or 5.18%</p> <p>Exempt: \$716,267 or 38.33%</p> <p>Of the \$1,055,826 amount paid to under POs with MWBE Opportunities,</p> <p>\$969,287 or 91.80% paid to MWBEs (including \$581,762 or 55.10% paid to MBEs and \$387,525 or 36.70% paid to WBEs)</p>



Procurement Summary for Fiscal Year 2013 with MWBE Comparative Data (11/01/2012 to 10/31/2013)

Total Number of Contracts	Total Amount Paid to Contractors	Total Number of Purchase Orders ("POs")	Total Amount Paid to PO Vendors
<p>Total Number of Contracts: 243</p> <p>Including:</p> <p>MWBE Opportunities: 75 or 30.88%</p> <p>Excluded: 12 or 4.92%</p> <p>Exempt: 156 or 64.20%</p> <p>Of the 75 contracts with MWBE Opportunities,</p> <p>43 or 57.33% were with MWBEs (including 33 or 44.00% with MBEs and 10 or 13.33% with WBEs)</p>	<p>Total Amt Paid \$17,538,042</p> <p>Including:</p> <p>MWBE Opportunities: \$4,277,558 or 24.39%</p> <p>Exclusion: \$1,686,086 or 9.61%</p> <p>Exempt: \$11,574,398 or 66.00%</p> <p>Of the \$4,277,558 amount paid under contracts with MWBE Opportunities,</p> <p>\$915,955 or 21.41% were paid to MWBEs (including \$765,949 or 17.91% paid to MBEs and \$150,006 or 3.51% paid to WBEs)</p>	<p>Total Number of POs: 47</p> <p>Including:</p> <p>MWBE Opportunities: 9 or 19.15%</p> <p>Exclusion: 2 or 4.26%</p> <p>Exempt: 36 or 76.59%</p> <p>Of the 9 POs with MWBE Opportunities,</p> <p>8 or 89.89% were with MWBEs (including 3 or 33.33% with MBEs and 5 or 55.56% with WBEs)</p>	<p>Total Amt Paid \$2,259,634</p> <p>Including:</p> <p>MWBE Opportunities: \$1,153,360 or 51.04%</p> <p>Exclusion: \$182,849 or 8.09%</p> <p>Exempt: \$923,425 or 40.87%</p> <p>Of the \$1,153,360 amount paid to under POs with MWBE Opportunities,</p> <p>\$1,120,980 or 97.19% paid to MWBEs (including \$912,146 or 79.09% paid to MBEs and \$208,834 or 18.11% paid to WBEs)</p>



Procurement Summary for Fiscal Year 2012 with MWBE Comparative Data (11/01/2011 to 10/31/2012)

Total Number of Contracts	Total Amount Paid to Contractors	Total Number of Purchase Orders ("POs")	Total Amount Paid to PO Vendors
<p>Total Number of Contracts: 263</p> <p>Including:</p> <p>MWBE Opportunities: 54 or 20.53%</p> <p>Excluded: 45 or 17.11%</p> <p>Exempt: 164 or 62.36%</p> <p>Of the 54 contracts with MWBE Opportunities,</p> <p>28 or 51.85% were with MWBEs (including 20 or 37.04% with MBEs and 8 or 14.81% with WBEs)</p>	<p>Total Amt Paid \$16,790,068</p> <p>Including:</p> <p>MWBE Opportunities: \$4,029,338 or 24.00%</p> <p>Exclusion: \$7,905,433 or 47.08%</p> <p>Exempt: \$4,855,297 or 28.92%</p> <p>Of the \$4,029,388 amount paid under contracts with MWBE Opportunities,</p> <p>\$333,064 or 8.26% were paid to MWBEs (including \$212,143 or 5.26% paid to MBEs and \$120,921 or 3.00% paid to WBEs)</p>	<p>Total Number of POs: 52</p> <p>Including:</p> <p>MWBE Opportunities: 7 or 13.46%</p> <p>Exclusion: 4 or 7.69%</p> <p>Exempt: 41 or 78.85%</p> <p>Of the 7 POs with MWBE Opportunities,</p> <p>6 or 85.72% were with MWBEs (including 3 or 42.86% with MBEs and 3 or 42.86% with WBEs)</p>	<p>Total Amt Paid \$1,597,627</p> <p>Including:</p> <p>MWBE Opportunities: \$856,501 or 53.61%</p> <p>Exclusion: \$194,062 or 12.15%</p> <p>Exempt: \$547,064 or 34.24%</p> <p>Of the \$856,501 amount paid to under POs with MWBE Opportunities,</p> <p>\$831,345 or 97.06% paid to MWBEs (including \$646,188 or 75.45% paid to MBEs and \$185,157 or 21.61% paid to WBEs)</p>



Homes and Community Renewal

Schedule X

Procurement Summary for Fiscal Year 2011 with MWBE Comparative Data (11/01/2010 to 10/31/2011)

Total Number of Contracts	Total Amount Paid to Contractors	Total Number of Purchase Orders ("POs")	Total Amount Paid to PO Vendors
<p>Total Number of Contracts: 247</p> <p>Including:</p> <p>MWBE Opportunities: 50 or 20.24%</p> <p>Excluded: 171 or 69.23%</p> <p>Exempt: 26 or 10.53%</p> <p>Of the 50 contracts with MWBE Opportunities,</p> <p>8 or 16.00% were with MWBEs (including 7 or 14.00% with MBEs and 1 or 2.00% with a WBE)</p>	<p>Total Amt Paid \$17,080,695</p> <p>Including:</p> <p>MWBE Opportunities: \$3,430,761 or 20.08%</p> <p>Excluded: \$4,059,386 or 23.77%</p> <p>Exempt: \$9,590,548 or 56.15%</p> <p>Of the \$3,430,761 amount paid under contracts with MWBE Opportunities,</p> <p>\$259,153 or 7.56% paid to MWBEs (including \$223,603 or 6.52% paid to MBEs and \$35,550 or 1.04% paid to a WBE)</p>	<p>Total Number of POs: 33</p> <p>Including:</p> <p>MWBE Opportunities: 21 or 63.64%</p> <p>Excluded: 10 or 30.30%</p> <p>Exempt: 2 or 6.06%</p> <p>Of the 21 Competitive POs,</p> <p>3 or 14.28% were with MWBEs (including 1 or 4.76% with MBEs and 2 or 9.52% with WBEs)</p>	<p>Total Amt Paid \$920,887</p> <p>Including:</p> <p>MWBE Opportunities: \$483,453 or 52.50%</p> <p>Excluded: \$279,406 or 30.34%</p> <p>Exempt: \$158,028 or 17.16%</p> <p>Of the \$483,453 amount paid under POs with MWBE Opportunities,</p> <p>\$140,473 or 29.05% paid to MWBEs (including \$25,694 or 5.31% paid to MBEs and \$114,779 or 23.74% paid to WBEs)</p>

TAB 4

Agencies' Consolidated Procurement and Contract Guidelines

**PROCUREMENT AND CONTRACT GUIDELINES OF
THE NEW YORK STATE HOUSING FINANCE AGENCY,
STATE OF NEW YORK MORTGAGE AGENCY,
NEW YORK STATE AFFORDABLE HOUSING CORPORATION,
STATE OF NEW YORK MUNICIPAL BOND BANK AGENCY,
AND TOBACCO SETTLEMENT FINANCING CORPORATION
ESTABLISHING STANDARDS
FOR THE USE, AWARD, MONITORING AND REPORTING
OF PROCUREMENT CONTRACTS**
(effective as of December 15, 2005, revised as of September 12, 2013)

ARTICLE I

1. STATEMENT OF PURPOSE AND APPLICABILITY

- a. Statement of Purpose. These Guidelines are adopted pursuant to the provisions of the Acts and §2879 of the Public Authorities Law, as guidelines of the New York State Housing Finance Agency, State of New York Mortgage Agency, New York State Affordable Housing Corporation, State of New York Municipal Bond Bank Agency and Tobacco Settlement Financing Corporation (collectively hereinafter referred to as "Agencies" or each individually as "Agency") and, in accordance therewith, are to be reviewed and approved by the Members and Directors of each respective Agency at least annually.
- b. Applicability. These Guidelines apply to the Procurement by the Agencies of goods or services in the actual or estimated amount of \$5,000 or more.
- c. Title. Outside of this document, these Guidelines may be referred to as the "Procurement and Contract Guidelines" and herein may be referred to as "Guidelines."

ARTICLE II

2. DEFINITION OF TERMS

- a. Definitions. The following terms shall, for purposes of these Guidelines, have the following meanings unless the context shall clearly indicate some other meaning:
 - i. "Act" or "Acts" shall mean, either individually, or collectively, the Acts of each of the New York State Housing Finance Agency, State of New York Mortgage Agency, New York State Affordable Housing Corporation, State

of New York Municipal Bond Bank Agency and Tobacco Settlement Financing Corporation.

- ii. "Agency" or "Agencies" shall mean, either individually or collectively, each of the New York State Housing Finance Agency, State of New York Mortgage Agency, New York State Affordable Housing Corporation, State of New York Municipal Bond Bank Agency and Tobacco Settlement Financing Corporation.
- iii. "Affiliated Agencies" shall mean all of the affiliated and co-located Agencies, being the New York State Housing Finance Agency, State of New York Mortgage Agency, New York State Affordable Housing Corporation, State of New York Municipal Bond Bank Agency and Tobacco Settlement Financing Corporation, including the Housing Trust Fund Corporation, a subsidiary of the New York State Housing Finance Agency, located in Albany, New York.
- iv. "Annual Procurement Report" shall mean the annual report required by Article XII hereof.
- v. "Article 15-A of the Executive Law" or "Article 15-A" shall mean, the statute that governs the participation by Minority Group Members and women with respect to Agency Contracts.
- vi. "By-Laws" shall mean the By-Laws adopted by the Members and Directors of each Agency.
- vii. "Contact" shall mean, for purposes of applying the Lobbying Law in relation to any Agency Governmental Procurement with actual or anticipated annualized expenditures in excess of \$15,000, any oral, written or electronic communication from a Contractor or Vendor, or their representatives, with any Agency, under circumstances where a reasonable person would infer that the communication was intended to influence any Agency's conduct or decision regarding an Agency Governmental Procurement.
- viii. "Contract" shall mean a written agreement whereby an Agency undertakes Procurement, and shall include, but not be limited to, accepted Purchase Orders and Procurement Contracts. Contracts in excess of \$25,000 for goods and services and Contracts in excess of \$100,000 for the acquisition, construction, demolition, replacement, major repair, or renovation of real property and improvements thereon are subject to the Agencies' MWBE Directives. Additionally, pursuant to Article 15-A, solely for the purpose of providing the opportunity for meaningful participation for certified MWBEs in the performance of Agency Contracts, Agency Contracts shall

include leases of real property by any Agency to a Lessee where: (a) the terms of such leases provide for the construction, demolition, replacement, major repair or renovation of real property and improvements thereon by such Lessee; and (b) the cost of such construction, demolition, replacement, major repair or renovation of real property and improvements thereon shall exceed the sum of \$100,000.

- ix. "Contractor" shall mean a supplier of goods or services to any Agency pursuant to a written Contract.
- x. "Counsel" shall mean an attorney in the regular employment of any Agency.
- xi. "Critical Contract" shall mean a Contract which must be awarded within a set time period because delay of the award would have a serious adverse effect on the contracting Agency that outweighs the benefits of advertisement in the "New York State Contract Reporter," as determined by the President, and a Senior Officer designated by the President. Examples of Critical Contracts include Contracts related to bond issuances. All Emergency Selection Contracts shall be Critical Contracts. Emergency Foreign Business Enterprise Contracts are not Critical Contracts unless the Agency independently determines those Contracts to be Critical Contracts.
- xii. "Designated Contact" shall mean, for purposes of applying the Lobbying Law in relation to any Agency Governmental Procurement with actual or anticipated annualized expenditures in excess of \$15,000, a Contact made between an Offerer and the Agency's Designated Contact Officer(s), as set forth in Article VII of these Guidelines.
- xiii. "Designated Contact Officer(s)" shall mean, for purposes of applying the Lobbying Law in relation to any Agency Governmental Procurement with actual or anticipated annualized expenditures in excess of \$15,000, the person(s) the Agency appoints to such position, in accordance with the provisions of the Lobbying Law, who may be the recipient of Designated Contacts, as set forth in Articles VII and XI of these Guidelines.
- xiv. "Designated MWBE Officer(s)" shall mean the senior staff member(s) the Agency appoints to such position, who reports directly to the President to oversee the Agencies' MWBE Program, as set forth in Articles VI and XI of these Guidelines.
- xv. "Determination of Responsibility" shall mean, in relation to any Agency Governmental Procurement with actual or anticipated annualized expenditures in excess of \$15,000, a final determination required to be made by the Agency of the proposed Contractor or Vendor to whom the Contract is to be awarded in accordance with Public Authorities Law § 2879 (3) (b)

(iii). For Determinations of Responsibility hereunder, the Lobbying Law requires that proposed Contractors and Vendors disclose findings of non-responsibility against them within the previous four years by any other governmental agency.

- xvi. "Director(s)" shall mean the Directors of each of the State of New York Mortgage Agency and State of New York Municipal Bond Bank Agency and collectively, both of them.
- xvii. "Discriminatory Jurisdiction" shall mean any other county, nation, province, state or political subdivision thereof which employs a preference or price distorting mechanism to the detriment of, or otherwise discriminates against, a New York State Business Enterprise in the Procurement of goods or services by the same, or a non-governmental entity influenced by the same.
- xviii. "Disparity Study of 2010" or "Disparity Study" shall refer to the disparity study commissioned by the Empire State Development Corporation ("ESDC"), pursuant to Article 15-A, and published on April 29, 2010.
- xix. "Emergency Foreign Business Enterprise Contract" shall mean any Contract awarded on an emergency or critical basis or where the New York State Commissioner of Economic Development (hereinafter referred to as the "Commissioner") waives provisions otherwise applying to Contracts with Foreign Business Enterprises which are equal to or greater than \$1,000,000, pursuant to Article VIII of these Guidelines.
- xx. "Emergency Selection Contract" shall mean any Contract exempt from competitive selection due to an Agency determination of an emergency justifying such exemption.
- xxi. "Employee" shall mean an employee of any Agency, whether full or part time.
- xxii. "Ethics Officer" shall mean the person the Agency appoints to such position for purposes of administering matters in connection with the State Ethics laws, or any other State law which requires the existence of such an officer to review, monitor and impose sanctions related to Procurement matters including, but not limited to, Lobbying Law Directives.
- xxiii. "Foreign Business Enterprise" shall mean a business enterprise, including a sole proprietorship, partnership or corporation, which offers for sale, lease or other form of exchange, goods sought by any Agency and which are substantially produced outside the State, or services sought by any Agency, and which are substantially performed outside the State.

