



CLEVELAND
AIRPORT SYSTEM

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**OFFICE OF COMPLIANCE AND INCLUSION
(OCI)**

**DISADVANTAGED BUSINESS ENTERPRISE
(DBE)**

**AIRPORT CONCESSIONS DISADVANTAGED BUSINESS
ENTERPRISE
(ACDBE)**

GUIDELINES

ATTACHMENT A

REQUIREMENTS CONCERNING EEO & AFFIRMATIVE ACTION

Cleveland Hopkins International Airport's Office of Compliance and Inclusion (OCI) is eager to assist you in fully completing the requirements of this Notice and the Airport's Equal Employment Opportunity Program. If you have any questions, please call the OCI at 216-265-6000. Please read carefully all of the information attached.

Proposers/Bidders are cautioned, however, that oral representations may not be relied upon. Such representations must be confirmed by specific writing issued by the Director of Port Control as an addendum or as a clarification of this solicitation document.

The Affirmative Action Plan for equal employment opportunity is the Cleveland Hopkins International Airport's (Airport) written commitment to undertake specifically planned action to ensure equality of opportunity in employment practices by firms contracting for goods and services with Airport.

As required by the Instruction, the following information must be submitted with your bid/proposal:

I. Form EEO-1 - Enclosure A-1

Equal Employment Data Forms showing the current utilization of minorities and women by job category within your organization.

II. Non-discrimination - Enclosure A-2

Affidavit assuring non-discrimination in employment practices.

III. Employment Practices - Enclosure A-3

All Proposers/Bidders and their first tier subcontractors or sub consultants proposing a contract hereunder in an amount of \$10,000 or more must complete Enclosure A-3. If the Proposer/Bidder/Qualifier or any of its first tier subcontractors or sub consultants employ more than 50 persons and will be entering into a contract hereunder in an amount of \$50,000 or more, then an Affirmative Action Plan for employment of minorities and women must be submitted when called for by Airport.

**IV. Requirements Concerning the Submission of an Affirmative Action Plan
Enclosure A-4**

If requested, provide an Affirmative Action Plan(s) in accordance with the guidelines set forth on Enclosure A-4.

V. Requirements on Prime and Sub-Contractors – Enclosure A-5

All Contractors and their subcontractors bidding on a contract must complete Enclosure A-5.

Joint Reporting
Committee

- Equal Employment Opportunity Commission
- Office of Federal Contract Compliance Programs (Labor)

ENCLOSURE A-1
EQUAL EMPLOYMENT OPPORTUNITY
EMPLOYER INFORMATION REPORT EEO - 1
FOR
THE CLEVELAND HOPKINS INTERNATIONAL
AIRPORT

Section A--TYPE OF REPORT
Refer to instructions for number and types of reports to be filed.

1. Indicate by marking in the appropriate box the type of reporting unit for which this copy of the form is submitted (MARK ONLY ONE BOX)
- | | |
|---|--|
| <p>1. <input type="checkbox"/> Single Establishment Employer Report</p> | <p>Multi-establishment Employer</p> <p>2. <input type="checkbox"/> Consolidated Report (Required)</p> <p>3. <input type="checkbox"/> Headquarters Unit Report (Required)</p> <p>4. <input type="checkbox"/> Individual Establishment Report (submit one for each establishment with 50 or more employees).</p> <p>5. <input type="checkbox"/> Special Report</p> |
|---|--|
2. Total number of reports being filed by this Company (Answer on Consolidated Report only).

| | | | | | | | | | | | | | | | |
|--|--|--------|--|-------|--|-----------------------------|--|--------------------------------|--|-------|--|-----------------|--|----|--|
| Section B--COMPANY IDENTIFICATION (To be answered by all employers) | | | | | | | | OFFICE USE ONLY | | | | | | | |
| 1. Parent Company | | | | | | | | | | | | | | | |
| a. Name of parent company (owns or controls establishment in item 2) omit if same as label | | | | | | | | | | a. | | | | | |
| Name of Receiving Office | | | | | | Address (Number and Street) | | | | | | b. | | | |
| City or Town | | County | | State | | Zip Code | | b. Employee Identification No. | | | | | | | |
| 2. Establishment for which this report is filed (Omit if same as label) | | | | | | | | | | | | OFFICE USE ONLY | | | |
| a. Name of establishment | | | | | | | | | | c. | | | | | |
| Address (Number and street) | | | | | | City or Town | | County | | State | | Zip Code | | d. | |
| b. Employer Identification No. | | | | | | Omit if same as label | | | | | | e. | | | |
| Email: | | | | | | Telephone: | | | | | | Fax: | | | |

Section C--EMPLOYERS WHO ARE REQUIRED TO FILE (To be answered by all employers)

- Yes No 1. Does the entire company have at least 100 employees in the payroll period for which you are reporting?
- Yes No 2. Is your company affiliated through common ownership and/or centralized management with other entities in an enterprise with a total employment of 100 or more?
- Yes No 3. Does the company or any of its establishments (a) have 50 or more employees AND (b) is not exempt as provided by 41 CFR 60-1.5 AND either (1) is a prime government contractor or first tier subcontractor, and has a contract subcontract, or purchase order amounting to \$50,000 or more or (2) serves as a depository of Government funds in any amount or is a financial institution which is an issuing and paying agent for U S Savings Bonds and Savings Notes?

If the response to question C - 3 is yes, please enter your Dun and Bradstreet identification number (if you have one)

| | | | | | | | | | | | |
|--|--|--|--|--|--|--|--|--|--|--|--|
| | | | | | | | | | | | |
|--|--|--|--|--|--|--|--|--|--|--|--|

- Yes No 4 Does the company receive financial assistance from the Small Business Administration (SBA)?

Section D - EMPLOYMENT DATA

Employment at this establishment - Report all permanent full time or part-time employees including apprentices and on-the job trainees unless specifically excluded as set forth in the instructions. Enter the appropriate figures on all lines and in all columns. Blank spaces will be considered as zeros.

| JOB CATEGORIES | NUMBER OF EMPLOYEES | | | | | | | | | | |
|---|--|---|---|----------|---------------------------------|--|---|---|----------|---------------------------------|--|
| | Overall Totals Sum Of Col B Thru K | Male | | | | | Female | | | | |
| | | White (Not of Hispanic Origin) | Black (Not of Hispanic Origin) | Hispanic | Asian or Pacific Islander | American Indian or Alaskan Native | White (Not of Hispanic Origin) | Black (Not of Hispanic Origin) | Hispanic | Asian or Pacific Islander | American Indian or Alaskan Native |
| Officials and Managers | 1 | | | | | | | | | | |
| Professionals | 2 | | | | | | | | | | |
| Technicians | 3 | | | | | | | | | | |
| Sales Workers | 4 | | | | | | | | | | |
| Office and Clerical | 5 | | | | | | | | | | |
| Craft Workers (Skilled) | 6 | | | | | | | | | | |
| Operatives (Semi Skilled) | 7 | | | | | | | | | | |
| Laborers (Unskilled) | 8 | | | | | | | | | | |
| Service Workers | 9 | | | | | | | | | | |
| TOTAL | 10 | | | | | | | | | | |
| Total employment reported in previous EEO-1 report | 11 | | | | | | | | | | |
| (The trainees below should also be included in the figures for the appropriate occupational categories above) | | | | | | | | | | | |
| Formal on-the-job trainees | White collar | 12 | | | | | | | | | |
| | Production | 13 | | | | | | | | | |

NOTE: Omit questions 1 and 2 on the Consolidated Report

1. Date(s) of payroll period used: _____ 2. Does this establishment employ apprentices?
 1. Yes 2. No

Section E--ESTABLISHMENT INFORMATION (Omit on the Consolidated Report)

| | | |
|---|---|--------------------|
| 1. Is this the location of the establishment the same as that reported last year? 1 <input type="checkbox"/> Yes 2 <input type="checkbox"/> No 3 <input type="checkbox"/> No Report | 2. Is the major business activity at this establishment the same as that reported last year? 1 <input type="checkbox"/> Yes 2 <input type="checkbox"/> No 3 <input type="checkbox"/> No Report | Office Use Only |
| 3. What is the major activity of this establishment? (Be specific, i.e., manufacturing steel castings, retail grocer, wholesale plumbing supplies, title insurance, etc. Include the specific type of product or type of service provided, as well as the principal business or industrial activity.) | | |

Section F--REMARKS

Use this item to give any identification data appearing on last report which differs from that given above explain major changes in composition or reporting units and other pertinent information

NOTE: The section below must be completed and signed by your company

Section G--CERTIFICATION (See Instructions G)

| | | | |
|---|--|-----------------------------|-------|
| Check one | 1 <input type="checkbox"/> All reports are accurate and were prepared in accordance with the instructions (check on consolidated only) | | |
| | 2 <input type="checkbox"/> This report is accurate and was prepared in accordance with the instructions | | |
| Name of Certifying Official | Title | Signature | Date |
| Name of person to contact regarding this report (Type or print) | | Address (Number and Street) | |
| Title | City and State | Zip Code | Email |
| Telephone Number & Extension | | Fax Number | |

All reports and information obtained from individual reports will be kept confidential as required by Section 709(e) of Title VII
WILLFULLY FALSE STATEMENTS IN THIS REPORT ARE PUNISHABLE BY LAW, U S CODE TITLE 18, SECTION 1001

- e. The Contractor will furnish all information and reports required by Executive Order 11246 of September 24, 1965, and by rules, regulations, and orders of the Secretary of Labor, or pursuant thereto, and will permit access to his books, records, and accounts by the Airport the interests of the United States.

Company or Partnership

(President or other official title)

Subscribed and sworn to before me, this _____ day of _____, 20 ____.

Notary Public in and for the County of _____

State of _____.

My commission expires on the _____ day of _____, 20 ____.

(Seal)

(TO BE SUBMITTED WITH BID)

ENCLOSURE A-3
EMPLOYMENT PRACTICES
(FOR NON-CONSTRUCTION CONTRACTORS & SUBCONTRACTORS ONLY)

To Be Prepared By:

Non-construction Prime Contractors and first tier subcontractors or suppliers with a contract greater than \$10,000.

Name of Project: _____

Location of Workforce: _____

Prime Contractor: _____

Subcontractor: _____

In keeping with Airport policy of nondiscrimination in employment practices, the

_____ has set as a one year goal for the utilization of
(Company Name)

minorities and females having requisite skills equal to be number and percentage that is in relation to their presence in the labor market area used, which is _____ % for minorities and _____ % for females. The _____, by its _____ assures the Airport

(Company Name)

(Company Representative)

that good faith efforts will be used to achieve said goals. The good faith efforts proposed are described in the attached narrative. (If more than 50 employees and a contract of \$50,000 or more is contemplated, an Affirmative Action Plan per Enclosure A-4 is supplied in lieu of this narrative and is submitted when called for by the Airport.)

Signature and Title of Company Official (Contractor)

Date

Signature and Title of Company Official (Subcontractor)

Date

ENCLOSURE A-4
REQUIREMENTS CONCERNING THE SUBMISSION OF AN
AFFIRMATIVE ACTION PLAN
(FOR NON-CONSTRUCTION CONTRACTORS)

Where the non-construction prime contractor or subcontractor has 50 or more employees and is participating in contracts with the Airport which exceed \$50,000, an Affirmative Action Plan must be submitted to the Airport's Office of Emerging Business Enterprise Development.

