ADOT
Business Engagement and Compliance

Payment Reporting Guide

FOR USE WITH THE ADOT DBE & OJT ONLINE REPORTING SYSTEM (DOORS) & LPA DBE SYSTEM

SEPTEMBER 1, 2020

INTRODUCTION

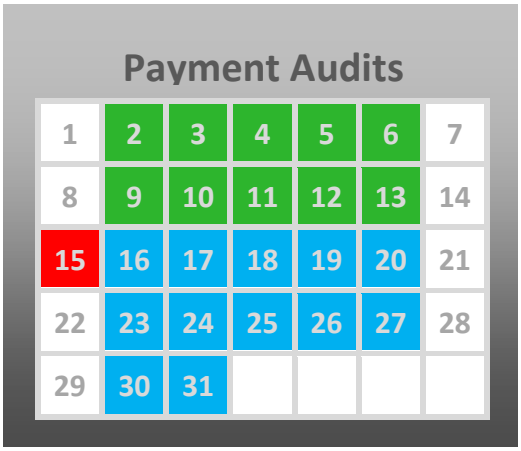
This guide is designed to assist with payment reporting in the Arizona Department of Transportation (ADOT) payment reporting systems. As one of the requirements for participation on federally-funded transportation projects, payment information shall be reported and verified in the following systems:

- ADOT DOORS: https://adotdoors.dbesystem.com
- Arizona LPA DBE System: https://arizonalpa.dbesystem.com

For clarification on the terms used in this guide, *contractor* and *subcontractor* are synonymous with *consultant* and *subconsultant* respectively.

Monthly Payment Audit Cycle

1. Audit opens on the 1st of the month for previous month payments, (example: December audit opens on 1st of January).
2. Prime has until the 15th of the month to complete reporting phase.
3. Subcontractors and lower-tier subs have until the end of the month to complete verification phase. **Any payments not verified within 45 days will be automatically confirmed.**



For additional assistance, please contact the Business Engagement and Compliance Office (BECO) at (602)712-7761 or send messages through the System directly to Support or the contract Compliance Officer.

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HOW TO REPORT PAYMENTS

1. The following notification is sent via email asking contractors to report payments made in the audit month; click the link in the email to respond.

From: Arizona Department of Transportation <adot@dbesystem.com>
Sent: Friday, May 27, 2016 4:31 PM
To: Contractor Compliance
Subject: ADOT: Prime Contractor Compliance Monitoring Report

Arizona Department of Transportation March 2016 Prime Contractor Contract Compliance Monitoring Report

Contract: BECO Test
Prime Contractor: ADOT On-Call Prime
Contract Number: 1970
Audit Time Period: March 2016
Contract Compliance Officer: Florentina Samartinean, (E) FSamartinean@azdot.gov, (P) 602-712-7415

Dear Contractor Compliance,

The Business Engagement and Compliance Office monitors participation on all Arizona Department of Transportation contracts with goals. To assist our office in the monitoring process, please login to your account in the Arizona Unified Transportation Registration and Certification System and provide the requested subcontractor payment information for March 2016.

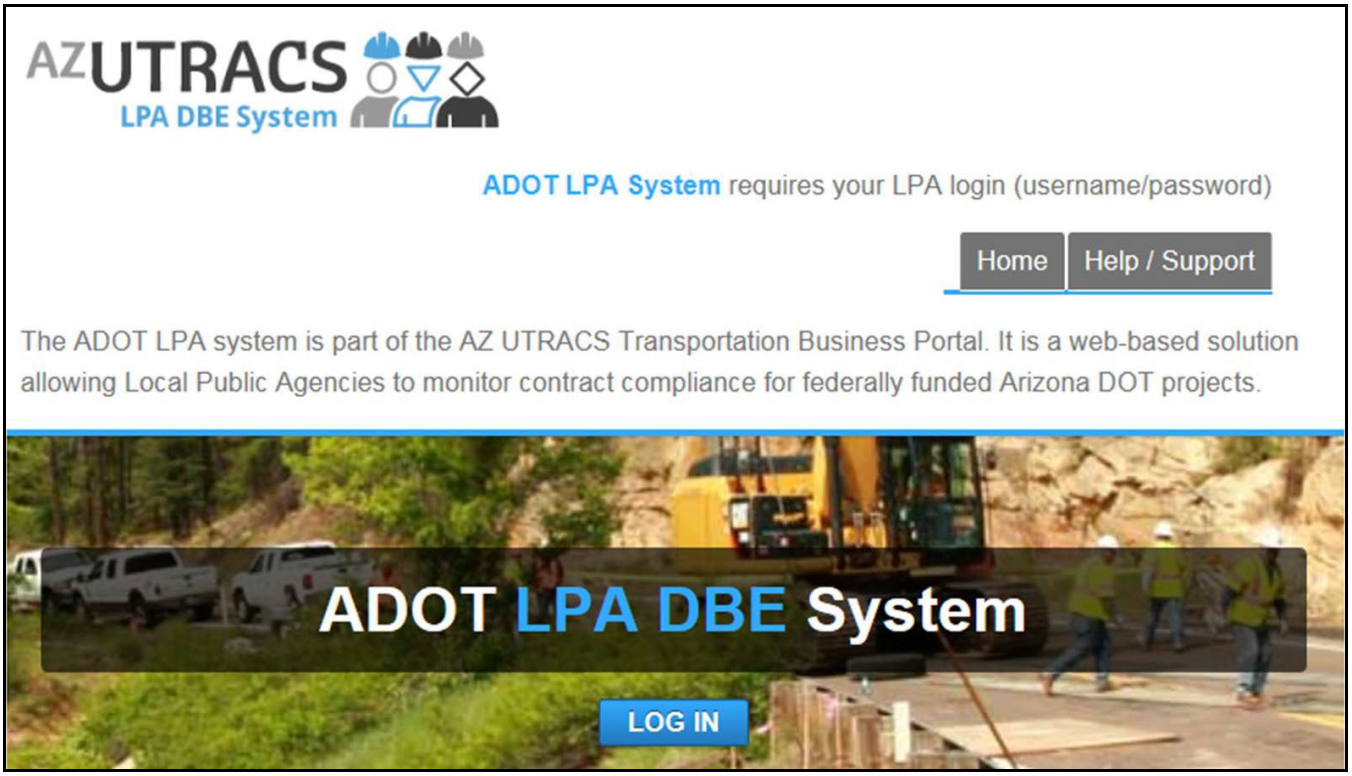
If you have received this notice, then you are currently listed as a PRIME contractor on an active Arizona Department of Transportation contract. You are required to respond to this notice with the payment information requested.

To view the audit notice and respond, visit: https://adot.dbesystem.com/?GO=397&TID=3981656
To view all audit notices, visit: https://adot.dbesystem.com/?GO=753&TID=3981656

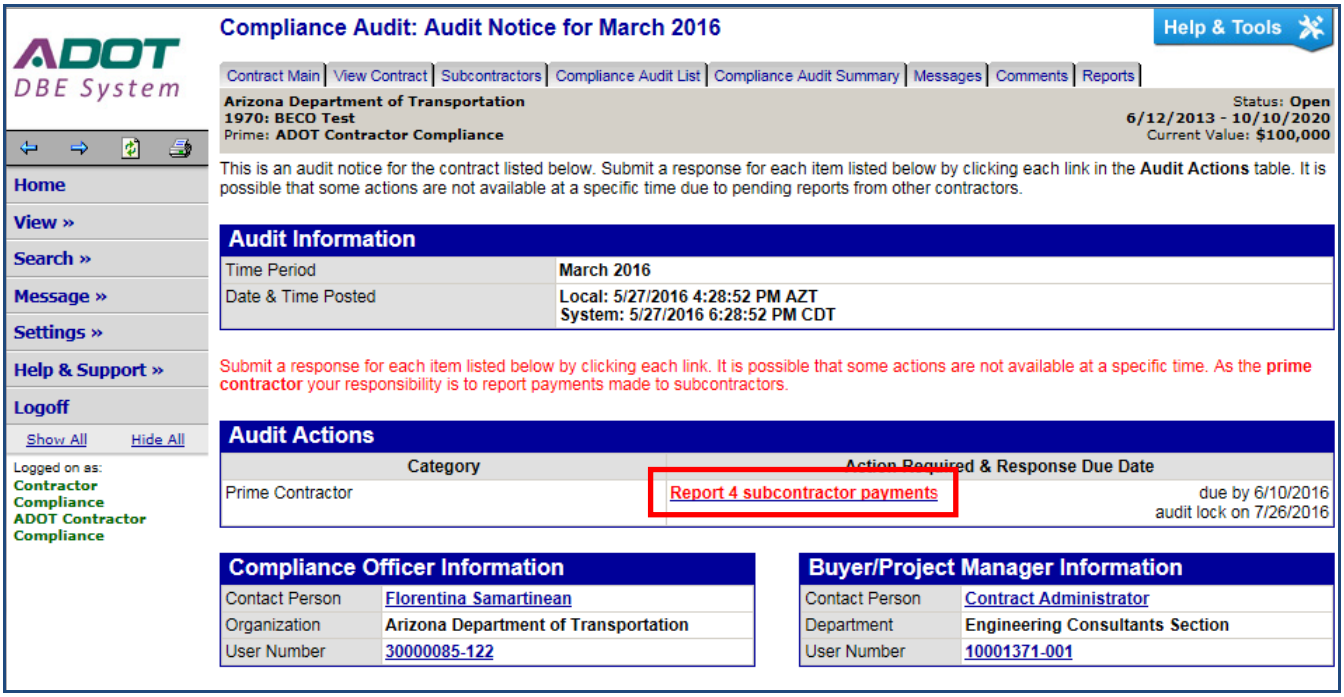
PLEASE REFER TO THE BOTTOM OF THIS NOTICE FOR ADDITIONAL HELP

Arizona Department of Transportation
Business Engagement and Compliance Office Disadvantaged Business Enterprise Program
http://www.azdot.gov/Inside_ADOT/CRO/DBEP.asp
https://adot.dbesystem.com/

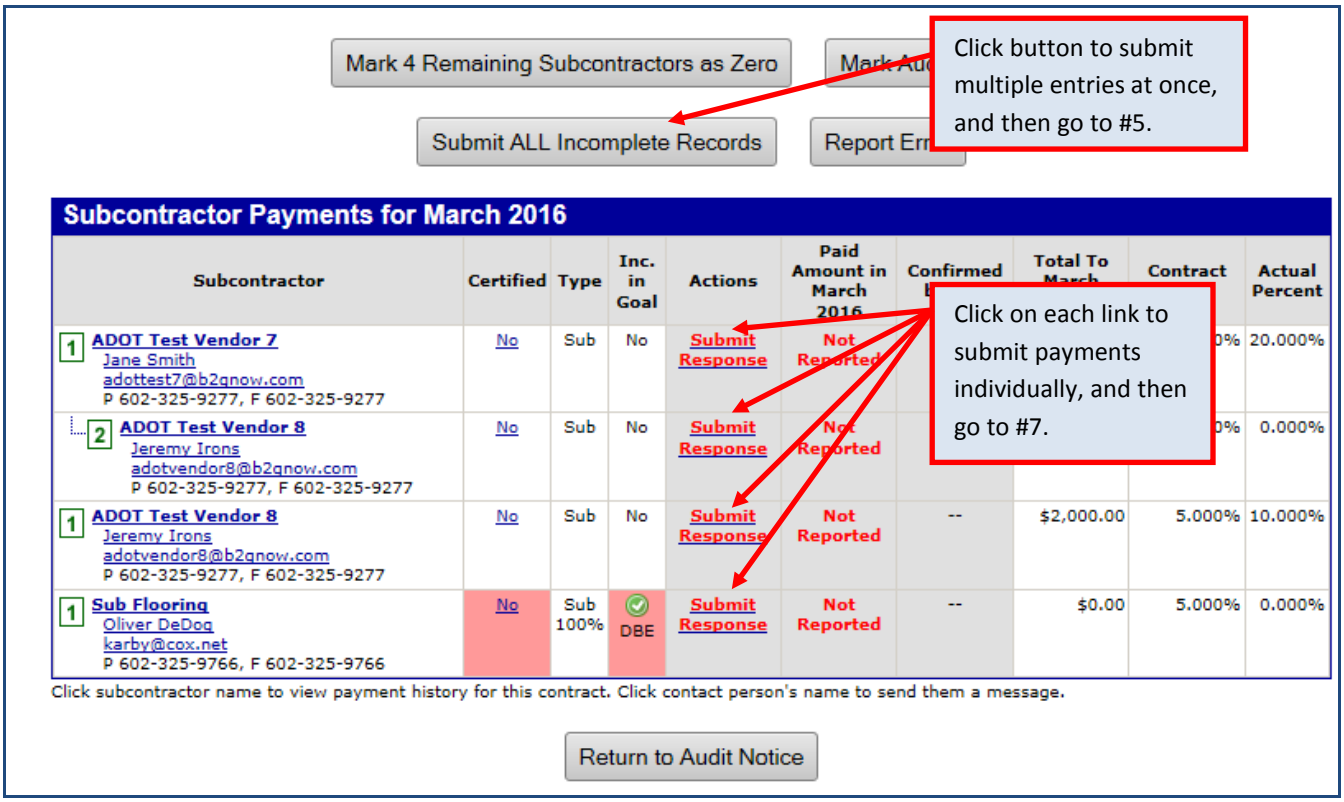
2. After clicking the link, contractor will be directed to the System Login interface to sign in.



