

City of Austin

Small & Minority Business Resources (SMBR)

Recertification Review Process

**Presentation to MBE/WBE and Small Business
Advisory Committee
September 2, 2014**



Affidavit and Tax Returns

- Counselor verifies, through review of affidavit(s), that vendor has not made any changes from previous Annual Update.
- If there are changes, Counselor requests appropriate information to document record.
- Business tax returns are viewed to verify gross receipts for company, business industry, and compensation of all owners. All schedules are reviewed.
- Personal tax returns indicate owner's income from business, property, and other assets.



Website Research

- Secretary of State is reviewed to verify current filing status.
- Is firm a legal entity in Texas?
- Franchise tax report is checked to verify if owner reported any changes to Secretary of State.
- Do owners have ownership interest in other companies?
- Counselors verifies through several property search engines if owner(s) own other personal property that was not claimed on their Personal Net Worth Statement (PNW).
- If a license is required for scopes performed by certified firm we can review information online.



Code Reviews

- Counselor reviews firm's National Institute of Government Procurement (NIGP) and North American Industry Classification System (NAICS) codes.
- The NAICS code is reviewed to determine or verify the firm's primary industry for business size, if company is certified as MBE/WBE only.
- DBE certified firms review must include the comparison of NIGP to NAICS codes.
- Counselors reference the NAICS website and SMBR's website for assistance with code descriptions.
- Discuss with vendor any pending codes on vendor's profile in Vendor Connection. Update or request additional information.



Site Audits

- Conducted on all recertifications within the City of Austin's jurisdiction, which include the counties of Bastrop, Caldwell, Hays, Travis, & Williamson.
- Counselors are responsible to bring copy of vendor's codes to site audit and discuss with vendor.
- Used to reaffirm applicant/firm continue to meet eligibility requirements.
- Verify equipment and resources necessary to perform scopes identified by applicant firm.



Process Improvements

- SMBR has approached Vendor Registration staff on the feasibility of sending the firm's NIGP/NAICS codes with the automated Annual/Recertification notices.
- Include in all of SMBR's certification workshops information on NIGP and NAICS; where to register, how SMBR reviews codes, and specifically which commodity codes are associated with certification types (ex: NAICS and TUCP).
- SMBR will offer training to the Service Providers and others on the NIGP/NAICS correlation.
- Speaking with Counselors to ensure they are having discussions with owners concerning codes during the review process.

