



2015 Purchasing Forum & Trade Show



Vendor Responsibility – Best Practices

Opportunities on the Horizon

May 20 & 21, 2015



WHAT TO EXPECT TODAY

COURSE DESCRIPTION

- Overview of agency requirement to determine vendor responsibility
 - prior to awarding a contract
 - during the contract term
- Learn how to use key resources for a successful review



WHY IS VENDOR RESPONSIBILITY IMPORTANT?

Protects
agency and
State
against
failed
contracts

Pro-actively
solves and
mitigates
problems

Avoids
contracting
with non-
responsible
vendors

Protects
public funds
and
promotes
fairness



WHAT IS A RESPONSIBLE VENDOR?

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I
P

- A responsible vendor is one that has:
- the financial and organizational capacity to fully perform its contractual obligations,
- the legal authority to do business with the State,
- the integrity to justify the award of public dollars, and
- a good record of past performance.



STARTING OFF RIGHT

- **Solicitation Document or Award Letter**
- **Mandatory Language**
 - **Use of NYS VendRep System**
 - **How to Get a Vendor ID**
 - **Option to Submit Paper (not preferred method)**



LANGUAGE IS MANDATORY

State contracting entities participating in the VendRep System must notify *vendors* in their solicitation document that online filing is available for the subject procurement. *State contracting entities* must include the following language in the solicitation document which they are allowing online questionnaire filing:



MANDATORY LANGUAGE

The <<*insert your State contracting entity name here*>> recommends that vendors file the required Vendor Responsibility Questionnaire online via the New York State VendRep System. To enroll in and use the New York State VendRep System, see the VendRep System Instructions available at http://www.osc.state.ny.us/vendrep/vendor_index.htm or go directly to the VendRep System online at <https://portal.osc.state.ny.us>.



MANDATORY LANGUAGE

Vendors must provide their New York State Vendor Identification Number when enrolling. To request assignment of a Vendor ID or for VendRep System assistance, contact the Office of the State Comptroller's Help Desk at 866-370-4672 or 518-408-4672 or by email at ITServiceDesk@osc.state.ny.us.



MANDATORY LANGUAGE

Vendors opting to complete and submit a paper questionnaire can obtain the appropriate questionnaire from the VendRep website

www.osc.state.ny.us/vendrep or may

contact the <<*insert your State contracting entity name here*>> or the Office of the State Comptroller's Help Desk for a copy of the paper form.