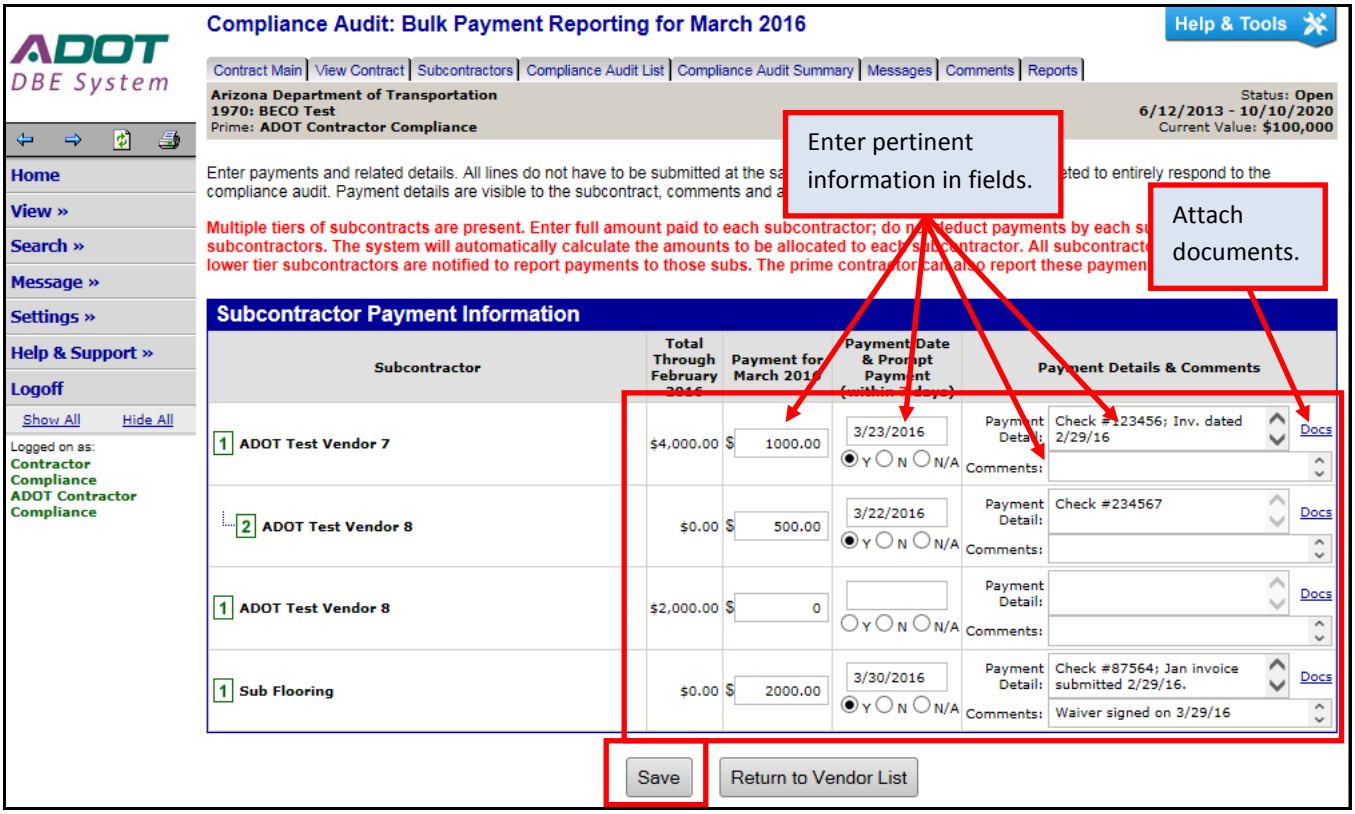
3. After successful login, click **Report subcontractor payment**; if you are not directed to the below screen, there are additional instructions on page 8 to assist with payment reporting.



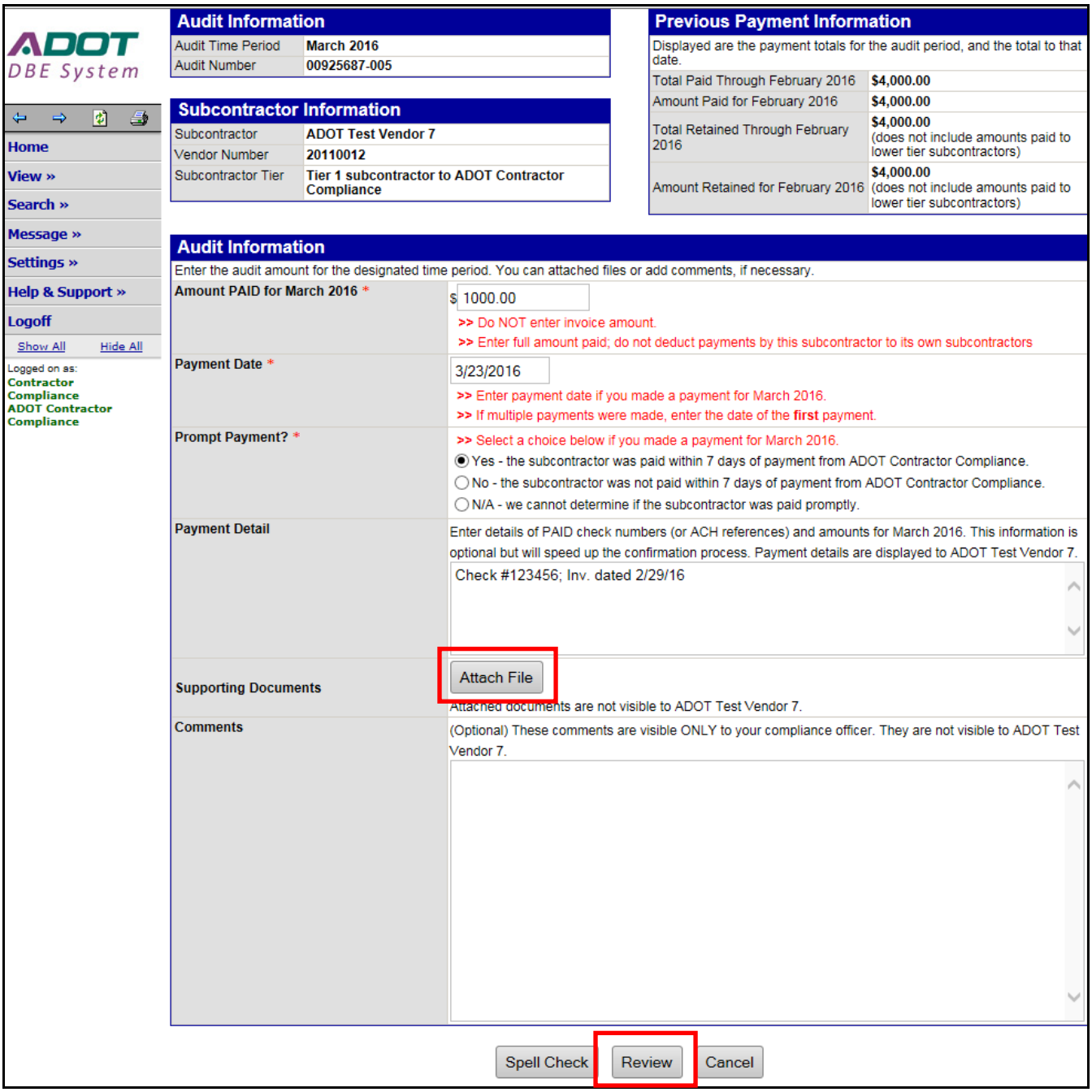
4. Payment reporting can be done all at once or individually.



5. After clicking **Submit ALL Incomplete** Records, enter all payment information at once.
6. Click **Save**, then click **OK** when message box pops up.

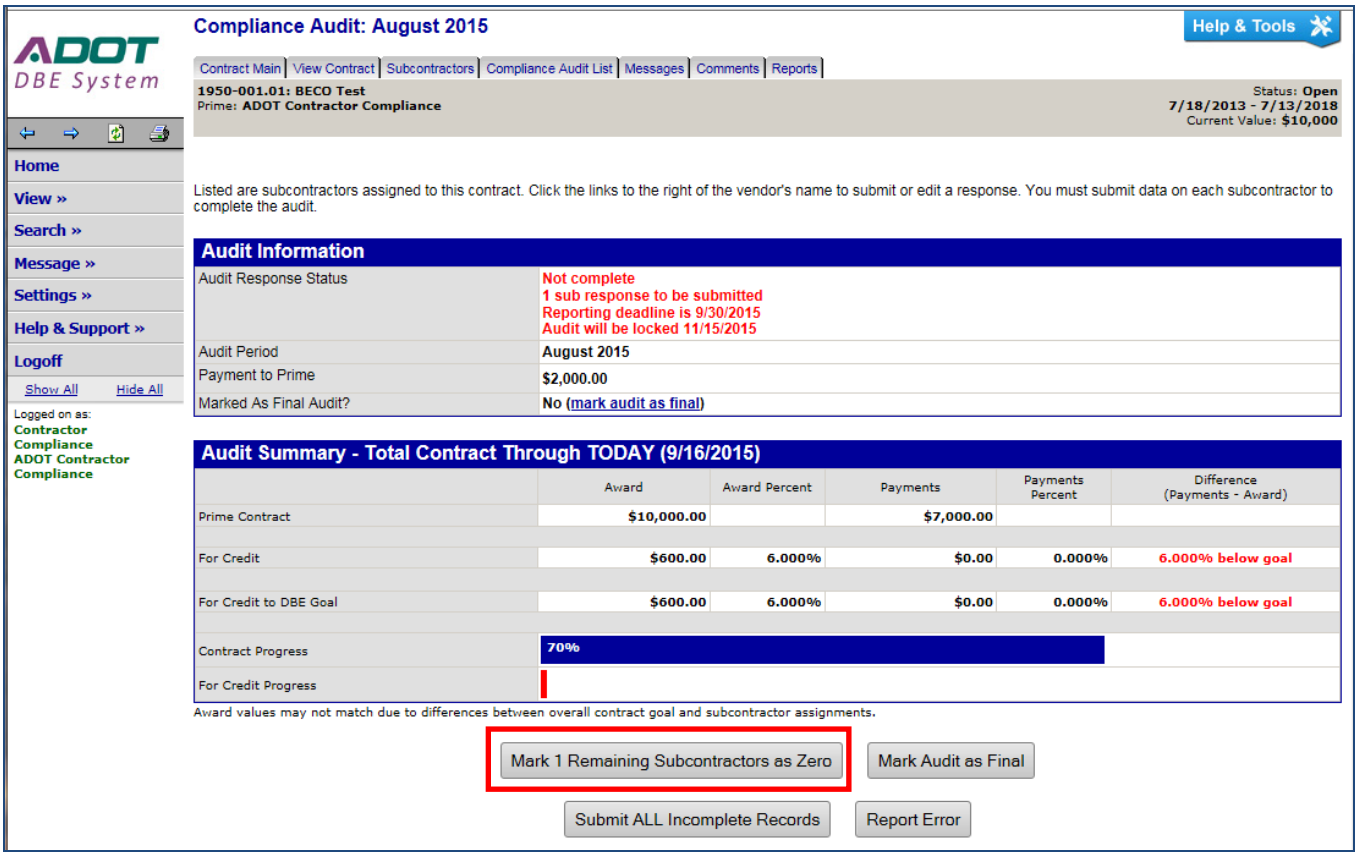


7. After clicking individual **Submit Response** links, enter payment information.



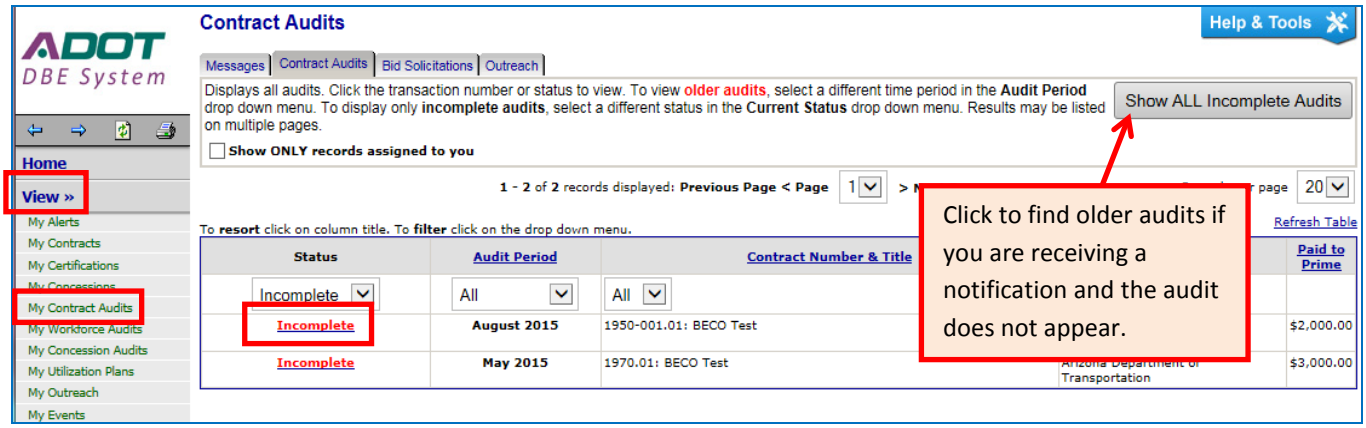
5. Enter payment amount, payment date, and payment promptness.
6. Enter check number or invoice numbers in **Payment Detail** field.
7. Upload any document by clicking **Attach File.**
8. Click **Review.**
9. Review content then click **Save.**
10. Complete steps 4 thru 9 to report on additional subcontractors.

