

Contractual MWBE/SDVOB Utilization Monthly Reporting

Contractor and Subcontractor Guidance on Reporting Utilization

As contractually required, MWBE and/or SDVOB payments must be reported on a monthly or quarterly basis, as indicated in the contract, directly to OCSD. This is called the *audit*, and the period for which you are reporting is the *audit period*.

Contractors and grantees can report the monthly/quarterly utilization by submitting:

1. The information directly on the New York State Contract System, and having each subcontractor confirm payment online; or,
2. By completing OCSD-6 and providing all required backup documentation, as indicated by your OCSD Compliance Manager¹.

Utilization reporting must be completed for each reporting period, regardless whether payments were made to eligible subcontractors or not.

Per contract requirements, payment information is required by the 10th day after the end of the reporting period, either monthly or quarterly.

Option 1: Reporting and Confirming Payments Online

Q1: How do I create an account on the NYSCS?

To create an account:

1. Go to the NYSCS (ny.newnycontracts.com)
2. Under **MWBE Certification**, select "[Certify or Recertify with New York](#)"
3. Under **Option 1: New Certification**, select "[Create Account](#)"
4. Complete **Sections 1 to 4** and click **Next**
5. Review your information, check "**I would like to create an account in the system**" and click **Next**
6. You have now created an account in the NYSCS.

If you have an account on the NYSCS and forgot your log in information, visit the **NYSCS Password Reminder/Reset** link: <https://ny.newnycontracts.com/FrontEnd/ForgetPassword.asp?TN=ny&XID=3598>

Note: Please make sure that your subcontractors have also created an account in the NYSCS, if they are not certified MWBEs and/or SDVOBs.

Q2: How do I report utilization on the NYSCS?

You may report payments when a Contract Audit opens within the contract record.

1. Under "Compliance Audit List" tab click on "View Audit"



The screenshot shows the NYSCS interface with the 'Compliance Audit List' tab selected. The main content area displays a table with the following data:

Audit Period	Status	Paid to Prime	Audit Reference	Date Posted	Actions
10/30/2017	Incomplete	Pending		10/31/2017	View Audit

Additional information visible in the interface includes: Contract Main, View Contract, Subcontractors, Compliance Audit List, Compliance Audit Summary, Messages, Comments, Reports; Empire State Development; AVTEST: Test Contract; Prime: AV Test; Status: Open; 10/26/2017 - 10/26/2019; Current Value: \$100,000.

¹ Manual submission of utilization compliance reports should only be completed after discussion and approval by your OCSD Compliance Manager.

MWBE/SDVOB Payment Reporting Q&A

2. Select "Report Subcontractor Payment" under Audit Actions

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

Empire State Development
AVTEST: Test Contract
Prime: AV Test

Status: **Open**
10/26/2017 - 10/26/2019
Current Value: \$100,000

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: October 30, 2017
Date & Time Posted: Local: 10/31/2017 1:27:11 PM EDT
System: 10/31/2017 12:27:11 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.

Audit Actions

Category	Action Required & Response Due Date
Prime Contractor	Report 1 subcontractor payment due by 11/30/2017 audit lock on 12/30/2017

Compliance Officer Information

Contact Person: [Alejandra Villanueva](#)
Organization: Empire State Development
User Number: 30000173-662

Buyer/Project Manager Information

Contact Person: [Contract Administrator](#)
Department: Contract Administration
User Number: 10001973-901

Customer Support
Copyright © 2017 B2Gnow. All rights reserved.

[Home](#) | [Help](#) | [Print This Page](#) | [Print To PDF](#)

3. For each subcontractor select the "Submit Response" action under the Subcontractor Payments for [Audit Period] section

Compliance Audit: October 30, 2017 [Help & Tools](#)

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

Empire State Development
AVTEST: Test Contract
Prime: AV Test

Status: **Open**
10/26/2017 - 10/26/2019
Current Value: \$100,000

Listed are subcontractors assigned to this contract. Click the links to the right of the vendor's name to submit or edit a response. You must submit data on each subcontractor to complete the audit.