At a minimum, in accordance with the RFQ/RFP/IFB the following information must be provided in your Affirmative Action Plan:

- I. Equal employment policy statement for the employment of minorities and women.
 - A. How and to whom was policy statement circulated?
 1. Internally (within your company)
 2. Externally (all sources used for recruitment).
 - B. Who is or will be responsible for the implementation of these policies?
- II. Goals and Timetables for hiring minorities and women for the next year, or duration of this contract, whichever is greater, including:
 - A. Total employees expected to be employed in each job category (use job categories shown on EEO-1 form).
 - B. Group employees (Blacks, Hispanics, women, etc.) in each job category.
 - C. Labor market availability group information - availability of minorities and women. With the exception of Construction Contractors, use this information to establish the goals required in Item "e" (contact State employment office to get this information).
 - D. Number of expected job opportunities. If not expected, goals as required in Item "e" must still be established to allow for unexpected hiring.
 - E. Goals number and percent of minorities and women to be reached.
 - F. If goals are not reached within the period specified, when called for you must justify the reasons for not meeting the goals by demonstrating the good faith efforts used to meet the goals.
- III. Development and Execution of Program
 - A. Method to be used for recruiting job applicants.
 1. Recruiting efforts should be directed towards schools, colleges, universities, newspapers, radio, state employment offices, churches, social and employment agencies and other sources appropriate for your needs, i.e., labor unions.
 2. These efforts when called for must be substantiated by written documentation.
 - B. Method used for evaluating program.

**ENCLOSURE A-5
REQUIREMENTS CONCERNING PRIME AND SUB-CONTRACTORS**

Project Name: _____

In accordance with Federal Regulations 49 CFR, Part 26.11, the Office of Emerging Business Enterprise Development is required to create and maintain a bidders list on all Prime and Sub-Contractors that seek to participate on Airport Federally assisted contracts. Please complete this information in its entirety.

PRIME CONTRACTOR

(This information must be provided on the Prime bidder on this Project)

Name of Firm: _____

Federal Tax ID No: _____ **(***must provide***)**

- Certified ACDBE Certified DBE Non-DBE

Mailing Address: _____

City/State/Zip Code: _____

Contact: _____ Email: _____

Phone No. _____ Fax No. _____

Date Business Established (Month, Day and Year): _____

- Gross Sales in Dollars Last FY: Less than \$500,000 \$500,000 - \$1 million
 \$1 million - \$2 million \$2 million - \$5 million
 Over \$5 million

SUB-CONTRACTOR(S)

(This information must be provided for all sub-contractor(s) proposed to work on this Project)

Please attach additional papers if you need more space

| Name of Firm | Certified DBE/ACDBE | | Year Firm Established | Approximate Annual Gross Sales |
|--------------|---------------------|----|-----------------------|--------------------------------|
| | Yes | No | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

I certify the above information contained in this document is true and accurate as of the stated date. I understand FALSE or misleading statements may disqualify the firm from participation on Airport Federally assisted contracts.

Title of Person Authorized to Sign

Signature

Date

ATTACHMENT B

DISADVANTAGED BUSINESS ENTERPRISE/AIRPORT CONCESSIONS DISADVANTAGED BUSINESS ENTERPRISE (DBE/ACDBE) AND SMALL BUSINESS ENTERPRISE (SBE) UTILIZATION

DEPARTMENT OF TRANSPORTATION POLICY

It is the policy of the Department of Transportation that socially and economically Disadvantaged Business Enterprise/Airport Concessions Disadvantaged Business Enterprise (DBE/ACDBEs), as defined at Title 49 Code of Federal Regulations, Part 23 and 26, shall have the maximum opportunity to participate in the performance of contracts financed in whole or in part with Federal funds. Consequently, the DBE/ACDBE requirements of 49 CFR, Part 23 and 26, shall apply to any agreement resulting from this procurement.

Participants in this procurement agree to ensure that DBE/ACDBEs, as defined at 49 CFR, Part 23 and 26, have the maximum opportunity to participate in the performance of contracts and subcontracts financed in whole or in part with federal funds. In this regard, the Proposers/Bidders/Qualifiers shall take all necessary and reasonable steps in accordance with 49 CFR, Part 23 and 26, and the Airport's DBE/ACDBE Program to ensure that DBE/ACDBEs have the maximum opportunity to compete for the performance of contracts. Neither the Proposers/Bidders/Qualifiers nor the selected contractor shall discriminate on the basis of race, color, national origin or sex in the performance of a resulting DOT-assisted contract.

I. OVERALL GOALS

The term "**disadvantaged business**" means a small business concern, which is at least 51 percent owned by one or more socially and economically disadvantaged persons or, in the case of a publicly owned business, at least 51 percent of the stock of which is owned by one or more socially and economically disadvantaged individuals and whose management and daily business operation are controlled by one or more of the socially and economically disadvantaged individuals who own it.

"**Socially and economically disadvantaged individuals**" means a citizen of the United States (or lawfully admitted permanent resident) who meets the criteria set forth in 49 C.F.R. Section 26.5. The Airport annually sets an overall DBE/ACDBE goal and triennially sets an DBE/ACDBE goal for work to be performed under Airport contracts, including construction activity procurement of common goods and services, personal service contracts, concessions and rental car contracts. While the expected percentage of certified DBE/ACDBE utilization may vary from contract to contract due to the availability of DBE/ACDBEs in any given line of work, the Airport believes that overall goals to be realistically obtainable over time with the assistance of the federal government, the business community, and DBE/ACDBE organizations.

In order to meet Federal requirements and to provide for maximum participation of certified DBE/ACDBEs, the Airport specifies a percentage of participation goals in contracts with subcontracting opportunities (the percentage may be zero).

II. CONTRACT GOALS

The Airport has specified a contract specific DBE/ACDBE/SBE goal for the work to be performed under this contract.

- A. When a DBE/ACDBE/SBE participates in a contract, you count only the value of the work actually performed by the DBE/ACDBE/SBE toward the DBE/ACDBE/SBE goals.
 1. Count the entire amount of that portion of a contract (or other contract not covered by Paragraph (A) (2) of this section) that is performed by DBE/ACDBE/SBEs own forces. Include the cost of supplies and materials obtained by the DBE/ACDBE/SBEs for the work of the contract, including supplies purchased or equipment leased by the DBE/ACDBEs (except supplies and equipment the DBE/ACDBE/SBEs subcontractor purchases or leases from the prime contractor or its affiliate).

2. Count the entire amount of fees or commissions charged by an DBE/ACDBE/SBEs firm for providing a bona fide service, such as professional, technical, consultant, or managerial services, or for providing bonds or insurance specifically required for the performance of a DOT-assisted contract, toward DBE/ACDBE/SBE goals, provided you determine the fee to be reasonable and not excessive as compared with fees customarily allowed for similar services.
3. When a DBE/ACDBE/SBE subcontracts part of the work of its contract to another firm, the value of the subcontracted work may be counted toward DBE/ACDBE/SBE goals only if the DBE/ACDBE/SBE subcontractor is itself a DBE/ACDBE/SBE. Work that a DBE/ACDBE/SBE subcontracts to a non-DBE/ACDBE/SBE firm does not count toward DBE/ACDBE/SBE goals.
 - a) When a DBE/ACDBE/SBE performs as a participant in a joint venture, count a portion of the total dollar value of the contract equal to the distinct, clearly defined portion of the work of the contract that the DBE/ACDBE/SBE performs with its own forces toward DBE/ACDBE/SBE goals.
 - b) Count expenditures to a DBE/ACDBE contractor toward DBE/ACDBE/SBE goals only if the DBE/ACDBE/SBE is performing a commercially useful function on that contract.
4. A DBE/ACDBE/SBE performs a commercially useful function when it is responsible for execution of the work of the contract and is carrying out its responsibilities by actually performing, managing, and supervising the work involved. To perform a commercially useful function, the DBE/ACDBE/SBE must also be responsible, with respect to materials and supplies used on the contract, for negotiating price, determining quality and quantity, ordering the material, and installing (when applicable) and paying for the material itself. To determine whether a DBE/ACDBE/SBE is performing a commercially useful function, you must evaluate the amount of work subcontracted, industry practices, whether the amount the firm is to be paid under the contract is commensurate with the work it is actually performing and the DBE/ACDBE/SBE credit claimed for its performance of the work, and of the relevant factors DBE/ACDBE/SBE does not perform a commercially if its role is limited to that of an extra participant in a transaction, contract, or project through which funds are passed in order to:

DISADVANTAGED BUSINESS ENTERPRISE (DBE) FIRMS ONLY

1. To be a regular dealer, the firm must be an established, regular business that engages, as its principal business and under its own name, in the purchase and sale or lease of the products in question.
2. A person may be a regular dealer in such bulk items as petroleum products, steel, cement, gravel, stone, or asphalt without owning, operating, or maintaining a place of business; if the person both owns and operates distribution equipment for long-term lease agreement and not on an ad hoc or contract by contract basis.
3. Packagers, brokers, manufacturers', representatives, or other persons who arrange or expedite transactions are not regular dealers within the meaning of this paragraph.
4. With respect to materials or supplies purchased from a DBE/SBE which is neither a manufacturer nor a regular dealer, count the entire amount of fees or commissions charged for the delivery of materials or supplies required on a job site, toward DBE/SBE goals, provided you determine the fees to be reasonable and not excessive as compared with fees customarily allowed for similar services. Do not count any portion of the cost of the materials and supplies themselves toward DBE/SBE goals.

Sixty percent (60%) of the total dollar value will be counted in the case of a DBE/ACDBE/SBE supplier that is not a manufacturer, provided that the DBE/ACDBE/SBE supplier performs a commercially useful function in the supply process to include brokers etc in accordance with 49 CFR 26.55 Paragraph 2b.

AIRPORT CONCESSIONS DISADVANTAGED BUSINESS ENTERPRISE (ACDBE) PARTICIPATION ONLY

ACDBE firms can only be counted if they are performing a commercially useful function as outlined above. Count revenues generated to an ACDBE concessionaire only if the ACDBE is performing a commercially useful function on that contract.

DBE/ACDBE MANUFACTURER/REAL DEALER PARTICIPATION

The entire amount of fees or commissions charged by a DBE/ACDBE firm for a bona fide service will be counted provided that the fees are determined to be reasonable and not excessive as compared with fees customarily allowed for similar services. Such services may include, but are not limited to, professional, technical, consultant, legal, security systems, advertising, building cleaning and maintenance, computer programming, or managerial.

One hundred percent (100%) of the cost of goods obtained from a DBE/ACDBE/SBE manufacturer will be counted. The term manufacturer has the same meaning as in Part 26, Section 26.55(e) (1) (ii). One hundred percent (100%) of the cost of goods purchased or leased from a DBE/ACDBE/SBE regular dealer will be counted. The term "regular dealer" has the same meaning as in Part 26, Section 26.55(e) (2) (ii). Credit will be counted toward DBE/ACDBE/SBE goals for goods purchased from a DBE/ACDBE/SBE which is neither a manufacturer nor a regular dealer as follows:

Count the entire amount of fees or commissions charged for assistance in the procurement of the goods, provided that this amount is reasonable and not excessive as compared with fees customarily allowed for similar services. Do not count any portion of the cost of the goods themselves.

Count the entire amount of fees or transportation charges for the delivery of goods required for a concession, provided that this amount is reasonable and not excessive as compared with fees customarily allowed for similar services. Do not count any portion of the cost of goods themselves.

If a firm has not been certified as a DBE/ACDBE/SBE in accordance with the standards in this part, do not count the firm's participation toward DBE/ACDBE/SBE goals.