VENDOR PAGE

State Vendors

State Employees & Retirees

State Agencies

New Yorkers

Local Government & School Districts



VendRep & Questionnaires



Track Contracts, Purchase Orders and Payments



Toolbox for Current Vendors

Toolbox for New Vendors

Find Business Opportunities



Start a Business and Get Licenses

Support for Minority and Women-Owned Businesses

Enroll for Fast and Secure ePayments

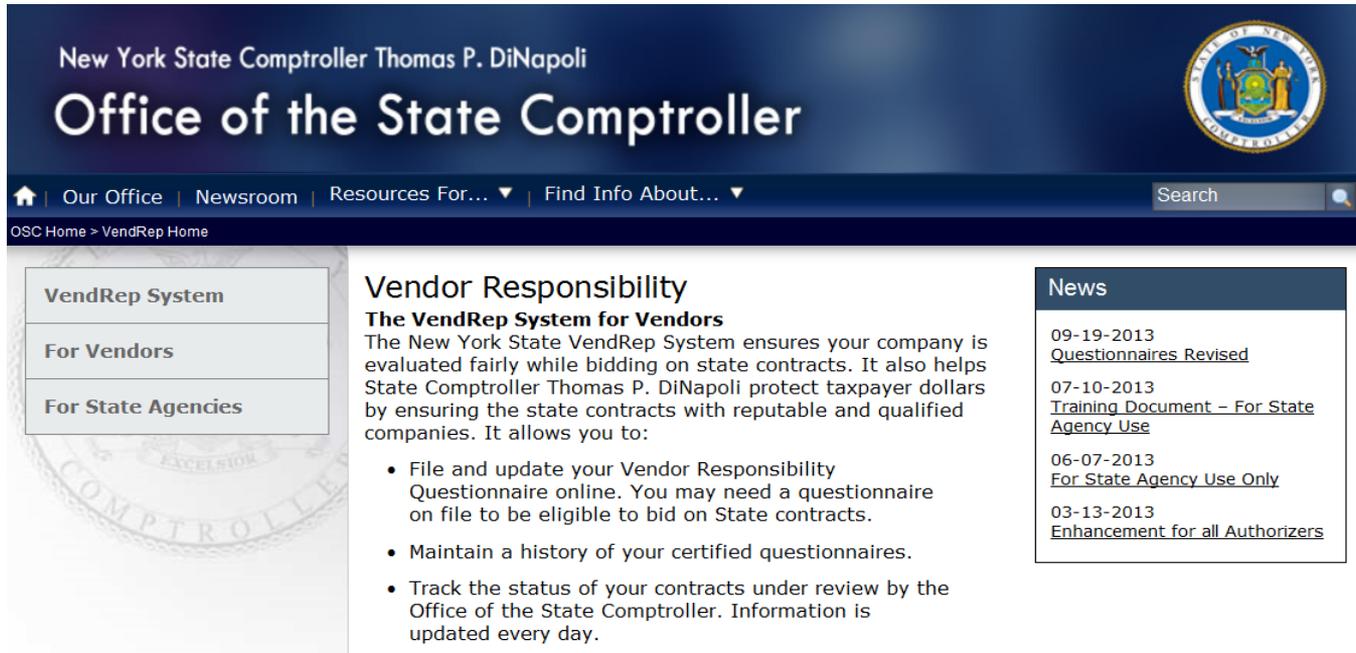
Contact Us



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BEST TOOLS

<http://www.osc.state.ny.us/vendrep/index.htm>



New York State Comptroller Thomas P. DiNapoli

Office of the State Comptroller

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OSC Home > VendRep Home

VendRep System

For Vendors

For State Agencies

Vendor Responsibility

The VendRep System for Vendors

The New York State VendRep System ensures your company is evaluated fairly while bidding on state contracts. It also helps State Comptroller Thomas P. DiNapoli protect taxpayer dollars by ensuring the state contracts with reputable and qualified companies. It allows you to:

- File and update your Vendor Responsibility Questionnaire online. You may need a questionnaire on file to be eligible to bid on State contracts.
- Maintain a history of your certified questionnaires.
- Track the status of your contracts under review by the Office of the State Comptroller. Information is updated every day.

News

09-19-2013
[Questionnaires Revised](#)

07-10-2013
[Training Document – For State Agency Use](#)

06-07-2013
[For State Agency Use Only](#)

03-13-2013
[Enhancement for all Authorizers](#)



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RESOURCES

OSC Home > VendRep Home

VendRep System

For Vendors

For State Agencies

Information

System Information

Login

Support

Forms

Questionnaires

Documentation
Requirements

Resources

FAQs

Contact Us

Vendor Responsibility

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[Log in](#) if you're already enrolled to use the VendRep System.

[See directions to enroll](#), if you haven't enrolled to use the VendRep System.

[Special Information for Construction Vendors](#)

VendRep Resources:

[Create a VendRep Account](#)



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Resources For All Types Of Transactions



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GOOGLE

Advanced Search

Find pages with...

all these words:

this exact word or phrase:

any of these words:

none of these words:

numbers ranging from:

to



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DOS CORPORATION SEARCH

Search the Corporation & Business Entity Database

The Corporation and Business Entity Database includes business and not-for-profit corporations, limited partnerships, limited liability companies and limited liability partnerships, as well as other miscellaneous businesses.