11. After all subcontractor payments have been reported, click **Mark Remaining Subcontractors as Zero** if remaining subcontractors did not receive payment.



The following instructions are used if the email notification was deleted. First, log into DOORS at https://adotdoors.dbesystem.com/.

1. Click **View** in the left margin.
2. Click **My Contract Audits.**
3. Click on **Incomplete** to report payments; then go to step 3 in previous section.



HOW TO VERIFY PAYMENTS

1. The following notification is sent via email asking subcontractors to verify payments made in the audit month; click the link in the email to respond.

Extra line breaks in this message were removed.

From: Arizona Department of Transportation <adot@dbesystem.com> Sent: Fri 10/16/2015 1:35 PM
To: Contractor Compliance
Cc:
Subject: ADOT: Subcontractor Contract Compliance Monitoring Report

Arizona Department of Transportation August 2015 Subcontractor Contract Compliance Monitoring Report

Contract: BECO Test
Prime Contractor: ADOT Contractor Compliance Contract Number: 1950-001.01 Audit Time Period: August 2015 Contract Compliance Officer: Mayline Wahinepio, (E) mwahinepio@azdot.gov, (P) 602-712-8191
Reference: N/A

Dear Contractor Compliance,

The Business Engagement and Compliance Office monitors participation on all Arizona Department of Transportation contracts with goals. To assist our office in the monitoring process, please login to your account in the Arizona Unified Transportation Registration and Certification System and provide the requested subcontractor payment information for August 2015.

If you have received this notice, then you are currently listed as a SUBCONTRACTOR on an active Arizona Department of Transportation contract. You are required to respond to this notice with the payment information requested.

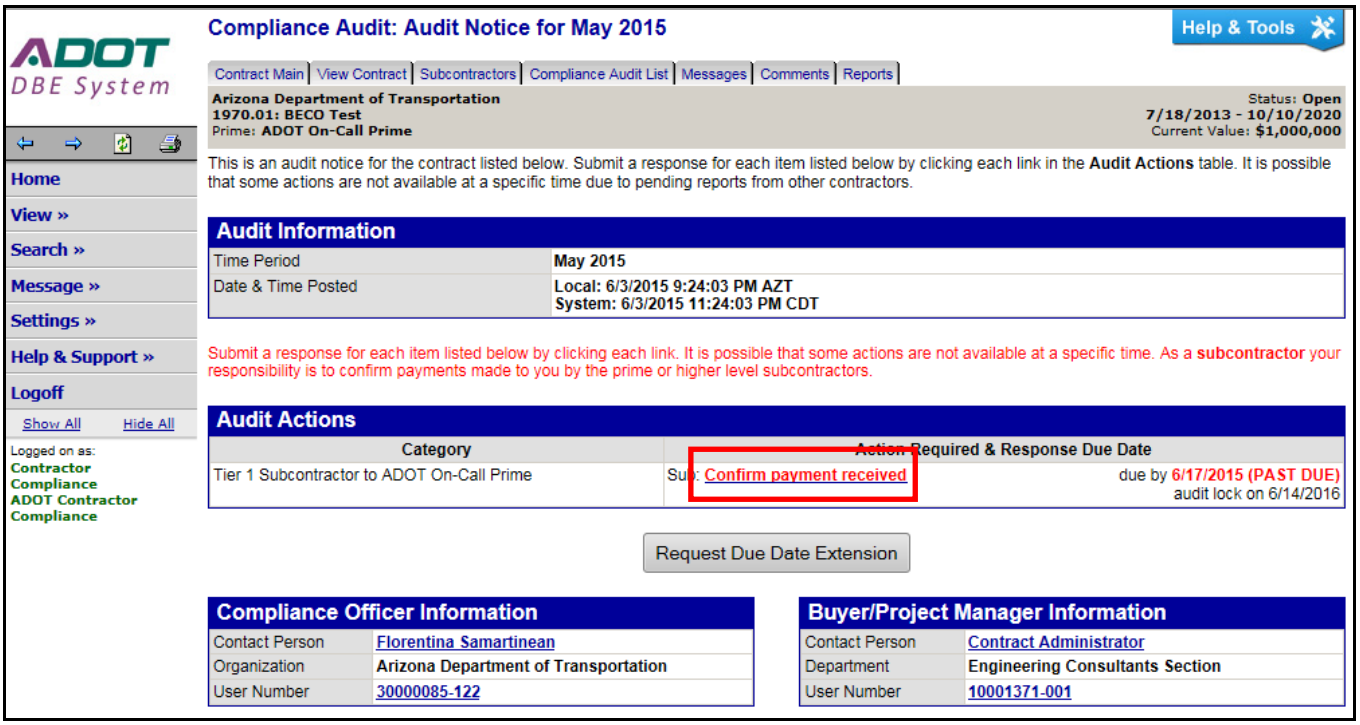
To view the audit notice and respond, visit: https://adot.dbesystem.com/?GO=397&TID=3488812
To view all audit notices, visit: https://adot.dbesystem.com/?GO=759&TID=3488812

PLEASE REFER TO THE BOTTOM OF THIS NOTICE FOR ADDITIONAL HELP

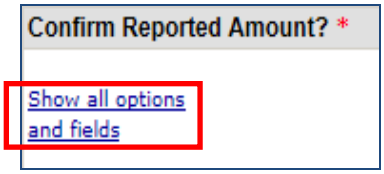
Arizona Department of Transportation
Business Engagement and Compliance Office Disadvantaged Business Enterprise Program http://www.azdot.gov/Inside_ADOT/CRO/DBEP.asp
https://adot.dbesystem.com/

2. After clicking the link, contractor will be directed to the System Login interface to sign in. Go to page number 4 to see screen shots of the login interface for both Systems.

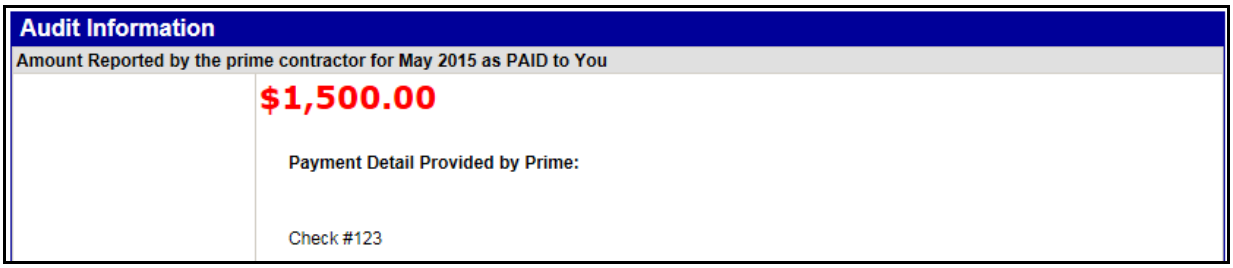
3. Click **Confirm payment received.**



4. Verify paid amount and any payment details provided by the prime.
5. Click on **Show all options and fields** link.



6. Verify payment amount and details provided by the prime.



7. Confirm reported amount by clicking **Correct** or **Incorrect.**
8. Complete questions that correspond to the chosen selection.

Confirm Reported Amount? *

Show all options and fields

◯ **Correct** - the amount reported by the prime contractor as PAID to us is correct ($1,500.00).

1. Payment Date: * [ ] (mm/dd/yyyy)

» If multiple payments were received, enter the date of the **first** payment.

2. Were you paid in accordance with the organization's prompt payment policy? *

» According to our records, the prime contractor was paid on 5/27/2015.

◯ Yes - we were paid within 7 days of the prime being paid on 5/27/2015.
◯ No - we were not paid within 7 days of the prime being paid on 5/27/2015.
◯ N/A - we cannot determine if we were paid promptly.

3. Is the amount above a partial payment relative to your invoiced amount? *

◯ Yes - we were **partially** paid.

Enter the amount you invoiced: $ [ ]

◯ No - we were paid in **full**.

◯ **Incorrect** - the amount reported by the prime contractor as PAID to us is not correct.

◯ We received **no** payment in May 2015.
◯ We were paid a **different** amount in May 2015 than reported ($1,500.00).

1. Enter the amount you actually received from the prime contractor in May 2015: *

$ [ ]

2. Payment Date: * [ ] (mm/dd/yyyy)

» If multiple payments were received, enter the date of the **first** payment.

3. Were you paid in accordance with the organization's prompt payment policy? *

» According to our records, the prime contractor was paid on 5/27/2015.

◯ Yes - we were paid within 7 days of the prime being paid on 5/27/2015.
◯ No - we were not paid within 7 days of the prime being paid on 5/27/2015.
◯ N/A - we cannot determine if we were paid promptly.

4. Is the amount above a partial payment relative to your invoiced amount? *

◯ Yes - we were **partially** paid.

Enter the amount you invoiced: $ [ ]

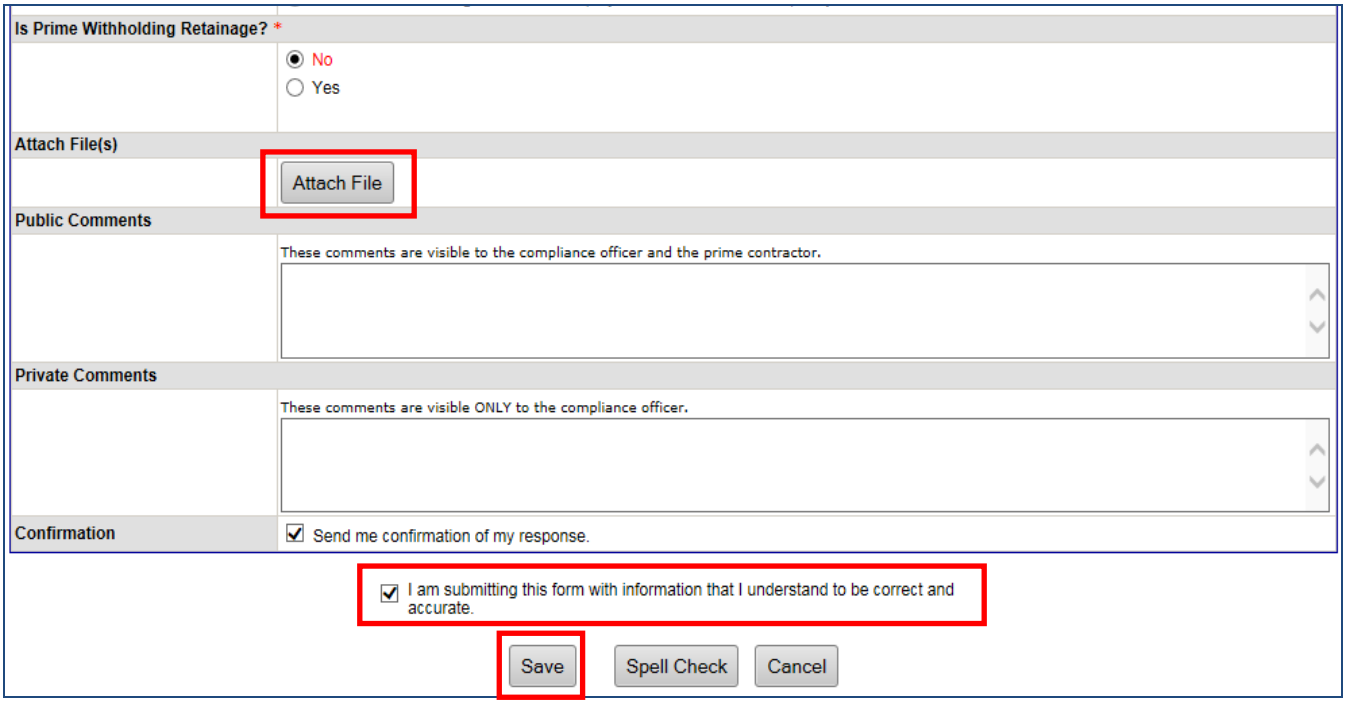
◯ No - we were paid in **full**.

