

Arizona Department of Transportation
ENGINEERING CONSULTANTS SECTION

**Disadvantaged Business Enterprises
Contract & Labor Compliance Management System
(DBE System)**

User Manual



Effective July 1, 2011

Introduction

Please read the following information to ensure proper DBE compliance with Engineering Consultants Section (ECS) contracts. This document is a step-by-step guide on how to make entries in the Arizona Department of Transportation (ADOT) DBE Contract & Labor Compliance Management System (referred to as the “DBE System”).

ADOT DBE System

Purpose – As a condition for receiving federal funds, ADOT is required to collect DBE participation data on all federal-aid projects, whether or not there is an established DBE goal/commitment on ADOT contracts. The DBE System, a tool to capture DBE and non-DBE payments and track DBE utilization, was developed to assist ADOT in monitoring DBE compliance, facilitate and streamline timely reporting to Federal Highways Administration (FHWA).

Registration – Federal regulations require ADOT’s Triennial DBE Goal to include the current pool of “ready, willing, and able” DBE and non-DBE consultants¹. The Civil Rights Vendor Registration system was developed, in part, to capture this information.

All prime and subconsultants (DBE and non-DBE) are required to register in the ADOT Civil Rights Vendor Registration System at

<https://adot.dbesystem.com/FrontEnd/VendorsIntroduction.asp?XID=1363&TN=adot>. A help desk link is provided on the registration site to assist the registrant if they encounter difficulties during the registration process or may contact the ADOT Civil Rights Office (CRO) at (602) 712-7761.

ECS and DBE System Compliance

ECS enters all basic contract information at the time a contract is awarded. **The Primes are responsible for completing the following procedures in the DBE System:**

1. Primes must request all Subconsultants and Tier-Subconsultants (DBE and Non-DBE) in the contract record after receiving the NTP letter and before the first payment report submittal.
2. Primes must attach all subcontract agreements (DBE and Non-DBE) at the time Subconsultants and Tier-Subconsultants are requested.
3. Primes must respond to all email audit notifications accurately by indicating payments made to all Subconsultants and Tier-Subconsultants for the appropriate reporting period.
4. Primes must ensure that all Subconsultants and Tier-Subconsultants respond to email audit notifications as well.

This manual addresses the following processes:

- (1) How to request a Subconsultant or lower-tier Subconsultant
- (2) How to respond to email payment notifications (Prime and Subconsultant)
- (3) How to add new users
- (4) How to assign a Compliance Contact Person

¹ Consultants also refer to Subconsultants, lower-tier Subconsultants, Contractors, Subcontractors, lower-tier Subcontractors

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1. System Access Login Home Page

To access the DBE System, go to <https://adot.dbesystem.com>. ADOT may have created an account for your firm during the DBE System implementation phase or you can contact ADOT to have a new account configured/reconfigured.

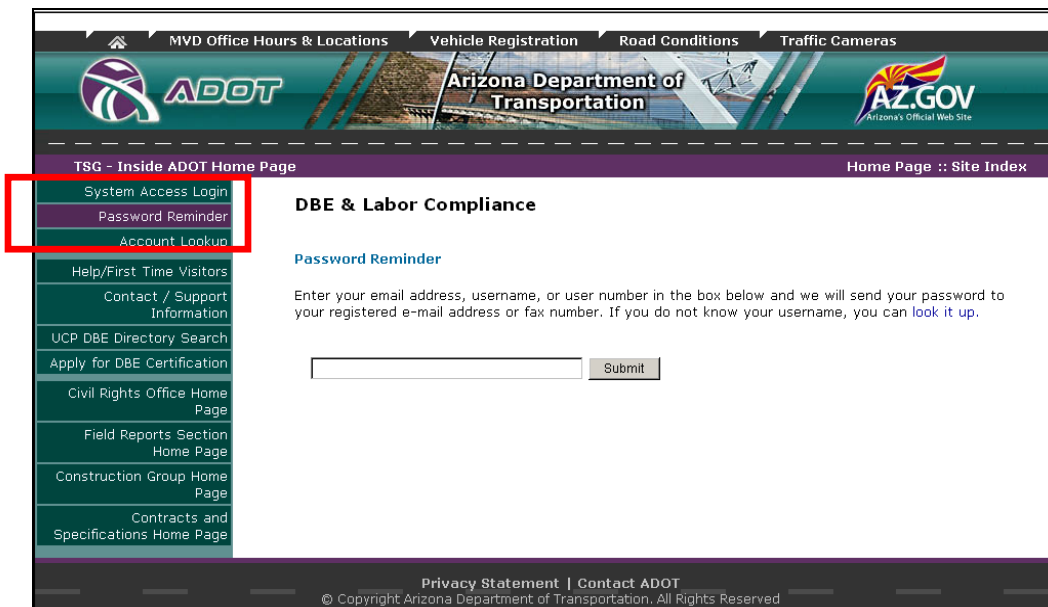


A. Retrieve login information from the system home page

1. Click the **Password Reminder** tab in the left margin.
2. Enter your email address, username, or user number.
3. Click **Submit**.

An email and/or fax user name/password reminder will be sent to you within minutes. Generally, your username is your email address.

If you encounter a message stating you do not have an account, contact ECS DBE Compliance Specialist at (602) 712-7851.



2. DBE System Home Page

The DBE System home page displays the Dashboard (*Your Dashboard*) which lists all data assigned to you. From this page, you can access every feature your user role permits.

Training System
B2GNOW

Home
View »
Search »
Message »
Settings »
Help & Support »
Logoff
[Show All](#) [Hide All](#)

Logged on as:
ADOT Test,
A & S Paving, Inc.

