



WSDOT AUTOMATED COMPLIANCE AUDIT PROCESS FOR PRIME CONTRACTORS

AUTOMATED COMPLIANCE AUDIT PROCESS FOR PRIME CONTRACTORS

This document will provide instructions on how to: (1) review & add subcontractors, and (2) enter subcontractor payments into the Diversity Management & Compliance System (DMCS).

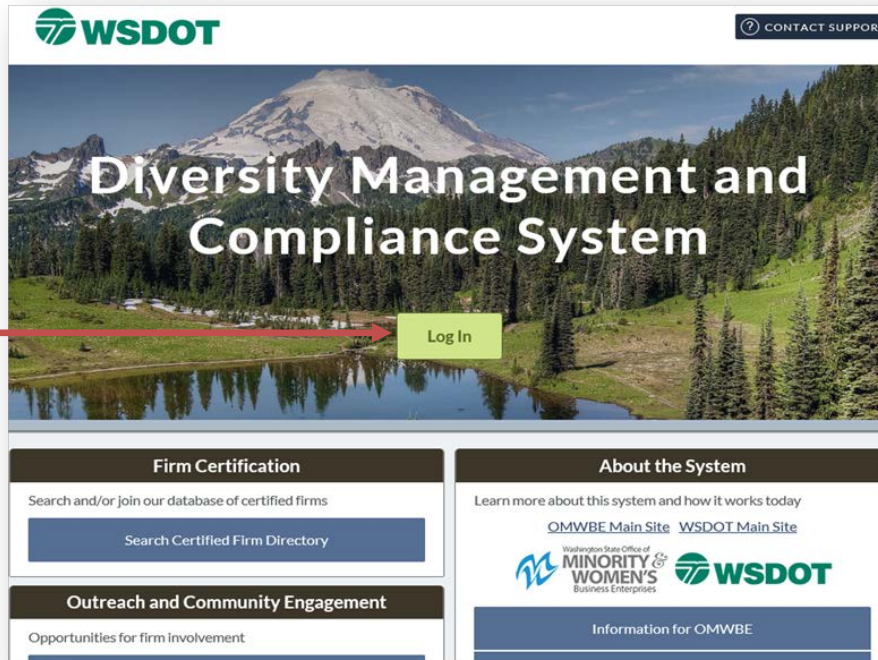
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Reviewing & adding subcontractors to a contract

Step 1: Login to the system

You should have received an email containing your login information. Go to the [DMCS home page](#) and login to the system.



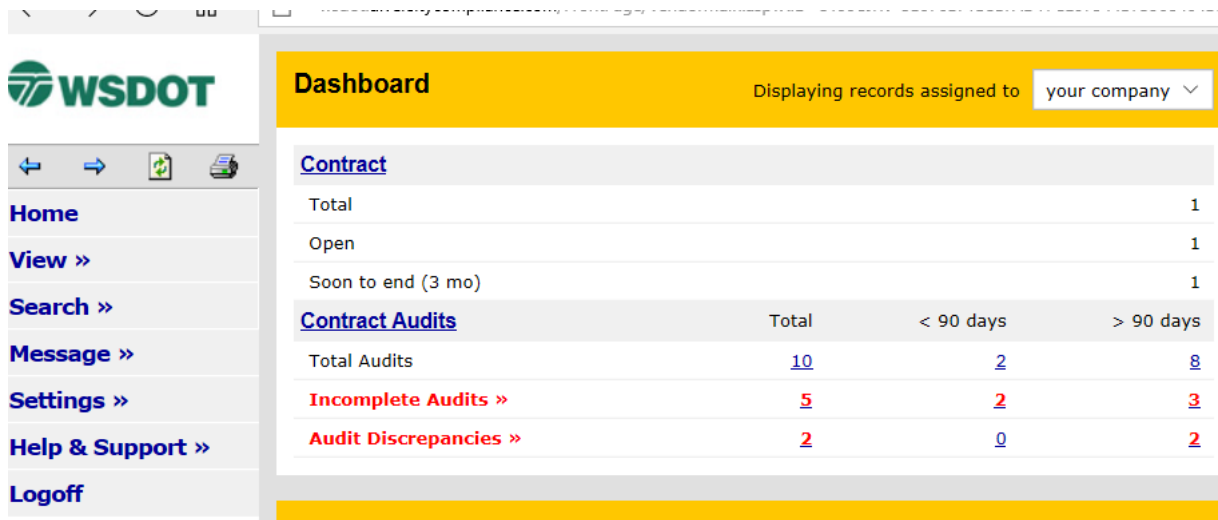
If at any point you have difficulties using DMCS, please do not hesitate to ask for help.