- xxiv. "Formal Contract" shall mean a Contract which is required to be in writing and formally executed by the Contractor and the Agency.
- xxv. "Formal Solicitation" shall mean a Request for Proposal process.
- xxvi. "Governance Committee Member(s)" shall mean the members of each of the New York State Housing Finance Agency, State of New York Mortgage Agency, New York State Affordable Housing Corporation, State of New York Municipal Bond Bank Agency and Tobacco Settlement Financing Corporation, and collectively, all of them.
- xxvii. "Governmental Procurement" shall mean the (a) public announcement, public notice, or public communication to any potential Vendor of a determination of a need for a Procurement, which shall include, but not be limited to, the public notification of the specifications, bid documents, RFPs, or evaluation criteria for a Procurement Contract, (b) solicitation for a Procurement Contract, (c) evaluation of a Procurement Contract, (d) award, approval, denial or disapproval of a Procurement Contract, or (e) approval or denial of an assignment, amendment (other than amendments that are authorized and payable under the terms of the Procurement Contract as it was finally awarded or approved by the State's comptroller, as applicable), renewal or extension of a Procurement Contract, or any other material change in the Procurement Contract resulting in a financial benefit to the Offerer.
- xxviii. "Guidelines" shall mean these Guidelines, as they may be amended from time to time.
- xxix. "Impermissible Contact" shall mean, for purposes of applying the Lobbying Law in relation to any Agency Governmental Procurement with actual or anticipated annualized expenditures in excess of \$15,000, any Contact that is not a Designated Contact.
- xxx. "Informal Solicitation" shall mean a Request for Bid process.
- xxxi. "Invitation for Bid" process or "IFB" shall mean the informal solicitation, by way of a statement of qualification, proposal and/or, as appropriate, price bid from at least three prospective Contractors or Vendors, one of which shall be from a MWBE, if possible, for Procurements not expected to exceed \$50,000. Procurements anticipated to exceed \$25,000 or more must include MWBE participation goals.
- xxxii. "Lessee" shall have the same meaning defined in Article 15-A.

- xxxiii. "Lobbying Law Directives" shall mean, in relation to any Agency Governmental Procurement with actual or anticipated annualized expenditures in excess of \$15,000, the requirements of the provisions of the Lobbying Law, and as set forth in Article VII of these Guidelines.
- xxxiv. "Lobbying Law" shall mean the provisions of the Legislative Law and the State Finance Law enacted on August 23, 2005, Chapter 1 of the laws of 2005 and amended on March 20, 2010, Chapter 4 of the laws of 2010.
- xxxv. "Member(s)" shall mean the members of each of the New York State Housing Finance Agency, New York State Affordable Housing Corporation, and Tobacco Settlement Financing Corporation, and collectively, all of them.
- xxxvi. "Minority Owned Business Enterprise" or "MBE" shall mean any business enterprise, including a sole proprietorship, partnership or corporation, that is:
- (1) at least 51% owned by one or more Minority Group Members, or in the case of a publicly-owned business, at least 51% of the common stock or other voting interests of which is owned by one or more Minority Group Members;
 - (2) an enterprise in which the minority ownership is real, substantial and continuing;
 - (3) an enterprise in which the minority ownership has, and exercises, the authority to control independently the day-to-day business decisions of the enterprise;
 - (4) an enterprise authorized to do business in the State, independently owned and operated, and not dominant in its field;
 - (5) an enterprise owned by an individual or individuals, whose ownership, control and operation are relied upon for certification, with a Personal Net Worth that does not exceed \$3.5 million, as adjusted annually on the first of January for inflation according to the consumer price index of the previous year; and
 - (6) an enterprise that is a Small Business.
- xxxvii. "Minority and/or Women-Owned Business Enterprise" or "MWBE" shall mean any business enterprise, including a sole proprietorship, partnership or corporation, that meets the qualifications for an MBE, a WBE, or both an MBE and a WBE.

xxxviii. "Minority Group Member" shall mean a United States citizen or permanent resident alien who is and can demonstrate membership in one of the following groups:

- (1) Black persons having origins in any of the Black African racial groups not of Hispanic origin;
- (2) Hispanic persons of Mexican, Puerto Rican, Dominican, Cuban, Central or South American of either Indian or Hispanic origin, regardless of race;
- (3) Native American or Alaskan native persons having origins in any of the original peoples of North America; or
- (4) Asian and Pacific Islander persons having origins in any of the Far East countries, Southeast Asia, the Indian sub-continent or the Pacific Islands.

xxxix. "MWBE Director" shall mean the director of the division of minority and women's business development in the Department of Economic Development.

xl. "MWBE Directives" shall mean the requirements of the Agencies' MWBE Program in accordance with the provisions in §2879 of the Public Authorities Law and Article 15-A, and as set forth in Article VI of these Guidelines.

xli. "MWBE Program" shall mean the Agencies' Procurement procedures and policies for providing opportunity for meaningful participation of certified businesses in the performance of Agency Contracts, as more fully described in Article VI of these Guidelines.

xlii. "New York State Business Enterprise" or "NYSBE" shall mean a business enterprise, including a sole proprietorship, partnership, or corporation, which offers for sale or lease or other form of exchange, goods which are sought by any Agency and which are substantially manufactured, produced or assembled in the State, or services which are sought by any Agency and which are substantially performed within the State.

xliii. "Offerer" shall mean, for purposes of applying the Lobbying Law in relation to any Agency Governmental Procurement with actual or anticipated annualized expenditures in excess of \$15,000, an individual or entity, or any employee, agent or consultant or person acting on behalf of such individual or entity, that contacts any Agency about an Agency Governmental

Procurement during the Restricted Period of such Agency Governmental Procurement, whether or not the caller has a financial interest in the outcome of the Governmental Procurement.

- xliv. "Officer" shall mean any person so defined in the By-Laws of the Agencies.
- xlvi. "Permissible Contact" shall mean, for purposes of applying the Lobbying Law in relation to any Agency Governmental Procurement with actual or anticipated annualized expenditures in excess of \$15,000, a Designated Contact.
- xlvi. "Permissible Subject Matter Communication" shall mean, for purposes of applying the Lobbying Law in relation to any Agency Governmental Procurement with actual or anticipated annualized expenditures in excess of \$15,000, the communications set forth as such in Article VII of these Guidelines.
- xlvi. "Personal Net Worth" shall have the same meaning defined in Article 15-A.
- xlvi. "Personal Services" shall mean any services performed for fee, commission or other compensation by persons or organizations who are not providing such services as Officers or Employees of any Agency or any State agency or public corporation.
- xlix. "Preferred Source" shall mean the status afforded to certain contractors or vendors for purposes of Procurement under §162 of the State Finance Law.
- l. "President and Chief Executive Officer" or "President" shall mean the Senior Officer having such title according each Agency's By-Laws.
- li. "Procurement" shall mean the acquisition of goods, materials and services including, but not limited to, Personal Services, by any Agency. The term goods shall include, but not be limited to, personal property, including furniture, fixtures, stationery and supplies. Services shall include, but not be limited to, the performance of legal, accounting, management, consulting, investment banking, planning, training, statistical, research, public relations, architectural, engineering, surveying or other Personal Services of a consulting, professional or technical nature for a fee, commission or other compensation by a person or persons who are not providing such service as Officers or Employees of any Agency or any State agency or public corporation.

- lii. "Procurement and Contract Guidelines" shall mean the guidelines to Procurement of goods or services by the Agencies, adopted by the Agencies' Members and Directors on December 15, 2005 and revised as of September 14, 2010, pursuant to the provisions of the Acts and §2879 of the Public Authorities Law, as guidelines of the New York State Housing Finance Agency, State of New York Mortgage Agency, New York State Affordable Housing Corporation, State of New York Municipal Bond Bank Agency and Tobacco Settlement Financing Corporation.
- liii. "Procurement Contract(s)" shall mean, (a) *(following the definition in §2879 of the Public Authorities Law)* any written agreement for Procurement in the actual or estimated amount of \$5,000 or more or (b) *(following the definition in the Lobbying Law for purposes of applying the Lobbying Law in relation to any Agency Governmental Procurement with actual or anticipated annualized expenditures in excess of \$15,000)* any Contract, including an amendment, extension, renewal, or change order to an existing Contract (other than amendments, extensions, renewals, or change orders that are authorized and payable under the terms of the Contract as it was finally awarded), for a Governmental Procurement.
- liv. "Procurement Contract Officer" shall mean the person appointed by the President to such position, as set forth in Article XI of these Guidelines.
- lv. "Procurement Record" shall mean documentation of the decisions made and the approach taken in the Procurement process together with other documentation with respect to Contracts and Contractors/Vendors, as set forth in these Guidelines.
- lvi. "Purchase Order(s)" shall mean written authorization to a Vendor to deliver specified goods or services at a stipulated price.
- lvii. "Quarterly Procurement Report(s)" shall mean the quarterly reports required by Article XII, as described herein.
- lviii. "Request for Proposal" or "RFP" shall mean the formal solicitation, by way of a detailed description of services and/or related work required by any Agency, of a comprehensive response from qualified potential Contractors or Vendors, indicating the manner in which each would perform the tasks involved and the compensation requested, which response would be the basis for a contractual agreement. *(It is generally expected that a qualifying response to an RFP would be sufficiently comprehensive to supply all essential information necessary to enter into a Contract.)*

- lix. "Request for Qualification or "RFQ" shall mean a request for statement of qualifications, which shall contain detailed information, so as to enable recipients to determine the desirability of participating in the selection process and to develop a competitive statement. An RFQ may request other information in addition to qualifications. *(An RFQ requests less information than an RFP. The response may or may not provide enough information upon which to base a Contract, but if it is not sufficient to base a Contract upon, supplementary information would likely be necessary to determine the scope of tasks to be performed under the Contract.)*
- lx. "Restricted Period" shall mean, for purposes of applying the Lobbying Law in relation to any Agency Governmental Procurement with actual or anticipated annualized expenditures in excess of \$15,000, the period of time commencing with the earliest determination of a Procurement need by any Agency to any potential Contractor or Vendor, including, but not limited to, any oral or written communication, notice, advertisement or solicitation of an RFP, invitation for bids, or solicitation of proposals, or any other method for soliciting a response from contractors or vendors intending to result in a Procurement Contract with the Agency and ending with the Agency's approval of the final Contract award.
- lxi. "Senior Officer" shall mean a Senior Officer as defined in the By-Laws of the Agencies.
- lxii. "Senior Vice President and Counsel" shall mean the Senior Vice President and Counsel of the Agencies.
- lxiii. "Single Source Contract" shall mean a Contract awarded without competitive procedures as a result of a determination by the Agency, approved in writing by the President and a Senior Officer designated by the President, that one firm is uniquely qualified or has a unique advantage with respect to the provision of a particular service or good, such that competitive procedures are rendered futile.
- lxiv. "Small Business" shall have the same meaning defined in Article 15-A.
- lxv. "Sole Source Contract" shall mean a Contract awarded without competitive procedures as a result of a determination by the Agency, approved in writing by the President and a Senior Officer designated by the President, that there is only one source for a particular service or good, such that competitive procedures are rendered futile.
- lxvi. "State" shall mean the State of New York.
- lxvii. "Vendor" shall mean a supplier of goods or services to any Agency.

lxviii. "Women-Owned Business Enterprise ("WBE")" shall mean a business enterprise, including a sole proprietorship, partnership or corporation that is:

- (1) at least 51% owned by one or more United States citizens or permanent resident aliens who are women or, in the case of a publicly-owned business, at least 51% percent of the common stock or other voting interests of which is owned by United States citizens or permanent resident aliens who are women;
- (2) an enterprise in which the ownership interest of women is real, substantial and continuing;
- (3) an enterprise in which the women ownership has, and exercises, the authority to control independently the day-to-day business decisions of the enterprise;
- (4) an enterprise authorized to do business in the State, independently owned and operated, and not dominant in its field;
- (5) an enterprise owned by an individual or individuals, whose ownership, control and operation are relied upon for certification, with a Personal Net Worth that does not exceed \$3.5 million, as adjusted annually on the first of January for inflation according to the consumer price index of the previous year; and
- (6) an enterprise that is a Small Business.

b. Construction of Language. Any other capitalized terms used herein shall have the meaning given by the By-Laws. Except where the context otherwise requires, words importing the singular number shall include the plural number and vice versa.

ARTICLE III

3. USE OF PROCUREMENT CONTRACTORS AND VENDORS

a. Threshold Criteria for Use of Procurement Contractors for Personal Services. The general responsibilities of the Agencies are performed by Employees. Accordingly, it is the policy of the Agencies that before Personal Services are used, it first be considered whether it would be more appropriate for Employees to provide such services. Personal Services Contractors may be used when it has been determined:

- (1) that such service is necessary or convenient to the performance of any Agency's responsibilities, and;
- (2) (x) that such service is not available from Employees, or;
(y) that the performance of such service requires it be undertaken by someone independent of the Agencies, or;
(z) that use of personnel of any Agency for such service would not be efficient or cost effective.

Such determination shall be made by a Senior Officer except that, in the case of Personal Services set forth below in this Article, such determination may be made by Senior Officers as they may deem administratively appropriate. Non-Personal Services Contracts shall be entered into when any Agency requires goods, materials and non-Personal Services to function effectively and efficiently.

- b. Areas Requiring Use of Procurement Contracts for Personal Services. Personal Services Contracts have typically been and are anticipated to be executed in the following areas, pursuant to a determination of appropriateness in accordance with the requirements of subparagraph a. of this Article:

Types of Services, Responsibilities and Description of Services to be Provided.

- i. Appraisal. Provide appraisals, analyses and reports with respect to properties which are or may be the subject of Agency loans or loans insured by the Agency.
- ii. Architectural and Engineering. Provide professional architectural and/or engineering services relative to the construction of properties which are or may be the subject of Agency loans, or loans insured by the Agency.
- iii. Audit and Accounting. Provide audit services pertaining to the year-end preparation of financial statements for the Agency in conformance with generally accepted accounting principles. Perform special audits as requested.
- iv. Custody & Safekeeping Services. Provide custody and safekeeping services to secure Agency investments and receive and evaluate underlying collateral for secured Agency investments.
- v. Equipment Maintenance. Provide maintenance for the routine service or repair of office and data processing equipment.
- vi. Information Technology Consulting. Provide analyses and recommendations on the Agencies' data processing structure and operations.

