



Vendor Enrollment: A Beginner's Guide to PASSPort

<p>Roles Involved:</p> <ul style="list-style-type: none">• Vendors	<p>Summary: Step-by-step instructions on how to complete and submit a vendor enrollment package in PASSPort.</p>
---	---

Last Updated: December 1, 2017

Table of Contents

1. Vendor Enrollment Overview	3
2. Submitting a Vendor Enrollment Package.....	4
2.1 Completing Your Basic Company Information.....	5
2.2 Adding Contacts and Additional Users to Your Account	7
2.3 Completing the Vendor Questionnaire.....	10
2.4 Completing Principal Questionnaires.....	31
2.5 Identifying Related Entities.....	49
2.6 Uploading Certificate of Incorporation (COI) Documentation.....	52
2.7 Adding an e-Signature and Submitting the Vendor Enrollment Package	58
3. Glossary	65

Accessing PASSPort

To access PASSPort and log in using your NYC.ID credentials, go to <http://www.nyc.gov/passport>

Note: While navigating PASSPort, you are able to increase the font size and readability. To do this, click the “ctrl” and “+” keys simultaneously on your keyboard. Each time you click these keys, your web browser will zoom in and PASSPort will resize accordingly. To reduce PASSPort’s font size, simultaneously click the “ctrl” and “-” keys.

1. Vendor Enrollment Overview

This user manual provides you with step-by-step instructions for completing and submitting a **vendor enrollment** package in PASSPort.

Vendors who are currently doing (or planning to do) business with the City of New York are encouraged to complete the **Vendor Enrollment** process. To complete the **Vendor Enrollment** process, you must first create a PASSPort account (please refer to the **Account Creation** Manual or Job Aid at <http://www.nyc.gov/passport>). When you have completed the Vendor **Account Creation** process, log in to PASSPort to prepare and submit your organization's enrollment package online by providing the following:

1. **Business Information:** Provide information regarding your business revenue and **contact** information.
2. **Contacts:** Identify and add all of your **principal owners** and/or **officers** to your organization's **contacts** list as well as designating an account **signatory**. Any colleagues that want access to the system must first be added as a contact, then register an NYC ID using the same email address associated with them in PASSPort. **Principal owners** are defined as **individuals**, partnerships, joint ventures, or corporations that hold a 10% or greater ownership interest in an **enrolling vendor**. **Officers** are defined as **individuals** who serve as or perform the functions of chief executive officer, chief financial officer, or chief operating officer, or their equivalents, of the **enrolling vendor**.
3. **Vendor and Principal Questionnaires:** Please refer to sections 2.3 (**vendor questionnaire**) and 2.4 (**principal questionnaire**) for guidance on submitting your organization's questionnaires.
4. **Related Entities:** Identify any **parent**, **controlling entities**, **affiliates**, and **subsidiaries**. A **Parent** is any **individual** or **entity** (including a partnership, joint venture, or corporation) that owns more than 50% of the voting stock of a vendor. **Controlling entities** are any **entities** that hold 10% or greater ownership share of a vendor or have the right to direct daily operations. An **affiliate** is an **entity** in which the **parent** of the **enrolling vendor** either owns more than fifty (50) percent of the voting stock and/or an **entity** in which a group of **principal owners** or **officers** that owns more than fifty (50) percent of the **enrolling vendor** also owns more than fifty (50) percent of that **entity's** voting stock. A **subsidiary** is an **entity** in which the majority of the voting stock is owned by a **parent**.
5. **Certificate of Incorporation (COI) Documentation:** Upload your organization's Certificate of Incorporation or equivalent document.
6. **e-Signature:** Submit an e-Signature for your enrollment package, which is a secure and accurate identification method for account signatories to sign documents with the City.

Once your organization's enrollment package has been submitted, the Mayor's Office of Contract Services (MOCS) will review the package and contact you with any questions or requests for additional information. After an enrollment package has been filed by MOCS, your organization will become fully enrolled in PASSPort and can continue to manage your account online in PASSPort.



Note: You will find key terms in blue text (for example, "**Vendor Enrollment**") throughout the Guide. These terms are defined in the Glossary at the end of the Guide.

The descriptions of the information and documents necessary to complete PASSPort enrollment, listed in sections one and two of this document, do not modify the terms or meaning of the PASSPort Vendor Questionnaire, the [Principal Questionnaire](#), or the glossary of terminology in section three, below. These descriptions are brief summaries intended only to aid you in the collection of documents and records so that you can expediently complete the enrollment process.

2. Submitting a Vendor Enrollment Package

Follow the steps below to prepare and submit a [Vendor Enrollment](#) package in PASSPort.

The screenshot shows the PASSPort Vendor Homepage. The top navigation bar includes 'Profile', 'Tasks', 'Contracts', 'Performance', and 'Support'. The user is logged in as 'Maxine B.'. The main content area is divided into three sections: 'ANNOUNCEMENTS', 'OPEN WORKFLOW TASKS', and 'VENDOR CHECK LIST'. The 'OPEN WORKFLOW TASKS' section shows a table with 2 results. A green circle with the number '1' highlights a task with a pencil icon in the 'Edit' column.

Edit	Type of request	Label	Task to perform	Forwarded on
	Vendor (New)	(Vendor804) (UNITED STATES)	Vendor Enrollment Package Preparation	10/25/2017

1. From the PASSPort homepage, navigate to your vendor profile through the Open Workflow Tasks window on the page.

The “**Task to perform**” in the Open Workflow Tasks window will be ***Vendor Enrollment Package Preparation***.

Open the task by clicking the icon.


2.1 Completing Your Basic Company Information

Your vendor profile is displayed. On the **Basic Information** tab, you will need to provide additional company information.

Note: While a red line indicates a field where information must be provided, you should complete all fields.

You will also notice any alerts related to your account at the top of the page. Alerts preceded by an

⚠ icon are warning alerts that will not stop you from proceeding with a process.

Alerts preceded by an  icon are blocking alerts that will prevent you from proceeding with a process.

2. Select your company's **"Annual gross revenue."**
3. Select your company's **"Business category."**
4. Select the **"Date this business was formed."**

PASSPort Profile Tasks Contracts Performance Support

Vendor Vendor804 - Draft

Save and Refresh Check Progress

Date this business was formed: 03/08/1999

Country in which business was formed: UNITED STATES

State in which business was formed: New York

County in which business was formed: New York

National or regional stock exchange or NASDAQ listing:

Twitter: Facebook: Other social media:

BUSINESS ADDRESS

Address Line 1: 123 Street

Address Line 2:

City: Brooklyn

Country: UNITED STATES

State/Province: New York

Zip Code: 11201

Phone number:

PRIMARY PLACE OF BUSINESS (IN THE NYC METROPOLITAN AREA)

Property Type:

Address Line 1:

Address Line 2:

City:

Country:

Zip Code:

VENDOR M/WBE CERTIFICATIONS

Declare New Certification

0 Result(s)

VENDOR CHANGE REQUEST

0 Result(s)

1 Basic Information

2 Contacts

3 Disclosures

4 Documentation

5 Signature

(scroll down on the page)

5. Enter the “**State in which business was formed.**”
6. Enter the “**County in which business was formed.**”
7. Select the “**Property Type**” for your organization’s **primary place of business** in the NYC metropolitan area and enter your property’s address.
8. Click the “**Save and Refresh**” button.

Note: In general, it is a best practice to click “**Save and Refresh**” before you navigate to another page, tab, or window in PASSPort. PASSPort will timeout after 20 minutes of inactivity.

9. Navigate to the **Contacts** tab.

2.2 Adding Contacts and Additional Users to Your Account

10 Add a Contact




Name	Email	Role
Brody Maxine	passporttraining@mailinator.com	Vendor admin



As part of the enrollment process, **principal questionnaires** must be completed for all of your **principal owners** and those **officers** that are required to complete **principal questionnaires**. All **principal owners** and/or **officers** must be identified on the **Contacts** tab.

See Glossary for the definitions of “**Principal Owner**” and “**Officer**.”

10. Click the “**Add a Contact**” button.

Note: Only contacts with the **Vendor Admin** role can complete this action.

Contact Management 14   

 Save  Close Save and Close

CONTACT INFORMATION ▾

Salutation :

11 First name ⓘ :

12 Last name ⓘ :


13 Email :

Phone ⓘ :

Cell Phone ⓘ :

Title :

Default Language : English ▾

Photo :  Drag and Drop to Add a File

Status : Active

BUSINESS ADDRESS ▾

Address Line 1 : 123 Street

Address Line 2 :

City : Brooklyn

Country : UNITED STATES ▾

State/Province : New York ...

Zip Code : 11201

11. Enter the “**First name**” of the **contact**.
12. Enter the “**Last name**” of the **contact**.
13. Enter the “**Email**” of the **contact**.
14. Click the “**Save and Close**” button.

15. Select a “Role” for the **contact** that was added. Multiple roles may be selected for a **contact**.

- **Vendor admin:** Manages access to PASSPort and updates basic account information.
- **Signatory:** Is legally authorized to sign and submit information on behalf of the vendor organization.
- **Contributor:** Supports completion of forms, but is not authorized to submit information to the City.

16. Click the “Save and Refresh” button.

17. Click the “Add a Contact” button. Continue adding **contacts** until you have added all of your **principal owners** and/or **officers**.

18. Navigate to the **Disclosures** tab.



After a **principal owner** or **officer** has been added as a **contact** on the **Contacts** tab, they are able to create a NYC.ID using the **e-mail** address that is associated with them on the **Contacts** tab. **Principal owners** and/or **officers** can create a NYC.ID by navigating to <http://www.nyc.gov/passport>, clicking the “Login” button, and then clicking the “Create Account” link.

Once a **principal owner** or **officer** creates a NYC.ID, they will be able to log in to PASSPort and access both the Vendor Questionnaire and their **Principal Questionnaire** for your vendor account.

2.3 Completing the Vendor Questionnaire

PASSPort Profile Tasks Contracts Performance Support

Vendor Vendor804 - Draft

Save and Refresh Check Progress

ALERTS

- Upload your Certificate of Incorporation (or equivalent) in the Doc...
- Please upload your Division of Labor Services (DLS) documentation
- Identify three principal owners/officers in the Disclosures tab. If...

INSTRUCTIONS

Questionnaire completion status : Not Started
PASSPort Vendor Status : Draft

On this page, you will finalize your Disclosures by:

- Answering the 8 sections of the Vendor Questionnaire carefully and completely.
- Identifying your Principal(s) and/or Officer(s), and completing any associated Principal Questionnaires.
- Identifying your Parent and/or Controlling entities.
- Providing your E-Signature, and submitting your Disclosures.

VENDOR QUESTIONNAIRE 19

Vendor Questionnaire Sections

Section	Action	Progress	Status
Section 1: Current Business Information	Edit		Not Started
Section 2: Business Relationships / Related Entities	Edit		Not Started

Now that you have entered additional company information, identified your **principal owners** and/or **officers**, and designated an account **signatory**, you are ready to start the vendor and **principal questionnaires** on the **Disclosures** tab.

