City of Phoenix
EQUAL OPPORTUNITY DEPARTMENT

SBE Certification

- Business is principally located in Maricopa County

- Firm has been operational for at least six months or has completed four business contracts

- Owner(s) has a personal net worth less than $1.32 million (not including owner's primary residence and business equity)

- Owner(s) controls the day-to-day critical operations of the firm

- Owner(s) is a citizen or permanent legal resident of the United States.

DBE Certification: Arizona Unified Certification Program (AZUCP)

- The Arizona Unified Certification Program (UCP) has been established to allow multiple agencies to utilize the same certification process statewide for Disadvantaged Business Enterprises (DBEs). The UCP simplifies the DBE application process between multiple agencies and provides reciprocity for DBEs between the City of Tucson, City of Phoenix, and the Arizona Department of Transportation (ADOT).

- These three entities are members of the Arizona Unified Certification Program. A DBE database has been developed that encompasses all DBE firms that have been certified by these entities.

To participate in the Arizona Unified Certification Program, a business must be certified or must obtain certification as a disadvantaged business through the City of Tucson, City of Phoenix, or ADOT.

The City of Phoenix has established a Disadvantaged Business Enterprise (DBE) program in accordance with the regulations of the U.S. Department of Transportation (USDOT), **49 CFR Part 26 (link is external)**. As a condition of receipt of funding, City of Phoenix has signed an assurance that it will comply with 49 CFR Part 26.

ACDBE Certification

What is ACDBE?

ACDBE stands for "Airport Concessions Disadvantaged Business Enterprise. The **ACDBE** Program is a companion program to the more familiar DBE program but targets the concession side.   The Department of Transportation (DOT) programs are designed to level the playing field for small businesses who wish to participate in contracting opportunities at airports.

Federal Disadvantaged Business Enterprise (DBE) and Airport Concessions Disadvantaged Business Enterprise (ACDBE) program requirements:

- Organized as a for-profit small business whose annual gross revenues or number of employees do not exceed the limits applicable to the type of business as determined by the US Small Business Administration Table of Small Business Size Standards.
  A minimum of 51% of the business must be owned by one or more individuals who are both socially and economically disadvantaged or, in the case of a corporation, in which 51% of the stock is owned by one or more such individuals.
- Individuals who are African American, Hispanic American, Asian Pacific-American, Native American, or women are presumed to be socially and economically disadvantaged if their personal net worth does not exceed the net worth limit.
- Individuals whose socially and economically disadvantaged status is relied upon for DBE certification must show that their individual net worth does not exceed $1.32 million. For purposes of establishing net worth, the following items are excluded:

  The equity in the individual's primary residence.
  The equity in the business which is applying for the DBE status.

- Management and daily business operations are controlled by one or more of the socially and economically disadvantaged individuals who own it.

Mandatory & Required Documents

- Mandatory documents must be submitted with your application; there are no exceptions.
- Required documents must be submitted if applicable to the type of your firm and nature of its work.
- If you have any questions, please contact the Business Relations Division/Certification at (602) 262-6790.

Mandatory Documents

All mandatory documents must be provided with the DBE/ACDBE/SBE Application. Failure to submit a mandatory document will result in a delay in processing and/or could result in denial.

Affidavit of Certification

Download Form -- Required for each owner; must be signed and notarized - Including SBE Applicants

Personal Federal tax returns for the past 3 years for each owner

Please include all schedules, statements, attachments, W2's, 1099 etc. Copies must be signed or e-File authorizations provided.

Proof of citizenship or legal residency

Required for each owner; please provide a copy of your Birth Certificate, U.S.Passport or U.S. Passport Card, Permanent Resident Card or Alien Registration Receipt Card (Form I-551), immigration card

Federal tax returns filed by the firm and its affiliates with related schedules, for the past 3 years

Include requests for extensions

Five consecutive cleared business checks

Copies of three completed, in progress contracts, proposals, or bids for each trade area in which you are seeking certification

If your company has not yet completed any contracts, please submit any invoices or a capability statement describing the scope of work you provide.

