## Vendor Responsibility Documentation Requirements

For State Contracting Entities

<table>
<thead>
<tr>
<th>Transaction Type</th>
<th>Vendor Responsibility Profile</th>
<th>Vendor Responsibility Questionnaire</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. New contract</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>2. Agreement with an estimated amount of $100,000 or greater</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>3. Real estate (purchase, sale or lease) except for an eminent domain or real property sale which is required by law to sold to the highest bidder</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>4. Assignment</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>5. Change in contract value not provided for in the original contract</td>
<td>Yes</td>
<td>Yes</td>
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<tr>
<td>6. Change to contract time or value provided for in the original contract (i.e., renewal)</td>
<td>Yes</td>
<td>Yes</td>
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<tr>
<td>7. Change in contract not provided for in the original contract which results in additional time at no cost</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>8. Non-material amendment/renewal/extension with adverse information</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>9. Construction change order with adverse information</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>10. Mini-bid against backdrop contract with adverse information</td>
<td>Yes</td>
<td>Yes</td>
</tr>
</tbody>
</table>

* Contract assignment with $100,000 or more remaining on the agreement also requires a questionnaire from the vendor to which the contract is assigned.

Below are specific vendors and contract transactions, which are EXEMPT from Vendor Responsibility Documentation Requirements:

- AC340 address change
- AC340 correction
- AC340 encumbrance only
- Backdrop design consultant agreement increases & SUCF planning allocation
- Board of Cooperative Education Services (BOCES)
- Budget modification
- Cities, towns, villages
- Construction change order with no adverse information
- Counties
- DOT/Thruway/Canal - railroad/utility reimbursement
- DOT Uneconomic Remainder
- Eminent domain property taking
- Fire districts
- Fiscal year rejection resubmittal
- Industrial Development Agencies (IDAs)
- Indian Nations
- Labor unions for NYS collective bargaining agreement implementation only
- Lease escalation and holdover
- Minibid against backdrop contract with no adverse information
- Multi-phase project – not initial submission
- New York State agencies
- Non-administering agency use of multi-agency contract
- Non-material amendment with no adverse information
- Other states and other countries
- Purchase order against statewide contract
- Preferred source
- Price list change
- Public authority/Public benefit corporation
- Public colleges and universities
- Public libraries
- Real property sale required by law to be sold to the highest bidder
- Research Foundation including:
  - CUNY
  - SUNY
  - Mental Hygiene Research
  - Aging Research
  - Welfare Research
  - Health Research
- School districts and charter schools
- US government entities
- Vocational Education Extension Board (VEEB)
- Water, Sewer and Water & Soil District

OSC RESERVES THE RIGHT TO REQUIRE A VENDOR RESPONSIBILITY PROFILE AND/OR VENDOR RESPONSIBILITY QUESTIONNAIRE, IF DEEMED MATERIAL.

Revised: April 12, 2012