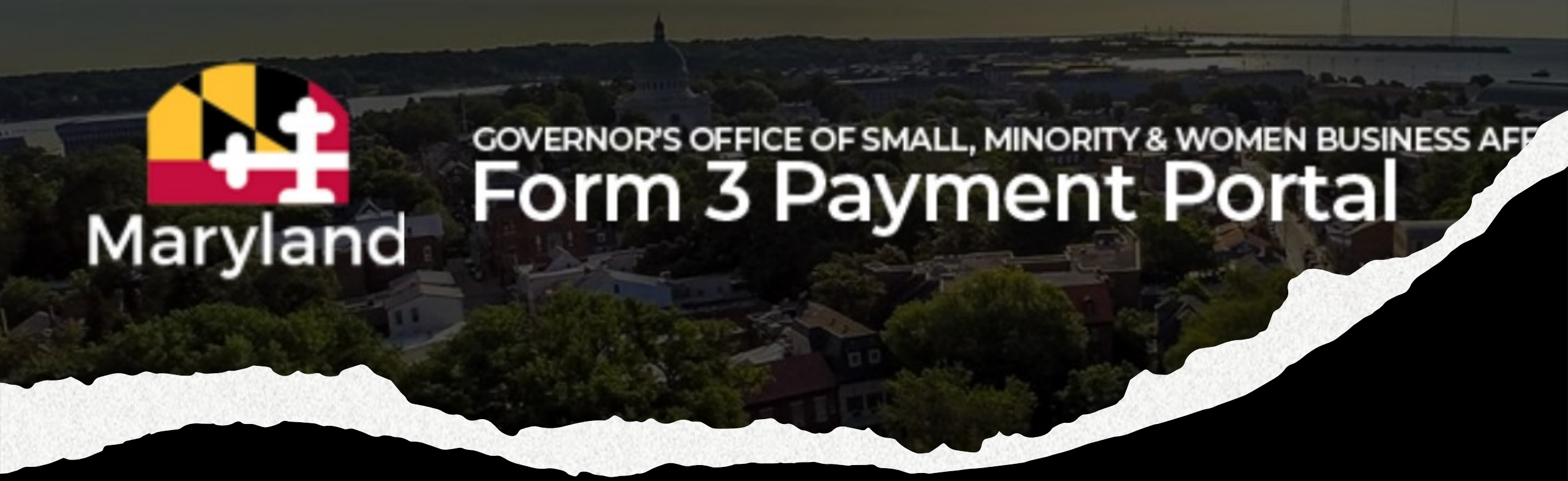


In-Depth Training

Presented by the Governor's Office of Small, Minority & Women Business Affairs

AGENDA

1. General Overview
2. Understanding what is reported in the Form 3/Legislation
3. Pulling payment report data
4. Navigating Form 3 Portal (General Use)
5. How to fill out form 3 (Manually)
5. How to fill out form 3 (Importing)
5. Review and Submissions
5. Best Practices
5. Common Errors and Omissions

General Overview



What is Form 3?

- Form #3 represents a comprehensive MBE contract payments and subcontractor utilization database that captures prime and subcontractor actual payments on both a fiscal year and a contract to-date basis.
- Actual payments represents the money your agency spent on a contract to date.



For Internal Training Purposes Only

Reporting Legislation: COMAR 21.11.03.17 A(1)(2) and C

A. Each procurement agency shall make a report annually within 90 days following the close of the fiscal year to the Governor's Office of Small, Minority & Women Business Affairs, the Department of Transportation, and, subject to State Government Article, §2-1246, Annotated Code of Maryland, to the Joint Committee on Fair Practices and State Personnel Oversight that includes:

(1) The total number, value, and procurement category of its procurements from State-certified MBEs as prime contractors, and separately as subcontractors, by business name and specific MBE classification;

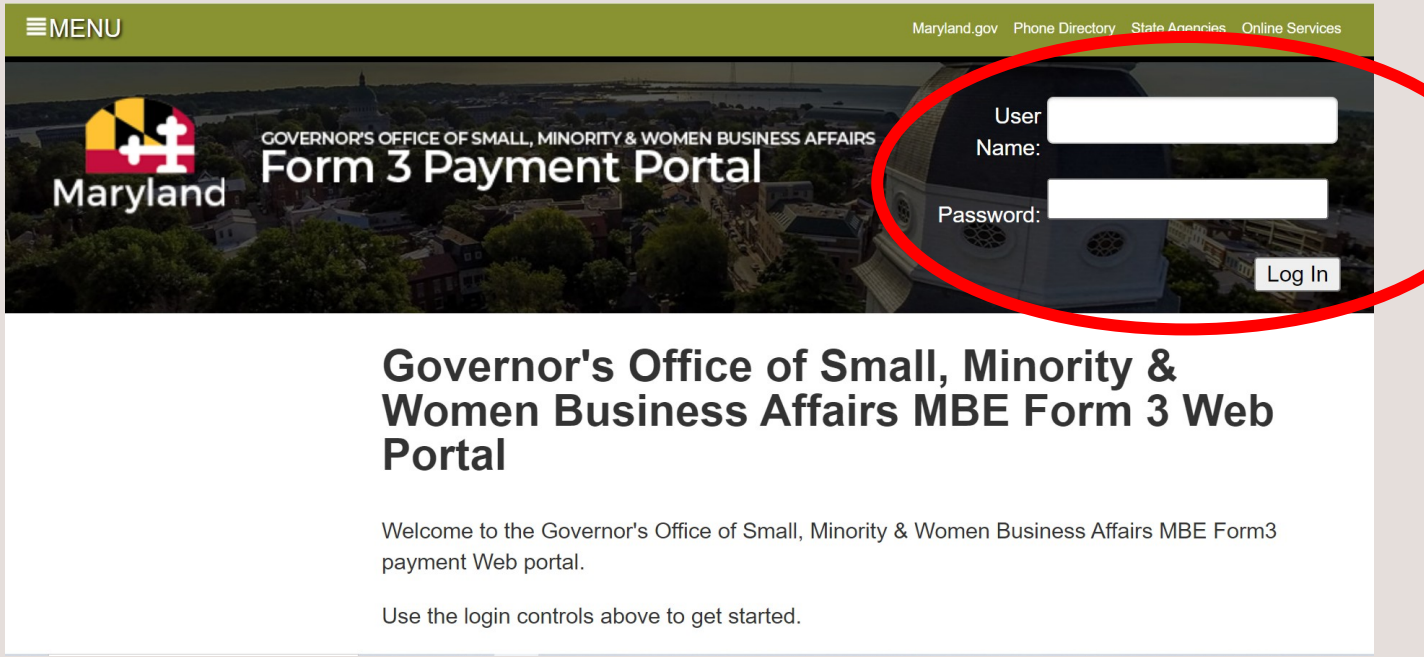
(2) The percentages, by specific classification of minority business enterprise, that purchases under §A(1) and (2) of this regulation represent of the total number and value of its procurements for the fiscal year just ended;

C. Each procurement agency shall furnish any other information or periodic reports requested by the Governor's Office of Small, Minority & Women Business Affairs or the Department of Transportation in connection with MBE certification and procurement, or any other matters related to the administration, effectiveness, or continuation of the Minority Business Enterprise Program.



How to access the portal

- Contact GOSBA to retrieve your agencies Username and Password.
- Visit: https://www.doit.state.md.us/MBEForm3/
- Log into the portal with your credentials!



Who to contact for technical assistance

GOSBA

- Retrieving username and password
- Unlocking account after too many login attempts
- Re-opening submission for the FY after already submitting report
- Questions about importing

DoIT

- Non-responsive page/buttons
- Overall system errors not related to importing

Please note: It is important to notify GOSBA of any issues that may arise to ensure that it is not a global issue.

Pulling Payment Report Data



How does your agency collect data?

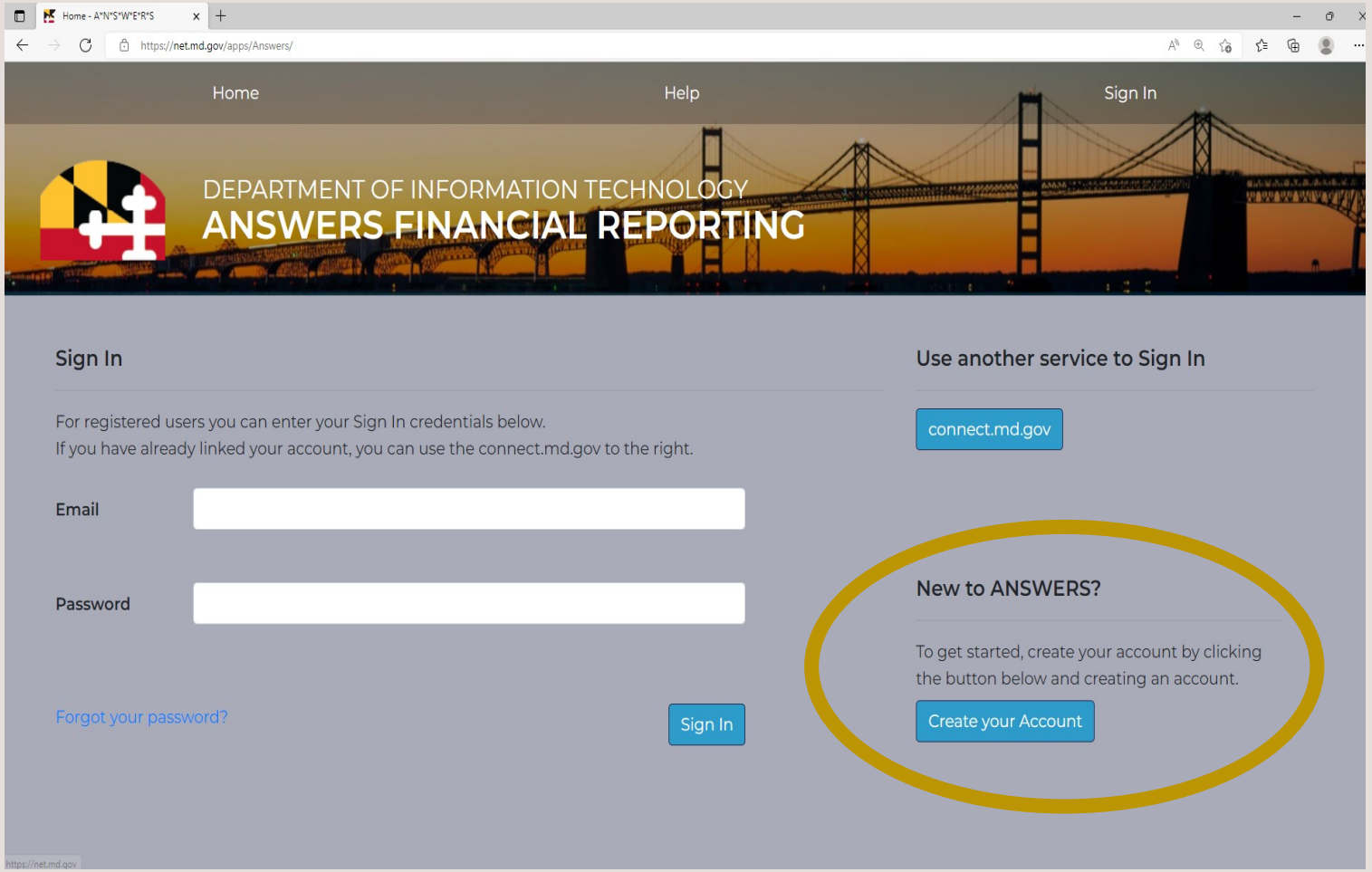
Data Collection Method	Where to locate reports?
FMIS Agencies	• Pull 700 series reports from ANSWERS database • Utilize ViewDirect A30USB11
Non-FMIS Agencies	• Utilize internal financial systems to capture procurement data • MDOT agencies will use iFMIS to capture procurement data.

Note: Backup data should include payments against contracts, and one-time only payments for any good or service. These payments will include those made to both Prime and Subcontractors.

How to access ANSWERS

- If you already have an ANSWERS account visit: https://net.md.gov/apps/Answers/ and simply log in.

- If you have not created an ANSWERS account, follow the instructions below:
  - Underneath ‘New to ANSWERS?’ create your login using your state email address.
  - You will receive an email confirming your new account.
  - Use the credentials you created to login to the ANSWERS portal.



Which reports are needed?