Audit Information

Audit Response Status: **Not complete**
1 sub response to be submitted
Reporting deadline is 11/30/2017
Audit will be locked 12/30/2017

Audit Period: October 30, 2017
Payment to Prime: **Payment to prime not reported yet**
Marked As Final Audit?: **No (mark audit as final)**

Audit Summary - Total Contract Through TODAY (10/31/2017)

	Award	Award Percent	Payments	Payments Percent	Difference (Payments - Award)
Prime Contract	\$100,000.00		\$0.00		
For Credit	\$22,000.00	22.000%	\$0.00	0.000%	
For Credit to MBE Goal	\$11,000.00	11.000%	\$0.00	0.000%	
For Credit to WBE Goal	\$11,000.00	11.000%	\$0.00	0.000%	

Contract Progress: 
For Credit Progress: 

Award values may not match due to differences between overall contract goal and subcontractor assignments.

Subcontractor Payments for October 30, 2017

Subcontractor	Certified	Type	Inc. in Goal	Actions	Paid Amount in October 30, 2017	Confirmed by Sub	Total To October 30, 2017	Contract Goal	Actual Percent
1 AVTEST22 Ella Villanueva91@gmail.com P 212-803-3222	No	Sub	No	Submit Response	Not Reported	--	\$1,000.00	10.000%	0.000%

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

4. Submit all required payment information for the audit period being reported on, including the payment amount, payment date, and prompt payment per subcontractor paid.

5. Attach proof of payment under "Supporting Documents"

6. Once completed, click "Review."

MWBE/SDVOB Payment Reporting Q&A

Compliance Audit: Prime Contractor Response

Help & Tools

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

Empire State Development
AVTEST: Test Contract
Prime: AV Test

Status: Open
10/26/2017 - 10/26/2019
Current Value: \$100,000

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

* required entry

Audit Information

Audit Time Period: October 30, 2017
Audit Number: 02227759-006

Previous Payment Information

Total Paid Through October 25, 2017: \$1,000.00
Amount Paid for October 25, 2017: \$1,000.00

Subcontractor Information

Subcontractor: AVTEST22
Vendor Number: 20520598
Subcontractor Tier: Tier 1 subcontractor to AV Test

Audit Information

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

Amount PAID for October 30, 2017 *

\$ 500

>> Do NOT enter invoice amount.

Payment Date *

10/10/2017

>> Enter payment date if you made a payment for October 30, 2017.

>> If multiple payments were made, enter the date of the first payment.

>> Select a choice below if you made a payment for October 30, 2017.

Prompt Payment? *

- Yes - the subcontractor was paid within 7 days of payment from AV Test.
 No - the subcontractor was not paid within 7 days of payment from AV Test.
 N/A - we cannot determine if the subcontractor was paid promptly.

Payment Detail

Enter details of PAID check numbers (or ACH references) and amounts for October 30, 2017. This information is optional but will speed up the confirmation process. Payment details are displayed to AVTEST22.

Supporting Documents

Attach File

Attached documents are not visible to AVTEST22.

Comments

(Optional) These comments are visible ONLY to your compliance officer. They are not visible to AVTEST22.

Spell Check Review Cancel

7. A summary page will appear. If all of the information is correct, click "Save".
8. A notification will now be sent to the subcontractor to confirm they payment information.

Follow these steps to report payments on each subcontractor. If payments were not made to a subcontractor within the reporting period, follow the steps and include "\$0" under "Amount Paid". Any subcontractors with MWBE and/or SDVOB utilization in lower tiers must follow the same steps identified above.

Q3: After I have reported MWBE and/or SDVOB payments, how does each subcontractor confirm the payment?

The monthly/quarterly audit process is complete **only** after each subcontractor confirms the payment information included on the NYSCS.

Subcontractor Payment Verification. Each subcontractor must follow these steps to verify payment information provided by the prime contractor/grantee:

1. After logging in, under **Dashboard** on your Home screen, click on **Contract Audits**. Every contract audit/payment pending subcontractor verification will be listed there. Click on the number listed.

MWBE/SDVOB Payment Reporting Q&A

Dashboard Displaying records assigned to **your company** ▾

Contract

Total	1
Open	1

Contract Audits

	Total	< 90 days	> 90 days
Total Audits	<u>2</u>	<u>2</u>	<u>0</u>
Incomplete Audits >>	2	2	0

2. Select on "Incomplete" to open an audit

Contract Audits Help & Tools

Messages | **Contract Audits** | Bid Solicitations | Outreach

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. Show ALL Incomplete Audits

Show ONLY records assigned to you

1 - 2 of 2 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. Refresh Table

Status	Audit Period	Contract Number & Title	Organization	Paid to Prime
All ▾	All ▾	All ▾	All ▾	
Incomplete	10/30/2017	AVTEST: Test Contract	Empire State Development	Pending
Incomplete	10/25/2017	AVTEST: Test Contract	Empire State Development	Pending

[Customer Support](#) [Home](#) | [Help](#) | [Print To PDF](#)

Copyright © 2017 B2Gnow. All rights reserved.

