
Third Party Agreements Compliance Review Process

**MBE/WBE Advisory Committee Presentation
Tuesday, October 7, 2014**



Third Party Agreements Compliance Overview

Compliance Components:

- SMBR reviews and approve M/WBE language and standards for each Agreement
- Meet with Developer prior to and after the execution of the Agreement to review Third Party Guide Book
- Provide Availability List
- Review and approve 3rd Party Monthly Progress Assessment Reports
- Attends Project Meetings
- Assist with Outreach Meetings
- Conducts Yearly Compliance Audits with Independent Party Auditor



Third Party Agreements Compliance Review

Compliance Reviews consists of the following:

- Determination of changes in contract amount and total amount expended from previous submission
- Review of Project Summary Statement
- Review of Good Faith Effort Documentation
- Review of Progress Assessment Report (Subk) for Design & Construction
- Review of current MBE/WBE participation and goal attainment
- Request clarifications and if applicable resubmission of the report
- Reporting data on the Third Party Project Monthly Report



Third Party Agreements New Compliance Elements

Compliance Components:

- Added procurement questions to applications for Third Party Projects
- Review AMANDA for permits
- Conduct yearly independent Compliance Audits
- Added specialized TV/Film/Event Progress Report Provide Availability List
- Review and approve 3rd Party Monthly Progress Assessment Reports
- Added signatures requirement to PAR reporting form



Third Party Agreements Supplier Diversity/Commodities & Supplies Compliance Review

Compliance review consists of the following:

- COA request for building permits or site plan applications to assure;
 - Purchases associated with building were not procured
 - On new buildings, establishes occupancy and a reference date for reviewing possible purchases
- Review of expenditure reports & Progress Assessment Report for accuracy and certification status
- Review of solicitation documents requested from availability list provided to perform GFE audit
- Inspection of invoices to document payment accuracy of the City Manager's spending authority
- Review of list of businesses with contracts for expenditures reported
- Review contracts with suppliers to document payment accuracy of the City Manager's spending authority
- Review of existing list of national suppliers or items under existing contracts to provide a basis for exemption to the City Manager's spending authority



Third Party Agreements Annual Compliance Review

As of June 2014, the Small & Minority Business Resource Department partnered with the Economic Development Department and an independent reviewer to participate in an annual compliance review with the developer.

- This partnership provides an opportunity for SMBR to review confidential documentation in order to determine developer's annual compliance in design, construction and/or supplies as outlined in the agreement.