- ANSWERS reports regarding payments:
  - 717, 718, 719 & 721
  - **Or** view direct A30USB11
- PCHL717- MBE Prime Payments by Direct Voucher; no BPO/PO
- PCHL718- MBE Prime Voucher Payments made from BPO/PO
- PCHL719- MBE Subcontractor Payments
- PCHL 721- P-Card Total/MBE Purchases (or use VIEWDIRECT A30USB11)

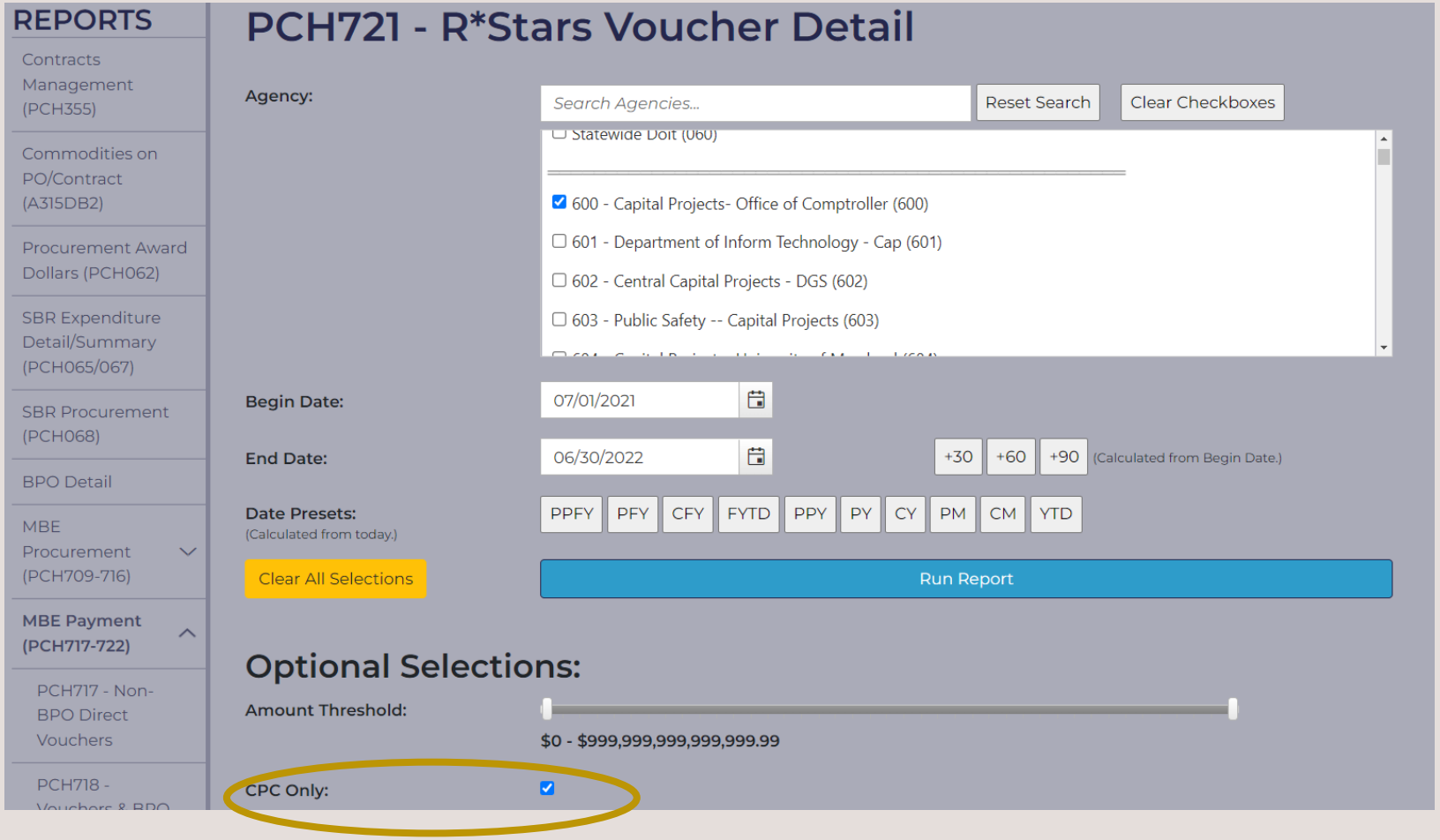
How to pull reports from ANSWERS

- After logging into ANSWERS you will be prompted to the homepage.
- Under ‘REPORTS’ select MBE Payment (PCH717-722)



How to pull reports from ANSWERS continued

- Select from the dropdown which report you would like to pull
- Select your agency
- Insert Begin and End date depending on longevity of report needed
- Click ‘Run Report’
- Please note: When pulling 721 report you must select ‘CPC Only’ Under ‘Optional Selections



Understanding Date Presets on ANSWERS

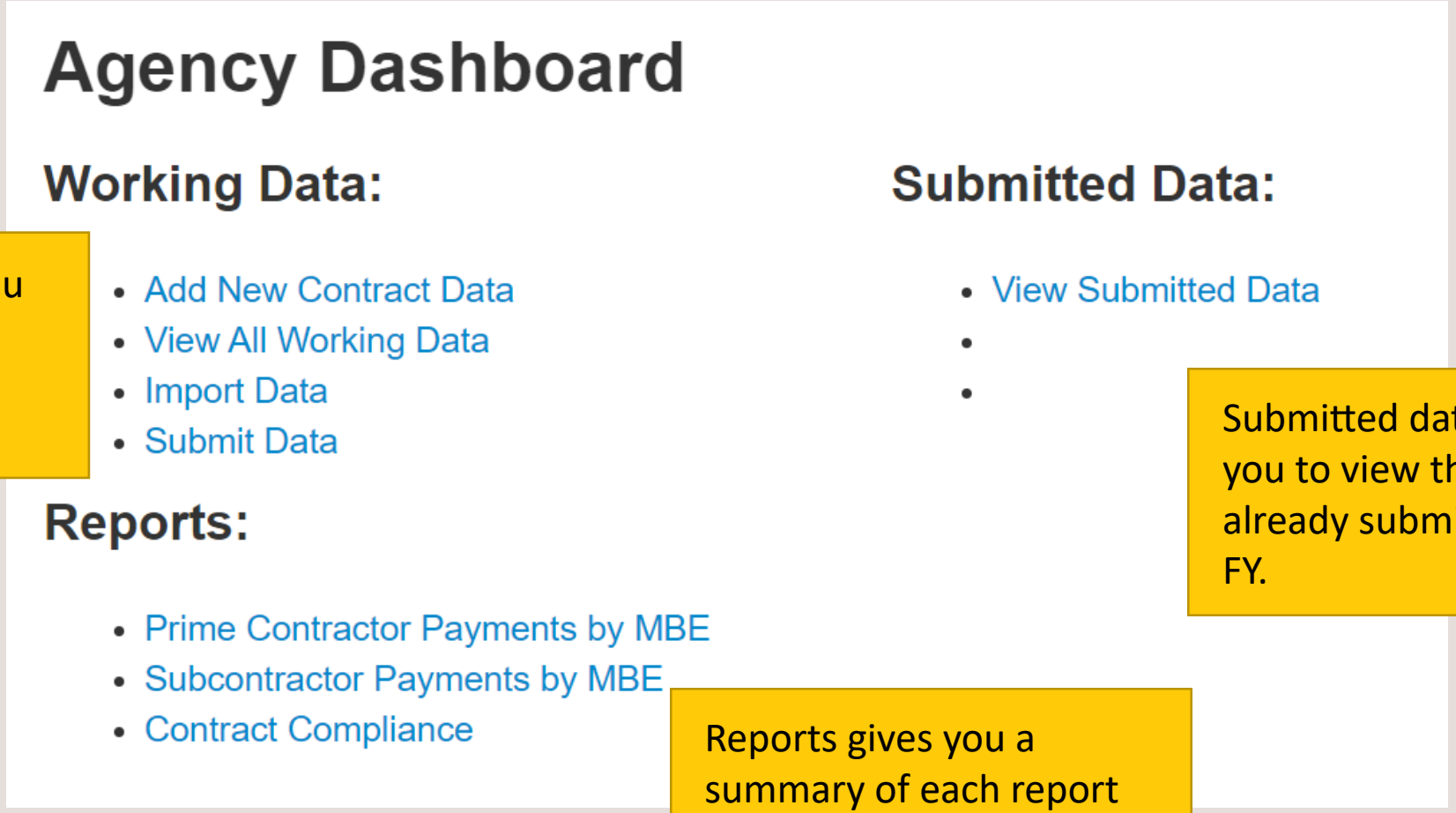


Date Presets:	Meaning:
PPFY	Prior Prior Fiscal Year (2 FY years back)
PFY	Prior Fiscal Year (1 FY year back)
CFY	Current Fiscal Year
FYTD	Fiscal Year To Date
PPY	Prior Prior Calendar Year (2 years back)
PY	Prior Calendar Year (1 year back)
CY	Current Calendar Year
PM	Prior Month
CM	Calendar Month (current month)
YTD	Current Year-to-date

Navigating the Form 3 Portal



Agency Dashboard

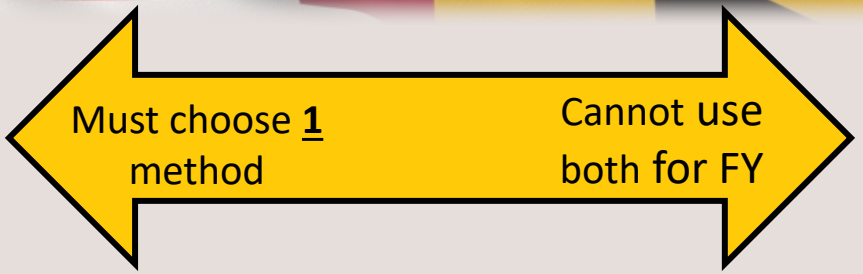


Working data allows you to add, import, or edit data before submitting final report for the FY.

Submitted data allows you to view the data you already submitted for the FY.

Reports gives you a summary of each report that is curated from the data you submit.

Choosing Your Data Entry Method



Manual

- Requires you to:
  - Delete expired contracts one by one
  - Update contracts from prior years with new payment data
  - Enter new contracts/payments

Import

- Requires you to:
  - Utilize up to date excel template from the MBE reporting toolkit
  - Follow template instructions. (ex. default data, correct designations)

❖ Be mindful, if you are using the import method, it will overwrite everything currently in the working data section of the Form 3 portal.

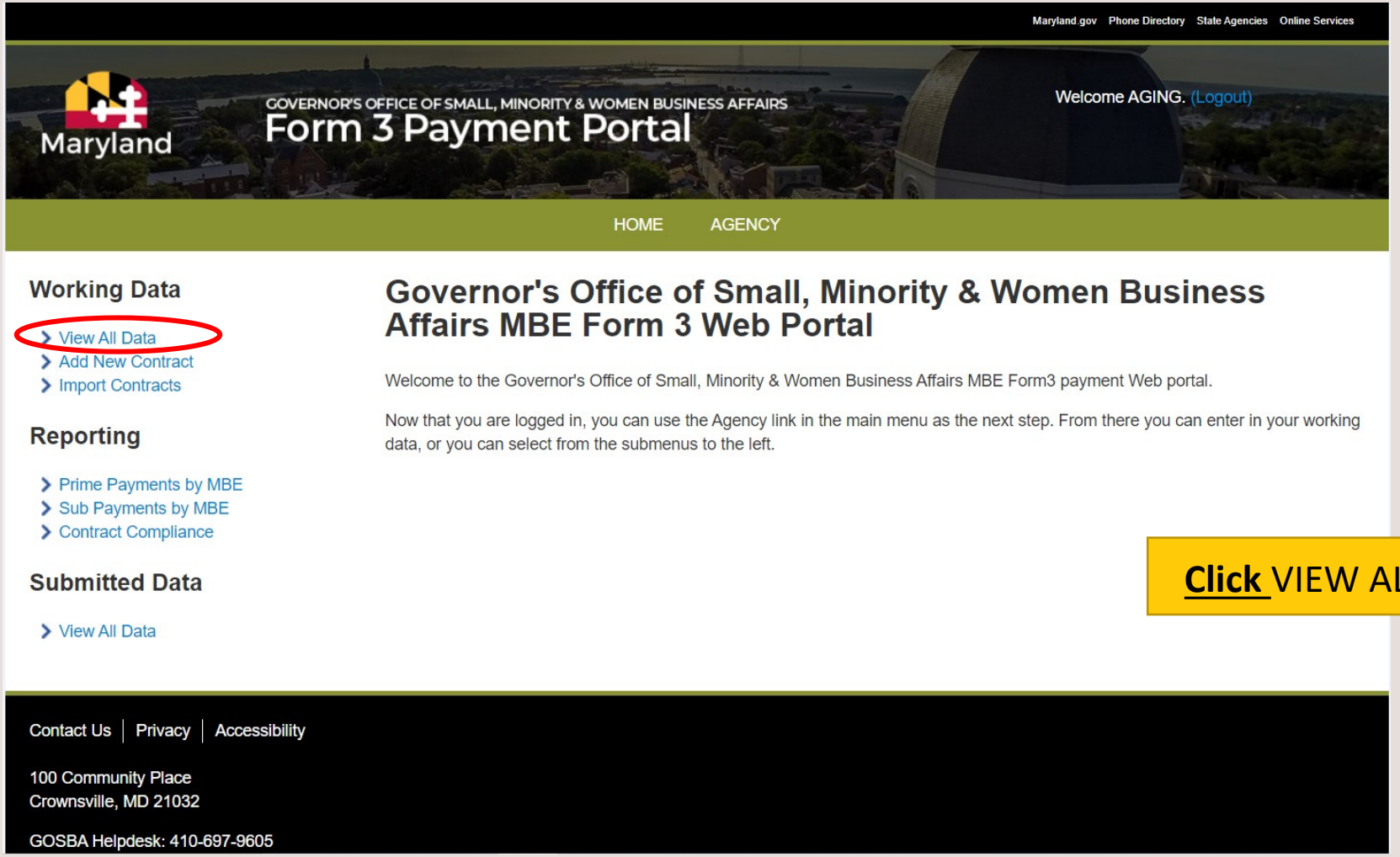
Please note: No matter what method you choose, you must still submit for the reporting year. Problems with submitting, contact Governor's Office of Small, Minority & Women Business Affairs: 410-697-9605

For Internal Training Purposes Only

Manual Entry Method



Form 3 Portal – Removing Expired Data (1 of 3)



Step 1: Remove all expired data.