19. Scroll down on the page to view the **Vendor Questionnaire** section.

PASSPort Profile Tasks Contracts Performance Support

Vendor Vendor804 - Draft

Save and Refresh Check Progress

2. Identifying your Principal(s) and/or Officer(s), and completing any associated Principal Questionnaire.
 3. Identifying your Parent and/or Controlling entities.
 4. Providing your E-Signature, and submitting your Disclosures.

VENDOR QUESTIONNAIRE

Vendor Questionnaire Sections

Section 1: Current Business Information	20 Edit	○	Not Started
Section 2: Business Relationships / Related Entities	Edit	○	Not Started
Section 3: Vendor Integrity History	Edit	○	Not Started
Section 4: Vendor Financial History	Edit	○	Not Started
Section 5: Investigative History	Edit	○	Not Started
Section 6: Employment of City-Affiliated Individuals	Edit	○	Not Started
Section 7: Site Information	Edit	○	Not Started
Section 8: NYC Contracting History	Edit	○	Not Started

Vendor Questionnaire Attachments

Add an Attachment

0 Result(s)

The **Vendor Questionnaire** consists of eight sections.

20. Click the **“Edit”** button to open **Section 1: Current Business Information**.

Current Business Information

21

22

Save Save and Next

SECTION 1: CURRENT BUSINESS INFORMATION

1 2 3 4 5 6 7 8

Section Status: Not Started
Selecting 'Yes' requires that you add a row.

CURRENT BUSINESS INFORMATION

Resource-Sharing

1. Does the submitting vendor share office spaces, staff, expense or equipment with any other entities?

Financial & Tax Information

2. Is the submitting vendor exempt from income taxes under the Internal Revenue Code?

3. Is ten (10) percent or more of the submitting vendor's stock or ownership currently used or pledged as collateral for any loan or obligation?

4. Are there or have there been any judgments, injunctions, or liens, including, but not limited to, judgments based on taxes owed, fines, or penalties assessed by any government agency, elected official, or the New York City Council, initiated against the submitting vendor and/or any affiliate that remain open, unsatisfied, or in effect today?

5. Does the submitting vendor, any affiliate, or any of their current or former principal owners or officers or managerial employees have any felony, misdemeanor, and/or administrative charges currently pending?

Other EIN / DBA

21. Answer the six questions for **Section 1: Current Business Information**.

Note: If you select an affirmative response to a particular question, you will need to provide additional details to answer the question. This process is further detailed in this section of the Guide.

22. After you have answered the questions for this section, click the **“Save and Next”** button.

This section contains questions regarding your organization's biographical information. Use the information below to help you answer the questions in this section. *Definitions for the key terms below can be found in the Glossary at the end of this document.*

Section 1: Current Business Information



- Address and **EIN** of **entities** with which your organization **shares** resources.
- Details regarding any **entity** or **individual** who can use or has been pledged ownership of your organization.
- Details of any open judgments, injunctions, or liens against your organization or its **affiliates**.
- Details of pending criminal and/or **administrative charges** against your organization, any **affiliates**, or current or former **principal owners, officers, or managerial employees**.
- Any **EINs, DBAs, trade names, or abbreviations** previously used by your organization.



- Documents from the Internal Revenue Service that prove your exempt status, if applicable.
- Official documents pertaining to open judgments, injunctions, liens, pending criminal charges, and pending **administrative charges** from courts or investigating **agencies** related to the information requested above.



- **Administrative Charges**
- **Affiliate**
- **DBA**
- **Entity**
- **Managerial Employee**
- **Principal Owner**
- **Officer**
- **Share**
- **Shared Staff**

CURRENT BUSINESS INFORMATION ▾

Resource-Sharing ▾

1. Does the submitting vendor share office spaces, staff, expense or equipment with any other entities?

Yes ▾ ⓘ

+ Add Row

Type	Entity Name	Entity EIN ⓘ	Address Line 1	Address Line 2	City	State	Zip Code
0 Result(s)							

CURRENT BUSINESS INFORMATION ▾

Resource-Sharing ▾

1. Does the submitting vendor share office spaces, staff, expense or equipment with any other entities?

Yes ▾ ⓘ

+ Add Row

Type	Entity Name	Entity EIN ⓘ	Address Line 1	Address Line 2	City	State	Zip Code
x	Space ▾						...
0 Result(s)							

Whenever an affirmative answer is selected as an answer to a particular question, you will need to provide additional details to answer the question.

In the example on the left, first click the **“Add Row”** button to enter the details for the **entity** that **shares** office space, staff, expenses, or equipment with the vendor. Continue to click the **“Add Row”** button to add additional **entities**.

Clicking the **“Add Row”** button and entering additional information is the process that is followed whenever an affirmative response is selected as an answer to a particular question on either questionnaire.

Be sure to click the **“Save”** button at the top of the page after you add a row and enter in additional information.

Business Relationships / Related Entities

24

Save Save and Previous Save and Next

23

SECTION 2: BUSINESS RELATIONSHIPS / RELATED ENTITIES

1 2 3 4 5 6 7 8

Section Status: Not Started
Selecting 'Yes' requires that you add a row.

BUSINESS RELATIONSHIPS / RELATED ENTITIES

1. Does the submitting vendor control one or more entities?
2. Is the submitting vendor a subsidiary of, and/or controlled by, any other entity?
3. Does the submitting vendor have one or more affiliates?
4. Pursuant to any stock option or any other arrangements, does any individual or entity have the right within the next three (3) years to acquire stock in the submitting vendor, which, when combined with current holdings, would make such individual or entity a principal owner or officer?

Note: PASSPort will provide you with visual cues as you complete the questionnaires. The screenshot shows the first section of the **Vendor Questionnaire** has been completed (indicated by the color green). You are on Section Two (indicated by the color blue), and the remaining six sections have not been started (indicated by the color orange).

23. Complete **Section 2: Business Relationships / Related Entities**.

24. After you have answered the questions for this section, click the **“Save and Next”** button.

This section asks about your organization's relationships with related organizations. Please note that these related organizations will need to disclose additional information. Use the information below to help you answer the questions in this section. *Definitions for the key terms below can be found in the Glossary at the end of this document.*

Section 2: Business Relationships / Related Entities



- Name, **EIN**, and address of **affiliates**, **controlled entities**, and/or **entities** of which you are a **subsidiary**.
- **Individuals** and/or **entities** who would be **principal owners** and/or **officers** if they exercise their stock options.



- **Affiliates**
- **Controlling Entity**
- **Entity**
- **Officer**
- **Principal Owner**
- **Subsidiary**

Vendor Integrity History

26

Save Save and Previous Save and Next

25

SECTION 3: VENDOR INTEGRITY HISTORY

1 2 3 4 5 6 7 8

Section Status: Not Started
Selecting 'Yes' requires that you add a row.

VENDOR INTEGRITY HISTORY

Revocations & Disqualifications

1. In the past five (5) years, has the submitting vendor, any of its principal owners or officers, or any affiliate had any permit, license, concession, franchise or lease terminated for cause or revoked?
 ①

2. In the past five (5) years, has the submitting vendor, any of its principal owners or officers, or any affiliate been disqualified for cause as a bidder on any permit, license, concession, franchise or lease?
 ①

Sanctions

25. Complete **Section 3: Vendor Integrity History**.

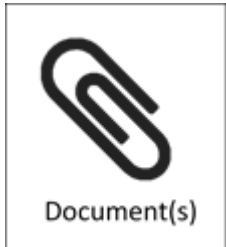
26. After you have answered the questions for this section, click the **“Save and Next”** button.

Section 3: Vendor Integrity History

This section covers questions regarding your organization's history and any of your organization's **principal owners** or **officers**. Information requested will be related to previous revocations of licenses and any **sanctions** and/or actions that resulted in a negative impact (e.g., debarment, non-responsibility) on a **government contract**. Use the information below to help you answer the questions in this section. *Definitions for the key terms below can be found in the Glossary at the end of this document.*



- Negative information concerning any permits, licenses (including professional licenses), franchises, or leases held by your organization, its **principal owners** and/or **officers**, or **affiliates** in the past five years.
- Details regarding negative information on **government contracts** held by your organization and/or its **affiliates** (e.g., debarment, findings of **non-responsibility**, or unsatisfactory performance evaluations).



- Official documents from the relevant **agency** related to the information described above.



- **Affiliate**
- **Contract**
- **Government Contract**
- **Non-Responsible**
- **Officer**
- **Principal Owner**
- **Submitting Vendor**
- **Subsidiary**

Vendor Financial History

28

Save Save and Previous Save and Next

27

SECTION 4: VENDOR FINANCIAL HISTORY

1 2 3 4 5 6 7 8

Section Status: Not Started
Selecting "Yes" requires that you add a row.

VENDOR FINANCIAL HISTORY

Bankruptcy

1. Have any bankruptcy proceedings been initiated by or against the submitting vendor or its affiliates within the past seven (7) years (whether or not closed) or is any bankruptcy proceeding pending by or against the submitting vendor or its affiliates, regardless of date of filing?

Adverse Audits

2. (This question applies to Nonprofit vendors, others please answer "no.") In the past three (3) years, have any audits of the submitting vendor revealed material weaknesses in its system of internal controls, its compliance with contractual agreements, and/or its compliance with laws and/or regulations?

Taxes & Fees

3. During the past five (5) years, has the submitting vendor failed to file any applicable federal, state, New York City, or other tax returns?

4. During the past five (5) years, has the submitting vendor failed to pay any applicable federal, state, New York City, or other taxes?

5. During the past five (5) years, has the submitting vendor failed to pay any other assessed New York City charges, including, but not limited to, water and sewer charges?

27. Complete **Section 4: Vendor Financial History**.

28. After you have answered the questions for this section, click the **"Save and Next"** button.

Questions asked in this section focus on your organization's previous financial activities, including questions regarding previous bankruptcies and tax delinquency. Additionally, this section asks about judgments and/or liens initiated against your organization and/or its **affiliates**. Use the information below to help you answer the questions in this section. *Definitions for the key terms below can be found in the Glossary at the end of this document.*

Section 4: Vendor Financial History



- Details regarding any bankruptcy proceedings involving your organization or **affiliates** in the past seven years.
- For **nonprofits**: Details regarding any audits that reveal **material weaknesses**.
- Details regarding your organization's failure to file or pay taxes and/or pay other City charges in the past five years.
- Details regarding any judgments, injunctions, or liens against your organization and/or its **affiliates** in the past five years.



- Official court or investigating **agency** documents related to the information described above.



- **Affiliates**
- **Material Weakness**
- **Submitting Vendor**

Investigative History 30

Save Save and Previous **Save and Next**

Saved

29 SECTION 5: INVESTIGATIVE HISTORY

1 2 3 4 5 6 7 8

Section Status: Not Started
Selecting 'Yes' requires that you add a row.

INVESTIGATIVE HISTORY

Investigations

1. In the past five (5) years, has the submitting vendor, or any of the submitting vendor's affiliates, or any individual currently or within that period serving as a principal owner, officer, or managerial employee, been investigated by any government agency, including, but not limited to, federal, state, and local regulatory agencies?

