

Dear grantees,

In an effort to help grantees to comply with the MWBE Utilization Quarterly Report, The Department of State (DOS), MWBE Program, is providing the following information on the use of the New York State Contract System (The System), to confirm payments made to you and record payments to subcontractors. **The system does not have a report where grantees can fill in the information for the MWBE quarterly utilization; the records created when grantees enter the payments in the system and the subcontractors confirm the payments, will be transferred by DOS to create the MWBE Utilization Quarterly Reports.** It's the grantees' contractual responsibility by the reports "due date" to make sure that payments made to their subcontractors during the quarter were entered and confirmed in the system and to check their accounts to verify:

- a) That all audits generated by the system were completed,
- b) That payments made to their subcontractors are listed in the system,
- c) That their subcontractors have confirmed the payments; and
- d) That payments made to their subcontractors before receiving payment from DOS, are also entered in the system, and confirmed by their subcontractors.

There are two processes to accomplish this:

PROCESS 1

This process will be applicable to transactions where grantees receive payment from the Department of State (DOS) first and then grantees pay to their subcontractors.

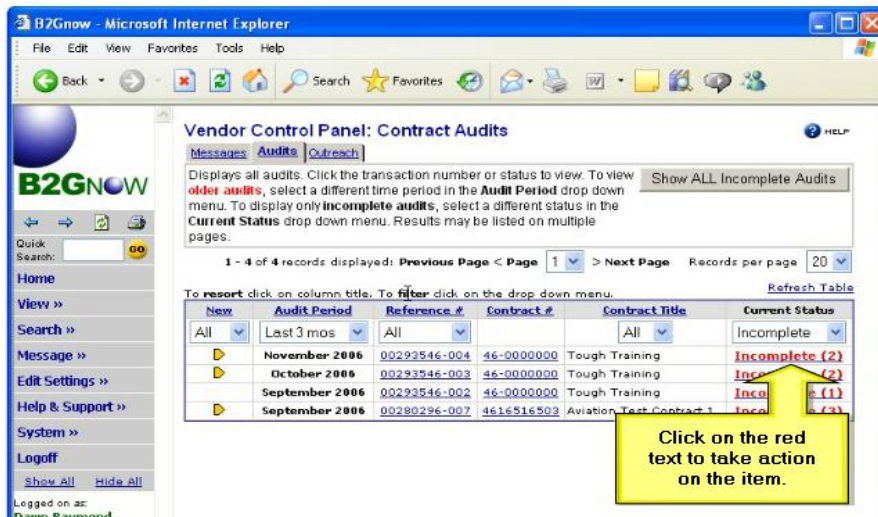
When you are paid by DOS, you will receive an email notifying that there is an audit to respond to; please log into the system and respond to the audit by viewing the payment received from DOS and reporting all payments made to the subcontractors for the audit period.

- 1- Log in at <https://ny.newnycontracts.com/>
- 2- On the "Dashboard" screen, click on any of the red numbers indicating an **Incomplete Audit**.

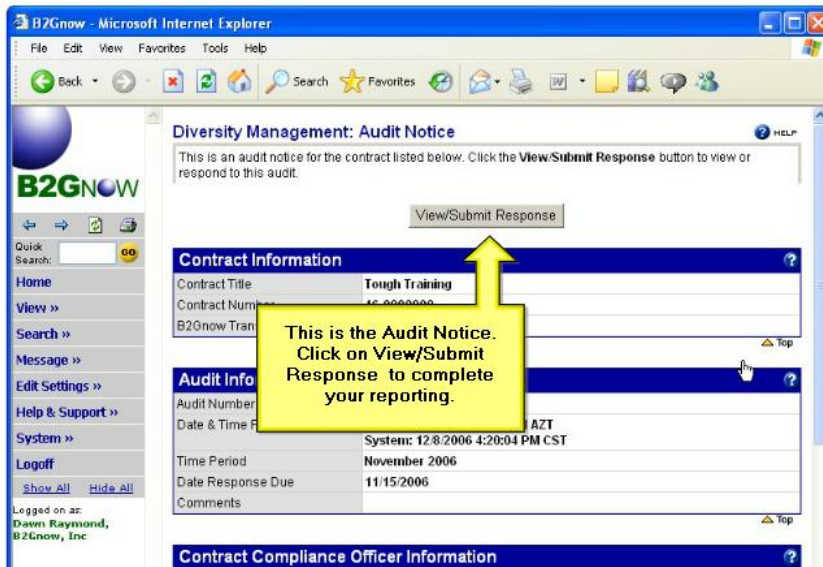
The red text on this page indicates that action must be taken. The action is reporting on an audit.