The Corporation and Business Entity Database online search is intended for status inquiries of entities already on file with the Department of State. Customers are cautioned to avoid interpreting database search information as an indication that a name is or is not available for use.

Search Criteria: *(Items marked with * are required)*

1. Business Entity Name*:

2. Status Type*

3. Search Type*

4.

Search Instructions:

1. Enter the Corporation or Business Entity Name being searched
2. Select a Status Type
3. Select a Search Type
4. Click the Search Button



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DOS STATE TAX WARRANTS

New York State State Agencies

 DEPARTMENT OF STATE, DIVISION OF
CORPORATIONS, STATE RECORDS & UCC
ANDREW M. CUOMO, GOVERNOR CESAR A. PERALES, SECRETARY OF STATE

DOS Home Division Home I would like to... Corporation/Business Entity Filings State Records Uniform C

Search the New York State Tax Warrant Notice System

Search Criteria: *(Items marked with * are required)*

1. Taxpayer Name*:
2. City specified in warrant address record:
3. County in which warrant is filed:
4. Warrant Notice Status: OPEN ALL
5. Search Type: BASE WORD (exact words) BEGINS WITH (first 3 letters)
6.



DOS FEDERAL TAX LIENS

Business Name *

or

Last Name *

First Name (Optional)

Middle Name(Optional)

Suffix(Optional)

City(Optional)

State(Optional)

Search Type Base Word Begins With Partial

Filing Status All Filings Unlapsed Filings

File Type All Filings Federal Tax Liens



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WORKERS COMP & DISABILITY

Search by Employer Name
*(Enter a word or partial word of the beginning part of the name.
The search will return employers that begin EXACTLY with the portion entered.)*

For example, 'American' will return 'American Industry', but not 'Great American'

Employer Name:

Maximum Results Displayed:

Search by Federal Employer Identification Number

FEIN: (must be nine digits)

Search by Policy Number

Policy Number:

Search by NYS WCB Employer Number

Employer Number:

Enter the 6 characters 



DOL & WCB DEBARMENTS

NEW YORK STATE

New York State Department of Labor

Click State Agency for more information:

- ▶ [Department of Labor \(DOL\)](#)
- ▶ [Workers Compensation Board \(WCB\)](#)

Search Agency: DOL WCB

FEIN:

Employer Name:

Employer DBA:

City:

State:

[Only DOL Search](#)

Article Number: Article 8 Article 9 Both

[Only WCB Search](#)

WCB Employer Number:



SAM (REPLACES EPLS)



USER NAME PASSWORD [LOG IN](#)

[Forgot Username?](#) [Forgot Password?](#)

[Create an Account](#)

[HOME](#) [SEARCH RECORDS](#) [DATA ACCESS](#) [GENERAL INFO](#) [HELP](#)

Search Records

You can enter a DUNS number, CAGE code or Business Name to search for the entities that you are interested in reviewing. The top search bar allows you to enter any search term. You can also enter exclusion search terms to search for exclusion records. If you want to search for only a CAGE code or a DUNS number you can use the bottom two search bars. Once a search has returned results, use the filters provided to narrow results.

Government employees must create a SAM user account with their government email address. Log in before searching in order to see FOUO information and those registrants who selected to opt out of the public search.

You can only use one search bar at a time

(Example of search term includes the entity's name, etc.)

DUNS Number Search:

CAGE Code Search:

[SEARCH](#) [Need Help?](#)



ATTORNEY GENERAL

Attorney General
Eric T. Schneiderman

OUR OFFICE | MEDIA CENTER | DIVISIONS | RESOURCES | INITIATIVES | CONTACT US | **SEARCH**

Home » Search

Search

Enter your keywords

OAG Resources

- › Charities Registry
- › Identity Theft
- › Job Opportunities
- › Resources A to Z
- › Tenant's Rights



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OSC AUDITS

New York State Comptroller Thomas P. DiNapoli

Office of the State Comptroller



Our Office Newsroom Resources For... Find Info About... Search

Audits

Audits

The Office of the State Comptroller audits State and local governments to ensure that they use taxpayer money effectively and efficiently to promote the common good. We provide two versions of our audits:

- a concise summary called the Taxpayers' Guides to Audits; and
- the entire audit report.