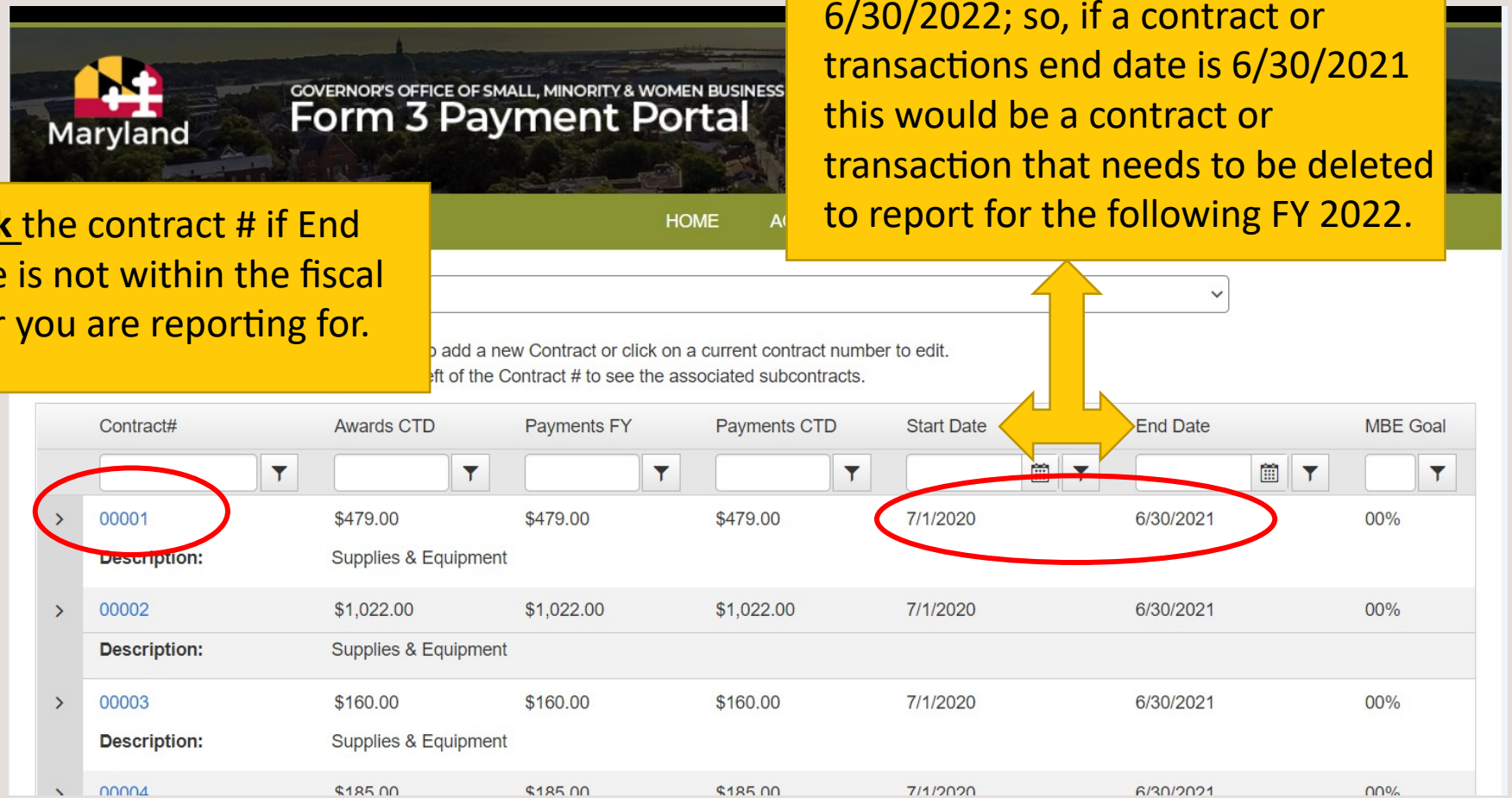
Click VIEW ALL DATA

Form 3 Portal – Removing Expired Data (2 of 3)

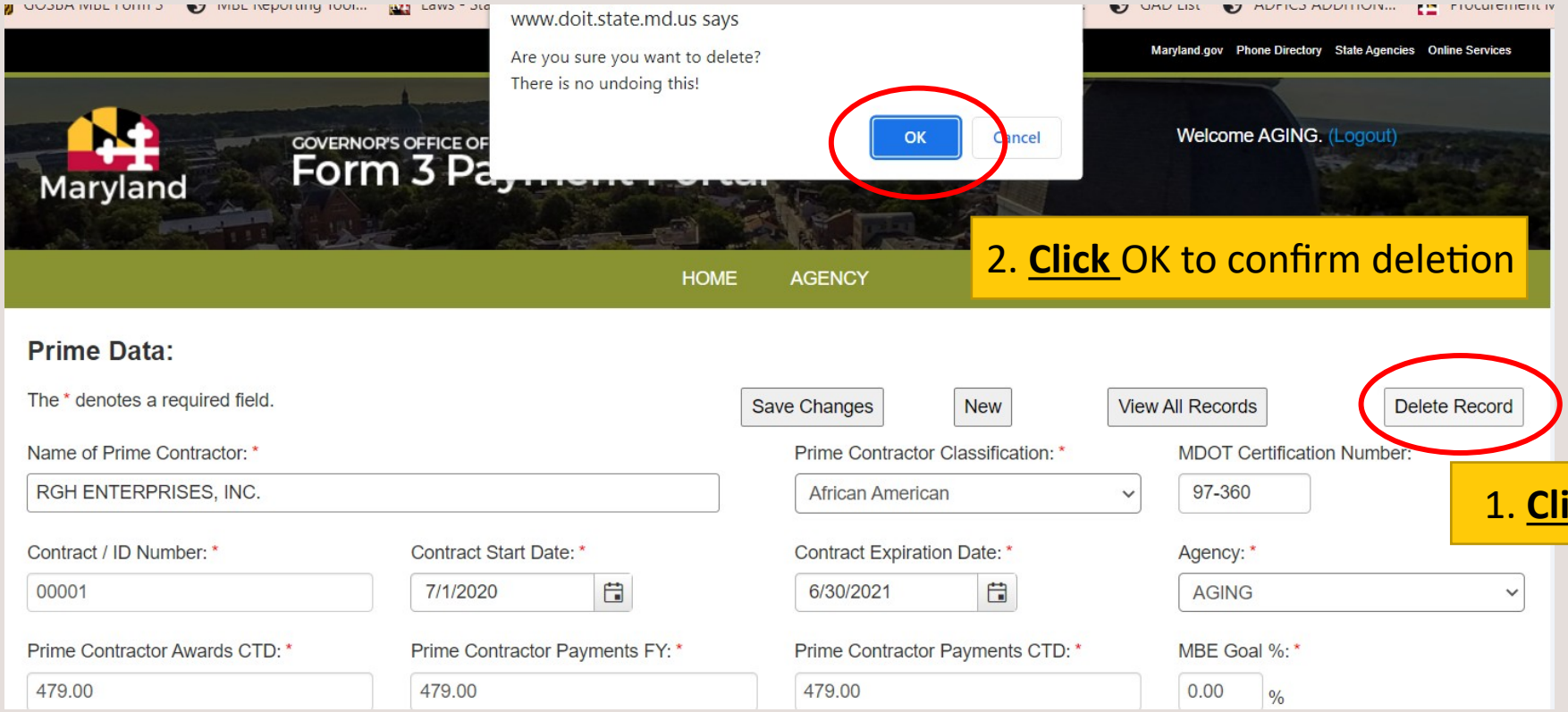
Example: FY 22 would be 7/1/2021-6/30/2022; so, if a contract or transactions end date is 6/30/2021 this would be a contract or transaction that needs to be deleted to report for the following FY 2022.

Step 2: Select which contracts need to be revised.

Click the contract # if End date is not within the fiscal year you are reporting for.



Form 3 Portal – Removing Expired Data (3 of 3)

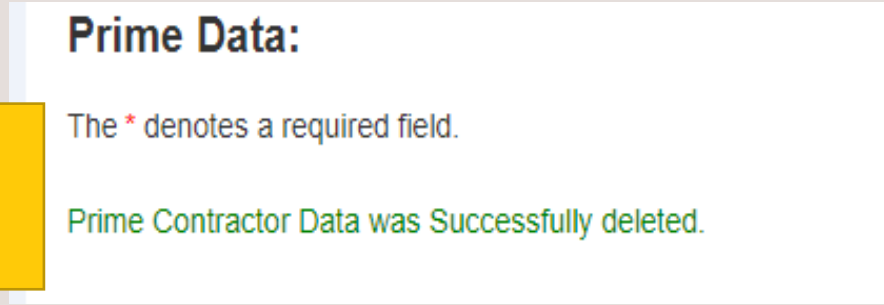


2. **Click** OK to confirm deletion

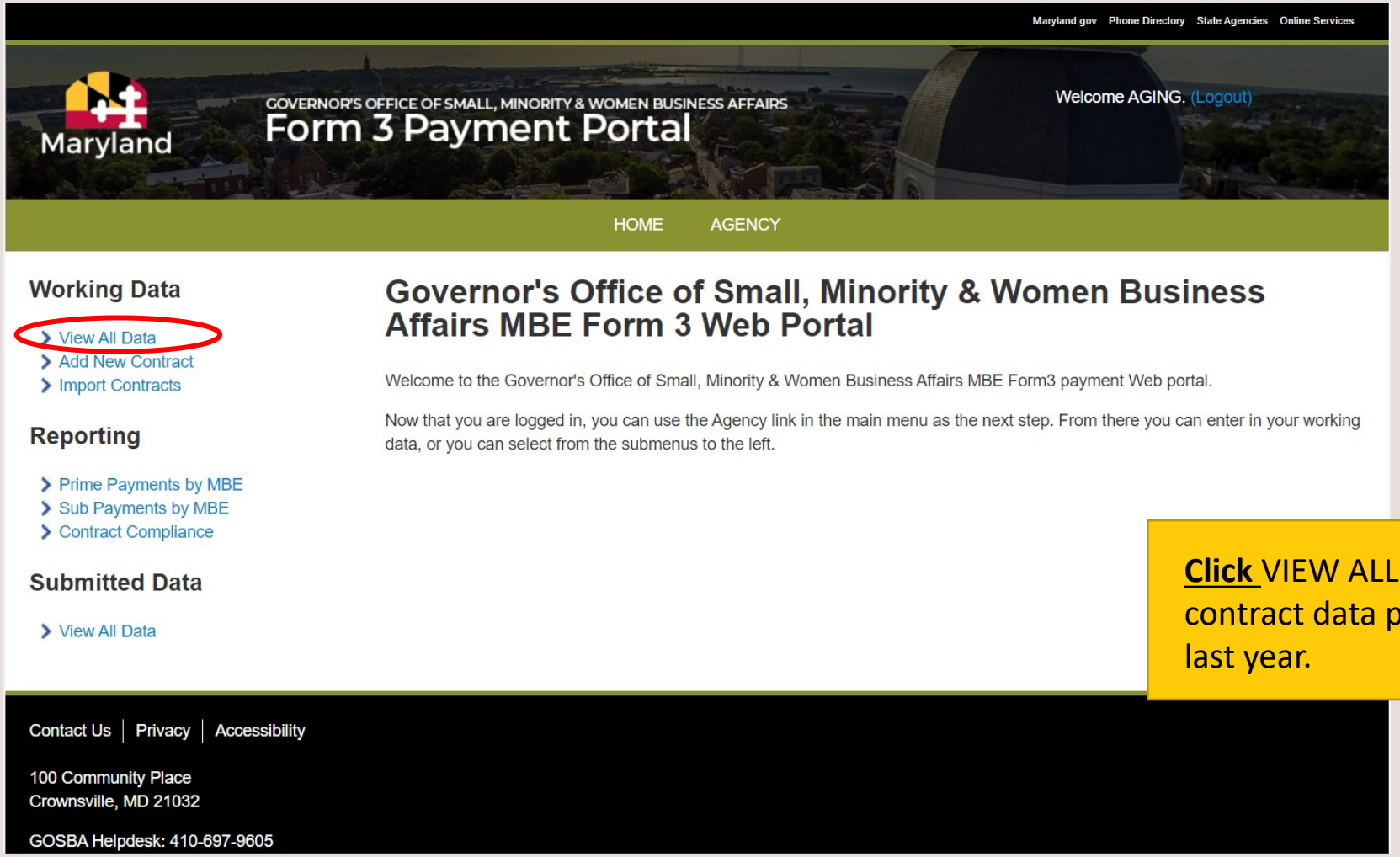
Step 3: Delete the expired record.

1. **Click** Delete Record

3. You will receive a success message. Then go on to the **next** record to delete.



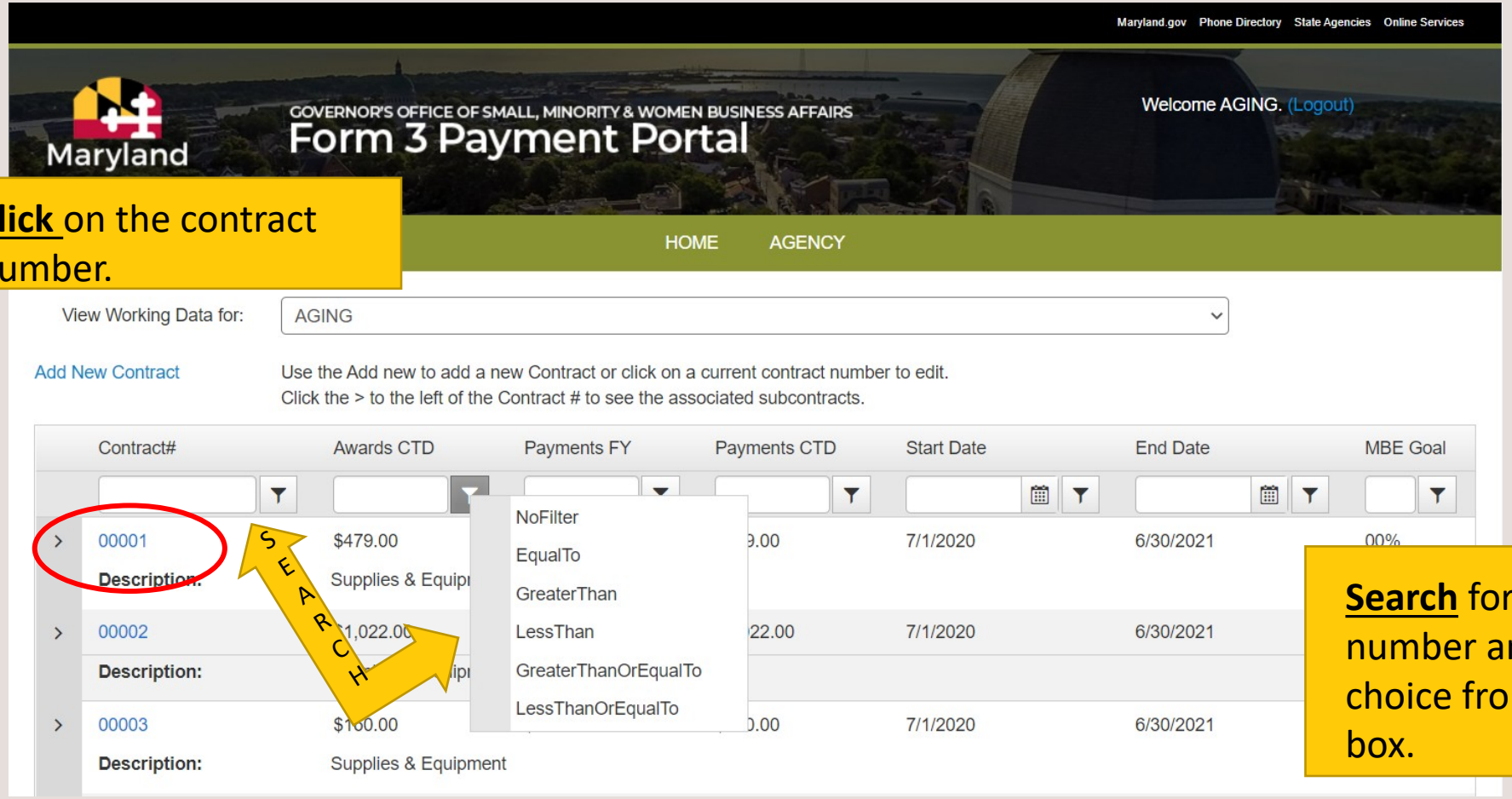
Form 3 Portal – Revising Contracts (1 of 3)



Step 1: Begin by revising prime contractor data for a contract that was previously input.