My Audits	Last 6 months	Last 12 months	Last 6 months		Last 12 months	
			mon	mon	mon	mon
Total Audits	12	15				
Incomplete Audits	1	5				
Incomplete Audit Lines	6	12				
Audit Discrepancies	0	0				
My Certifications						
Status	Active	Pending	Expiring			
	0	0	0			

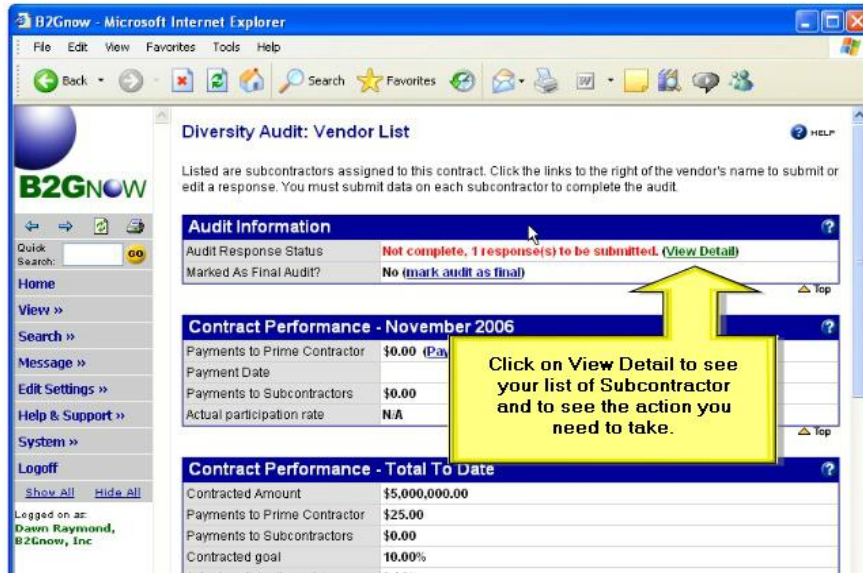
- 3- You are brought to the “Vendor Control Panel: Contract Audits.” Click on any of the **Incomplete** links.



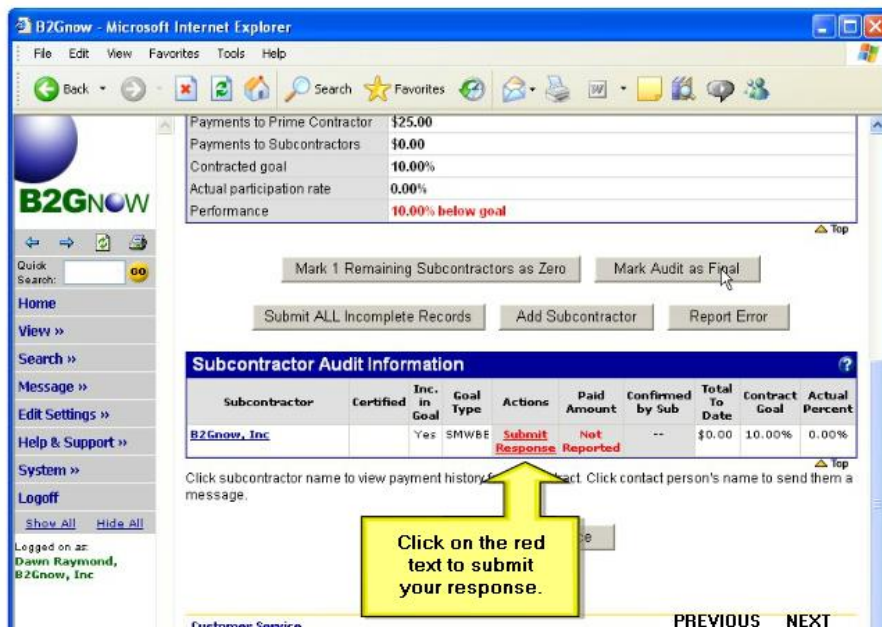
- 4- On the “Diversity Management: Audit Notice,” click on the **View/Submit Response** button to view the audit.



