

**DEPARTMENT OF STATE (DOS)
MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES (MWBE) PROGRAM**

STEP BY STEP GUIDE – ONLINE REPORTING OF MWBE UTILIZATION

In an effort to help you comply with your reporting of MWBE Utilization requirement, the Department of State (DOS) MWBE Program, is providing the following information on the use of the New York State Contract System (the system).

The system allows you to view/confirm payments made to you and record payments made to your subcontractors. **The records created when you enter the payments in the system and the subcontractors confirm the payments are used to create the Department of State’s MWBE Utilization Quarterly Reports.** It is your responsibility to report your utilization in a timely manner and to make sure that the payments reported are confirmed by your subcontractors within the quarter the utilization is reported.

The proper reporting of MWBE utilization entails the following:

1. Total MWBE Utilization Versus Grant Amount

Incorrect Practice: Reporting MWBE utilization in excess of the DOS grant amount or eligible amount, as applicable.

Correct Practice: Reporting MWBE utilization data up to the grant amount or the eligible amount.

2. MWBE Utilization Secured Under Other Funding Sources

Incorrect Practice: Reporting payments to MWBEs when those payments were covered by other funding sources (i.e. local match, other State agencies, Federal, etc.).

Correct Practice: Reporting payments to MWBEs only for the budget items in your contract which are funded by DOS.

3. Duplicate MWBE Utilization Data


Incorrect Practice: Reporting the same utilization amounts more than once.

Correct Practice: Verifying the data previously submitted to DOS and reporting only additional payment amounts.

There are two processes to perform the online reporting of MWBE utilization:

<u>PROCESS 1</u>	<u>PROCESS 2</u>
<p>This process will apply if a payment made to you (as the grantee or a sub-grantee/subcontractor with lower tier subcontractors) has been posted in the system.</p> <p>The reporting process is therefore <u>automatically initiated</u>.</p> <p>➤ Click here to access the steps</p>	<p>This process will apply if you have made payments to your subcontractors and report the data, while no payments made to you have yet been posted, within a quarter.</p> <p>The reporting process is therefore <u>manually initiated</u>.</p> <p>➤ Click here to access the steps</p>

Important Notes and Instructions

- The online reporting process is performed through an “audit.” An audit is complete when you enter any payments made to your MWBE subcontractors into the system and your subcontractors confirm the payment reported. Any discrepancy issues should be addressed as well.
- Audit notices from the New York State Contract System are automatic or manual system-generated notices asking you and/or your subcontractors to verify, report and/or confirm payments made to each entity. Audit notices are the system’s mechanism for alerting you and your subcontractors that a response or an action is needed from your parts. They are **not** “**financial audits**” nor “**government audits**” for the **Vendor Responsibility Questionnaire**.
- In the event that your DOS contract contains a “0” MWBE goal, or if no payments to certified MWBE subcontractors have been issued during a given quarter, there is no need to perform any online reporting, unless an audit was automatically generated by the system. In this case, you should log into the system and report \$0 to complete and close out the audit.
- For **late reporting of MWBE utilization**, the DOS MWBE Program is requesting that **no audits be added with dates prior to the current quarterly period**. DOS has the requirement to report MWBE utilization on a quarterly basis by compiling all payments recorded in the system; and once a quarterly report is submitted, it will not be changed to reflect any utilization data recorded under audits within prior quarters.
- In case you are unable to access the system, you may be required to complete and submit the paper Form F - Quarterly MWBE Utilization Report. Contact your DOS Project/Program Analyst for assistance.
- Currently, federally funded contracts are not processed through the system, even though they are listed in the system. They will show as “0” MWBE goals in the system, because they are tracked separately, and grantees must comply with the MWBE goals and requirements as stated in their contracts. If your DOS contract is federally funded, you are required to complete and submit the Quarterly MWBE Utilization Report – Form F, in lieu of using the system.
- If you need to make any changes to the subcontractors listed on your DOS contract’s record in the system, please contact your DOS Project/Program Analyst. You will be required to submit an amended Form D - MWBE Utilization Plan (the form is available at <https://dos.ny.gov/supplier-diversity>).
- Links and Resources
 - Access the system at <https://ny.newnycontracts.com/>
 - Reset your password at <https://ny.newnycontracts.com/FrontEnd/ForgetPassword.asp>
 - Access “How To” tutorial videos:
 - Add a user
<https://ny.newnycontracts.com/Help/Tutorial/TutorialView.asp?XID=6711&TFL=AddaUser>
 - Delete a user
<https://ny.newnycontracts.com/Help/Tutorial/TutorialView.asp?XID=5758&TFL=DeleteAUser>
 - Check the Help & Tools icon  to access training classes and tutorial videos on the use of the system, to contact Customer Support and to report a problem (*the icon is located on the upper right-hand side of any page on the system, except the Home page*).
 - For any questions, contact the DOS MWBE Program at 518-474-2754 or dos.sm.mwbe@dos.ny.gov.

