

SUBCONTRACTOR APPROVAL FORM

Instructions for Agencies

The attached form is intended to assist agencies in the subcontractor approval process, provide uniformity in collecting the appropriate data, and address the requirements of LL1/MWBE. **Subcontractors should not start work until they have been granted approval by the Agency.** *Subcontractors may be proposed at any time, but for contracts subject to LL 1 of 2013, within 30 days of the notice to proceed, the prime contractor must identify those to which it intends to award for work during the first year of such contract.*

SUBCONTRACTOR APPROVAL PROCESS

For subcontractors that must be approved prior to contract registration:

Instruct the prime contractor that after the contract is registered they are responsible for going on PIP to enter the subcontract information *as you have approved it on the form*. Be aware that some subcontractors may already have FMS Vendor Numbers, while some are new. If the approved subcontractor does not have an FMS Vendor Number, they must use PIP to create one.

For subcontractors added after contract registration:

Step 1 – Make sure the prime contractor has a PIP account. Documentation on creating and maintaining PIP accounts is available here: <http://www.nyc.gov/pip>

Step 2 – Instruct the prime contractor to fill enter the required information for each subcontract in PIP. Once it is submitted in PIP, the subcontract record will be routed to you in FMS for your approval.

Step 3 – At this point you may grant or deny preliminary approval. Preliminary approval decisions should be made in writing. If granted, you should request additional information in an email to the vendor to ensure compliance with contract requirements (see Compliance section).

You may use this form with the Page 2 (instructions) attached to communicate the requirements to the prime contractor.

Step 4 – Prime Contractor returns all of the appropriate documentation requested.

Step 5 – You then complete your review of the submission within a reasonable time, notifying the contractor by approving or rejecting the submission in FMS.

Step 6 – Remind your prime contractor of the ongoing requirement to enter payment data into PIP for each subcontract.

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For subcontracts to be approved after contract registration
Column on left indicates whom that section is to be completed by

PRIME CONTRACT INFORMATION

AGENCY	Agency:		Unit/Div:		
	Contract ID:		Prime Vendor:		
	Prime Contract Description:		Subcontract Value:		
	<input type="checkbox"/> 1 st Tier		Est. Start Date:		
	Subcontractor Name:		Est. Start Date:		
	<input type="checkbox"/> 2 nd Tier		Est. Start Date:		
	Subcontractor Name:		Est. End Date:		
	Subcontractor EIN:		Est. End Date:		
	Subcontract Work Description:				
	Agency Preliminary Review Completed By: _____ Date _____				
1. VENDEX <input type="checkbox"/>		2. Employment <input type="checkbox"/>		3. References <input type="checkbox"/>	
4. PLA <input type="checkbox"/>		5. Apprenticeship <input type="checkbox"/>		6. Licenses <input type="checkbox"/>	

PRIME CONTRACTOR RESPONSE

PRIME CONTRACTOR	For each of the boxes checked in the agency preliminary response above, I have informed the Subcontractor of all relevant requirements and provided all requested documentation.	
	General Contractor Signature _____ Date _____	

AGENCY FINAL APPROVAL

AGENCY	<input type="checkbox"/> Approved <input type="checkbox"/> Denied	
	Agency Final Signature: _____ Date: _____	

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Page 2
Prime Vendor Preliminary Review Follow-up Instructions

After completing the Preliminary Review, the agency will mark, on Page 1, the box for any item requiring follow-up and return the form to the Prime Vendor. The Prime Vendor should follow the instructions below for each of the boxes checked in the Agency Preliminary Review on Page 1, and return the form to the agency with any required documentation.

1. VENDEX

If Box 1 (VENDEX) is checked, the agency has granted preliminary approval, and determined that the subcontractor is required to file VENDEX Questionnaires with the Mayor's Office of Contract Services. A VENDEX Vendor Questionnaire and Principal Questionnaire must be filed where the subcontract dollar amount is \geq \$100,000 or where the aggregate business with the City is \geq \$100,000 during the preceding twelve months. The VENDEX Questionnaires and Guide can be downloaded from <http://www.nyc.gov/html/selltonyc/html/tocvendex.html>.

2. Employment

If Box 2 (Employment) is checked, the subcontractor must complete a Division of Labor Services (DLS) Construction Employment Report. A subcontractor selected to perform work on a construction project funded or assisted by the City of New York must complete a DLS Construction Employment Report if the subcontract dollar amount $>$ \$750,000. For construction projects funded in whole or in part by the federal government, a DLS Construction Employment Report must be completed if the proposed subcontract value $>$ \$10,000. For non-construction goods/services subcontracts $>$ \$100,000, employment reports are required for any subcontractor with $>$ 50 employees, and a certificate is required for those with fewer employees.

3. References

If Box 3 (References) is checked, you as the prime contractor must provide references with respect to the subcontractor's ability to perform, consisting of a list of three completed comparable projects. References shall include a full description/location of each project, scope of work, value of project, and the names and phone numbers of owners, architect or engineer who supervised the work. Please attach your documentation to your response.

4. PLA

If Box 4 (PLA) is checked, you as the prime contractor must obtain signed Letter of Assent from the subcontractor which demonstrates that the subcontractor agrees to the terms of the PLA. Please attach the subcontractor's signed Letter of Assent to your response.

5. Apprenticeship

If Box 5 (Apprenticeship) is checked, you as the prime contractor must provide the agency with proof that the subcontractor maintains an apprenticeship agreement appropriate for the scope of work to be performed, that the apprenticeship agreement has been registered with and approved by the New York State Commission of Labor, and that the program has three years of current, successful experience in providing career opportunities.

6. Licenses

If Box 6 (Licenses) is checked, you as the prime contractor must document that the subcontractor has all required licenses. Please attach your documentation to your response.

