



Completing Enrollment for Vendors

Intermediate Level Training

Last Updated: December 1, 2017



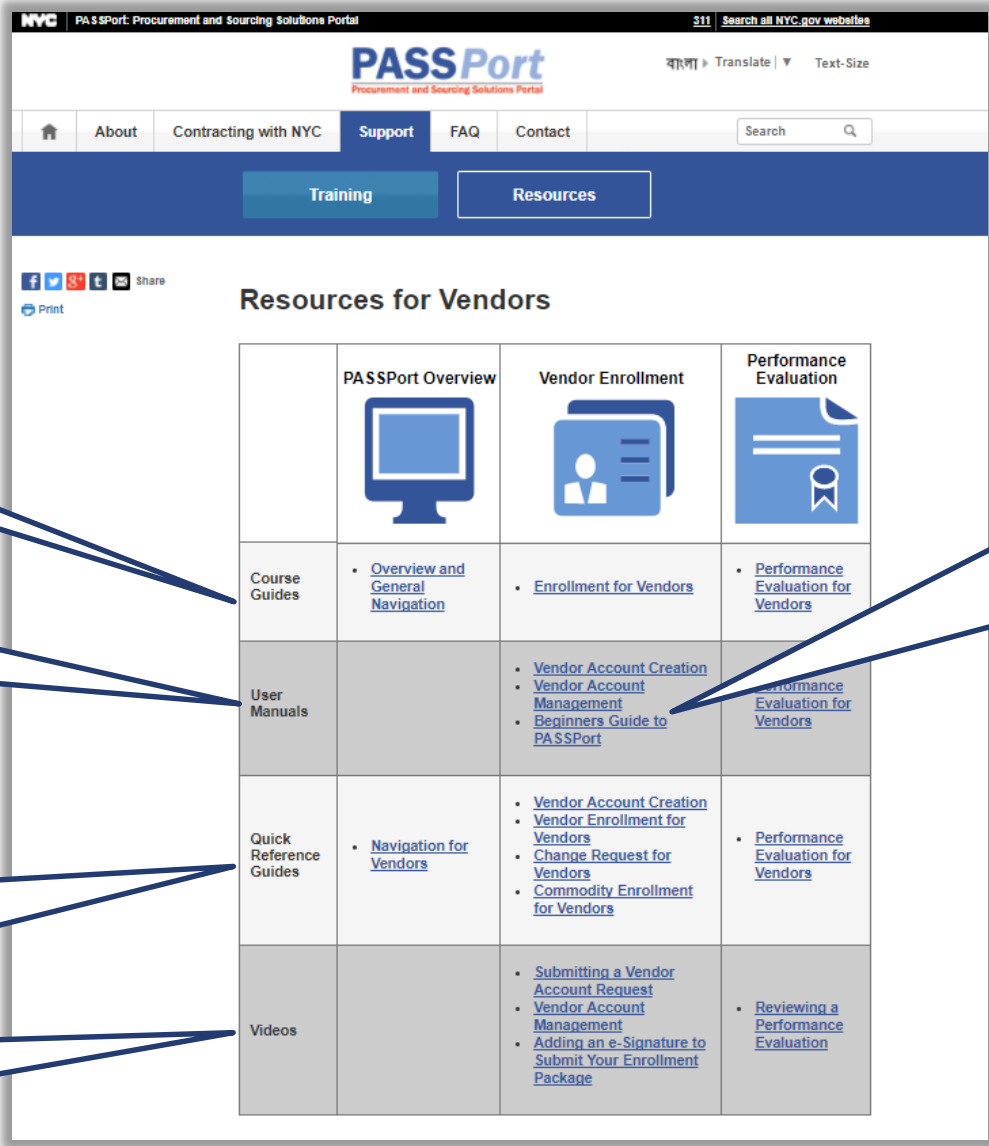
Agenda



Welcome to the **Vendor Enrollment** course. Here is a list of topics that will be covered in this course:

1. Course Introduction, Learning Objectives, and Key Changes
2. Lesson 1: Vendor Enrollment Process Overview
3. Individual Work Session