PROCESS 1

This process will apply if a payment made to you (as the grantee or a sub-grantee/subcontractor with lower tier subcontractors) has been posted in the system. The reporting process is then automatically initiated.

When a payment made to you is posted in the system, you will receive an email notifying you that there is an audit to respond to; please log into the system and respond to the audit by viewing the payment received and enter all the payments made to your subcontractors that have not yet been reported.

- 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 month	Last 6 months	Last 12 months
Total Audits	12	12	15
Incomplete Audits	4	5	6
Incomplete Audit Lines	6	9	12
Audit Discrepancies	0	0	0

My Certifications

Status	Active	Pending	Expiring
Status	0	0	0

Configure

- Change Your Password
- Edit Your Settings
- List Users
- Add New User
- Business Info
- Profile Setup
- Account Preferences
- Commodity Codes

Frequently Used

- Change your password
- Search for subcontractors
- View all incomplete audits
- View recent audit discrepancies
- View all of my contracts
- View my certifications
- Reporting

Customer Service

- Send a Message
- Contact System Support
- Report a Problem
- Submit Feedback

System

- Help & Support
- System Status
- Board
- Site Map
- File Download
- Area

What's New

- >>> NEW: [User Training Manual](#) for the system in PDF format.
- >>> Download the latest [Quick Guide](#) in PDF format.

Messaging

- Send a Message
- Contact System Support
- Report a Problem
- Submit Feedback

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

Vendor Control Panel: Contract Audits

Displays all audits. Click the transaction number or status to view. To view **older audits**, select a different time period in the **Audit Period** drop down menu. To display only **incomplete audits**, select a different status in the **Current Status** drop down menu. Results may be listed on multiple pages.

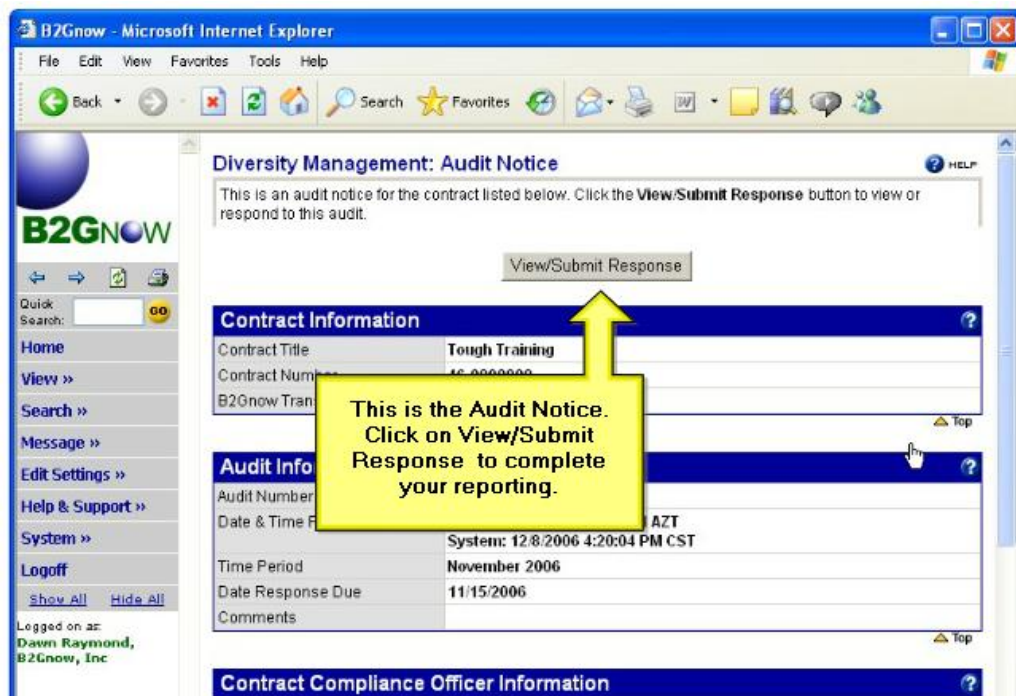
1 - 4 of 4 records displayed: [Previous Page](#) < Page 1 > [Next Page](#) Records per page: 20

To **resort** click on column title. To **filter** click on the drop down menu.