Click VIEW ALL DATA to modify contract data previously entered last year.

Form 3 Portal – Revising Contracts (2 of 3)

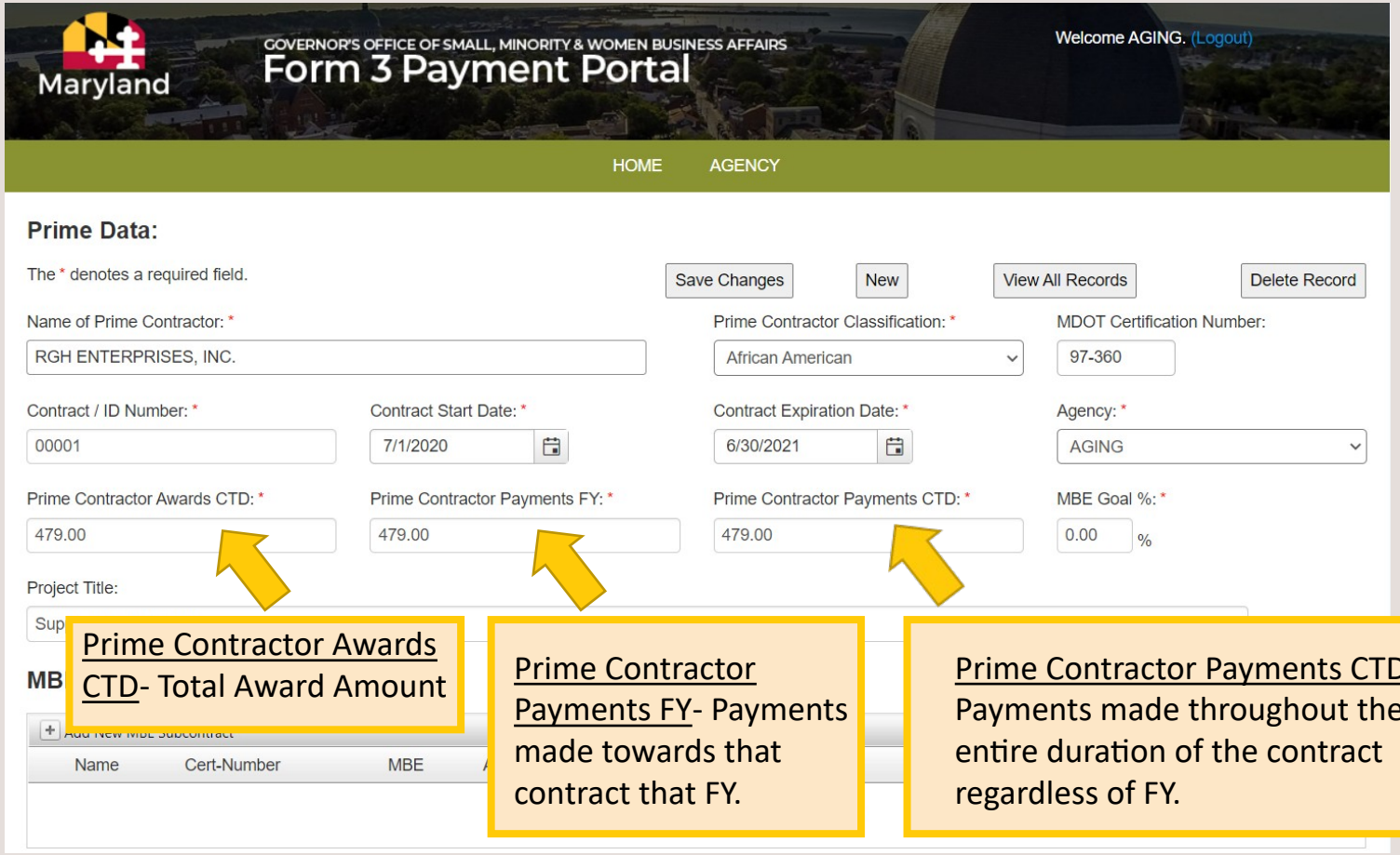


Click on the contract number.

Step 2: Select which contracts need to be revised.

Search for contract number and select filter choice from dropdown box.

Form 3 Portal – Revising Contracts (3 of 3)



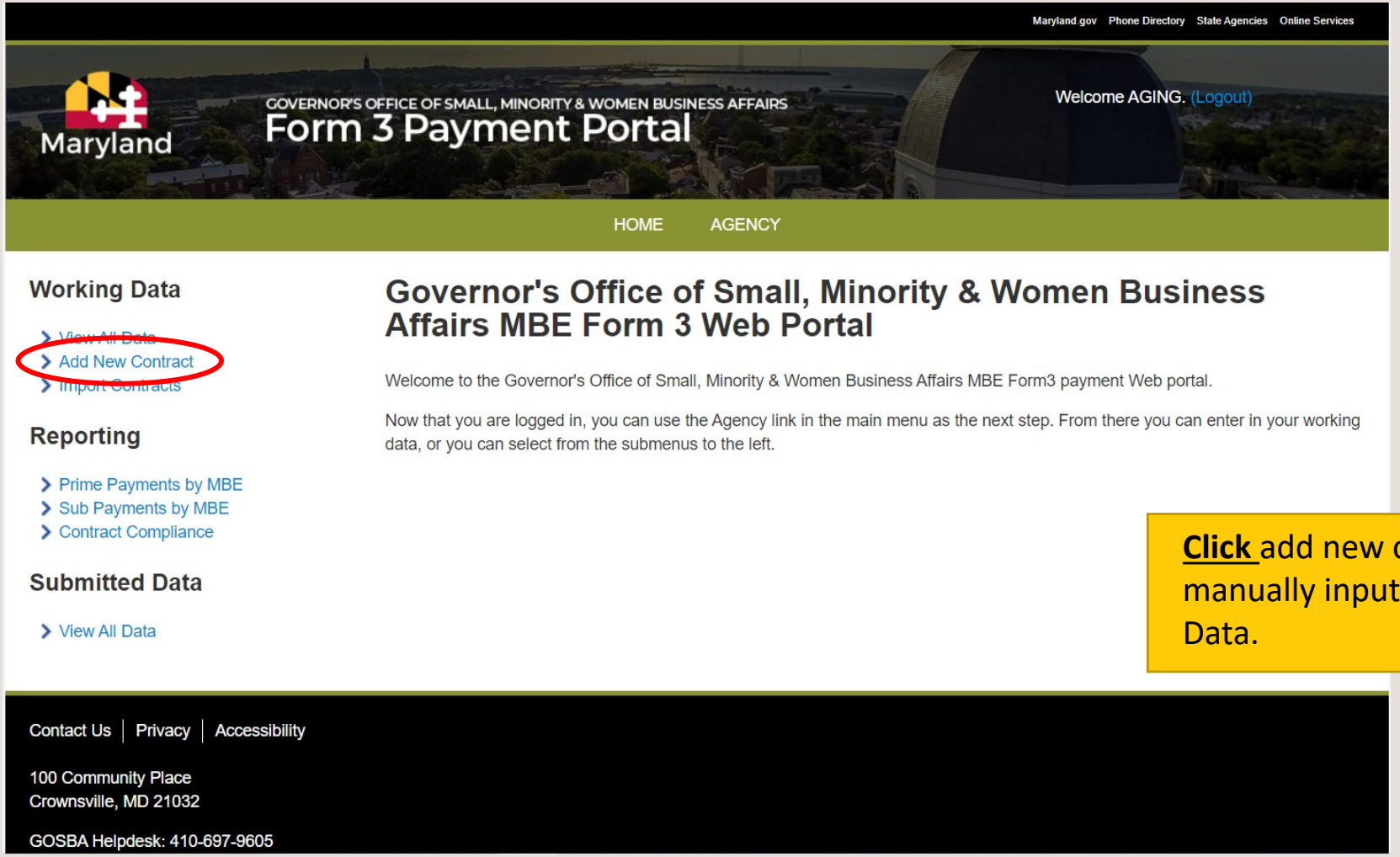
Prime Contractor Awards CTD- Total Award Amount

Prime Contractor Payments FY- Payments made towards that contract that FY.

Prime Contractor Payments CTD- Payments made throughout the entire duration of the contract regardless of FY.

Step 3: Revise dollar amounts and dates, as necessary.

Form 3 Portal – Adding New Contracts (1 of 3)

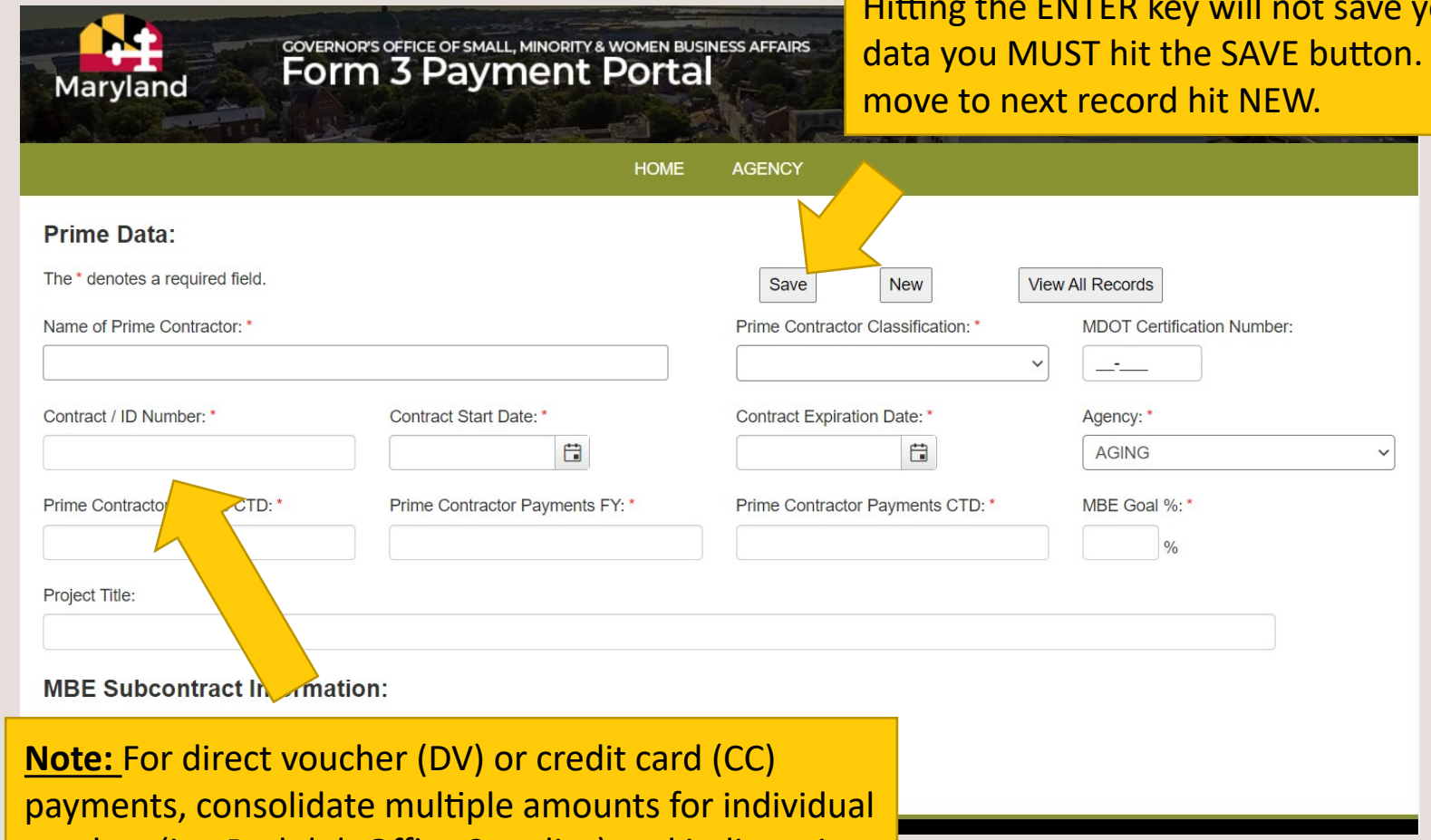


Step 1: Insert new contracts for the FY.

Click add new contract to manually input Prime Contractor Data.