Your Dashboard Displaying records assigned to:

My Contracts

| | | | |
|--------|----|--|--|
| Total | 12 | | |
| Open | 10 | | |
| Closed | 2 | | |

My Contract Audits

| | Last 3 months | Last 6 months | Last 12 months |
|--------------|---------------|---------------|----------------|
| Total Audits | <u>0</u> | <u>2</u> | <u>12</u> |

My Certification Applications

| | Pending Submission | Pending Receipt | Pending Processing |
|--------|--------------------|-----------------|--------------------|
| Status | 0 | 0 | 0 |

My Certifications

| | Active | Pending | Expiring |
|--------|----------|---------|----------|
| Status | <u>1</u> | 0 | <u>1</u> |

System News

Several new feature are coming soon, including search tracking advanced reporting, and additional certification options. We will be offering webinar training sessions for a range of topics.

Alerts

No Activated Alerts. [View Pending Alerts.](#)

Configure

[Change Your Password](#) [Business Info](#)
[Edit Your Settings](#) [Profile Setup](#)
[List/Add Users](#) [Main Contacts](#)
[EEO/Workforce Comp.](#) [Commodity Codes](#)
[Submit Questionnaire](#) [Apply for Certification](#)

A. Using the Dashboard

The Dashboard provides a snapshot of your records and transactions. Items in **red** indicate the areas requiring your immediate attention/action.

To configure your Dashboard, click **Hide** or **View**. Your configuration automatically saves each time you view the Dashboard.

| Your Dashboard Displaying records assigned to: <input type="text" value="your company"/> | | | |
|---|--------------------|-----------------|--------------------|
| My Contracts | | | |
| Total | 12 | | |
| Open | 10 | | |
| Closed | 2 | | |
| My Contract Audits | | | |
| | Last 3 months | Last 6 months | Last 12 months |
| Total Audits | <u>0</u> | <u>2</u> | <u>12</u> |
| My Certification Applications | | | |
| | Pending Submission | Pending Receipt | Pending Processing |
| Status | 0 | 0 | 0 |
| My Certifications | | | |
| | Active | Pending | Expiring |
| Status | <u>1</u> | 0 | <u>1</u> |

3. Contracts

The right column of the Dashboard shows the total number of contracts assigned to you or your firm. Click **My Contracts** to view your list of contracts.

| Your Dashboard | | | |
|--------------------------------------|--------------------|-----------------|--------------------|
| Displaying records assigned to | | your company | |
| My Contracts | | | |
| Total | | | 12 |
| Open | | | 10 |
| Closed | | | 2 |
| My Contract Audits | | | |
| | Last 3 months | Last 6 months | Last 12 months |
| Total Audits | 0 | 2 | 12 |
| My Certification Applications | | | |
| | Pending Submission | Pending Receipt | Pending Processing |
| Status | 0 | 0 | 0 |
| My Certifications | | | |
| | Active | Pending | Expiring |
| Status | 1 | 0 | 1 |

A. Viewing contract records

1. Select the contract you want to see and click **View**.

| Vendor Profile: Contracts | | | | | | | |
|--|--|--------------------------------------|-----------------|--------|------------------------|---------------------|-------------|
| Business Name: A & S Paving, Inc. | | | | | | | |
| Main General Info Public Profile Users Commodity Codes Contracts Employees Certifications Workforce Composition/EEO Questionnaires | | | | | | | |
| 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 | SS75901C: 29TH STREET, 12TH AVE TO UPRR | Arizona Department of Transportation | Lennie McCarthy | | 4/8/2010 to 6/28/2010 | \$389,758 | \$329,765 |
| View | 2 10-098: Highway Improvement | Arizona Department of Transportation | ADOT Test | | 5/4/2011 to 5/4/2012 | \$1,000,000 | \$0 |
| View | SL55301C: Hohokham Middle School bike path improvement | Arizona Department of Transportation | Lennie McCarthy | | 1/11/2010 to 9/30/2011 | \$235,267 | \$258,079 |
| View | H723101C: I-19 , IRVINGTON TI | Arizona Department of Transportation | ADOT Test | Closed | 7/20/2007 to 11/5/2007 | \$350,566 | \$13,310 |
| View | H645301C: OLD WINKELMAN HWY & BIA ROUTE | Arizona Department of Transportation | ADOT Test | | 8/5/2009 to 5/20/2010 | \$511,422 | \$0 |
| View | SS74101C: RTE 4 (CALLE TORIM) AND RTE 10 | Arizona Department of Transportation | Lennie McCarthy | | 4/20/2010 to 1/1/2020 | \$295,770 | \$277,608 |
| View | SL53301C: TYNDALL AVE, UNIVERSITY BLVD | Arizona Department of Transportation | Lennie McCarthy | | 7/1/2009 to 12/1/2012 | \$1 | \$0 |
| Number of contracts as prime: 7 | | | | | | \$2,782,784 | \$878,763 |
| Contracts as Subcontractor | | | | | | | |
| Actions | Contract Number & Title | Contracting Organization | Sub Contact | Status | Prime | Current Subcontract | Paid Amount |
| View | SL50201C: South Fourth Ave Streetscape | Arizona Department of | Lennie McCarthy | | NAC Construction | \$1,250 0.42% | \$3,000 |

Once in the contract record, the title **Contract Management** appears at the top of the page, which has the following tabs: Contract Main, View Contract, Subcontractors, Compliance Audit List, Messages, Comments, and Reports. These tabs allow you to maneuver within that particular contract.

Familiarize yourself with this module by clicking through all the tabs.