Resources: nyc.gov/passport



Training Decks

Step-by-step instructions for a particular process

1-3 page quick-reference guides for specific tasks

Short step-by-step videos for specific tasks

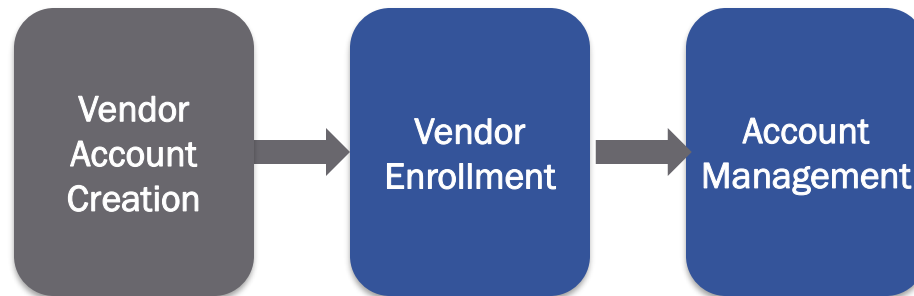
Beginners Guide to PASSPort: exhaustive step-by-step instructions on how to complete and submit a vendor enrollment package

Course Introduction

In this course, we will discuss the following highlighted steps of the Vendor Account Creation and Enrollment process. You should have already created an NYC.ID and have an approved PASSPort account for your company:



Vendor Account Creation and Enrollment



Learning Objectives

Upon completion of this course, you will be able to:



Understand an overview of the PASSPort application and the major changes associated with its implementation.



Complete a vendor enrollment package.



Make changes to your PASSPort account.

Key Changes

The PASSPort implementation will result in a new Vendor Account Creation and Enrollment process. Below are some of the major changes associated with this process:

1

PASSPort creates a unique online identity for vendors, which allows them to own and manage their account.

2

The entire process will be easier to initiate and will be completed online in PASSPort. As part of this, there is now a step-by-step guided process for enrollment.

3

All required enrollment information including vendor and principal questionnaires are entered into PASSPort; **only 1 e-Signature is required to submit the package**. PASSPort will be replacing the paper VENDEX and Certificate of No Change (CNC) forms.

4

Vendors provide ongoing management of their account online in PASSPort, including self-declaring M/WBE certification and enrolling in commodities.

5

Vendors receive real-time communication via system notifications for required actions and approvals or rejections regarding the Vendor Account Creation and Enrollment process.

These key changes will be highlighted in the process walkthrough and demonstration later in the course.



**LESSON 1:
VENDOR ENROLLMENT
PROCESS OVERVIEW**

Vendor Enrollment Overview



Vendors who are currently doing business, or who are planning to do business with the City of New York are encouraged to complete the Vendor Enrollment process, which consists of completing disclosures to submit an enrollment package. After an enrollment package has been filed, a vendor becomes fully enrolled in PASSPort and can manage their account online in PASSPort.

Vendor Enrollment Preparation and Submission

Business Information/ Contacts	Vendor/ Principal Questionnaires	Parent/ Controlling Entities	Certificate of Incorporation (COI)	e-Signature
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Vendor Account Management

Self-Declare M/WBE	Commodity Enrollment	EEO Document	Change Requests/CNCs
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Technology



Paperless enrollment process (replacing VENDEX and CNC forms) eliminates duplicative data entry and improves data accuracy

Process Improvement



The Vendor Enrollment process occurs prior to award, thereby reducing procurement cycle time

Transparency



Agencies are able to collaborate and share information using a single database of vendors

As a prerequisite to completing the vendor and principle questionnaires, vendors must add additional organization information and contacts to complete their profile.

Basic Information: Providing additional information regarding their organization's information such as their annual gross revenue, when/where their business was formed, etc.

Vendor Contacts: Identifying the account's signatory(ies), at least three principals/officers, and other colleagues who want to log in to PASSPort. There are 3 roles:

- **Contributor** - Account permission that allows a user to add and save information to the account, complete vendor questionnaire and principal questionnaires, but not sign for or submit account information for filing.
- **Signatory** - Account permission that allows a user to add and save information to the account, complete vendor questionnaire and principal questionnaires in addition to signing for and submitting account information for filing.
- **Vendor Admin** - Account permission that allows a user to add and save information to the account, complete vendor questionnaire and principal questionnaires in addition to signing for and submitting account information for filing. User is also able to assign other users on a vendor account either contributor, signatory or vendor admin permissions.