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FEDERAL CONTRACTOR MISCONDUCT



POGO.ORG Federal Contractor Misconduct Database

home about us investigations get involved donate

Top 100 Contractors
by contract dollar amount

Methodology
of this ongoing effort

What's new

About POGO's Federal Contractor Misconduct Database (FCMD)
The government awards contracts to companies with histories of misconduct such as contract fraud and environmental, ethics, and labor violations. In the absence of a centralized federal database listing instances of misconduct, the Project On Government Oversight (POGO) is providing such data. We believe that it will lead to improved contracting decisions and public access to information about how the government spends hundreds of billions of taxpayer money each year on goods and services. [Report an instance of misconduct »](#)



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DEBARMENT – OTHER STATES

State of New Jersey Consolidated Debarment Search

Complete one or more of the search criteria below and click [Start Search](#).

To display ALL entries in the database, simply click [Start Search](#) without completing any search criteria.

Full or partial
Firm or Individual

Category

Reason

Start Search

Clear Entries



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OSHA

[Establishment](#)

State

All States

Fed & State

OSHA Office

All Offices

[Case Status](#)

Closed Open All

Violation

Status

Violations Only No Violations Both

[Inspection Date](#)

Start Date

April

1

2009

End Date

April

1

2014

Submit

Reset



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Additional Resources For Not-For-Profits



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NATIONAL CENTER FOR CHARITABLE STATISTICS

NCCS NATIONAL CENTER FOR CHARITABLE STATISTICS

The national clearinghouse of data on the nonprofit sector in the United States

URBAN INSTITUTE

[Login](#) | [Register](#) [search](#)



- ▶ [FIND A NONPROFIT](#)
- ▶ [VIEW FORMS 990](#)
- ▶ [LEARN ABOUT NCCS DATA](#)
- ▶ [THE NONPROFIT ALMANAC](#)
- ▶ [FILE YOUR FORM 990](#)
- ▶ [FILE YOUR E-POSTCARD](#)

[JOIN OUR E-MAIL LIST](#)

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GRANTS GATEWAY



New York State
Grants Gateway



Grants Gateway Login

Grant Opportunity Portal

Welcome to the Grants Gateway

The **Grant Opportunity Portal** is online and available to the public, providing a one-stop shop for anyone interested in locating grant funding opportunities with State agencies.

Login

Username

Password

[Forgot Password?](#)



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OMIG AUDITS



Office of the Medicaid Inspector General

Andrew M. Cuomo
Governor

Dennis Rosen
Acting Medicaid Inspector General

Follow NYSOMIG

Home	Audit	Compliance	Fraud	Information	Resources
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You are here: [Home](#) > [Audit](#) > Final Audit Reports



* Click on a header to sort the audit reports. Click on the or to show or hide the month sections.

DISCLAIMER FOR FINAL AUDIT REPORTS

OMIG maintains copies of its final audit reports and/or notices of agency actions on the Web site for a period of seven years from the date of issuance. These reports and notices are considered "final determinations" pursuant to Title 18 of the New York Code Rules & Regulations §519.3(b). Providers who have received a final audit report and/or a notice of agency action are entitled to challenge the OMIG's findings by requesting an administrative hearing held before an administrative law judge. Such proceedings may, but do not always, result in a change to the findings as reflected in the final audit report and/or notice of agency action.