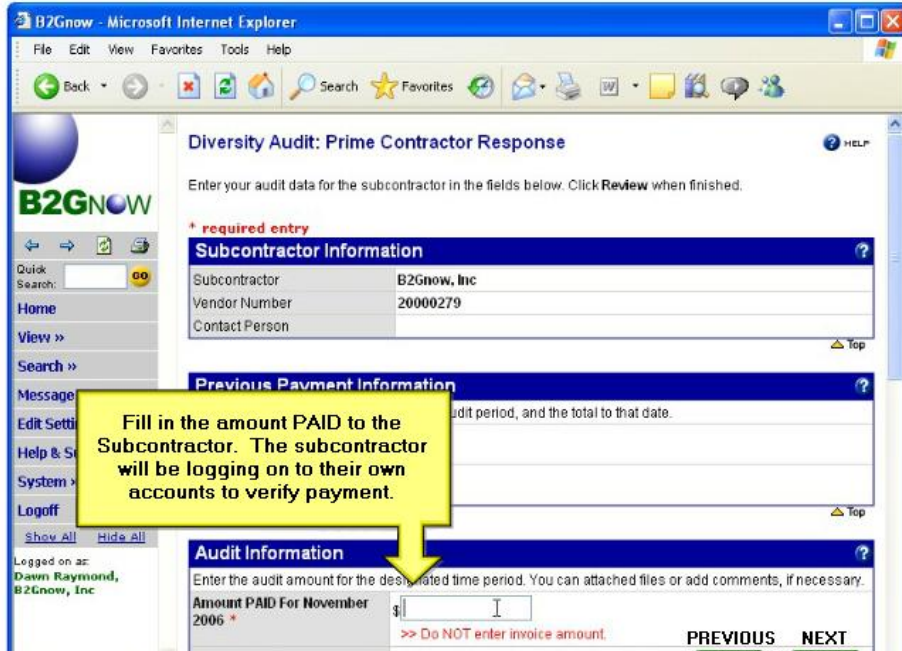
- 5- On the “Diversity Audit: Vendor List” screen, you will see the amount received from DOS in the **Contract Performance** section. Click on the **View Detail** hyperlink to see your subcontractor(s) and report any payments made to them.



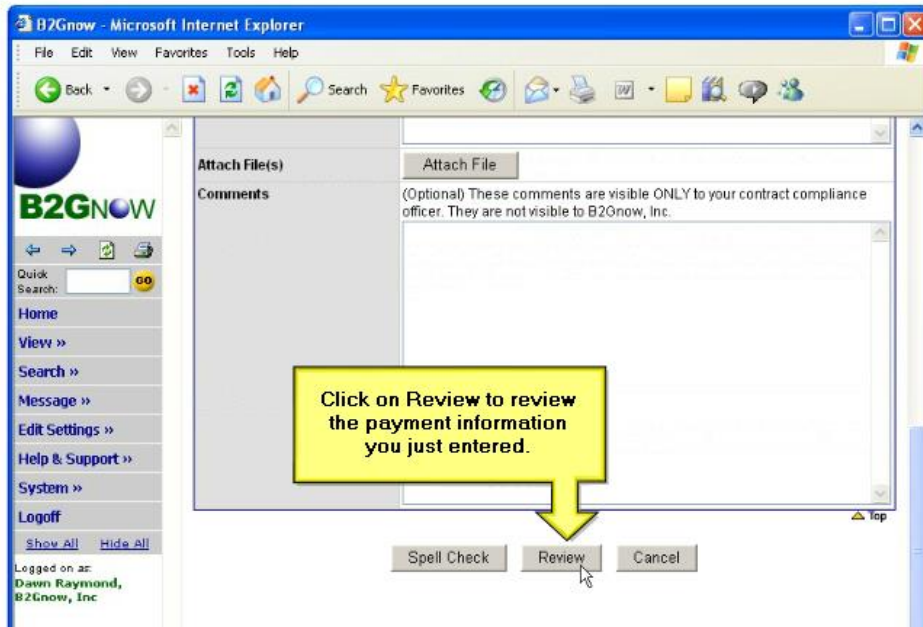
- 6- On “the Diversity Audit: Vendor List” screen, click on the **Submit Response** link next to the subcontractors.