To be added to the “Contact” tab, each contact must be associated with a **unique email address**.

In order to log in to PASSPort, each contact must create their own NYC.ID using the **email address with which they are associated in PASSPort**.

Although the look and feel of the questionnaires has been greatly improved from VENDEX, the actual questions have not changed.

Vendor Questionnaire

1. Current Business Information
2. Business Relationships/Related Entities
3. Vendor Integrity History
4. Vendor Financial History
5. Investigative History
6. Employment of City Affiliated Individuals
7. Site History
8. NYC Contracting History

Principal Questionnaire

1. Basic Information
2. Principal Investment in Vendor
3. External Principal-Vendor Relationships
4. Affiliated Vendor History
5. City Government Affiliation
6. Principal Financial History

Note: A principal questionnaire must be completed for each principal identified in the “Disclosures” tab.

Parent/Controlling Entity Identification

In the “Disclosures” tab, vendors indicate if the submitting vendor has any parent or controlling entities.

Package Submission Parent/Controlling Entities Check

When an enrollment package is submitted, the system detects if there are expected questionnaires for the vendor’s parent/controlling entities. If there are, and if the entities’ questionnaires are not submitted, then the submitted package will be placed on hold until the parent/controlling entities’ disclosures is/are received.

PASSPort will release the package to MOCS for review when the parent entity’s questionnaire is received. When MOCS provides final approval on the package, the vendor becomes fully enrolled.

Vendors are required to upload a Certificate of Incorporation (or equivalent) document into the “Documentation” tab of the enrollment package.

1 The Certificate of Incorporation (or equivalent) document **must** be uploaded into the Miscellaneous Documents section of the “Documentation” tab.

2 Select the document type **“Miscellaneous/Certificate of Incorporation.”**

3 Once you have attached the document, click “Save” **and** “Submit.”

4 Click “Close” and make sure the status of your document is “Accepted.”



Adding the e-Signature

After a vendor completes their disclosures (completing basic information, the vendor and principal questionnaires, declaring any parent/controlling entities and uploading the Certificate of Incorporation), they will be able to provide an authorized e-Signature and submit their package.

e-Signatures are added in the “Signature” tab and can only be completed by contacts with the signatory role.

Note: Vendors will receive email notifications regarding the status of their enrollment package, including when the package moves into a “Filed” status.

PASSPort Vendor Status

Vendor Status	Definition
Draft	The vendor is working on completing the enrollment package and it has not yet been submitted.
Ready to Submit	The vendor has clicked “Check Progress” in the enrollment package and is awaiting an e-Signature from a signatory.
In Review	The vendor has submitted the enrollment package and it is being reviewed by MOCS.
Pending Parent/Controlling Entity	The vendor indicated on the enrollment package that they have a Parent/Controlling Entity. The package was submitted and will be placed on hold until the Parent/Controlling Entity completes and submits their enrollment package in PASSPort.
Filed	The enrollment package has been reviewed, Agencies can now view the disclosure information submitted by the vendor. There is no further action for vendors to take in the system. Any new or outstanding tasks that require action will be in the Open Workflow Tasks dashboard on the vendor’s homepage.

Vendor Account Management

Change Requests

If the vendor needs to update their account information, they can start the Change Request process in PASSPort. Once a Change Request has been submitted, it will follow the same review process as the Vendor Enrollment process. Vendors receive automated notifications regarding any Change Requests created and will be notified whenever action is taken on a Change Request.

The screenshot shows the PASSPort Vendor Profile page for Vendor Vendor804. The page is divided into sections: Basic Information, Business Address, and Primary Place of Business. The 'Create a change request' button is highlighted in green in the top right corner. The Basic Information section includes fields for Vendor name, Doing Business As, Annual gross revenue, Business category, Date this business was formed, Country in which business was formed, State in which business was formed, and County in which business was formed. The Business Address section includes fields for Address Line 1, Address Line 2, City, and Country. The Primary Place of Business section includes fields for Property Type, Address Line 1, Address Line 2, and City.

Certification of No Change

Agencies can request a Certification of No Change from a vendor via PASSPort. Vendors complete a Certification of No Change if they want to declare the organization's information on file is current and no changes need to be made. Submitting a Certification of No Change restarts the three-year clock on an enrollment package's validity.