Contract Management

[HELP](#) [VIDEO HELP](#) [Customer Support](#)

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

Status: **Open**
 5/4/2011 - 5/4/2012
 Current Value: **\$1,000,000**

2010-098: Highway Improvement
 Prime: **A & S Paving, Inc.**

[Refresh Page](#)

Contract Information ?

| | | | |
|-----------------------------|----------------------------|--|--|
| Contract Title | Highway Improvement | | |
| Contract Number | 2010-098 | | |
| System Transaction Number | 00554076-001 | | |
| Start Date | 5/4/2011 | | |
| End Date | 5/4/2012 | | |
| Maximum Value | \$1,000,000.00 | | |
| Contract Compliance Officer | Mayline Hoaee | | |

User Assignment ?

| Contract Type | (Sub) Contract Percent | Compliance Contact Person | Compliance Audit Required |
|---------------|------------------------|---------------------------|---------------------------|
| Prime | 100.000% | ADOT Test | Yes |

Contract Status & Actions ?

| | Status | Actions | Previous Transactions |
|---------------------------------|--------|-------------------------------|-----------------------|
| Contract | Open | View Contract | |
| Contract Amendments | | | None |
| Contract Extensions/Shortenings | | | None |

4. Request a Subconsultant or Lower-Tier Subconsultant

A. Contract Management: Subcontractor List

1. Click **Subcontractors** to get to the Subcontractor List page.
2. Click **Add First Tier Subcontractor** to request a Subconsultant.

Or

3. If you are requesting a lower-tier Subconsultant, click. **Add Sub.**

Note: First Tier Subconsultant requests must be **Approved** before you can request a Lower-Tier Subconsultant.

Contract Management: Subcontractor List

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

2010-098: Highway Improvement
Prime: A & S Paving, Inc.

Status: **Open**
5/4/2011 - 5/4/2012
Current Value: \$1,000,000

Refresh Page

| Subcontractor Name | Sub Tier | Certified | Current Award | Type | Inc. in Goal | Diversity Audit | Final Pmnt | Actions |
|--------------------|----------|-----------|---------------|------|--------------|-----------------|------------|--------------------------|
| ADOT Test Vendor 7 | 1 | No | \$200,000 | Sub | No | Yes | No | Add Sub. |

Add First Tier Subcontractor

Subcontractor Addition Requests

No subcontractor additions requested.

B. Contract Mangement: Add Subcontractor

1. Click **Get Vendor** to find Subconsultant

Contract Management: Add Subcontractor

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

2010-098: Highway Improvement
Prime: A & S Paving, Inc.

Status: **Open**
5/4/2011 - 5/4/2012
Current Value: \$1,000,000

* required entry

Vendor Information

Vendor * [Get Vendor](#)

Applicable Vendor Certifications

No current applicable certifications.

Subcontract Information

Subcontract Tier * [Tier 2] Subcontractor to ADOT Test Vendor 7

Current Prime Contract Amount \$1,000,000.00

Subcontract Percent/Amount *

By Percent: %

By Amount: \$15000

Enter the full amount/percent of the subcontract or the percent relative to the total contract value (\$1,000,000). Do not deduct amount/percent of subcontracts awarded by this subcontractor.

Type of Participation * Subcontractor

C. Search: Vendors

1. Enter Subconsultants name in the **Business Name/DBA** field.
2. Then click **Search All Matches**.

Search: Vendors

Users | **Vendors** | Contracts | Concessions | Outreach

Search for vendors using their names, locations, classifications, ratings, and/or other criteria. Enter information into any of the boxes below and click **Search**. Some parameters are required.

Search First 20 Matches | **Search All Matches** | Clear Form

Search Parameters

Business Name/DBA ADOT Test Vendor

Contact Person First: Last:

City:

State/Province: or Province:

Zip Code/Post Code: or Post Code:

Phone Area Code:

Commodity Code: ADD CODES

Business Description:

Certification Parameters

Certifications: Select all | Unselect all

Arizona Department of Transportation
 Disadvantaged Business Enterprise (DBE)
City of Phoenix

3. Click **Select Vendor** for the appropriate firm you want to add.

Search: Vendors

Users | **Vendors** | Contracts | Concessions | Outreach

Listed below are all of the vendors that match your search criteria. Use the sort and filter functions of the table to reduce the size of the list. You can view more listings by using the navigation line at the bottom of the table.

To resort, click on column title.

| Business Name | Phone Number | Location | Actions |
|--------------------|--------------|----------------|---------------|
| ADOT Test Vendor 7 | 602-325-9277 | Washington, DC | Select Vendor |
| ADOT Test Vendor 8 | 602-325-9277 | Washington, DC | Select Vendor |

1 - 2 of 2 records displayed: Page 1

Search Again | Add New Vendor

Note: If the Subconsultant or tier-subconsultant you are trying to add does not appear in the list, contact the ECS DBE Compliance Specialist at (602) 712-7851.

D. Contract Management: Add Subcontractor

1. Select **Vendor Compliance Contact** from the dropdown menu.
2. Select **Vendor Address** from the dropdown menu.

Contract Management: Add Subcontractor

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

2010-098: Highway Improvement
Prime: A & S Paving, Inc.

Status: Open
5/4/2011 - 5/4/2012
Current Value: \$1,000,000

*** required entry**

Vendor Information

Vendor * ADOT Test Vendor 8 (Change Vendor)

Vendor Compliance Contact * Jeremy Irons

Vendor Address * 1401 S 14th St, Washington, DC 20007

Applicable Vendor Certifications

No current applicable certifications.

3. **Subcontractor Tier:** Automatically identifies who the firm is a subcontractor to.
4. **Subcontract Percent/Amount:** Select the appropriate category:
 - By Percent** - enter the firm's DBE percentile participation; or
 - By Amount** - enter the firm's budgeted amount.
5. **Type of Participation:** Select appropriate participation type.
6. **Include in Compliance Audits?:** Select
 - Yes**, if Subconsultant is active; or
 - No**, if Subconsultant is inactive.