Bank authorization and signatory cards

Your bank provided this to you when you set up your business account

Documented proof of any transfers of assets to/from your firm and/or to/from any of its owners over the past two years

Documented proof of contributions used to acquire ownership for each owner

e.g. both sides of cancelled checks

Picture ID of all owners

Schedule of salaries (or other remuneration) paid to all officers, managers, owners, and/or directors of the firm

Signed loan and security agreements, and bonding forms

Descriptions of all real estate owned/leased by firm and documented proof of ownership/signed leases
    Include office/storage space, etc.

Licenses, license renewal forms, permits, and haul authority forms

List of all employees, job titles, and dates of employment

List of vehicles and equipment
    If equipment is required to perform primary activities of the firm (For example, office supplies/equipment including any specialized software)

Resumes for all owners, officers of firm and key personnel of the applicant firm
    Include places of ownership/employment with corresponding dates.

Title(s), registration certificate(s), and U.S. DOT numbers for each truck owned or operated by your firm

Both sides of all corporate stock certificates and your firm's stock transfer ledger

Corporate bank resolution and bank signature cards

Corporate by-laws and any amendments

Minutes of all stockholders and board of directors meetings

Official Articles of Incorporation
    Signed by the state official

Shareholders' Agreement(s)

Insurance agreements for each vehicle owned or operated by your firm

Required Documents

Required documents must be provided when applicable to your firm. Failure to submit a required document without an explanation as to why any such attachment was not provided will result in a delay in processing and/or could result in denial.

Notarized statement from an accountant or other independent financial professional as to their estimate of the value of any ownership interest in additional businesses owned by the applicant or the applicant's spouse

    Required for each owner

Audited financial statement

    If available

DBE/ACDBE and SBA 8(a), SDB, MBE/WBE certifications, denials, and/or decertifications

    Include any U.S. DOT appeal decisions on these actions.

Proof of warehouse/storage facility ownership or lease arrangements

Trust agreements held by any owner claiming disadvantaged status

Year-end balance sheets and income statements for the past 3 years

    Or life of firm, if less than 3 years.

Personal Federal Tax returns for the past 3 years, if applicable, for other disadvantaged owners of the firm

    Please include all schedules, statements, attachments, W2's, 1099 etc. Copies must be signed or e-File authorizations provided.

SUPPLIERS - List of distribution equipment owned and/or leased

SUPPLIERS - List of product lines carried

Additional supporting documentation not listed above

How to Apply for Certification - Quick Guide

To apply for certification with City of Phoenix:

1. Go to the City of Phoenix Diversity Management System at
   http://phoenix.diversitycompliance.com
2. Click "Apply for Certification"

Login/Find Account

3. Either Login or Create Account
   - ➢ Many organizations use the same software system ("Powered by B2Gnow"), so you may already have a user account! Please login, and do not create a new user account.
        - ➢ Click "Login" & enter Username & Password (Username = Email Address)
        - ➢ Forgotten Username or Password? Click "Forgot Username/Account Password" or "Forgot Password"

System Access Login

Username

email@emailaddress.com

FORGOT USERNAME / ACCOUNT LOOKUP

Password

....

FORGOT PASSWORD

☐ Remember Username

Login

➢ To verify if you already have an account & gain access:
- ➢ Click "Lookup Account"
- ➢ Search for yourself by Contact Person name to see if you have a user account, or search for your business by Tax ID Number or Business Name
- ➢ Click your name if you see it in the list of search results.
- ➢ Click "Reset Password" to send yourself a Password Reset email
  OR
- ➢ Click "Request Contact Information Change" if needed

LUCY BUSBY

EMAIL	LUCY@ B2GNOWUSER.COM
PHONE	602-325-9277 Ext. 150
FAX	602-325-9277
LOCATION	AUSTIN, TX

Reset Password   Request Contact Information Change

- ➢ See your firm but not your name? Click "Request New User For This Entity". Customer Support will ask you some security questions, by email, and create a user account for you.

