

Office of Contractor and Supplier Diversity Compliance and Form Requirements

FORM	FORM NAME	FREQUENCY	APPLICABLE TO	REQUIRED OF WHOM?	BACKUP INFORMATION NEEDED	DUE DATE	HOW TO SUBMIT...
OCSD-1	MWBE and SDVOB Participation/ Equal Employment Opportunity Policy Statement	One time at the beginning of the project	ALL PROJECTS and CONTRACTS	All Prime Contractors (Grantees & Borrowers Included) and Sub-contractors or other vendors regardless of goals.	None	Within 10 days of the execution of the contractual agreement or Incentive Proposal (in the case of Grants, Loans or other Incentives)	PDF file to OCSD@ESD.NY.GOV and the assigned OCSD Compliance Manager.
OCSD-2	Staffing Plan	One time at the beginning of the project	CONTRACTS VALUED AT \$250,000 OR MORE	All Prime Contractors (Grantees & Borrowers Included) and Sub-contractors or other vendors.	None	Must be submitted at the beginning of the project.	PDF file to OCSD@ESD.NY.GOV and the assigned OCSD Compliance Manager.
OCSD-3	Workforce Utilization Report	Monthly (Construction contracts over \$100,000) or Quarterly (Commodities and Services contracts over \$25,000)	CONTRACTS VALUED AT \$100,000 OR MORE FOR CONSTRUCTION or \$25,000 OR MORE FOR COMMODITIES AND SERVICES	All Prime Contractors (Grantees & Borrowers Included) and Sub-contractors or other vendors.	None	Due on or before the 10th day after the end of each quarter: January 10th, April 10th, July 10th and October 10th. ** ALL FORM SUBMISSIONS MUST BE IN EXCEL FORMAT**	Excel file to OCSD@ESD.NY.GOV and the assigned OCSD Compliance Manager.
OCSD-4	MWBE and SDVOB Utilization Plan	Initial plan within ten days of execution of agreement -- amendments, as needed	ALL PROJECTS AND CONTRACTS <u>WITH MWBE PARTICIPATION GOAL REQUIREMENTS</u>	All Prime Contractors and Subcontractors on projects with MWBE participation goals.		Due within the first 10 days of acceptance of the IP/contract. Grantee/contractor may request an extension and submit at a later date. Extension requests should be sent to, and approved by, the OCSD compliance manager.	On Form OCSD-4 to the assigned OCSD Compliance Manager or via the NYS Contract System at https://ny.newnycontracts.com
OCSD-5	MWBE/SDVOB Waiver Request	As Needed	MAY BE REQUESTED BY GRANTEE AFTER DOCUMENTED GOOD FAITH EFFORTS HAVE BEEN ESTABLISHED AND CAN BE DEMONSTRATED	ONLY PRIME CONTRACTORS WITH DIRECT CONTRACTUAL RELATIONSHIPS WITH ESD MAY SUBMIT THIS FORM.	Narrative from grantee/contractor and all Good Faith Efforts documentation	Any time after Good Faith Efforts can be established by the grantee/contractor, or if grantee/contractor is able to establish that feasibility does not exist in the project for MWBE and/or SDVOB utilization.	PDF file to OCSD@ESD.NY.GOV and the assigned OCSD Compliance Manager.
OCSD-6	MWBE and SDVOB Compliance and Payment Report	Monthly after execution of the project documents with ESD (contract, loan, IP, etc.)	ALL PROJECTS AND CONTRACTS <u>WITH MWBE PARTICIPATION GOAL REQUIREMENTS</u>	All Prime Contractors and Subcontractors on projects with MWBE participation goals.	Proof of payment to MWBEs and SDVOBs	Due on or before the 10th day after the end of each month. ** ALL FORM SUBMISSIONS MUST INCLUDE PROOF OF PAYMENT TO CONTRACTORS AND VENDORS **	On Form OCSD-6 to the assigned OCSD Compliance Manager or via the NYS Contract System at https://ny.newnycontracts.com

All OCSD Forms can be found on the ESD Website under **Non-Discrimination and Contractor & Supplier Diversity Forms**: <https://esd.ny.gov/about-us/corporate-info>