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OFFICE OF MANAGEMENT & BUDGET – (SINGLE AUDITS)

FEDERAL AUDIT
CLEARINGHOUSE

Single Audit
Reference Information

Single Audit Data
Entry System

Search the Single
Audit Database



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Additional Resources For Construction



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NYC SCA - School Construction Authority – Disqualified/Suspended/Ineligible Firms


Friday, Apr 10, 2015 9:50:42 AM

[About the SCA](#) | **[Working With Us](#)** | [Careers](#) | [News and Resources](#) | [Community](#) | [Educators](#)

[NYCSCA](#) > [Working With Us](#) > [Getting Started](#) > [Disqualified / Suspended / Ineligible Firms](#)

Getting Started

[Adding/Updating Vendor Information](#)

[Prequalification Process](#)

[Business Development](#)

[Mentor Programs](#)

[MWLBE Certification](#)

[Prequalified Firms by Trade](#)

[Disqualified / Suspended / Ineligible Firms](#)

[Staying Current: FYI SCA Updates](#)

Disqualified / Suspended / Ineligible Firms

Firms listed below are disqualified, suspended and/or otherwise ineligible to receive new/future work on SCA projects as prime contractors, subcontractors, consultants, sub-consultants, members of a joint venture, vendors or material suppliers.

Data as of Friday, April 3, 2015 ([Reset List](#))

Choose one of the alphanumeric categories above to view a firm in that selection.
 You may also click the plus (+) sign below to view all Disqualified Firms.

- Expand Disqualified Firms list
- Expand Suspended Firms list
- Expand Ineligible Firms list



NYS EDUCATION DEPT – PROFESSIONAL LICENSE

Profession:

- Accountant, Certified Public
- Accountant, Public
- Acupuncture
- Architect**
- Athletic Trainer
- Audiologist
- Certified Behavior Analyst Assistant
- Certified Dental Assistant

Licensee Name:
(last name first, separated by a space, *not* a comma)



AGENCY DOCUMENTATION - VRP

Let's Do The
Vendor
Responsibility
Profile



STANDARD VR PROFILE

<http://osc.state.ny.us/vendrep/documents/vendrep/ac3273s.pdf>

AC 3273-6 (Rev. 6/12) Page 1 of 2

OFFICE OF THE STATE COMPTROLLER - BUREAU OF CONTRACTS
VENDOR RESPONSIBILITY PROFILE

Part I – Contract Information - Complete for all transactions.			
1. Business Unit [REDACTED]	2. Department ID # [REDACTED]	3. Department Name [REDACTED]	
4. Contract/PO # [REDACTED]	5. Amendment Sequence # [REDACTED]	6. Transaction Amount \$ [REDACTED]	7. Total Contract Value \$ [REDACTED]
8. Vendor Name [REDACTED]		9. NYS Vendor ID # [REDACTED]	10. Taxpayer ID/EIN # [REDACTED]
11. Contractor Type: <input type="checkbox"/> Prime Contractor <input type="checkbox"/> Subcontractor			
12. Contract Description [REDACTED]			
13. State contracting entity contact for this transaction – Name, Phone, Email [REDACTED]			
14. Were any issues disclosed by vendor and/or found by State contracting entity? <input type="checkbox"/> Yes <input type="checkbox"/> No (If "Yes," provide details using Attachment A, Item 1.)			
15. If this is a new contract or renewal, has the vendor's documentation of New York State Workers' Compensation and Disability Benefits coverage or exemption been verified as accurate, up-to-date, and included as part of the procurement package as outlined in GFO XI 18 G? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A (If "No," provide details using Attachment A, Item 2.)			
Part II – Vendor Disclosure and State Contracting Entity Process – Complete for a new contract valued at \$100,000 or more, or an amendment that brings total approved amount to \$100,000 or more for the first time.			
16. Identify disclosures used in this review that were provided by the vendor. Check all that apply and attach all pertinent items. (Information found on the VendRep System should NOT be printed for OSC.)			
<input type="checkbox"/> Online VendRep Questionnaire Date Certified: [REDACTED]		<input type="checkbox"/> Hard Copy Questionnaire (Must attach, if used) Date Certified: [REDACTED]	
<input type="checkbox"/> Financial Statements	<input type="checkbox"/> Solicitation Document Responses	<input type="checkbox"/> Vendor Correspondence	
<input type="checkbox"/> Other Vendor Disclosure - Describe: [REDACTED]			
<i>All reviews must be thorough and comprehensive to mitigate any risks to public funds or services.</i>			
17. Is a description of the State contracting entity's process included in Attachment A, Item 2? <input type="checkbox"/> Yes <input type="checkbox"/> No If "No," explain: [REDACTED]			
Part III – State Contracting Entity Responsibility Determination			
The above named contracting entity has undertaken an affirmative review of the proposed contractor's responsibility and, based upon such review, has reasonable assurance that the proposed contractor is: <input type="checkbox"/> Responsible <input type="checkbox"/> Non-Responsible			
Signature [REDACTED]		Date: [REDACTED]	
Print Name: [REDACTED]		Title: [REDACTED]	