- vii. Information Technology Services. Provide report generating and printing services, computer systems hardware, programming and related services to the Agency(s).
- viii. Investment Banking. Provide: (a) financial advisory services; (b) marketing services for Agency bond issues; and (c) recommendations and analyses with respect to Agency investments, and the preparation, sale, marketing and distribution of Agency bond issues.
- ix. Legal. Provide legal services, opinions and analyses related to bond and note financings, real estate matters, corporate matters, litigation matters and labor matters.
- x. Management Consulting. Provide analyses and recommendations concerning the Agencies' organizational structure and the management of its operations.
- xi. Minority Business Enterprise Consultants. Provide technical assistance in the Agencies' effort to facilitate MBE participation in Agency programs.
- xii. Printing. Provide: (a) financial printing services based upon specifications and details developed by the Agency; (b) technical printing services relative to the reproduction of loan and insurance documents; (c) graphic, layout and printing services in connection with production of the Agencies' annual report(s); and any special reports that may be required; and (d) other printing and offset services.
- xiii. Training. Provide supervisory and other skills training to Agency Officers and Employees.
- xiv. Trustee Banking Services. Provide banking services to monitor the timely receipt of payments, retirement of debt, collateral evaluations and other services as required by the various bond resolutions.
- xv. Others. The examples of Personal Services listed above in clauses (i) through (xiv) reflect anticipated Personal Services and are not meant to be exhaustive; other services, in other areas, may be utilized subject to these Guidelines.

These Personal Services are not required to be provided as Personal Services Contracts, and may sometimes be performed by Agency staff.

ARTICLE IV

4. SELECTION OF PROCUREMENT VENDORS AND CONTRACTORS.

- a. Preferred Selection Criteria and Approach. It is the preference of the Agencies that Vendors and Contractors shall be selected from as broad a spectrum of providers as is practicable, and that Contracts be awarded and purchases be made consistent with the quality of services, or goods and materials required, at fair and reasonable prices. In addition, it is the preference of the Agencies to encourage the participation and utilization of MWBEs in accordance with the MWBE Directives, as set forth in Article VI of these Guidelines and to encourage the participation of New York State Business Enterprises. Contracts shall be regulated in accordance with Lobbying Law Directives, and as set forth in Article VII of these Guidelines.
- b. Selection on a Competitive Basis. It is the preference of the Agencies that Procurement, unless otherwise prescribed, be by competitive process, and that the process be as competitive as is possible. It is the policy of the Agencies that the selection of Procurement Contractors and Vendors be exempt from the competitive process only under certain exceptional circumstances as specified herein. As appropriate, the following competitive processes may be used in order to select Contractors and Vendors:
 - i. Competitive Lowest Price Bid for Goods or Materials. Solicitation of at least three price bids, one of which shall be from a MWBE, if feasible, for specified Procurement, other than Personal Services (goods and materials), to be awarded to qualifying Contractors or Vendors primarily on the basis of the lowest price. Competitive bids are to be solicited when the goods and materials required are of a standardized nature that may reasonably be made the subject of specifications to which bidders respond with required qualification data and price offers.
 - ii. Invitation for Bid ("IFB") process for Contracts Not Expected to Exceed \$50,000. If a Senior Officer determines it is appropriate, an Agency may commence an informal Procurement process by soliciting statements of qualifications, proposals and, as appropriate, price bids from at least three prospective Contractors or Vendors, one of which shall be from a MWBE, if feasible, for Procurements not expected to exceed \$50,000. Procurements valued at \$25,000 or more must include MWBE participation goals. Award of a Contract within this method is made on the basis of an evaluation of the characteristics, quality and cost of such statements of qualifications and proposals.
 - iii. RFP (without negotiation). Solicitation of specific proposals which indicate an understanding of identified financial, organizational, logistical and technical requirements and/or problems, and which detail elements of

performance, including techniques and procedures as well as prices. Award of a Contract within this method is made on the basis of a formal evaluation of the characteristics, quality and cost of such proposals.

- iv. RFP with Competitive Negotiations. Solicitation of qualifying potential Contractors or Vendors who have submitted materials pursuant to: (a) an RFP to further negotiate their proposals; (b) an RFP which stated that the Agency might further negotiate proposals; or (c) a determination by the Agency, subsequent to issuing an RFP, that further negotiation is appropriate or that the RFP should be revised to permit further negotiations. Further negotiation may include, but shall not be limited to, prices for Contract award on the basis of a formal evaluation of the characteristics, quality and cost of such proposals.
- v. Pre-qualified Panel. The Agency may select Contractors for any Procurement activity from a qualified panel of potential Contractors, selected on the basis of an RFP or RFQ. The purpose of using a pre-qualified panel is to allow aspects of the competitive process to be addressed early in a phased selection process. This is so that Vendors and Contractors on the panel can be subsequently engaged on an accelerated or more efficient basis. In accordance therewith, panels shall be administered so that the Contract award is based upon a formal evaluation of qualifications and/or the subsequent negotiation of fair and reasonable compensation for specific services actually required. At such time as a panel is created, the Agency shall document for the Procurement Record with respect to that panel, which aspects of the competitive process (a) are being addressed prior to the panel's establishment and (b) shall be fulfilled subsequent to the establishment of the panel. The award of assignments to respective Vendors on a panel need not be based purely on competitive selection processes, to the extent that assignments based on distribution of workload, distribution of risk, and/or a policy of rotation intended to benefit the Agency are reasonable. Panels shall be identified to the Agency Procurement Contract Officer, reported in the Annual Procurement Contract Report, and reviewed and recertified annually to the Agencies' Procurement Contract Officer by the Agency Officer in charge of administering the panel.
- vi. State Contract. Any Agency can enter into Contracts with eligible Vendors, where the State has engaged in a competitive process to create eligible Vendors; and an Agency can enter into a Contract with those Vendors for such services upon comparable terms, provided a Senior Officer determines this is appropriate.
- vii. GSA Contract (or contract of the U.S. General Services Administration or US GSA). Any Agency can enter into Contracts with eligible Vendors, where the US GSA has engaged in a competitive process to create eligible

Vendors; and an Agency can enter into a Contract with those Vendors for such services upon comparable terms, provided a Senior Officer determines this is appropriate.

- viii. Affiliated Agency Contract or Affiliated Agency Competitive Selection Process. Whenever an Affiliated Agency has completed a competitive process to create a list of Vendors eligible for the provision of goods or services, any other Agency can enter into a Contract with those Vendors for such services, if for the same services and upon comparable terms. Whenever an Affiliated Agency has engaged in a competitive process, and that process has not yet created a list of eligible Vendors, and an Agency can complete that process to create eligible Vendors, the Agency may do so in order to enter into a Contract with those Vendors for such services for which Vendors are ultimately determined eligible to provide, provided a Senior Officer determines this is appropriate.
- c. Selection on a Non- Competitive Basis. The competitive processes established above in this Article shall not apply or are hereby waived in the following situations:
 - i. Preferred Source Providers. Every Agency Procurement shall be conducted in accordance with §162 of the State Finance Law, which, in certain instances, affords Preferred Source status to certain Contractors and Vendors to advance special social and economic goals and precludes the use of competitive selection procedures.
 - ii. Existing Centralized State Contracts. Any Agency may carry out a Procurement using existing centralized State Contracts pursuant to which the Agencies are eligible to procure goods and/or services, according to the State negotiated terms.
 - iii. Existing GSA Contracts. Any Agency may carry out a Procurement using existing centralized GSA Contracts pursuant to which the Agencies are eligible to procure goods and/or services, according to the State negotiated terms.
 - iv. Emergency. When an emergency requires that selection of a Contractor or Vendor cannot be delayed long enough for the use of a competitive procedure because immediate action is required, the President, and a Senior Officer designated by the President, may award a Contract, as the President and the designated Senior Officer deems appropriate, without competitive procedures or following less than the full complement of competitive procedures which would otherwise be required. Circumstances requiring such immediate action must be significant, such as those affecting property of the Agency(s), life, health or safety. Emergencies should only arise out

of accident or other unforeseen occurrence. The circumstances under which such Contract was entered into shall be set forth and maintained in the Procurement Record. Such record should, among other things, address whether such circumstances should have been foreseen. Consideration should always be given to whether a Contract entered into on an emergency basis can be supplanted by a subsequent Contract entered into through a competitive process. If the Emergency Contract exceeds \$100,000 in amount or one year in duration, the Contract must be taken to the next Agency Governance Meeting or Board Meeting for approval. The emergency nature of the Contract must be shown in the Quarterly Procurement Report covering the period in which the Contract was executed.

- v. Sole Source Contract. Sole Source Contracts may be awarded without competitive procedures as a result of a determination by the Agency, approved in writing by the President and a Senior Officer designated by the President. For purposes of determining whether a Contract is a Sole Source Contract, the Agency shall identify if there is only one source for a particular service or good, such that competitive procedures are rendered futile.
- vi. Single Source Contract. Single Source Contracts may be awarded without competitive procedures as a result of a determination by the Agency, approved in writing by the President and a Senior Officer designated by the President. Competitive procedures may be considered futile for purposes of determining whether a Contract is a Single Source Contract, if, among other things, the submission of bids or proposals by other Contractors or Vendors would not afford them a meaningful likelihood of selection. Any time the Agency considers it appropriate, the Agency may conclusively reach such a determination by relying upon the determination of the State or an Affiliated Agency that a Vendor is uniquely qualified, if the Agency seeks to enter into a Contract or contract with those Vendors for such services upon comparable terms.
- vii. Inconsistent Industry Selection Process with Competitive Price Assurance. Where practice in an industry does not normally involve competitive submission of proposals and where it is determined that it would be cost-effective to award such Contract or otherwise select from among possible Vendors in some other manner, provided steps are taken to assure that the cost is comparable to that generally charged for similar goods or services, and that the Procurement Record contains written evidence of these steps, a Contract may be awarded without competitive process.

- viii. Competitive Proposal Exception for Contracts Not Expected to Exceed \$5,000. In the case of Contracts not expected to exceed \$5,000, if it is determined that soliciting at least three Vendors is not appropriate, such Contract may be awarded without soliciting competitive proposals, if a clear scope of goods or services is utilized and due consideration is given to the market value of such goods or services.
- ix. Option to Waive Competition for Certain Kinds of Contracts. Notwithstanding any other provision of law requiring competition, the competitive process may be waived to include Contracts for the purchase of goods or services from Small Businesses or certified MWBEs, or goods or technology that are recycled or remanufactured, in amounts at or below \$200,000.

ARTICLE V

5. STANDARDS AND PRACTICES FOR COMPETITIVE SELECTION OF CONTRACTORS.

It is the policy of the Agencies to seek out the maximum practicable number of qualified Vendors interested in offering their goods or services to the Agencies and to establish certain minimum standards for their selection. The following standards shall apply:

- a. Advertisement Requirements for Competitive Source Selection Methods. The solicitation of bids, proposals, offers or submissions of qualification data from Vendors with respect to Contracts shall be made by the Agencies in a manner determined by the President, or a Senior Officer designated by the President, to be the most cost effective for providing reasonable competition for the Agencies' Contracts. This may include advertisement in appropriate newspapers or trade journals, direct mailings to firms considered qualified and such other outreach mechanisms as are consistent with the policy of these Guidelines, including outreach efforts to MWBEs in accordance with the provisions of Article VI herein and the Agencies' MWBE Goal Plan ("MWBE Goal Plan"), and including providing information with respect thereto via the Agencies' website. In addition, in the case of Procurement Contracts in the actual or estimated amount of \$50,000 or more, and in the establishment of pre-qualified panels, as of January 1, 1990, the Agencies shall advertise all such opportunities in the "New York State Contract Reporter" or "Reporter," the official weekly listing of bidding opportunities for the State published by the New York State Department of Economic Development, and any other publication as required by State law, unless the Contract is determined to be a Critical Contract. Already advertised Contract opportunities being re-bid or re-solicited within 45 business days after proposals were originally due, pursuant to publication in the "Reporter," are not required to be published again. Contracts determined to be Single Source Contracts need not be advertised in the "Reporter,"

but in many instances such advertising should be done to assist in the determination that a Contract is a Single Source Contract.

- b. Minimum of Three Prospective Vendors for Competitively Bid Procurement Contracts. For all Procurement Contracts required to be selected on a competitive basis, the Agency shall solicit statements of qualifications, proposals and, as appropriate, price bids from at least three prospective Vendors. In the case of Contracts not expected to exceed \$5,000, the Agency shall solicit prices, statements of qualifications and proposals from at least three prospective Vendors unless the Agency affirmatively determines it is not appropriate. The Agency shall include at least one MWBE, if feasible, in all Procurement processes for contracts not expected to exceed \$25,000.
- c. Requirements for Agency Bid Documents. Except for Procurement Contracts for which the Agency(s) would be expending funds received from another state, the Agencies shall include in all bid documents provided to potential bidders a statement that information concerning the availability of State subcontractors and suppliers is available from the State Department of Economic Development, which shall include the directory of certified MWBEs, and an affirmative statement that it is the policy of the Agencies to encourage the use of State subcontractors and suppliers, and to promote the participation of MWBEs, where possible, in the Procurement of goods and services. Additional requirements for Agency Bid Documents relating to the Agencies policies to promote the participation of New York State Business Enterprises is more fully described in Article VIII.8.a. of these Guidelines.

The Agencies shall also require that solicitation documents set forth the expected degree of MWBE participation based, in part, on (1) the potential subcontract opportunities available in the prime Procurement Contract; and (2) the availability of MWBEs to respond competitively to the potential subcontract opportunities.

- i. Required Bid Notices to Professional and other Organizations serving MWBEs. In an effort to award Procurement Contracts to MWBEs in compliance with the Agencies' MWBE Procurement goals, as set forth in the Agencies' MWBE Goal Plan, the Agencies shall provide notice of Governmental Procurements, along with any other notice required by law, to professional and other organizations serving MWBEs that provide the types of services procured by the Agencies. Professional and other organizations can include, but is not limited to, social networking websites, magazines, and/or newspapers catering to a majority of MBE and/or WBE clientele. For the purposes of these Procurement efforts and for other Agency Procurement efforts, the Agencies shall establish procedures for maintaining list(s) of qualified MWBEs. In addition, the Agencies shall establish procedures for maintaining lists to include media outlets and other organizations serving MWBEs. The Agencies will provide such list(s) to

Contractors in the Procurement process, requiring that potential Contractors shall consult and contact appropriate MWBEs to solicit their bids, in accordance with Article VI of these Guidelines.