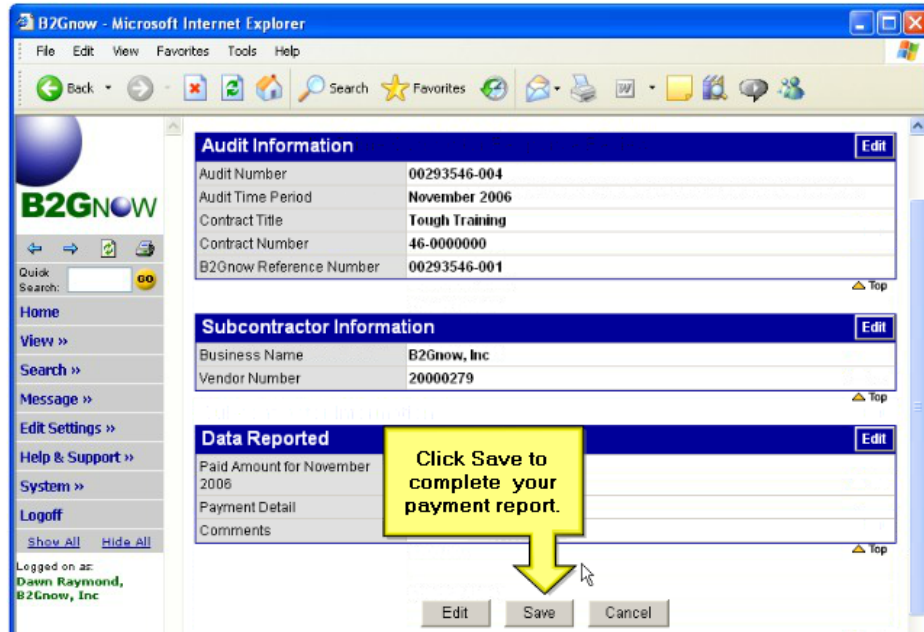
- 7- On the “Diversity Audit: Prime Contractor Response,” enter the total amount paid to the subcontractor DURING the audit period.



- 8- Then, at the bottom of the page, click on the **Review** button, to review the payment information.



- 9- On the screen below, click on the **Save** button to save your response.



10- As soon as you complete your payment report, a notice will be sent to your subcontractors to confirm the payments you have entered in the system.

11- The audit response for the quarter will be complete when ALL lines showing **Incomplete Audit** have been processed.

Please follow this link to access a training video on how to respond to an audit:

<https://ny.newnycontracts.com/Help/Tutorial/TutorialView.asp?XID=9049&TFL=PrimeResponse>

This link contains a training video on how subcontractors can respond to an audit in order to confirm any payments you made to them:

<https://ny.newnycontracts.com/Help/Tutorial/TutorialView.asp?XID=2249&TFL=SubResponse>

NOTES:

- You are encouraged to respond within 7 days of the first audit notice. After 60 days, the record will be locked and you must contact your contract compliance officer.

- If you receive payments, but didn't pay your subcontractors, you must still respond to the notification of payment and submit a \$0 payment.

