

Office of Operations
2013 Fall Conference
November 6-7
Back to Basics

State Authorities - Vendor Responsibility

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Office of Operations

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WHAT TO EXPECT TODAY:

Vendor Responsibility

- Importance
- Documentation Requirements
- Best Practices
- Online resources

New York State VendRep System

- How to enroll & use effectively



TERMS

Vendor

- Entity contracting with NYS

State Contracting Entity

- New York State authority, State agency, etc.

Contract

- Transaction

FEIN/EIN/TIN

- Federal Employer Identification # – Taxpayer ID #

Vendor ID

- Assigned for use in SFS & NYS VendRep System

Certify

- By vendor or authority not by OSC



WHY IS VR 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?”

F
L
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.



VR FACTORS

F

- Financial & Organizational Capacity



L

- Legal Authority



I

- Integrity



P

- Past Performance



DOCUMENTATION REQUIREMENTS



- Document Review – no standard format

- Memo
- Checklist
- OSC Vendor Responsibility Profile

- Vendor Responsibility Questionnaire

- If Authority's business process requires, submit copy to OSC if not on NYS VendRep System

- Certification Form

- Found in State Authority Contract Manual



STATE AUTHORITY CONTRACT MANUAL

Office of the State
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NEW YORK STATE COMPTROLLER
Thomas P. DiNapoli

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OSC Home > New York's Public Authorities > Comptroller's Oversight of State Authority Contracts

Public Authorities Home

Comptroller's Oversight of State Authority Contracts

Contract Submission Procedures

The [State Authority Contract Manual](#) contains the procedures for State authorities to submit contracts and contract amendments to the Office of the State Comptroller for approval or filing. Annual Reporting procedures are also addressed. View as [\(HTML Version\)](#) or [\(PDF Version\)](#).



VENDOR RESPONSIBILITY CERTIFICATION

<http://www.osc.state.ny.us/stateauthority/ac3287s.doc>

AC 3287-S (4/12)

OFFICE OF THE STATE COMPTROLLER - BUREAU OF CONTRACTS
VENDOR RESPONSIBILITY CERTIFICATION
FOR STATE AUTHORITY CONTRACTS

The below 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 as indicated below is:

Responsible Non-Responsible

**Contract
Number**

Vendor Name

Signed



BEST PRACTICES

- Use of Vendor Responsibility Questionnaire
- Develop a checklist for review
- Baseline of reasonable assurance
- Use of online resources



BEST TOOLS – OSC WEBSITE

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

The screenshot shows the website for the Office of the State Comptroller, New York State Comptroller Thomas P. DiNapoli. The page is titled "Vendor Responsibility" and "Vendors". It features a navigation menu with "Our Office", "Newsroom", "Resources For...", and "Find Info About...". A search bar is located in the top right. The main content area includes a sidebar with "VendRep System", "For Vendors", and "For State Agencies". The main text describes the VendRep System and provides links for "Information for all vendors", "Special information for construction vendors", and "VendRep System checklist". A "State Agencies" section includes a link for "Information for State contracting entities". A photo of Thomas P. DiNapoli is shown with a quote: "Businesses must have a level playing field to compete for opportunities with the State. My office is doing everything we can to ensure that happens." A "News" sidebar lists updates from 09-19-2013 to 03-13-2013. A yellow hard hat icon with the text "Welcome Construction Vendors" is also present.

Office of the State
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NEW YORK STATE COMPTROLLER
Thomas P. DiNapoli

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

OSC Home > VendRep Home

Vendor Responsibility

Vendors

Read below to find out more about vendor responsibility and the [VendRep System](#), including information on the factors considered when vendor responsibility is evaluated and online resources available to check your vendor responsibility status. You can also file your vendor responsibility questionnaire online using the VendRep System.

- [Information for all vendors](#) about doing business with the State of New York
- [Special information for construction vendors](#)
- [VendRep System checklist](#) - steps to enroll in and effectively use the VendRep System

State Agencies

- [Information for State contracting entities](#)

Businesses must have a level playing field to compete for opportunities with the State. My office is doing everything we can to ensure that happens.



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](#)

Welcome Construction Vendors



RESOURCES

www.osc.state.ny.us/vendrep/index.htm

VendRep System

For Vendors

For State Agencies

Information

System Information

Login

Support

Forms

Questionnaires

Documentation Requirements

Resources

FAQs

Contact Us



VENDOR RESPONSIBILITY FACTORS

- Financial & Organizational Capacity
- Legal Authority to do Business
- Integrity
- Past Performance



LET'S LOOK AT THE FACTOR:

Financial & Organizational Capacity

http://www.osc.state.ny.us/vendrep/webresources_financial.htm



NY STATE TAX WARRANT

http://www.dos.state.ny.us/corps/tax_warrant_search.html



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



Search the DOS Website

GO!