ⓘ

Convictions

2. Has the submitting vendor, any affiliate, or any of their current or former principal owners, officers, or managerial employees been convicted of a misdemeanor and/or found in violation of any administrative, statutory, or regulatory provisions in the past five (5) years?

ⓘ

3. Has the submitting vendor, any affiliate, or any of their current or former principal owners, officers, or managerial employees been convicted of a felony, and/or any crime related to truthfulness, and/or any crime related to business conduct in the past ten (10) years?

ⓘ

29. Complete **Section 5: Investigative History**.

30. After you have answered the questions for this section, click the **“Save and Next”** button.

These questions focus on past events that were investigatory in nature. You will be asked to provide information about current and/or previous investigations from the City and other government **entities**. Further, you will be asked to detail information regarding any convictions your organization, its **affiliates**, **managerial employees**, or **principal owners** and/or **officers** have faced over a specific timeframe. Use the information below to help you answer the questions in this section. *Definitions for the key terms below can be found in the Glossary at the end of this document.*

Section 5: Investigate History



- Details regarding any investigations, criminal convictions, or administrative violations within the past five years involving your organization, its **affiliates**, or any of their **principal owners**, **officers**, or **managerial employees**.
- Details regarding convictions for felonies or other offenses related to truthfulness or business conduct within the past ten years involving your organization, its **affiliates**, or any of their **principal owners**, **officers**, or **managerial employees**.



- Official court or investigating **agency** documents related to the information described above.



- **Affiliate**
- **Agency**
- **Investigated**
- **Managerial Employee**
- **Officer**
- **Principal Owner**
- **Submitting Vendor**

Employment of City-Affiliated Individuals

32

Save Save and Previous Save and Next

31

SECTION 6. EMPLOYMENT OF CITY-AFFILIATED INDIVIDUALS

1 2 3 4 5 6 7 8

Section Status: Not Started
Selecting 'Yes' requires that you add a row.

EMPLOYMENT OF CITY-AFFILIATED INDIVIDUALS

1. Are there any individuals now serving in a managerial or consulting capacity to the submitting vendor, whether or not as a principal owner or officer, who now serve, or within the past five (5) years have served, as an elected or appointed public official or officer?
 ⓘ

2. Are there any individuals now serving in a managerial or consulting capacity to the submitting vendor, whether or not as a principal owner or officer, who also serve or within the past five (5) years have served as a full or part-time employee in a New York City agency or as a consultant to a New York City agency?
 ⓘ

3. Are there any individuals now serving in a managerial or consulting capacity to the submitting vendor, whether or not as a principal owner or officer, who also serve or have served within the past five (5) years as an officer of any political party organization in New York City, whether paid or unpaid?
 ⓘ

4. Are there any individuals now serving in a managerial or consulting capacity to the submitting vendor, whether or not as a principal owner or officer, who also serve or have served within the past five (5) years as a consultant or advisor to a New York City agency performing services related to the solicitation, negotiation, operation and/or administration of contracts on which the submitting vendor will work during the next three (3) years?
 ⓘ

31. Complete Section 6: Employment of City-Affiliated Individuals.

32. After you have answered the questions for this section, click the "Save and Next" button.

Section 6: Employment of City-Affiliated Individuals

This section requests information about current or former City employees who may now work for your organization. The information that is requested in this section asks where these employees previously worked, and the nature of their current role. You will also be asked about affiliations with political parties/organizations. Use the information below to help you answer the questions in this section. *Definitions for the key terms below can be found in the Glossary at the end of this document.*



- Details regarding **managerial employees** or **consultants** to your organization who, within the past five years, have served as an elected or appointed public official or officer, an employee or **consultant** of a **New York City agency**, or an **officer** of a New York City political party.



- **Consulting Capacity**
- **Managerial Capacity**
- **Officer**
- **Principal Owner**

Site Information

34

Save Save and Previous Save and Next

33

SECTION 7: SITE INFORMATION

1 2 3 4 5 6 7 8

Section Status : Not Started
Selecting 'Yes' requires that you add a row.

SITE INFORMATION

1. Has the submitting vendor used any other business addresses and/or telephone numbers at any time during the prior five (5) years?
 ⓘ

2. Does the submitting vendor anticipate using or occupying any real property, other than the listed business addresses during the next three (3) years?
 ⓘ

3. Does any principal owner or officer of the submitting vendor, or any member of his/her immediate family, have an ownership interest in any entity that holds the title or lease to any real property used by the submitting vendor in the New York City metropolitan area?
 ⓘ

33. Complete **Section 7: Site Information**.

34. After you have answered the questions for this section, click the **“Save and Next”** button.

In this section, you will be asked about your organization’s place of business including any information related to sites where potential **contract** work would occur. Use the information below to help you answer the questions in this section. *Definitions for the key terms below can be found in the Glossary at the end of this document.*

Section 7: Site Information



- The addresses and **telephone numbers** of other places of business within the New York City metropolitan area that your organization has maintained within the past five years.
- The address(es) of any real property your organization anticipates using or occupying within the next three years.
- Identifying information for any **principal owner** and/or **officer** of your organization, or any member of their **immediate family**, who owns an **entity** that owns or leases real property in the New York City metropolitan area that your organization uses.



- **Business Addresses**
- **Entity**
- **Officer**
- **Principal Owner**
- **Submitting Vendor**
- **Telephone Numbers**

NYC Contracting History

36 Save Save and Previous

35 SECTION 8: NYC CONTRACTING HISTORY

37

1 2 3 4 5 6 7 8

Section Status: Not Started
Selecting 'Yes' requires that you add a row.

NYC CONTRACTING HISTORY

Subcontracting

1. Has the submitting vendor, or any affiliate listed in response to Vendor Questionnaire Section 2 - Question 3, been a subcontractor on any contract with any New York City agency in the past three (3) years?

Hired Consultants/Lobbyists

2. Other than the submitting vendor's employees, did the submitting vendor retain, employ, or designate anyone to influence the preparation of contract specifications, the solicitation of any contract, or the award of any contract in the next three (3) years?

35. Complete **Section 8: NYC Contracting History**.

36. After you have answered the questions for this section, click the **"Save"** button.

37. Click the **X** icon to close the **Vendor Questionnaire**.

Upon clicking the **X** icon, PASSPort will update the status of your **Vendor Questionnaire**.

In this short section, you will disclose your organization's contracting history (within the past three years) with the City and the extent to which your organization hired or designated someone to assist your organization to receive a **contract**. Use the information below to help you answer the questions in this section. *Definitions for the key terms below can be found in the Glossary at the end of this document.*

Section 8: NYC Contracting History



- Details regarding your organization and/or its **affiliates' subcontracts** with the City during the past three years.
- Identifying information for **individuals** or **entities**, other than your organization's employees, that worked for your organization to influence the procurement of City **contracts** during this three year VENDEX cycle.



- **Affiliates**
- **Contract**
- **Entity**
- **Individual**
- **Prime**
- **Subcontract**
- **Submitting Vendor**

PASSPort Profile Tasks Contracts Performance Support

Vendor Vendor804 - Draft

Save and Refresh Check Progress

Section 2: Business Relationships / Related Entities	Edit	○	Complete
Section 3: Vendor Integrity History	Edit	○	Complete
Section 4: Vendor Financial History	Edit	○	Complete
Section 5: Investigative History	Edit	○	Complete
Section 6: Employment of City-Affiliated Individuals	Edit	○	Complete
Section 7: Site Information	Edit	○	Complete
Section 8: NYC Contracting History	Edit	○	Complete

Vendor Questionnaire Attachments

38 Add an Attachment

0 Result(s)

PRINCIPAL IDENTIFICATION AND QUESTIONNAIRES

If you have less than three principal owners/officers, please email help@mocs.nyc.gov to request a change to the requirement

Select your Principal(s) and / or Officer(s):

0 Result(s)

PARENT/CONTROLLING ENTITIES IDENTIFICATION

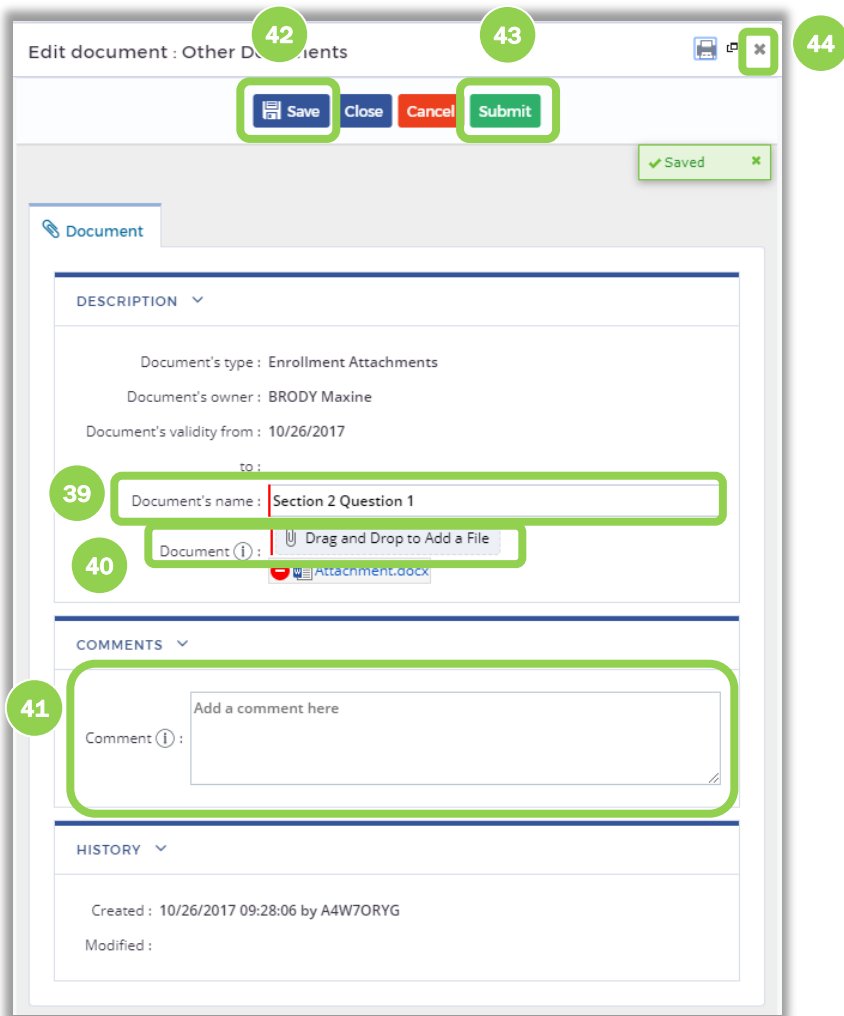
Do you have any Parent or Controlling Entities? ⓘ :

In this example, all eight sections of the **Vendor Questionnaire** have been completed.