Subcontract Information

Subcontractor Tier * [Tier 2] Subcontractor to ADOT Test Vendor 7

Current Prime Contract Amount \$1,000,000.00

Subcontract Percent/Amount *

By Percent: %

By Amount: \$15000

Enter the full amount/percent of the subcontract or the percent relative to the total contract value (\$1,000,000). Do not deduct amount/percent of subcontracts awarded by this subcontractor.

Type of Participation * 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.

7. **Count Towards Certified Goal:** Select
Yes, if the firm is a DBE and select **DBE** from the dropdown menu.
No, if the firm is a non-DBE.
8. **Subcontract Start Date:** Enter the Subconsultant's start date.
9. **Add vendor to existing audits for this contract?:** Select
Yes, if adding Subconsultant to existing audit for this contract and select the audit period (month and year) that closely corresponds to start date.
No, if the Subconsultant's 1st audit will be considered at the next reporting.
10. **Attach File(s):** Upload subcontract agreements.
11. **Work Description:** Identify the type of work performed by the firm.
12. **Comments:** Enter relevant details regarding this firm's DBE work participation.
13. Click **Review** when complete.
14. Verify, then click **Save**.

| | |
|---|--|
| Count Towards Certified Goal * | <input type="radio"/> Yes - Payments to this subcontractor count towards the None selected Goal. <input checked="" type="radio"/> No |
| Subcontract Start Date * | 6/30/2011 (mm/dd/yyyy) |
| Add vendor to existing audits for this contract? * | <input type="radio"/> Yes - add this subcontractor to all audits going back to the period of June 2011 <input checked="" type="radio"/> No. Subcontractor's first audit will be the next one. Payments Already Made: \$0 |
| Reference Identifier | |
| Attach File(s) | <input type="button" value="Attach File"/> |
| Work Description * | type of work |
| Commodity Codes | <input type="button" value="Add Commodity Codes"/> No Codes Assigned |
| Comments * | This subconsultant will be performing ... |

Upload subcontract agreement here.

After completing the request and clicking **Save**, the top of the page will state **Subcontractor Request Submitted**.

15. Click **Subcontractor List** to request another Subconsultant or tier-subconsultant.

| | | |
|--|--|--|
| Contract Management: Subcontractor Request Submitted | | HELP VIDEO HELP Customer Support |
| Contract Main View Contract Subcontractors Compliance Audit List Messages Comments Reports | | |
| 2010-098: Highway Improvement Prime: A & S Paving, Inc. | | Status: Open 5/4/2011 - 5/4/2012 Current Value: \$1,000,000 |
| <div style="border: 2px solid red; padding: 5px; display: inline-block; margin-right: 20px;"> <input type="button" value="Subcontractor List"/> </div> <input type="button" value="Contract Summary"/> | | |

The newly requested Subconsultant will now show a **Pending** status and must be **Approved** before requesting to add a lower-tier subconsultant.

- Continue to request another Subconsultant or lower-tier Subconsultant to the contract record by clicking **Add First Tier Subcontractor** or **Add Sub**.

Contract Management: Subcontractor List

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

2010-098: Highway Improvement
Prime: A & S Paving, Inc.

Status: **Open**
5/4/2011 - 5/4/2012
Current Value: **\$1,000,000**

[Refresh Page](#)

| Subcontractor List | | | | | | | | | |
|--------------------|----------|-----------|---------------|------|--------------|-----------------|------------|-------------------------|--|
| Subcontractor Name | Sub Tier | Certified | Current Award | Type | Inc. in Goal | Diversity Audit | Final Pmnt | Actions | |
| ADOT Test Vendor 7 | 1 | No | \$200,000 | Sub | No | Yes | No | Add Sub | |

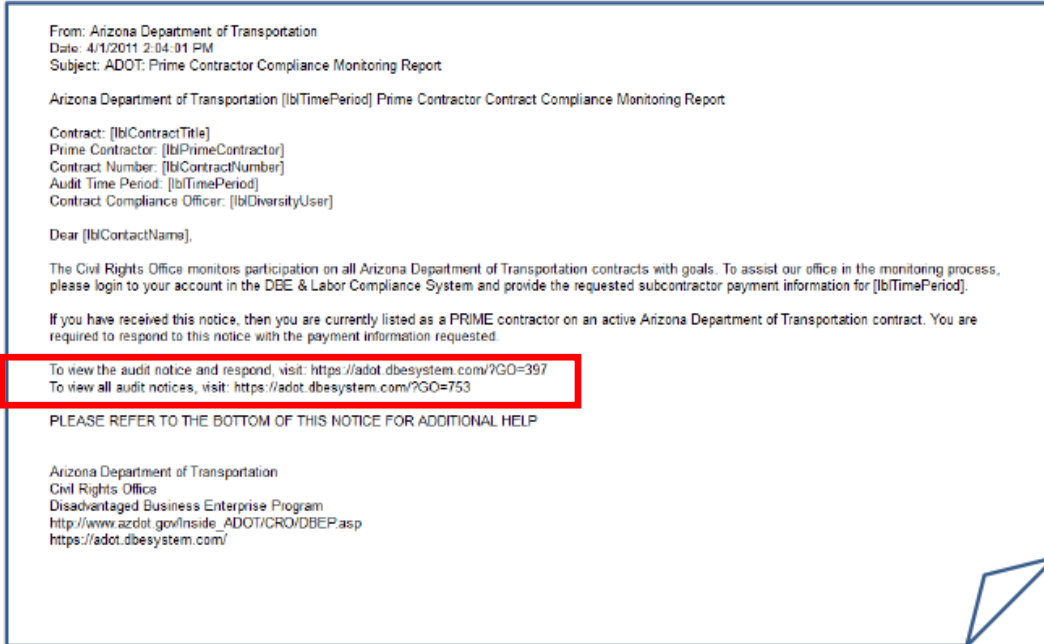
[Add First Tier Subcontractor](#)

| Subcontractor Addition Requests | | | | | | | | |
|---------------------------------|-----------|--------------------------|--------------|-----------------|----------------|---------|----------------------|------------------------|
| Vendor Name | Certified | Requested Percent/Amount | Inc. in Goal | Diversity Audit | Date Requested | Status | Actions | |
| ADOT Test Vendor 8 | | \$15,000 | No | Yes | 6/21/2011 | Pending | View | Cancel |

Note: If there is concern about a Subconsultant's request that has not been approved, contact the Contract Compliance Officer.