III. BIDDING REQUIREMENTS, TERMS AND CONDITIONS

- A. In addition to any other requirements contained in this Invitation to Bid or Request for Proposal or Qualifications, the following DBE/ACDBE/SBE Program requirements must be satisfied, bid/proposals must include a representation that:
1. The Proposer/Bidder/Qualifier has met the goal established by the Airport for this procurement, or
 2. The Proposer/Bidder/Qualifier has made a good faith effort to attain the level of DBE/ACDBE/SBE participation sought by the Airport for this procurement
- Each Proposer/Bidder/Qualifier must include a statement in **Attachment B-1** (Declaration of Proposed DBE/ACDBE Utilization) of the level of DBE/ACDBE participation attained through such effort. This submittal is regarded as a matter of bid responsiveness. Failure to make these submittals will serve to disqualify the bid as non-responsive to this Invitation to Bid.
- B. Each Proposer/Bidder/Qualifier should also prepare a complete DBE/ACDBE Participation Plan that sets forth the extent of DBE/ACDBE involvement in this procurement, these materials are to be provided upon request, and will be considered in determining Proposer/Bidder/Qualifier responsibility.
- C. DBE/ACDBE participation plans shall include the following minimum information:
1. DBE/ACDBE Participation Schedule, (**Attachment B-3**) which includes:

- a. Names, addresses and contact persons of the DBE/ACDBE entities that will participate in the contract;
- b. A description of the work each named DBE/ACDBE will perform;
- c. The dollar amount (projected revenue) of the participation of each named DBE/ACDBE
- d. Federal Tax Identification Number

All proposed and subsequent certified DBE/ACDBE firms must complete **Attachment B-2** (DBE/ACDBE AFFIDAVIT) and **Attachment B-4A** (Letter of Intent-Certified DBE/ACDBE), and copies of sub agreements must be submitted for **each DBE/ACDBE firm whose participation is proposed for the performance of this contract as a subcontractor/consultant or joint venture.**

2. If the DBE/ACDBE and SBE goals are not met, the Proposer/Bidder/Qualifier must demonstrate adequate document in **Attachment B-5** (Good Faith Efforts Guidelines) the good faith efforts it made to include DBE/ACDBE/SBE participation in the contract. The documentation of the effort is discussed in greater in paragraph (E) of this Section.
3. Non-Certified DBE/ACDBE and SBE Participation Schedule (**Attachment B-6**), which includes:
 - a. Names, addresses and contact persons of the non DBE/ACDBE and SBE entities that will participate in the contract;
 - b. A description of the work each named non DBE/ACDBE and SBE will perform;
 - c. The dollar amount (projected revenue) of the participation of each named non DBE/ACDBE and SBE
 - d. Federal Tax Identification Number

All Proposers/Bidder/Qualifiers must make a good faith to meet both the DBE/ACDBE and SBE goal(s).

(For SBE qualifications and validations, refer to the *Small Business Certification Verification Process* attached to this Guidelines)

4. All proposed and subsequent non-certified DBE/ACDBE and SBE must complete Attachment B-4B (Letter of Intent-Non-Certified DBE/ACDBE and SBE) and copies of sub agreements must be submitted for **each non-certified DBE/ACDBE and SBE firm whose participation is proposed for the performance of this contract as a sub-contractor/consultant or joint venture.**

Note: Firms CANNOT perform as both a DBE/ACDBE and SBE. Participation is counted separately.

5. Second/Third Tier Sub-contractor/consultant Participation Schedule (**Attachment B-8**), which includes:
 - a. Name of 2nd/3rd tier sub-contractor/consultant
 - b. First tier sub-contractor/consultant with agreement with the 2nd/3rd tier sub;
 - c. Identification whether 2nd/3rd tier is certified or non-certified DBE/ACDBE
 - d. Federal Tax Identification Number
 - e. Address and contact person
 - f. Description of the work each named for each 2nd/3rd tier sub-contractor/consultant will perform;
 - g. The dollar amount (projected revenue) of the participation of each named DBE/ACDBE

All sub-agreements must be submitted for each of the 2nd/3rd tier subcontractor/consultant **whose participation is proposed for the performance of this contract as a 2nd/3rd sub-contractor/consultant.**

6. Request for **emergency** addition-conditional approval to utilize a subcontractor/consultant can be submitted by completing **Attachment B-9** (Emergency Addition-Conditional Approval of Subcontractor/consultant). The Contractor shall make assurances that all subcontractors listed in Attachment B-9 who are utilized towards the fulfillment of a DBE/ACDBE/SBE goal will be performing a commercially useful function as outlined in 49 CFR PART 26 and 23. If it is discovered that the DBE/ACDBE/SBE is not performing or has not performed a commercially useful function, the Prime Contractor will immediately notify OCI of its findings. **THE APPROVAL OF THIS FORM IS CONDITIONAL. FINAL APPROVAL WILL NOT BE GRANTED until all OCI A & B FORMS are completed & contractual agreements are signed and provided to OCI WITH IN 5 DAYS OF SIGNATURE.** This addition **MUST BE APPROVED BY THE AIRPORT DIRECTOR AND CITY OF CLEVELAND BOARD OF CONTROL.** If this contract is subject to STATE OF OHIO PREVAILING WAGE OR FEDERAL DAVIS BACON (WAGE & HOUR) requirements the Contractor and sub-contractor are required to follow all contractual obligations related to Wage & Hour on all Department of Port Control/City of Cleveland contracts. If the wage & hour information is not submitted, payment to the Contractor can be stopped or the project can be stopped entirely. All other provisions regarding additions of sub-contractors/consultants must be followed and applied herein.
7. The following standards shall be applied in assessing the responsibility of the DBE/ACDBE plan submitted:
 - a) Whether the participation plan contains capable currently certified DBE/ACDBE firms.
 - b) Whether the firms listed in the plan are performing a commercially useful function
 - c) Whether the listed firms are sharing monetary benefit in proportion to their share of the work of the project.
 - d) Whether the plan exhibits a likelihood of goal attainment.
 - e) Whether the prime/sub relationships are firm, i.e., whether conditional subcontractors have been entered.

- D. The contractor must receive the approval of the Airport's Office of Compliance and Inclusion **before** termination, addition and or making substitution for any subcontractors listed in its DBE/ACDBE and Non-DBE/ACDBE and SBE plans.

Airport certified DBE/ACDBE entities are eligible for inclusion in a plan. Consult the DBE/ACDBE Directory at <http://www.dot.state.oh.us/Divisions/ODI/SDBE/Pages/UCP.aspx> . Also, the Airport Office of Compliance and Inclusion is available for assistance in ascertaining certification status of DBEs/ACDBEs. Applications for certification may be obtained at <http://www.dot.state.oh.us/Divisions/ODI/SDBE/Pages/UCP.aspx>. All applications must be made through the Ohio Unified Certification Program (UCP) Application. Firms with SBE designation can be accessed through the OCI Office. **For all bids, firms seeking to be counted toward participation at the time of contract award must be certified prior to the bid/proposal submission date. For all proposals and statements of qualifications, all firms to be counted toward participation at the time of the contract award must be certified by the time of final contract negotiations.**

1. The Airport will attempt to certify proposed DBE/ACDBE entities prior to bid. The Airport will also attempt to grant SBE designation prior to bid; however it will not consider certification/designation not completed prior to submittal of bids.
2. DBE/ACDBEs seeking to perform on RFP/Q's must complete the B forms at the time of proposal/qualification submission. **All B forms for RFP/Q's must be finalized and ALL DBE/ACDBE/SBEs MUST BE CERTIFIED/DESIGNATED BY FINAL NEGOTIATIONS.**
3. Proposer/Bidder/Qualifier should not rely upon the approval of the certification applications submitted for this bid/proposal by its proposed DBE/ACDBEs due to the time it takes to review and approve an application.

4. However, substitution of DBE/ACDBE entities appearing in a plan may be permitted where the Disadvantaged Business Enterprise Liaison Officer (DBELO) determines that such substitution will not result in an abuse of the DBE/ACDBE Program. The burden of demonstrating the propriety of such substitution lies with the Proposer/Bidder/Qualifier seeking such substitution. Denial of certification is final for the pending contract. Any person denied certification may appeal such decision in accordance with the provisions of 49 CFR, Part 26 Section 28.89, which is reproduced as part of the Joint Certification Application.
5. The Proposer's/Bidder's/Qualifier's commitment to a specific goal for DBE/ACDBE/SBE utilization as detailed in its DBE/ACDBE/SBE Plan shall constitute a presumption that good faith efforts to meet the DBE/ACDBE/SBE goal by subcontracting to or undertaking to joint venture with DBE/ACDBE/SBE firms have been made. If the Proposer/Bidder/Qualifier fails to meet the goal, it will carry the burden of furnishing sufficient documentation, demonstrating its adequate good faith efforts, by utilization.

The standard by which the Airport will determine whether the efforts made by a Proposer/Bidder/Qualifier were good faith efforts is whether such efforts could be reasonably be expected to produce sufficient DBE/ACDBE/SBE participation to meet the goals set for this procurement in reaching this decision, the Airport may consider all efforts advanced by the Proposer/Bidder/Qualifier as well as the following:

1. Did the contractor attend any scheduled pre-solicitation or pre-bid meetings to inform DBE/ACDBE/SBEs of contracting and subcontracting opportunities?
 2. Did the contractor advertise in general circulation, trade association and minority-focus media concerning the subcontracting opportunities?
 3. Did the contractor provide written notice to a reasonable number of specific DBE/ACDBE/SBE that their interest in the contract was being solicited, in sufficient time to allow the DBE/ACDBE/SBEs to participate effectively?
 4. Did the contractor/supplier follow up with the DBE/ACDBE/SBE firms interested in participating?
 5. Did the contractor/supplier select portions of work to be done by DBEs/ACDBEs/SBEs (including dividing contracts into economically feasible units to facilitate participation)?
 6. Did the contractor provide adequate information about plans, specifications, and/or contracting requirements?
 7. Did the contractor negotiate in good faith with interested DBEs/ACDBEs/SBEs, not rejecting DBE/ACDBE/SBEs as unqualified without sound reasons?
 8. Did the contractor make efforts to provide assistance to obtain bonding, lines of credit, or insurance?
 9. Did the contractor effectively use the services of available minority and female organizations, contractors' groups, state and local offices, etc., that have knowledge of available DBE/ACDBE/SBE firms or the names or organizations to locate such firms?
- F. In the event a contract is awarded as a result of this procurement, the DBE/ACDBE/SBE Participation Plan submitted by the successful Proposer/Bidder/Qualifier and the terms, conditions and requirements contained in this notice shall become an integral part of the contract, binding said Proposer/Bidder/Qualifier to full and faithful performance in accordance with said plan.
- G. Any award resulting from the procurement shall be and is conditioned upon the attainment of the aforesaid goals or the satisfactory showing of good faith efforts to attain said goals.
- H. All successful Proposers/Bidders/Qualifiers must submit all the required documents to project managers prior to OCI final written approval to proceed (i.e. fully executed contract, that includes Purchase Order, Certification Request, Signature page of the contract between successful Proposers/Bidders/Qualifiers with the City of Cleveland, City Ordinance, Board Control Resolution (*all proposed DBEs/ACDBEs, Non DBE/ACDBEs and SBEs should be*

listed), all Sub-contractual/consultant Agreements, Post Project Summary and Project Contract Summary). Affirmative Action and/or EEO-1 forms are to be submitted to OCI bi-annually.

- I. During the performance of any resulting contract and for a period of up to three (3) years following completion of the contract work, the Airport may initiate reviews for compliance with the requirements of the Airport's DBE/ACDBE/SBE Program and the successful Proposer's/Bidder's/Qualifier's (hereinafter "*Contractor*") DBE/ACDBE/SBE Participation Plan. Such reviews will require the submissions of payment or revenue reports utilizing the B2GNow Contract Compliance online monthly utilization reporting program at this link: <https://clevelanddiversitycompliance.com/>. Supporting documents invoices, canceled checks, desk audits and/or onsite reviews are uploaded for compliance review. Where a Contractor is found by the Airport to have failed to comply with the requirements of the DBE/ACDBE Program and SBE Element or the Contractor's DBE/ACDBE/SBE Participation Plan, the Contractor will be required to take corrective action. If corrective action is not promptly taken by the offending Contractor, the following sanctions may be imposed (singly, in any combination and in addition to any other remedies provided by law or equity):
1. The Airport may withhold all further payments under the contract.
 2. The Contractor may be ordered to stop work
 3. The contract may be terminated for breach.
 4. Suspension or debarment proceedings may be commenced in accordance with 49 CFR, Part 29.
 5. The Director of Purchasing and Supplies may find the defaulting contractor non-responsible in respect to other solicitations for a stated period of time.
 6. The relevant performance bond(s) may be enforced.
 7. The contract payments may be reduced by an amount equal to that designated in the DBE/ACDBE/SBE plan for DBE/ACDBE/SBE participation.