We would be happy to assist you.

You can email us at DiversityReporting@wsdot.wa.gov or call 360-705-7045 to request assistance.

Step 2: Review the information listed on your dashboard.

After logging into DMCS, you will be taken to the main page. On the main page, your dashboard will display information on active contracts and whether any audits need to be completed.



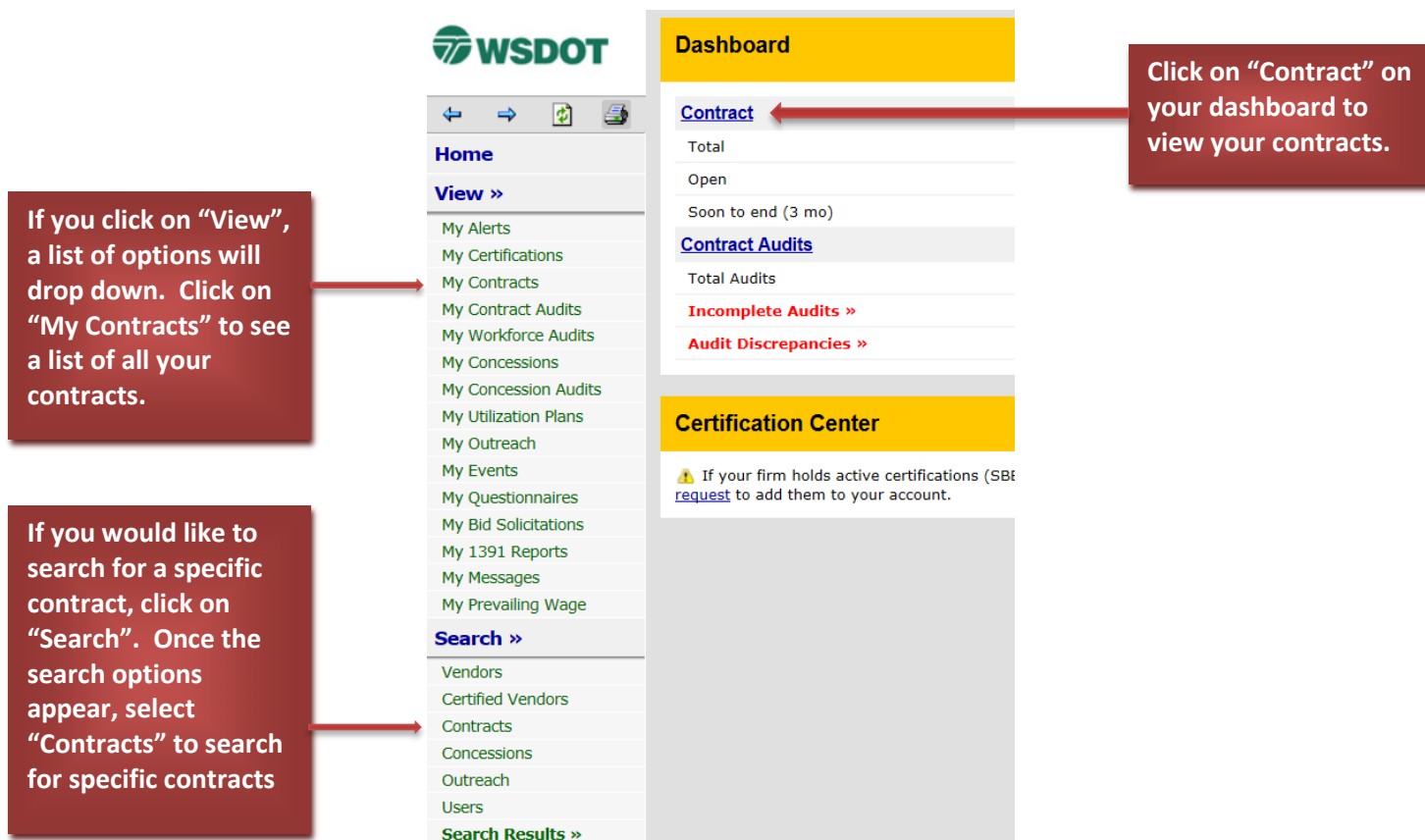
The screenshot shows the WSDOT dashboard with a sidebar on the left and a main content area. The sidebar includes links for Home, View, Search, Message, Settings, Help & Support, and Logoff. The main content area has a yellow header with the WSDOT logo and a dropdown menu for 'your company'. Below the header, there are sections for 'Contract' and 'Contract Audits'. The 'Contract' section shows a total of 1 contract, with 1 open and 1 soon to end (3 mo). The 'Contract Audits' section shows a total of 10 audits, with 5 incomplete and 2 audit discrepancies. A table below this section breaks down the audits by time period: Total Audits (10), Incomplete Audits (5), and Audit Discrepancies (2). The table also shows counts for audits less than 90 days old and more than 90 days old.