3. Select "Confirm payment received" to open and review the information provided.

Compliance Audit: Audit Notice for October 30, 2017 Help & Tools

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

Empire State Development
AVTEST: Test Contract
 Prime: AV Test

Status: **Open**
 10/26/2017 - 10/26/2019
 Current Value: \$100,000

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	October 30, 2017
Date & Time Posted	Local: 10/31/2017 1:27:11 PM EDT System: 10/31/2017 12:27:11 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 a subcontractor your responsibility is to confirm payments made to you by the prime or higher level subcontractors.

Audit Actions

Category	Action Required & Response Due Date
Tier 1 Subcontractor to AV Test	Sub: Confirm payment received due by 11/30/2017 audit lock on 1/29/2018

Compliance Officer Information

Contact Person	Alejandra Villanueva
Organization	Empire State Development
User Number	30000173-062

Buyer/Project Manager Information

Contact Person	Contract Administrator
Department	Contract Administration
User Number	10001973-001

[Customer Support](#) [Home](#) | [Help](#) | [Print To PDF](#)

Copyright © 2017 B2Gnow. All rights reserved.

4. Subcontractors must respond to each question and provide all of the information requested.

MWBE/SDVOB Payment Reporting Q&A

Compliance Audit: Subcontractor Response

Help & Tools

Contract Main View Contract Subcontractors Compliance Audit List Messages Comments Reports

Empire State Development
AVTEST: Test Contract
Prime: AV Test

Status: Open
10/26/2017 - 10/26/2019
Current Value: \$100,000

This compliance audit requires that the amount reported by AV Test on this contract be confirmed or rejected. Fill in the form and click Review.

View Payment History

* required entry

Audit Information	
Audit Time Period	October 30, 2017

Prime Information	
Prime Contractor	AV Test
Prime Vendor Number	20520539

Previous Payment Information	
Total Through October 30, 2017	\$1,500.00

Prime Payment Information	
Amount Paid TO Prime for October 30, 2017	\$0.00 by Empire State Development to AV Test

Audit Information	
Amount Reported by the prime contractor for October 30, 2017 as PAID to You	
\$500.00	
Confirm Reported Amount? *	
Show all options and fields	
<input type="radio"/> Correct - the amount reported by the prime contractor as PAID to us is correct (\$500.00).	
<input type="radio"/> Incorrect - the amount reported by the prime contractor as PAID to us is not correct.	
Final Payment? *	
<input checked="" type="radio"/> No - our work on this contract continues.	
<input type="radio"/> Yes - this is our last payment for this contract.	
<input type="radio"/> N/A - we have not begun work on this project or we have not been paid yet for our work.	
Is Prime Withholding Retainage? *	
<input type="radio"/> No	
<input type="radio"/> Yes	
Attach File(s)	
<input type="button" value="Attach File"/>	
Public Comments	

These comments are visible to the compliance officer and the prime contractor.	
Private Comments	
These comments are visible ONLY to the compliance officer.	
Confirmation	<input checked="" type="checkbox"/> Send me confirmation of my response.

I am submitting this form with information that I understand to be correct and accurate.

- When all of the questions are answered, check "I am submitting this form with information that I understand to be correct and accurate." And click "Save."

Subcontractors must follow these steps for each audit verification found on the NYSCS.

Q4: What happens after I have reported MWBE and/or SDVOB payments for an audit period?

First, confirm that any subcontractors with lower tier NYS-certified subcontractors follow these steps as well.

Once all payments are reported for an audit period, your OCSD Compliance Manager will review the information provided and request additional information should they deem it necessary.

Option 2: Reporting Payments via Paper Forms

Form OCSD-6 should only be utilized if a request has been submitted to your OCSD Compliance Manager. In addition to completing the required form, proof of payment must also be provided. Proof of payment includes, but is not limited to, cancelled checks and lien waivers.