- ii. Lobbying Law Directives. All Agency solicitations for proposals, bid documents and specifications for Procurement Contracts shall incorporate a summary of the Agencies' policies and prohibitions regarding Contacts under the Lobbying Law, pursuant to the Lobbying Law Directives as described in Article VII of these Guidelines and in the Agencies' Lobbying Reform Law Policies.
 - iii. Promoted Contracts. All Agency solicitations shall follow the directives for the participation of promoted Contracts, as is more fully described in Article VIII of these Guidelines.
- d. Criteria for Selection. Procurement Contracts shall be entered into based on an evaluation of all proposals or bids received, considering all relevant factors, including, but not limited to terms, costs, goods or services offered, experience and capabilities, financial security, reputation in the field, staff availability, personnel expected to be involved and possible conflicts of interest. Where a Senior Officer determines that there is a suitably neutral and reliable publisher or publicly available industry ratings or evaluations of products or firm qualifications, such ratings or evaluations may be allowed to substitute, in whole or in part, as determined to be appropriate, for required submission of qualifications where it is determined that requiring independent submission of such from Vendors would be duplicative. The criterion for selection are not intended to supersede the fact that the Agencies have certain promoted Contracts and certain prohibited Contracts and Contracts subject to limitations, as set forth in Article VIII of these Guidelines.
- e. Compliance with Additional Procedures for Requests for Proposals and Requests for Qualifications. The Agencies shall also comply with any additional procedures issued by it, from time to time, with respect to the conduct of Requests For Proposals and Requests For Qualifications.

ARTICLE VI.

6. MWBE PROGRAM ESTABLISHING PROCEDURES FOR MWBE PARTICIPATION AND UTILIZATION IN AGENCY PROCUREMENTS

The requirements of the Agencies' MWBE Program, in accordance with the provisions of §2879 of the Public Authorities Law, Article 15-A, and the directives of the Governor, and as set forth in this Article, shall be referred to as the Agencies' MWBE Directives. The Agencies shall work to increase MWBE participation and utilization through certain Procurement procedures, as described in the Agencies' consolidated Annual MWBE Goal

Plan and these Guidelines, and incorporated in the Agencies' MWBE Program. These procedures shall include (i) the appointment of a Designated MWBE Officer(s) by the President to oversee the Agencies' MWBE Program, as described more fully in Article XI of these Guidelines, (ii) the establishment of appropriate goals for participation by MWBEs in Procurement Contracts awarded by the Agencies and (iii) the utilization of MWBEs as subcontractors and suppliers by Contractors having Procurement Contracts with the Agencies.

The Agencies have established numerical participation target goals identified in their MWBE Goal Plan based on the findings of the Disparity Study and directives from the Governor. For each new Contract, the Agencies shall gauge the appropriateness of the Procurement goals by considering the availability of Contractors to perform the Contract's anticipated scope of services, weighted by the extent those scope of services represent the total Contract price.

In the event the projected goals cannot be achieved, the Agencies will provide adequate documentation of a good faith effort to meet these goals in its submission of its Annual MWBE Goal Plan.

The Agencies, for the purposes of reaching these goals, shall establish procedures for maintaining list(s) of qualified and certified MWBEs, that have expressed an interest in doing business with the Agencies, and ensuring that such lists are updated periodically, but no less than once annually, and include a firm profile that will, if possible, describe the firm's history, key personnel and core work areas. The Agencies shall also consult the list(s) of certified MWBEs maintained by the Department of Economic Development, pursuant to Article 15-A.

The Agencies shall update these MWBE participation goals annually in an effort to (1) obtain the maximum feasible participation of MWBEs in Agency Contracts, (2) evaluate each Contract to determine the appropriateness of the goal, and (3) examine Agency goals to determine if their implementation will duplicate or conflict with any federal law. The Agencies shall waive the applicability of these goals to the extent of such duplication or conflict. These MWBE goals are subject to change by industry and region pursuant to findings contained within the Disparity Study of 2010, future Disparity Studies by the ESDC and Agency findings evidencing relevant industry and region-specific availability of certified MWBEs

b. Requirements to Conduct Procurements to Ensure Maximum Participation and Utilization by MWBEs. To enable the Agencies to achieve the maximum feasible portion of the Agencies' goals established in their MWBE Goal Plan, that eliminates barriers to participation by MWBEs in the Agencies' Procurements, Agency MWBE Directives shall include:

i. Measures and Procedures. The Agency shall establish measures and procedures to: (a) ensure that certified MWBEs shall be given the

opportunity for maximum feasible participation in the performance of Agency Contracts; and (b) to assist in the Agencies' identification of those Agency Contracts for which certified MWBEs may best bid to actively and affirmatively promote and assist their participation in the performance of Agency Contracts so as to facilitate the Agencies' achievement of the maximum feasible portion of the goals for Agency Contracts to such businesses. The Agencies' measures and procedures shall include the following MWBE Directives:

- (1) For competitive Procurements requiring a minimum of three bids, quotes must be obtained from at least one MBE or WBE. If not feasible, the reasons for not doing so shall be documented in writing and included in the Procurement record. Agency staff issuing solicitations will comply with this requirement whenever MWBEs are available for goods or services being procured;
 - (2) Encouraging Contractors to consider partnering with MWBEs, if feasible; and practicable; and
 - (3) For non-competitive Procurements, Agency staff issuing the solicitation shall strongly consider using a certified MWBE, if available, and if the MWBE meets the needs of the Agency.
- ii. Designation of the Division of Minority and Women-Owned Business Development ("Division of MWBEs"). The Agencies shall designate the Division of MWBEs to certify and decertify MWBEs for the Agencies.
- iii. Expected Degree of MWBE Participation. The Agencies shall require that each Contract solicitation set forth the expected degree of MWBE participation, as set forth in Article VI of these Guidelines.:
- iv. Current List of MWBEs. The Agencies shall provide a current list of certified MWBEs to each prospective Contractor, as set forth in Article VI of these Guidelines.
- v. Joint Ventures and MWBE Participation Goals. The MBE portion or the WBE portion of joint ventures shall count toward meeting the Agencies' MWBE participation goals. A firm owned by a Minority Group Member who is also a woman may be certified as a MBE, a WBE, or both, and may be counted towards either a MBE goal or a WBE goal, in regard to any Contract or any goal, set by the Agencies, but such participation may not be counted towards both such goals. Such an enterprise's participation in a Contract may not be divided between the MBE goal and the WBE goal.

- vi. Waiver of Obligations of Contractor relating to MWBE Participation. The Agencies may waive obligations of the Contractor relating to MWBE participation after a showing of good faith effort to comply with the MWBE participation requirements, pursuant Chapter 174 and Chapter 175 of the laws of 2010 that amend §2879 of the Public Authorities Law and Article 15-A, §313, subdivision six, respectively, both enacted on July 15, 2010.
- vii. Verification of MWBE Participation. The Agencies shall verify that MWBEs listed in a successful bid are actually participating to the extent listed in the project for which the bid was submitted, including verification that the procured primary Contractors are truly providing for the participation of MWBEs as described in the Procurement Contract. Participation of MWBEs shall be verified by (i) electronically monitoring and tracking the utilization, prompt payment and unauthorized substitutions of MWBE subcontractors and (ii) the provision of the following data, by the Contractor to the Agency, for each MWBE subcontract:
 - (1) name(s) of the MWBE subcontractor;
 - (2) total dollar amount of the MWBE's participation;
 - (3) scope of work of the MWBE subcontractor; and
 - (4) dates of participation.
- viii. In the implementation of this section of this Article, the Agencies shall:
 - (1). consider, where practicable, the severability of construction projects and other bundled Contracts; however, unbundling must be conducted within the constraints of the Agencies' need to ensure efficiency and limit costs;
 - (2) implement its MWBE Program to enable the Agencies to evaluate each Contract to determine the appropriateness of the goal, as set forth in this Article, which shall include:
 - (a) increasing MWBE outreach and communication efforts by use of the internet to facilitate access to information and build relationships between MWBEs and potential partners by:
 - (i) Posting a list on the Agencies' website of Agency contracting staff; and

- (ii) Requiring Agency staff to include certified MWBEs in the solicitation lists for Procurements not expected to exceed \$25,000;
 - (b) consider the number and types of MWBEs located in the region in which the Agency Contract is to be performed;
 - (c) consider the total dollar value of the Agency Contract, the scope of work to be performed, and the project size and term;
 - (d) consider whether the Contractor has advertised in general circulation media, trade association publications, and minority-focus and women-focus media and, in such event,
 - (i) whether or not certified MWBEs that have been solicited by the Contractor exhibited interest in submitting proposals for a particular project by attending a pre-bid conference; and
 - (ii) whether certified MWBEs which have been solicited by the Contractor have responded in a timely fashion to the Contractor's solicitations for timely competitive bid quotations prior to the Agency's bid date;
 - (e) consider whether there has been written notification to appropriate certified MWBEs that appear in the directory of certified MWBEs, and
 - (f) consider whether the Contractor can reasonably structure the amount of work to be performed under subcontracts in order to increase the likelihood of participation by certified MWBEs.
3. consider compliance with the requirements of any federal law concerning opportunities for MWBEs which effectuates the purpose of this Article; and
 4. consult the most recent disparity study, pursuant to Article 15-A.

ARTICLE VII

7. REQUIRED DESIGNATIONS AND DISCLOSURES UNDER LOBBYING LAW DIRECTIVES IN THE SELECTION OF PROCUREMENT VENDORS AND CONTRACTORS.

Contacts shall be regulated in accordance with Lobbying Law Directives as follows:

For any Governmental Procurement or Contract made subject to the Lobbying Law, the Agency shall notify every potential Contractor or Vendor that the Agency has a Designated Contact Officer(s) who is the only Agency representative(s) permitted to receive Designated Contacts from the Contractors or Vendors, or their representatives, during the Restricted Period with respect to such Governmental Procurement (*effective June 10, 2010, the Agencies have designated, the Vice President and Deputy Counsel or when appropriate, an Agency Senior Officer with technical knowledge of the Governmental Procurement, as the Designated Contact Officer(s) for all Governmental Procurement for which such appointment is required*). A Contractor or Vendor is restricted from making Contacts with the Agency(s) from the date of any public announcement, public notice, or public communication by any Agency to any potential Vendor of a determination of a need for a Governmental Procurement through final award and approval of the Procurement Contract by the Agency to anyone other than the Designated Contact Officer(s) with respect to the Governmental Procurement unless such communication is any one of the following Permissible Subject Matter Communications:

- (a) the submission of written proposals in response to a Request for Proposals, invitation for bids or any other method for soliciting a response from Offerers intending to result in a Procurement Contract;
- (b) the submission of written questions by a method set forth in a RFP, or invitation for bids, or any other method for soliciting a response from Offerers intending to result in a Procurement Contract, when all written questions and responses are to be disseminated to all Offerers who have expressed an interest in the RFP, or invitation for bids, or any other method for soliciting a response from Offerers intending to result in a Procurement Contract;
- (c) participation in a demonstration, conference or other means for exchange of information in a setting open to all potential bidders provided for in a RFP, invitation for bids, or any other method for soliciting a response from Offerers intending to result in a Procurement Contract;

- (d) complaints by an Offerer regarding the failure of the person or persons designated by the Agency pursuant to this section to respond in a timely manner to authorized Offerer Contacts, made in writing to the office of general counsel of the Agency, provided that any such written complaints shall become a part of the Procurement Record;
- (e) Offerers who have been tentatively awarded a Contract and are engaged in communications with the Agency solely for the purpose of negotiating the terms of the Procurement Contract after being notified of tentative award;
- (f) communications between designated staff of the Agency and an Offerer to request the review of a Procurement Contract award;
- (g) communications by Offerers in protests, appeals or other review proceedings (including the apparent successful bidder and his or her representatives) before the Agency conducting the Governmental Procurement seeking a final administrative determination, or in a subsequent judicial proceeding; or
- (h) communications between Offerers and governmental entities that solely address the determination of responsibility entity of an Offerer.

Unless the communication(s) is any one of the above Permissible Subject Matter Communications, the Vice President and Deputy Counsel or the designated Senior Officer are the only representative(s) of the Agencies permitted to receive Contacts from bidders, potential Contractors or Vendors, or their representatives, during the Restricted Period with respect to an Agency Governmental Procurement.

All Agency solicitations for proposals, bid documents and specifications for Procurement Contracts shall incorporate a summary of the Agencies' policies and prohibitions regarding Contacts under the Lobbying Law. All potential Contractors or Vendors must complete and return to the Agency with their proposal or bid response to an Agency solicitation, the *Affirmation of Understanding of and Agreement*, and *Potential Contractor or Vendor Disclosure of Prior Non-Responsibility Determinations*, Lobbying Law Forms 1 and 2, respectively. Form 1 is a written affirmation of a Contractor's or Vendor's understanding of the Governmental Procurement lobbying procedures of the Agencies and Form 2 requires the potential Contractor or Vendor to certify that all information provided to the Agencies with respect to the Lobbying Law is complete, true and accurate. Prior to awarding a Procurement Contract to which these provisions apply, the Agency shall make a final Determination of Responsibility. All solicitations for proposals by the Agency shall require that potential Contractors or Vendors disclose to the Agency any findings of non-responsibility against them within the previous four years by any other governmental agency and must contain certifications that the same are complete, true and accurate.

For Contractors or Vendors who fail to comply with the Agencies' Lobbying Law Directives, refer to Article VIII of these Guidelines and the Agencies' Lobbying Reform Law Policies.

ARTICLE VIII

8. PROMOTED AND PROHIBITED CONTRACTS & CONTRACTS SUBJECT TO OTHER LIMITATIONS

Notwithstanding the general practices of the Agencies with respect to selection of Contractors and Vendors and adherence to competitive practices, as set forth in in these Guidelines, the following shall apply or be given weight in order that certain Contracts, or the award thereof, may be promoted, prohibited or subject to certain limitations.

a. Promoted Contracts. It is the policy of the Agency to promote certain contracts as follows:

i. Minority- and Women-Owned Business Enterprises. It is the policy of the Agencies to promote and encourage the use of MWBEs and New York State subcontractors and suppliers in competition for Procurement Contracts. Furthermore, for Procurements anticipated to be in the amount of \$25,000 or less, if the performance of any Contract requires or permits the use of a subcontractor, it is preference of the Agencies to encourage the participation of MWBEs, as set forth in these Guidelines. The Agencies encourage bidders to include demonstrations that their selection promotes the use of MWBEs in bid responses, for example, through proposals for joint ventures with MWBEs. Procurements exceeding \$25,000 must include MWBE participation goals in solicitation documents.