Contract	
Total	1
Open	1
Soon to end (3 mo)	1

Contract Audits		Total	< 90 days	> 90 days
Total Audits		10	2	8
Incomplete Audits >>		5	2	3
Audit Discrepancies >>		2	0	2

Step 3: Review your list of contracts.

To view your contracts, click on contract which is located on your dashboard. You can also use the sidebar to view your contracts or search for a specific contract.



The screenshot shows the WSDOT dashboard with three callout boxes providing instructions on how to view contracts. The first callout box points to the 'View' dropdown menu in the sidebar, indicating that clicking 'View' will show a list of options, including 'My Contracts'. The second callout box points to the 'Search' dropdown menu in the sidebar, indicating that clicking 'Search' will show search options, including 'Contracts'. The third callout box points to the 'Contract' link in the main content area, indicating that clicking 'Contract' will view the list of contracts.

If you click on "View", a list of options will drop down. Click on "My Contracts" to see a list of all your contracts.

If you would like to search for a specific contract, click on "Search". Once the search options appear, select "Contracts" to search for specific contracts.

Click on "Contract" on your dashboard to view your contracts.

Step 4: Select the contract you would like to review.

You should now be viewing a list of your contracts. From that list, you can click on “View” to review a specific contract. It is important that you review each of your contracts to ensure all of your subcontractors are assigned correctly.

Vendor Profile: Contracts

System Vendor Number: 20441165

Listed below are the contracts to which this vendor is assigned.

Contracts as Prime Contractor							
Actions	Contract Number & Title	Contracting Organization	Prime Contact	Status	Dates	Award Amount	Paid Amount
View	009098: PLAYGROUND. US 97/SR 14, PAVING - KLIKKITAT COUNTY	Washington State Department of Transportation	George Washington (change)	5 incomplete audits 2 discrepancies	5/22/2017 to 6/30/2018	\$4,600,520	\$2,103,639
Number of contracts as prime: 1						\$4,600,520	\$2,103,639

Contracts as Subcontractor
No contracts assigned as a subcontractor.

Click “View” to review a contract.

Step 5: Navigate to the list of subcontractors to ensure it is correct.

You should now be on the contract’s main page. Click “View Subcontractors” to review the subcontractors assigned to the contract.

[Refresh Page](#)

Contract Information	
Contract Title	PLAYGROUND. US 97/SR 14, PAVING - KLIKKITAT COUNTY
Contract Number	009098
System Transaction Number	02108688-001
Start Date	5/22/2017
(Projected) End Date	6/30/2018
Contract Value	\$4,600,520.00
Compliance Officer	Jacki Doty

Contract Type	Subcontract Percent	Compliance Contact Person	Compliance Audit Required
Prime	-	George Washington	<input checked="" type="checkbox"/>

Click here: [View Subcontractors](#) [Compliance Audit List](#)

Contract Status & Actions			
	Status	Actions	Previous Transactions
Contract	Open	View Contract	
Contract Change Orders			None
Contract Extensions/Shortenings			None

Step 6: Review the list of Subcontractors.

You should now see a list of all the subcontractors assigned to the contract. Review the list to ensure that all of your subcontractors are listed correctly. You will have to add any missing subcontractors.