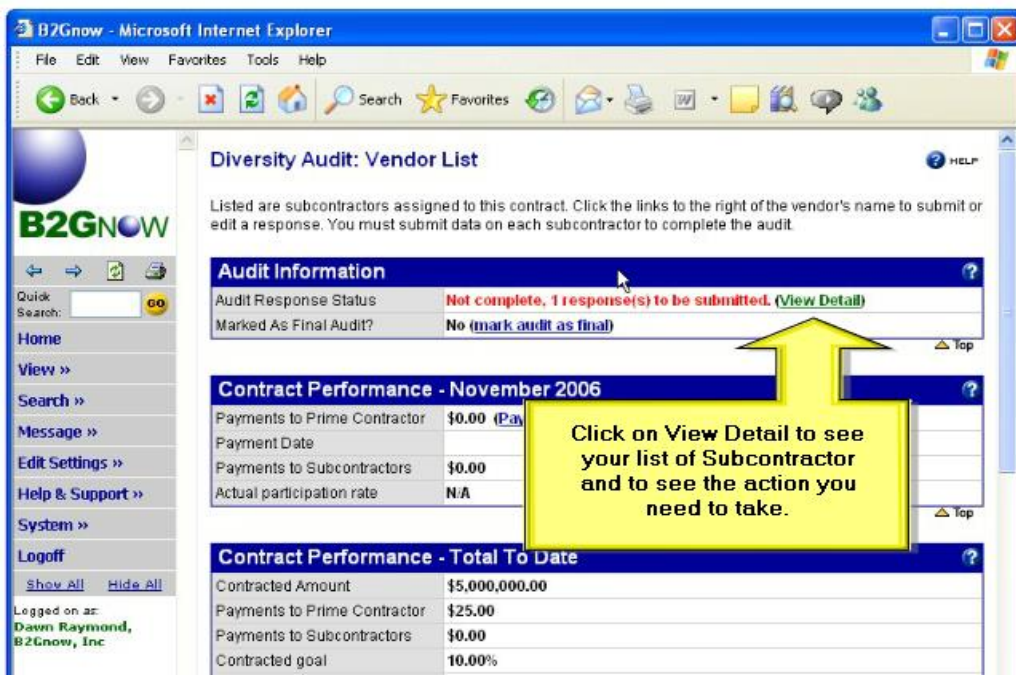
New	Audit Period	Reference #	Contract #	Contract Title	Current Status
All	Last 3 mos	All	All	All	Incomplete
▶	November 2006	00293546-004	46-0000000	Tough Training	Incomplete (2)
▶	October 2006	00293546-003	46-0000000	Tough Training	Incomplete (2)
▶	September 2006	00293546-002	46-0000000	Tough Training	Incomplete (1)
▶	September 2006	00280296-007	4616516503	Aviation Test Contract 1	Incomplete (3)

Click on the red text to take action on the item.

- 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.

B2Gnow - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Home Search Favorites Mail Downloads

B2Gnow

Quick Search: **GO**

Home
View »
Search »
Message »
Edit Settings »
Help & Support »
System »
Logoff

Logged on as: Dawn Raymond, B2Gnow, Inc

Show All Hide All

Payments to Prime Contractor	\$25.00
Payments to Subcontractors	\$0.00
Contracted goal	10.00%
Actual participation rate	0.00%
Performance	10.00% below goal

Top

Mark 1 Remaining Subcontractors as Zero Mark Audit as Final

Submit ALL Incomplete Records Add Subcontractor Report Error

Subcontractor Audit Information ?

Subcontractor	Certified	Inc. in Goal	Goal Type	Actions	Paid Amount	Confirmed by Sub	Total To Date	Contract Goal	Actual Percent
B2Gnow, Inc		Yes	SMWBE	Submit Response Not Reported		--	\$0.00	10.00%	0.00%

Top

Click subcontractor name to view payment history. Click contact person's name to send them a message.

Click on the red text to submit your response.