Reviews for non-federally funded projects (i.e. construction project, professional services projects, requirement projects) will require the submissions of a payment or revenue reports utilizing the B2GNow Contract Compliance online monthly utilization reporting program at this link: <https://clevelanddiversitycompliance.com/>. Supporting documents invoices, canceled checks, desk audits and/or onsite reviews are uploaded for compliance review.

- J. Upon completion of the project (or portion of the project for partial releases of retainage) or completion of any subcontractor/subconsultant/subconcessionaire portion of the project, and upon receipt of all required documentation and deliverables, the Airport will approve release of retainage or portions thereof directly to the Contractor/Consultant. The Contractor/Consultant shall release retainage due to each subcontractor/sub consultant or material supplier within ten (10) days following Owner's payment to the Contractor/Consultant for work completed or material supplied.
- K. Agreements between a supplier/contractor and DBE/ACDBE/SBE in which the latter promises not to provide subcontracting quotations to other suppliers/contractors are prohibited.
- L. The Contractor will keep records and documents for three (3) years following performance of this contract to indicate compliance with this notice. Such records and, or copies thereof, will be made available at reasonable times and places for inspection by any authorized representative of the Airport and will be submitted to Airport upon request with any other compliance information which such representative may require.
- M. If at any time, the Department of Transportation or the Airport has reason to believe that any person or firm has willfully or knowingly provided incorrect information or made a false statement, it may refer the matter to the General Counsel of the Department of Transportation. They may initiate debarment proceedings in accordance with 41 CFR 1-1.604 and 12-1.602 and/or refer the matter to the Department of Justice under 18 U.S.C. 1001, as they deem appropriate.
- N. Proposers and Contractors agree to be bound by all the requirements, terms and conditions of this notice.
- O. Nothing in this notice shall be interpreted to diminish the present contract compliance review.

ENCLOSURE B-1

DECLARATION OF PROPOSED DISADVANTAGED BUSINESS ENTERPRISE/AIRPORT CONCESSIONS DISADVANTAGED BUSINESS ENTERPRISE (DBE/ACDBE) UTILIZATION

THIS PAGE MUST BE COMPLETED BY PRIME PROPOSER /BIDDER/QUALIFIER TO INDICATE THE AMOUNT (PERCENTAGE)
OF DBE/ACDBE PARTICIPATION.

The undersigned, as a representative of the entity, _____, is submitting a bid/proposal for the _____ project, hereby acknowledges that the DBE/ACDBE goal established for this project is _____ %.

Note: Proposer/Bidder/Qualifier shall make one of the two certifications noted below:

1. The Proposer/Bidder/Qualifier further represents that the proposed level of DBE/ACDBE participation as set forth in the enclosed Schedule of DBE/ACDBE participation for this project is _____ % and represents attainment of the DBE/ACDBE participation goal Letters of Intent confirming the proposed participation of the DBEs/ACDBEs set forth on the Schedule of DBE/ACDBE Participation are attached.

2. The Proposer/Bidder/Qualifier further represents that the proposed level of DBE/ACDBE participation as set forth in the enclosed Schedule of DBE/ACDBE participation for this project is _____ %. However, this level of DBE/ACDBE participation is less than the goal established for this project. The Proposer/Bidder/Qualifier has attached:
 - a. the Schedule of DBE/ACDBE participation showing the level of DBE/ACDBE participation the Proposer/Bidder/Qualifier has been able to obtain, supplemented with Letters of Intent confirming the proposed participation of the DBE/ACDBEs set forth on the Schedule of DBE/ACDBE Participation; and,
 - b. documentation of the Proposer's/Bidder's/Qualifier's good faith efforts to achieve the goal established for this project. This documentation shall include Certificates of DBE/ACDBE Unavailability for each contacted by the prime Proposer/Bidder/Qualifier which will not be participating in performance of the contract). The documentation of the efforts is discussed in greater detail in the Good Faith Efforts section.

Date

Representative of Proposer/Bidder/Qualifier

Title

(TO BE SUBMITTED WITH BID/PROPOSAL)

ENCLOSURE B-2
DBE/ACDBE AFFIDAVIT

**THIS PAGE IS TO BE COMPLETED BY ALL DISADVANTAGED BUSINESS ENTERPRISE/AIRPORT
CONCESSION DISADVANTAGED BUSINESS ENTERPRISE (DBE/ACDBE) PROPOSED TO PARTICIPATE
ON THIS PROJECT.**

I hereby declare and affirm that I am (company representative) _____ and
duly authorized representative of the _____
_____ (name of corporation or joint venture) whose
address is _____

I HEREBY DECLARE AND AFFIRM THAT I AM A DISADVANTAGED BUSINESS ENTERPRISE/AIRPORT
CONCESSION DISADVANTAGED BUSINESS ENTERPRISE (DBE/ACDBE) AS DEFINED BY 49 CFR
Part(s) 23 or 26. I WILL PROVIDE INFORMATION AND/OR THE CERTIFICATION TO DOCUMENT THIS
FACT **(attach copy of certification).**

I DO SOLEMNLY SWEAR OR DECLARE AND AFFIRM THAT THE CONTENTS OF THE FOREGOING
STATEMENT ARE TRUE AND CORRECT, AND THAT I AM AUTHORIZED, ON BEHALF OF THE ABOVE
FIRM, TO MAKE THIS AFFIDAVIT.

_____ (Affiant) _____ (Date)

State of _____)
City and County of _____)

On this _____ day of _____, _____, before me, the undersigned
officer personally appeared.

_____, known to me to be the person described in the above
mentioned Affidavit, and acknowledged that he/she executed the same in the capacity therein stated and
for the purposes therein contained.

In witness thereof, I hereunto set my hand and official seal.

My Commission Expires: _____

(Notary Public)

(SEAL)

ENCLOSURE B-3

**CERTIFIED DISADVANTAGED BUSINESS ENTERPRISE/AIRPORT CONCESSION DISADVANTAGED BUSINESS ENTERPRISE
(DBE/ACDBE) PARTICIPATION PLAN**

| | |
|--------------------------|--------------------------------|
| Name of Prime Contractor | |
| Name of Project | |
| Project/Contract No | Total BASE Bid/Proposal Amount |

*****All firms must provide FEDERAL TAX ID NUMBER*** and must complete and sign a B-4A form*******

| Name of CERTIFIED DBE/ACDBE | Federal Tax ID (must provide) | Address | Contact Person | Scope of Work | Percent Participation | Dollar Value of Work |
|------------------------------------|-------------------------------|---------|----------------|---------------|-----------------------|----------------------|
| 1. | | | | | | |
| 2. | | | | | | |
| 3. | | | | | | |
| 4. | | | | | | |
| 5. | | | | | | |
| 6. | | | | | | |
| 7. | | | | | | |
| Total DBE/ACDBE Dollars (%) | | | | | | |

The undersigned will enter into formal agreement with the certified DBEs/ACDBEs listed above for work in this schedule conditioned upon the award of a contract by the Cleveland Airport System.

| | | | |
|--|-----------|-----|------|
| Signature of Prime Contractor Representative | Telephone | Fax | Date |
| Email: | | | |

ENCLOSURE B-4A

LETTER OF INTENT TO PERFORM AS A CERTIFIED DBE/ACDBE SUB-CONTRACTOR/CONSULTANT

This form is to be completed by Prime Contractors and Consultants and ALL certified DBE and ACDBE Sub-contractors and Sub-consultants.

Project Name: _____

Location: _____

TO BE COMPLETED BY PRIME CONTRACTOR/CONSULTANT

Prime Contractor/Consultant: _____

(FEDERAL TAX ID – MUST PROVIDE _____)

I am the _____ and duly authorized representative of the (firm of) _____, which intends to perform work for the above project operating as *(strike out conditions that do not apply)* an individual, a Company, a Corporation, organized and existing under the law of the State of _____, or a Proprietorship, a Partnership, or Joint Venture consisting of:

TO BE COMPLETED BY CERTIFIED SUB-CONTRACTORS/CONSULTANTS

DBE/ACDBE Subcontractors/consultants: _____

The firm I represent is a Disadvantaged Business Enterprise/Airport Concession Disadvantaged Business Enterprise which is currently certified by the Ohio Unified Certification Program as DBE/ACDBE with a certification date of _____. My firm is certified to perform work in the following areas: *(Please provide a description of ALL work along with the NAICS Code for which your firm is certified):*

NAICS DESCRIPTION

NAICS CODE

| NAICS DESCRIPTION | NAICS CODE |
|-------------------|------------|
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |

The undersigned is prepared to perform the following described work in connection with the above project: *(Specify in appropriate detail particular work items or parts to be performed along with NACIS Code for this project only. Also, please provide associated pricing with work outlined)*

| <u>Type of Work and Items</u> | <u>Price Associated</u> |
|-------------------------------|-------------------------|
| 1. _____ | _____ |
| 2. _____ | _____ |
| 3. _____ | _____ |
| 4. _____ | _____ |

5. _____

You have projected the following commencement date for such work, and the undersigned is projecting completion of such work as follows (Do not leave the chart below blank. Information is to be provided for ALL procurements with the exception of RFQ's (task order) and concessions (ACDBE) projects.

If the chart below has not been completed the form will be considered **INCOMPLETE** and will be returned and potentially delay the procurement process):

| <u>Type of Work and Items</u> | <u>Work Hours Involved</u> | <u>Projected Commencement Date</u> | <u>Projected Completion Date</u> |
|-------------------------------|----------------------------|------------------------------------|----------------------------------|
| 1. _____ | _____ | _____ | _____ |
| 2. _____ | _____ | _____ | _____ |
| 3. _____ | _____ | _____ | _____ |
| 4. _____ | _____ | _____ | _____ |
| 5. _____ | _____ | _____ | _____ |

REPRESENTATION TO UTILIZE 2ND/3RD TIER SUB-CONTRACTOR/CONSULTANTS

I further represent that _____ percent (___ %) of the dollar value of my subcontract will be performed by 2nd___/3rd___ tier contractors and/or suppliers, which are: ___certified/___not certified by the Disadvantaged Business Enterprise/Airport as an Airport Concession Disadvantaged Business Enterprise. (Please provide 2nd/3rd tier sub information on form B-7).

NOTE: All sub-contractor/consultant agreements with certified and or non-certified sub-contractors/sub-consultants must be provided to OCI prior to issuance of the DBE/ACDBE Notice to Proceed (NTP). Delay in receipt of this information can directly impact the project timeline.

TO BE COMPLETED BY CERTIFIED SUB-CONTRACTOR/CONSULTANTS

The undersigned DBE/ACDBE will enter into a formal agreement for the above work with _____ (Prime contractor/consultant) conditioned upon your execution of a contract with the Airport.