Contract management: Subcontractor List

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

Washington State Department of Transportation
009098: PLAYGROUND, US 97/SR 14, PAVING - KLUCKITAT COUNTY
Prime: Test Prime Vendor 24

Status: Open
5/22/2017 - 6/30/2018
Current Value: \$4,600,520

All subcontractors assigned to this contract are listed below. [Refresh Page](#)

Subcontractor List							
Subcontractor Name	Certified	Current Award	Type	Inc. in Goal	Compliance Audit	Final Pmnt	Actions
1 Construction Ahead Inc		\$104,000	Sub 100%		No	No	Add Tier 2 Sub Substitute Sub Remove Sub
2 JWC Transport, LLC	No	\$4,000	Truck/Haul	No	No	No	Add Tier 3 Sub Substitute Sub Remove Sub
1 Construction Ahead Inc		\$30,000	Sub	No	No	No	Add Tier 2 Sub Substitute Sub Remove Sub
1 North Star Enterprises, Inc.		\$300,000	Sub 100%		No	No	Add Tier 2 Sub Substitute Sub Remove Sub
1 WSDOT Test Sub Vendor 25 [Removal request approved on 11/16/2017]	No	\$75,000	Sub	No	No	No	
1 WSDOT Test Sub Vendor 25	No	\$75,000	Sub	No DBE		No	Add Tier 2 Sub Substitute Sub Remove Sub
1 WSDOT Test Sub Vendor 25	No	\$25,000	Sub	No		No	Add Tier 2 Sub Substitute Sub Remove Sub
1 WSDOT Test Sub Vendor 25	No	\$25,000	Sub	No		No	Add Tier 2 Sub Substitute Sub Remove Sub

Step 7: Adding Subcontractors.

In the event you need to add a subcontractor, click on the "Add First Tier Subcontractor" button.

[Refresh Page](#)

Subcontractor List							
Subcontractor Name	Certified	Current Award	Type	Inc. in Goal	Compliance Audit	Final Pmnt	Actions
1 Construction Ahead Inc		\$104,000	Sub 100%		No	No	Add Tier 2 Sub Substitute Sub Remove Sub
2 JWC Transport, LLC	No	\$4,000	Truck/Haul	No	No	No	Add Tier 3 Sub Substitute Sub Remove Sub
1 Construction Ahead Inc		\$30,000	Sub	No	No	No	Add Tier 2 Sub Substitute Sub Remove Sub
1 North Star Enterprises, Inc.		\$300,000	Sub 100%		No	No	Add Tier 2 Sub Substitute Sub Remove Sub
1 WSDOT Test Sub Vendor 25 [Removal request approved on 11/16/2017]	No	\$75,000	Sub	No	No	No	
1 WSDOT Test Sub Vendor 25	No	\$75,000	Sub	No DBE		No	Add Tier 2 Sub Substitute Sub Remove Sub
1 WSDOT Test Sub Vendor 25	No	\$25,000	Sub	No		No	Add Tier 2 Sub Substitute Sub Remove Sub
1 WSDOT Test Sub Vendor 25	No	\$25,000	Sub	No		No	Add Tier 2 Sub Substitute Sub Remove Sub

Click here to add subcontractors to the list.

Add First Tier Subcontractor

Step 8: Enter new subcontractor's information into required fields.

You should now be on the Contract Management: Add Subcontractor page. Check if the subcontractor's information is already in DMCS. You can do this by clicking on "Get Vendor" to search for the subcontractor you are trying to add.

Contract Management: Add Subcontractor Help & Tools

[Contract Main](#) [View Contract](#) [Subcontractors](#) [Compliance Audit List](#) [Compliance Audit Summary](#) [Messages](#) [Comments](#) [Reports](#)

Washington State Department of Transportation
009098: PLAYGROUND. US 97/SR 14, PAVING - KLIICKITAT COUNTY
Prime: Test Prime Vendor 24 Status: **Open**
5/22/2017 - 6/30/2018
Current Value: \$4,600,520

*** required entry**

Vendor Information

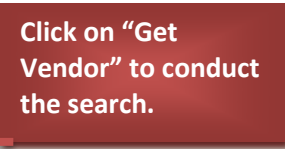
Vendor * [Get Vendor](#) from vendor database

Vendor Compliance Contact *

Vendor Address *

Applicable Vendor Certifications

Assign a vendor and [click to refresh certification list](#).



Click on "Get Vendor" to conduct the search.