9. Identify if payment is final or not – Selecting **Yes** will remove subcontractor from all future audits; only select **Yes** when certain that no future payments will be received on this project.

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.

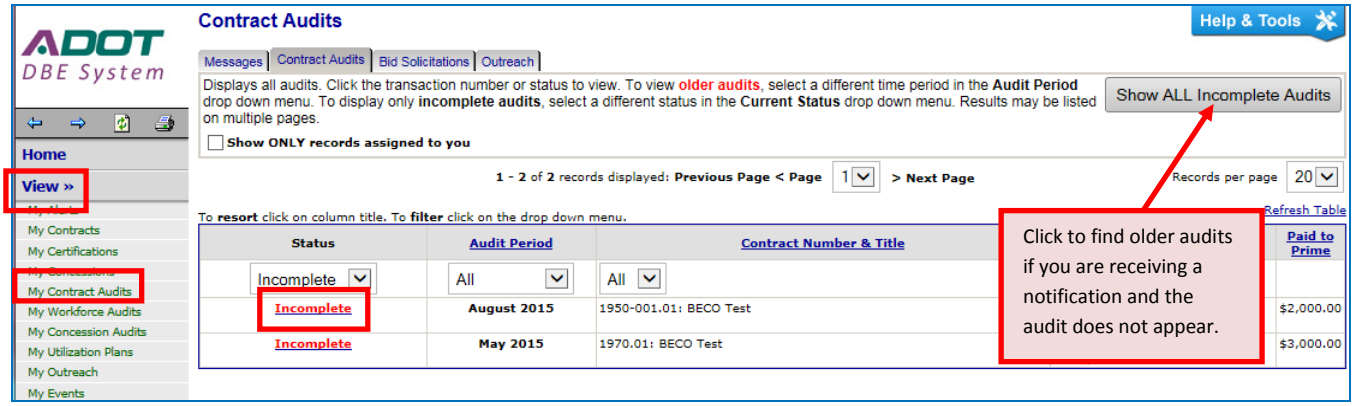
10. Identify if Prime is withholding retainage and the amount retained.
11. Attach file(s) as needed.
12. Enter comments pertaining to partial payment and anything else as necessary.
13. Be sure to check the confirmation statement, "**I am submitting this form with information that I understand to be correct and accurate.**"



14. Click on **Save** when complete.

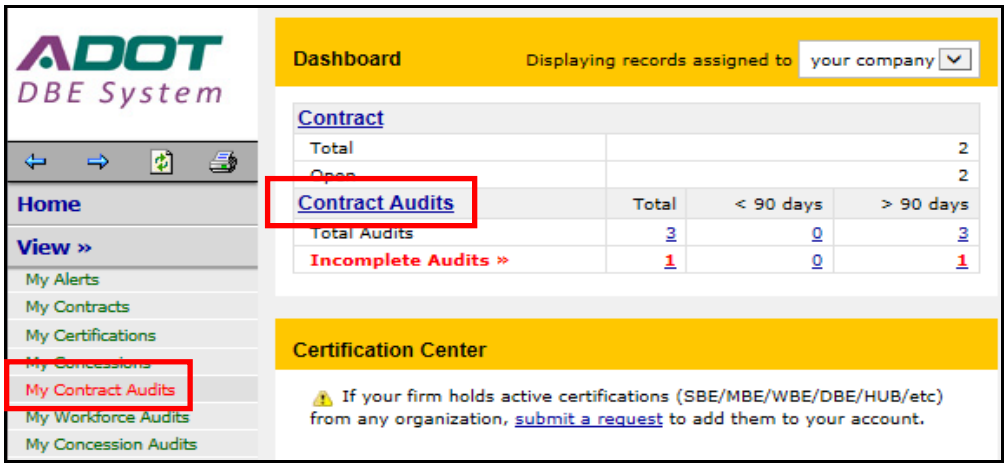
The following instructions are used if the email notification was deleted. First, log into DOORS at https://adotdoors.dbesystem.com/.

1. Click **View** in the left margin.
2. Click **My Contract Audits.**
3. Click on **Incomplete** to verify payments; then go to step 3 in previous section.

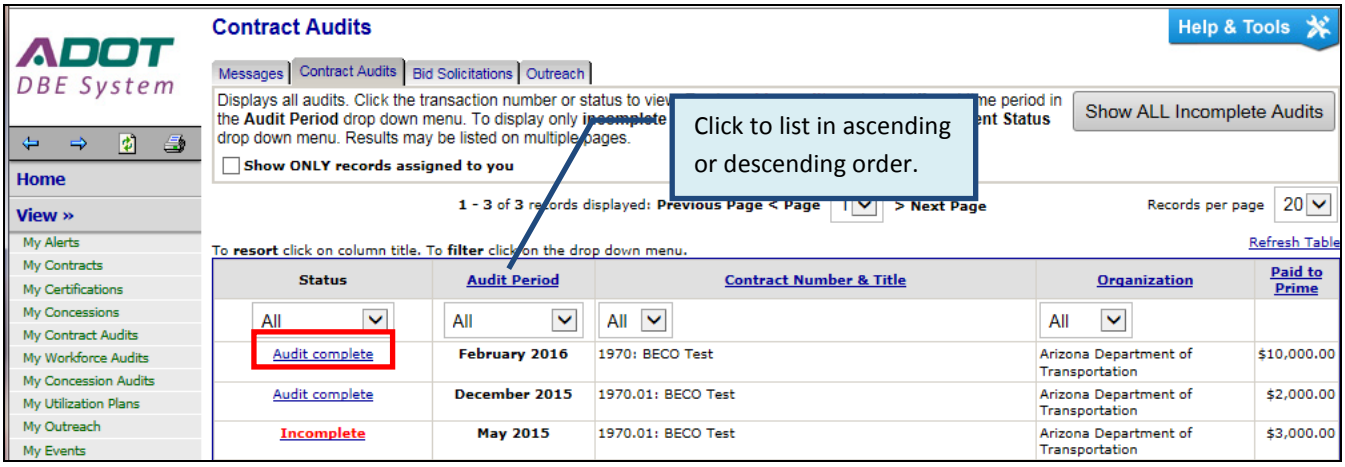


HOW TO VIEW INCOMPLETE SUBCONTRACTOR AUDITS

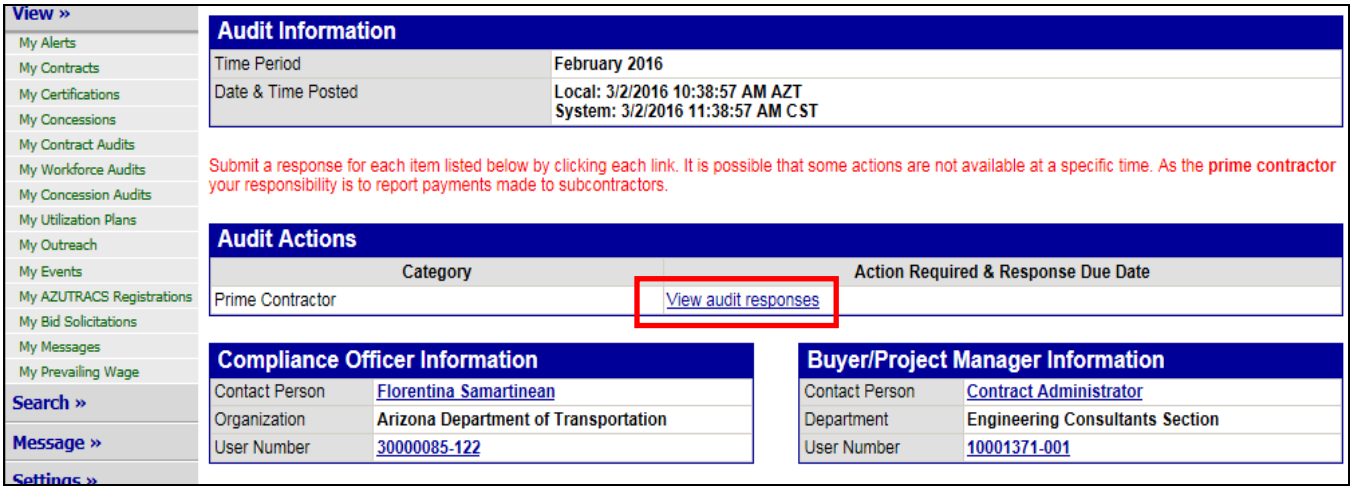
1. Go to **Contract Audits** to see if subcontractors completed their verifications; click on Contract Audits link in the Dashboard or My Contract Audits under View tab.



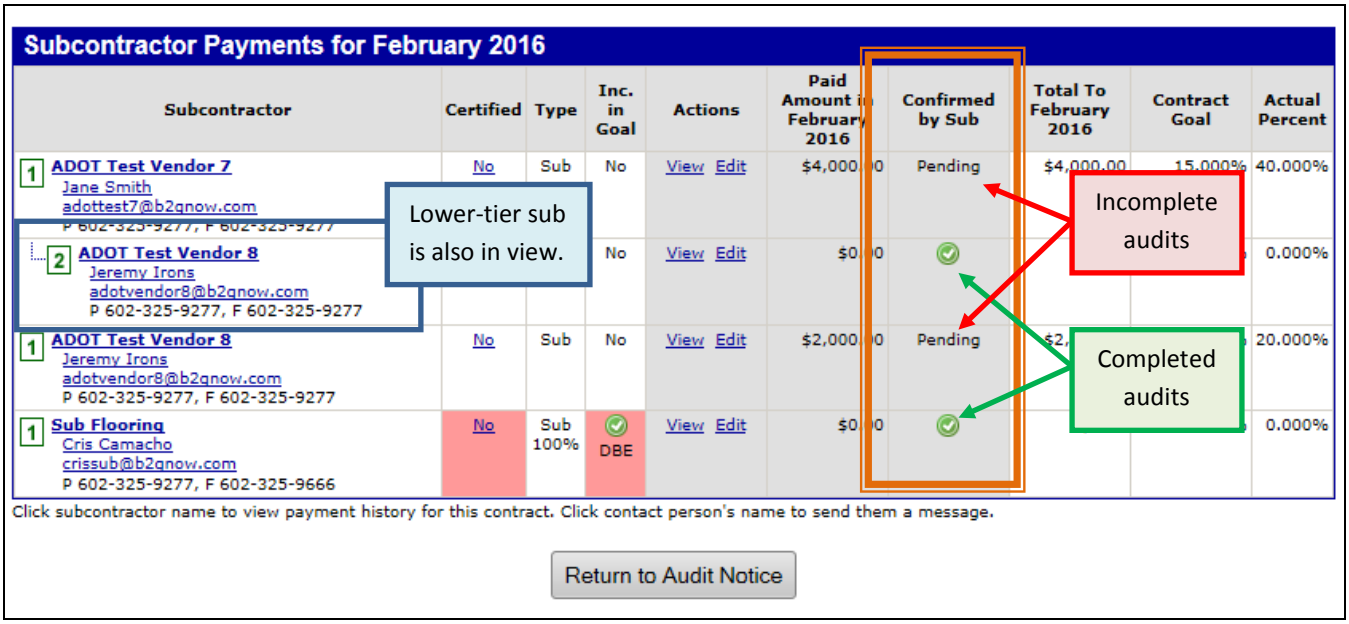
2. Select the audit to review and click **Audit complete.**