Respectfully submitted this
_____ Day _____, 20____

(Certified DBE or ACDBE Firm Name)

(Address)

(Signature)

(Name Typed)

(Title)

Required Contact Information

Email:

Telephone Number:

Fax Number:

(SEAL IF PROPOSER IS A CORPORATION)

ENCLOSURE B-4B

**LETTER OF INTENT TO PERFORM AS A NON-CERTIFIED DBE/ACDBE and SBE
SUBCONTRACTOR/SUBCONSULTANT**

*This form is to be completed by Prime Contractors and Consultants and ALL NON-CERTIFIED
DBE, ACDBE and SBE Subcontractors and Sub-consultants.*

Project Name: _____

Location: _____

TO BE COMPLETED BY PRIME CONTRACTOR/CONSULTANT

Prime Contractor/Consultant: _____

(Federal Tax ID Number – MUST PROVIDE _____)

I am the _____ and duly authorized representative of the (firm of)
_____, which intends to perform work for the above project
operating as (*strike out conditions that do not apply*) an individual, a Company, a Corporation, organized
and existing under the law of the State of _____, or a Proprietorship, a Partnership, or Joint
Venture consisting of:

TO BE COMPLETED BY NON-CERTIFIED DBE/ACDBE AND SBE SUB CONTRACTORS /CONSULTANTS

Sub-Contractor/Consultant: _____

I am the _____ and duly authorized representative of the (firm of)
_____, which intends to perform work for the above project
operating as (*strike out conditions that do not apply*) an individual, a Company, a Corporation, organized
and existing under the law of the State of _____, or a Proprietorship, a Partnership, or Joint
Venture consisting of:

You have projected the following commencement date for such work, and the undersigned is projecting completion of such work as follows (Do not leave the chart below blank. Information is to be provided for ALL procurements with the exception of RFQ's (task order) and concessions (revenue generating) projects. If the chart below has not been completed the form will be considered INCOMPLETE and will be returned and potentially delay the procurement process):

| <u>Type of Work and Items</u> | <u>Work Hours Involved</u> | <u>Projected Commencement Date</u> | <u>Projected Completion Date</u> |
|-------------------------------|----------------------------|------------------------------------|----------------------------------|
| 1. _____ | _____ | _____ | _____ |
| 2. _____ | _____ | _____ | _____ |
| 3. _____ | _____ | _____ | _____ |
| 4. _____ | _____ | _____ | _____ |
| 5. _____ | _____ | _____ | _____ |
| 6. _____ | _____ | _____ | _____ |

REPRESENTATION TO UTILIZE 2ND/3RD TIER SUB-CONTRACTOR/CONSULTANTS

I further represent that _____ percent (___ %) of the dollar value of my subcontract will be performed by 2nd___/3rd___ tier subcontractors and/or suppliers, which are: ___ certified / ___ not certified by the Airport as an Airport Concession/Disadvantaged Business Enterprise. *(Please provide 2nd/3rd tier sub information on form B-7).*

NOTE: All sub-contractor/consultant agreements with certified and non-certified sub-contractors/consultants must be provided to the Airport prior to issuance of the SBE/DBE/ACDBE Notice to Proceed (NTP). Delay in receipt of this information can directly impact the project timeline.

TO BE COMPLETED BY NON-CERTIFIED SUB-CONTRACTOR/CONSULTANTS

The undersigned sub-contractor/consultant will enter into a formal agreement for the above work with _____ (prime contractor/consultant) conditioned upon the execution of a contract with the Airport.

Respectfully submitted, this

____ Day _____, 20____

(NON-CERTIFIED DBE/ACDBE Firm Name)

(Address)

(Signature)

(Name Typed)

(Title)

Required Contact Information:

Email: _____

Telephone Number: _____

Fax Number: _____

(SEAL IF PROPOSER IS A CORPORATION)

ENCLOSURE B-5
GOOD FAITH EFFORTS GUIDELINES

Instructions: In the event a competitor is unable to commit to full attainment of an established SBE/DBE/ACDBE contract specific goal, a good faith efforts evaluation must be conducted by the Airport. All competitors must provide documentation demonstrating all of the steps outlined below were taken in attempting to obtain SBE/DBE/ACDBE participation. **ALL GOOD FAITH EFFORT DOCUMENTATION MUST BE SUBMITTED AT THE TIME OF BID/PROPOSAL/QUALIFICATION.** With the exception of the RFQ process, the Airport is not allowed to contact potential contractors/consultants prior to selection of the successful bidder/proposer regarding information submitted. If good faith efforts are not submitted at the time of bid/proposal the bidder/proposer will be deemed **NON-COMPLIANT.**

1. Whether the contractor attended any pre-solicitation or pre-bid meetings that were scheduled by the recipient to inform SBE/DBE/ACDBEs of contracting and subcontracting opportunities;
2. Whether the contractor advertised in general circulation, trade association, and minority-focus media concerning the subcontracting opportunities;
3. Whether the contractor provided written notice to a reasonable number of specific DBEs/ACDBEs/SBEs, that their interest in the contract was being solicited in sufficient time to allow the DBEs/ACDBEs/SBEs to participate effectively;
4. Whether the contractor followed up initial solicitations of interest by contacting DBE/ACDBEs to determine with certainty whether the DBE/ACDBEs/SBEs were interested;
5. Whether the contractor selected portions of the work to be performed by DBE/ACDBEs/SBEs in order to increase the likelihood of meeting the DBE/ACDBE/SBE goals (including, where appropriate, breaking down contracts into economically feasible units to facilitate DBE/ACDBE/SBE participation);
6. Whether the contractor provided interested DBEs/ACDBEs/SBEs with adequate information about the plans, specifications and requirements of the contract;
7. Whether the contractor negotiated in good faith with interested DBEs/ACDBEs/SBEs, not rejecting DBEs/ACDBEs/SBEs as unqualified without sound reasons based on a thorough investigation of their capabilities.
8. Whether the contractor made efforts to assist interested DBEs/ACDBEs/SBEs in obtaining bonding, lines of credit, or insurance required by the recipient or contractor; and
9. Whether the contractor effectively used the services of available minority community organizations; disadvantaged contractors' groups; local, state and Federal disadvantaged business assistance offices; and other organizations that provide assistance in the recruitment and placement of DBEs/ACDBEs/SBEs.

***PLEASE ATTACH ALL SUPPORTING DOCUMENTATION OF THE GOOD FAITH EFFORTS TO THE BID/PROPOSAL/QUALIFICATIONS. COMPETITORS WILL BE DETERMINED NON-COMPLIANT WITHOUT THE APPROPRIATE SUPPORTING GOOD FATIH EFFORTS DOCUMENTATION.**

(PAGE INTENTIONALLY LEFT BLANK)

ENCLOSURE B-6

NON-CERTIFIED DISADVANTAGED BUSINESS ENTERPRISE / AIRPORT CONCESSION DISADVANTAGED BUSINESS ENTERPRISE SUB-CONTRACTOR/CONSULTANT (NON-CERTIFIED DBE/ACDBE) AND SMALL BUSINESS ENTERPRISE (SBE) PARTICIPATION PLAN

****Bidders MUST make a Good Faith Effort to meet the established SBE Goal****

| | |
|--------------------------|-----------------------|
| Name of Prime Contractor | |
| Name of Project | |
| Project/Contract No | Total BASE Bid Amount |

***** All firms must provide FEDERAL TAX ID NUMBER AND COMPLETE FORM B-4B*****

| SBE YES NO | Name of NON-CERTIFIED DBE/ACDBE <small>(For SBE - Identify if DBE/ACDBE)</small> | Federal Tax ID <small>(must provide)</small> | Address | Contact Person | Scope of Work | Percent Participation | Dollar Value of Work (Non-Certified DBE/ACDBE) | Dollar Value of Work (SBE) |
|------------|---|---|---------|----------------|---------------|-----------------------|--|----------------------------|
| | 1. | | | | | | | |
| | 2. | | | | | | | |
| | 3. | | | | | | | |
| | 4. | | | | | | | |
| | 5. | | | | | | | |
| | 6. | | | | | | | |
| | | | | | | | Total NON-CERTIFIED DBE/ACDBE Dollars (%) | |

The undersigned will enter into formal agreement with the subcontractors listed above for work in this schedule conditioned upon the award of a contract by the Cleveland International Airport.

| | | | | |
|--|--------|-----------|-----|------|
| Signature of Prime Contractor Representative | Email: | Telephone | Fax | Date |
|--|--------|-----------|-----|------|

ENCLOSURE B-8

2ND/3RD TIER SUBCONTRACTOR/SUBCONSULTANT FORM

THIS FORM IS TO PROVIDE A LISTING OF ALL 2ND/3RD TIER SUB-CONTRACTORS AND SUBCONSULTANTS PERFORMING ON THE PROJECT. ALL SUBCONTRACTOR AGREEMENTS MUST BE PROVIDED PRIOR TO RECEIVING A DBE/ACDBE NTP (NOTICE TO PROCEED). DELAY IN RECEIPT OF THIS INFORMATION CAN DIRECTLY IMPACT PROJECT SCHEDULE.

DEFINITIONS

2ND TIER SUB-CONTRACTORS/CONSULTANTS – CONTRACTORS THAT CONTRACT DIRECTLY WITH THE 1ST TIER SUB-CONTRACTORS/CONSULTANTS.

3RD TIER SUB-CONTRACTOR/CONSULTANTS – CONTRACTORS THAT CONTRACT DIRECTLY WITH THE 2ND TIER SUB-CONTRACTORS/CONSULTANTS.

| Name of Prime Contractor | Total Base Bid Amount | | | | | | | |
|--|--|---|---------------------------------------|--------------------------------------|----------------|-----------------------|----------------------|----------------------------|
| Name of Project | ***All firms must provide FEDERAL TAX ID NUMBER AND COPIES OF AGREEMENTS*** | | | | | | | |
| <u>2nd/3rd Tier Sub-Contractor/Consultant Name</u> | <u>1st Tier Sub-Contractor/Consultant w/Agreement w/ 2nd/3rd Tier</u> | <u>Identify 2nd Tier 3rd Tier</u> | <u>CERTIFIED DBE/ACDBE (YES / NO)</u> | <u>Federal Tax ID (must provide)</u> | <u>Address</u> | <u>Contact Person</u> | <u>Scope of Work</u> | <u>Total Dollar Amount</u> |
| 1. | | | | | | | | |
| 2. | | | | | | | | |
| 3. | | | | | | | | |
| 4. | | | | | | | | |
| 5. | | | | | | | | |
| 6. | | | | | | | | |
| 7. | | | | | | | | |
| TOTAL DOLLARS | | | | | | | | |

The undersigned will enter into formal agreement with the subcontractors listed above for work in this schedule conditioned upon the award of a contract by the Cleveland International Airport.

| | | | | |
|---|---------------|------------------|------------|-------------|
| <u>Signature of Prime Contractor Representative</u> | <u>Email:</u> | <u>Telephone</u> | <u>Fax</u> | <u>Date</u> |
|---|---------------|------------------|------------|-------------|

ENCLOSURE B-9

**EMERGENCY ADDITION-CONDITIONAL APPROVAL OF SUB-CONTRACTORS/CONSULTANT FORM
THIS FORM IS TO BE USED ONLY WHEN SUBCONTRACTOR/CONSULTANTS ARE TO BE ADDED ON AN EMERGENCY BASIS**

APPROVAL WILL BE GRANTED WITHIN 24 HOURS OF THE FORMAL REQUEST

PROJECT NAME: _____

CONTRACT NUMBER: _____ CONTRACT AMOUNT: _____

PRIME CONTRACTOR: _____

TO THE DIRECTOR OF THE CLEVELAND AIRPORT SYSTEM,
I RESPECTFULLY REQUEST YOUR CONSENT TO SUBLET TO: _____

(SUB-CONTRACTOR/CONSULTANT)

THE FOLLOWING WORK TO BE PERFORMED (ADD NAICS CODES):

SCOPE1: _____ NAICS CODE _____

SCOPE2: _____ NAICS CODE _____

SUB-AGREEMENT \$: _____ EST. WORK START DATE: _____ EST. COMPLETION DATE: _____

PROPOSED SUBCONTRACTOR INFORMATION

SUB-CONTRACTOR/SUBCONSULTANT TAX ID: _____ SUPPLIER ONLY: YES/NO

SUB-CONTRACTOR/CONSULTANT CONTACT PERSON: _____

ADDRESS _____

TELEPHONE: _____ FAX _____

EMAIL: _____

(TIER SUB-CONTRACTOR OF THE SUB-CONTRACTOR ONLY – PLEASE LIST ORIGINAL SUBS NAME):

| TIER: 1, 2 OR 3 _____ | DBE CERTIFIED & CERTIFICATION DATE (YES/NO) | EST. START & COMPLETION DATE | PERCENTAGE (%) | TOTAL CONTRACT AMOUNT (\$) |
|--------------------------|--|------------------------------------|-------------------|-------------------------------------|
| SUBCONTRACTOR/CONSULTANT | | | | |
| | | | | |
| | | | | |

BY SIGNING THIS FORM, THE CONTRACTOR LISTED BELOW HAS MADE ASSURANCES THAT ALL SUBCONTRACTORS LISTED ABOVE WHO ARE UTILIZED TOWARDS THE FULFILLMENT OF A DBE GOAL WILL BE PERFORMING A COMMERCIALY USEFUL FUNCTION AS OUTLINED IN 49 CFR PART 26. IF IT IS DISCOVERED THAT THE DBE IS NOT PERFORMING OR HAS NOT PERFORMED A COMMERCIALY USEFUL FUNCTION, THE PRIME CONTRACTOR WILL IMMEDIATELY NOTIFY THE EBED OFFICE OF ITS FINDINGS.