In order to promote and assist participation by, and facilitate the awarding of a fair share of Contracts to, MWBEs, the Agencies have identified the following services as those areas or types of Contracts for which MWBEs may best bid: Archival Off-Site Services; Audit/Accounting Services; Appraisal Services; Architectural/Engineering Services; Equipment Maintenance Services; Information Technology Consulting/Services; Investment Banking Services; Legal Services; Management Consulting Services; and Printing Services; and Temporary Employee Services.

ii. New York State Business Enterprises and New York State Residents. It is the goal of the Agencies to promote the participation of New York State Business Enterprises and New York State residents in Procurement Contracts. Accordingly, the following procedure shall apply:

- (1) The Agencies shall collect and consult the specifications of NYSBEs in developing specifications for any Procurement Contract for the purchase of goods where possible, practicable, feasible and consistent with open bidding, except for Procurement Contracts for which the Agency would be expending funds received from another state. The Agencies shall, where feasible, make use of the stock item specification forms prepared by the State Commissioner of General Services, and where necessary, consult with the State Commissioner of the Office of General Services, in developing such specifications and make such determinations;
- (2) The Agencies shall, with the cooperation of the Department of Economic Development and through cooperative efforts with Contractors and Vendors, (i) notify NYSBEs of opportunities to participate as subcontractors and suppliers on Agency Procurement Contracts in amounts estimated to be equal to or greater than \$1,000,000 and (ii) promulgate procedures which will assure compliance by Contractors and Vendors with such notification. Once awarded the Contract, such Contractors shall document their efforts to encourage the participation of NYSBEs as suppliers and subcontractors on Procurement Contracts equal to or greater than \$1,000,000, pursuant to §2879 of the Public Authorities Law;
- (3) The Agencies shall, with the cooperation of the Community Services Division of the Department of Labor and through cooperative efforts with Contractors and Vendors, notify New York State residents of employment opportunities arising out of Procurement Contracts let by the Agencies in an amount estimated to be equal to or greater than \$1,000,000. Contractors shall, as supplementary materials to their bids, document their efforts to provide such notification.
- (4) The Agency shall include in all bid documents, (i) a statement notifying potential bidders located in foreign countries that the Agency may assign or otherwise transfer offset credits created by the Procurement Contract to third parties located in New York State and (ii) a provision for the assignment or other form of transfer of offset credits created by such Procurement Contracts, directly or indirectly, to third parties located in the State. Such assignment or other form of transfer shall be in accordance with the written directions of the Commissioner of Economic Development. The Agency shall cooperate with the Department of Economic Development in efforts to get foreign countries to recognize offset credits assigned or transferred to third parties located in New York State created by the Agency's Procurement Contracts.

- iii. Businesses with Anti-discriminatory Employment Practices. It is the Agencies' policy to have procedures in place that will ensure, to the extent of the Agencies' ability, that Contractors and Vendors comply with the federal Equal Employment Opportunity Act of 1972, as amended.

For any Contractor or Vendor with fifteen or more employees responding to an RFP, RFQ, IFB or other type of invitation for bids, included with such response must be a statement disclosing whether the Contractor or Vendor is currently operating under or negotiating, or has at some time in the last five years operated under or negotiated, a conciliation agreement with the Equal Employment Opportunity Commission ("EEOC"); has been, at some time in the last five years, or is currently the subject of a civil action brought against it by the EEOC; has been, at some time in the last five years, or is currently the subject of an action brought against it by the EEOC for permanent, temporary or preliminary relief; has operated, at some time in the last five years, or is currently operating under an order of a court to take affirmative action as a result of a civil action brought against it by EEOC.

The Agencies shall state in each Contract entered into with a Contractor or Vendor with fifteen or more employees, that it is an unlawful employment practice for such Contractor or Vendor to fail or refuse to hire or to discharge any individual, or otherwise to discriminate against any individual with respect to the individual's compensation, terms, conditions, or privileges of employment, or to limit, segregate, or classify employees or applicants for employment in any way which would deprive or tend to deprive any individual of employment opportunities or otherwise adversely affect an individual's status as an employee, because of such individual's race, color, religion, sex, or national origin, or because an individual opposed any practice made unlawful by Title VII of the Civil Rights Act of 1964, as amended, or because he or she made a charge, testified, assisted, or participated in any manner in an investigation, proceeding, or hearing under that Title; and that it shall be an unlawful employment practice to print or publish or cause to be printed or published any notice or advertisement relating to employment indicating any preference, limitation, specification, or discrimination on the basis of race, color, religion, sex, or national origin.

The Agencies shall state in each Contract entered into with a Contractor or Vendor with fifteen or more employees, that such Contractor or Vendor shall (1) make and keep such records relevant to the determinations of whether unlawful employment practices have been or are being committed, (2) preserve such records for such periods as the EEOC shall prescribe by regulation, and (3) make such reports therefrom as the EEOC shall prescribe by regulation or order.

The Agencies shall state in each Contract entered into with a Contractor or Vendor with fifteen or more employees, that such Contractor or Vendor must post and keep posted in conspicuous places upon its premises where notices to employees and applicants for employment are customarily posted a notice prepared or approved by the EEOC setting forth excerpts from, or summaries of, pertinent provisions of Title VII of the Civil Rights Act of 1964, as amended, and information pertinent to the filing of a complaint.

The Agencies' goal is to award Contracts to those Contractors and Vendors who have evidenced compliance with the laws of the State prohibiting discrimination in employment. The Agencies recognize that this goal may be achieved by awarding Procurement Contracts to those firms who have demonstrated that they do not discriminate with respect to employment.

For all Personal Services Contracts over \$25,000, and for all Contracts for goods and materials over \$100,000, bidders shall submit to the Agencies data regarding the race and gender of their partners, members and employees by job category. Bidders whose Affirmative Action plans are not found acceptable to the Agencies shall be rejected.

- b. Prohibited Contracts and Contracts Permitted Subject to Specified Exceptions or Limitations. It is the policy of the Agencies that certain Contracts be prohibited or permitted only subject to certain exceptions or limitations as follows.
 - i. Special Criteria Rule for Evaluation of Architects, Engineers and Surveyors. For purposes of this subparagraph, the term "Professional Firm" shall be defined as any individual or sole proprietorship, partnership, corporation, association, or other legal entity permitted by law to practice the professions of architecture, engineering, or surveying. The Agency shall not refuse to negotiate with a Professional Firm solely because the ratio of the "allowable indirect costs" to direct labor costs or the hourly rate in any labor category of the Professional Firm exceeds a limitation generally set by the Agency in the determination of the reasonableness of the estimated cost of services to be rendered by the Professional Firm, but rather the Agency should also consider the reasonableness of cost based on the total estimated cost of the service of the Professional Firm which should include, among other things, all the direct labor costs of the Professional Firm for such services plus all "allowable indirect costs," other direct costs, and negotiated profit of the Professional Firm. For purposes of this subparagraph, "allowable indirect costs" of a Professional Firm are defined as those costs generally associated with overhead which cannot be specifically identified with a single project or Contract and are considered reasonable and allowable under specific Contract or allowability limits.

- ii. Contracts with Businesses with Operations in Northern Ireland. In accordance with the MacBride Fair Employment Principles (Chapter 807 of the Laws of 1992), the Agencies shall not enter into Procurement Contracts with Vendors who have operations in Northern Ireland unless the Agencies receive contractual assurance that the Contractor shall take lawful steps in good faith to conduct any business operations in Northern Ireland in accordance with the MacBride Fair Employment Principles (as described in §165 of the New York State Finance Law), and agrees to permit independent monitoring of its compliance with such principles.
- iii. Contracts with Foreign Business Enterprise. The Agencies shall notify the New York State Commissioner of Economic Development (“Commissioner”) of the award of a Procurement Contract for the purchase of goods from a Foreign Business Enterprise in an amount equal to or greater than \$1,000,000, simultaneously with notifying the successful bidder therefor. The Agencies shall not thereafter enter into a Procurement Contract for said goods until at least 15 days have elapsed, except for Procurement Contracts awarded as Emergency Selection Contracts or where the Commissioner waives the provisions of this section. The notification to the Commissioner shall include the name, address and telephone and facsimile numbers of the Foreign Business Enterprise, a brief description of the goods or services to be obtained pursuant to the proposed Procurement Contract, the amount of the proposed Procurement Contract, the term of the proposed Procurement Contract, and the name of the individual at the Foreign Business Enterprise or acting on behalf of the same who is principally responsible for the proposed Procurement Contract. *(The purpose of such notification is solely to allow the Commissioner to use the information to provide notification to NYSBEs of opportunities to participate as subcontractors and suppliers on such Procurement Contracts; to promote and encourage the location and development of new business in the State; to assist NYSBEs in obtaining offset credits from foreign countries; and to otherwise investigate, study and undertake means of promoting and encouraging the prosperous development and protection of the legitimate interest and welfare of NYSBEs, industry and commerce.)*
- iv. Contracts with Discriminatory Jurisdiction Business Enterprises. The Agencies shall not, except as hereinafter provided, solicit bids from, or enter into a Procurement Contract with, a Foreign Business Enterprise which has its principal place of business in a jurisdiction that discriminates against New York businesses, as contained on the list prepared by the Commissioner pursuant to §165(6)(b) of the State Finance Law. *(Currently, as of the date of these revisions of these Guidelines, the states of Alaska, Hawaii, Louisiana, South Carolina, West Virginia and Wyoming have discriminatory policies against New York State bidders.)* The Agencies may waive this section only when the President, or a Senior Officer

designated by the President, determines in writing that it is in the best interest of the State to do so.

v. Vendors Failing to Comply with Lobbying Law Directives. The Agencies shall not enter into Contracts with Contractors or Vendors when:

- (1) proposed Vendor or Contractor has failed to timely disclose accurate and complete information or otherwise cooperate with the Agencies in administering the Lobbying Law Directives; or
- (2) there has been a finding that an Offerer has knowingly and willfully violated the provisions set forth in Article VII . of these Guidelines and the Agencies' Lobbying Reform Law Policies. This finding shall also result in a determination of non-responsibility against the Offerer. *(Violations of the Lobbying Law are expected to typically involve Contacts made to persons at the Agencies other than the Designated Contact Officer(s)).*

The Agencies shall not enter into Contracts in the case of either (1) or (2) of this subparagraph (v), section (b) of this Article, unless the Agencies determine that the award of the Procurement Contract:

- (a) is necessary to protect public property or public health or safety, and
- (b) that the Contractor or Vendor is the only source capable of supplying the required goods or services within the necessary time frame.

In order for the Agency determinations in (1) and (2) (a) and (b) above to be effective as exceptions, the above required findings, including a statement describing the basis of such determination by the Agency must be made a part of the Procurement Record.

Any subsequent determination of non-responsibility due to violations of the requirements of the Lobbying Law, if such determination is separated by less than four years, shall result in the proposed Vendor or Contractor being rendered ineligible to submit a proposal on or be awarded any Procurement Contract for a period of four years from the date of the second final determination of non-responsibility.

vi. Contracts with Former Agency Officers and Employees. The Agencies shall not enter into Contracts which contemplate, violate or affirmatively, by their terms, allow former Officers and Employees of the Agencies to violate §73 (8) (a) of the State Ethics Law. Specifically, and not by way of limitation, (except for employment contracts pursuant to which former Employees resume employee status to again work directly for the Agencies), the Agencies shall not enter into Contracts which provide for or

permit a former Officer or Employee of the Agencies, either as an individual contracting directly with the Agencies or as an officer or employee of a private business entity, to appear, practice, communicate or otherwise render services before the Agencies or receive compensation for any such services rendered by such former Officer or Employee on behalf of any person, firm, corporation or other entity in relation to any case, proceeding, application or transaction:

- (1) with respect to which such Officer or Employee was directly concerned and in which he or she personally participated during the period of his or her service or employment, or which was under his or her active consideration or over which that Employee or Officer exercised decision-making power during the performance of his or her official duties at the Agencies, or
- (2) in connection with any matter before the Agencies or its business for a period of two years after termination of such service or employment.

If the President deems it appropriate, the preceding prohibitions may be temporarily waived provided that, prior thereto, the State Ethics Commission grants an exception in accordance with the requirements of Chapter 523 of the Laws of 2004, or, for employees who left Agency employment before December 31, 1996 and otherwise qualify, a waiver has been granted pursuant to the provisions of Chapter 229 of the Laws of 1995. Notwithstanding the foregoing, the preceding prohibitions shall not apply when a former Officer or Employee carries out official duties as an elected official or employee of a federal, state or local government, or any agency of such government. Thus, a former Employee may appear, practice, communicate or render compensated services before the Agencies if he or she is acting as an elected official or employee of a federal, state or local government or one of its agencies. This exception applies only to government officials and employees; it does not apply to paid consultants of government entities.

In addition, in determining whether or not to enter into Contracts with respect to which any former Officer or Employee of the Agency plays a role, and with respect to the ethical administration thereof, the Agencies shall give due consideration to whether the execution or administration of the Contract raises an appearance of impropriety.

The Agencies shall, as it deems appropriate, include provisions in its Contracts to effect the purposes of this section.

ARTICLE IX

9. GENERAL CONTRACT PROVISIONS AND CONTINUING EVALUATION OF PROCUREMENT CONTRACTS IN EFFECT FOR LIMITED TERMS.

- a. General Contract Provisions. The Agencies shall include general Contract provisions in its Procurement Contracts, as follows:
 - i. In Writing and Duly Executed. All Procurement Contracts shall be in writing and shall, at a minimum, be duly executed by an individual empowered to do so in accordance with the Agency By-Laws and, as the case may be, the provision for delegation of signing authority thereunder.
 - ii. Scope and Description. Procurement Contracts shall specifically provide for a scope of services indicating the nature of the work to be performed or goods to be provided, and for the time for performance, the monitoring or reviewing of that performance by personnel of the Agencies, any conditions generally applicable to Contracts with the Agency(s), any applicable provisions for insurance, and, where appropriate, any permitted use of supplies, facilities or personnel of the Agencies.
 - iii. Compensation and Payment Terms. Such Procurement Contracts shall also state the compensation for the goods or services, and the terms of payment including the conditions for receiving payment from the Agencies.
 - iv. Non-collusion. Formal Contracts shall, whenever appropriate, include Contractor Certifications that:
 - (1) The prices in the bid(s) or proposal(s) were arrived at independently, without collusion, consultation, communication, or agreement for the purpose of restricting competition, or as to any matter relating to such prices with any other Contractor or with any competitor.
 - (2) Unless otherwise required by law, the prices which have been quoted in the bid(s) or proposal(s) were not knowingly disclosed by a Contractor prior to the opening of bid submissions, directly or indirectly, to any other Contractor or to any competitor.
 - (3) No attempt was made or will be made by the Contractor to induce any other person, partnership or corporation to submit or not submit bid(s) or proposal(s) for the purpose of restricting competition.