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ATTACHMENT A – ITEM 1

Item 1: Issue Detail

For each issue disclosed by the vendor or found by the State contracting entity, describe the issue and its resolution.

Note: In the “Resolution” field, include the State contracting entity’s assessment of the issue, its relevance to the vendor’s responsibility for this procurement (including any supporting reasons), and any corrective or mitigating actions taken by the State contracting entity or vendor in response to the issues (attach additional pages if necessary). *If the State contracting entity believes the issue has no impact on this transaction, state the reason(s) justifying such statement.*

Issue Description	State Contracting Entity Resolution
1.	



ISSUES ON PROFILE



Item 1: Issue Detail

Issue Description	State Contracting Entity Resolution
1. Internal control issues	Vendor implemented corrective action plan
2. OSHA Violations	Closed
3. Question 7.0	Ongoing



NEW YORK
STATE OF
OPPORTUNITY.

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ISSUES ON VR PROFILE



Item 1: Issue Detail

Issue Description	State Contracting Entity Resolution
<p>1. 2011 settlement with NY Attorney General from investigation into student loan practices.</p>	<p>Vendor has agreed to terms under settlement and will abide by Code of Conduct. This information has no impact on this contract BECAUSE...</p>
<p>2. Three serious OSHA violations with fines totaling \$8,050</p>	<p>Violations corrected on site, penalties paid, and violations are closed. Vendor updated safety procedures for future. This has not impact on this contract BECAUSE...</p>



AGENCY PROCESS



Item 2: State Contracting Entity Process

Describe the steps taken by the State contracting entity to determine vendor responsibility including consideration of the vendor disclosures and the independent State contracting entity research, including but not limited to, internet sources, contracting entity records, and internal or external communication. If a Resource Checklist was used, it is acceptable to submit the completed list in lieu of describing the process.

Note: Do not submit copies of website search results or information found on the VendRep System.



Reviewed Questionnaire



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AGENCY PROCESS



Reviewed questionnaire and confirmed responses by conducting searches on the following websites:

Google, NYS DOS Warrants, NYS DOS Corporations, Workers' Comp Board, OSHA, NYS AG, OSC, OPWDD, and checked WCB/DOL Debarments.

In addition, our agency has worked with this vendor on numerous occasions over the past 5 years, no service concerns.



AGENCY DETERMINATION – PROFILE PART III

Part III – State Contracting Entity Responsibility Determination

The above named contracting entity has undertaken an affirmative review of the proposed contractor’s responsibility and, based upon such review, has reasonable assurance that the proposed contractor is:

Responsible Non-Responsible

Signature

Date:

Print Name:

Title:



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PRESENTERS

- **Office of the State Comptroller**
 - Craig Coutant, CMS II
 - Michele Thompson, CMS I

itservicedesk@osc.state.ny.us
866-370-4672 or 518-408-4672

Thank
you!



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