38. If any attachments need to be added to your **Vendor Questionnaire**, click the **“Add an Attachment”** button.

Note: *Uploading attachments to your responses to questions included in the Vendor Questionnaire or PASSPort Principal Questionnaire must supplement your questionnaire responses. You may not upload explanatory documents in lieu of completing the questions included on the questionnaires.*

Please indicate the question number to which each attachment corresponds.



39. Enter the "Document's name."
40. Upload the attachment by clicking on the "Drag and Drop to Add a File" button.
41. Add any notes in the "Comments" field to indicate what the attachment relates to.
42. Click the "Save" button.
43. Click the "Submit" button.
44. Click the ✕ icon to close the window.

2.4 Completing Principal Questionnaires

The screenshot displays the PASSPort system interface for a vendor profile. The navigation menu on the left includes sections: 1 Basic Information, 2 Contacts, 3 Disclosures (highlighted), 4 Documentation, and 5 Signature. The main content area shows sections 4 through 8, each with an 'Edit' button and a green checkmark indicating completion. Below this is a table for 'Vendor Questionnaire Attachments' with one entry for 'Section 2 Question 1' by Maxine Brody. At the bottom, a section titled 'PRINCIPAL IDENTIFICATION AND QUESTIONNAIRES' contains a dropdown menu for selecting principal owners/officers, which is highlighted with a green box and a circled '45'.

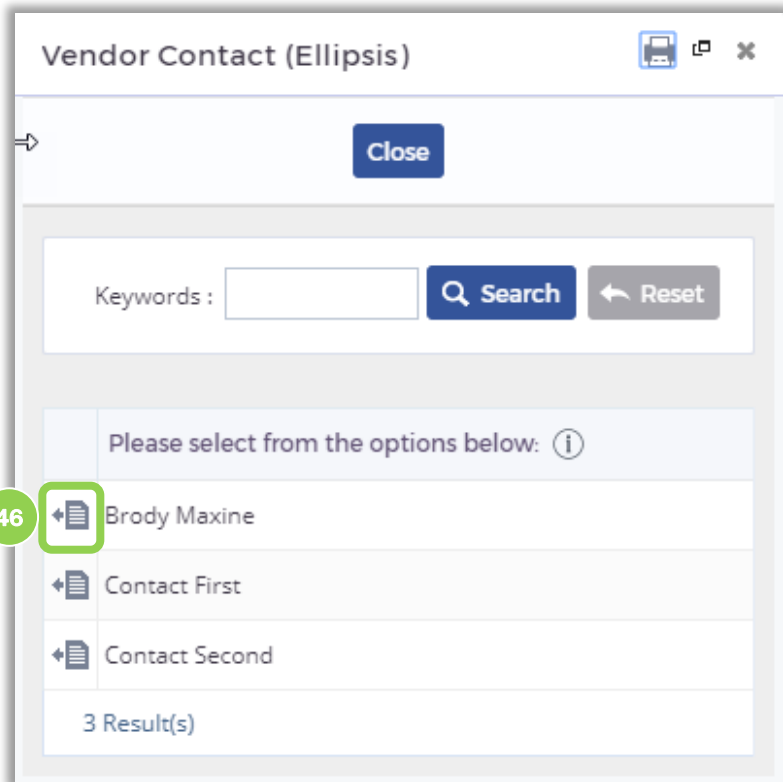
Principal questionnaires are completed on the **Disclosures** tab.

45. To identify your **principal owners** and/or **officers**, click the icon.


Note: As part of the enrollment process, you must complete **principal questionnaires** for each of your **principal owners** that are **individuals** and the **officers** who are required to complete **principal questionnaires**. All **principal owners** and/or **officers** must be identified on the **Contacts** tab.

The following rules dictate who must complete **principal questionnaires**:

- All **principal owners** must submit a **principal questionnaire**.
- The three **officers** who exercise the most substantial degree of control over the **entity** must submit a **principal questionnaire**.
 - However, 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**.
- If the vendor's **principal owner** is an estate or trust, then the executor or trustee must submit a **principal questionnaire**.
- The City, in its sole discretion, may require that other **principal owners** or **officers** complete a **principal questionnaire**.



The vendor **contacts** that were added on the **Contacts** tab are displayed. If you need to add an additional **contact**, close this window, navigate to the **Contacts** tab, and click the **“Add a Contact”** button.

46. Click the  icon to select a vendor **contact** and add it to the **principal owner** and/or **officer** grid.

PASSPort Profile Tasks Contracts Performance Support

Vendor Vendor804 - Draft

48

Save and Refresh Check Progress

Section 6: Employment of City-Affiliated Individuals Edit Complete

Section 7: Site Information Edit Complete

Section 8: NYC Contracting History Edit Complete

Vendor Questionnaire Attachments

+ Add an Attachment

Att.	Owner	Title	Status
	Maxine Brody	Section 2 Question 1	Accepted

1 Result(s)

PRINCIPAL IDENTIFICATION AND QUESTIONNAIRES

If you have less than three principal owners/officers, please email help@mocs.nyc.gov to request a change to the requirement.

Select your Principal(s) and / or Officer(s):

47

First Name	Last Name	Role	Start or Edit Questionnaire	Status
Maxine	Brody	49 Officer Principal Owner	Edit	Not Started

1 Result(s)

PARENT/CONTROLLING ENTITIES IDENTIFICATION

Do you have any Parent or Controlling Entities?

47. Select if the contact is a *Principal Owner* or an *Officer*.

Note: See Glossary for the definitions of “*Principal Owner*” and “*Officer*”.

48. Click the “**Save and Refresh**” button.

49. Click the icon to search for and select another **contact**. Continue to add **contacts** until you have added your **principal owners** and/or **officers**.

PASSPort Profile Tasks Contracts Performance Support



Vendor Vendor804 - Draft

Save and Refresh Check Progress

Section 8: NYC Contracting History Edit Complete

Vendor Questionnaire Attachments

Add an Attachment

Att	Owner	Title	Status
 	Maxine Brody	Section 2 Question 1	Accepted

1 Result(s)

PRINCIPAL IDENTIFICATION AND QUESTIONNAIRES

If you have less than three principal owners/officers, please email help@mocs.nyc.gov to request a change to the requirement

Select your Principal(s) and / or Officer(s):

	First Name	Last Name	Role	Start or Edit Questionnaire	Status
x	Maxine	Brody	Officer	Edit	Not Started
x	First	Contact	Officer	Edit	Not Started
x	Second	Contact	Officer	Edit	Not Started

3 Result(s)

PARENT/CONTROLLING ENTITIES IDENTIFICATION

Do you have any Parent or Controlling Entities?

50. Click the **Edit** button to start the **Principal Questionnaire** for the associated **principal owner or officer**.

Note: Guidance on **Parent and Controlling Entities Identification** can be found later in the document.

Basic Information

51

Save Save and Next 52

SECTION 1: BASIC INFORMATION

1 2 3 4 5 6

Basic Information Status : Not Started
 Principal Questionnaire Completion Status : Not Started
 Vendor Status : Draft
 Selecting "Yes" requires that you add a row.

BASIC INFORMATION

Principal Owner / Officer Information

First Name : Maxine
 Last Name : Brody
 Phone Number : 718-555-6543
 Email : passporttraining@mailinator.com
 Last four digits of SSN :
 Date of Birth :
 Current Position :
 Position Start Date :

Business Address

Address Line 1 :
 Address Line 2 :

The **Principal Questionnaire** for the associated **principal owner** or **officer** is displayed.

51. Complete **Section 1: Basic Information**.

52. After you have provided this information, click the **"Save and Next"** button.

Note: If you would like to change any of the pre-populated information, ask your account admin to update your **contact** information.

The first section of the **Principal Questionnaire** asks your organization's **principal owner** and/or **officer** for background information. Use the information below to help you answer the questions in this section. *Definitions for the key terms below can be found in the Glossary at the end of this document.*

Section 1: Basic Information



- Your **principal owner** and/or **officer**'s identifying information including current and past positions with your organization.



- **Officer**
- **Principal Owner**
- **Submitting Vendor**

Principal Investment in Vendor

Save Save and Previous Save and Next 54

53

SECTION 2: PRINCIPAL INVESTMENT IN VENDOR

1 2 3 4 5 6

Principal Investment in Vendor Status : Not Started
Vendor Status : Draft
Selecting 'Yes' requires that you add a row.

PRINCIPAL INVESTMENT IN VENDOR

1. Do you hold a ten (10) percent or greater ownership interest in the submitting vendor?

2. Are there any outstanding loans, guarantees, or any other form of security or lease, or any other type of contribution made in whole or in part between you and the submitting vendor?

Comments and Documents

Comment

Drag and Drop to Add a File

53. Complete Section 2: Principal Investment in Vendor.

Note: If you select an affirmative response as an answer to a particular question, you will need to provide additional details to answer the question. This process is further detailed in this section of the Guide.

54. After you have answered the questions for this section, click the **“Save and Next”** button.

This two-question section asks questions about the nature of the financial relationship between your organization and its **principal owner** and/or **officer**. Use the information below to help you answer the questions in this section. *Definitions for the key terms below can be found in the Glossary at the end of this document.*

Section 2: Principal Investment in Vendor



- Details regarding your **principal owner** and/or **officer**'s ownership interest in your organization, including stock ownership and any outstanding loans, guarantees, or other securities between you and the **submitting vendor**.



- **Officer**
- **Principal Owner**
- **Submitting Vendor**

PRINCIPAL INVESTMENT IN VENDOR ▾

1. Do you hold a ten (10) percent or greater ownership interest in the submitting vendor?

Yes ▾ ⓘ

+ Add Row

Total Percentage of Stock Owned ⓘ	Acquisition Date
0 Result(s)	

Whenever an affirmative answer is selected as an answer to a particular question, you will need to provide additional details to answer the question.

In the example on the left, you would first click the **“Add Row”** button and then enter the **“Total Percentage of Stock Owned,”** and **“Acquisition Date”** to indicate what percentage of stock the **principal owner** holds in the **submitting vendor**.

Be sure to click the **“Save”** button at the top of the page after you add a row and enter in additional information.

External Principal-Vendor Relationships

Save Save and Previous Save and Next 56

55

SECTION 3. EXTERNAL PRINCIPAL-VENDOR RELATIONSHIPS

1 2 3 4 5 6

External Principal-Vendor Relationships Status : Not Started
Vendor Status : Draft
Selecting 'Yes' requires that you add a row.

EXTERNAL PRINCIPAL-VENDOR RELATIONSHIPS

1. Within the past three (3) years, have you been a principal owner or officer of any entity other than the submitting vendor?
 ⓘ

2. Has New York City awarded any contracts to an entity listed in response to question 1, above, while you were a principal owner or officer?
 ⓘ

Comments and Documents ⓘ

Comment

Drag and Drop to Add a File

✓ Saved

55. Complete **Section 3: External Principal-Vendor Relationships**.

56. After you have answered the questions for this section, click the **“Save and Next”** button.

This section asks about the nature of any relationships your organization's **principal owner** and/or **officer** might have outside of the one with your organization. Use the information below to help you answer the questions in this section. *Definitions for the key terms below can be found in the Glossary at the end of this document.*

Section 3: External Principal-Vendor Relationship



- Details regarding any other **entities**, aside from your organization, for which your **principal owner** and/or **officer** has been a **principal owner** or **officer** within the past three years, and whether these **entities** have had any **contracts** with the City.