The screenshot shows the PASSPort Vendor Homepage. The page is divided into sections: ANNOUNCEMENTS, OPEN WORKFLOW TASKS, and QUICK LINKS. The 'Enrollment Signature No Change' task is highlighted in green in the OPEN WORKFLOW TASKS section. The QUICK LINKS section includes links for Vendor Information, Vendor Contacts, Disclosures, and Commodity Enrollment.

Vendor Account Management

Vendors can also self-declare M/WBE certifications, enroll in commodities, upload documentation, and update their contact information in PASSPort.

1

Self-Declare Minority-Owned/Woman-Owned Business Enterprise (M/WBE) Certifications: Self-declaring M/WBE status in PASSPort allows Small Business Services (SBS) to run reports on self-declared M/WBE vendors and proactively reach out to them to start the SBS certification process.

2

Commodity Enrollment: Enrolling in commodities in PASSPort allows a vendor to increase their awareness of contracting opportunities with the City. When enrolling, vendors should enroll in commodities that best reflect their organization's current capacity to deliver goods and/or services.

3

Upload Documentation: To accelerate the procurement process, vendors should upload their Equal Employment Opportunity (EEO) and Doing Business As (DBA) forms in PASSPort as soon their account is created.

4

Update Contact Information: Vendors may continue to add additional users to their account as needed, as well as revise existing contact information.

Frequently Asked Questions

What are the alerts I see on my profile?

PASSPort will show you alerts when there are parts of the enrollment package that need to be completed. Alerts in “red” indicate blocking alerts, meaning you will not be able to submit your enrollment package until you address it. Alerts in “yellow” will not block you from submitting your package.

Who should I add as a “contact” to my profile?

All principal owners and/or officers must first be added as contacts. Other users can be added and given roles at the vendor admin’s discretion.

How can one of my “contacts” access our PASSPort account?

In order to access your organization’s PASSPort account, users added as a “contact” must first create a NYC.ID using the same email address associated with them in PASSPort.

How do I identify a Principal Owner and/or Officer?

Users are able to identify “contacts” as a principal owner or officer in the Disclosures tab.

I uploaded my Certificate of Incorporation, but I still have an alert indicating it is outstanding. What do I do?

When uploading a document (i.e. Certificate of Incorporation) in the Documentation tab, you must save and submit the document.

We have a parent/controlling entity and I need to create that account. How do I do it?

You can only use an email address once to create an account. Additional account requests must be submitted with a unique email address. Once the additional PASSPort account has been approved, you can link an existing NYC.ID to the new account.

I clicked the green “Check Progress” button and went into the “Signature” tab but I don’t see anywhere to sign – how do I sign and submit?

Only users with the Signatory role assigned to them will be able to sign and submit packages to the City.

APPENDIX

Vendor Enrollment Overview

Vendors log in to PASSPort to provide required information and submit a vendor enrollment package that consists of:



Business
Information

Providing additional information regarding the businesses' revenue and contact information



Vendor /Principal
Questionnaires

For the vendor and for any individuals who have a significant stake in the organization



Related Entities
Questionnaires

Vendor questionnaires for parent or other controlling entities (where applicable)



e-Signature

Secure and accurate identification method for the vendor's signatory to sign documents for enrollment

When a vendor completes their disclosures (vendor/principal questionnaires and identifying any parent/controlling entities) and submits their enrollment package, it is reviewed by the City. If all of the necessary information has been submitted, the package will be filed and the vendor is fully enrolled in PASSPort. The activities related to submitting a vendor enrollment package will be discussed in the following slides.

Vendor and Principal Questionnaires

Vendors who have parent or other controlling entities will be required to submit a vendor questionnaire for each parent or controlling entity. For reference, below is a list of the vendor types along with their definition:

Type of Vendor	Definition
Affiliate	An entity in which the parent of the vendor owns more than 50% of the voting stock, or an entity in which a group of principal owners that own more than 50% of the vendor also owns more than 50% of the voting stock.
Prime Entity	The entity awarded the contract.
Parent Entity	An individual, partnership, joint venture, or corporation that owns more than 50% of the voting stock of a vendor.
Controlling Entity	An entity that manages the day-to-day or holds 10% or more ownership of the vendor or has the right to direct daily operations.
Subsidiary Entity	An entity in which the majority of the voting stock is owned by a parent entity.
Related Entity	An organization that is related to another organization through some type of control or ownership, such as a company within another's group.
Subcontractor	An individual, sole proprietorship, partnership, joint venture, or corporation that is engaged by a vendor pursuant to a contract.