PREVIOUS NEXT

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

B2Gnow - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Home Search Favorites Mail Downloads

B2Gnow

Quick Search: **GO**

Home
View »
Search »
Message »
Edit Settings »
Help & Support »
System »
Logoff

Logged on as: Dawn Raymond, B2Gnow, Inc

Show All Hide All

Diversity Audit: Prime Contractor Response ?

Enter your audit data for the subcontractor in the fields below. Click **Review** when finished.

*** required entry**

Subcontractor Information ?

Subcontractor	B2Gnow, Inc
Vendor Number	20000279
Contact Person	

Top

Previous Payment Information ?

Enter the amount paid to the subcontractor during the audit period, and the total to that date.

Top

Audit Information ?

Enter the audit amount for the designated time period. You can attach files or add comments, if necessary.

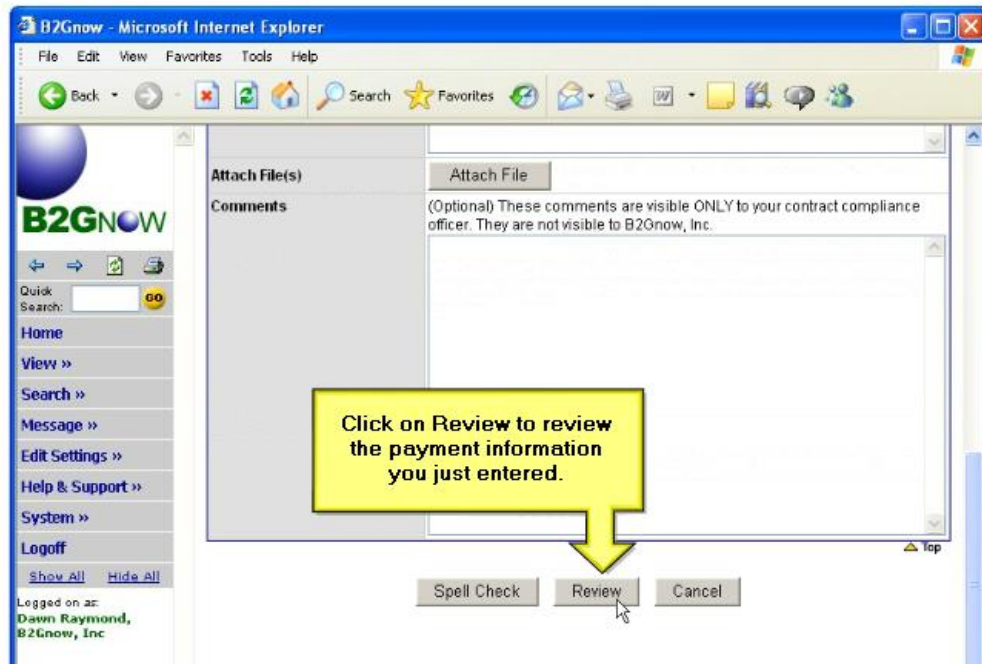
Amount PAID For November 2006 * \$

>> Do NOT enter invoice amount.