- v. False or Inaccurate Lobbying Law Directives Certifications. Every Governmental Procurement with an estimated annual expenditure over \$15,000 shall contain:
 - (1) certifications that the representations required by the Lobbying Law Directives, if applicable, are complete, true and accurate, and
 - (2) a provision authorizing the Agency(s) to immediately terminate such Contract in the event that any certification in accordance with the provisions of the Lobbying Law Directives is found to be intentionally false or intentionally inaccurate.
 - vi. Prohibitions and violations in Contracts. In accordance with § 316-a of Article 15-A, Contracts shall include a provision expressly providing that any Contractor who willfully and intentionally fails to comply with the minority and women-owned participation requirements, as set forth in such Contract shall be liable to the Agencies for liquidated or other appropriate damages and shall provide for the appropriate remedies on account of such breach. If the Agencies elect to proceed against a Contractor for breach of Contract, the Agency shall be precluded from seeking enforcement pursuant to §316 of Article 15-A, provided however, that the Agency shall include a summary of all enforcement actions undertaken in its Annual MWBE Goal Plan, in accordance with subdivision three of §315 of Article 15-A and Article XII of these Guidelines.
- b. Continuing Evaluation of Procurement Contracts in Effect for Limited Terms.
- i. Limitation of Contract Terms. In order that the Agencies may enter into new Procurement Contracts for the Procurement covered as soon as might be desirable, Procurement Contracts should not commit the Agency(s) to continue to use Contractors for longer than is desirable to achieve the Contract objectives, such as obtaining the Contractor's commitment to perform services at a reasonable price. Unless specifically permitted by a resolution of the Agency's Members or Directors, Procurement Contracts shall be for a term not exceeding one year and shall be terminable by the Agency, at its option, without cause, within a period that is less than a year into the future.
 - ii. Continuing Evaluation of Procurement Contracts and Panels. Every Procurement Contract under which services are currently being performed or goods or materials provided shall be continually evaluated by a designated Officer or Employee. Such Officer or Employee shall review and approve all bills to be paid and continually evaluate the Contractor's performance. Such Officer or Employee shall continually give consideration to whether the further use of the Contractor's services and continuation of the Procurement Contract is desirable. Such consideration

shall extend to making a determination, at least annually, of when it would be most appropriate and effective to award the Procurement Contract again through a new competitive selection process such as a new Request for Proposals. A determination not to enter into a new competitive award process immediately can be supported, in part, by verification that services are still being provided at competitive rates, but such verification shall not be determinative of whether a new competitive process should commence. Part of the required annual review and recertification to the Agencies' Procurement Contract Officer of Agency panels shall be a consideration of whether it would be appropriate and effective to renew the competitive selection process for Procurement Contracts with firms on the panels, including, but not limited to, doing so through the issuance of a new Request for Qualifications to reestablish the panel. Any determination not to enter into a new competitive award process, as a result of which a Contract would exceed a projected five years without a new competitive award process being conducted, shall require the affirmative concurrence of each Agency's Governance Committee included in a resolution adopted by each Agency's Governance Committee, as required by Article X of these Guidelines. Such affirmative concurrence shall not be required in relation to Single Source Contracts, Sole Source Contracts, existing State Contracts or existing GSA Contracts.

ARTICLE X

10. REQUIRED AGENCY APPROVALS

- a. Directors' or Members' and/or Governance Committees' Approval. All Contracts where compensation is expected to be in an amount of \$100,000 or more, as well as any Contracts involving services to be provided in excess of one year, shall require initial approval of the Directors or Members of each Agency's Governance Committee or the Agency's Members or Directors. Unless specifically permitted by a resolution of the Agency's Governance Committee or the Members or Directors, Procurement Contracts shall be for a term not exceeding one year and shall be terminable by the Agency(s), at its option, without cause, within a period that is less than a year into the future. The President, or a Senior Officer designated by the President, may submit other Contracts as he or she deems appropriate to the Members or Directors for their consideration and approval.
- b. Directors' or Members' and/or Governance Committees' Annual Review. The Directors and Members shall, at least annually, review any Contract lasting more than a year, each January, as part of the approval of the Annual Report on Procurement Contracts. The Governance Committees will annually review Contracts bundled with similar like goods and/or services. Contracts considered as lasting for more than a year for this purpose shall include Contracts where the

Contract itself, by virtue of its stated terms, has a period of longer than a year, and in addition, shall include Contracts where, by virtue of renewal or execution of new or subsequent Contracts, without an intervening Contractor or Vendor Selection Process, the Agency's contractual relationship with the Vendor or Contractor continues for more than a year. Annual approval or review by each Agency's Governance Committee shall be as follows:

- i. Provided that timely annual review for each Contract is effected, firms on Agency panels can be brought for annual review:
 - (1) collectively, or in such combinations as are deemed appropriate, on a single annual review anniversary, or
 - (2) individually based on the dates that Procurement Contracts first required Member and/or Director approval.
- ii. Any determination not to enter into a new competitive award process, pursuant to which a Contract would exceed a projected five years without a new competitive award process, shall require the affirmative concurrence of each Agency's Governance Committee included in a resolution adopted by each Agency's Governance Committee. Such affirmative concurrence shall not be required in relation to Single Source Contracts, Sole Source Contracts, existing State Contracts, or existing GSA Contracts. In any case, any Contract in excess of a \$100,000 in amount or more than one year in duration must be initially approved by the Agency's Governance Committee and annually reviewed by the Agency's Governance Committee.
- c. Execution of Procurement Contracts. All Procurement Contracts shall be executed by the President, or a Senior Officer, as defined under the Agencies' By-Laws or by such Vice President to whom execution authority has been appropriately delegated in writing by a Senior Officer.
- d. Approval of Procurement Contracts by the Senior Vice President and Counsel. The Senior Vice President and Counsel shall approve, as to legal compliance, all Procurement Contracts. The consideration shall include the legal form and efficacy of the Procurement Contract. The Agencies' Legal Department may evidence such approval by Counsel by:
 - i. Signing "Approved as to form" on any Formal Contract so approved;
 - ii. In connection with a closing managed by the Legal Department, approving the closing and, as necessary, delivering accompanying opinions in connection therewith; or

- iii. Making such arrangements as are acceptable to the Counsel to assure that the form of Contract is legally acceptable and approved by Agency Counsel.

ARTICLE XI

11. ADMINISTRATION OF PROCUREMENT, RECORDS AND RESPONSIBILITIES OF AGENCY OFFICERS AND EMPLOYEES

- a. Procurement Record. A Procurement Record shall be maintained for each Procurement requiring any Formal Contract and such other Procurement as the Procurement Contract Officer deems appropriate, or as State law requires, identifying, with supporting documentation, decisions made by the Agency during the Procurement process. The Procurement Record shall include, but not be limited to, documentation of: (1) the determination of the method of Procurement from among the available methods permissible under these Guidelines (*particularly, if there is a determination of an Emergency Selection Contract, Sole Source Contract or Single Source Contract*); (2) the process to be used to determine best value, the manner in which the selection of evaluation criteria and the evaluation process shall be conducted, and the evaluation criteria, which, whenever possible, shall be quantifiable; and (3) the basis of award and circumstances leading to the selection of the Vendor, including the alternatives considered, the rationale for selecting the specific Vendor and the basis upon which cost was determined reasonable. To the extent practicable, the Agencies shall document all aspects of the solicitation process in advance of the initial receipt of offers. Each amendment to an existing Contract, and the justification for each, shall also be included in the Procurement Record. Determinations of emergency with respect to Emergency Selection Contracts and Emergency Foreign Business Enterprise Contracts shall be included in the Procurement Record.

Annual certifications of panels should be made a part of the Procurement Record.

With respect to the Lobbying Law Directives, the Procurement Record shall include complete information related to: (i) written certifications by the Contractors or Vendors with respect to affirmations that the Contractor or Vendor understands the Lobbying Law Directives and (that the Agency(s) has been informed in writing of the Vendor's prior determinations of non-responsibility over the previous four years, and that this information is complete, true and accurate; (ii) Determinations of Responsibility by the Agency;; (iii) findings of non-responsibility, whether by the Agency(s) or by other governmental entities; (iv) a record of all Contacts during the Restricted Period, including the name of the person making the Contact, as well as that person's organization, address, telephone number, place of principal employment, occupation, and whether the person/organization making the Contact was the Offerer or was retained, employed or designated by or on behalf of the Offerer to appear before or communicate with the Agency; ;(v) if applicable, a

statement regarding the basis for any required finding that the Agency may enter into a Contract with a Contractor or Vendor who has previously been the subject of any determinations of non-responsibility; and (vi) any determination to terminate a Contract pursuant to the Lobbying Law Directives .

The Procurement Record is a place where the Agencies can clearly document, as considered appropriate, the need for the Contract; required specifications; and the ways in which a competitive field, fair and equal opportunity for Vendors, which shall include, but not be limited to, certified MWBEs, and a fair and balanced method of selection have been ensured.

The Procurement Record shall be maintained at least throughout the period the Contract and any extensions thereof are in effect and for a reasonable period of time thereafter.

- b. Procurement Contract Officer. The Procurement Contract Officer's responsibilities shall include keeping such portions of the Procurement Record as the Procurement Contract Officer deems appropriate, monitoring compliance with proper contracting procedures and adherence to these Guidelines.

Among the Procurement Contract Officer's responsibilities shall be the determination of when certain portions of these Guidelines shall apply to a Contract by virtue of Contract expenditures, in the aggregate, or sequential periods of time, reaching applicable thresholds stated herein. In addition, for Contracts of less than \$500 per year, which are terminable at any time by the Agency(s) with less than 90 days notice, the Procurement Contract Officer may determine that such Contracts shall be considered Contracts not exceeding one year for purposes of these Guidelines.

The Procurement Contract Officer may provide guidance and counsel about proper administration of the Procurement process and Contracts but shall not be a principal directly responsible for administering any Agency Contract. The Procurement Contract Officer should be available for counsel and guidance respecting the Procurement selection process but should not be directly involved as an actual selector of Vendors.

The Procurement Contract Officer shall encourage and promote good Procurement practices, including but not limited to, proper and coordinated management of Contracts, desirable Vendor selection practices, and informed and careful bill approval procedures. Among other things, it is generally desirable that there be a single individual designated to manage each Procurement Contract, including renewals and amendments thereto, reporting thereon, and bill approvals, (*and excluding receipt of Designated Contracts*), and that individuals managing different Contracts in the same area or from the same Vendors coordinate their work.

The Procurement Contract Officer shall, from time to time, issue such reports on Procurement as shall be appropriate or required including the Procurement Reports required under these Guidelines.

The Procurement Contract Officer shall notify the Office of General Services of all Contractors who, with respect to the Lobbying Law, have been the subject of determinations of non-responsibility by the Agency or who have been debarred.

The Procurement Contract Officer should periodically review and assess the adequacy of these Guidelines and, as appropriate, recommend changes for approval.

The Procurement Contract Officer may grant temporary technical exceptions to these Guidelines for Contracts, other than Formal Contracts, provided that such exceptions appear in the Procurement Contract Record, and that attorneys under the supervision of the Senior Vice President and Counsel determine the exceptions legally appropriate.

- c. Designated Contact Officer(s). The Agencies have designated the Vice President and Deputy Counsel, or when appropriate, an Agency Senior Officer with technical knowledge of the Governmental Procurement, as the Designated Contact Officer(s) for all Governmental Procurement for which such appointment is required. In accordance with the provisions of the Lobbying Law Directives, the Designated Contact Officer, for any given Governmental Procurement or Procurement Contract, is intended to be, by virtue of his or her designation as such, the recipient of any Designated Contacts with respect to the Governmental Procurement for which he or she has been designated. The Designated Contact Officer shall have ready access to, and shall refer to, as appropriate, the Contractors' and Vendors' written affirmations of their understanding of the Agencies' Governmental Procurement lobbying procedures along with all disclosures Contractors or Vendors have provided of any findings of any determinations of non-responsibility against them under the Lobbying Law. Prior to the Agencies' awarding of a Procurement Contract to which these provisions apply, it shall be the Designated Contact Officer's responsibility to consult with the Ethics Officer and to likewise consult at any appropriate time thereafter.
- d. Designated MWBE Officer(s). The Agencies' President shall appoint a Designated MWBE Officer(s) to oversee the Agencies' MWBE Program established to promote and assist: (i) participation by certified MWBEs in the Agencies' Procurement opportunities and facilitation of the award of Procurement Contracts to such enterprises; (ii) the utilization of certified MWBEs as subcontractors and suppliers by entities having Procurement Contracts with the Agencies; and (iii) the utilization of partnerships, joint ventures or other similar arrangements between certified MWBEs and other entities having Procurement Contracts with the Agencies. The Designated MWBE Officer(s) shall be familiar with the

Procurement of the types of construction, financial, legal or professional services utilized by the Agencies, report directly to the Agencies' President and, either directly or through their designees, participate in the Procurement process.

- e. Ethical Administration of Contracts, Compliance with the Lobbying Law Directives: Responsibility of Officers and Employees. It shall be the responsibility of the Procurement Contract Officer, the Ethics Officer, the Designated Contact Officer(s), the MWBE Officer(s), and all Officers and Employees to ensure that Contracts of the Agencies are administered ethically with due regard for all State ethics laws and Lobbying Law Directives. Determinations respecting ethical contract administration shall be made by the Ethics Officer, to whom any allegations of impropriety or unethical administration may be reported. The Ethics Officer shall also be responsible for reviewing, investigating, monitoring and imposing sanctions relating to any noncompliance with Lobbying Law Directives. The Procurement Contract Officer shall report to the Ethics Officer such allegations of impropriety or unethical administration of Procurement, or violations of the Lobbying Law Directives, as may come to the Procurement Contract Officer's attention. Agency Officers and Employees including, but not limited to, the Designated Contact Officer(s), shall report to the Ethics Officer any allegations of impropriety or unethical administration of Procurement or violations of the Lobbying Law Directives that come to their attention. If the Ethics Officer determines that sufficient cause exists to believe that an allegation concerning a violation of the Lobbying Law Directives is true, the Ethics Officer shall give the respective Contractor or Vendor reasonable notice that an investigation is ongoing and an opportunity to be heard in response to the allegation.

Prior to the awarding of a Procurement Contract by the Agency to which the Lobbying Law Directives' provisions apply, and any time thereafter, it shall be the Ethics Officer's responsibility to consult with the Designated Contact Officer(s) and make other appropriate inquiries so as to make the findings as to whether there were any certifications in relation to the provisions of the Lobbying Law Directives that were intentionally false or intentionally inaccurate so that the Agency would have right to terminate such Contract. If the Agency(s) terminates a Procurement Contract under these termination provisions, it shall be the Designated Contact Officer's responsibility to provide the statement describing the basis for such action for inclusion in the Procurement Record.

In order to comply with the Lobbying Law Directives, all Employees must cooperate and participate in the recording of Contacts with respect to which the Lobbying Law Directives apply. The record of a Contact shall include the name, address, telephone number, place of principal employment, and occupation of the person or organization. Employees must also inquire about, and record, whether the person or organization making the Contact was the Offerer, or was retained by the Offerer to contact the Agency(s) about the Procurement. Employees must

report all recorded Contacts to the Procurement Contract Officer for inclusion in the Procurement Record of the Procurement Contract.

If the Ethics Officer finds a knowing and willful violation of the Lobbying Law Directives by any Employee, the Ethics Officer shall report the violation to the President.