Form 3 Portal – Adding New Contracts (2 of 3)

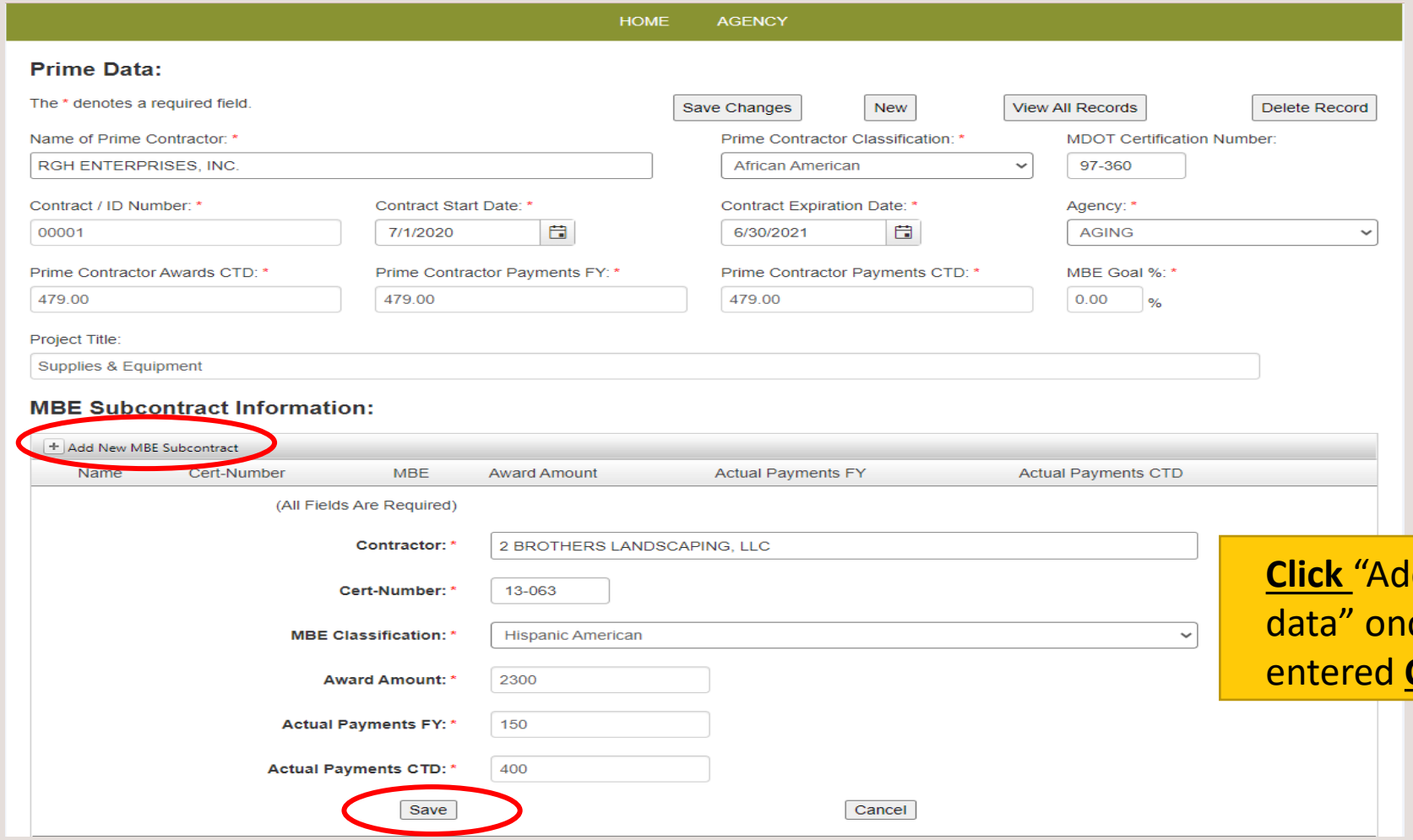
Click SAVE after all data has been input. Hitting the ENTER key will not save your data you MUST hit the SAVE button. To move to next record hit NEW.



Step 2: Enter contract data. Fields with red asterisk (*) are required.

Note: For direct voucher (DV) or credit card (CC) payments, consolidate multiple amounts for individual vendors (i.e. Rudolph Office Supplies) and indicate in the contract ID the type of payment, DV or CC. Use FY dates for Start and Expiration Dates.

Form 3 Portal – Adding New Contracts (3 of 3)



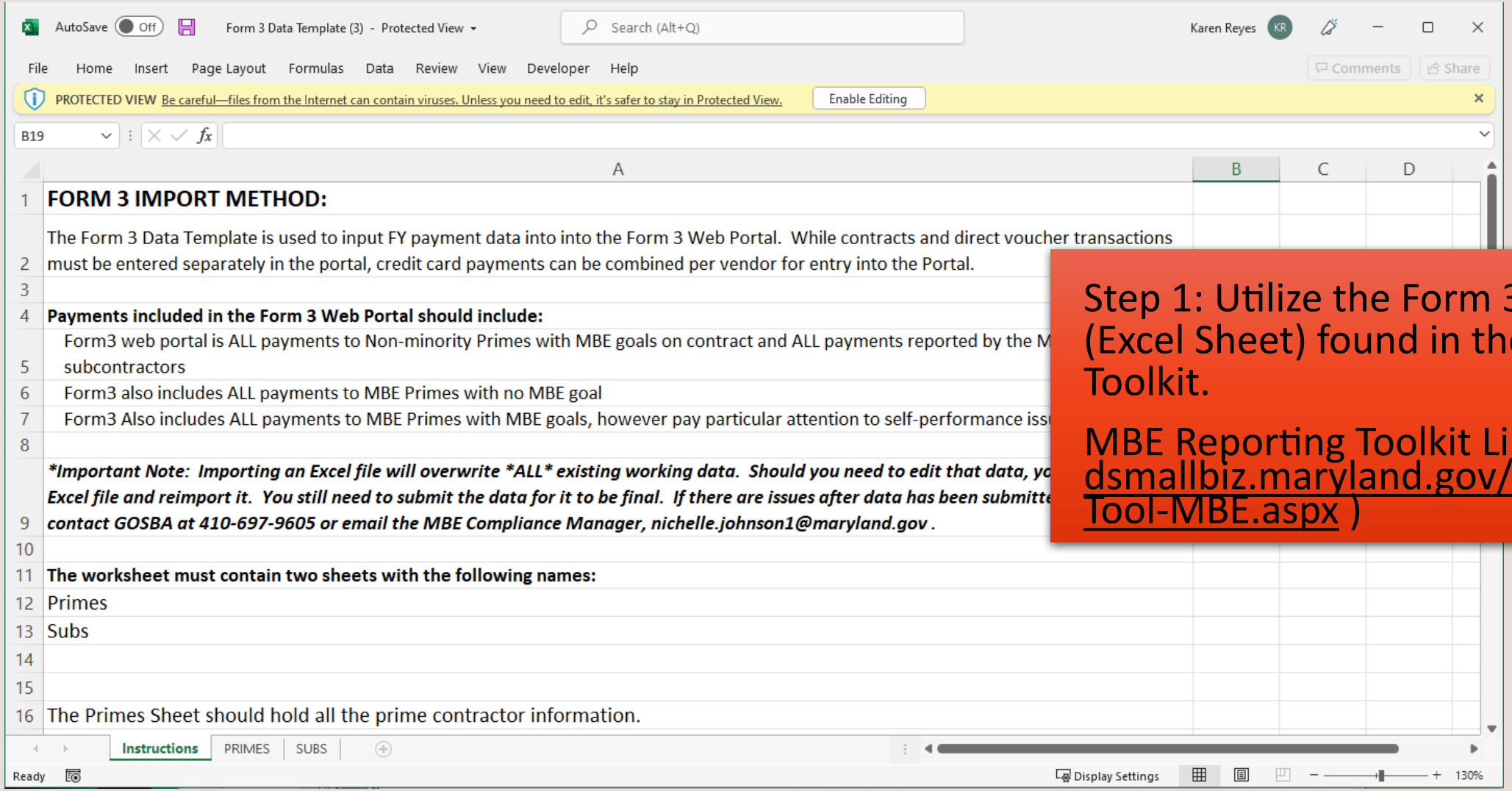
Step 3: Enter subcontractor data if applicable.

Click "Add subcontractor data" once the data is entered **Click** SAVE.

Template Import Method



Form 3 Portal – Entering Contract Data (1 of 6)



Step 1: Utilize the Form 3 Data Template (Excel Sheet) found in the MBE Reporting Toolkit.

MBE Reporting Toolkit Link: (https://gomdsmallbiz.maryland.gov/Pages/Reporting-Tool-MBE.aspx)

Form 3 Portal- Entering Contract Data (2 of 6)

MBE Designations

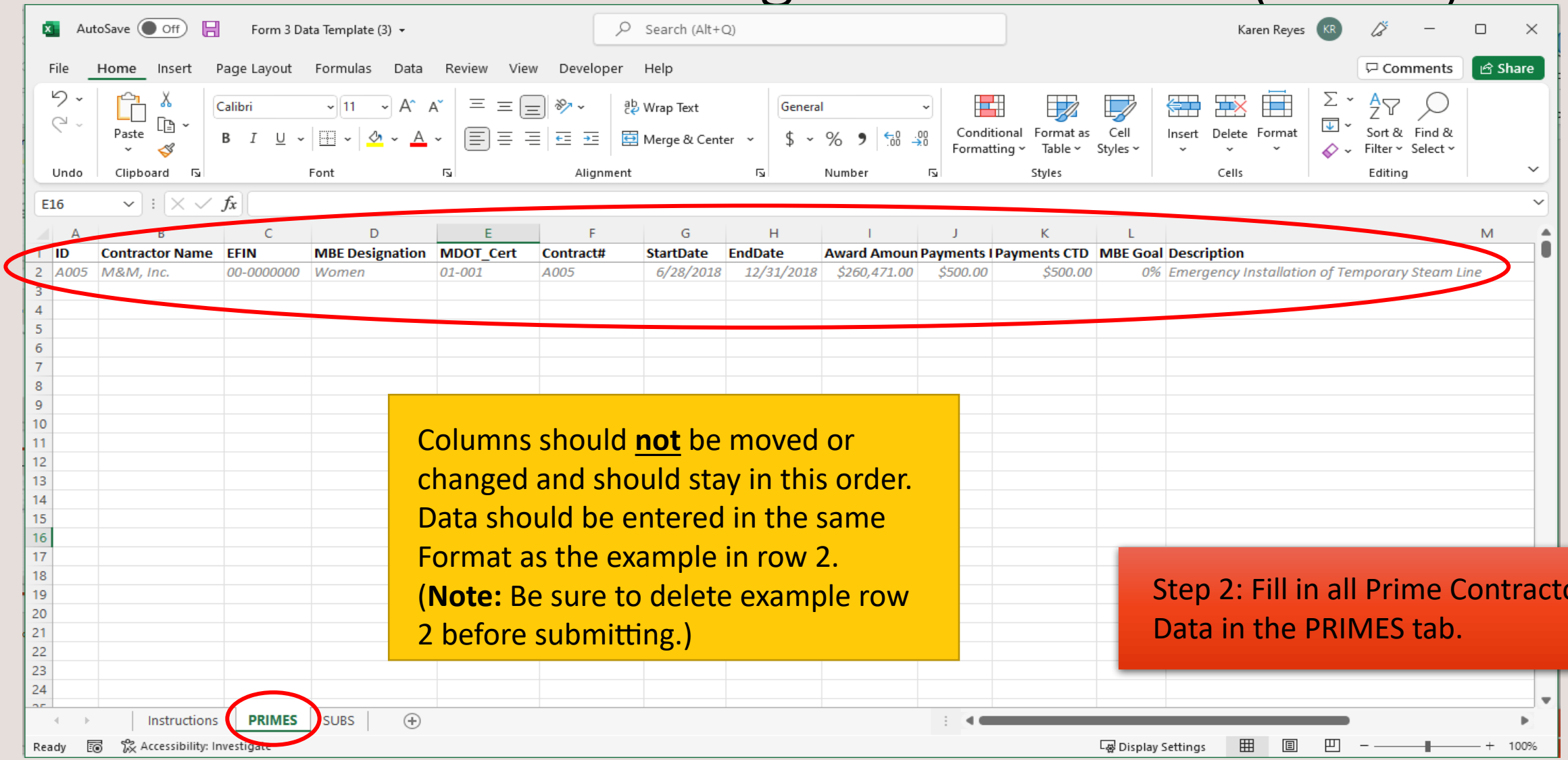
Here is a list of MBE Designations that are available in the system. The MBE Column must be one of the items from the list below.

Non-Minority
African American
Asian American
Hispanic American
Native American
Women
African American Women
Asian American Woman
Hispanic American Woman
Native American Women
Disabled
Disadvantaged

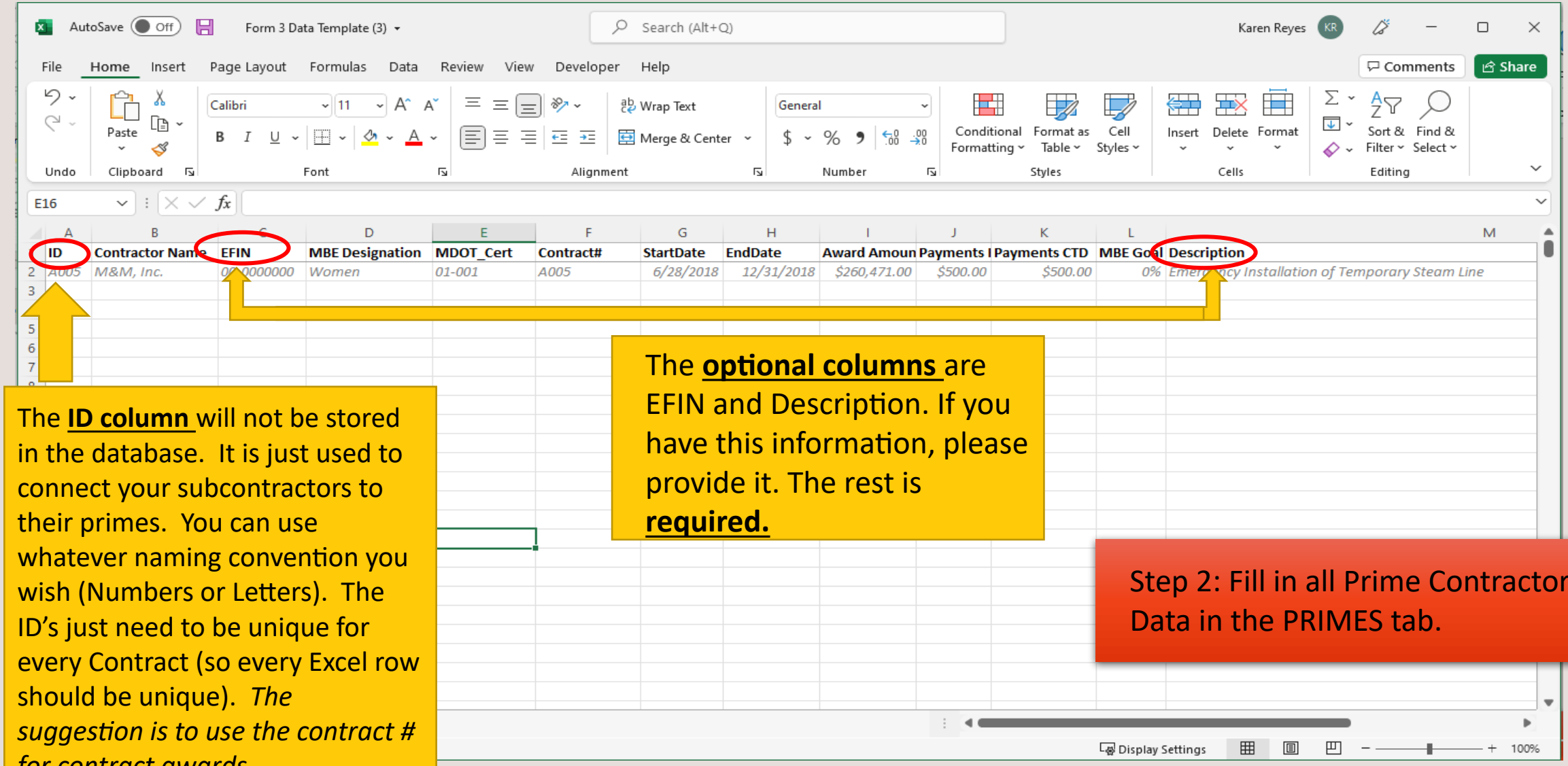
Before entering data please note:

- Make sure that MBE designations **match** the list in the Reporting Manual.
- Make sure that Prime IDs are **unique for each** contract, DV, or CC transactions.
- Be sure Prime ID **matches** subcontractors paid under that contract.