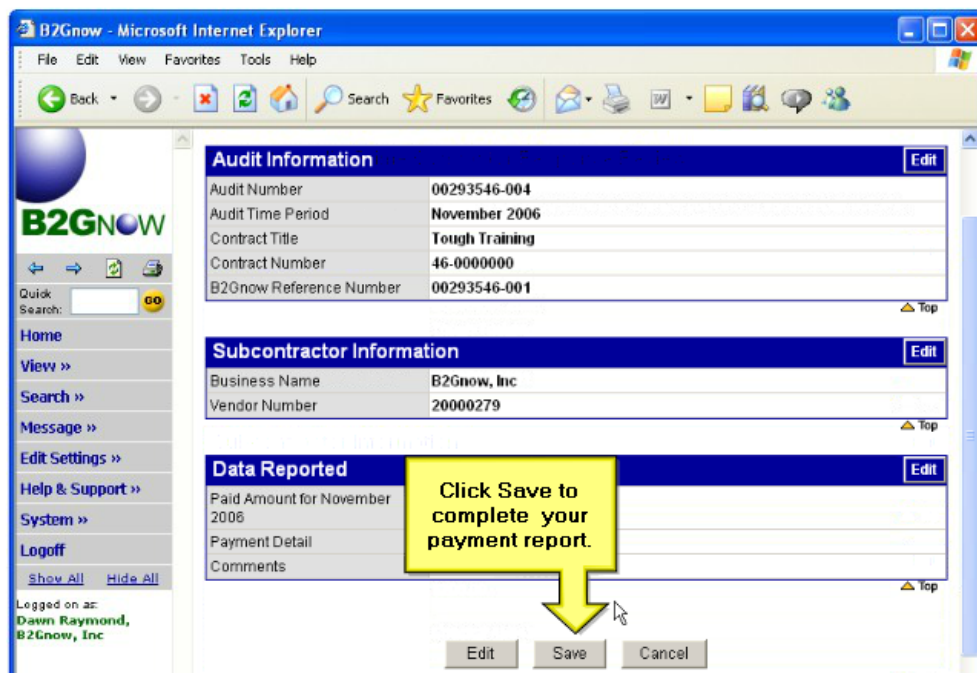
PREVIOUS NEXT

Fill in the amount PAID to the Subcontractor. The subcontractor will be logging on to their own accounts to verify payment.

- 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 the link below to access a training video on how to respond to an audit:

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

The following 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 ON PROCESS 1:

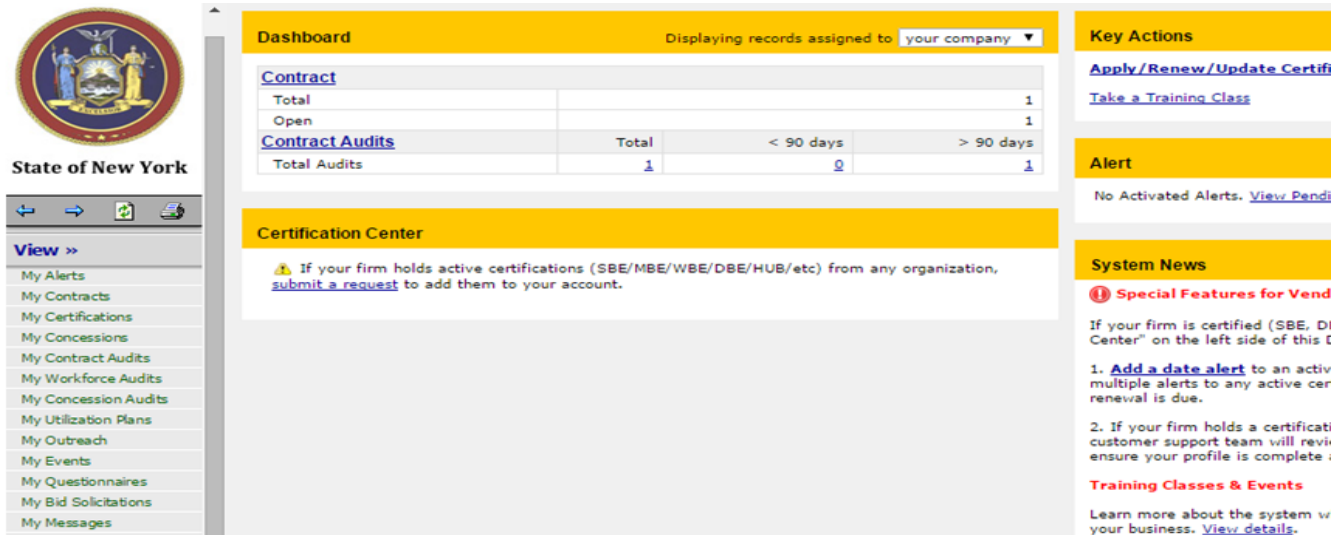
- You are encouraged to respond within 7 days of the first audit notice. After 60 days, the audit will be locked and you must contact your contract compliance officer.
- Your subcontractors are encouraged to respond within 7 days of their first audit notice. After 60 days, the audit will be locked and they may need to contact your contract compliance officer.
- If you receive any payments but didn't pay your subcontractors, you must still respond to the audit notice of payment and submit a \$0 payment.
- Late Reporting of MWBE utilization:
If you failed to respond to an audit notice and the audit period/month is no longer within the most recent quarter, you should not go back and enter the payment data in the pending audit. Instead, **you must add an audit with a month within the most recent quarter, while specifying the date and providing proof of payments, such as check #, invoice # and work performed in the comments (see PROCESS 2).**
This is to ensure that your MWBE utilization data is included in the DOS' quarterly reports and you get credit for it!
- Please contact the DOS MWBE Program at 518-474-2754 or dos.sm.mwbe@dos.ny.gov, if you are in doubt about which audit period is appropriate for your reporting.