3. Click **View audit responses** link.

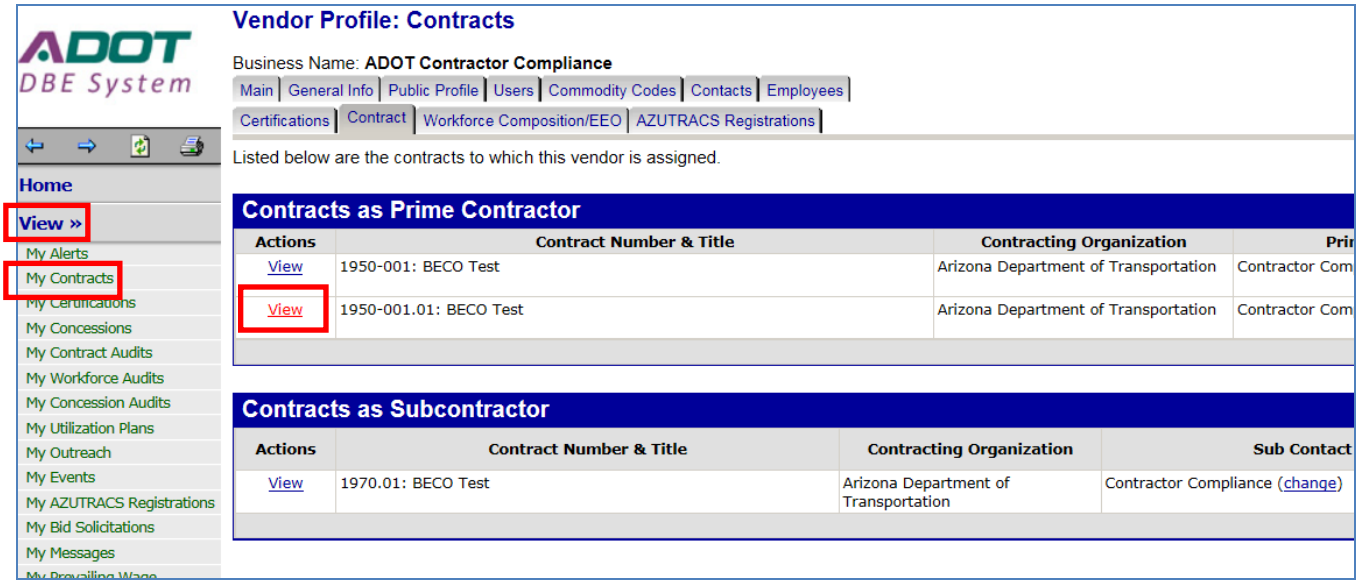


4. Scroll down to view incomplete subcontractor audits.

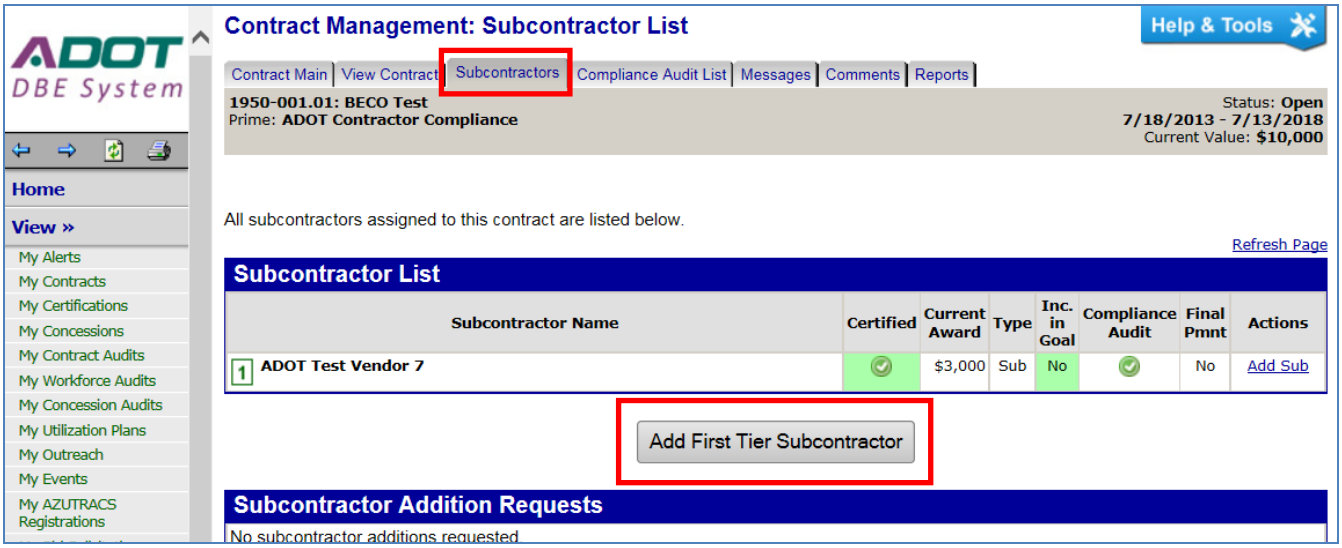


HOW TO ADD SUBCONTRACTORS

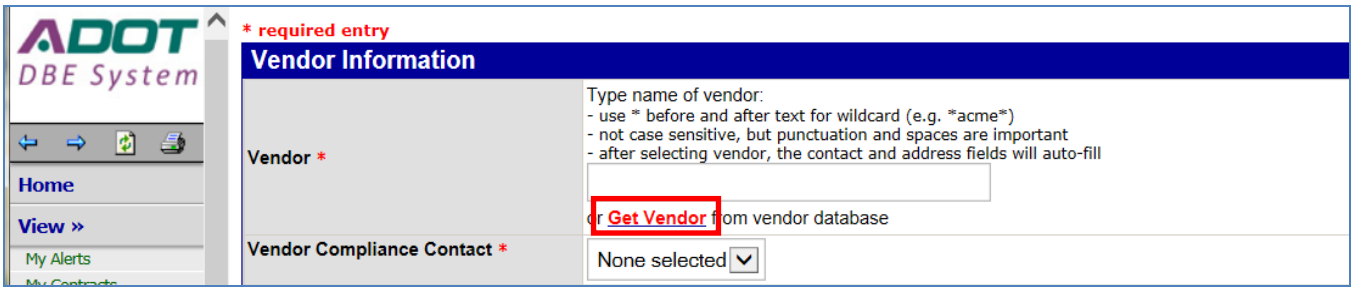
1. Click on **View** in the left margin.
2. Click on **My Contracts.**
3. Identify the contract to add a subcontractor and click **View.**



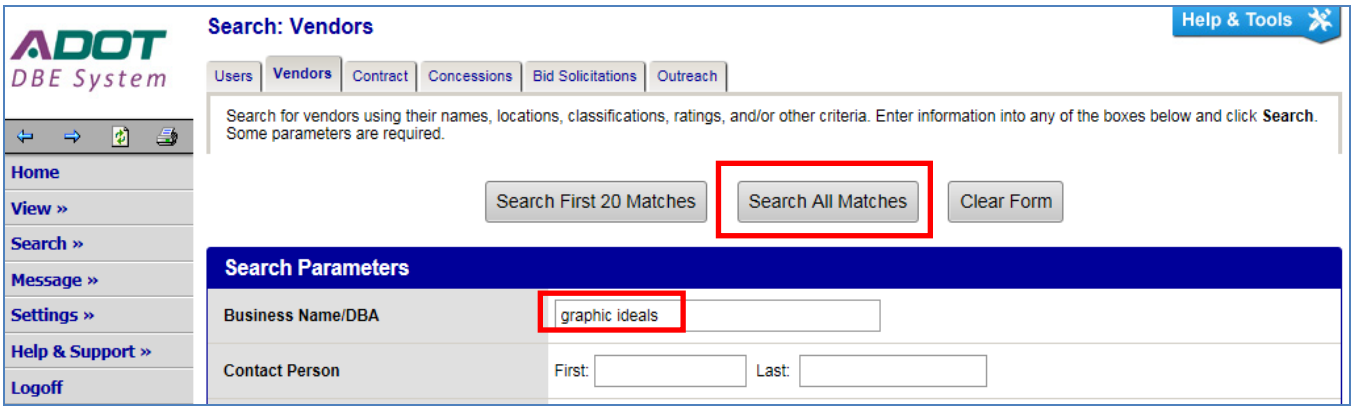
4. Click **Subcontractors** tab at the top.
5. Click **Add First Tier Subcontractor** button.



6. Click **Get Vendor.**

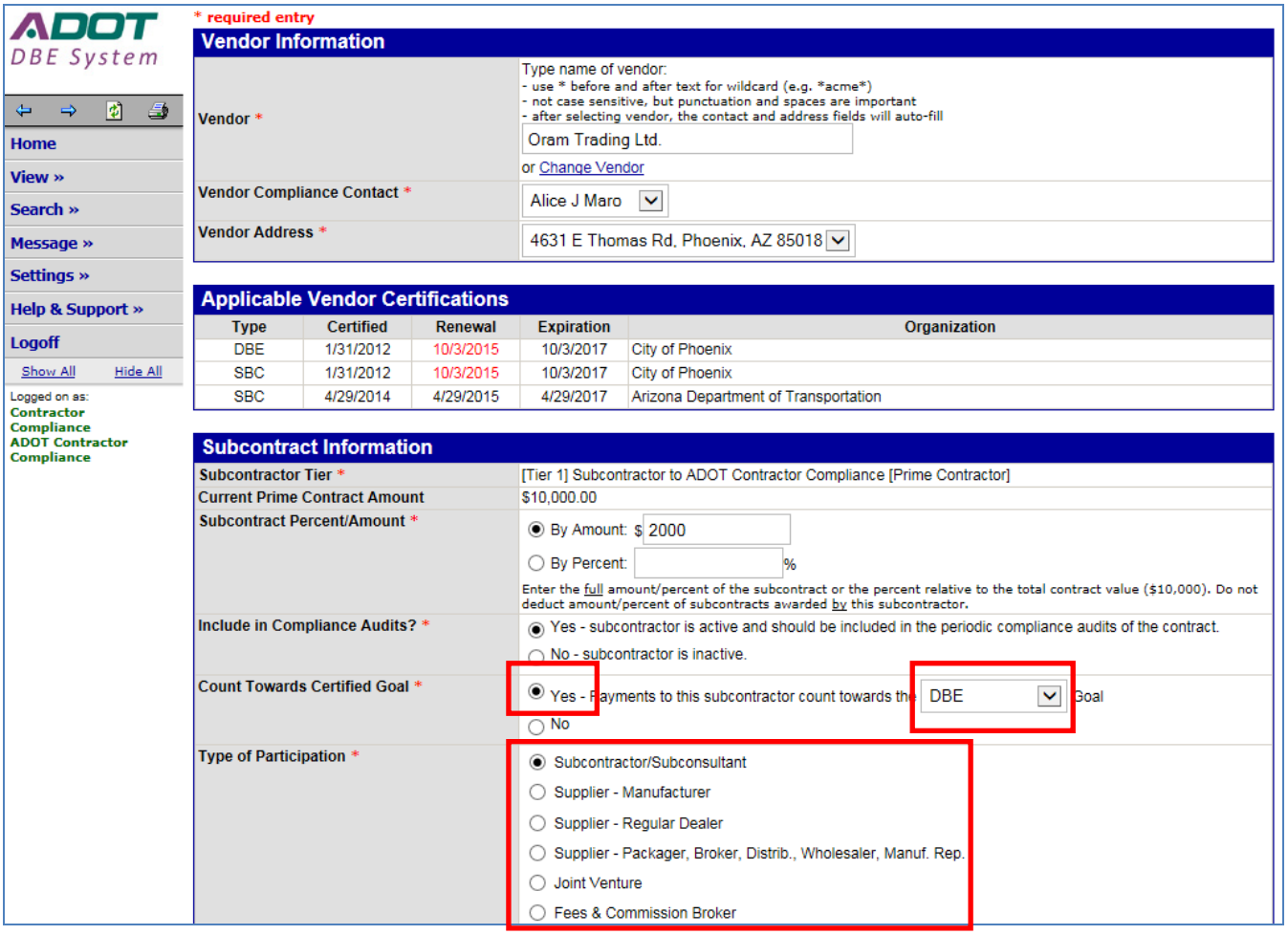


7. Enter firm name in **Business Name/DBA** field.
8. Click **Search All Matches** button.

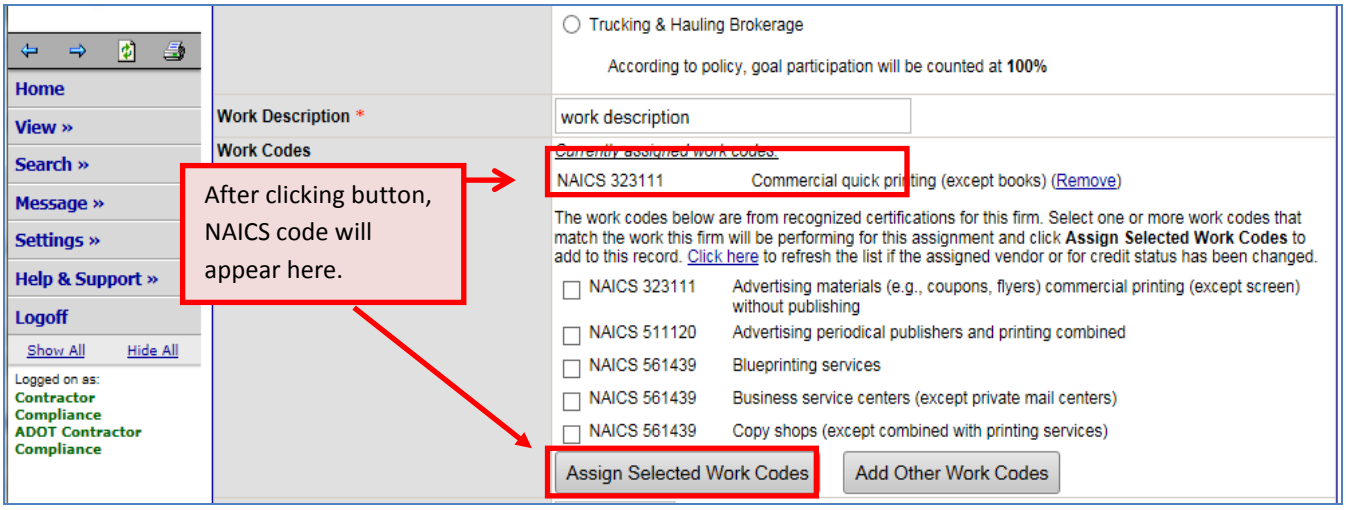


9. Find the appropriate firm from the list and click **Select Vendor** and the system automatically returns back to the Add Subcontractor module.

