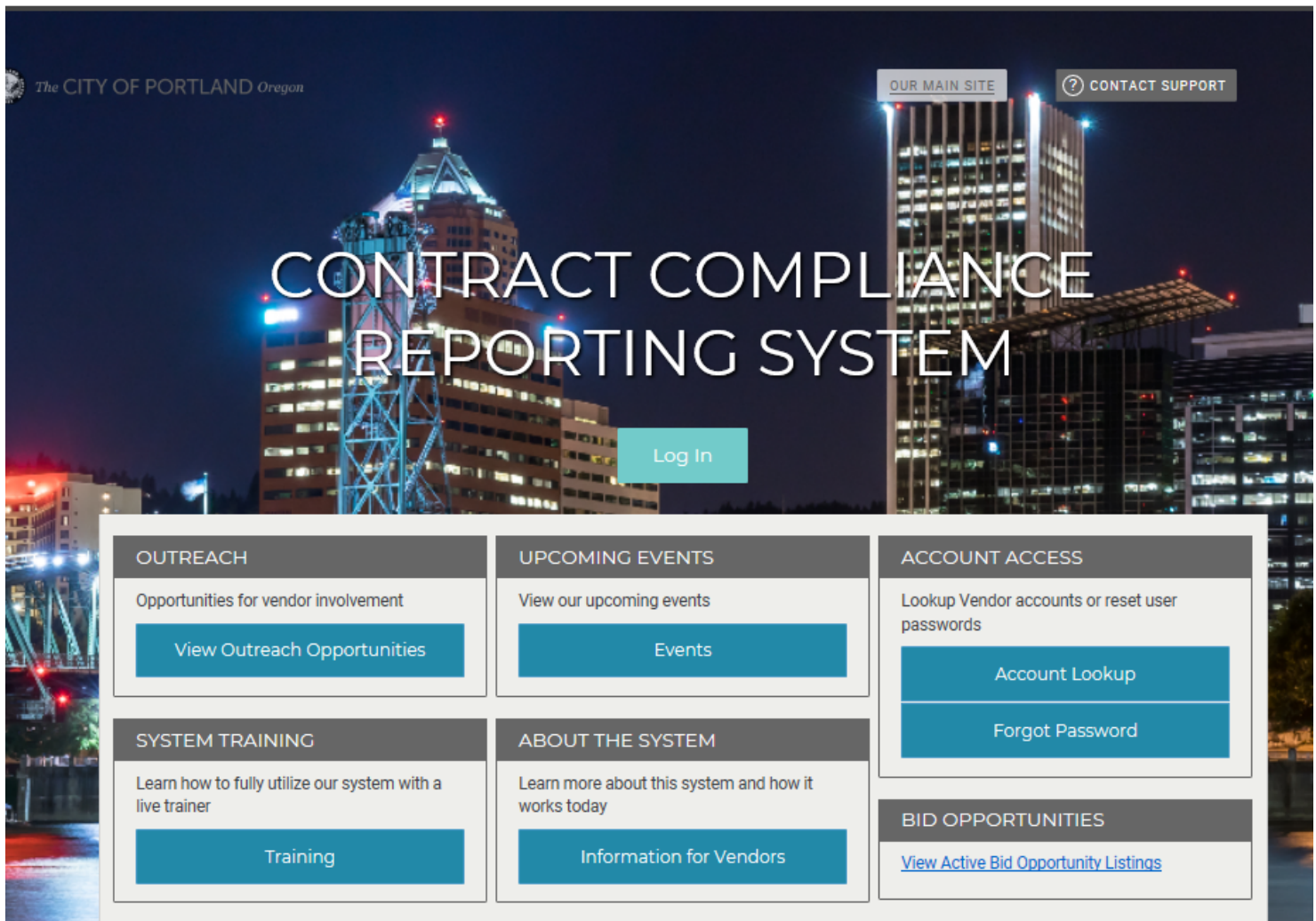# AUTOMATED COMPLIANCE AUDIT PROCESS
FOR PRIME CONTRACTORS AND SUBCONTRACTORS

This document will provide a brief overview of the audit process, but a complete system manual, along with multiple webinars, are available to Staff Users and Vendors through the Help & Support » section, once you login. The audit process for vendor self-reporting by Primes and Subs is fast, simple, and efficient for all parties involved.

Go to https://portlandoregon.diversitycompliance.com/Default.asp

Enter your Business Name, click "Search" at the bottom of the page

Locate your company and User Account, click "Username/Password Reminder." An email will be send to the address listed. If the address is not current, choose "Change info" instead.

