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.

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3- You are brought to the "Vendor Control Panel: Contract Audits." Click on any of the <u>Incomplete</u> links.

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

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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 <u>Submit Response</u> link next to the subcontractors.

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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.

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

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- 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 <u>ALL</u> 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 <u>Contract</u> hyperlink and select the contract on which you need to report payments.



3- On top of the "Contract Management" screen, select the Compliance Audit List tab, choose an audit period, and click on the <u>Add Audit</u> hyperlink under Audit Reference.



4- The Compliance Audit List Status will show "incomplete," and Paid to prime will indicate "Not Reported." Click on the <u>View Audit</u> hyperlink.

- 5- On the "Compliance Audit: Audit Notice for" the period under the Audit Actions section, click on the <u>Report payment receive from Department of State</u> hyperlink and enter <u>ZERO</u> 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 <u>Report subcontractor payment</u> hyperlink and enter all payments made to your subcontractors.

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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, <u>Api.Ohouo@dos.ny.gov</u>