Vendor Enrollment Rules

The following rules outline when additional vendor and principal questionnaires need to be submitted:



Vendor Questionnaire

Principal Questionnaire

If the submitting vendor has a prime or controlling entity listed, then a separate vendor questionnaire must be submitted by the prime or controlling entity.

Vendor Enrollment Rules

The following rules outline when additional vendor and principal questionnaires need to be submitted:



Vendor Questionnaire

Principal Questionnaire

1. All principal owners must submit a principal questionnaire.
2. The three officers who exercise the most substantial degree of control over the entity must each submit a principal questionnaire.
3. If the vendor's principal owner is an estate or trust, then the executor or trustee must submit a principal questionnaire.

Note: If the submitting vendor is a partnership, then all partners performing work, or that you know will be performing work, on any contract with the City of New York must submit a principal questionnaire. Additionally, any partner who owns 10% or more of the partnership must also submit a principal questionnaire.

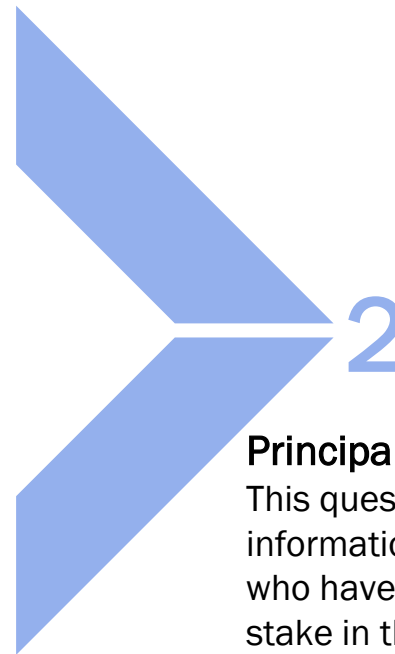
Vendor and Principal Questionnaires

Vendors must submit both vendor and principal questionnaires as part of their vendor enrollment package:



Vendor Questionnaire

This questionnaire contains information on the organization and its parent/controlling entities.



Principal Questionnaire

This questionnaire solicits information on individuals who have a significant stake in the organization.



Both the vendor and principal questionnaires are valid for **three years** from the date they are certified and signed in PASSPort. Vendors are required to update or certify this information with each new contract award.

Demonstration: Vendor Enrollment Package



Now that you have learned about the Vendor Enrollment process, we will demonstrate how to submit a vendor enrollment package.

Exercise 3: Vendor Enrollment Package



Now it is your turn to complete this process in the training environment. Reference the steps below to become familiar with submitting an enrollment package for review.

1

From the PASSPort homepage, navigate to your vendor profile via the Profile → Vendor Profile main menu navigation.

2

Enter the required information on the Basic Information tab of your vendor profile and click the “Save and Refresh” button. *The fields marked by a red vertical bar (|) are required.*

3

Navigate to the Contacts tab and add your principals and/or officers as contributors. In addition, designate an account signatory.

4

Navigate to the Disclosures tab. Click the “Edit” button to open the first section of the Vendor Questionnaire.

5

Complete the eight sections of the Vendor Questionnaire by selecting answers to each question. Please note that if you select any type of affirmative answer to a particular question, you will need to provide additional details to answer the question. After you have answered the questions for a particular section, click the “Save and Next” button. If you would like to exit the Vendor Questionnaire at any point, you can click the X icon at the top right of the page.

Exercise 3: Vendor Enrollment Package (continued)

6 Next you will need to identify your principals and/or officers. Click the “Paper” icon to identify your principals and/or officers.

7 Click the “Edit” button to start the Principal Questionnaire for the associated principal or officer.

8 Complete the six sections of the Principal Questionnaire by selecting answers to each question. Please note, if you select any type of affirmative answer to a particular question, you will need provide additional details to answer the question. After you have answered the questions for a particular section, click the “Save and Next” button.