THE APPROVAL OF THIS FORM IS CONDITIONAL. FINAL APPROVAL WILL NOT BE GRANTED UNTIL ALL OCI'S ATTACHMENTS A & B FORMS ARE COMPLETED & CONTRACTUAL AGREEMENTS ARE SIGNED AND PROVIDED TO OCI WITHIN 5 DAYS OF SIGNATURE. THIS ADDITION MUST BE APPROVED BY THE AIRPORT DIRECTOR AND CITY OF CLEVELAND BOARD OF CONTROL. THIS CONTRACT IS SUBJECT TO STATE OF OHIO PREVAILING WAGE OR FEDERAL DAVIS BACON (WAGE & HOUR) REQUIREMENTS. PLEASE CONTACT 216-265-6606 FOR ADDITIONAL INFORMATION. IF THE WAGE & HOUR STANDARDS ARE NOT COMPLIED, PAYMENT TO THE CONTRACTOR CAN BE STOPPED OR THE PROJECT CAN BE STOPPED ENTIRELY.

PRIME CONTRACTOR SIGNATURE: _____ DATE: _____

REQUESTED SUB-CONTRACTOR SIGNATURE: _____ DATE: _____

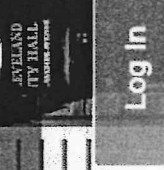
FOR OCI USE ONLY

APPROVED DENIED/Reason: _____

OCI SIGNATURE: _____

DATE _____

Certification and Compliance Reporting System



Vendor Certification

Search and/or join our database of CSB/MBE/FBE/LGBTBE and Section 3 Businesses

[Search Certified Directory](#)

[Apply for / Renew Certification](#)

Contracts

Search by contractor, contract number or description

[Contract Search](#)

Outreach

Opportunities for vendor involvement

[View Outreach Opportunities](#)

Account Access

Lookup Vendor accounts or reset user passwords

[Account Lookup](#)

[Forgot Password](#)

System Training

Learn how to fully utilize our system with a live trainer

[Training](#)

About the System

Learn more about this system and how it works today

[Information for Vendors](#)

ADDENDUM#1
Effective January 1, 2014

ATTACHMENT B

(DISADVANTAGED BUSINESS ENTERPRISE/AIRPORT CONCESSIONS DISADVANTAGED
BUSINESS ENTERPRISE (DBE/ACDBE) UTILIZATION

III(J): Upon completion of the project (or portion of the project for partial releases of retainage) or completion of any subcontractor/subconsultant/subconcessionaire portion of the project, and upon receipt of all required documentation and deliverables, the Airport will approve release of retainage or portions thereof directly to the Contractor/Consultant. The Contractor/Consultant shall release retainage due to each subcontractor/sub consultant or material supplier within ten (10) days following Owner's payment to the Contractor/Consultant for work completed or material supplied.

Addendum:

1. *Lien Waivers* for each subcontractor/sub-consultant/sub-concessionaire for work completed or material supplied shall be a part of and included upon each submission of Contractor/Consultant's payment or revenue report (**Enclosure B-7A and B-7B Monthly Payment Compliance Report**).
2. *Final Affidavit of Compliance Prevailing Wage* shall be submitted upon each Contractor/Consultant's and each subcontractor/sub-consultant/sub-concessionaire's completion of the project (or portion of the project for partial releases of retainage).
3. After ten (10) days following Owner's final release of retainage, Contractor/Consultant shall submit a **FINAL** payment or revenue report (**Enclosure B-7A and B-7B Monthly Payment Compliance Report**) **and** Lien Waivers for each sub-contractor/sub-consultant. **A file audit shall be performed at once for non-compliance of this part.**
4. For project non-performance, a notification in the Contractor/Consultant's letterhead shall be a part of and included in the submission of payment or revenue report (**Enclosure B-7A and B-7B Monthly Payment Compliance Report**).

*III(C)(5): Request for **emergency** addition-conditional approval to utilize a subcontractor/consultant can be submitted by completing **Attachment B-9 (Emergency Addition-Conditional Approval of Subcontractor/consultant)**...*

Addendum:

1. Usage of the Emergency Form (B9) shall be limited to three (3).

All other provisions of Attachment A and Attachment B shall remain the same.



**Department
of Commerce**

Division of Industrial Compliance
& Labor

Bureau of Labor and Worker Safety
6606 Tussing Road, PO Box 4009
Reynoldsburg, OH 43068-9009
Phone 614-644-2450 | Fax 614-728-8639
TTY/TDD | 800-750-0750
www.com.ohio.gov

An Equal Opportunity Employer and Service Provider

John R. Kasich, Governor
David Goodman, Director

**FINAL
AFFIDAVIT OF COMPLIANCE
PREVAILING WAGES**

I, _____, do hereby certify
 (Name of person signing affidavit) (Title)

that the wages paid to all employees of: _____
 (Company name)

for all hours worked on project: _____
 (Project name)

_____ (Project location)

During the period from _____ to _____ are in compliance with
 (Project Dates)

Prevailing Wage requirements of Chapter 4115 of the Ohio Revised Code. I further certify that no rebates or deductions have been or will be made, directly or indirectly, from any wages paid in connection with this project, other than those provided by law.

 (Signature of Officer or Agent) (Print Name of Officer or Agent)

Sworn to and subscribed in my presence this _____ day of _____, 20____.

 (Notary Public)

The above affidavit must be executed and sworn to by the officer or agent of the contractor or subcontractor who supervises the payment of employees. This affidavit must be submitted to the owner (public authority) before the surety is released or final payment due under the terms of the contract is made.

ADDENDUM#2
Effective August 1, 2014

ATTACHMENT B

(DISADVANTAGED BUSINESS ENTERPRISE/AIRPORT CONCESSIONS DISADVANTAGED
BUSINESS ENTERPRISE (DBE/ACDBE) UTILIZATION

III(J): Upon completion of the project (or portion of the project for partial releases of retainage) or completion of any subcontractor/subconsultant/subconcessionaire portion of the project, and upon receipt of all required documentation and deliverables, the Airport will approve release of retainage or portions thereof directly to the Contractor/Consultant. The Contractor/Consultant shall release retainage due to each subcontractor/sub consultant or material supplier within ten (10) days following Owner's payment to the Contractor/Consultant for work completed or material supplied.

Addendum2:

1. *Enclosure B-10 Affidavit of Compliance Prevailing Wage Partial Retainage Release shall be submitted upon each Contractor/Consultant's and each subcontractor/sub-consultant/sub-concessionaire's request for partial releases of retainage.*

All other provisions of Attachment A and Attachment B, including Addendum#1 shall remain the same.



ENCLOSURE B-10

AFFIDAVIT OF COMPLIANCE PREVAILING WAGE
PARTIAL RETAINAGE RELEASE

RETAINAGE RELEASE: 8% 2%

0%, Complete a FINAL AFFIDAVIT OF COMPLIANCE PREVAILING WAGE

I, _____ do hereby certify that the
(Name of person signing affidavit) (Title)

that the wages paid to all employees of: _____
(Company Name)

for all hours worked on project: _____
(Project Name)

(Project Location)

During the period from _____ to _____ are in compliance with
(Project Dates)

Prevailing Wage requirements of Davis-Bacon and Related Acts: 29 CFR Parts 1,3,5,6 and7; United States Code: 40 3141-3148 and of Chapter 4115 of the Ohio Revised Code. I further certify that no rebates or deductions have been or will be made, directly or indirectly, from any wages in connection with the project, other than those provided by law.

Signature of Officer of Agent

Print Name of Officer of Agent

Sworn to and subscribed in my presence this _____ day of _____, 20__.

(Notary Public)

The above affidavit must be executed and sworn to by the officer or agent of the contractor or subcontractor who supervises the payment of employees. The affidavit must be submitted to the owner (public authority) before the surety is released or final payment due under the terms of the contract is made.



CLEVELAND
AIRPORT SYSTEM

CLE
BKL

**OFFICE OF COMPLIANCE AND INCLUSION
(OCI)**

**SMALL BUSINESS ENTERPRISE
(SBE)**

**CERTIFICATION VERIFICATION
PROCESS**

CLEVELAND AIRPORT SYSTEM DISADVANTAGED BUSINESS ENTERPRISE (DBE)
SMALL BUSINESS ENTERPRISE (SBE) PARTICIPATION PLAN
FEBRUARY 2012

A. Objective (49 CFR PART 26.39)

Recognizing that the DBE Program goals should be met through a mixture of race conscious and race neutral methods and, that by definition, DBE firms are small businesses, the Cleveland Airport System (Airport) seeks to implement a small business element into its current DBE policy in accordance with applicable law. The Airport is including this element to facilitate competition by and expand opportunities for small businesses. The Airport is committed to taking all reasonable steps to eliminate obstacles to small businesses that may preclude their participation in procurements as prime contractors or subcontractors. The Airport will meet its objectives using a combination of the following methods and strategies:

1. Set asides: Where feasible, the Airport will establish a percentage of the total value of all prime contract and subcontract awards to be set aside for participation by small businesses on FAA-assisted contracts. A "set-aside" is the reserving of a contract or a portion of a contract exclusively for participation by small businesses. This requires that the Airport and its prime contractors/consultants set aside a portion of the value of each contract for participation by small businesses. A small business set-aside is open to all small businesses regardless of the owner's gender, race or geographic location.
2. Unbundling: The Airport, where feasible, may "unbundle" projects or separate large contracts which may be suitable for small business participation. The Airport will conduct contract reviews on each FAA-assisted contract to determine whether portions of the project could be unbundled or bid separately. Similarly, the Airport will encourage its prime contractors or prime consultants to unbundle contracts to facilitate participation by small businesses.

B. Definitions

1. Small Business: A small business is a business that is independently owned and operated, is organized for profit, and is not dominant in its field. Depending on the industry, size standard eligibility is based on the average number of employees for the preceding twelve months or on sales volume averaged over a three-year period. Small businesses must

CLEVELAND AIRPORT SYSTEM DISADVANTAGED BUSINESS ENTERPRISE (DBE)
SMALL BUSINESS ENTERPRISE (SBE) PARTICIPATION PLAN
FEBRUARY 2012

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meet the definitions specified in Section 3 of the Small Business Act and the Small Business Administration regulations (13 CFR Part 121).