Create Account

➢ No search results for you or your firm? Create an account:
- ➢ Close the search results window (if open)
- ➢ Click "Apply for/ Renew Certification"
- ➢ Click "Create Account"
- ➢ Enter Tax ID number & Click "Lookup". If no result, move on. If a result generates and an account already exists, please refer to the previous "Login/Find Account steps or click "Customer Service" for assistance.
- ➢ Fill out all required (*) fields and click "Next"

Section 1: Business Lookup

TAX ID NUMBER *

Enter your firm's Tax ID Number and click **Lookup** to check if an account already exists.

| 333333333 | Lookup |

9 digit Federal Tax ID; firms are strongly encouged not to use SSN as the tax ID. Tax ID Numbers can be easily be obtained from the IRS at no charge.

Section 2: Business Information

BUSINESS NAME *   My Business Name

DBA NAME

COMPANY TYPE *   Corporation ⌄

COMPANY ETHNICITY   None selected ⌄

COMPANY GENDER   None selected ⌄

Navigate to the Appropriate Certification Application

4. Select the options that apply to lead you to the correct application
   ➢ You will automatically be routed to the "Certification Application" page
   ➢ Read the important information at the top
   ➢ Under "Select an Option", click the blue link statements that best apply to your firm's situation. Each selection will trigger new option links below. Proceed by clicking the best fitting option, to lead you to the correct application.
      ➢If your firm is located in Maricopa County Arizona, and you are not currently certified with City of Phoenix, please select:
         1. Your firm is not currently certified by the City of Phoenix.
         2. Your firm is located in Arizona.
         3. Your firm is located in Maricopa County.
         4. Submit a new SBE/DBE/ACDBE application.

      **If your firm is located outside of Maricopa County, AZ, select the appropriate alternate options for instructions on what organization to apply through.

Select an Option

Your firm is currently certified by the City of Phoenix.

Your firm is not currently certified by the City of Phoenix.

Your firm is located in Arizona.

Your firm is located in Maricopa County.

⊘ Submit a **new SBE/DBE/ACDBE** application.

Your firm is located in Pima County.

⊘ All firms located in Pima County must submit their application to the City of Tucson.

Your firm is located OUTSIDE of Maricopa and Pima Counties.

⊘ All firms located OUTSIDE Maricopa and Pima Counties must submit their application to the Arizona Department of Transportation.

Your firm is located in another state.

Your firm is certified by a qualifying agency in your home state.

Your firm is an airport concessionaire seeking ACDBE certification.

⊘ Submit an **Interstate Application** application.

Your firm is seeking DBE certification.

⊘ All firms located in another state must submit their application to the Arizona Department of Transportation.

Your firm is **not** currently certified with a qualifying agency.

Company & Contact Information

5. Confirm your Business Name, Email Address, Company Email, Company Type and select an Autofill option
    ➢ **Business Name: You must log into the user account that is tied to the firm that is applying for certification.
    ➢ **Autofill: If you have applied for certification with City of Phoenix before, you may have additional radio button options to fill the new application with that previous application's answers. If not, you will have the option to autofill a small amount of information from your Vendor Profile, as shown below.

Company & Contact Information

Select a company type and application auto-fill option. Confirm or enter your personal and company email addresses to permit us to contact you quickly for technical support, if needed.

BUSINESS NAME * ⭕ This application is for **Sub Flooring**
⭕ This application is for a different firm

YOUR EMAIL ADDRESS * `myemail@email.com`

COMPANY EMAIL * `Company@email.com`

COMPANY TYPE * `Corporation` ▼

AUTOFILL * ⦿ Use existing account information to auto-fill application

You can save time by using a previous application to fill in the answers; note that you will need to access each section of the application to review and lock-in the auto-filled information to ensure it is accurate and correctly formatted. Applications indicated by "x" can be copied only by the user listed. Select an option below:

Prior applications with other agencies - Relevant previous application data will be copied to the new record (not all fields may be transferred).

XUse Hawaii Department of Transportation New DBE/ACDBE Application
   Submitted 6/4/2020 by Rachel Support; Status: Processing Complete
   This application can be used only by Rachel Support

XUse Supplier Clearinghouse Standard Verification Application
   Submitted 5/15/2020 by Rachel Support; Status: Processing Complete
   This application can be used only by Rachel Support

Eligibility Questions

6. Answer the pre-screening eligibility questions
   ➢ The image below shows the list of questions that are asked before you start your application to ensure that you qualify before filling out the actual certification application. Select the options that apply to you and your firm.