5. Responding to Monthly Email Notifications

The following is an example of an email notification sent by the DBE System once payments have been posted to the contract. There is a two-week window to respond to the notification. If needed, contact CRO or the Contract Compliance Officer to extend the reporting period. Click on the link to respond to the notice.



A. Audit Notice Page

Once logged in, you will be directed to the Audit Notice page. Click **Report subcontractor payments** in the Audit Actions section.

Contract Audit: Audit Notice for May 2011

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

2010-098: Highway Improvement
 Prime: A & S Paving, Inc.

Status: Open
 5/4/2011 - 5/4/2012
 Current Value: \$1,000,000

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 | May 2011 |
| Audit Number | 00554076-004 |
| Date & Time Posted | Local: 6/21/2011 5:03:39 PM CDT System: 6/21/2011 5:03:39 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 2 subcontractor payments due 8/22/2011 |

| Contract Compliance Officer Information | Buyer/Project Manager Information |
|--|--|
| Contact Person: Mayline Hooaee | Contact Person: Contract Administrator |

B. Contract Audit Page

From the Contract Audit page, go down to the Subcontractor Payments section and report payment(s) made for EVERY Subconsultant by clicking **Submit Response** in the Actions column.

Contract Audit: May 2011

[HELP](#) [VIDEO HELP](#) [Customer Support](#)

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

2010-098: Highway Improvement
 Prime: A & S Paving, Inc.

Status: **Open**
 5/4/2011 - 5/4/2012
 Current Value: **\$1,000,000**

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; 2 sub responses to be submitted. (View Detail) | | | | |
| Audit Period | May 2011 | | | | |
| Payment to Prime | Payment to prime not reported yet | | | | |
| Marked As Final Audit? | No (mark audit as final) | | | | |

Audit Summary - Total Contract Through TODAY (7/12/2011) ?

| | Award | Award Percent | Payments | Payments Percent | Difference (Payments - Award) |
|------------------------|-----------------------|---------------|---------------|------------------|-------------------------------|
| Prime Contract | \$1,000,000.00 | | \$0.00 | | |
| For Credit | \$50,000.00 | 5.000% | \$0.00 | 0.000% | |
| For Credit to DBE Goal | \$50,000.00 | 5.000% | \$0.00 | 0.000% | |
| Contract Progress | 0.0% | | | | |
| For Credit Progress | 0.0% | | | | |

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

Mark 2 Remaining Subcontractors as Zero

Mark Audit as Final

Submit ALL Incomplete Records

Report Error

Subcontractor Payments for May 2011 ?

| Subcontractor | Certified | Type | Inc. in Goal | Actions | Paid Amount in May 2011 | Confirmed by Sub | Total To May 2011 | Contract Goal | Actual Percent |
|--|-----------|------|--------------|------------------------|-------------------------|------------------|-------------------|---------------|----------------|
| ADOT Test Vendor 7 Jane Smith adotest7@b2gnow.com P 602-325-9277, F 602-325-9277 | No | Sub | No | Submit Response | Not Reported | -- | \$0.00 | 20.000% | 0.000% |
| B2G Test Vendor 1 Dawn Anderson dawn1@b2gnow.com P 210-358-9120, F 210-358-9106 | No | Sub | No | Submit Response | Not Reported | -- | \$0.00 | 1.500% | 0.000% |

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

Return to Audit Notice

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

C. Prime Contractor Response Page

Complete the following required fields in the Audit Information section:

1. **Amount PAID For (period):** Total amount. Enter **0** if no payment made.
2. **Payment Date:** If multiple checks, enter date of first payment for the period.
3. **Prompt Payment?**

Note: Payment Detail and Comments are optional fields. When complete, click **Review** to verify information and click **Save**.

Contract Audit: Prime Contractor Response

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

2010-098: Highway Improvement
Prime: A & S Paving, Inc.

Status: Open
5/4/2011 - 5/4/2012
Current Value: \$1,000,000

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

*** required entry**

| Audit Information | |
|-------------------|--------------|
| Audit Time Period | May 2011 |
| Audit Number | 00554076-004 |

| Previous Payment Information | |
|--------------------------------------|--|
| No audits prior to this time period. | |

| Subcontractor Information | |
|---------------------------|--|
| Subcontractor | ADOT Test Vendor 7 |
| Vendor Number | 20110012 |
| Subcontractor Tier | Tier 1 subcontractor to A & S Paving, Inc. |

| Audit Information | |
|--|---|
| Enter the audit amount for the designated time period. You can attached files or add comments, if necessary. | |
| Amount PAID For May 2011 * | \$2500 1 >> Do NOT enter invoice amount. |
| Payment Date * | 5/25/2011 2 >> Enter payment date if you made a payment during May 2011. >> If multiple payments were made, enter the date of the first payment. |
| Prompt Payment? * | 3 >> Select a choice below if you made a payment during May 2011. <input checked="" type="radio"/> Yes - the subcontractor was paid within 15 days of payment from Arizona Department of Transportation. <input type="radio"/> No - the subcontractor was not paid within 15 days of payment from . <input type="radio"/> N/A - we cannot determine if the subcontractor was paid promptly. |
| Payment Detail | (Optional) Enter details of PAID check numbers and amounts for May 2011. This optional detail will speed up the subcontractors' confirmation of your payment information. This information will be displayed to ADOT Test Vendor 7. |
| Attach File(s) | Attach File |
| Comments | (Optional) These comments are visible ONLY to your contract compliance officer. They are not visible to ADOT Test Vendor 7. |

Arizona Prompt Pay Law states that a subcontractor shall be paid within 7 days of receipt of prime's progress payment.