PROCESS 2

This process will apply if you have made payments to your subcontractors and report the data, while no payments made to you have yet been posted, within a quarter. The reporting process is then manually initiated.

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.



State of New York

Dashboard Displaying records assigned to: [your company](#)

Contract			
Total			1
Open			1

Contract Audits			
Total	< 90 days	> 90 days	
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 Pendi](#)

System News

Special Features for Vend

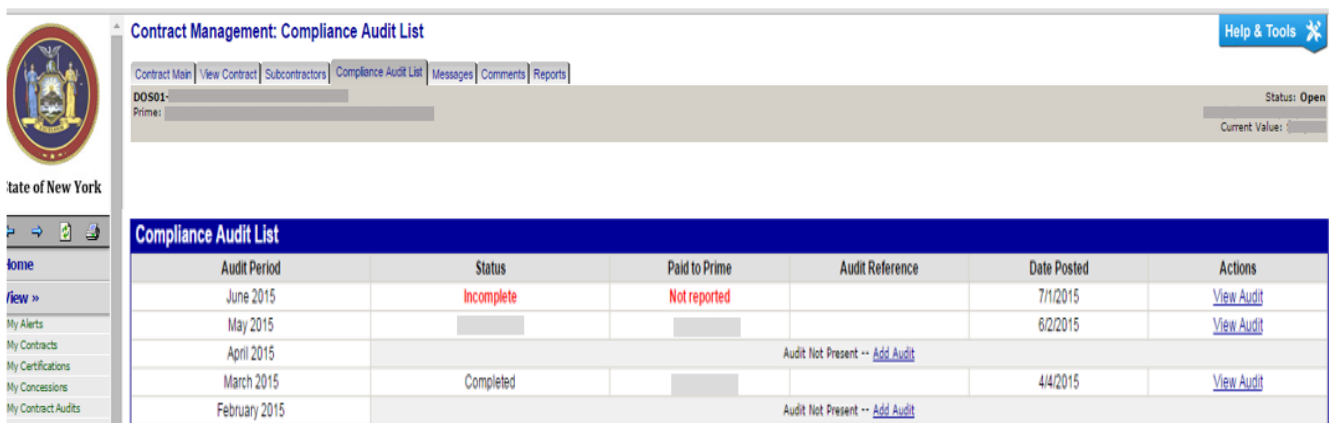
If your firm is certified (SBE, DI Center) on the left side of this t

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

Training Classes & Events

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

- 3- On top of the “Contract Management” screen, select the [Compliance Audit List](#) tab, choose the appropriate audit period, and click on the [Add Audit](#) hyperlink under **Audit Reference** (see [NOTES ON PROCESS 2](#) below to help identify the appropriate reporting audit period).



Contract Management: Compliance Audit List

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

DO501- Prime: Status: Open Current Value: 0

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 received from Department of State** hyperlink and enter ZERO as payment received from Department of State; click on the **Review** button and then **Save** button. DO not enter any amount, other than \$0, in this portion of the reporting process.
- 6- Either:
 - a. 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 payments made to all your subcontractors.

OR

 - b. Scroll down to the bottom of the “**Compliance Audit: Audit Notice for**” page from Step 5, and click on the **Submit Response** hyperlink located in front of each of your subcontractor and enter payments made to each of them.

Compliance Audit: Audit Notice for June 2015

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 ON PROCESS 2:

- You are encouraged to report payments made to your subcontracts once those payments occur.
- Late Reporting of MWBE utilization:
If you failed to report payments made to your MWBEs at the time the payments occurred, you should not go back and add an audit with the period/month the payments were made. Instead, **you must add an audit with a month within the most recent quarter, while specifying the date and providing proof of payments, such as check #, invoice # and work performed in the comments**
This is to ensure that your MWBE utilization data is included in the DOS' quarterly report and you get credit for it!
- Your subcontractors are encouraged to respond within 7 days of their first audit notice. After 60 days, the audit will be locked and they may need to contact your contract compliance officer.
- If you didn't pay your subcontractors within a quarter, do not add any audits within this quarter.
- Please contact the DOS MWBE Program at 518-474-2754 or dos.sm.mwbe@dos.ny.gov, if you are in doubt about which audit period is appropriate for your reporting.