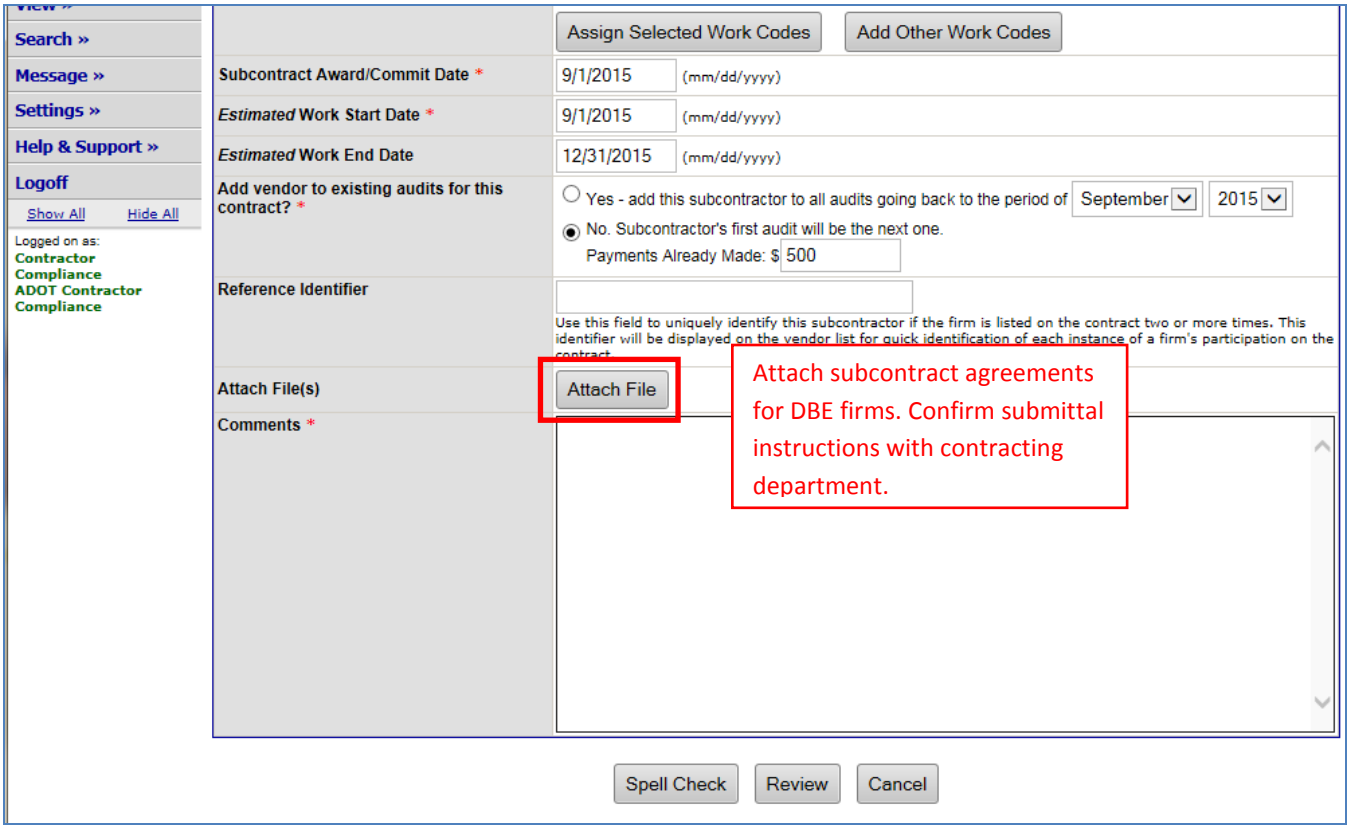
10. Ensure that every field with a red asterisk (*) is completed.
11. For DBE subcontractors select **Yes** for **Count Towards Certified Goal** and select **DBE** in the drop down menu.
12. Ensure proper **Type of Participation** is selected for DBE credit



13. Enter the type of work in the **Work Description** field.
14. <u>For DBE firms only</u> - check all NAICS code that applies to work description and click **Assign Selected Work Codes.**



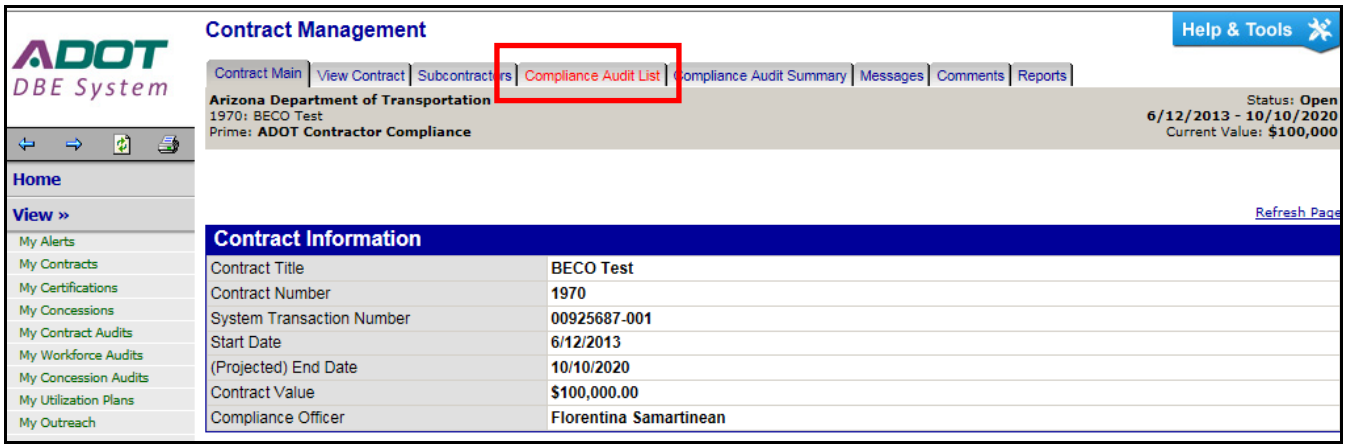
15. Enter the appropriate dates.
16. Enter any amounts paid to subcontractor prior to adding them to the System contract record.
17. For DBE firms, download the subcontract agreement by clicking **Attach File**; purchase agreements are acceptable for non-subcontracting DBE firms.
18. Click **Review** when complete.



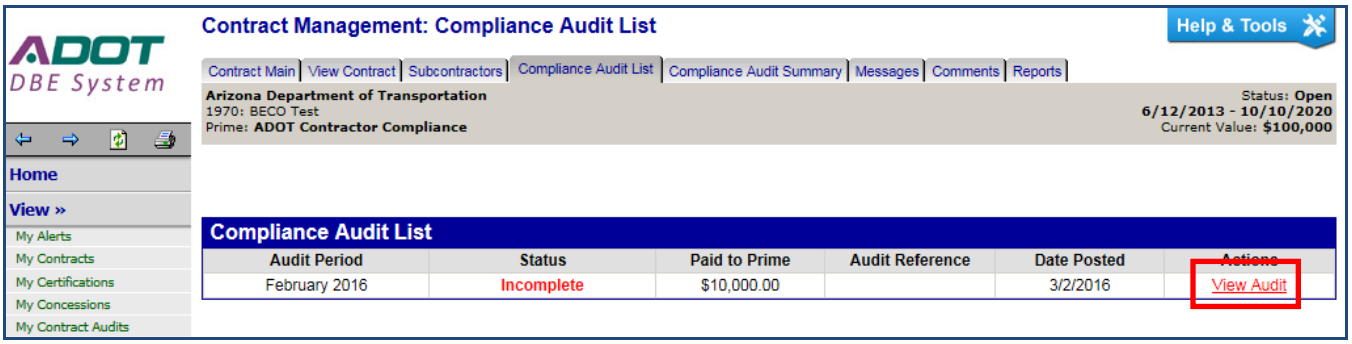
19. Review content, then click **Save.**
20. Repeat steps 4 thru 18 to add another subcontractor.

HOW TO ADD SUBCONTRACTORS TO AN AUDIT

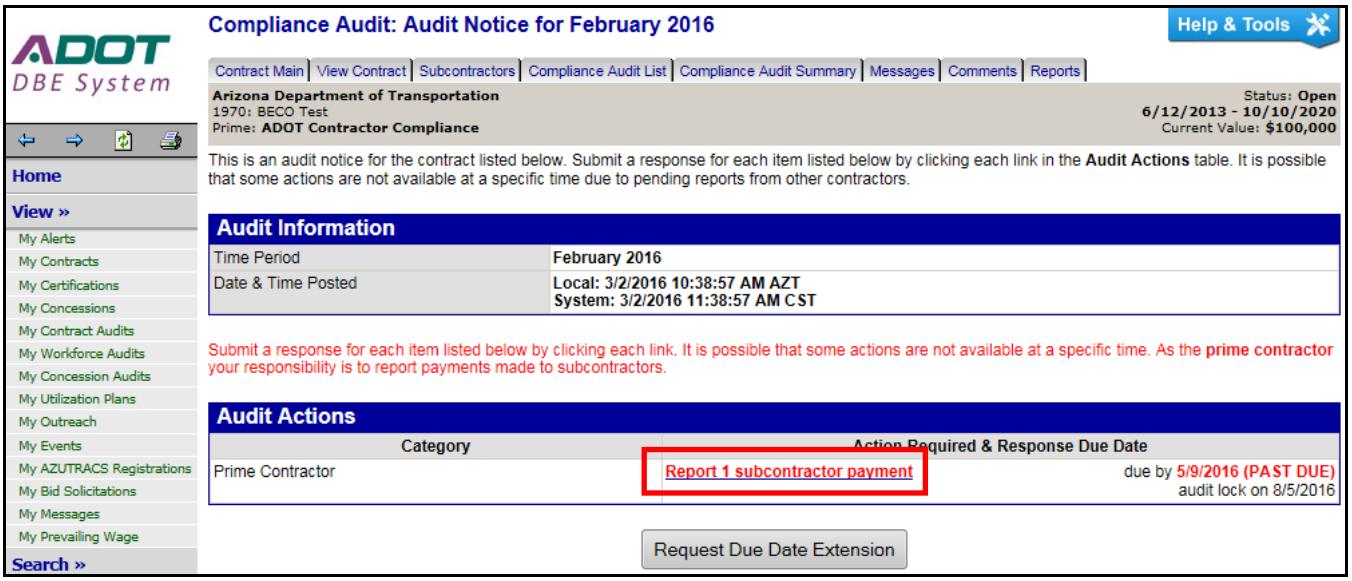
1. Enter contract record.
2. Click on **Compliance Audit List.**



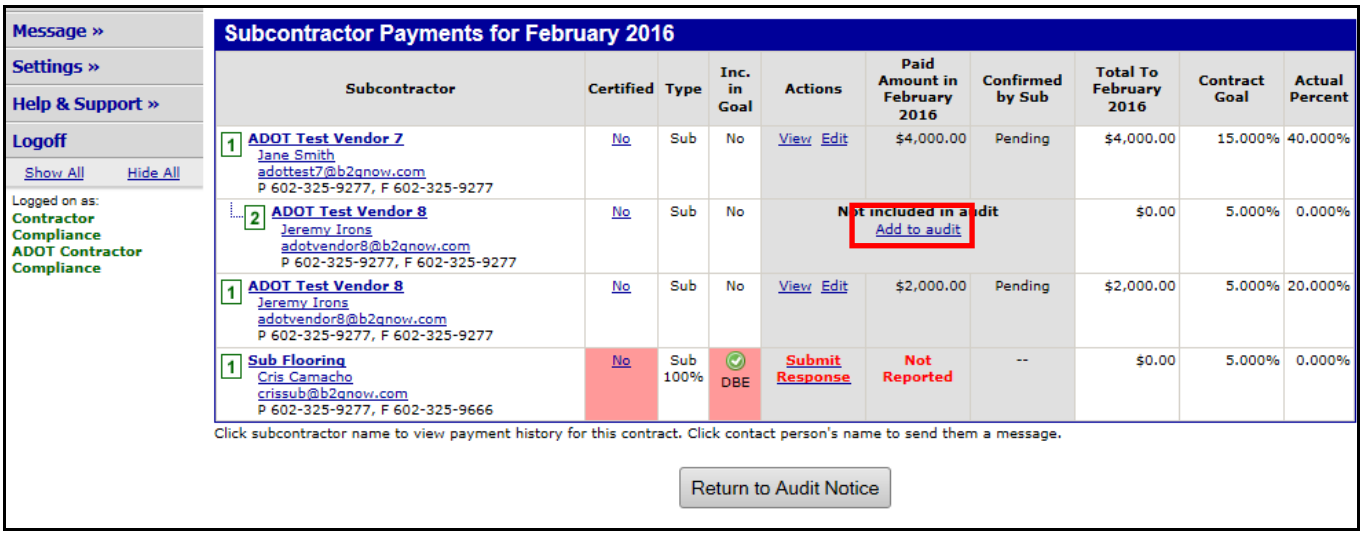
3. Find the appropriate audit period and click **View Audit.**