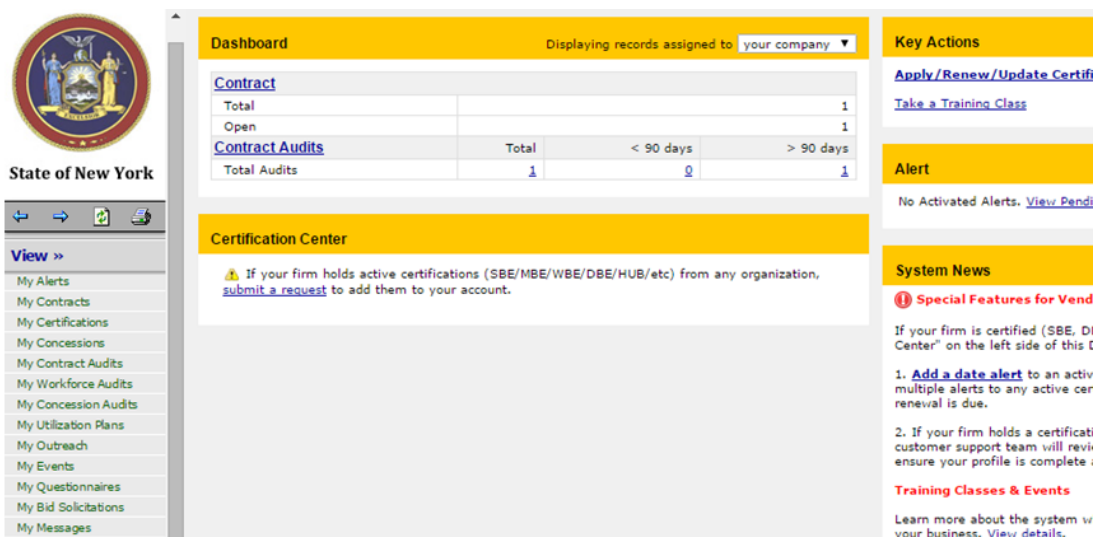
- If you have to mark any remaining subcontractors as \$0 payment for the audit period, click **Mark Remaining Subcontractors as Zero**.

PROCESS 2

This process will be applicable to transactions where grantees make payments to their subcontractors, **without receiving payments from the Department of State (DOS)**; and later request reimbursement for those expenses.

When you pay your subcontractors, you **need to add an audit to your account**; this allows you to report the payments to your subcontractors in the system. Follow the steps below:

- 1- Log in the system at <https://ny.newnycontracts.com/>
- 2- On the “Dashboard” screen, click on the [Contract](#) hyperlink and select the contract on which you need to report payments.



Dashboard Displaying records assigned to your company

Contract			
Total			1
Open			1
Contract Audits			
Total Audits	1	0	1

Certification Center

⚠ If your firm holds active certifications (SBE/MBE/WBE/DBE/HUB/etc) from any organization, [submit a request](#) to add them to your account.

Key Actions

- [Apply/Renew/Update Certifi](#)
- [Take a Training Class](#)

Alert

No Activated Alerts. [View Pending](#)

System News

Special Features for Vend

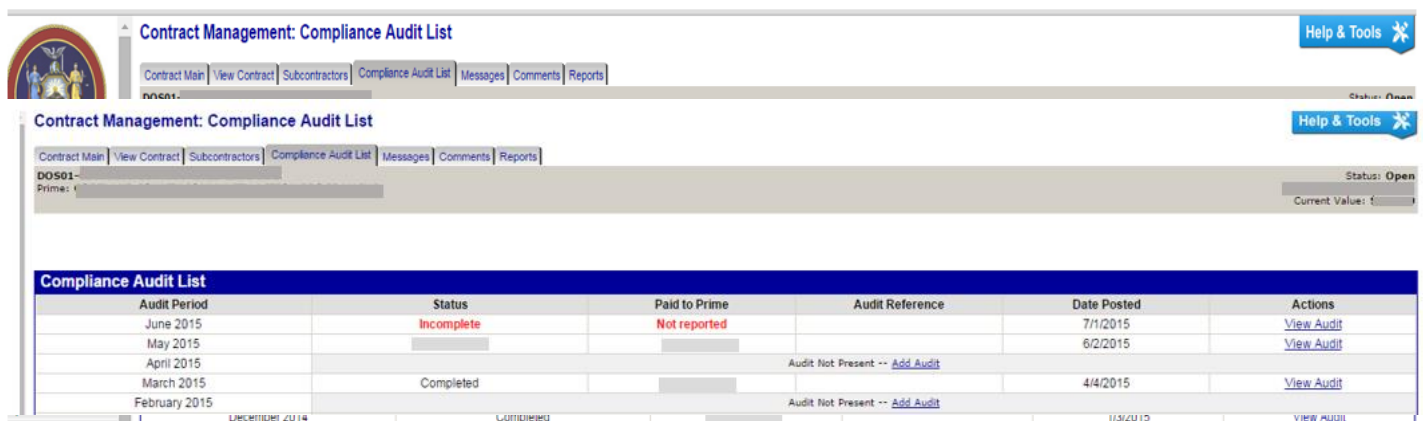
If your firm is certified (SBE, DI Center) on the left side of this I