- **Contract**
- **Entity**
- **Officer**
- **Principal Owner**
- **Submitting Vendor**

Affiliated Vendor History

57 Save Save and Previous Save and Next 58

SECTION 4: AFFILIATED VENDOR HISTORY

1 2 3 4 5 6

Affiliated Vendor History Status : Not Started
Vendor Status : Draft
Selecting "Yes" requires that you add a row.

AFFILIATED VENDOR HISTORY

Contract History

1. At any time during the past five (5) years, have you and/or any entity for which you have served as a principal owner or officer, been debarred from bidding on any government contract, whether pending or completed?
2. At any time during the past five (5) years, have you, and/or any entity in which you have been a principal owner or officer, been found non-responsible on any government contract, whether pending or completed?
3. At any time during the past five (5) years, have you, and/or any entity in which you have been a principal owner or officer, been declared in default and/or terminated for cause on any contract, and/or had any contract canceled for cause, whether pending or complete?
4. At any time during the past five (5) years, have you, and/or any entity in which you have been a principal owner or officer, been determined to be ineligible to bid or propose on any contract, whether pending or completed?
5. At any time during the past five (5) years, have you, and/or any entity in which you have been a principal owner or officer, been suspended from bidding on any government contract, whether pending or completed?
6. At any time during the past five (5) years, have you, and/or any entity in which you have been a principal owner or officer, received an overall unsatisfactory performance rating from any government

57. Complete **Section 4: Affiliated Vendor History**.

58. After you have answered the questions for this section, click the **"Save and Next"** button.

This section asks your **principal owner** and/or **officer** to list any examples of negative behavior they or an associated **entity** engaged in within the past five years. Use the information below to help you answer the questions in this section. *Definitions for the key terms below can be found in the Glossary at the end of this document.*

Section 4: Affiliated Vendor History



- Details regarding any negative information related to your **principal owner** and/or **officer**'s involvement with **government contracts** (e.g., debarment, findings of **non-responsibility**, or unsatisfactory performance evaluations).



- Official **agency** documents related to the information described above.



- **Agency**
- **Contract**
- **Entity**
- **Non-Responsible**
- **Officer**
- **Principal Owner**

City Government Affiliation

Save Save and Previous Save and Next 60

59

SECTION 5: CITY GOVERNMENT AFFILIATION

1 2 3 4 5 6

City Government Affiliation Status : Not Started
Vendor Status : Draft
Selecting 'Yes' requires that you add a row.

CITY GOVERNMENT AFFILIATION

1. Do you presently serve, or have you within the past five (5) years served, as an elected or appointed official or officer?

2. Do you presently serve, or have you within the past five (5) years served, as a full or part-time employee in a New York City agency or as a consultant to any New York City agency?

3. Do you presently serve, or have you within the past five (5) years served, as an officer of any political party organization in New York City, regardless of whether you received compensation for your services?

4. Do you presently serve, or have you within the past five (5) years served, as a consultant or advisor to a New York City agency that is or was involved in the solicitation, negotiation, operation and/or administration of contracts on which the submitting vendor will work during the next three (3) years?

Comments and Documents

Comment

Drag and Drop to Add a File

✓ Saved

59. Complete **Section 5: City Government Affiliation**.

60. After you have answered the questions for this section, click the **“Save and Next”** button.

This section asks your organization's **principal owner** and/or **officer** to detail their associations with the City and/or elected officials in the past five years. Use the information below to help you answer the questions in this section. *Definitions for the key terms below can be found in the Glossary at the end of this document.*

Section 5: City Government Affiliation



- Details regarding your **principal owner** and/or **officer**'s City affiliation (i.e. as a **consultant** on matters your organization will work on or an official, employee, or political party officer) during the past five years.



- **Agency**
- **Consulting Capacity**
- **Officer**
- **Principal Owner**

Principal Financial History

62 Save Save and Previous

61 SECTION 6: PRINCIPAL FINANCIAL HISTORY

63

✓ Saved

1 2 3 4 5 6

Principal Financial History Status : Not Started
Vendor Status : Draft
Selecting 'Yes' requires that you add a row.

PRINCIPAL FINANCIAL HISTORY

1. During the past five (5) years, have you failed to file any applicable federal, state, New York City, or other tax returns?
 ⓘ

2. During the past five (5) years, have you failed to pay any applicable federal, state, New York City, or other taxes?
 ⓘ

3. During the past five (5) years, have you failed to pay any other assessed New York City charges, including but not limited to water and sewer charges?
 ⓘ

Comments and Documents ⓘ

Comment

Drag and Drop to Add a File

61. Complete **Section 6: Principal Financial History**.

62. After you have answered the questions for this section, click the **“Save”** button.

63. Click the **✕** icon to close the **Vendor Questionnaire**.

Section 6: Principal Financial History

This section asks your organization's **principal owner** and/or **officer** to detail any instances in the past five years where they failed to file or pay appropriate taxes or charges. Use the information below to help you answer the questions in this section. *Definitions for the key terms below can be found in the Glossary at the end of this document.*



- Details regarding your **principal owner** and/or **officer**'s failure to file or pay taxes and/or pay other City charges in the past five years.



- **Officer**
- **Principal Owner**

PASSPort Profile Tasks Contracts Performance Support

Vendor Vendor804 - Draft

Save and Refresh Check Progress

Section 8: NYC Contracting History Edit Complete

Vendor Questionnaire Attachments

Add an Attachment

Att.	Owner	Title	Status
	Maxine Brody	Section 2 Question 1	Accepted

1 Result(s)

PRINCIPAL IDENTIFICATION AND QUESTIONNAIRES

If you have less than three principal owners/officers, please email help@mocs.nyc.gov to request a change to the requirement

Select your Principal(s) and / or Officer(s):

	First Name	Last Name	Role	Start or Edit Questionnaire	Status
x	Maxine	Brody	Officer	<input type="button" value="Edit"/>	Complete
x	First	Contact	Officer	<input type="button" value="Edit"/>	Not Started
x	Second	Contact	Officer	<input type="button" value="Edit"/>	Not Started

3 Result(s)

PARENT/CONTROLLING ENTITIES IDENTIFICATION

Do you have any Parent or Controlling Entities?

At this point, one of the **principal owner** and/or **officer** questionnaires has been completed. The remaining **principal owners** and/or **officers** questionnaires would need to be completed by the **vendor admin** or by the listed **principal owner** and/or **officers**.



After a **principal owner** or **officer** has been added as a **contact** on the **Contacts** tab, they are able to create a NYC.ID using the **e-mail** address that is associated with their **contact** on the **Contacts** tab. **Principal owners** or **officers** can create an NYC.ID by navigating to <http://www.nyc.gov/passport>, clicking the **“Login”** button, and clicking the **“Create Account”** link.

Once a **principal owner** or **officer** creates an NYC.ID, they are able to log in to PASSPort and access both the Vendor Questionnaire and their **Principal Questionnaire** for your vendor account.

2.5 Identifying Related Entities

PASSPort Profile Tasks Contracts Performance Support

Vendor Vendor804 - Draft

Save and Refresh Check Progress

Section 8: NYC Contracting History Edit Complete

Vendor Questionnaire Attachments

Add an Attachment

Att.	Owner	Title	Status
	Maxine Brody	Section 2 Question 1	Accepted

1 Result(s)

PRINCIPAL IDENTIFICATION AND QUESTIONNAIRES

If you have less than three principal owners/officers, please email help@mocs.nyc.gov to request a change to the requirement

Select your Principal(s) and / or Officer(s):

	First Name	Last Name	Role	Start or Edit Questionnaire	Status
x	Maxine	Brody	Officer	Edit	Complete
x	First	Contact	Officer	Edit	Not Started
x	Second	Contact	Officer	Edit	Not Started

3 Result(s)

PARENT/CONTROLLING ENTITIES IDENTIFICATION

Do you have any Parent or Controlling Entities? **64**

64. Scroll down to the bottom of the **Disclosures** tab and answer “Do you have any Parent or Controlling Entities?”

Note: See Glossary for the definitions of “Parent” and “Controlling Entity”.

PASSPort Profile Tasks Contracts Performance Support

Vendor Vendor804 - Draft

Save and Refresh Check Progress

Add an Attachment

Att	Owner	Title	Status
	Maxine Brody	Section 2 Question 1	Accepted

1 Result(s)

PRINCIPAL IDENTIFICATION AND QUESTIONNAIRES

If you have less than three principal owners/officers, please email help@mocs.nyc.gov to request a change to the requirement

Select your Principal(s) and / or Officer(s):

	First Name	Last Name	Role	Start or Edit Questionnaire	Status
x	Maxine	Brody	Officer	<input type="button" value="Edit"/>	Complete
x	First	Contact	Officer	<input type="button" value="Edit"/>	Not Started
x	Second	Contact	Officer	<input type="button" value="Edit"/>	Not Started

3 Result(s)

PARENT/CONTROLLING ENTITIES IDENTIFICATION

Do you have any Parent or Controlling Entities? (1) : Yes

Select your Parent and/or Controlling Entities: **65**

0 Result(s)

65. If you answered Yes to “Do you have any Parent or Controlling Entities,” you must then click the icon to search for and select your **parent** and/or **controlling entities**.

Note: If any **parent** or **controlling entities** are identified, then a separate vendor questionnaire will need to be submitted by each **parent** and/or **controlling entity**.

PASSPort Profile Tasks Contracts Performance Support



Vendor Vendor804 - Draft

66 Save and Refresh Check Progress Edit Complete

Section 8: NYC Contracting History

Vendor Questionnaire Attachments

Add an Attachment

Att.	Owner	Title	Status
 	Maxine Brody	Section 2 Question 1	Accepted

1 Result(s)

PRINCIPAL IDENTIFICATION AND QUESTIONNAIRES

If you have less than three principal owners/officers, please email help@mocs.nyc.gov to request a change to the requirement

Select your Principal(s) and / or Officer(s):

	First Name	Last Name	Role	Start or Edit Questionnaire	Status
x	Maxine	Brody	Officer	<input type="button" value="Edit"/>	Complete
x	First	Contact	Officer	<input type="button" value="Edit"/>	Not Started
x	Second	Contact	Officer	<input type="button" value="Edit"/>	Not Started

3 Result(s)

PARENT/CONTROLLING ENTITIES IDENTIFICATION

Do you have any Parent or Controlling Entities?

