Enrollment for Vendors

Enrollment and Account Management
Welcome to the **Vendor Account Creation and 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 Account Creation Process Overview
3. Lesson 2: Vendor Enrollment Process Overview
4. Knowledge Check and Course Summary
5. Q&A
Upon completion of this course, you will be able to:

- Provide an overview of the PASSPort application and understand the major changes associated with its implementation.
- Understand the new Vendor Account Creation and Enrollment process.
- Submit an account request.
- Complete a vendor enrollment package.
- Make changes to your PASSPort account.
The new PASSPort Vendor Account Creation and Enrollment process may be broken down into three main steps:
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 and e-Signatures are entered into PASSPort; PASSPort will be replacing the paper VENDEX and Certificate of No Change (CNC) forms.**

4. **Vendors own the administration and 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 ACCOUNT CREATION PROCESS OVERVIEW
Lesson Introduction

In this lesson, we will discuss the following highlighted step of the Vendor Account Creation and Enrollment process:

Vendor Account Creation and Enrollment

- Vendor Account Creation
- Vendor Enrollment
- Account Management
In order to begin the Vendor Account Creation and Enrollment process, a vendor must have a NYC.ID. a NYC.ID is a secure, single sign-on that provides users access to online services at multiple New York City government Agency systems including PASSPort, Workforce1, and HHS Accelerator. The following rules dictate how vendors use NYC.IDs to access PASSPort:

1. A valid NYC.ID is required for each PASSPort user.

2. Each user must provide a valid email address and password to request and create a NYC.ID.

3. The person requesting a vendor account in PASSPort should be a principal or designee who is officially authorized to conduct business with the City on behalf of their organization.
For vendors who do not already have a NYC.ID, we will now demonstrate how to create a NYC.ID.
Vendor Account Creation Overview

The Vendor Account Creation process describes how a vendor uses their NYC.ID to submit a request for a new account in PASSPort. Once a vendor account is created, a vendor can begin the Vendor Enrollment process in PASSPort. The Vendor Enrollment process will be discussed in the next lesson.

**Vendor Account Creation**

- Vendor Submits Account Request
- Verification of EIN/Legal Name
- Approved by MOCS

**Vendor Account Management**

- Self-Declare M/WBE
- Commodity Enrollment
- EEO Status

**Technology**

- Vendors have online accounts that they can self-manage using their NYC.ID

**Process Improvement**

- PASSPort maintains integrity of data by flagging any duplicate Employee Identification Number (EIN) or vendor contact information

**Transparency**

- Small Business Services (SBS) can easily run reports in real time of vendors who identify themselves as M/WBE and reach out to them for certification to expedite the process
NYC.ID and Vendor Account Creation Overview

3 SIMPLE STEPS

1. Go Online
   Create a NYC.ID
   Official Email Address

2. Log in to PASSPort
   Submit a vendor account request
   EIN, Business Details, Contact Information

3. Receive confirmation of new account
   Update and manage account once created in PASSPort
   Business Information, Self-Declare M/WBE and Other Categories, Enroll in Commodities
Now that you have learned about the Vendor Account Creation process, we will demonstrate how to submit a vendor account request.
Exercise 2: Submit a Vendor Account Request

Now it is your turn to complete this process in the training environment. Reference the steps below to sign into PASSPort and submit a request to have a vendor account created.

Navigation: PASSPort URL

1. Click the “Create Account” button.

2. Complete all of the required fields. *The fields marked by a red vertical bar (|) are required.*

3. Click on the “Submit” button. A message displays indicating that the registration request is being reviewed and that an email will be sent regarding next steps.
Key Features: Vendor Account Creation

- Vendors create NYC.IDs and use them to log in to PASSPort (single sign-on functionality)
- PASSPort allows for a simpler, faster, and paperless process: vendors enter all data electronically and maintain ownership of information in PASSPort
- PASSPort creates a unique online identity for vendors that allows them to own and manage their accounts
- Vendors receive real-time communication via email notifications for any required actions or updates required in PASSPort
- PASSPort creates one vendor account for a EIN with a unique vendor admin and all associated contacts will be added to the unique account
In this lesson, we will discuss the following highlighted steps of the Vendor Account Creation and Enrollment process:

Vendor Account Creation and Enrollment

- Vendor Account Creation
- Vendor Enrollment
- Account Management
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 discourses 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.

**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

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### Vendor Enrollment Preparation and Submission

- Business Information
- Vendor/Principal Questionnaires
- Related Entities
- e-Signature

### Vendor Account Management

- Self-Declare M/WBE
- Commodity Enrollment
- EEO Status
- Change Requests
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 agency and for any individuals who have a significant stake (10% or more) 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.
As a prerequisite to completing the vendor and principle questionnaires, vendors must add additional organization information and contacts to complete their profile.

1. **Organization Information:** Providing additional information regarding their organization’s information such as their annual gross revenue, when/where their business was formed, etc.

2. **Vendor Contacts:** Identifying their account’s signatory(ies) and identifying at least three principals/officers as contributors.
   - Principals are defined as any individual, partnership, joint venture, or corporation that holds a 10% or greater ownership interest in the enrolling vendor.
   - Officers are defined as any individual who serves as or performs the functions of chief executive officer, chief financial officer, or chief operating officer, or their equivalents, of the enrolling vendor.