Spell Check | Review | Cancel

D. Prime Contractor Response Submitted

Click **Return To Audit** to report additional Subconsultant payments for this audit.

Contract Audit: Prime Contractor Response Submitted

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

2010-098: Highway Improvement
Prime: A & S Paving, Inc.

Status: Open
5/4/2011 - 5/4/2012
Current Value: \$1,000,000

The audit response has been saved. Click one of the buttons to continue.

Return To Audit | View ALL Audits

View Audit Response | Return To Audit Notice

E. Report All Other Subconsultant Payments for the Period

Once in the Contract Audit page, click **Submit Response** and follow steps 5C through 5E to report payments for all other subconsultants and tier-subconsultants.

Mark 1 Remaining Subcontractors as Zero | Mark Audit as Final

Submit ALL Incomplete Records | Report Error

Subcontractor Payments for May 2011

| Subcontractor | Certified | Type | Inc. in Goal | Actions | Paid Amount in May 2011 | Confirmed by Sub | Total To May 2011 | Contract Goal | Actual Percent |
|---|-----------|------|--------------|---|-------------------------|------------------|-------------------|---------------|----------------|
| ADOT Test Vendor 7 Jane Smith adottest7@b2qnow.com P 602-325-9277, F 602-325-9277 | No | Sub | No | View Edit | \$2,500.00 | Pending | \$2,500.00 | 20.000% | 0.000% |
| B2G Test Vendor 1 Dawn Anderson dawn1@b2qnow.com P 210-358-9120, F 210-358-9106 | No | Sub | No | Submit Response | Not Reported | -- | \$0.00 | 1.500% | 0.000% |

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

Return to Audit Notice

F. Subcontractor Response Page

The Subcontractor Response page is slightly different from that of the prime's as there are five (5) required entry items. The Subcontractor Response's required fields are as follows:

1. **Confirm Reported Amount?** If the value is different from the amount reported by the prime, enter the correct amount and provide additional details in the **Comments** field.
2. **Payment Date**
3. **Prompt Payment?**
4. **Final Payment?:** If your firm expects additional payments, select **No**
5. **Is Prime Withholding Retainage?**

If there are any discrepancies for any reason, provide details in the **Comments** field.

Contract Audit: Subcontractor Response

Contract Main | View Contract | Subcontractors | Change Orders & Task Orders | Comments | Messages | Contract Close

Compliance Audit List | Compliance Audit Summary | Compliance Audit FY | Reviews | Site Visits | Reports

2010-098: Highway Improvement
Prime: A & S Paving, Inc.
5/4/2011 - 5/4/2012

Status: **Open**
Current Award: **\$1,000,000**
Total Paid: **\$0**
Goal: **5.00%** For Credit: **\$0**
% Credit: **0.00%**

This contract compliance audit requires that the amount reported by **A & S Paving, Inc.** on this contract be confirmed or rejected. Fill in the form and click **Review**. [View Payment History](#)

*** required entry**

| Audit Information | |
|-------------------|--------------|
| Audit Time Period | May 2011 |
| Audit Number | 00554076-004 |

| Prime Information | |
|---------------------|--------------------|
| Prime Contractor | A & S Paving, Inc. |
| Prime Vendor Number | 20053894 |

| Previous Payment Information Reported by Prime Contractor | |
|---|------------|
| Paid Amount for May 2011 | \$2,500.00 |
| Payment Detail | |

| Prime Payment Information | |
|-----------------------------------|--|
| Amount Paid TO Prime for May 2011 | \$0.00 by Arizona Department of Transportation to A & S Paving, Inc. |
| Date Paid TO Prime | |

Audit Information

Displayed are the reported payments by the Prime for this audit period, and the last one. Also listed are the totals to the date of the audit period.

| | |
|---|---|
| Amount Reported by Prime Contractor for May 2011 as PAID to You | \$2,500.00 |
| Confirm Reported Amount? * | <input checked="" type="radio"/> Yes - the amount reported by Prime Contractor as PAID to us is correct. <input type="radio"/> No - the amount reported by the prime contractor as PAID to us is not correct. Enter the amount you actually received from the prime contractor in May 2011: \$2500 |
| Payment Date * | 5/25/2011 >> Enter payment date if you received a payment during May 2011. >> If multiple payments were received, enter the date of the first payment. |
| Prompt Payment? * | <input checked="" type="radio"/> Yes - you were paid within 15 days of the prime being paid by Arizona Department of Transportation. <input type="radio"/> No - you were not paid within 15 days of the prime being paid by Arizona Department of Transportation. <input type="radio"/> N/A - we cannot determine if we were paid promptly. |
| 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 checked="" type="radio"/> No <input type="radio"/> Yes How much retainage is being withheld? \$ When do you expect to receive it? |
| Attach File(s) | Attach File |
| Comments | Arizona Prompt Pay Law states that a subcontractor shall be paid within 7 days of receipt of prime's progress payment. |

Spell Check | Review | Cancel

6. Adding Users

A. To add new users in your firm

1. Click **Settings** in the left margin to view options.
2. Click **Add a User**.

Your Dashboard Displaying records assigned to

My Contracts

| | | |
|--------|--|---|
| Total | | 4 |
| Open | | 2 |
| Closed | | 2 |

My Contract Audits

| | Last 3 months | Last 6 months | Last 12 months |
|----------------------|---------------|---------------|----------------|
| Total Audits | 1 | 1 | 1 |
| Incomplete Audits >> | 1 | 1 | 1 |

My Certification Applications

| | Pending Submission | Pending Receipt | Pending Processing |
|--------|--------------------|-----------------|--------------------|
| Status | 0 | 0 | 0 |

My Certifications

| | Active | Pending | Expiring |
|--------|--------|---------|----------|
| Status | 1 | 0 | 1 |

System News

Several new feature are coming soon, including search track advanced reporting, and additional certification options. We be offering webinar training sessions for a range of topics.