67

1 Basic Information

2 Contacts

3 Disclosures

4 Documentation

5 Signature

66. Click the “Save and Refresh” button.

67. Navigate to the Documentation tab.

2.6 Uploading Certificate of Incorporation (COI) Documentation

PASSPort Profile Tasks Contracts Performance Support

Vendor Vendor804 - Draft

Save and Refresh Check Progress

1 Basic Information
2 Contacts
3 Disclosures
4 Documentation
5 Signature

ALERTS

- Upload your Certificate of Incorporation (or equivalent) in the Doc...
- Please upload your Division of Labor Services (DLS) documentation

Keywords: State to date: 10/26/2017 Display archived documents: Search Reset

COMMODITY ENROLLMENT

Whenever you enroll in a commodity, you are required to provide documentation which indicates your organization can supply that commodity. Examples of acceptable documentation include a license, certification or invoice.

Add Commodity

0 Result(s)

EQUAL EMPLOYMENT OPPORTUNITY DOCUMENT (EEO)

This is where you upload the Equal Employment Opportunity (EEO) documentation. Please visit the Small Business Services (SBS) website for guidance: <http://www.nyc.gov/html/sbs/html/procurement/dls.shtml>

To expedite the processing of your documentation, please upload documents as readable .PDF files whenever possible. Scanned paper documentation will result in potentially longer processing times.

Add EEO Document

0 Result(s)

MISCELLANEOUS DOCUMENTS

The **Documentation** tab is displayed. On this tab you can enroll in commodities, upload Equal Employment Opportunity (EEO) documents, upload Certificates of Incorporation (COI) or equivalent documents, and upload Doing Business As (DBA) documents.

68. Scroll down on the page.

PASSPort Profile Tasks Contracts Performance Support

Vendor Vendor804 - Draft

Save and Refresh Check Progress

1 Basic Information ⓘ
2 Contacts ⓘ
3 Disclosures ⓘ
4 Documentation ⓘ
5 Signature ⓘ

Upload your Certificate of Incorporation (or equivalent) in the Doc... ⓘ
Please upload your Division of Labor Services (DLS) documentation

Keywords: State to date: 10/26/2017 Display archived documents: Search Reset

COMMODITY ENROLLMENT ▾

Whenever you enroll in a commodity, you are required to provide documentation which indicates your organization can supply that commodity. Examples of acceptable documentation include a license, certification or invoice.

Add Commodity

0 Result(s)

EQUAL EMPLOYMENT OPPORTUNITY DOCUMENT (EEO) ▾

This is where you upload the Equal Employment Opportunity (EEO) documentation. Please visit the Small Business Services (SBS) website for guidance: <http://www.nyc.gov/html/sbs/html/procurement/dls.shtml>

To expedite the processing of your documentation, please upload documents as readable .PDF files whenever possible. Scanned paper documentation will result in potentially longer processing times.

Add EEO Document

0 Result(s)

MISCELLANEOUS DOCUMENTS ▾

Add Document(s) 69

0 Result(s)

69. Click the “Add Document(s)” button within the Miscellaneous Documents section.

Edit document : Miscellaneous 73

Document

DESCRIPTION ▾

Document's type : Miscellaneous / Certificate of Incorporation 70

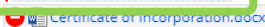
Document's owner: BRODY Maxine

Document's validity from : 10/26/2017

to :

Document's name : Certificate of Incorporation 71

Document (i) : 72



COMMENTS ▾

Comment (i) :

HISTORY ▾

Created :

Modified :

70. Select the
 “Document’s type:
 “Miscellaneous/
 Certificate of
 Incorporation.”

71. Enter the
 “Document’s name.”

72. Click the “Drag and
 Drop to Add a File”
 button to search for
 and select the COI
 document you wish to
 upload.

73. Click the “Save”
 button.

74

Edit document : Miscellaneous

Save Close Cancel **Submit**

✓ Saved ✕

Document

DESCRIPTION ▾


Document's type : Miscellaneous / Certificate of Incorporation ▾


Document's owner : BRODY Maxine

Document's validity from : 10/26/2017

to :

Document's name : Certificate of Incorporation

Document ⓘ :  Drag and Drop to Add a File

 Certificate of Incorporation.docx

COMMENTS ▾

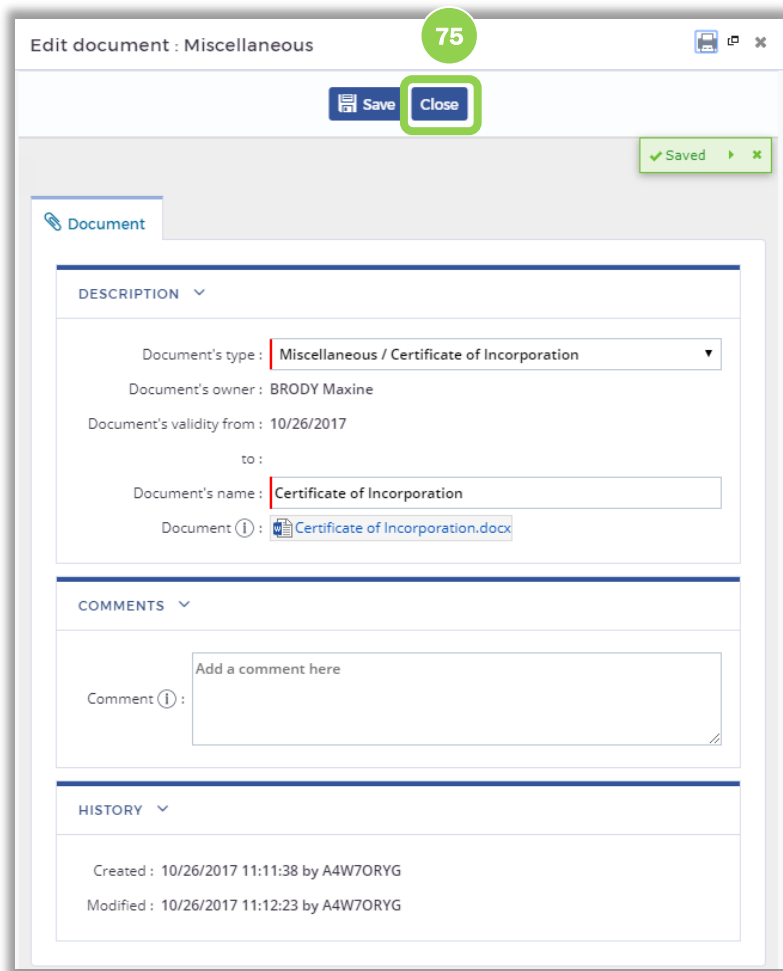
Comment ⓘ :

HISTORY ▾

Created : 10/26/2017 11:11:38 by A4W7ORYG

Modified :

74. Click the “Submit” button to submit your COI document.



75. Click the “Close” button.

The screenshot shows the PASSPort system interface. At the top, there is a navigation bar with 'PASSPort' and tabs for 'Profile', 'Tasks', 'Contracts', 'Performance', and 'Support'. Below this, the user is logged in as 'Vendor Vendor804 - Draft'. A 'Save and Refresh' button and a 'Check Progress' button (highlighted with a green box) are visible. A green badge with the number '76' is next to the 'Check Progress' button. On the left, a sidebar contains a menu with five items: '1 Basic Information', '2 Contacts', '3 Disclosures', '4 Documentation', and '5 Signature'. The main content area has an 'ALERTS' section with a warning icon and the text 'Please upload your Division of Labor Services (DLS) documentation'. Below this is a search bar with 'Keywords', 'State to date: 10/26/2017', and 'Display archived documents' checkboxes. The 'COMMODITY ENROLLMENT' section includes instructions on providing documentation and an 'Add Commodity' button. The 'EQUAL EMPLOYMENT OPPORTUNITY DOCUMENT (EEO)' section includes instructions on uploading EEO documentation and an 'Add EEO Document' button. The 'MISCELLANEOUS DOCUMENTS' section is partially visible at the bottom.

76. Click the “**Check Progress**” button to ensure you have completed all required components of your enrollment package.

If you have not completed any required components of the package, an error message will appear detailing what needs to be completed before you can submit the package. Complete the required information and click “**Check Progress**” again.

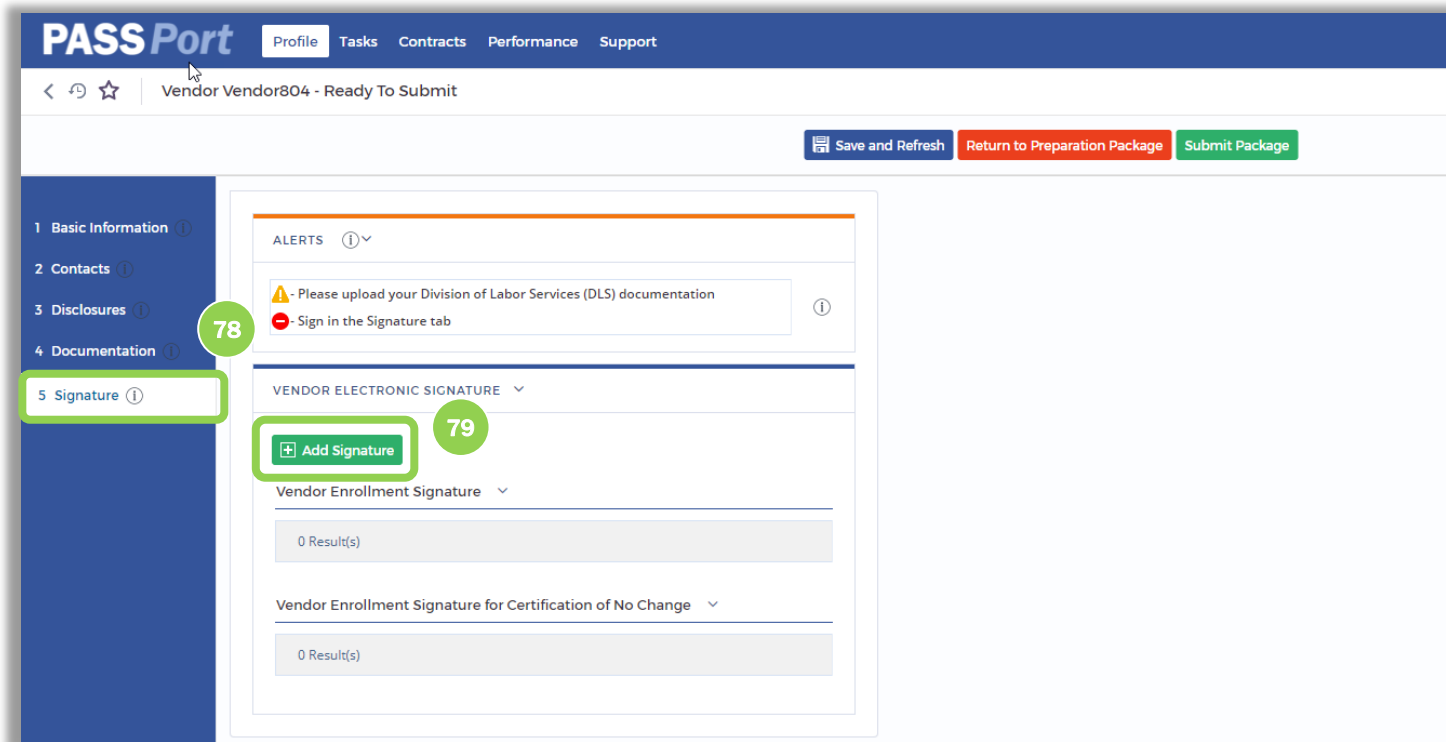
2.7 Adding an e-Signature and Submitting the Vendor Enrollment Package

The screenshot displays the PASSPort system interface for a vendor enrollment package. The top navigation bar includes 'Profile', 'Tasks', 'Contracts', 'Performance', and 'Support'. The current page is titled 'Vendor Vendor804 - Draft'. A green circle with the number '77' is positioned above the 'Check Progress' button, which is highlighted with a green box. The left sidebar contains a navigation menu with five items: '1 Basic Information', '2 Contacts', '3 Disclosures', '4 Documentation', and '5 Signature'. The main content area features an 'ALERTS' section with a warning icon and the text 'Please upload your Division of Labor Services (DLS) documentation'. Below this is a search bar with 'Keywords', 'State to date: 10/26/2017', and 'Display archived documents' options. The 'COMMODITY ENROLLMENT' section includes instructions on providing documentation and an 'Add Commodity' button. The 'EQUAL EMPLOYMENT OPPORTUNITY DOCUMENT (EEO)' section provides guidance on uploading EEO documentation and an 'Add EEO Document' button. The 'MISCELLANEOUS DOCUMENTS' section is partially visible at the bottom.