9 At the bottom of the Disclosures tab, answer the following question: “Do you have any parent or controlling entities?”

10 Click the “Check Progress” button and then click the “OK” button to confirm that you want to submit your vendor enrollment package. Navigate to the “Signature” tab.

11 Click the “Add Signature” button and then click the “Ready to Sign” button to create a new e-Signature. Click the “Sign” button once you have checked the box and entered your password. Close the window.

12 Click the “Submit Package” button to submit your package to MOCS.

Note: If any related entities exist, their associated questionnaires must be submitted before the package is reviewed.

Demonstration: Account Management



Now that you have learned about the Account Management process, we will demonstrate how to self-declare M/WBE certifications, enroll in commodities and upload documentation in PASSPort.

Exercise 4: Account Management



Now it is your turn to complete this process in the training environment. Reference the steps below to self-declare M/WBE certifications and enroll in commodities in PASSPort.

Navigation: Profile → Vendor Profile

1 To self-declare a M/WBE certification, click the “Declare a New Certification” button at the bottom of the Basic Information tab of your vendor profile.

2 Search for and select a “Self-Declared Certification.” Then click the “Save and Close” button.

3 To enroll in a commodity, navigate to the Documentation tab and click the “Add Commodity” button.

4 Search for and select a “Commodity.” Then upload associated documentation that proves you can provide that commodity.

4 Once this is done, click the “Save” button and then the “Submit” button.

Demonstration: Create a Change Request



Now that you have learned about the Account Management process, we will demonstrate how to create a Change Request.

Exercise 5: Create a Change Request



Now it is your turn to complete this process in the training environment. Reference the steps below to create a Change Request.

Navigation: Profile → Vendor Profile

1 From the Basic Information page, click the “Create a Change Request” button.

2 At the bottom of the Basic Information tab, enter the reason for the change request in the “Change request reason” field.

3 Once you are finished making changes to your related entities, vendor questionnaire, or principal questionnaire(s), click the “Check Progress” button. Navigate to the Signature tab.

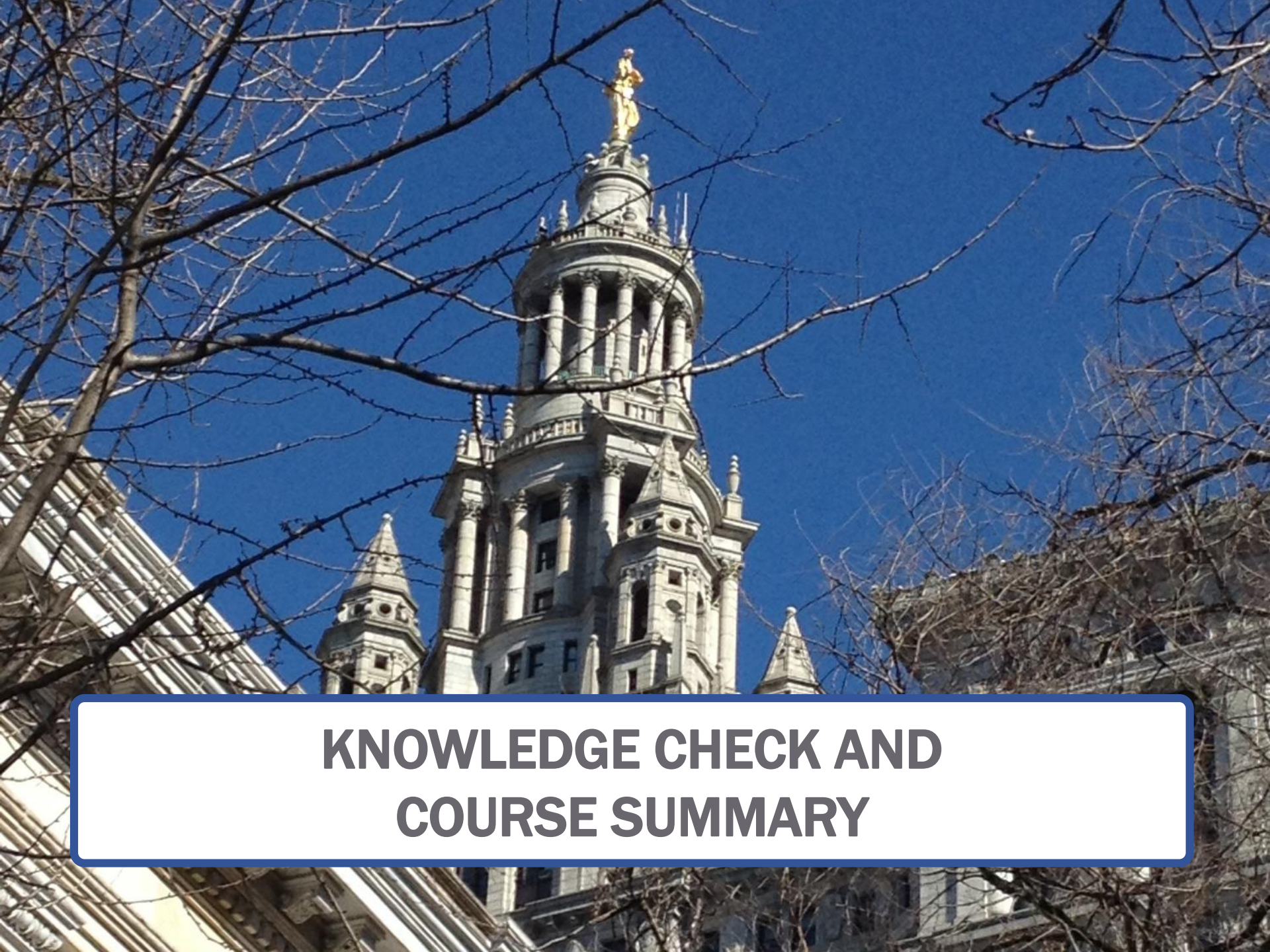
4 Click the “Add Signature” button. Then add and submit a new e-Signature.