On the Search Vendors page, you can enter in information to conduct a search. Click on "Search All Matches" or "Search First 20 Matches" to conduct a search.

Search: Vendors CLOSE WINDOW

Search for vendor using names, location, classification, and/or other criteria. Enter information into any of the boxes below and click one of the search buttons. Some parameters may be required.

Search Parameters

Business Name/DBA
Enter business name, DBA name, Tax ID number, or System Vendor Number; all searches are wildcard (e.g. *text*).

Contact Person
First name Last name Contact Type

City

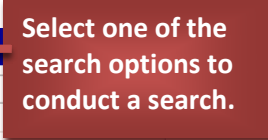
State/Province
U.S. States/Provinces or Canadian Provinces

Zip Code/Postal Code
U.S. Zip Code or Canadian Postal Code

Phone Area Code

Commodity Codes

Business Description



Select one of the search options to conduct a search.

From the search results, click on "Select Vendor" to add that subcontractor's information.

Click here:

Search: Vendors
CLOSE W

To resort click column title. To filter click dr

Business Name All	Phone Number	Location	Actions
A.A.C. MECHANICAL INC.	713-776-1900	HOUSTON, TX	Select Vendor
A.C.M.E.	503-939-1388	BATTLEGROUND, WA	Select Vendor
AAA ACME LOCK CO INC		MILWAUKEE, WI	Select Vendor
AACME GENERAL CONTRACTORS INC.	540-825-6278	BRANDY STATION, VA	Select Vendor
ABLE SHEET METAL & A/C MECHANICAL CONTRACTORS	888-555-1234	DALLAS, TX	Select Vendor
AC MECHANICAL, LLC	609-383-0077	ABSECON, NJ	Select Vendor
AC MEDIA RESOURCES <small>DBA AC MEDIA RESOURCES</small>	856-767-2355	WEST BERLIN, NJ	Select Vendor
ACADEMY FOR CONTINUING MEDICAL EDUCATION, LLC <small>DBA ACME, LLC</small>	830-481-0549	BLANCO, TX	Select Vendor

After clicking on "Select Vendor", the subcontractor's information should populate some of the fields that need to be entered before you are able to add the subcontractor to the list.

When you return to the Add Subcontractor page, make sure all information with a red asterisk has been entered.

Contract Management: Add Subcontractor

[Help & Tools](#)

[Contract Main](#) | [View Contract](#) | [Subcontractors](#) | [Compliance Audit List](#) | [Compliance Audit Summary](#) | [Messages](#) | [Comments](#) | [Reports](#)

Washington State Department of Transportation
 009098: PLAYGROUND, US 97/SR 14, PAVING - KLICKITAT COUNTY
 Prime: Test Prime Vendor 24

Status: **Ope**
 5/22/2017 - 6/30/201
 Current Value: **\$4,600,52**

* required entry

Vendor Information

Vendor * [Get Vendor](#) from vendor database

Vendor Compliance Contact * None selected

Vendor Address * None selected

Applicable Vendor Certifications

Assign a vendor and [click to refresh certification list](#).

Subcontract Information

Subcontractor Tier * [Tier 1] Subcontractor to Test Prime Vendor 24 [Prime Contractor]

Current Prime Contract Amount \$4,600,520.00

Subcontract Percent/Amount *

By Amount: \$
 By Percent: %

Enter the full amount/percent of the subcontract or the percent relative to the total contract value (\$4,600,520). Do not deduct amount/percent of subcontracts awarded by this subcontractor.

Include in Compliance Audits? *

Yes - subcontractor is active and should be included in the periodic compliance audits of the contract.
 No - subcontractor is inactive.

Count Towards Certified Goal *

Yes - Payments to this subcontractor count towards the None selected Goal (Credit Type: Not Selected)
 No

Type of Participation *

Subcontractor/Subconsultant
 Supplier - Manufacturer
 Supplier - Regular Dealer

Step 9: Finalize the subcontractor's information.

Once all required information has been entered, scroll to the bottom of the screen and click on review.

Add vendor to existing audits for this contract? *

Yes - add this subcontractor to all audits going back to the period of

No. Subcontractor's first audit will be the next one.
Payments Already Made: \$

Reference Identifier

Use this field to uniquely identify this subcontractor if the firm is listed on the contract two or more times. This identifier will be displayed on the vendor list for quick identification of each instance of a firm's participation on the contract.