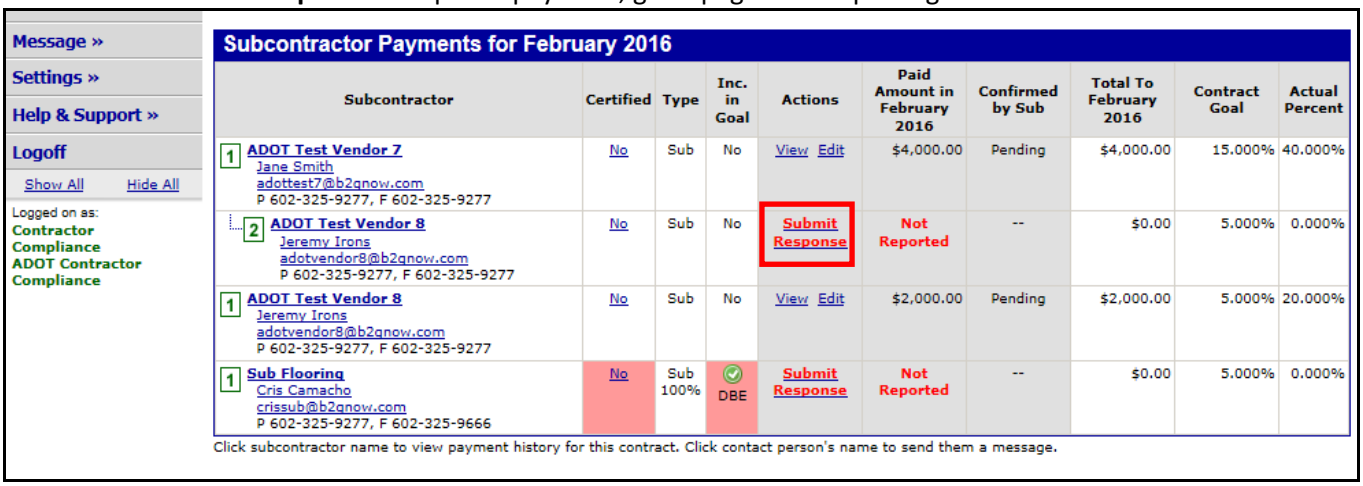
4. Click on **Report subcontractor payment.**



5. Scroll down to find subcontractor to add.
6. Click on **Add to audit** link.

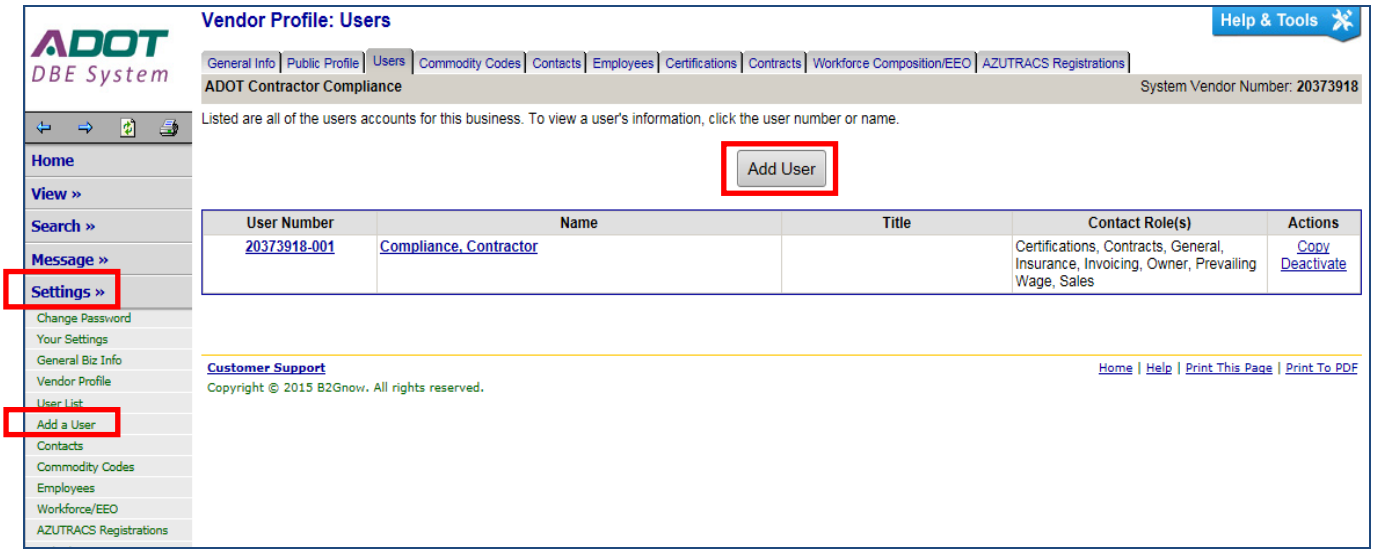


7. Click **OK** when message box appears.
8. Click **Submit Response** to report a payment; go to page 3 for reporting instructions.

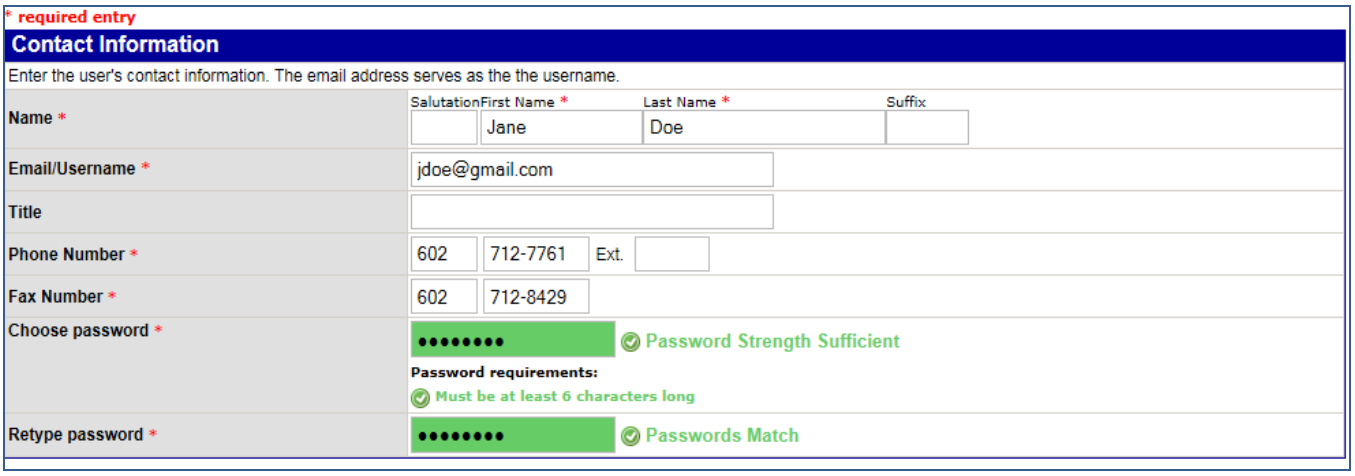


HOW TO ADD A NEW USER

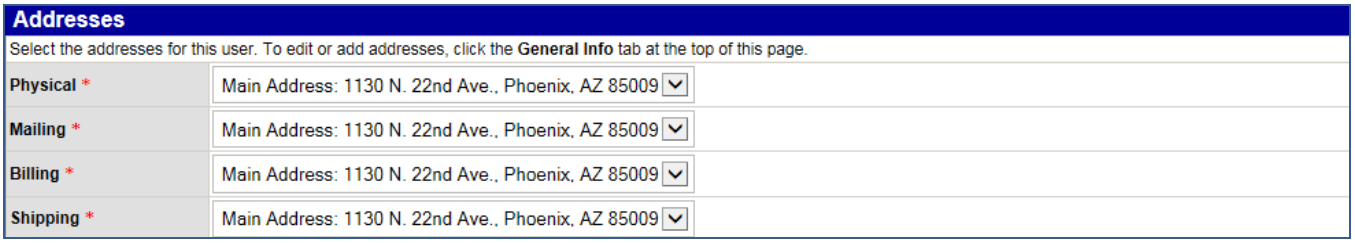
1. Click on **Settings** tab in left margin.
2. Click on **Add a User** (to grant employee access to your firm's account)**.**
3. Click on **Add User** button.



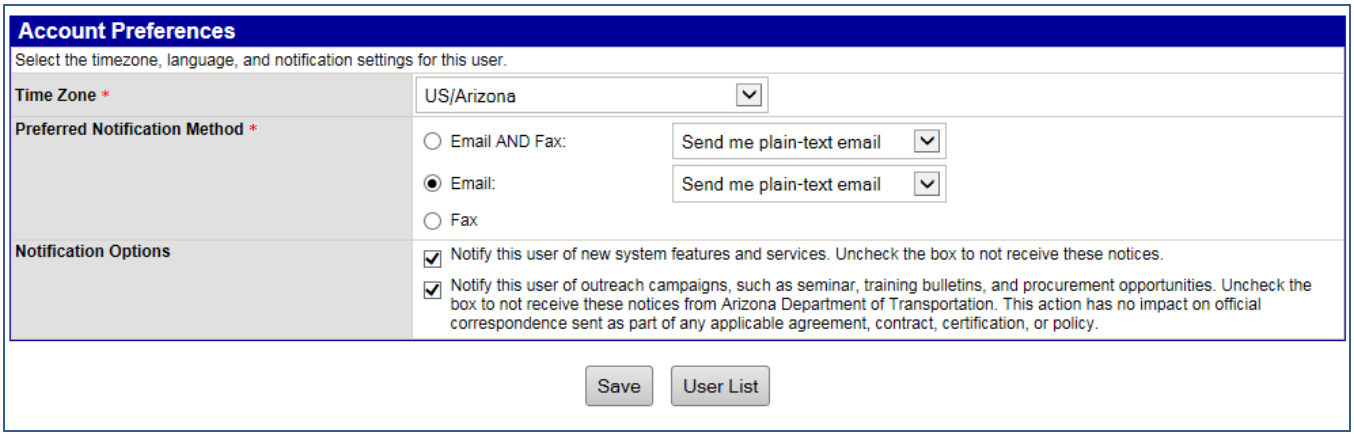
4. Complete all fields with a red asterisk – <u>Email is considered the Username.</u>
5. Enter a generic password – As soon as the new user logs into the System, they will be asked to create a new password.



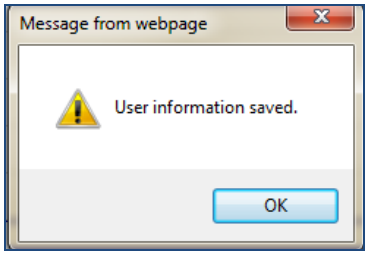
6. Select all addresses.