Key Features: Vendor Enrollment



Vendors

- **PASSPort replaces the paper VENDEX and Certificate of No Change (CNC) forms.** Vendors respond to the vendor and principal questionnaires and re-enter required business information including parent and controlling entities' disclosures and e-Signatures online in PASSPort
- **PASSPort allows vendors to self-certify no changes** to their submissions **with each new contract award.** This resets the validity of their enrollment for three years
- **PASSPort expedites enrollment** as vendors are notified for the parent and controlling entities and principals for whom the questionnaires may need to be submitted
- **PASSPort is user-friendly** as it provides visual cues to vendors indicating their progress and status for each section of the questionnaire
- **PASSPort provides real-time updates** as vendors will receive email notifications whenever their submission is put on or off a hold and whenever MOCS takes action on their submission



KNOWLEDGE CHECK AND COURSE SUMMARY

Knowledge Check 1 – Multiple Choice

Additional principal questionnaires are required _____.

- A** For any principal owners and three officers who exercise the most substantial degree of control over the entity must each submit a principal questionnaire.
- B** If the vendor is in a partnership, then all partners performing on the contract and any partner who owns 10% or more of the partnership must submit a principal questionnaire.
- C** If the vendor's principal owner is an estate or trust, the executor or trustee must submit a principal questionnaire.
- D** All of the above.

That is correct. All of the above scenarios require an additional principal questionnaire.

Knowledge Check 2 – Multiple Choice

The vendor and principal questionnaires are valid for _____ from the date of the signature on the certification page.

A One year

B Two years

C Three years

D Five years

That is correct. Both questionnaires are valid for three years from the date of the signature.

Knowledge Check 3 – True or False

PASSPort sends vendors automatic notifications when actions are required on their behalf.

True

That is correct.

False

Key Takeaways

Now that you are familiar with the Enrollment process, take a moment to note the following key takeaways:

1

Vendor Enrollment



The Vendor Enrollment process consists of a vendor providing additional business information, completing the vendor and principal questionnaires, identifying related entities, and submitting their e-Signature.

2

Account Maintenance



Once a PASSPort account has been activated, the vendor is able to perform account management activities such as enrolling in commodities, uploading documents, and self-declaring M/WBE certifications.

Course Summary

You have reached the end of this course. You should now be able to:



Understand an overview of the PASSPort application and the major changes associated with its implementation.



Complete a vendor enrollment package.



Make changes to your PASSPort account.

**What
questions
do you
have?**



THANK YOU