Attach File(s)

Comments *

When finished entering information, click on review to proceed.

After clicking on review, you will then be asked to check that all information is correct. If all the information is correct, click on save to finish adding the subcontractor.

The subcontractor you added should now be in the list.

[New Sub Page](#)

Subcontractor List								
	Subcontractor Name	Certified	Current Award	Type	Inc. in Goal	Compliance Audit	Final Pmnt	Actions
1	Construction Ahead Inc		\$104,000	Sub 100%		No	No	Add Tier 2 Sub Substitute Sub Remove Sub
2	JWC Transport, LLC	No	\$4,000	Truck/Haul	No	No	No	Add Tier 3 Sub Substitute Sub Remove Sub
1	Construction Ahead Inc		\$30,000	Sub	No	No	No	Add Tier 2 Sub Substitute Sub Remove Sub
1	North Star Enterprises, Inc.		\$300,000	Sub 100%		No	No	Add Tier 2 Sub Substitute Sub Remove Sub
1	WSDOT Test Sub Vendor 25 [Removal request approved on 11/16/2017]	No	\$75,000	Sub	No	No	No	
1	WSDOT Test Sub Vendor 25	No	\$75,000	Sub	No DBE		No	Add Tier 2 Sub Substitute Sub Remove Sub
1	WSDOT Test Sub Vendor 25	No	\$25,000	Sub	No		No	Add Tier 2 Sub Substitute Sub Remove Sub
1	WSDOT Test Sub Vendor 25	No	\$25,000	Sub	No		No	Add Tier 2 Sub Substitute Sub Remove Sub

You can also add Tier 2 subcontractors, substitute subcontractors, or remove subcontractors by clicking on those options that are on the far right side of the list.

Congratulations! You have confirmed the accuracy of your subcontractors listed on the contract.

Completing contract audits

Step 1: Go to DMCS's audit page and select the audit you need to complete.

After you have login to the system, review you dashboard. Any incomplete audits will be in red text. Click on the **red links** from the dashboard.

Click on the red text to view incomplete audits.

Dashboard Displaying records assigned to

<u>Contract</u>			
Total			34
Open			33
Soon to end (3 mo)			2
Closed			1
<u>Contract Audits</u>			
	Total	< 90 days	> 90 days
Total Audits	113	5	108
Incomplete Audits »	7	1	6
Audit Discrepancies »	1	0	1
<u>Workforce Audits</u>			
	Last 30 days	Last 3 months	Last 12 months
Total	7	8	9
Incomplete »	7	8	9
<u>Certification Applications</u>			
	Pending Submission	Pending Receipt	Pending Processing
Status	5	0	0
<u>Certifications</u>			
	Active	Pending	Renewing
Status	0	12	0
<u>Questionnaires</u>			
Incomplete, Pending Submission »			2
Withdrawn			1

Once you click to view the incomplete audits, a listing of audits will appear. Click on the **red link**, again, to view a specific audit period.

Click on "Incomplete" to view that audit

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
Incomplete ▾	Apr-2015 ▾	All ▾	All ▾	
Incomplete	April 2015	Test Contract: Test Contract	Milwaukee Public Schools	Pending
Incomplete	April 2015	Pay Or Play Test Contract	City of Houston	Pending
Incomplete	April 2015	MKE 123: MKE Test	City of Milwaukee	Pending
Incomplete	April 2015	KP3333: Kaiser Training	Kaiser Permanente National Facilities Services	Pending
Incomplete	April 2015	JTA333: JTA Training Contract	Jacksonville Transportation Authority	Not reported
Incomplete	April 2015	123456789: JC- Test1000	Los Angeles County Metropolitan Transportation Authority	Not reported
Incomplete	April 2015	123-Training: Bridge Construction Project	City of Cleveland	Not reported

Step 2: Report payments made to subcontractors.

After opening the audit, click on the **red link** to report Subcontractor payments.

Audit Information	
Time Period	April 2015
Date & Time Posted	Local: 5/1/2015 6:01:37 AM CDT System: 5/1/2015 6:01:37 AM 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 3 subcontractor payments due by 5/31/2015 audit lock on 6/30/2015

Click on
"Incomplete" to
view that audit

Compliance Officer Information	
Contact Person	Milwaukee Conversion User
Organization	City of Milwaukee
User Number	30000038-003

Buyer/Project Manager Information	
Contact Person	Contract Administrator
Department	Milwaukee Default Buyer Department
User	10000996-001

Step 3: Enter payments using one of two options.