Once all of the necessary business information has been added, your disclosures have been completed, and you have uploaded your Certificate Of Incorporation or equivalent document, your organization is ready to sign and submit its **vendor enrollment** package.

Please note that only a user with a **Signatory** role can submit a signature for your enrollment package.

77. Click the “**Check Progress**” button.

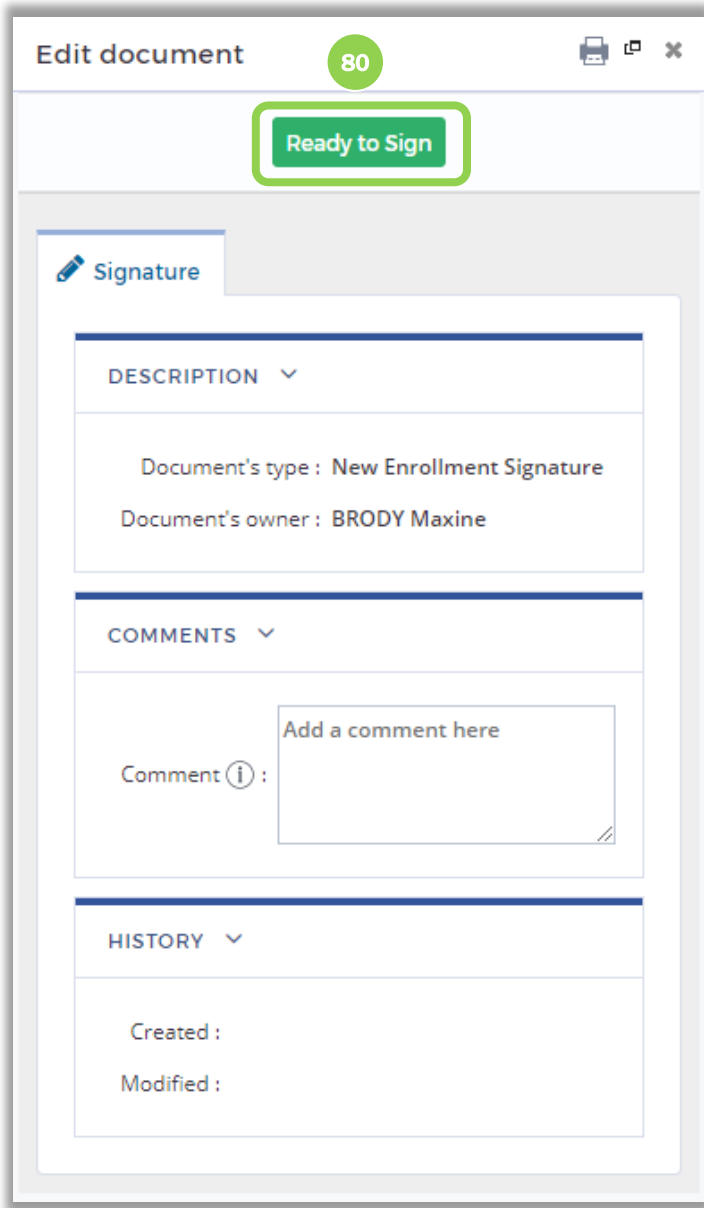


A pop up is displayed confirming that you have no outstanding items and directing signatories to add an e-signature in the “Signature” tab.

78. If you have the Signatory role, click the “Signature” tab.

79. Click the green “Add Signature” button.

Please note that only users with a *Signatory* role will have access to this functionality. This role is defined on the [Contacts](#) tab.



80. Click the “Ready to Sign” button to create a new e-Signature.

Edit document : Vendor Signature

Cancel Sign 83

✓ Saved

Signature

DESCRIPTION

Document's type : New Enrollment Signature
Document's owner : BRODY Maxine

ELECTRONIC SIGNATURE

PASSPort Questionnaire Certification

These questionnaire submissions, including the Vendor Questionnaire(s), and Principal Questionnaire(s), (collectively "Questionnaires"), are being submitted on behalf of an entity that desires to do business with the City of New York (the "Submitting Vendor"). A materially false statement made in connection with these Questionnaires may result in a determination that the Submitting Vendor is non-responsible pursuant to the Procurement Policy Board Rules ("PPB Rules") of the City of New York (the "City"), and, in addition, may subject the

81 I certify all of above :

NYC.ID Email ⓘ : passporttraining@mailinator.com

82 NYC.ID Password :

Signature Date :

81. Read the PASSPort Questionnaire Certification language and click the "I certify all of above" checkbox.
82. Enter your "NYC.ID Password."
83. Click the "Sign" button to add your e-Signature.

Edit document : Vendor Signature

84

✓ Saved

Signature

DESCRIPTION

Document's type : New Enrollment Signature
Document's owner : BRODY Maxine

ELECTRONIC SIGNATURE

PASSPort Questionnaire Certification

These questionnaire submissions, including the Vendor Questionnaire(s), and Principal Questionnaire(s), (collectively "Questionnaires"), are being submitted on behalf of an entity that desires to do business with the City of New York (the "Submitting Vendor"). A materially false statement made in connection with these Questionnaires may result in a determination that the Submitting Vendor is non-responsible pursuant to the Procurement Policy Board Rules ("PPB Rules") of the City of New York (the "City"), and, in addition, may subject the person submitting these Questionnaires and the Submitting Vendor to criminal charges. By submitting these Questionnaires, I certify that:

- I have been given legal authority by the Submitting Vendor and all Principal Owners and Officers (as defined in Vendor Enrollment: A Beginner's Guide to PASSPort) that

I certify all of above:

NYC.ID Email ⓘ : passporttraining@mailinator.com

NYC.ID Password :

Signature Date : 10/27/2017 08:18:02 (your local time)

Signature has been successful!

A green message reading "Signature has been successful!" will be displayed.

84. Click the ✕ icon.

PASSPort Profile Tasks Contracts Performance Support

Vendor Vendor804 - Ready To Submit

Save and Refresh Return to Preparation Package **Submit Package**

1 Basic Information ①
 2 Contacts ①
 3 Disclosures ①
 4 Documentation ①
 5 Signature ①

ALERTS ①

⚠ - Please upload your Division of Labor Services (DLS) documentation ①

VENDOR ELECTRONIC SIGNATURE ▾

+ Add Signature

Vendor Enrollment Signature ▾

Att.	Owner	Status	Signature Date (your local time)
	Maxine Brody	Accepted	10/27/2017 08:18:02

1 Result(s)

Vendor Enrollment Signature for Certification of No Change ▾

0 Result(s)

An e-signature will be displayed in the **Vendor Enrollment Signature** section with the name of the signatory that signed the package and the date and time it was signed.

85. Click the **“Submit Package”** button to submit your enrollment package to the Mayor’s Office of Contract Services (MOCS).

When an enrollment package is submitted, the system detects if there are expected questionnaires for your related **entities**. If there are, and if the related **entities'** questionnaires are not submitted, then the submitted enrollment package will be placed on hold until the **parent** and controlling **entities'** questionnaire(s) is/are received.

PASSPort will release the package to MOCS for review when the last expected questionnaire is received. When MOCS files your package, your vendor account becomes fully enrolled and your PASSPort Vendor Status becomes "Filed."

You will receive e-mail notifications whenever the package is put on or off of hold and whenever MOCS takes action on your enrollment package.

*This user manual has provided you with step-by-step instructions on how to prepare and submit a **Vendor Enrollment** package in PASSPort. If you have any questions on the **Vendor Enrollment** process, please contact the MOCS Service Desk.*

3. Glossary

Unlike the descriptions of information and documents necessary to complete PASSPort enrollment, listed in Sections 1 and 2, above, this glossary of terminology clarifies and modifies the meaning of the terms included in the PASSPort Vendor Questionnaire and **Principal Questionnaire**. You should refer to this glossary to resolve any uncertainties regarding the meaning of the PASSPort Vendor Questionnaire or PASSPort **Principal Questionnaire**. The City, in its sole discretion, may require that other **principal owners** or **officers** complete a **principal questionnaire**.