Alerts

No Activated Alerts. [View Pending Alerts.](#)

Configure

[Change Your Password](#) [Business Info](#)
[Edit Your Settings](#) [Profile Setup](#)
[List/Add Users](#) [Main Contacts](#)
[EEO/Workforce Comp.](#) [Commodity Codes](#)
[Submit Questionnaire](#) [Apply for Certification](#)

Settings >>

Change Password
 Your Settings
 General Biz Info
 Vendor Profile
Add a User
 Contacts
 Commodity Codes
 Employees
 Workforce/EEO
 Questionnaires

Help & Support >>

Logoff

Show All Hide All

Logged on as:
 ADDOT Test,
 A & S Paving, Inc.

[Customer Support](#)
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[Home](#) | [Help](#) | [Print This Page](#) | [Print This Page](#)

B. Vendor Profile: Users

3. Click **Add User**.

Vendor Profile: Users

Business Name: A & S Paving, Inc.

[Main](#) | [General Info](#) | [Public Profile](#) | **[Users](#)** | [Commodity Codes](#) | [Contacts](#) | [Employees](#)

[Certifications](#) | [Contracts](#) | [Workforce Composition/EEO](#) | [Questionnaires](#)

Listed are all of the users accounts for this business. To view a user's information, click the user number or name.

Add User

| User Number | Name | Title | Contact Role(s) | Actions |
|------------------------------|----------------------------------|---------------------|---|--|
| 20053894-003 | McCarthy, Lennie | accounts receivable | | Copy Deactivate |
| 20053894-001 | Test, ADOT | President | Certifications, Contracts, General, Insurance, Invoicing, Owner, Prevailing Wage, Sales | Copy Deactivate |

C. Vendor Profile: User Information

4. **Contact Information:** Enter all required data.
5. **Addresses:** Enter specific address category (e.g., physical, mailing, billing shipping) from the dropdown menu.

Vendor Profile: User Information HELP VIDEO HELP Customer Support

Business Name: **A & S Paving, Inc.**

[Main](#) | [General Info](#) | [Public Profile](#) | [Users](#) | [Commodity Codes](#) | [Contacts](#) | [Employees](#)
[Certifications](#) | [Contracts](#) | [Workforce Composition/EEO](#) | [Questionnaires](#)

These are the settings for the displayed user. When finished, click the **Save Changes** button.

*** required entry**

Contact Information ?

Enter the user's contact information. The email address serves as the the username.

| | | | | |
|--------------------------|---------------------------------|-----------------------------------|----------------------------------|-----------------------------|
| Name * | Salutation <input type="text"/> | First Name * <input type="text"/> | Last Name * <input type="text"/> | Suffix <input type="text"/> |
| Email/Username * | <input type="text"/> | | | |
| Title | <input type="text"/> | | | |
| Phone Number * | <input type="text"/> | <input type="text"/> | Ext. <input type="text"/> | |
| Fax Number * | <input type="text"/> | <input type="text"/> | | |
| Choose password * | <input type="password"/> | | | |
| Retype password * | <input type="password"/> | | | |

Addresses ?

Select the addresses for this user. To edit or add addresses, click the **Contact Info** tab at the top of this page.

| | |
|-------------------|--|
| Physical * | <input type="text" value="Select a physical address"/> |
| Mailing * | <input type="text" value="Select a mailing address"/> |
| Billing * | <input type="text" value="Select a billing address"/> |
| Shipping * | <input type="text" value="Select a shipping address"/> |

6. **Account Preferences:** Enter time zone, preferred notification method (email) and notification options.
7. Click **Save**.

Account Preferences ?

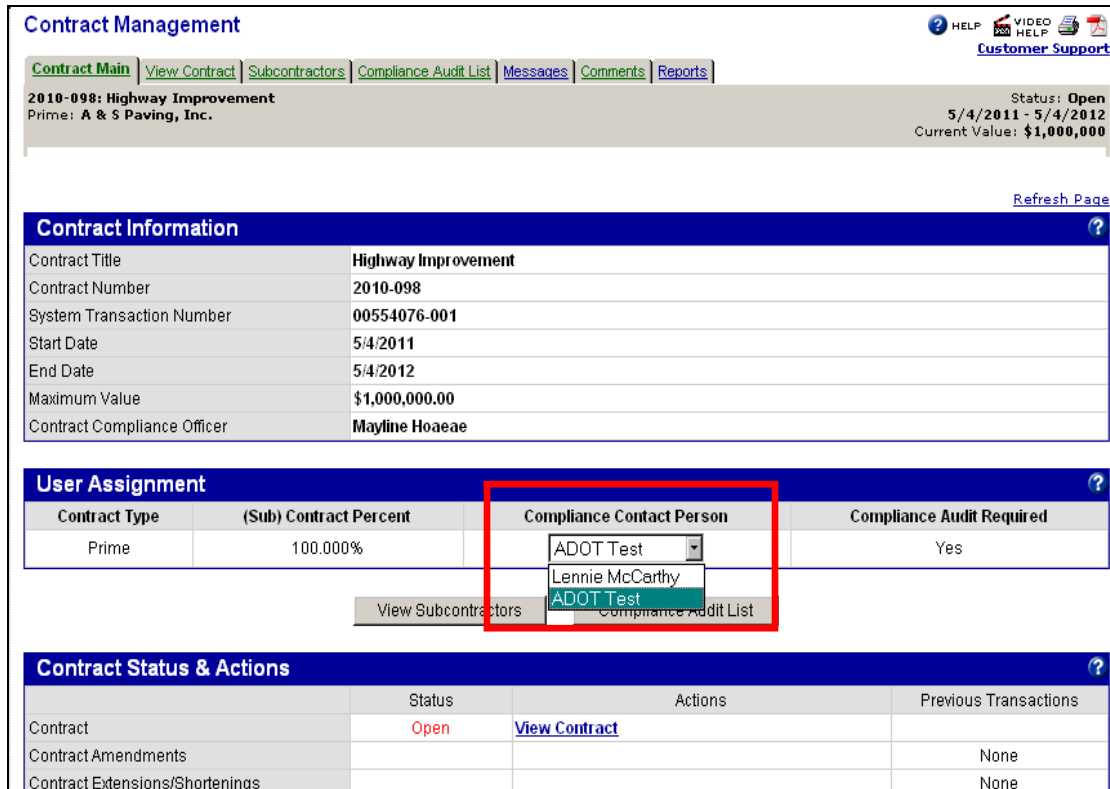
Select the timezone, language, and notification settings for this user.