2. Disadvantaged Business: A for profit small business (as defined by the Small Business Administration)- That is at least 51 percent owned by one or more individuals who are both socially and economically disadvantaged or, in the case of a corporation, in which 51 percent of the stock is owned by one or more such individuals; whose socially and economically disadvantaged owners do not exceed the current PNW cap of \$1.32 million; whose management and daily business operations are controlled by one or more of the socially and economically disadvantaged individuals who own the firm; and has been certified with the State of Ohio Unified Certification Program (UCP) in accordance with 49 CFR Part 26.

C. Certification and Verification Procedures

Firms seeking certification with the Airport must not exceed fifty percent (50%) of the NAICS Code threshold established by the SBA for their specific industry. All firms whose gross receipts exceed 50% of its industry NAICS threshold will not be certified as a SBE with the Airport.

The Airport will accept the following certifications for evaluation and possible certification and participation in the small business element of the Airport's DBE Program with applicable stipulations:

1. City of Cleveland, Office of Equal Opportunity Cleveland Small Business Certification (CSB) only.
2. Cuyahoga County Small Business Enterprise Certification
3. US SBA 8(a) Certification
4. Northeast Ohio Regional Sewer District Certification
5. Northern Ohio Supplier Diversity Council

*All firms certified with the entities listed above seeking Airport small business certification must submit the most recent three (3) years business tax returns, complete sections 1 and 3 part B of the Ohio UCP DBE application and submit proof of certification and areas of expertise with its Airport Small Business application.

**For purposes of the small business element of the Airport's DBE program, small businesses which are also owned and controlled by socially disadvantaged individuals will be encouraged to seek DBE certification.

***Minority and women-owned business enterprises awarded contracts under the small business enterprise set-aside will be strongly encouraged to seek DBE certification in order to be counted towards race neutral DBE participation.

D. Registry

The Airport will maintain an Airport Small Business Registry for all firms it grants SBE certification. This registry is separate from the Ohio UCP DBE Directory and maintained solely by the Airport.

E. Contracts and Goals

1. The project manager (PM) and DBELO or the Small Business Officer (SBO) will review FAA-assisted purchases and contracts to assess the small business opportunities, giving consideration to the size and scope of each purchase or contract to establish the set aside percentage. **This set-aside is in addition to the DBE contract goals which may be required pursuant to applicable law or policy.** All Airport FAA-assisted contracts will have a minimum of a ten percent (10%) Small Business Enterprise (SBE) set-aside goal. All FAA-assisted contracts will be reviewed individually to determine if the SBE 10% set-aside goal is appropriate. The goal maybe increased or decreased based on size and scope of the purchase. If it is determined after consideration of size and scope that a SBE goal of zero percent (0%) or no goal is to be assigned to a contract, the PM and/or SBO will document why a small business set aside goal is inappropriate. FAA-assisted purchases and contracts valued at \$1 million or less will be SBE set-aside contracts. We will request the successful SBE contractor utilize certified DBE firms as subcontractors on the project.
2. Unbundling: The Airport, where feasible, may "unbundle" projects or separate large contracts which may be suitable for small business participation. The Airport will conduct contract reviews on each FAA-assisted contract to determine whether portions of the project could be unbundled or bid separately. Similarly, the Airport will encourage its prime contractors or prime consultants to unbundle contracts to facilitate participation by small businesses.

F. Monitoring

All FAA-assisted contracts will be monitored monthly for small business participation.

G. Enforcement

1. A firm that does not meet the eligibility criteria of the Airport's small business program and that attempts to participate in a FAA-assisted program as a small business enterprise on the basis of false, fraudulent, or deceitful statements or representations or under circumstances indicating a serious lack of business integrity or honesty, the Airport may withhold payment, initiate suspension or debarment proceedings against that firm and recommend to The Department of Justice additional actions.
2. The Airport may refer to the Department of Justice, for prosecution under 18 U.S.C. 1001 or other applicable provisions of law, any person who makes a false or fraudulent statement in connection with participation of a small business in any FAA-assisted program or otherwise violates applicable Federal statutes

H. Implementation Schedule

The Airport will implement the small business element within six (6) months of the FAA's approval of the Small Business Participation Plan.

I. Assurances

The Airport makes the following assurances:

1. The DBE Program, including its small business element is not prohibited by state law;
2. Certified DBEs that meet the size criteria established under the DBE Program are presumptively eligible to participate in the small business element of the DBE Program;
3. There are no geographic or local preferences or limitations imposed on FAA-assisted contracts and the DBE Program is open to small businesses regardless of their location;
4. There are no limits on the number of contracts awarded to firms participating in the DBE Program;
5. Reasonable effort will be made to avoid creating barriers to the use of new, emerging, or untried businesses; and
6. Aggressive steps will be taken to encourage those minority and women owned firms participating in the small business element of the DBE Program that are eligible for DBE certification to become certified.

Please submit the following documents applicable to your company. You may be requested to submit other documentation as requested upon review by Emerging Business enterprise Development.

| Please submit the following for review: | |
|--|--|
| Completed Application UCP Application Sect. 1 and 3 | |
| NAICIS codes with documentation | |
| Copy of Certification from Approved Entity as an SBE | |
| Last 3 years Federal Business Tax Returns | |

CAS- SBE NAICS Industry Size Standards

| NAICS Codes | NAICS Industry Description | Size Standards in millions of dollars | Size standards in number of employees | CAS- Micro SBE Size Standards in millions of dollars | CAS- Micro SBE Size standards in number of employees |
|--|---|---------------------------------------|---------------------------------------|--|--|
| Sector 23 – Construction | | | | | |
| Subsector 236 – Construction of Buildings | | | | | |
| 236115 | New Single-family Housing Construction (Except For-Sale Builders) | \$33.5 | | \$16.75 | |
| 236116 | New Multifamily Housing Construction (except For-Sale Builders) | \$33.5 | | \$16.75 | |
| 236117 | New Housing For-Sale Builders | \$33.5 | | \$16.75 | |
| 236118 | Residential Remodelers | \$33.5 | | \$16.75 | |
| 236210 | Industrial Building Construction | \$33.5 | | \$16.75 | |
| 236220 | Commercial and Institutional Building Construction | \$33.5 | | \$16.75 | |
| Subsector 237 – Heavy and Civil Engineering Construction | | | | | |
| 237110 | Water and Sewer Line and Related Structures Construction | \$33.5 | | \$16.75 | |
| 237120 | Oil and Gas Pipeline and Related Structures Construction | \$33.5 | | \$16.75 | |
| 237130 | Power and Communication Line and Related Structures Construction | \$33.5 | | \$16.75 | |
| 237210 | Land Subdivision | \$7.0 | | | |
| 237310 | Highway, Street, and Bridge Construction | \$33.5 | | \$16.75 | |
| 237990 | Other Heavy and Civil Engineering Construction | \$33.5 | | \$16.75 | |
| 237990, Except | Dredging and Surface Cleanup Activities ² | \$20.0 | | \$10.00 | |
| Subsector 238 – Specialty Trade Contractors | | | | | |
| 238110 | Poured Concrete Foundation and Structure Contractors | \$14.0 | | \$7.00 | |
| 238120 | Structural Steel and Precast Concrete Contractors | \$14.0 | | \$7.00 | |
| 238130 | Framing Contractors | \$14.0 | | \$7.00 | |
| 238140 | Masonry Contractors | \$14.0 | | \$7.00 | |
| 238150 | Glass and Glazing Contractors | \$14.0 | | \$7.00 | |
| 238160 | Roofing Contractors | \$14.0 | | \$7.00 | |
| 238170 | Siding Contractors | \$14.0 | | \$7.00 | |
| 238190 | Other Foundation, Structure, and Building Exterior Contractors | \$14.0 | | \$7.00 | |
| 238210 | Electrical Contractors and Other Wiring Installation Contractors | \$14.0 | | \$7.00 | |
| 238220 | Plumbing, Heating, and Air-Conditioning Contractors | \$14.0 | | \$7.00 | |
| 238290 | Other Building Equipment Contractors | \$14.0 | | \$7.00 | |
| 238310 | Drywall and Insulation Contractors | \$14.0 | | \$7.00 | |
| 238320 | Painting and Wall Covering Contractors | \$14.0 | | \$7.00 | |
| 238330 | Flooring Contractors | \$14.0 | | \$7.00 | |
| 238340 | Tile and Terrazzo Contractors | \$14.0 | | \$7.00 | |
| 238350 | Finish Carpentry Contractors | \$14.0 | | \$7.00 | |
| 238390 | Other Building Finishing Contractors | \$14.0 | | \$7.00 | |
| 238910 | Site Preparation Contractors | \$14.0 | | \$7.00 | |
| 238990 | All Other Specialty Trade Contractors ¹³ | \$14.0 | | \$7.00 | |
| Sector 31 – 33 – Manufacturing | | | | | |
| Subsector 327 – Nonmetallic Mineral Product Manufacturing | | | | | |
| 327110 | Pottery, Ceramics, and Plumbing Fixture Manufacturing | | 750 | | 375 |
| 327120 | Clay Building Material and Refractories Manufacturing | | 750 | | 375 |
| 327211 | Flat Glass Manufacturing | | 1,000 | | 500 |
| 327212 | Other Pressed and Blown Glass and Glassware Manufacturing | | 750 | | 375 |
| 327213 | Glass Container Manufacturing | | 750 | | 375 |
| 327215 | Glass Product Manufacturing Made of Purchased Glass | | 500 | | 250 |
| 327310 | Cement Manufacturing | | 750 | | 375 |
| 327320 | Ready-Mix Concrete Manufacturing | | 500 | | 250 |
| 327331 | Concrete Block and Brick Manufacturing | | 500 | | 250 |
| 327332 | Concrete Pipe Manufacturing | | 500 | | 250 |
| 327390 | Other Concrete Product Manufacturing | | 500 | | 250 |
| 327410 | Lime Manufacturing | | 500 | | 250 |
| 327420 | Gypsum Product Manufacturing | | 1,000 | | 500 |
| 327910 | Abrasive Product Manufacturing | | 500 | | 250 |
| 327991 | Cut Stone and Stone Product Manufacturing | | 500 | | 250 |
| 327992 | Ground or Treated Mineral and Earth Manufacturing | | 500 | | 250 |
| 327993 | Mineral Wool Manufacturing | | 750 | | 375 |
| 327999 | All Other Miscellaneous Nonmetallic Mineral Product Manufacturing | | 500 | | 250 |