Account Creation	The initial entry point for an entity into PASSPort. The entity fills out basic contact information, such as but not limited to: their primary place of business , telephone number , and e-mail . At this point the entity has their EIN or SSN verified before they are able to move on to Vendor Enrollment .
Administrative Charge	When an agency charges an entity with violating the agency's regulations. These charges include, but are not limited to violations of prevailing wage laws, workers' compensation laws, Occupational Safety and Health Administration (OSHA) violations and tax offenses.
Affiliate	An entity in which the parent of the enrolling vendor either owns more than fifty (50) percent of the voting stock and/or an entity in which a group of principal owners or officers that owns more than fifty (50) percent of the enrolling vendor also owns more than fifty (50) percent of that entity's voting stock.
Agency	Any government body, whether Federal, State, City, County, local agency or other office, position, administration, department, division, bureau, commission, authority, corporation, advisory committee or other agency of government, including departments, offices, quasi-public agencies, public authorities, public corporations, public development corporations, local development corporations and others. (See below for definition of " New York City Agencies .")
Board of Directors	Board members are individuals that make up the governing body of an entity that are responsible for overseeing the entity's activities, and that also meet periodically to discuss and vote on the affairs of the entity .
Business Addresses	The address and telephone numbers for the location(s) at which the enrolling vendor conducts its activities.
Consulting Capacity	Serving in a capacity to act on behalf of or assist the enrolling vendor with services including, but not limited to legal, engineering or architectural.
Contact	Person identified as being associated with the vendor's profile in PASSPort. A contact is not limited to an organization's principal owner or officer , and can be anyone associated with the organization in an administrative capacity. Contacts are assigned the roles of " vendor administrator ," " contributor " and/or " signatory ".
Contract	Any agreement between a New York City agency and an individual or entity , which (a) is for the provision of goods, services, or construction and has a value that when aggregated with the values of all other such agreements with the same individual or entity or subcontractor during the immediately preceding twelve (12) month period is valued at one hundred thousand dollars (\$100,000) or more; or (b) is for the provision of goods and/or services, was awarded on a sole source basis and is valued at ten thousand dollars (\$10,000) or more; or (c) is a concession and has a value that when aggregated with the value of all other contracts/agreements held by the same concessionaire is valued at one hundred thousand dollars (\$100,000) or more; or (d) is a franchise. Where it is used in Section 3 of the Vendor Questionnaire or Section 4 of the

	Principal Questionnaire , the term “ contract ” means “ government contract ,” as defined below. In all other instances, “ contract ” and “ government contract ” carry separate meanings, as defined in this glossary.
Controlling Entity	The enrolling vendor is controlled by another entity when: <ul style="list-style-type: none"> • The controlling entity holds ten (10) percent or greater ownership interest; or • The controlling entity directs or has the right to direct daily operations <p>The enrolling vendor controls another entity when:</p> <ul style="list-style-type: none"> • It holds ten (10) percent or more of the voting stock of the entity it controls; or • It directs or has the right to direct daily operations <p>A controlling entity is considered a Parent when it owns more than fifty (50) percent of the voting stock of another entity.</p>
DBA	“Doing business as” or DBA , is a formal notice filed with a county clerk that an individual or entity is conducting business under an assumed name.
DUNS Number	A unique nine-digit identifier for businesses, issued by Duns & Bradstreet, also known as the “D&B number,” that is tied to a business information file administered independently by Duns & Bradstreet.
EIN	A nine-digit number assigned by the Internal Revenue Service to sole proprietors, corporations, partnerships, estates, trusts, and other entities for tax filing and reporting business purposes. Where an entity uses an SSN in lieu of an EIN , PASSPort users must disclose the SSN used by that entity as if it were an EIN .
E-mail	Electronic mail address of an individual , entity and/or enrolling vendor at the primary place of business address , principal executive office address and business addresses .
Enrolling Vendor	The entity enrolling in PASSPort.
Entity	Any joint venture, sole proprietorship, general partnership, limited liability partnership, limited partnership, limited liability company, professional limited liability company, business corporation, professional business corporation, or others. This also includes any not-for-profit corporation.
FMS Vendor Code	Number generated in the City’s Financial Management System (“FMS”) (either assigned manually by agency or generated when a vendor signed up in PIP) that a vendor needs in order to be eligible to receive payment from the City of New York.
Government Contract	Any agreement between an individual or entity and an agency , as defined above. Where it is used in Section 3 of the Vendor Questionnaire or Section 4 of the Principal Questionnaire , the term “ contract ” means “ government contract .” In all other instances, “ contract ” and “ government contract ” carry separate meanings, as defined in this glossary.
Immediate Family	Includes former or current husband(s), and or wife(ves), son(s), daughter(s), stepson(s), stepdaughter(s), adopted child(ren), grandchild(ren), parent(s), brother(s), sister(s), grand parent (s), mother(s)-in-law, father(s)-in-law, brother(s)-in-law and sister(s)-in-law.
Individual	Any person (not an entity).
Internal Revenue Code	The set of rules and regulations established by the United States Internal Revenue Service (IRS).
Investigated	An individual or entity has been investigated if there has been any inquiry by any prosecutorial, investigative or regulatory agency concerning such individual or entity or the activities and/or the business practices thereof.

	<p>An “inquiry” includes, but is not limited to the following:</p> <ol style="list-style-type: none"> 1. an appearance before a grand jury by the individual or any current or former representative of the entity or its affiliates has been made or been sought; 2. a subpoena requiring testimony has been issued and/or received; 3. a subpoena for the production of documents in a criminal proceeding or criminal investigation has been issued and/or received; 4. a search warrant at any location occupied or used by individual/entity, any affiliate, or any of their principal owners or officers has been executed; 5. notice has been received that the communications or activities of the individual or any current or former representative of the entity or its affiliates have been monitored under a court order; 6. notice has been received that the individual/entity, or any current or former representative of the entity or its affiliates is the subject or target of an investigation; 7. any questioning of an employee concerning the individual/entity, or the conduct of the individual/entity’s or the affiliate’s business which relates to the possible commission of any act or acts that could expose the individual, the entity, or its affiliates to either criminal or civil liability; 8. any investigation into compliance with prevailing wage laws or regulations. <p>The following are not inquiries:</p> <ol style="list-style-type: none"> 1. background investigations for employment; 2. contact with the contracting agency relating to performance or routine aspects of an existing contract; 3. agency communications relating to constituent complaints; 4. routine non-forensic program or financial audits.
Managerial Employees or Managerial Capacity	Employees in a supervisory capacity who, either by virtue of their title or their duties, operate with discretion over solicitation, letting, or management of contracts with New York City.
Material Weakness	A reportable condition in which the design or operation of one or more of the components of internal control does not reduce to a relatively low level the risk that errors and irregularities in amounts that would be material in relation to the general purpose financial statements being audited may occur and not be detected within a timely period by employees in the normal course of performing their assigned functions.
New York City Agencies	Those agencies for which expenses are paid in whole or in part from the city treasury, and include but are not be limited to, the City Council, the offices of each elected official, the Department of Education, the School Construction Authority, community boards, the Financial Services Corporation, the Health and Hospitals Corporation, the Economic Development Corporation, and the New York City Housing Authority, but do not include any court or any corporation or institution maintaining or operating a public library, museum, botanical garden, arboretum, tomb, memorial building, aquarium, zoological garden or similar facility.

Nonprofit	Any group incorporated under the New York State Not-For-Profit Corporation Law and/or registered with the Secretary of the State as a Not-For-Profit Corporation in accordance with Article 13 of that law, and/or exempt from taxation under section 501 of the Internal Revenue Code .
Non-Responsible	When an individual or entity lacks the capability in all respects to fully perform the contract requirements and/or lacks the business integrity to justify the award of public tax dollars.
Officer	Any individual who serves as or performs the functions of chief executive officer , chief financial officer , or chief operating officer of the enrolling vendor , without regard to such individual 's title e.g., president, vice president, secretary, treasurer, board chairperson, trustee, (individual or entity who administers a trust) or their equivalents.
Parent	Any individual or entity including, but not limited to any partnership, joint venture or corporation which owns more than fifty (50) percent of the voting stock of another entity .
Primary Place of Business	The most important location from which the enrolling vendor conducts its business in the New York City metropolitan area. See business address definition.
Prime	The entity awarded the contract .
Principal Executive Office	The location at which the enrolling vendor 's principals are located. See also the definitions for primary place of business , business address , and telephone numbers .
Principal Owner	An individual , partnership, joint venture or corporation that holds a ten (10) percent or greater ownership interest in an enrolling vendor or subcontractor .
Principal Questionnaire	The questionnaire collects information on the enrolling vendor 's principal owners and/or officers .
Responsibility Determination	A conclusion reached by any government agency or quasi-governmental agency , concerning the responsibility of an entity . A responsibility determination is based on several factors including, but not limited to an entity 's financial resources, business integrity, and performance.
Role- Contributor	Account permission that allows a user to add and save information to the account, vendor questionnaire and principal questionnaire but not to sign for or submit account for filing.
Role- Signatory	Account permission that allows a user to add and save information to the account, vendor questionnaire and principal questionnaire in addition to signing for and submitting account for filing.
Role- Vendor Admin	Account permission that allows a user to add and save information to the account, vendor questionnaire and principal questionnaire in addition to signing for and submitting account for filing. User is also able to assign other users on a vendor account either contributor , signatory or vendor admin permissions.
Sanction	Any fine, penalty, judgment, injunction, violation, debarment or suspension.
Share	To have space, staff, equipment, expenses, etc., or use such items, in common with one or more other entities .
Shared Equipment	Equipment is considered to be the items used in an individual or entity 's operation or activity that include, but are not limited to telephone(s) and telephone systems, photocopiers, computer, motor vehicles and construction machinery. These items are considered shared whenever the enrolling vendor shares the ownership and/or the use of any equipment with any other entity . Equipment should not be considered to be shared under the following three circumstances: (1) when, although the equipment is owned by another entity , the enrolling vendor has entered into a formal lease for the use of the equipment and exercises exclusive use of the equipment; or (2) when the enrolling vendor owns equipment that it has formally leased

	to another entity , and for the duration of such lease the enrolling vendor has relinquished all right to the use of such leased equipment; or (3) when the enrolling vendor out-sources internal administrative functions, such as payroll.
Shared Expenses	Expenses are costs, charges, fees, etc. When the enrolling vendor and any other entity jointly incur or pay for expenses, they are considered shared .
Shared Space	Space is considered to be shared when any part of the space utilized by the enrolling vendor , at any of its sites, is also utilized on a regular or intermittent basis for any purpose by any other entity , and where there is no lease or sublease in effect between the enrolling vendor , and any other entity , that is sharing space with the enrolling vendor .
Shared Staff	Staff should be considered to be shared when any individual provides the services of an employee (including services of any type or level, managerial or supervisory, whether paid or unpaid) to the enrolling vendor , and also, on either a regular or irregular basis, provides the services of an employee, paid or unpaid, to one or more other entities , if such services are provided during any part of the same hours the individual is providing services to the enrolling vendor . This type of sharing may include, but is not limited to, individuals who provide the following services: telephone answering, receptionist, delivery, custodial, and driving.
SSN	The unique nine-digit number assigned by the Social Security Administration that assists in maintaining an accurate record of wages or self-employment earnings that are covered under the Social Security Act, and used by the Internal Revenue Service for tax administration purposes. Except where an entity elects to use an SSN in lieu of an EIN , PASSPort users are only required to enter the last four digits of an SSN where SSN data is solicited.
Subcontract	An agreement between an individual or entity that is party to a contract and another individual or entity which (a) is for the provision of goods, services or construction pursuant to that contract , and has a value that when aggregated with the values of all other such agreements with the same individual or entity and subcontractor during the immediately preceding twelve (12) month period is valued at one hundred thousand dollars (\$100,000) or more; or (b) is for the provision of goods and/or services, was awarded on a sole source basis and is valued at ten thousand dollars (\$10,000) or more; or (c) is a concession and has a value that when aggregated with the value of all other contracts /agreements held by the same concessionaire is valued at one hundred thousand dollars (\$100,000) or more; or (d) is a franchise.
Subcontractor	Any individual or entity engaged under a subcontract .
Submitting Vendor	The entity enrolling in PASSPort.
Subsidiary	An entity in which the majority of the voting stock is owned by a parent .
Telephone Numbers	The telephone numbers of an individual , entity and/or enrolling vendor at the primary place of business address, principal executive office address and business addresses .
Vendor Enrollment	Action in PASSPort where enrolling vendors can fill out required information prior to being able to do business with the City of New York.