| | |
|--|---|
| Time Zone * | <input type="text" value="US/Arizona"/> |
| Preferred Notification Method * | <input type="radio"/> Email AND Fax: <input type="text" value="Send me plain-text email"/> |
| | <input checked="" type="radio"/> Email: <input type="text" value="Send me plain-text email"/> |
| | <input type="radio"/> Fax |
| Notification Options | <input checked="" type="checkbox"/> Notify this user of new system features and services. Uncheck the box to not receive these notices. <input checked="" type="checkbox"/> Notify this user of outreach campaigns from any government, such as seminar and training bulletins. Uncheck the box to not receive these notices from any government. This action has no impact on official government correspondence sent as part of any applicable agreement, contract, or policy. |

7. Assign Compliance Contact Person

A. Contract Management

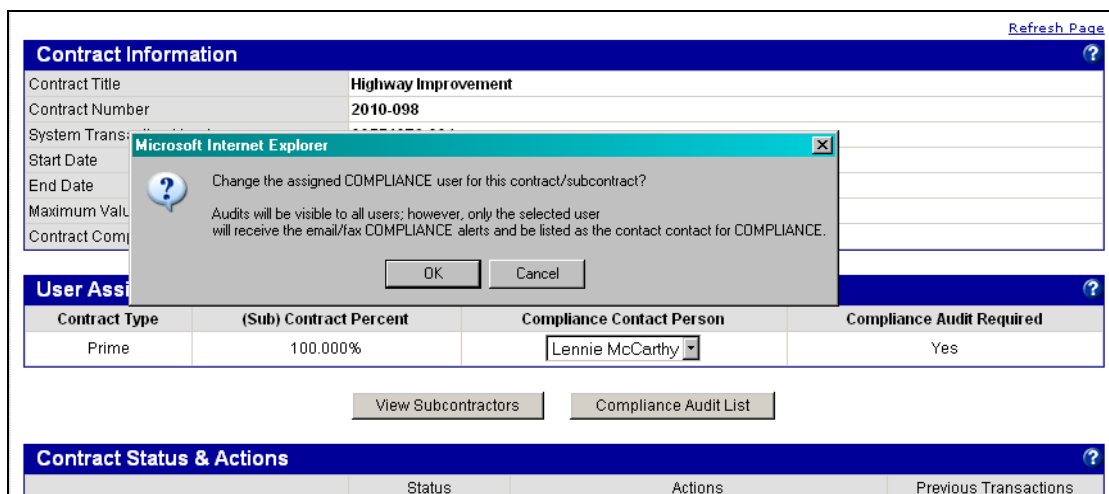
1. Enter the Contract Management page of a particular contract record to edit Compliance Contact Person.
2. **Compliance Contact Person:** Select the contact person from the dropdown menu who will receive all DBE System's email notifications for this contract.



The screenshot shows the 'Contract Management' interface for contract '2010-098: Highway Improvement'. The 'User Assignment' table is highlighted, showing a dropdown menu for the 'Compliance Contact Person' field. The dropdown menu is open, showing 'ADOT Test' as the selected option. Other options visible are 'Lennie McCarthy' and 'ADOT Test'.

| Contract Type | (Sub) Contract Percent | Compliance Contact Person | Compliance Audit Required |
|---------------|------------------------|---------------------------|---------------------------|
| Prime | 100.000% | ADOT Test | Yes |

3. Click **OK** when this notification pops up. The new contact person will then be saved.



The screenshot shows the 'Contract Management' interface with a confirmation dialog box overlaid. The dialog box is titled 'Microsoft Internet Explorer' and contains the following text: 'Change the assigned COMPLIANCE user for this contract/subcontract? Audits will be visible to all users; however, only the selected user will receive the email/fax COMPLIANCE alerts and be listed as the contact contact for COMPLIANCE.' The dialog box has 'OK' and 'Cancel' buttons. In the background, the 'User Assignment' table is visible, showing 'Lennie McCarthy' as the selected 'Compliance Contact Person'.

| Contract Type | (Sub) Contract Percent | Compliance Contact Person | Compliance Audit Required |
|---------------|------------------------|---------------------------|---------------------------|
| Prime | 100.000% | Lennie McCarthy | Yes |

If you have any questions about the DBE System, please contact the ADOT Civil Rights Office at (602) 712-7761 or contact the ECS DBE Compliance Specialist at (602) 712-7851.

Thank you.

Engineering Consultants Section Staff