Form 3 Portal – Entering Contract Data (3 of 6)



Form 3 Portal – Entering Contract Data (4 of 6)

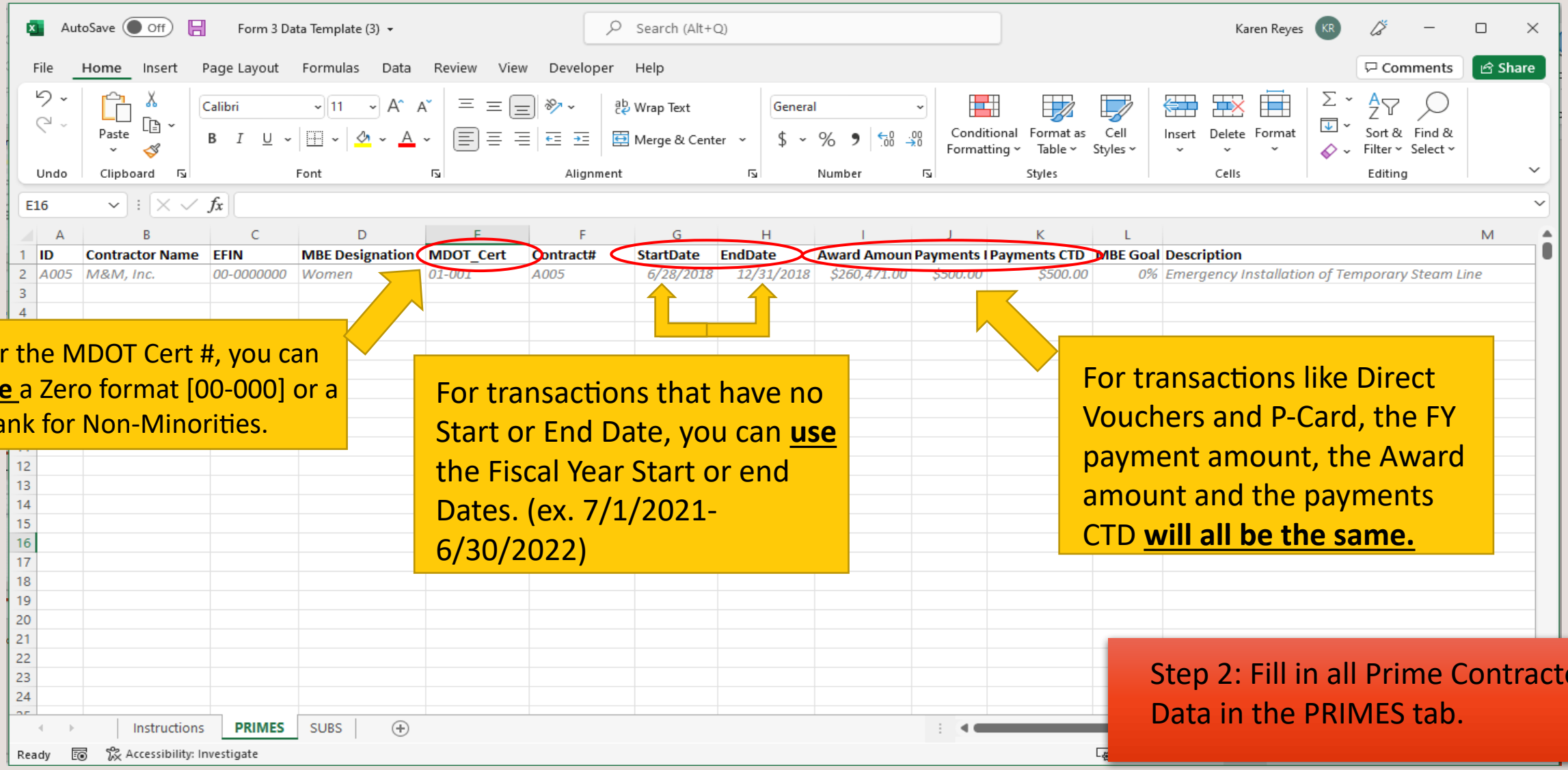


The **ID column** will not be stored in the database. It is just used to connect your subcontractors to their primes. You can use whatever naming convention you wish (Numbers or Letters). The ID's just need to be unique for every Contract (so every Excel row should be unique). *The suggestion is to use the contract # for contract awards.*

The **optional columns** are EFIN and Description. If you have this information, please provide it. The rest is **required.**

Step 2: Fill in all Prime Contractor Data in the PRIMES tab.

Form 3 Portal – Entering Contract Data (5 of 6)



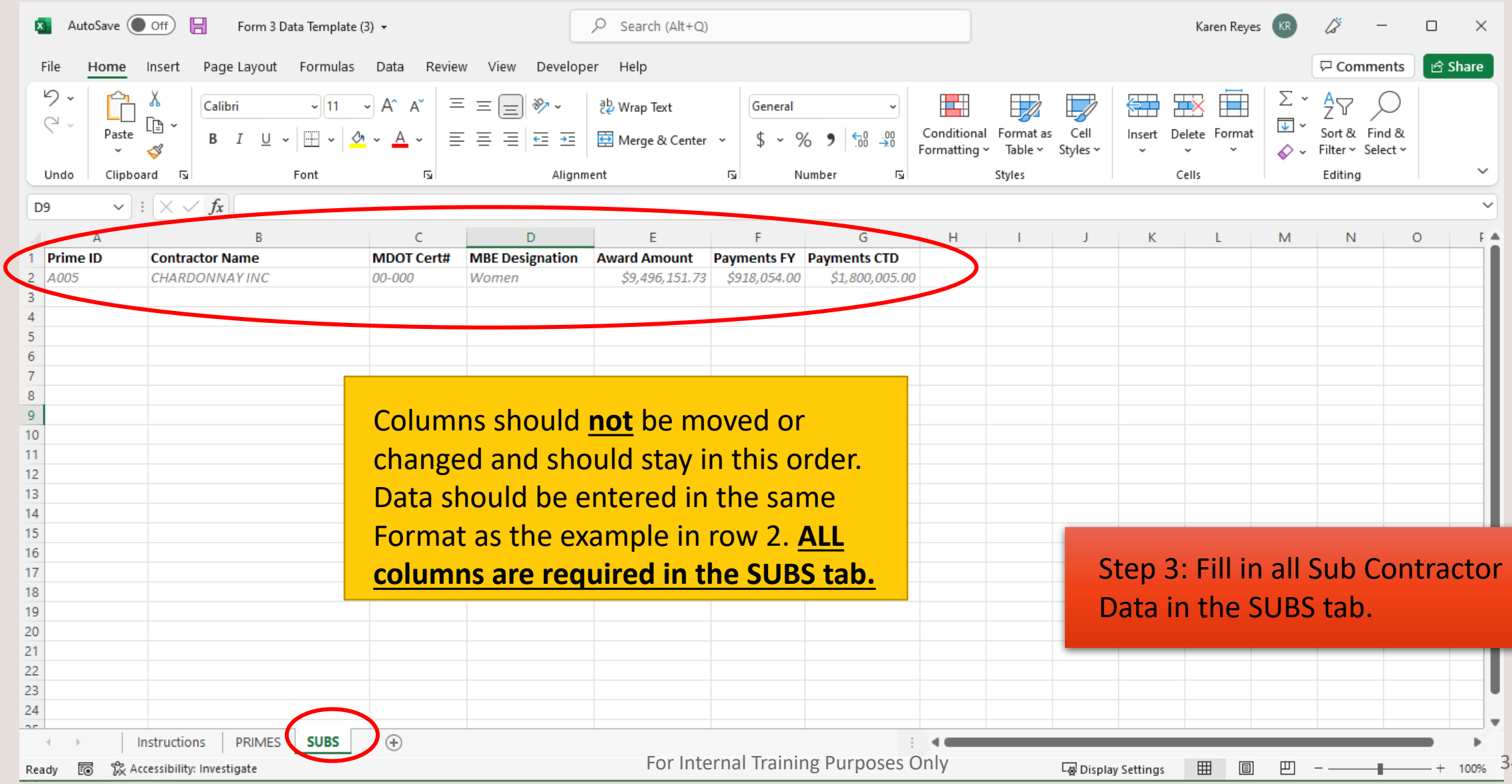
For the MDOT Cert #, you can **use** a Zero format [00-000] or a blank for Non-Minorities.

For transactions that have no Start or End Date, you can **use** the Fiscal Year Start or end Dates. (ex. 7/1/2021-6/30/2022)

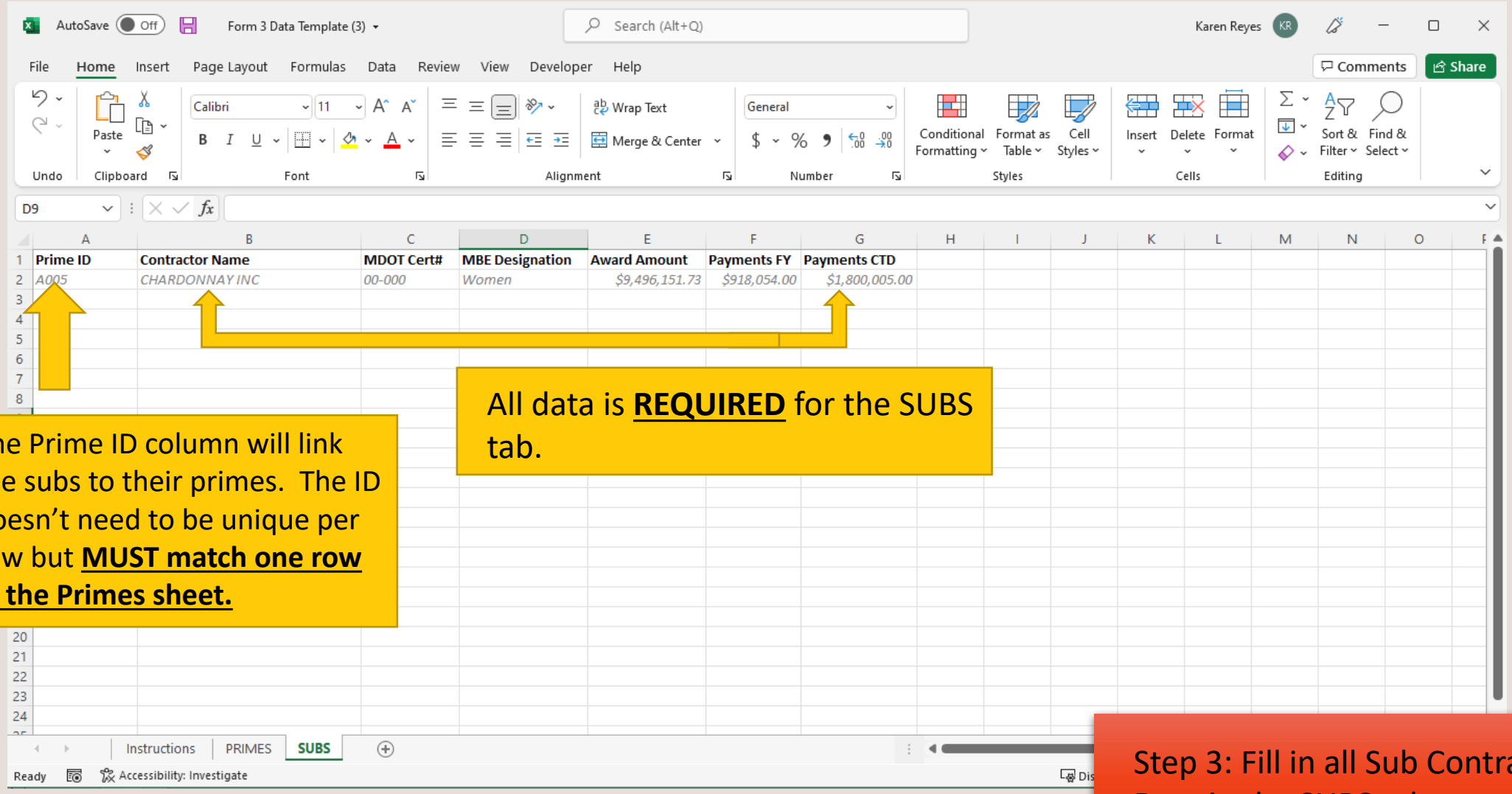
For transactions like Direct Vouchers and P-Card, the FY payment amount, the Award amount and the payments CTD **will all be the same.**

Step 2: Fill in all Prime Contractor Data in the PRIMES tab.