You can enter your payments through either one quick update, or enter each payment individually.

Option 1: Enter all payments at once.

Mark 3 Remaining Subcontractors as Zero Mark Audit as Final
Submit ALL Incomplete Records Report Error

Subcontractor Payments for April 2015									
Subcontractor	Certified	Type	Inc. in Goal	Actions	Paid Amount in April 2015	Confirmed by Sub	Total To April 2015	Contract Goal	Actual Percent
1 Sub Flooring, LLC <small>Veronica Lopez sub@b2anow.com P 602-325-9277 Ext. 250, F 602-325-9277</small>	No	Sub	100%	Submit Response	Not Reported	--	\$2,200.00	5.792%	0.211%
1 Sub Trucking Company <small>Jesse James j1@b2anowuser.com P 602-325-9277; F 602-325-9277</small>	No	Sub	100%	Submit Response	Not Reported	--	-\$1,300.00	5.525%	-0.125%
2 Sprinkles Car Wash <small>Jane Sprinkles b2anowtestvendor12@b2anow.com P 602-325-9288, F 602-325-9288</small>	No	Sub	100%	Submit Response	Not Reported	--	\$3,500.00	0.762%	0.336%

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

Return to Audit Notice

Subcontractor Payment Information				
Subcontractor	Total Through January 2015	Payment for February 2015	Payment Date & Prompt Payment (within 7 days)	Payment Details & Comments
1 Sub Flooring, LLC	\$2,200.00	\$	<input type="radio"/> Y <input type="radio"/> N <input type="radio"/> N/A	Payment Details: <input type="text"/> <input type="button" value="DSCS"/> Comments: <input type="text"/>
1 Sub Trucking Company	\$2,200.00	\$	<input type="radio"/> Y <input type="radio"/> N <input type="radio"/> N/A	Payment Details: <input type="text"/> <input type="button" value="DSCS"/> Comments: <input type="text"/>
2 Sprinkles Car Wash	\$3,500.00	\$	<input type="radio"/> Y <input type="radio"/> N <input type="radio"/> N/A	Payment Details: <input type="text"/> <input type="button" value="DSCS"/> Comments: <input type="text"/>

Enter payment information here.

Option 2: Enter payments individually.

Select the subcontractor you want.

Mark 2 Remaining Subcontractors as Zero Mark Audit as Final

Submit ALL Incomplete Records Add Subcontractor Report Error

Subcontractor Payments for February 2010										
Subcontractor	Certified	Type	Inc. In Goal	Goal Type	Actions	Paid Amount in February 2010	Confirmed by Sub	Total To February 2010	Contract Goal	Actual Percent
Sub Flooring, LLC Veronica Laska kathu2@b.janow.com P 607-375-9777 F 607-338-6033	Yes	Sub 100%	Yes	WBE	Submit Response	Not Reported	--	\$9,000.00	10.000%	4.855%
Sub System Construction Marin Kucilag vendor2@b.janow.com P 607-375-9777 F 607-844-7788	Yes	Sub 100%	Yes	MBE	Submit Response	Not Reported	--	\$14,000.00	15.000%	7.568%

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

Audit Information

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

Amount PAID for April 2015 * \$

>> Do NOT enter invoice amount.

Payment Date *

>> Enter payment date if you made a payment for April 2015.
>> If multiple payments were made, enter the date of the first payment.

Prompt Payment? * >> Select a choice below if you made a payment for April 2015.

Yes - the subcontractor was paid within 7 days of payment from City of Milwaukee.
 No - the subcontractor was not paid within 7 days of payment from .
 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 April 2015. This information is optional but will speed up the confirmation process. Payment details are displayed to Sub Flooring, LLC.

Supporting Documents

Attached documents are not visible to Sub Flooring, LLC.

Comments (Optional) These comments are visible ONLY to your compliance officer. They are not visible to Sub Flooring, LLC.

Enter the requested information.

Congratulations! You have completed your audit!

After you finish entering the subcontractor payments, the subcontractors will be sent an email requesting that they verify the information is correct. Once the subcontractors verify their payments, the audit is officially considered closed.