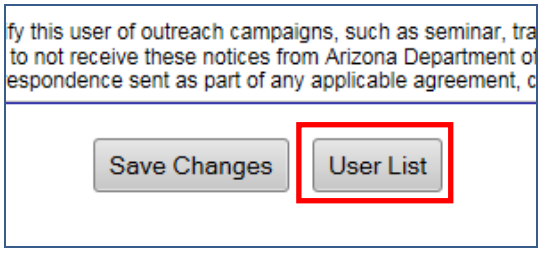


7. Select the applicable Time Zone.
8. Select **Email** or appropriate methods.

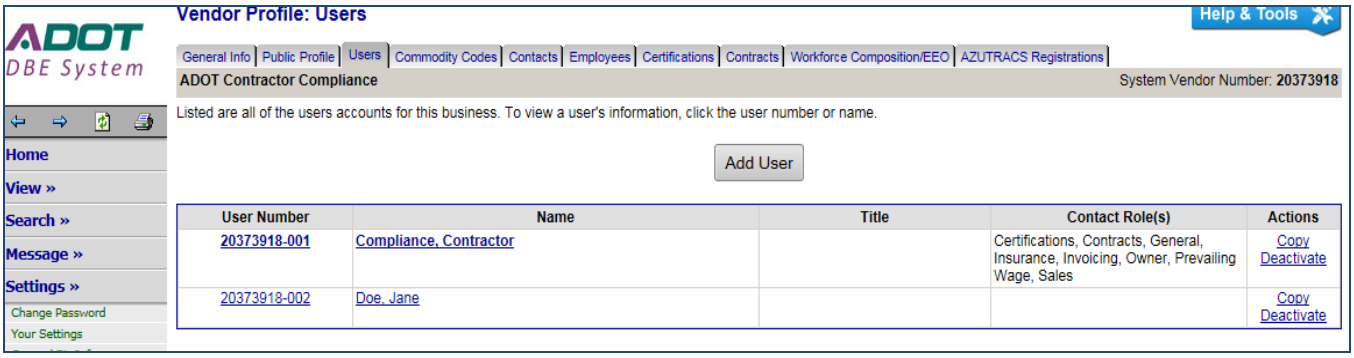


9. Click **Save** when complete.
10. Below message appears and click **OK.**





11. Click **User List** button.
12. See new user in the list.



13. Go to Step #3 to additional users.

HOW TO CHANGE CONTRACT CONTACT PERSON

1. Click on **View** tab in left margin.
2. Click on **My Contracts.**
3. Identify contract to change Contact Person.
4. Click on **(change).**

General Info | Public Profile | Users | Commodity Codes | Contacts | Employees | Certifications | Contracts | Workforce Composition/EEO | AZUTRACS Registrations

ADOT Contractor Compliance — System Vendor Number: **20373918**

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

Contracts as Prime Contractor

Actions	Contract Number & Title	Contracting Organization	Prime C	ates	Award Amount	Paid Amount
View	1950-001: BECO Test	Arizona Department of Transportation	Contractor Con (change)	3/2013 to 3/2018	$7,000	$3,000
				me: 1	**$7,000**	**$3,000**

Change contact person for contract # 1970.01.

Contracts as Subcontractor

Actions	Contract Number & Title	Contracting Organization	Sub Contact	Status	Prime	Current Subcontract	Paid Amount
View	1970.01: BECO Test	Arizona Department of Transportation	Contractor Compliance (change)	1 incomplete audit	ADOT On-Call Prime	$4,000 80.00%	$1,500
View	1950-001.01: BECO Test	Arizona Department of Transportation	Contractor Compliance (change)	1 incomplete audit	ADOT Test Vendor 8	$2,000 20.00%	$800
					Number of contracts as subcontractor: 2	**$6,000**	**$2,300**

5. Click on drop down menu to view all users.

Contracts as Subcontractor

Actions	Contract Number & Title	Contracting Organization	Sub Contact	Status	Prime	Current Subcontract	Paid Amount
View	1970.01: BECO Test	Arizona Department of Transportation	Contractor Compliance (change) Contractor Compliance save	1 incomplete audit	ADOT On-Call Prime	$4,000 80.00%	$1,500
View	1950-001.01: BECO Test	Arizona Department of Transportation	Contractor Compliance (change)	1 incomplete audit	ADOT Test Vendor 8	$2,000 20.00%	$800
					Number of contracts as subcontractor: 2	**$6,000**	**$2,300**

6. Select the appropriate user to be the new contact person.
7. Click **save.**

Contracts as Subcontractor

Actions	Contract Number & Title	Contracting Organization	Sub Contact	Status	Prime	Current Subcontract	Paid Amount
View	1970.01: BECO Test	Arizona Department of Transportation	Contractor Compliance (change) Doe save	1 incomplete audit	ADOT On-Call Prime	$4,000 80.00%	$1,500
View	1950-001.01: BECO Test	Arizona Department of Transportation	Contractor Compliance (change)	1 incomplete audit	ADOT Test Vendor 8	$2,000 20.00%	$800
					Number of contracts as subcontractor: 2	**$6,000**	**$2,300**

8. The user will be identified as the new contact person.

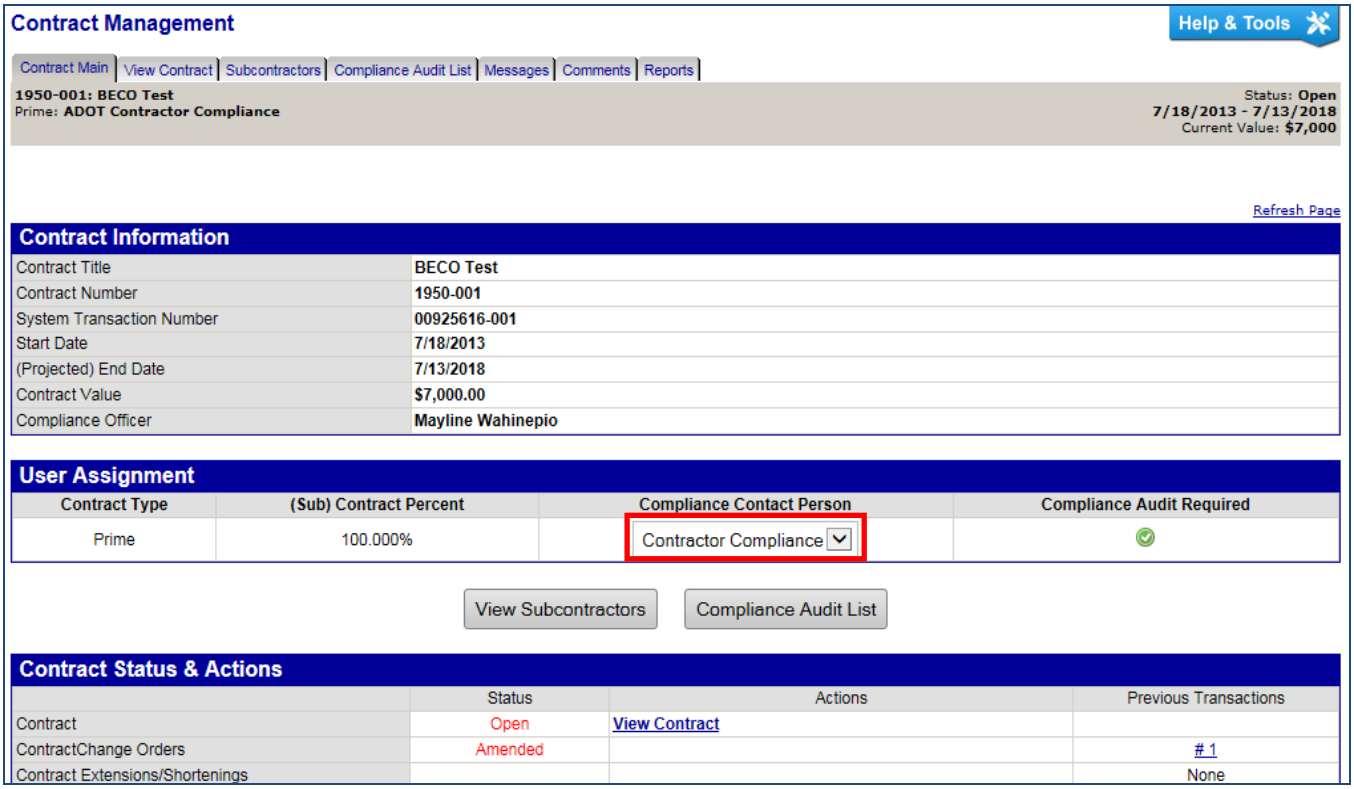
Contracts as Subcontractor

Actions	Contract Number & Title	Contracting Organization	Sub Contact	Status	Prime	Current Subcontract	Paid Amount
View	1970.01: BECO Test	Arizona Department of Transportation	Jane Doe (change)	1 incomplete audit	ADOT On-Call Prime	$4,000 80.00%	$1,500
View	1950-001.01: BECO Test	Arizona Department of Transportation	Contractor Compliance (change)	1 incomplete audit	ADOT Test Vendor 8	$2,000 20.00%	$800
					Number of contracts as subcontractor: 2	**$6,000**	**$2,300**

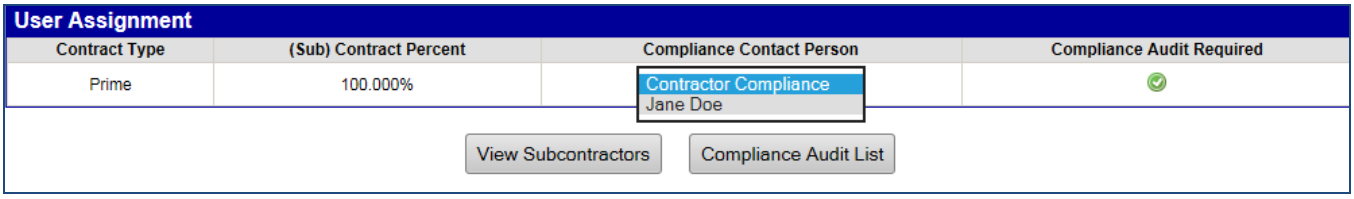
9. Repeat steps #3 thru #7 to change the contact person to additional contracts.

The contact person can also be changed while in a contract record:

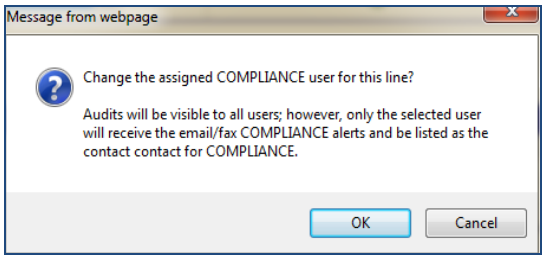
1. While in a contract record, click on **Contract Main.**
2. Go to drop down menu of Compliance Contact Person.



3. Select the new contact person.



4. Message box will appear as soon as new contact person is selected.
5. Click **OK.**

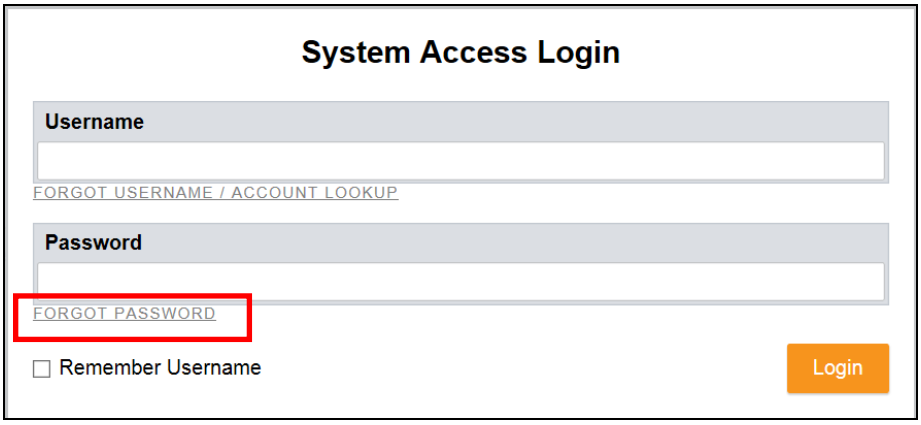


6. The new contact person will appear as the Compliance Contact Person.

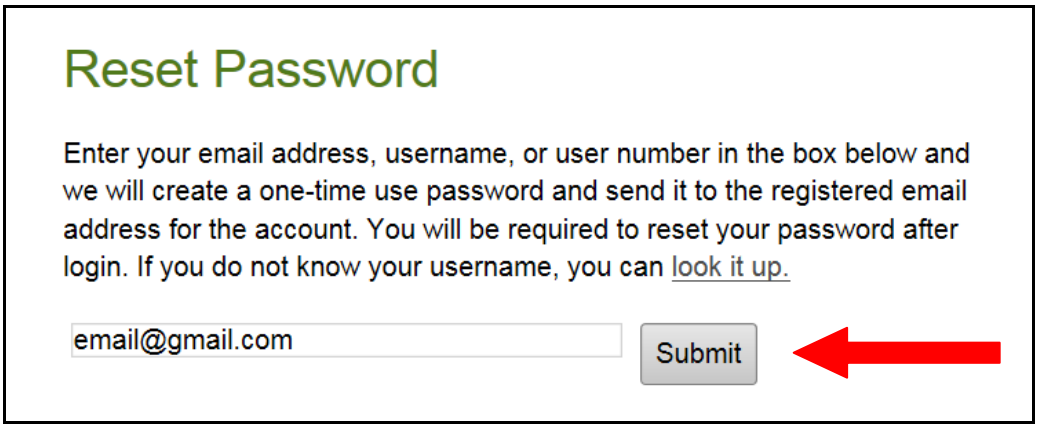
HOW TO RETRIEVE YOUR PASSWORD

It's normal to forget password information. When Audit notifications are received via email that means a vendor profile with username and password has been set up. Retrieving your password information is a simple process. Follow the steps accordingly for each payment reporting system.

1. Go to appropriate Log In interface.
    a. ADOT DOORS : https://adotdoors.dbesystem.com/
    b. Arizona LPA Management System: https://arizonalpa.dbesystem.com/
2. Click on **Log In.**
3. Click on **Forgot Password.**



4. Enter your email and click **Submit.**



5. Password information will be sent shortly to the email address that was entered.
6. Contact BECO at (602) 712-7761 for further assistance.