It is expected that the Ethics Officer will confer, as appropriate, with the Senior Vice President and Counsel with respect to allegations of unethical conduct or violations of the Lobbying Law Directives or other violations of law and nothing in any of the forgoing is to be taken to preclude individuals from also contacting the Senior Vice President and Counsel directly with respect to any such allegations.

ARTICLE XII

12. REPORTS ON PROCUREMENT

- a. Annual Procurement Report (“Annual Report”). Within 90 days after the conclusion of each fiscal year shared by the majority of the Affiliated Agencies (*October 31*), *excluding the Housing Trust Fund Corporation*, the Members and Directors of the Agencies shall approve an Annual Report summarizing Procurement activity for the period of the Annual Report. Such Annual Report will include these Guidelines, an explanation of these Guidelines and any amendments thereto since the last Annual Report. The Annual Report describing Procurement activity shall include: (a) a listing of all Procurement Contracts entered into; (b) all Contracts entered into with NYSBEs and the subject matter and value thereof; (c) all Procurement Contracts entered into with certified MWBEs and the subject matter and value thereof, all referrals made and all penalties imposed, pursuant to §316 of Article 15-A; (c) all Contracts entered into with Foreign Business Enterprises and the subject matter and value thereof; (d) the selection process used to select such Contractors; (e) all Procurement Contracts which were exempt from the publication requirements of Article 4-C of the Economic Development Law, the basis for any such exemption; and (f) the status of existing Procurement Contracts.

Such Annual Report shall list for each Contract the following information:

- i. a description of the duties performed by the Contractor;
- ii. the date of the Contract and its duration;
- iii. the total value of the Contract;
- iv. the full name and address of the Contractor;

- v. the status of the Contract, including the amount spent or other considerations given pursuant to the Contract during the reporting period and for the life of the Contract to date;
- vi. whether the Contractor is a certified Minority or Women-Owned Business Enterprise; and
- vii. the total number of bids or proposals received prior to the award of the Contract.

The Annual Procurement Report, after being approved by the Members and Directors, shall be filed to the Division of the Budget and the Department of Audit and Control using the Public Authorities Reporting Information System (“PARIS”) on-line Reporting System, with copies of this report to the Department of Economic Development, the Senate Finance Committee and the Assembly Ways and Means Committee.

Copies of the Annual Procurement Report shall also be available to the public upon reasonable request at the Agencies' main office.

- b. Quarterly Procurement Report(s) (“Quarterly Report(s)”). Within 90 days after the conclusion of each quarter of the fiscal year shared by the majority of the Affiliated Agencies (*January 31, April 30, July 31 and October 31 and excluding the Housing Trust Fund Corporation*), the Agencies’ Members and Directors shall review a Quarterly Report. Each Quarterly Report shall describe the quarter's Procurement activity and shall include the same summary of activity information as is required in the Annual Procurement Report.
- c. Consolidation of Procurement Reports. The Annual Procurement Reports and the Quarterly Procurement Reports for each of the Affiliated Agencies (excluding the Housing Trust Fund Corporation), may, respectively, as determined by the President and a Senior Officer designated by the President, be consolidated annual or quarterly reports for all the Affiliated Agencies (excluding the Housing Trust Fund Corporation), to the extent that the President or designated Senior Officer determines that doing so will be more elucidating.
- d. Annual MWBE Goal Plan (“MWBE Goal Plan”). The Agencies shall report, annually, to the Governor, Legislature and the MWBE Director, on various issues pertaining to Procurements relating to MWBE, in accordance with Article VI of these Guidelines and Article 15-A, including but not limited to:
 - i. the annual goals, identified in the Agencies’ Annual MWBE Goal Plan, for Contracts with MWBEs;

- ii. providing adequate documentation of a good faith effort to meet the Agency goals described in the Agencies' Annual MWBE Goal Plan, in the event that the Agency projected goals cannot be achieved;
- iii. the number of actual Contracts issued to MWBEs;
- iv. the activities undertaken to promote and encourage Procurement opportunities of Minority Group Members and women and promote and increase participation by certified businesses with respect to Agency Contracts and subcontracts;
- v. Agency Contracts for leases of real property by the Agency(s) to a Lessee where: the terms of such leases provide for the construction, demolition, replacement, major repair or renovation of real property and improvements thereon by such Lessee; and the cost of such construction, demolition, replacement, major repair or renovation of real property and improvements thereon exceeds the sum of \$100,000;
- vi. a summary of all enforcement actions undertaken by the Agency against a Contractor for breach of Contract pursuant to §316-a of Article 15-A and Article IX. of these Guidelines; and
- vii. a summary of all waivers, defined in Article VI of these Guidelines, permitted by the Agencies during the period covered by the MWBE Report, including:
 - (1) a description of the basis of the waiver request; and
 - (2) the rationale for granting any such waiver.

ARTICLE XIII

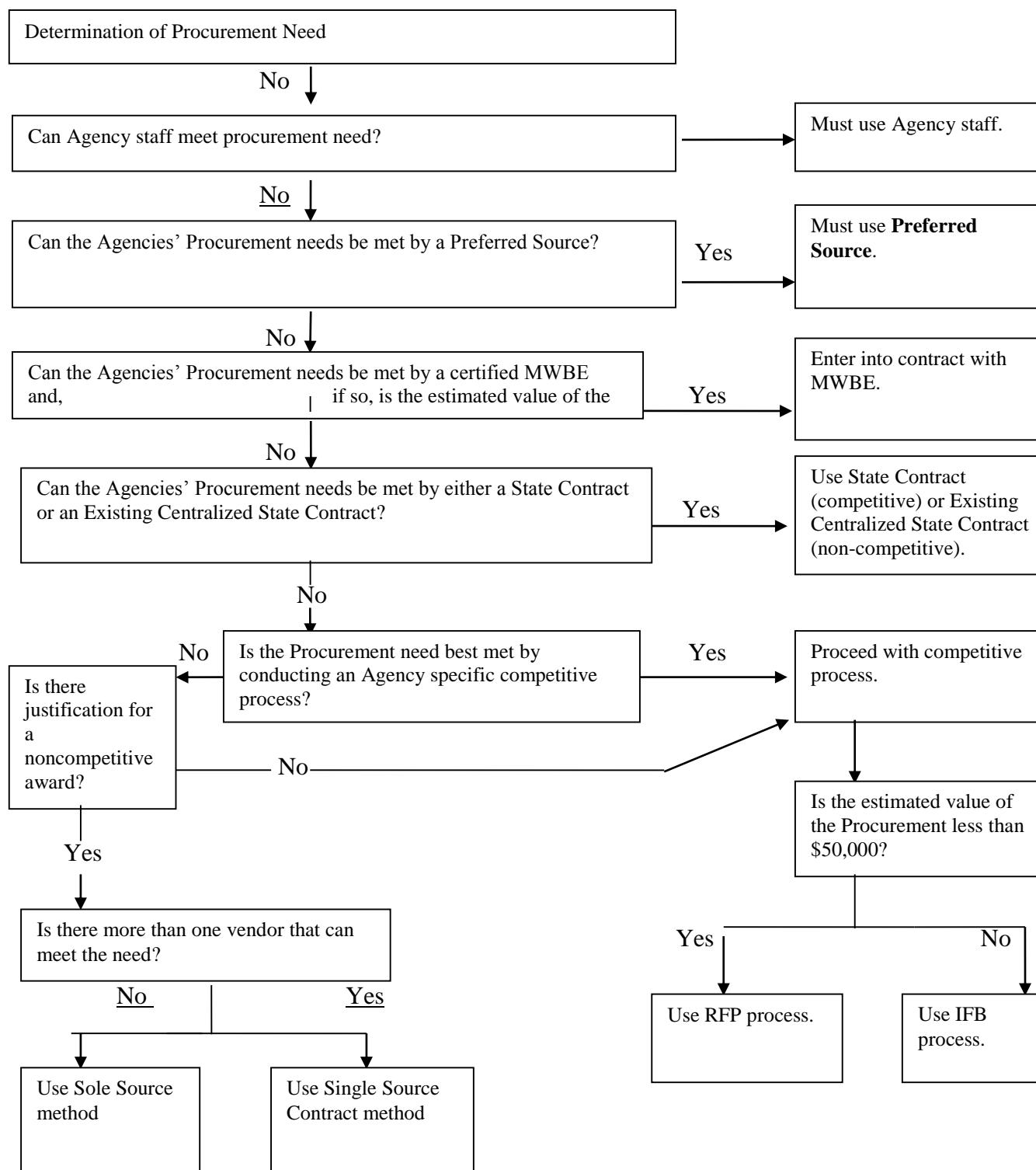
13. MISCELLANEOUS PROVISIONS

- a. Powers of Amendment. Any modification or amendment of these Guidelines may be made by a Supplemental Resolution adopted at any duly constituted Members' or Directors' meeting; provided, however, that no such modification or amendment shall abrogate the rights and duties of existing Agency Contracts, the terms of which were established pursuant to these Guidelines; and further provided that the President may make non-material changes in these Guidelines.
- b. Supplementation with Procedural Handbooks, Practice Manuals and Other Directives. These Guidelines are only intended to provide the general framework for Agency Procurement practices. These Guidelines are not intended to preclude

supplementation of the Guidelines through the promulgation of more specific procedural handbooks, practice manuals, or other directives and guidance as may be issued from time to time, including as example, and not by way of limitation, more specific procedures for conduct of Requests For Proposals and Requests For Qualifications. It is also not intended that the existence of these Guidelines should prevent or supplant the issuance of additional Agency guidelines or regulations to deal specifically with Lobbying Law Directives and/or MWBE Directives, if appropriate.

- c. No Recourse under these Guidelines. No provision of these Guidelines shall be the basis for any claim based upon these Guidelines against any Member, Director, Officer or Employee of the Agency(s) or the Agency(s) itself.
- d. Effect upon Existing Agencies' Contracts. These Guidelines shall not abrogate the rights and duties of Agency Contracts with third parties executed prior to the effective date of these Guidelines.

SELECTING A PROCUREMENT PROCESS.



TAB 5

Explanation of the Agencies' Consolidated Procurement and Contract Guidelines

Explanation of consolidated Procurement and Contract Guidelines of the Agencies, as revised and in effect, September 12, 2013

The consolidated Procurement and Contract Guidelines (the “Guidelines”) were (i) adopted on December 15, 2005, (ii) revised on June 14, 2007, June 11, 2008, and September 14, 2010 respectively, and (iii) most recently revised on September 12, 2013, pursuant to the provisions of the Acts of each of the New York State Housing Finance Agency, the State of New York Mortgage Agency, the New York State Affordable Housing Corporation, the State of New York Municipal Bond Bank Agency and the Tobacco Settlement Financing Corporation (individually, “Agency,” and collectively, the “Agencies”), and Section 2879 of the Public Authorities Law.

The Guidelines were revised on September 12, 2013 to (i) incorporate certain substantive amendments intended to improve the procurement process, (ii) align our minority and women-owned business (“M/WBE”) procedures with New York State (“State”) law, and (iii) implement some definitional changes.

The substantive amendments include the addition of provisions to: (i) increase the monetary threshold from \$15,000 to \$50,000 for request for proposal (“RFP”) processes in order to make the procurement process less burdensome, and a change that is in line with recent statutory changes made to the requirement to post contract opportunities in the State’s Contract Reporter for solicitations, which similarly increased the threshold amount from \$15,000 to \$50,000; (ii) permit the Agencies to rely on the procurement processes of the Federal Government Administration (“GSA”) for the purchase of goods and services, allowing the Agencies to piggy back on Federal procurements as they are permitted to do for State Contract procurements; (iii) provide for the initial approval and annual review of Contracts by each Agency’s Governance Committee, with the Agencies’ Board approving and/or reviewing Contracts annually each January as part of their approval of the Agencies’ consolidated annual procurement report (a change that was previously authorized through charter amendments for the Governance Committees); (iv) require the Agencies’ the President/CEO to authorize all Agency determinations of Single Source Contracts, Sole Source Contracts, Critical Source Contracts and Emergency Contracts after any such determination is made by an Agency Senior Officer; and (v) require any Emergency Contracts be brought before the Governance Committee for approval at the next scheduled meeting. The changes in (iv) and (v) above are intended to tighten control processes in situations where non-competitive procurement methods are used.

In addition to these changes, certain changes were made to improve our MWBE procurement contract procedures. The Guidelines were amended to (a) increase the monetary threshold amount for the waiver of competitive processes for M/WBEs from \$100,000 to \$200,000 to mirror the statutory limit for this type of exception to competitive processes under the amendments to Article 15-A of the State’s Executive Law; and (b) delete the M/WBE goals in the Guidelines and replace them with a reference to the goals in the Agencies’ Annual M/WBE Goal Plan.

Finally, certain definitional changes have been implemented. The defined term “Uniquely Qualified Source Contract” was replaced with “Single Source Contract” to mirror the State’s term for this procurement method, and Housing Trust Fund Corporation was added as an agency to the defined term “Affiliated Agencies” for purposes of procurement processes. This last change is intended to align the Agencies with HTFC, all now part of HCR.

EXPLANATION OF CONSOLIDATED
PROCUREMENT AND CONTRACT GUIDELINES
OF THE AGENCIES
(as revised and in effect, September 12, 2013)

The consolidated Procurement and Contract Guidelines (“Guidelines”), pursuant to the provisions of the Acts of each of the New York State Housing Finance Agency, State of New York Mortgage Agency, New York State Affordable Housing Corporation, State of New York Municipal Bond Bank Agency and Tobacco Settlement Financing Corporation (individually, “Agency,” and collectively, the “Agencies”) and Section 2879 of the Public Authorities Law, apply to the Agencies’ procurement of goods and services. As defined in the Guidelines, “Procurement” means the acquisition of goods, materials and services including, but not limited to, personal services, by any Agency. “Procurement Contract” is defined, (a) following the definition in Section 2879 of the Public Authorities Law, as any written agreement for Procurement in the actual or estimated amount of \$5,000 or more, and (b) following the definition in the Lobbying Law in relation to any Agency Governmental Procurement with actual or anticipated annualized expenditures in excess of \$15,000 in amount, as any Contract, including an amendment, extension, renewal, or change order to an existing Contract (other than amendments, extensions, renewals, or change orders that are authorized and payable under the terms of the Contract as it was finally awarded), for a Governmental Procurement. (Unless otherwise defined herein, capitalized terms adhere to their respective definitions in the Guidelines.)

