

## **Arizona Unified Certification Program**

### **Application for Certification as a Disadvantaged Business Enterprise (DBE) and/or the City of Phoenix Small Business Program (SBE)**

The Arizona Department of Transportation (ADOT), the City of Phoenix, and the City of Tucson give eligible companies the opportunity to qualify and participate in contracts as a certified Disadvantaged Business Enterprise. To be in the program, a company must meet all qualifying standards and be at least 51 percent owned, operated, and controlled by the qualifying person or persons. These three agencies are members of the Arizona Unified Certification Program (AZUCP) and they provide certification reciprocity for eligible companies. Bidders who are meeting goals on FAA, FHWA, and FTA contracts being issued by other in-state entities can only use the DBE's certified by the AZUCP to receive credit towards established goals.

- Attached are:
- 1) Explanation of Certification Programs
  - 2) Application Supporting Documents Checklist
  - 3) Instructions for Completing the Certification Application
  - 4) Application for Certification with Affidavit
  - 5) Guidelines Concerning Marital Assets
  - 6) Instructions for Completing the Personal Financial Statement
  - 7) Personal Financial Statement with Affidavit
  - 8) Affirmative Action Forms

All questions in the application must be answered and the requested documents submitted with the application. Questions that do not apply to your company should be marked with "N/A" in the space provided.

Please return the completed application package to **one** of the following agencies listed below:

#### **City of Phoenix**

Equal Opportunity Department  
251 W Washington 7<sup>th</sup> Fl  
Phoenix, AZ 85003-2245  
(602) 262-6790  
Fax: (602) 534-1785  
TTY: (602) 534-1557

If you are also applying for SBE with the City of Phoenix; please send the application to the City of Phoenix address only.

#### **City of Tucson**

Equal Opportunity Office  
100 N Stone Ste 610  
PO Box 27210  
Tucson, AZ 85726-7210  
(520) 791-4593  
Fax: (520) 791-5140

#### **Arizona Department of Transportation**

Civil Rights Office  
1135 N 22<sup>nd</sup> Ave 2<sup>nd</sup> Fl  
Phoenix, AZ 85009  
(602) 712-7761  
Fax: (602) 712-8429

## Explanation of Certification Programs

**SBE Program** – A local City of Phoenix program for small businesses with a primary/principal location in Maricopa County and where 100 percent of the owner(s) have individual personal net worth of less than \$750,000; excluding the equity interest in their primary residence and ownership interest in the applicant firm. ***This program is specific to City of Phoenix procurement and construction contracting opportunities.***

**DBE Program** – A federal program for small businesses (regardless of location) that are at least 51 percent owned by qualifying minorities or women, who actively participate in their businesses by controlling the day-to-day operations of the firm. The owner(s) must have a personal net worth of less than \$750,000, excluding the equity interest in their primary residence and their ownership interest in the applicant firm. ***This program is applicable to all USDOT funded business opportunities with the City of Phoenix, Arizona Department of Transportation, and the City of Tucson.***

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Please place an “X” next to the certification program(s) for which you are applying.

\_\_\_\_\_ **SBE:** Small Business Enterprise Certification. This certification is a race and gender neutral program. All small business owners may apply for this program.

\_\_\_\_\_ **DBE:** Disadvantaged Business Enterprise Certification. This includes ethnic minorities and women and is specific to federally funded opportunities through the City.

**Would you like to receive e-mail notifications about business opportunities? Yes \_\_\_\_\_ No \_\_\_\_\_**

If yes, please provide your e-mail address \_\_\_\_\_

How did you hear about us? \_\_\_\_\_

What opportunities will certification assist you to pursue? \_\_\_\_\_

What agency requires and/or recognizes our certification? \_\_\_\_\_



## City of Phoenix

EQUAL OPPORTUNITY DEPARTMENT

# IMPORTANT

## **SUPPORTING DOCUMENTS CHECKLIST**

### **FOR CERTIFICATION APPLICATION**

**In order to complete your application certification, you must attach copies of all of the following documents as they apply to you and your firm.**

#### All Applicants

- Completed application with notarized affidavit of certification
- DBE and SBA 8(a) or SDB certifications, denials, and/or decertifications, if applicable
- Signed Personal Financial Statement (form available with this application) with notarized affidavit of personal financial statement
- Work experience resumes (that include places of ownership or titles/roles & responsibilities/employment with corresponding dates), for all owners and officers of your firm
- Picture ID of all owners
- Proof of citizenship or legal residency (birth certificate, passport, or immigration card).
- Personal federal tax returns for the past three years, if applicable, for each owner (including all schedules and attachments)
- Documented proof of contributions used to acquire ownership for each owner (*e.g. both sides of cancelled checks*)
- Documented proof of any transfers of assets to/from your firm and/or to/from any of its owners over the past two years
- Your firm's tax returns (gross receipts) and all schedules for the past three years
- A new business must provide a current balance sheet indicating gross receipts if no taxes filed
- Copies of the last 3 years of business tax returns of all additional businesses in which the applicant or applicant's spouse has an ownership interest. If you are seeking SBE certification, all owners must submit the above referenced information if applicable.
- A 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. If applying for SBE certification, this information must be provided by all owners who have ownership interest in additional businesses. This includes a spouse who has not renounced ownership interest and the applicant business is subject to community property laws.
- Schedule of salaries (or other compensation or remuneration) paid to all officers, managers, owners, and/or directors of the firm
- All relevant licenses, license renewal forms, permits, and haul authority forms
- Descriptions of all real estate (including office/storage space, etc.) owned/leased by your firm and documented proof of ownership/signed leases
- List of equipment leased and signed lease agreements
- List of construction equipment and/or vehicles owned and titles/proof of ownership
- Copies of 3 completed, in progress contracts, proposals, or bids for each trade area in which you are seeking certification

**Continue on next page**

- Bank authorization and signatory cards
- Five consecutive cleared business checks
- Your firm's signed loan agreements, security agreements, and bonding forms
- Trust agreements held by any owner, if any

**Partnership or Joint Venture**

- Original and any amended Partnership or Joint Venture Agreements

**Corporation or LLC**

- Official Articles of Incorporation (*signed by the state official*)
- Both sides of all corporate stock certificates and your firm's stock transfer ledger (if certificates issued)
- Shareholders' Agreement
- Minutes of all stockholders and board of directors meetings
- Corporate by-laws and any amendments
- Corporate bank resolution and bank signature cards
- Official Certificate of Formation and Operating Agreement with any amendments (for LLCs)

**Trucking Company**

- Documented proof of ownership of the company
- Insurance agreements for each truck owned or operated by your firm
- Title(s) and registration certificate(s) for each truck owned or operated by your firm
- List of U.S. DOT numbers for each truck owned or operated by your firm

**Regular Dealer**

- Proof of warehouse ownership or lease
- List of product lines carried
- List of distribution equipment owned and/or leased

**NOTE: The specific state UCP to which you are applying may have additional required documents that you must also supply with your application. Contact the appropriate certifying agency to which you are applying to find out if more is required.**







