Eligibility Requirements

The following basic criterion is used to evaluate eligibility for certification. However, meeting these basic items does not guarantee that an application will be approved. This is only intended as a general overview to see if your firm should apply for certification.

Under Sec. 26.107 of 49 CFR Part 26, dated February 2, 1999, if at any time, the City or a recipient has reason to believe that any person or firm has willfully and knowingly provided incorrect information or made false statements, the City may initiate suspension or debarment proceedings against the person or firm under 49 CFR Part 29, take enforcement action under 49 CFR Part 31, Program Fraud and Civil Remedies, and/or refer the matter to the Department of Justice for criminal prosecution under 18 U.S.C. 1001, which prohibits false statements in Federal programs.

Is your firm at least 51%-owned by a socially and economically disadvantaged individual(s) who also controls it? SBE firms, select Not Applicable.

○ Yes ○ No ○ Not Applicable

Is the disadvantaged owner a U.S. citizen or lawfully admitted permanent resident of the U.S.?

○ Yes ○ No

Is your firm a small business that meets the Small Business Administration's (SBA's) size standard and does not exceed $26.29 million in gross annual receipts for firms applying for SBE/DBE certification. Airport Concession DBE size standard is $56.42 million ($75.2 million for car rental ACDBEs).

○ Yes ○ No

Is your firm organized as a for-profit business?

○ Yes ○ No

Does the personal net worth (PNW) of any socially and/or economically disadvantaged owner exceed $1.32 million with regulatory exclusions?

○ Yes ○ No

Document List Preview Page

7. You will be routed to the Document List Preview Page that shows the list of supporting documents that are required to determine your eligibility.
   - ➤ **This list will be accessible again when you move on from this page, in the "Document List" section of the application.
   - ➤ You may click the blue "your file" or "PDF file" links if you wish to print or save this list.
   - ➤ Check the check box in the red Alert box in the page center
   - ➤ Click Continue to move on to the Online Certification Application

This document list will continue to be available after you start the application (click the **Documents** tab). You can also print the list **to your printer** or **PDF file**.

Check this box and click **Continue** to start the application process.

ALERT: to ensure security of your DBE/ACDBE/SBE Application, only **YOU** will have access to this record once it is created. By starting the process, it will initially be assigned to you, and no one else can access unless you reassign it to another user for completion or explicitly grant access by clicking the Utilities tab and adding a user to the Access List.

Timeline: you will have **90 days** to complete and submit this DBE/ACDBE/SBE Application. Otherwise, the record will self-delete on **6/9/2021**. Periodic reminders will be sent to you by email up to that point. A deleted DBE/ACDBE/SBE Application cannot be recovered; you will need to start again.

Continue   Return

Fill In and Submit Online Certification Application

8. Fill in, sign and submit the Online Certification Application.
    ➢ ** When you reach the page titled, "Certification Application: Main Summary", the system will now save the application in "Incomplete" status, till it is completed and submitted.
    ➢ Click the "Fill In" button for each section, and fill in the information.
    ➢ **Take care to read the fine print on each page and in each question, as it will guide you on what to fill in and how to format the answers in order for the question to show as completed.

Expansion Application - Update Business Description or Commodity Codes

➢ If you need to request an update to your firm's business description or commodity codes on your certification record, log in and follow these steps to access and submit the online Expansion Application:
    ➢ 1. Click "Apply/Update Certification" in the "Key Actions" box, in the top right of your Dashboard or Home screen

➢ 2. Select the following options under "Select an Option":
- ➢ Your firm is currently certified by the City of Phoenix.
- ➢ You would like to report a change or update your certification record.
- ➢ Request to update your firm's business description and/or commodity codes on your certification record.
- ➢ Submit an **Expansion Application**.

Select an Option

Your firm is currently certified by the City of Phoenix.

You would like to submit an annual update.

You would like to report a change or update your certification record.

Update ONLY business name, DBA name, address, phone, fax, and/or email.

Report changes to business size, disadvantaged status, ownership, control, or other material changes affecting eligibility.

Request to update your firm's business description and/or commodity codes on your certification record.

Submit an **Expansion Application.**

Your firm is not currently certified by the City of Phoenix.