1. [Add a date alert](#) to an active multiple alerts to any active certification renewal is due.
2. If your firm holds a certification customer support team will review ensure your profile is complete.

Training Classes & Events

Learn more about the system vs your business. [View details.](#)

- 3- On top of the “Contract Management” screen, select the [Compliance Audit List](#) tab, choose an audit period, and click on the [Add Audit](#) hyperlink under **Audit Reference**.



Contract Management: Compliance Audit List

Contract Main | View Contract | Subcontractors | **Compliance Audit List** | Messages | Comments | Reports

Compliance Audit List

Audit Period	Status	Paid to Prime	Audit Reference	Date Posted	Actions
June 2015	Incomplete	Not reported		7/1/2015	View Audit
May 2015				6/2/2015	View Audit
April 2015			Audit Not Present -- Add Audit		
March 2015	Completed			4/4/2015	View Audit
February 2015			Audit Not Present -- Add Audit		

- 4- The [Compliance Audit List](#) **Status** will show “**incomplete,**” and **Paid to prime** will indicate “**Not Reported.**” Click on the [View Audit](#) hyperlink.

- 5- On the “**Compliance Audit: Audit Notice for**” the period under the **Audit Actions** section, click on the **Report payment receive from Department of State** hyperlink and enter ZERO as payment received from Department of State; click on the **Review** button and then **Save** button.
- 6- Go back to the “**Compliance Audit: Audit Notice for**” the period. Under the **Audit Actions** section, click on the **Report subcontractor payment** hyperlink and enter all payments made to your subcontractors.

Compliance Audit: Audit Notice for June 2015 Help & Tools

Contract Main | View Contract | Subcontractors | Compliance Audit List | Messages | Comments | Reports

DOS01- Prime: Status: **Open**
Current Value:

This is an audit notice for the contract listed below. Submit a response for each item listed below by clicking each link in the **Audit Actions** table. It is possible that some actions are not available at a specific time due to pending reports from other contractors.

Audit Information	
Time Period	June 2015
Date & Time Posted	Local: 7/1/2015 12:51:59 PM CDT System: 7/1/2015 12:51:59 PM CDT

Submit a response for each item listed below by clicking each link. It is possible that some actions are not available at a specific time. As the **prime contractor** your responsibility is to report payments made to subcontractors and payments received from Department of State.

Audit Actions	
Category	Action Required & Response Due Date
Prime Contractor	Report payment received from Department of State due by 7/31/2015 Report 1 subcontractor payment audit lock on 8/30/2015 due by 7/31/2015 audit lock on 8/30/2015

Compliance Officer Information Buyer/Project Manager Information

- 7- As soon as you complete your payment report, a notice will be sent to your subcontractors to confirm the payments you have entered in the system.

NOTES FOR BOTH PROCESSES:

- **The confirmation of prime and subcontractors will be in lieu of the quarterly utilization reports; however, it is your contractual responsibility to make sure that, at the end of the quarter, all payments made to your subcontractors during the period are in the system, and have been confirmed by the subcontractors, even if you did not get paid by DOS in that quarter.**
- If you need to add/change subcontractors, please contact your contract compliance officer.
- If this is the last audit for the contract, click **Mark Audit as Final**.
- **For help with these processes, contact Api Ohouo 518-473-2298, Api.Ohouo@dos.ny.gov**