Take a look at the automated compliance audit process:

Once a Prime is notified, via email, they will login to the system, using your URL: https://portlandoregon.diversitycompliance.com/Default.asp

From: City of Akron
Date: 3/16/2016 11:10:23 AM
Subject: Akron: Prime Contractor Compliance Monitoring Report

City of Akron [lblTimePeriod] Prime Contractor Contract Compliance Monitoring Report

Contract: [lblContractTitle]
Prime Contractor: [lblPrimeContractor]
Contract Number: [lblContractNumber]
Audit Time Period: [lblTimePeriod]
Contract Compliance Officer: [lblDiversityUser]

Dear [lblContactName],

The Department of Law monitors participation on all City of Akron contracts with goals. To assist our office in the monitoring process, please login to your account in the City of Akron Compliance Monitoring System and provide the requested subcontractor payment information for [lblTimePeriod].

If you have received this notice, then you are currently listed as a PRIME contractor on an active City of Akron contract. You are required to respond to this notice with the payment information requested.

To view the audit notice and respond, visit: https://akronohio.diversitycompliance.com/?GO=397
To view all audit notices, visit: https://akronohio.diversitycompliance.com/?GO=753

PLEASE REFER TO THE BOTTOM OF THIS NOTICE FOR ADDITIONAL HELP

Office of Contract Compliance
Department of Law
166 South High Street, Room 701
Akron, Ohio 44308
http://www.akronohio.gov/
https://akronohio.diversitycompliance.com

A courtesy reminder is sent for each reporting period, usually monthly.
The email includes a link which will take you directly to the report that is due once you enter your username and password.

Once the prime is signed in, they can review this dashboard for compliance contract audits, which will show incomplete audits. To enter incomplete audit information, the Prime will click on the red links from their dashboard.

Dashboard   Displaying records assigned to [your company ▼]

Contract

Total	34
Open	33
Soon to end (3 mo)	2
Closed	1

Contract Audits

	Total	< 90 days	> 90 days
Total Audits	113	5	108
Incomplete Audits »	7	1	6
Audit Discrepancies »	1	0	1

Workforce Audits

	Last 30 days	Last 3 months	Last 12 months
Total	7	8	9
Incomplete »	7	8	9

Certification Applications

	Pending Submission	Pending Receipt	Pending Processing
Status	5	0	0

Certifications

	Active	Pending	Renewing
Status	0	12	0

Questionnaires

Incomplete, Pending Submission »	2
Withdrawn	1

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

The audit month will open and you will then click on the red link in order to report Subcontractor payments.

Prime Contractors can enter the payments for their Subcontractors in one quick update, or they have the option to enter each payment, per Sub, one-by-one.

Submitting All Sub Payments:

Submitting Payments Individually:

After four easy steps, the Prime Contractor completed their audit.

Note: If there are missing subcontractors who should be on the contract, the prime is responsible for submitting a subcontractor request to the City of Akron. All vendors who will count towards the goal on the contract are subject to approval. All others will be added to the contract automatically and available for reporting.

Requesting to add subcontractors (when applicable)

Select the subcontractor tab, a select "add first tier sub" to or "add sub" under actions depending on the tier level.

The prime will need to complete the sub request form and provide a copy of the certification if the request is for a subcontractor who will be counted for certified and will be counted credit.

It is now the Subcontractor's turn!

Audit Information

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

Amount PAID for March 2016 *	$ >> Do NOT enter invoice amount.
Payment Date	 >> Enter payment date if you made a payment for March 2016. >> If multiple payments were made, enter the date of the **first** payment.
Payment Detail	Enter details of PAID check numbers (or ACH references) and amounts for March 2016. This information is optional but will speed up the confirmation process. Payment details are displayed to Sub Flooring.
Supporting Documents	Attach File Attached documents are not visible to Sub Flooring.
Comments	These comments are visible ONLY to the compliance officer and prime contractor. They are not visible to Sub Flooring.

Subcontractors will also receive an email notification (similar to what the prime received) when an audit populates in the system and they will login, just like the Prime Contractor, and click the red links through their dashboard to their incomplete audits.

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 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 Prime Contracting, Inc.	Sub: **Confirm payment received**	due by 6/27/2015 audit lock on 7/27/2015

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 Number	10000996-001

On the audit page the subcontractor will see the information entered by the Prime and they will respond to the information reported by the Prime in addition to payment amount such as prompt pay dates, final payment and the withholding of retainage. The Subcontractor can also attach files, enter public comments or private comments. Confirmations of all entries by both the Prime and the Sub are sent out.

Audit Information	
Amount Reported by the prime contractor for March 2016 as PAID to You	**$100,000.00** Payment Detail Provided by Prime: check: 1000063
Confirm Reported Amount? * Show all options and fields	○ **Correct** - the amount reported by the prime contractor as PAID to us is correct ($100,000.00). ○ **Incorrect** - the amount reported by the prime contractor as PAID to us is not correct.
Final Payment? *	○ No - our work on this contract continues. ○ Yes - this is our last payment for this contract. ○ N/A - we have not begun work on this project or we have not been paid yet for our work.
Is Prime Withholding Retainage? *	○ No ○ Yes
Attach File(s)	[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	☑ Send me confirmation of my response.

The audit is now complete!