Form 3 Portal – Entering Contract Data (6 of 6)



Form 3 Portal – Import Method (1 of 2)

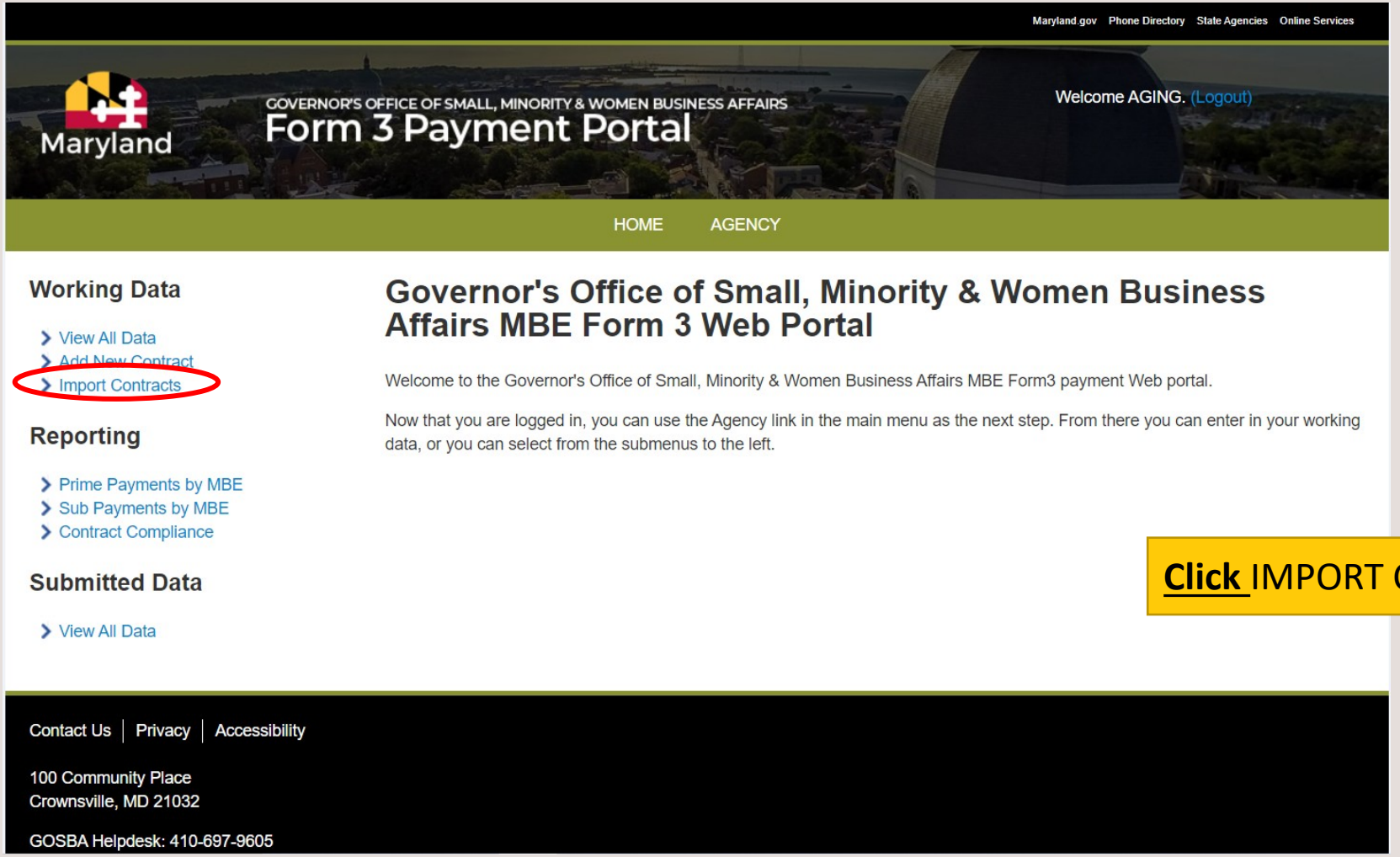


The Prime ID column will link the subs to their primes. The ID doesn't need to be unique per row but **MUST match one row in the Primes sheet.**

All data is **REQUIRED** for the SUBS tab.

Step 3: Fill in all Sub Contractor Data in the SUBS tab.

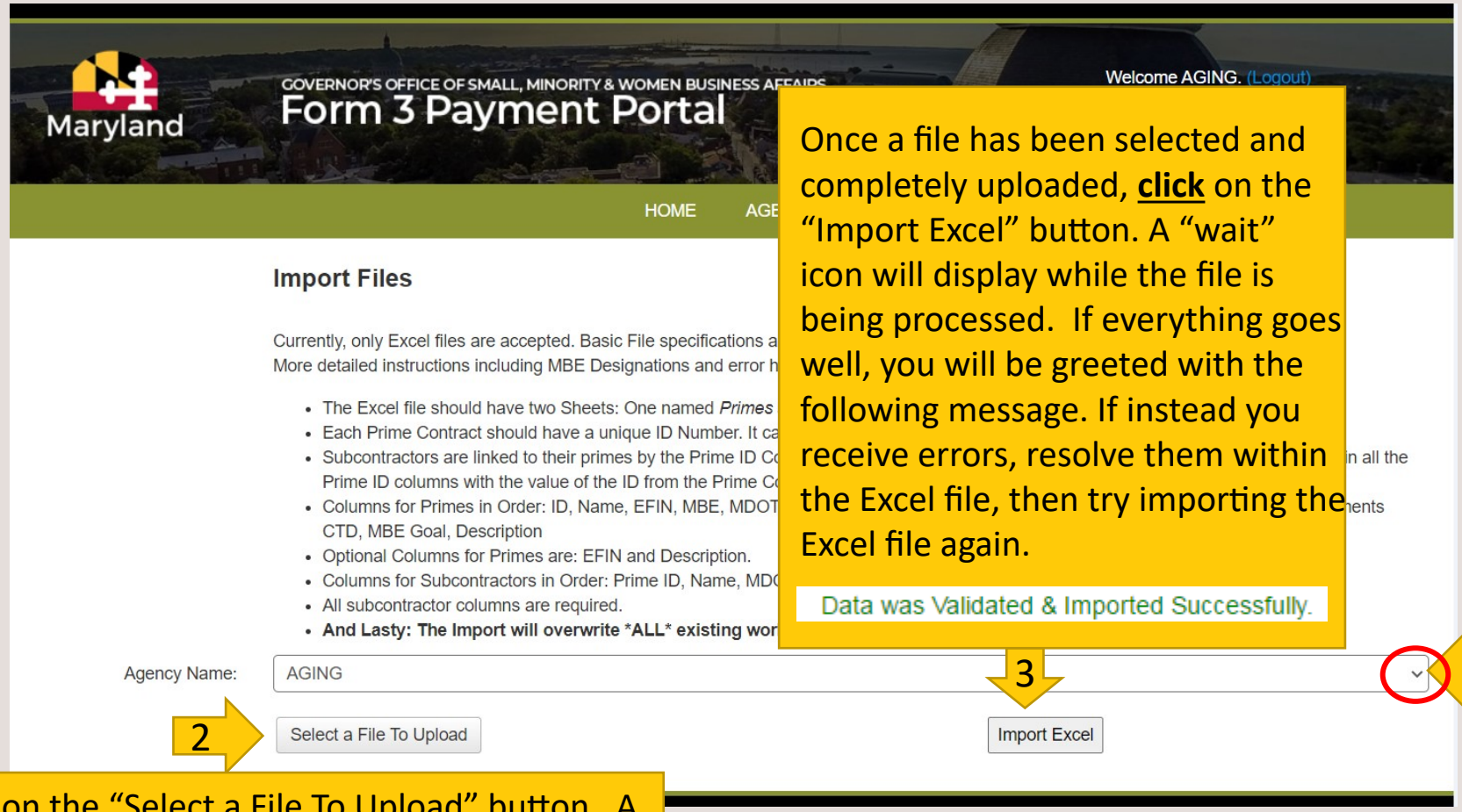
Form 3 Portal – Importing Completed Template (1 of 2)



Step 4: Import completed Form 3 template.

Click IMPORT CONTRACTS

Form 3 Portal – Importing Completed Template (2 of 2)



Step 4: Import completed Form 3 template.

Once a file has been selected and completely uploaded, **click** on the "Import Excel" button. A "wait" icon will display while the file is being processed. If everything goes well, you will be greeted with the following message. If instead you receive errors, resolve them within the Excel file, then try importing the Excel file again.

Select the Agency/Department from the dropdown list (if not already selected).

Click on the "Select a File To Upload" button. A dialog box will pop up for you to select which Excel file you want to upload. Only **one** file can be uploaded at a time.

Governor's Office of Small, Minority & Women Business Affairs

Form 3 Portal – Resolving Import Errors (1 of 3)

- Errors and Resolutions
  - There are common errors that arise when importing the Form 3 Data Template.
  - Each error will attempt to list which Excel sheet the error occurred in, and the Unique Identifier used to identify which row.
  - Also included should be the Column Name (if applicable) to identify the column.
  - Each Error will be listed as a bulleted list item in red text.
  - Don’t worry, if you encounter errors, no data in the system will be overwritten until all the errors are fixed.

Form 3 Portal – Resolving Import Errors (2 of 3)

- Errors and Resolutions (cont.)

Duplicate Primes

- Duplicate Prime Contracts with the same ID Found (Each row in the Primes sheet needs to be unique): TestDuplicatePrime

The above error message results from the Prime contractor sheet having two prime contractors with the same ID string. Each ID string in the *Primes* sheet must be unique. To fix you can rename the ID or completely remove one of the rows (if a duplicate). Don't forget to update any subcontractors that should be associated with the prime as well.

Missing Primes

- Subcontractors that have no matching ID in the Primes sheet were found: TestMissingSub

You will see the above error when a Prime ID string for a subcontractor does not match an ID string on the *Primes* sheet. Each subcontractor must have a matched ID. If not, the subcontractor is orphaned and cannot be attached. To fix this error you will need to either add the missing Prime contract row, update the Prime ID# string to either match one that is on the Prime sheet or remove the Excel row.

Form 3 Portal – Resolving Import Errors (3 of 3)

- Errors and Resolutions (cont.)

Invalid MBE Designation

- For Prime Contract# InvalidMBE, the MBE Designation didn't match an MBE from the list. (Entered Type is: Unlisted Designation)

The above error means that one of the MBE Designations was invalid (Does not match what is in the system). The error will state whether it was a Prime or subcontractor, and the relevant ID string to help you find the mismatched row. Also displayed in the parenthesis is the invalid MBE type that needs to be changed. Then you can change the MBE Designation string to one that matches. For a list of MBE Types, refer to the earlier section on MBE Designations. MDOT MBE Categories should be converted over automatically.

Invalid MDOT Cert#

- For Subcontract# InvalidCert, the MDOT Cert# is invalid. (Cert# is: 92-11)

The above error means that one of the MDOT Certification numbers was invalid. The format should be either a plain zero or blank for Non-Minorities, or be in the format of two digits, a hyphen, followed by three more digits. To fix the error, you need to determine if your Cert # has too many or two few digits, or if the hyphen is located in the wrong place. If the hyphen is in the wrong place, just move it to after the first two digits. If you are missing or have any extra digits, you will need to replace or remove them as needed to match the correct certification number for the contractor.

Form 3 Portal – Import Method (2 of 2)

- Errors and Resolutions (cont.)

  Missing Data

  - For Prime Contract# MissingDataPrime, the Contractor Name is missing. It is a required field.
  - For Prime Contract# MissingDataPrime, the MBE Designation is missing, it is a required field.
  - For Prime Contract# MissingDataPrime, the MDOT Cert# is missing. It is a required field.
  - For Prime Contract# MissingDataPrime, the Contract# is missing, it is a required field.
  - For Prime Contract# MissingDataPrime, the Start date is missing a Date, it is a required field.
  - For Prime Contract# MissingDataPrime, the End date is missing a Date, it is a required field.
  - For Prime Contract# MissingDataPrime, the Award Amount is missing an amount, it is a required field.
  - For Prime Contract# MissingDataPrime, the Payments FY amount is missing an amount, it is a required field.
  - For Prime Contract# MissingDataPrime, the Payments CTD amount is missing an amount, it is a required field.
  - For Prime Contract# MissingDataPrime, the MBE Goal % is missing, it is a required field.

- The above (Or a subset of) will appear whenever a required column has missing data (a blank cell). The error message will hold whether it was a Prime or subcontractor, the relevant ID string, and the column that is missing the data. Just add or fix the corresponding data column. For contracts that may not have some of the data, you can fill in default data. See the section above for default data for missing data (Ex. A P-Card might not have an end date). OR IT MIGHT JUST BE A BLANK LINE THAT IS INCLUDED IN YOUR DATA.

