

Vendor Responsibility Documentation Requirements for State Contracting Entities

Transaction Type		Vendor Responsibility Profile Parts I & III Contract Information & Responsibility Determination	Vendor Responsibility Questionnaire (If valued at \$100,000 or more for the first time)
1.	New contract	✓	✓
2.	Agreement with an estimated amount of \$100,000 or greater	✓	✓
3.	Real estate (purchase, sale or lease) except for an eminent domain or real property sale which is required by law to be sold to the highest bidder	✓	✓
4.	Assignment *	✓	✓*
5.	Change to contract value not provided for in the original contract	✓	✓
6.	Change to contract time or value provided for in the original contract (i.e., Renewal)	✓	✓
7.	Change in contract not provided for in the original contract which results in additional time at no cost	✓	✓
8.	Non-material amendment/renewal/extension with adverse information	✓	✓
9.	Construction change order with adverse information	✓	✓
10.	Mini-bid against backdrop contract with adverse information	✓	✓
11.	Grant or legislative initiative	✓	✓
12.	Piggy-back contract	✓	✓
13.	Purchase order (except from a pre-existing contract)	✓	✓
14.	"Quick" contract	✓	✓
15.	Revenue contract	✓	✓

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

If the prospective vendor has a subcontractor, parent company, or subsidiary, see [How to Conduct a Vendor Responsibility Review](#).

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

- STS/AC340-S address change
- STS/AC340-S correction
- STS/AC340-S pre-encumbrance only
- Backdrop design consultant agreement increases/decreases & 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
- EPIC/OMM/NMPI/DOH Drug Rebate Programs
- 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
- P-card transaction
- 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
 - Youth Research Inc.
- School districts and charter schools
- T-contract
- US government entities
- Vocational Education Extension Board (VEEB)
- Water, Sewer and Water & Soil Districts

The Office of the State Comptroller reserves the right to request a Vendor Responsibility Profile or a Vendor Responsibility Questionnaire, even if otherwise exempt.