Search the State Tax Warrant Notice System

The information contained in this database is current up to October 23, 2013

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 LIEN

**Uniform
Commercial Code
Document
Search**

**e-Filing
NYS Standard Debtor
Search
Filing Number/Date
Search
Other Debtor Search
Options
Secured Party Search**



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



LET'S LOOK AT THE FACTOR:

Legal Authority

http://www.osc.state.ny.us/vendrep/webresources_legal.htm



WORKERS' COMPENSATION INSURANCE & DISABILITY BENEFIT COVERAGE

<http://www.wcb.ny.gov/icpocinq/icpocsearch.jsp>

Employer Search Criteria

Search by Employer Name

(Enter a word or partial word of the beginning part of the employer's name. The search will return employers that begin EXACTLY with the portion entered.)

Employer Name:

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

Maximum Results Displayed:

Search by Federal Employer Identification Number

FEIN: (must be nine digits)



WORKERS COMPENSATION COVERAGE

Form C-105.2

- Certificate of Workers' Compensation Insurance issued by private insurance carriers, or

Form U-26.3

- Certificate of Workers' Compensation Insurance issued by the State Insurance Fund; or

Form SI-12

- Certificate of Workers' Compensation Self-Insurance; or

Form GSI-105.2

- Certificate of Participation in Workers' Compensation Group Self-Insurance



DISABILITY BENEFITS COVERAGE

**Form DB-
120.1**

- Certificate of Disability Benefits Insurance; or

**Form DB-
155**

- Certificate of Disability Benefits Self-Insurance



NOTE

**ACORD form is not
acceptable proof of
coverage**



WC/DB EXEMPTION

CE-
200

- Certificate of Attestation of Exemption from New York State Workers' Compensation and/or Disability Benefits Coverage



REVIEW COVERAGE DOCS FOR ACCURACY

Vendor name and FEIN match the contract

WCB requires legal entity name and FEIN on certificates exactly match vendor named on the contract.



REVIEW FOR ACCURACY

2. Name and Address of the Entity Requesting Proof of Coverage (Entity Being Listed as the Certificate Holder)

Be sure your State authority's name and address are listed in this box to receive any change notices from the insurance company.



WC COMPLIANCE QUESTIONS

Direct coverage requirement questions to the
Workers' Compensation Board Compliance Division

Walter Peretti

518-402-8330

walter.peretti@wcb.ny.gov



LET'S LOOK AT THE FACTOR:

Integrity

http://www.osc.state.ny.us/vendrep/webresources_integrity.htm



NEW YORK STATE ATTORNEY GENERAL

Attorney General
Eric T. Schneiderman

Translate to Another Language



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LET'S LOOK AT THE FACTOR:

Past Performance

http://www.osc.state.ny.us/vendrep/webresources_performance.htm



PRIOR CONTRACTING

- References
- Open Book New York
 - <http://www.openbooknewyork.com/>



- NYC Vendex
 - <http://www.nyc.gov/html/vendorsearch/home.html>



OPEN BOOK NEW YORK

- www.openbooknewyork.com



Search Local Gov. Spending

See how your county, city, town, village, fire or school district gets and spends your money. This site is updated daily.



Search State Contracts

Look at active New York State contracts and see who is doing business with the State. Data is updated daily.



Search State Spending

A summary level view of all state spending. Data is updated monthly.



Search State Payments

Find payments made by the State since April 1, 2012. Data is updated daily.



SEARCH STATE CONTRACTS

NYS Active Contract Search

Basic Search Criteria

Search Contracts by

- State Agency/Authority  Vendor  Agency/Authority & Vendor

Agency/Authority Name

[Search for an Agency/Authority](#)

Advanced Search Criteria

Search

Reset

Data on Active State Agency Contracts is current as of 10/29/2013.



GENERAL RESOURCES

NYS 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



GENERAL RESOURCES - GOOGLE IT...

http://www.google.com/advanced_search

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



NEW YORK STATE VENDREP SYSTEM

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

- View standard NYS Vendor Responsibility Questionnaire online
- Used by most State agencies, some authorities
- Over 9,000 vendors are enrolled
- View contract data
- Make “Doing Business with NYS” easier

Contact OSC Help Desk



OSC HELP DESK

518-408-4672

866-370-4672

ciohelpdesk@osc.state.ny.us