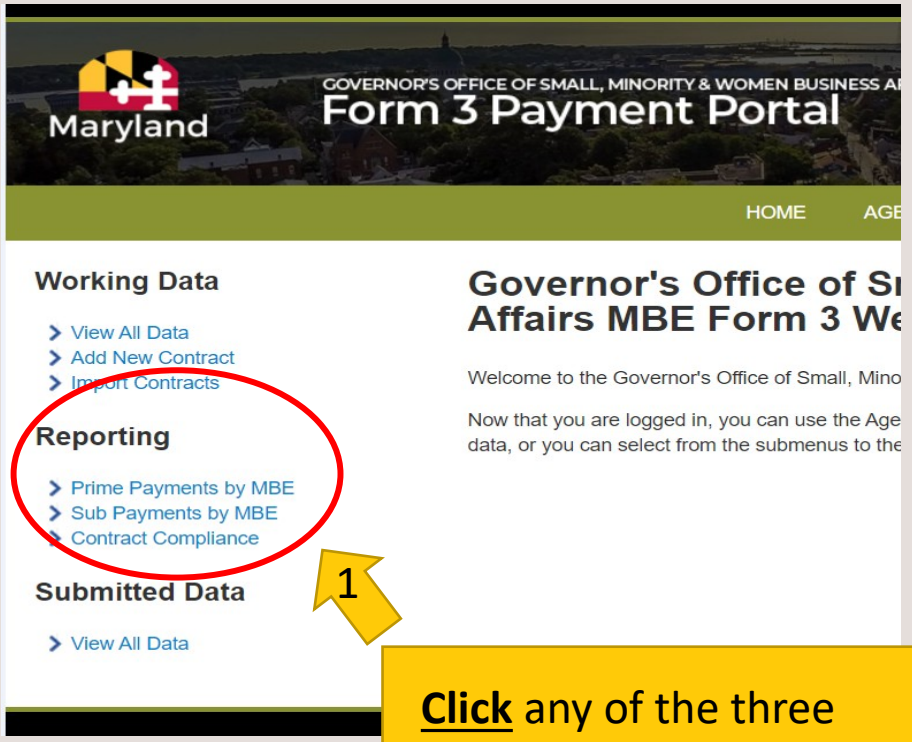
Review and Submission



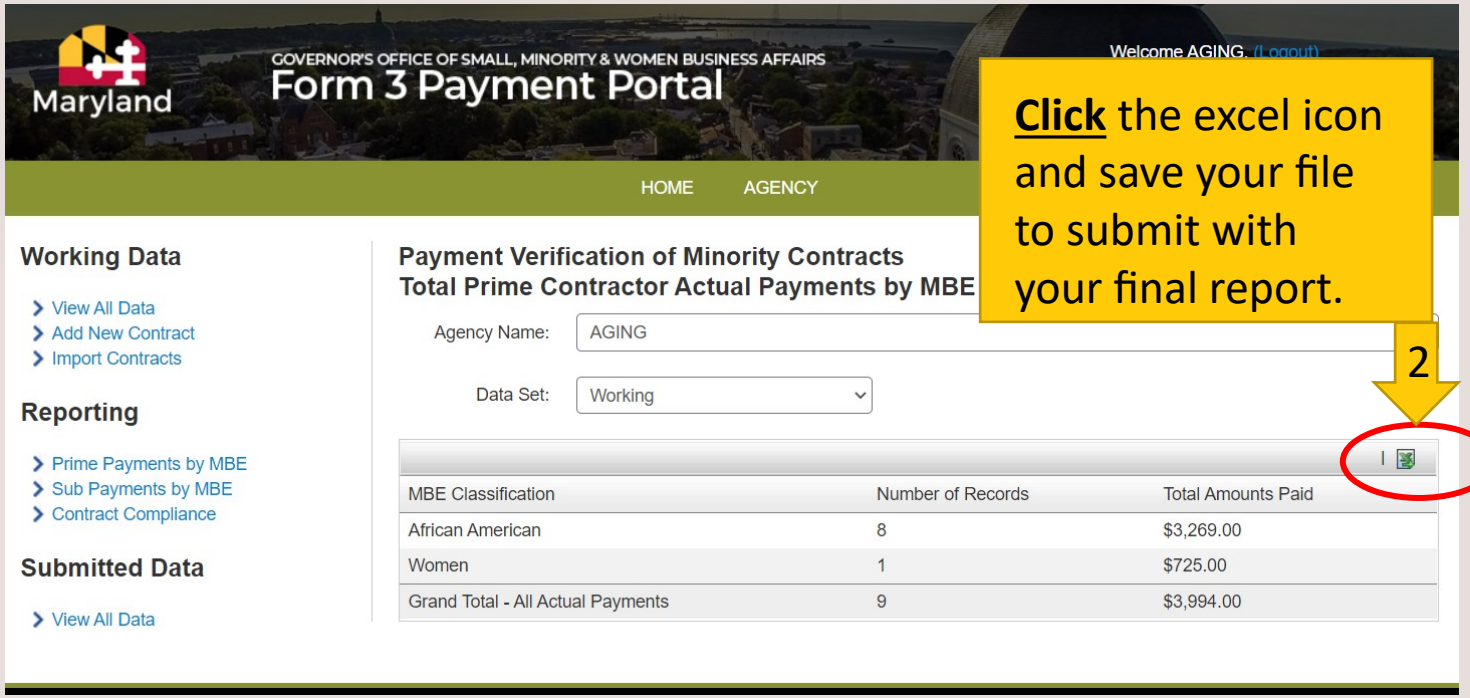
For Internal Training Purposes Only

Form 3 Portal – Reviewing Data

Once the manual entry or data import has been completed, you can review and export the summary data.

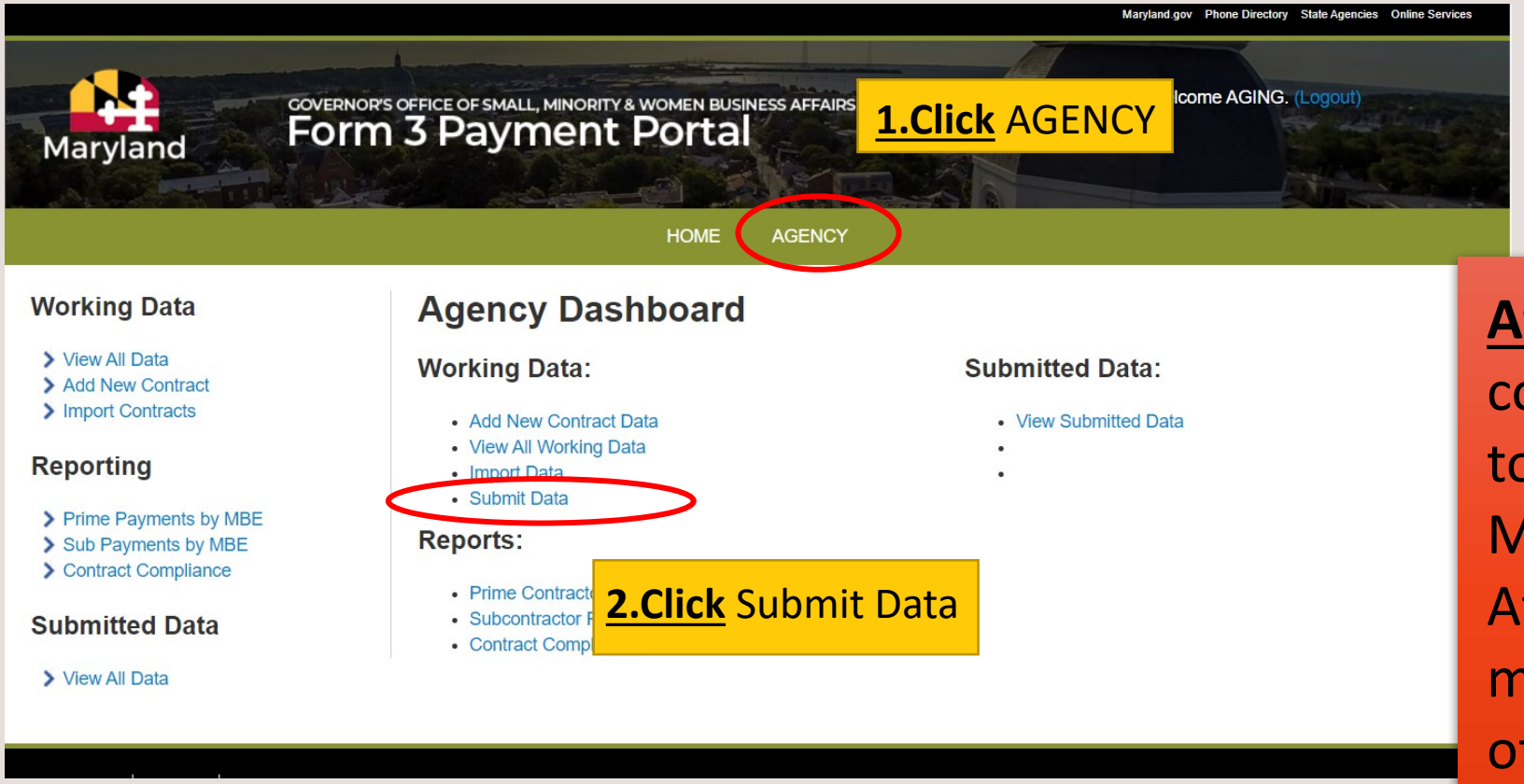


Click any of the three reports under "Reporting" to export the data.



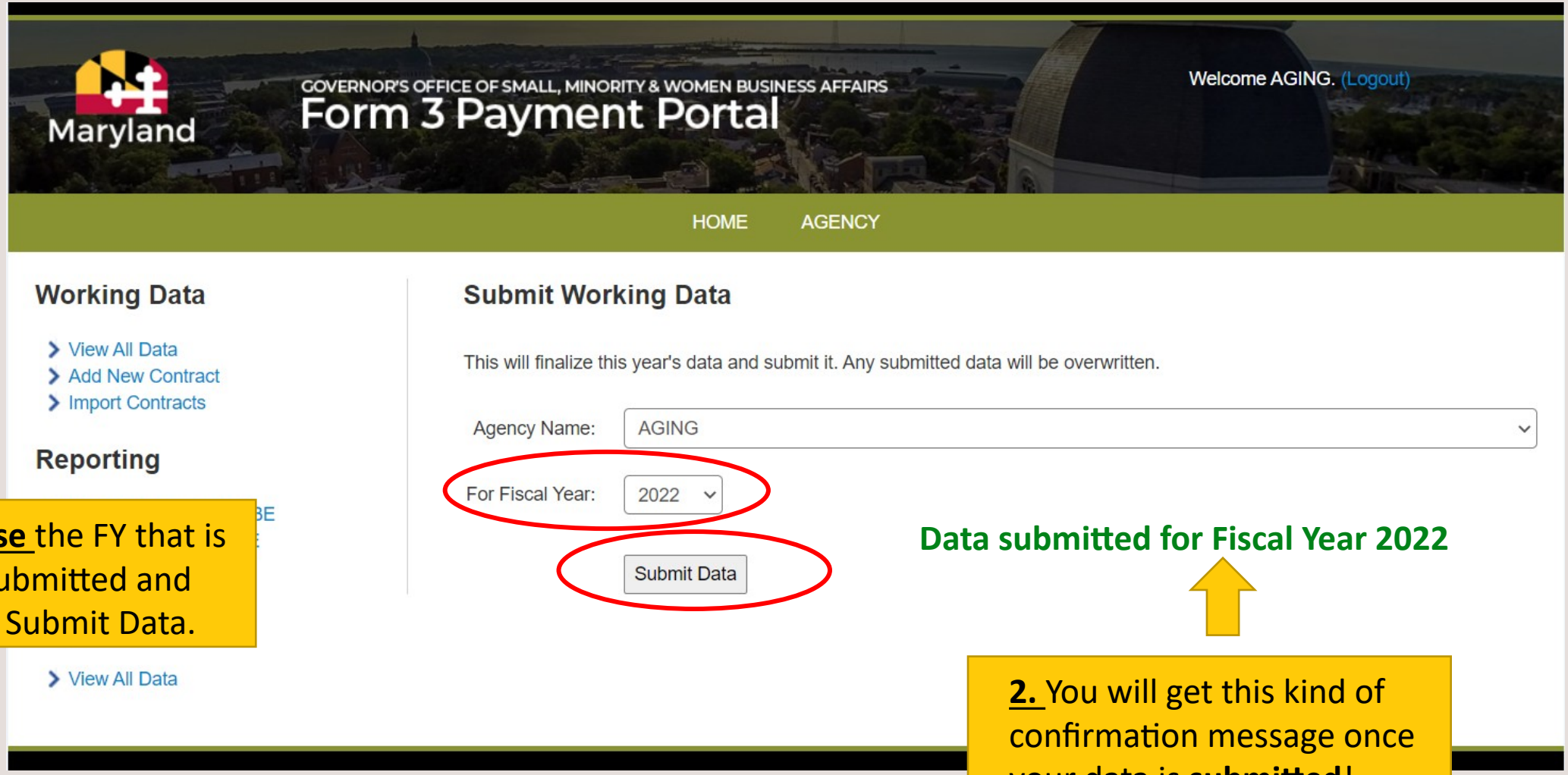
Click the excel icon and save your file to submit with your final report.

Form 3 Portal – Submitting Data (1 of 3)



After review of data has been completed, you can **submit data** to Governor's Office of Small, Minority & Women Business Affairs. Only **one** method, either manual entry of data **OR** import of the template should be used, NOT BOTH.

Form 3 Portal – Submitting Data (2 of 3)



1.Choose the FY that is being submitted and **Click** to Submit Data.

2. You will get this kind of confirmation message once your data is **submitted**!

Form 3 Portal – Submitting Data (3 of 3)

- Submitting the data makes it **final**. If there are issues after data has been submitted, please contact Governor's Office of Small, Minority & Women Business Affairs, 410-697-9605.

Form 3 Best Practices



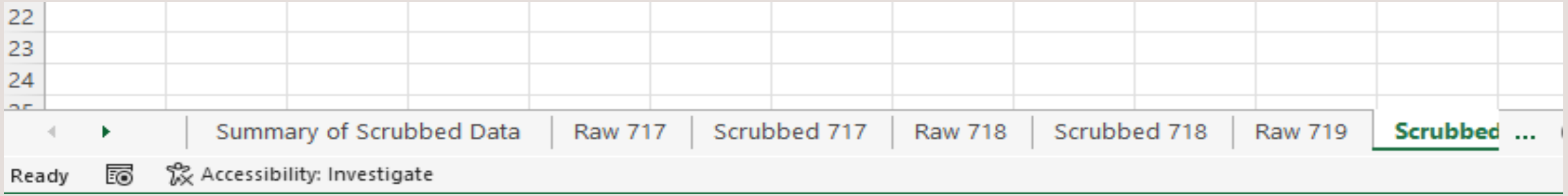
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Preparing backup data (1 of 2)

- Ensuring that you have the proper backup data for your Payment totals.
  - Procurement units should not report any MBE data (prime or subcontract dollars) in their MBE reports that is not adequately supported by auditable contract documentation
- Scrubbing payment reports in an organized/legible manner.
  - What needs to be scrubbed:
    - Negative numbers
    - Any data that does not pertain to the current FY
    - Cross checking with GAD list to ensure excluded items are removed

Preparing backup data (2 of 2)

- Agencies should include a tab that contains solely the final scrubbed data of each report.
  - When possible, agencies should consider including a tab with the “Summary Of Scrubbed Data” based on the final scrubbed data worksheets into one tab.



Best Practices

- DGS Delegated vs. Non-delegated contracts.

DGS Procurements	Form #1 & 2 - Awards	FORM #3 - Payments
DGS Agency/Department Specific	Agency/Department Reports	Agency/Department Reports
DGS Non-delegated	DGS Reports	Agency/Department Reports

Common Errors and Omissions (1 of 3)



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Common Errors and Omissions (2 of 3)

- Using the incorrect template for the FY
- Marking up, highlighting, or changing format of original template
- Including negative numbers in your report
  - Agencies should calculate the actual reportable total instead of reporting the original transaction **and** the chargeback. (ex. If your agency originally spent $50 and received a refund of -$10 you would only report $40.)
- Incorrect designations
  - Make sure to match the designations spelling with the designation list in manual.



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Common Errors and Omissions (3 of 3)

- Not utilizing the default data given within the manual.
  - Ex. One-time payments like Credit Card (CC) or Direct Vouchers (DV), you must use the default data which would be the FY date (ex. FY22 would use 7/1/2021-6/30/2022)
- Not deleting old data when using the Manual data entry method.



If you have any questions, after today's training please contact your designated MBE Compliance Manager.

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GOVERNOR'S OFFICE
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BUSINESS AFFAIRS