3. **Certificate of Incorporation (COI) Document:** Uploading the organization’s COI or equivalent document.
As vendors add principals and/or officers to their accounts, those contacts should create NYC.IDs with the email addresses that were listed on the Contacts tab.

Once that principal or officer creates a NYC.ID with the same email that is listed on the Contact tab, they will be able to log in to PASSPort and access both the vendor questionnaire and their associated principal questionnaire.
Vendors must submit both vendor and principal questionnaires as part of their vendor enrollment package:

1. **Vendor Questionnaire**
   - This questionnaire contains information on the organization and its parent/controlling entities.

2. **Principal Questionnaire**
   - This questionnaire solicits information on individuals who have a significant stake (10% or more) 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.
Vendor and Principal Questionnaires

When completing the questionnaires, vendors will answer questions regarding the following categories:

**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:** Although the look and feel of these questionnaires has been greatly improved from VENDEX, the actual questions have not changed.
## 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. However, principal questionnaires for parent or controlling entities are not required. For reference, below is a list of the vendor types along with their definition:

<table>
<thead>
<tr>
<th>Type of Vendor</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Affiliate</td>
<td>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.</td>
</tr>
<tr>
<td>Prime Entity</td>
<td>The entity awarded the contract.</td>
</tr>
<tr>
<td>Parent Entity</td>
<td>An individual, partnership, joint venture, or corporation that owns more than 50% of the voting stock of a vendor.</td>
</tr>
<tr>
<td>Controlling Entity</td>
<td>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.</td>
</tr>
<tr>
<td>Subsidiary Entity</td>
<td>An entity in which the majority of the voting stock is owned by a parent entity.</td>
</tr>
<tr>
<td>Related Entity</td>
<td>An organization that is related to another organization through some type of control or ownership, such as a company within another's group.</td>
</tr>
<tr>
<td>Subcontractor</td>
<td>An individual, sole proprietorship, partnership, joint venture, or corporation that is engaged by a vendor pursuant to a contract.</td>
</tr>
</tbody>
</table>
Vendor Enrollment Rules

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

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:

1. All principal owners must submit a principal questionnaire.
2. All officers must submit a principal questionnaire.
3. If the submitting 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 principal questionnaires.
4. If the vendor’s principal owner is an estate or trust, then the executor or trustee must submit a principal questionnaire.
Submitting the Enrollment Package

Submitting the e-Signature
After a vendor completes their disclosures (completing vendor and principal questionnaires and declaring any related entities), they will be able to submit their package and provide an official e-Signature.

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 last expected questionnaire is received. When MOCS provides final approval on the package, the vendor becomes fully enrolled.

Note: Vendors will receive email notifications whenever their package is put on or off hold and whenever MOCS takes action on their enrollment package.
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 Questionnaire tab, answer the following question: “Do you have any parent or controlling entities?”

10. Click the “Ready to Sign and Submit” button and then click the “OK” button to confirm that you want to submit your vendor enrollment package.

11. Click the “New Vendor Signature” button and then click the “Ready to Sign” button to create a new e-Signature. Click the “Sign” button once you have entered your credentials.

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

Note: If any related entities exist, their associated questionnaires will need to be submitted before the package is reviewed.
After the Vendor Enrollment process is completed, vendors can continue to 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 revise existing contact information.
If a vendor needs to update their vendor record in terms of related entities, vendor questionnaire, or principal questionnaire, 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 will receive automated notifications regarding any Change Requests they create.
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.
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.

5. Once this is done, click the “Save” button and then the “Submit” button.
PASSPort replaces 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 through account self-service.

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
Before vendors can create an account in PASSPort, they are required to establish a NYC.ID.

That is correct. Vendors must establish a NYC.ID prior to creating an account in PASSPort.
When completing a vendor account request, which choice below best describes the types of information the vendor must provide?

A. The vendor’s legal name, address, EIN, and designated vendor administrator contact details.

B. The vendor’s legal name, address, designated vendor administrator contact details, related entities, and principal information.

C. The vendor’s legal name, address, EIN, designated vendor administrator contact details, and integrity/financial history.

D. The vendor’s legal name, address, EIN, CEO information, and designated vendor administrator contact details.

That is correct. This form details the vendor’s legal name, address, EIN, CEO information, and designated vendor administrator contact details.
Additional principal questionnaires are required __________.

A. For any principal owners and officers.
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.
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.
PASSPort sends vendors automatic notifications when actions are required on their behalf.

That is correct.
Now that you are familiar with the Vendor Account Creation and Enrollment process, take a moment to note the following key takeaways:

1. **NYC.ID**
   - Vendors are required to create a NYC.ID before they can perform the Vendor Account Creation and Vendor Enrollment processes.

2. **Account Creation**
   - As part of the Account Creation process, vendors are required to provide basic information such as legal name, address, EIN, CEO information, and designated vendor administrator contact details.

3. **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.

4. **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.
You have reached the end of this course. You should now be able to:

- Provide an overview of the PASSPort application and understand the major changes associated with its implementation.
- Understand the new Vendor Account Creation and Enrollment process.
- Submit an account request.
- Complete a vendor enrollment package.
- Make changes to your PASSPort account.
What questions do you have?
THANK YOU
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 with making changes to your related entities, vendor questionnaire, or principal questionnaire(s), click the “Change Request Completed” button.

4. Click the “New Vendor Signature” button and then add and submit a new e-Signature.