A. Selection of Procurement Contractors and/or Vendors (Article IV of the Guidelines)

In selecting Procurement Contractors and/or Vendors, it is the preference of the Agencies that Contractors and Vendors be selected from as broad a spectrum of providers as is practicable, and that any Contract (defined as a written agreement whereby an Agency undertakes Procurement, including accepted Purchase Orders and Procurement Contracts) be awarded and purchases be made consistent with the quality of services or goods and materials required, at fair and reasonable prices. In addition, it is the preference of the Agencies to encourage the participation and utilization of minority owned business enterprises (“MBEs”) and women-owned business enterprises (“WBEs”) (and collectively, “MWBEs”) in accordance with the MWBE Directives in the Guidelines and to encourage the participation of New York State Business Enterprises (“NYSBES”).

B. Competitive Processes (Article IV of the Guidelines)

The following are the main competitive processes provided for in Article IV of the Guidelines: (i) a competitive lowest price bid for goods and materials; (ii) an invitation for bids process (*new terminology*) for Contracts not expected to exceed \$50,000 (*revised amount*) in amount; (iii) a request for proposal (“RFP”) without negotiation; (iv) an RFP with competitive negotiations; (v) use of a pre-qualified panel; (vi) use of a State Contract; (vi) U.S. General Services Administration Contracts (“GSA Contracts”) (*new addition*) and (vii) use of an Affiliated Agency Contract, and Affiliated Agency Contract shall include the Housing Trust Fund Corporation (“HTFC”) (*new addition*) entered into as a result of a competitive process, or the use of an Affiliated Agency competitive selection process as the basis for entering into a Contract and such Affiliated Agency competitive process shall include processes conducting by HTFC (*new addition*).

C. Selection of Contractors and Vendors through a Competitive Selection Process (Article IV of the Guidelines)

In selecting Contractors and Vendors through a competitive selection process, certain standards and practices are required to be considered, including: (i) advertisement requirements including outreach efforts to MWBEs and providing information with respect thereto via the Agencies’ website; and (ii) criteria for selection, including but not limited to, terms, costs, goods or services offered, reputation and experience. For procurements not expected to exceed \$50,000 (*revised amount*) in amount, the Agency shall solicit prices, statements of qualifications and proposals from at least three prospective Vendors, including at least one MWBE, if feasible.

D. Selection of Contractors and Vendors on a Non-Competitive Basis (Article IV of the Guidelines)

In the selection or use of Contractors or Vendors, the following Contracts may be awarded without engaging in any one of the competitive processes set forth above: Preferred Source providers; existing centralized State Contracts; existing GSA Contracts (*new addition*); Emergency Selection Contracts where the selection of a Contractor or Vendor cannot be delayed; Sole Source Contracts; Single Source Contracts (*new terminology*); instances where practice in an industry does not normally involve competitive selection processes and an Agency determination that entering into a Contract is deemed cost-effective for the Agency; and the purchase of goods and services from Small Businesses and certified MWBEs, or goods or technology that are recycled or remanufactured, in amounts of \$200,000 (*revised amount*) or less. Determinations to enter into Emergency Selection Contracts, Sole Source Contracts and Single Source Contracts must be made by an Agency Senior Officer and the President (*revised language*).

E. Requirements for Agency Bid Documents (Article V of the Guidelines)

For Procurements in the actual or estimated amount of \$50,000 (*revised amount*) or more, the Agency shall advertise all such opportunities in the “New York State Contract Reporter. The Agencies shall include in all bid documents to potential bidders a statement that information concerning the availability of subcontractors and suppliers is available from the State Department

of Economic Development, which shall include the directory of certified MWBEs, and an affirmative statement that it is the policy of the Agencies to encourage the use of State subcontractors and suppliers, and to promote the participation of NYSBEs and MWBEs, where possible, in the Procurement of goods and services.

The Agencies also require that solicitation documents set forth the expected degree of MWBE participation based, in part, on (i) the potential subcontract opportunities available in the prime Procurement Contract, and (ii) the availability of MWBEs to respond competitively to the potential subcontract opportunities. In addition, the Agencies shall:

1. provide notice of Governmental Procurements, along with any other notice required by law, to professional and other organizations serving MWBEs that provide the types of services procured by the Agencies. For the purposes of these Procurement efforts, and for other Agency Procurement efforts, the Agencies shall maintain lists of qualified MWBEs and will provide such list(s) to Contractors in the Procurement process, requiring that potential Contractors consult and contact appropriate MWBEs to solicit their bids, in accordance with Article VI of the Guidelines;
2. incorporate a summary of the Agencies' policies and prohibitions regarding Contacts under the Lobbying Law, in accordance to the Lobbying Law Directives as described in Article VII of the Guidelines; and
3. follow the directives for the participation of promoted Contracts, as more fully described in Article VIII of the Guidelines;

F. MWBE Program (Article VI of the Guidelines)

The Agencies shall implement procedures for MWBE participation and utilization in Agency Procurements, including:

- (i) appointing a Designated MWBE Officer by the President to oversee the Agencies' MWBE Program;
- (ii) establishing appropriate numerical MWBE participation target goals (to be updated annually) for each new Procurement Contract awarded by the Agencies and for the utilization of MWBEs as subcontractors and suppliers by Contractors having Procurement Contracts with the Agencies. In addition, the MBE portion or the WBE portion of joint ventures shall count toward meeting the Agencies' MWBE participation goals. In the event that the projected goals cannot be achieved, the Agencies will provide adequate documentation of a good faith effort to meet these goals in their submission of their Annual MWBE Officer Report.

- (iii) establishing procedures for maintaining lists of qualified and certified MWBEs, that have expressed an interest in doing business with the Agencies, and ensuring that such lists are updated at least annually;
- (iv) establishing measures and procedures to ensure that certified MWBEs will be given the opportunity for maximum feasible participation in the performance of Agency Contracts and to assist in the Agencies' identification of those Agency Contracts for which certified MWBEs may best bid to actively and affirmatively promote and assist their participation in the performance of Agency Contracts so as to facilitate the Agencies' achievement of the maximum feasible portion of the goals for Agency Contracts to such businesses;
- (v) designating the Division of Minority and Women-Owned Business Development to certify and decertify MWBEs for the Agencies;
- (vi) requiring that each Contract solicitation set forth the expected degree of MWBE participation, as set forth in the Agencies' Annual MWBE Goal Plan (*new addition*).
- (vi) submitting a waiver by the Agency of obligations of Contractor relating to MWBE participation after a showing of good faith effort to comply with the MWBE participation requirements; and
- (vii) verifying that MWBEs listed in a successful bid are actually participating to the extent listed in the project for which the bid was submitted.

In implementing the MWBE Directives, the Agencies shall:

- (1) consider, where practicable, severability of construction projects and other bundled Contracts; however, unbundling must be conducted within the constraints of the Agencies' need to ensure efficiency and limit costs;
- (2) implement its MWBE Program to enable the Agencies to evaluate each Contract to determine the appropriateness of the goal, as set forth in the Agencies' Annual MWBE Goal Plan (*new addition*);
- (3) consider compliance with the requirements of any federal law concerning opportunities for MWBEs that effectuates the purpose of Article VI of the Guidelines; and
- (4) consult the most recent disparity study, pursuant to Article 15-A of the Executive Law ("Article 15-A").

G. Lobbying Law Directives (Article VII of the Guidelines)

For any Contract made subject to the “Lobbying Reform Law,” the Agency is required to notify every potential Contractor or Vendor that the Agency has a “Designated Contact Officer,” who is “knowledgeable of the procurement” and is the only Agency representative permitted to receive Contacts from Contractors or Vendors, or their representatives, during the “Restricted Period” with respect to such Governmental Procurement. In addition to observing the Lobbying Reform Law’s proscriptions on Contacts, all potential Contractors or Vendors must complete and return to the Agency with their proposal or bid response to an Agency solicitation, a written affirmation of a Contractor’s or Vendor’s understanding of the Governmental Procurement lobbying procedures of the Agency, as well as disclose prior determinations of non-responsibility as a result of Lobbying Law violations over the preceding four years. Any violation of the Lobbying Reform Law over the preceding four years is considered an adverse factor in the Contractor or Vendor selection process.

H. Promoted and Prohibited Contracts & Contracts Subject to Other Limitations (Article VIII of the Guidelines)

Notwithstanding the general practices of the Agencies with respect to selection of Contractors and Vendors and adherence to competitive practices, as set forth in the Guidelines, Article VIII of the Guidelines require that certain Contracts may be “promoted,” “prohibited” or “subjected to certain limitations.”

It is the goal of the Agencies to both promote and assist participation by MWBEs in competition for Procurement Contracts, and award a fair share of Procurement Contracts to MWBEs. The Agencies also seek to promote the participation of New York State Business Enterprises.

In addition, as it is the goal of the Agencies to award Contracts to those Contractors or Vendors who have evidenced compliance with the laws of the State prohibiting discrimination in employment, the Agencies will seek to achieve this goal by awarding Procurement Contracts to those firms who have demonstrated that they do not discriminate with respect to employment. The Agencies have also promulgated procedures for ensuring Contractor or Vendor compliance with the Equal Opportunity Act of 1972.

Under the Guidelines, certain Contracts will be prohibited or permitted only subject to certain exceptions or limitations as follows: (i) with respect to evaluation of Architects, Engineers and Surveyors, the Agencies shall consider special criteria including the reasonableness of cost based on the total estimated cost of any legal entity permitted by law to practice such professions; (ii) in accordance with the MacBride Fair Employment Principles, the Agencies shall not enter into Procurement Contracts with Contractors or Vendors who have operations in Northern Ireland unless assurance is made that lawful steps in good faith have been made to comply with the MacBride Principles; (iii) with respect to Contracts with a Foreign Business Enterprise, the Agencies shall notify the State Commissioner of Economic Development of the award of a Procurement Contract for the purchase of goods from said Foreign Business Enterprise in an amount equal to or greater than \$1,000,000. Thereafter, the Agencies shall not enter into a

Procurement Contract for said goods until at least 15 days have elapsed, except where a Contract is awarded due to Emergency. The Agencies shall not solicit bids from or enter into a Procurement Contract with a Foreign Business Enterprise which has its principal place of business in a jurisdiction that discriminates against New York business, pursuant to Section 165 (6)(b) of the State Finance Law.

In addition to the consideration of Contractor or Vendor non-compliance with Lobbying Law Directives, with respect to Contracts with former Agency Officers and Employees, the Agencies shall not enter into Contracts which contemplate, violate or affirmatively, by their terms, allow former Officers and Employees of the Agencies to violate Section 73(8)(a) of the State Ethics Law.

I. General Contract Provisions (Article IX of the Guidelines)

All Procurement Contracts shall be in writing and duly executed by an individual empowered to do so in accordance with Agency By-Laws. Procurement Contracts shall specifically provide for a scope of services indicating the nature of the work to be performed or goods to be provided, and for the time for performance, and the monitoring or reviewing of performance. Additionally, Procurement Contracts shall also state compensation and payment terms and indicate that prices in bids were arrived at independently without collusion. In addition to a provision authorizing the Agency to immediately terminate any Contract in the event that any Lobbying Law certification is found to be intentionally false or inaccurate, Contracts shall also include “a provision expressly providing that any Contractor who willfully and intentionally fails to comply with minority and women-owned participation requirements, as set forth in the Contract, shall be liable to the Agencies for liquidated or other appropriate damages and shall provide for the appropriate remedies on account of such breach”.

In order that the Agencies may enter into new Procurement Contracts for the Procurement covered as soon as they may desire, Procurement Contracts should not commit the Agency(s) to continue to use Contractors for longer than is desirable to achieve the Contract objectives. Unless specifically permitted by a resolution of the Agency’s Members or Directors, Procurement Contracts should be for a term not exceeding one year, and should be terminable by the Agency, at its option, without cause, within a period that is less than a year into the future. A designated Officer or Employee shall perform a continuing evaluation of Procurement Contracts and Panels.

J. Agency Approvals (Article X of the Guidelines)

All Contracts where compensation is expected to be \$100,000 or more, as well as any Contracts involving services to be provided over a period of more than one year, require initial approval and annual review of the Governance Committee of each Agency (*new addition*). The Members and Directors shall, at least annually, approve and/or review any Contract lasting more than a year, each January, as part of the approval of the Annual Report on Procurement Contracts. All Procurement Contracts shall be executed by the President and CEO, or a Senior Officer, as defined under Agency By-Laws or by such Vice President to whom execution authority has been appropriately delegated in writing by a Senior Officer or as otherwise provided for in the Bylaws.

The Senior Vice President and Counsel, or his/her designee(s), shall approve as to legal compliance all Procurement Contracts.

K. Procurement Record (Article XI of the Guidelines)

A “Procurement Record” shall be maintained for each Procurement requiring any Formal Contract and such other Procurement as the Procurement Contract Officer deems appropriate, or as State law might require, identifying, with supporting documentation, decisions made by the Agency during the Procurement process. Additionally, the Procurement Contract Officer shall be charged with responsibilities that include the retention of such portions of the Procurement Contract Record as the Procurement Contract Officer deems appropriate, monitoring compliance with proper contracting procedures and adherence to the Guidelines.

L. Reports on Procurement (Article XII of the Guidelines)

1. Annual Procurement Report

Within ninety days after the conclusion of each fiscal year shared by the majority of the Agencies, the Members or Directors of the Agency shall approve an Annual Procurement Report, summarizing procurement activity for the period of the report. Such report shall include for each Procurement Contract listed (including MWBEs): a description of the duties performed by the Contractor; the date of the Contract and its duration; the total value of the Contract; the full name and address of the Contractor; the status of the Contract including the amount spent or other considerations given pursuant to the Contract during the reporting period and for the life of the Contract to date; whether the Contractor is a Minority or Women-Owned Business Enterprise; and the total number of bids or proposals received prior to the award of the Contract.

The Annual Procurement Report, after being approved by the Members and Directors, shall be filed using the Public Authorities Reporting Information System (“PARIS”) on-line reporting system.

2. Quarterly Procurement Report

Within ninety days after the close of each quarter of the fiscal year shared by the majority of the Affiliated Agencies, the Agencies shall prepare and deliver to the Members and Directors a report summarizing procurement activity for the period of the report.

3. Annual MWBE Officer Report

The Agencies annually file an MWBE Officer Report that includes: (i) Agency annual MWBE goals; (ii) documentation of a good faith effort to meet Agency goals, in the event that these goals cannot be achieved; (iii) the number of actual Contracts issued to MWBEs; (iv) the activities undertaken to promote and

encourage Procurement opportunities of MWBEs and increase participation by certified MWBEs; (v) Agency Contracts for leases of real property by the Agency to a Lessee (a) where the terms of such leases provide for the construction, demolition, replacement, major repair or renovation of real property and improvements thereon by such Lessee and (b) the cost of such construction, demolition, replacement, major repair or renovation of real property and improvements thereon exceeds the sum of \$100,000; (vi) a summary of all enforcement actions undertaken by the Agency against a Contractor for breach of Contract; and (vii) a summary of all waivers, permitted by the Agencies during the period covered by the MWBE Officer Report.