CAS-SBE NAICS Industry Size Standards

| Subsector 331 – Primary Metal Manufacturing | | | | |
|--|--|--|-------|-----|
| 331110 | Iron and Steel Mills and Ferroalloy Manufacturing | | 1,000 | 500 |
| 331210 | Iron and Steel Pipe and Tube Manufacturing from Purchased Steel | | 1,000 | 500 |
| 331221 | Rolled Steel Shape Manufacturing | | 1,000 | 500 |
| 331222 | Steel Wire Drawing | | 1,000 | 500 |
| 331313 | Alumina Refining and Primary Aluminum Production | | 1,000 | 500 |
| 331314 | Secondary Smelting and Alloying of Aluminum | | 750 | 375 |
| 331315 | Aluminum Sheet, Plate and Foil Manufacturing | | 750 | 375 |
| 331318 | Other Aluminum Rolling, Drawing, and Extruding | | 750 | 375 |
| 331410 | Nonferrous Metal (except Aluminum) Smelting and Refining | | 1,000 | 500 |
| 331420 | Copper Rolling, Drawing, Extruding, and Alloying | | 1,000 | 500 |
| 331491 | Nonferrous Metal (except Copper and Aluminum) Rolling, Drawing and Extruding | | 750 | 375 |
| 331492 | Secondary Smelting, Refining, and Alloying of Nonferrous Metal (except Copper and Aluminum) | | 750 | 375 |
| 331511 | Iron Foundries | | 500 | 250 |
| 331512 | Steel Investment Foundries | | 500 | 250 |
| 331513 | Steel Foundries (except Investment) | | 500 | 250 |
| 331523 | Nonferrous Metal Die-Casting Foundries | | 500 | 250 |
| 331524 | Aluminum Foundries (except Die-Casting) | | 500 | 250 |
| 331529 | Other Nonferrous Metal Foundries (except Die-Casting) | | 500 | 250 |
| Subsector 332 – Fabricated Metal Product Manufacturing | | | | |
| 332111 | Iron and Steel Forging | | 500 | 250 |
| 332112 | Nonferrous Forging | | 500 | 250 |
| 332114 | Custom Roll Forming | | 500 | 250 |
| 332117 | Powder Metallurgy Part Manufacturing | | 500 | 250 |
| 332119 | Metal Crown, Closure, and Other Metal Stamping (except Automotive) | | 500 | 250 |
| 332215 | Metal Kitchen Cookware, Utensil, Cutlery, and Flatware (except Precious) Manufacturing | | 500 | 250 |
| 332216 | Saw Blade and Handtool Manufacturing | | 500 | 250 |
| 332311 | Prefabricated Metal Building and Component Manufacturing | | 500 | 250 |
| 332312 | Fabricated Structural Metal Manufacturing | | 500 | 250 |
| 332313 | Plate Work Manufacturing | | 500 | 250 |
| 332321 | Metal Window and Door Manufacturing | | 500 | 250 |
| 332322 | Sheet Metal Work Manufacturing | | 500 | 250 |
| 332323 | Ornamental and Architectural Metal Work Manufacturing | | 500 | 250 |
| 332410 | Power Boiler and Heat Exchanger Manufacturing | | 500 | 250 |
| 332420 | Metal Tank (Heavy Gauge) Manufacturing | | 500 | 250 |
| 332431 | Metal Can Manufacturing | | 1,000 | 500 |
| 332439 | Other Metal Container Manufacturing | | 500 | 250 |
| 332510 | Hardware Manufacturing | | 500 | 250 |
| 332613 | Spring Manufacturing | | 500 | 250 |
| 332618 | Other Fabricated Wire Product Manufacturing | | 500 | 250 |
| 332710 | Machine Shops | | 500 | 250 |
| 332721 | Precision Turned Product Manufacturing | | 500 | 250 |
| 332722 | Bolt, Nut, Screw, Rivet and Washer Manufacturing | | 500 | 250 |
| 332811 | Metal Heat Treating | | 750 | 375 |
| 332812 | Metal Coating, Engraving (except Jewelry and Silverware), and Allied Services to Manufacturers | | 500 | 250 |
| 332813 | Electroplating, Plating, Polishing, Anodizing and Coloring | | 500 | 250 |
| 332911 | Industrial Valve Manufacturing | | 500 | 250 |
| 332912 | Fluid Power Valve and Hose Fitting Manufacturing | | 500 | 250 |
| 332913 | Plumbing Fixture Fitting and Trim Manufacturing | | 500 | 250 |
| 332919 | Other Metal Valve and Pipe Fitting Manufacturing | | 500 | 250 |
| 332991 | Ball and Roller Bearing Manufacturing | | 750 | 375 |
| 332992 | Small Arms Ammunition Manufacturing | | 1,000 | 500 |
| 332993 | Ammunition (except Small Arms) Manufacturing | | 1,500 | 750 |
| 332994 | Small Arms, Ordnance, and Ordnance Accessories Manufacturing | | 1,000 | 500 |
| 332996 | Fabricated Pipe and Pipe Fitting Manufacturing | | 500 | 250 |
| 332999 | All Other Miscellaneous Fabricated Metal Product Manufacturing | | 750 | 375 |

CAS- SBE NAICS Industry Size Standards

| | | | | |
|--|--|--------|--|---------|
| Subsector 484 – Truck Transportation | | | | |
| 484121 | General Freight Trucking, Long-Distance, Truckload | \$25.5 | | \$12.75 |
| 484122 | General Freight Trucking, Long-Distance, Less Than Truckload | \$25.5 | | \$12.75 |
| 484210 | Used Household and Office Goods Moving | \$25.5 | | \$12.75 |
| 484220 | Specialized Freight (except Used Goods) Trucking, Local | \$25.5 | | \$12.75 |
| 484230 | Specialized Freight (except Used Goods) Trucking, Long-Distance | \$25.5 | | \$12.75 |
| Sector 54 – Professional, Scientific and Technical Services | | | | |
| Subsector 541 – Professional, Scientific and Technical Services | | | | |
| 541110 | Offices of Lawyers | \$10.0 | | \$5.00 |
| 541191 | Title Abstract and Settlement Offices | \$10.0 | | \$5.00 |
| 541199 | All Other Legal Services | \$10.0 | | \$5.00 |
| 541221 | Offices of Certified Public Accountants | \$19.0 | | \$9.50 |
| 541213 | Tax Preparation Services | \$19.0 | | \$9.50 |
| 541214 | Payroll Services | \$19.0 | | \$9.50 |
| 541219 | Other Accounting Services | \$19.0 | | \$9.50 |
| 541310 | Architectural Services | \$7.0 | | \$3.50 |
| 541320 | Landscape Architectural Services | \$7.0 | | \$3.50 |
| 541330 | Engineering Services | \$14.0 | | \$7.00 |
| 541340 | Drafting Services | \$7.0 | | \$3.50 |
| 541350 | Building Inspection Services | \$7.0 | | \$3.50 |
| 541360 | Geophysical Surveying and Mapping Services | \$14.0 | | \$7.00 |
| 541370 | Surveying and Mapping (except Geophysical) Services | \$14.0 | | \$7.00 |
| 541380 | Testing Laboratories | \$14.0 | | \$7.00 |
| 541410 | Interior Design Services | \$7.0 | | \$3.50 |
| 541420 | Industrial Design Services | \$7.0 | | \$3.50 |
| 541430 | Graphic Design Services | \$7.0 | | \$3.50 |
| 541490 | Other Specialized Design Services | \$7.0 | | \$3.50 |
| 541511 | Custom Computer Programming Services | \$25.5 | | \$12.75 |
| 541512 | Computer Systems Design Services | \$25.5 | | \$12.75 |
| 541513 | Computer Facilities Management Services | \$25.5 | | \$12.75 |
| 541519 | Other Computer Related Services | \$25.5 | | \$12.75 |
| 541611 | Administrative Management and General Management Consulting Services | \$14.0 | | \$7.00 |
| 541612 | Human Resources Consulting Services | \$14.0 | | \$7.00 |
| 541613 | Marketing Consulting Services | \$14.0 | | \$7.00 |
| 541614 | Process, Physical Distribution and Logistics Consulting Services | \$14.0 | | \$7.00 |
| 541618 | Other Management Consulting Services | \$14.0 | | \$7.00 |
| 541620 | Environmental Consulting Services | \$14.0 | | \$7.00 |
| 541690 | Other Scientific and Technical Consulting Services | \$14.0 | | \$7.00 |
| 541810 | Advertising Agencies ²⁰ | \$14.0 | | \$7.00 |
| 541820 | Public Relations Agencies | \$14.0 | | \$7.00 |
| 541830 | Media Buying Agencies | \$14.0 | | \$7.00 |
| 541840 | Media Representatives | \$14.0 | | \$7.00 |
| 541850 | Outdoor Advertising | \$14.0 | | \$7.00 |
| 541860 | Direct Mail Advertising | \$14.0 | | \$7.00 |
| 541890 | Other Services Related to Advertising | \$14.0 | | \$7.00 |
| 541910 | Marketing Research and Public Opinion Polling | \$14.0 | | \$7.00 |
| 541921 | Photography Studios, Portrait | \$7.0 | | \$3.50 |
| 541922 | Commercial Photography | \$7.0 | | \$3.50 |
| 541930 | Translation and Interpretation Services | \$7.0 | | \$3.50 |
| 541940 | Veterinary Services | \$7.0 | | \$3.50 |
| 541990 | All Other Professional, Scientific and Technical Services | \$14.0 | | \$7.00 |

CAS- SBE NAICS Industry Size Standards

| | | | | | |
|--|---|--------|-----|---------|-----|
| Subsector 561 – Administrative and Support Services | | | | | |
| 561110 | Office Administrative Services | \$7.0 | | \$3.50 | |
| 561210 | Facilities Support Services ¹² | \$35.5 | | \$17.75 | |
| 561311 | Employment Placement Agencies | \$25.5 | | \$12.75 | |
| 561312 | Executive Search Services | \$25.5 | | \$12.75 | |
| 561320 | Temporary Help Services | \$25.5 | | \$12.75 | |
| 561330 | Professional Employer Organizations | \$25.5 | | \$12.75 | |
| 561421 | Telephone Answering Services | \$14.0 | | \$7.00 | |
| 561422 | Telemarketing Bureaus and Other contact Centers | \$14.0 | | \$7.00 | |
| 561431 | Private Mail Centers | \$14.0 | | \$7.00 | |
| 561439 | Other Business Service Centers (including Copy Shops) | \$14.0 | | \$7.00 | |
| 561440 | Collection Agencies | \$14.0 | | \$7.00 | |
| 561491 | Repossession Services | \$14.0 | | \$7.00 | |
| 561492 | Court Reporting and Stenotype Services | \$14.0 | | \$7.00 | |
| 561499 | All Other Business Support Services | \$14.0 | | \$7.00 | |
| 561510 | Travel Agencies ¹⁰ | \$19.0 | | \$9.50 | |
| 561520 | Tour Operators ¹⁰ | \$19.0 | | \$9.50 | |
| 561591 | Convention and Visitors Bureaus | \$19.0 | | \$9.50 | |
| 561599 | All Other Travel Arrangement and Reservation Services | \$19.0 | | \$9.50 | |
| 561612 | Security Guards and Patrol Services | \$19.0 | | \$9.50 | |
| 561613 | Armored Car Services | \$19.0 | | \$9.50 | |
| 561621 | Security Systems Services (except Locksmiths) | \$19.0 | | \$9.50 | |
| 561622 | Locksmiths | \$19.0 | | \$9.50 | |
| 561720 | Janitorial Services | \$16.5 | | \$8.25 | |
| 561730 | Landscaping Services | \$7.0 | | \$3.50 | |
| 561740 | Carpet and Upholstery Cleaning Services | \$5.0 | | \$2.50 | |
| 561790 | Other Services to Buildings and Dwellings | \$7.0 | | \$3.50 | |
| 561910 | Packaging and Labeling Services | \$10.0 | | \$5.00 | |
| 561920 | Convention and Trade Show Organizers ¹⁰ | \$10.0 | | \$5.00 | |
| 561990 | All Other Support Services | \$10.0 | | \$5.00 | |
| Subsector 562 – Waste Management and Remediation Services | | | | | |
| 562111 | Solid Waste Collection | \$35.5 | | \$17.75 | |
| 562112 | Hazardous Waste Collection | \$35.5 | | \$17.75 | |
| 562119 | Other Waste Collection | \$35.5 | | \$17.75 | |
| 562211 | Hazardous Waste Treatment and Disposal | \$35.5 | | \$17.75 | |
| 562212 | Solid Waste Landfill | \$35.5 | | \$17.75 | |
| 562213 | Solid Waste Combustors and Incinerators | \$35.5 | | \$17.75 | |
| 562910 | Remediation Services | \$19.0 | | | |
| 562910_Except | Environmental Remediation Services ¹⁴ | | 500 | | 250 |
| 562920 | Materials Recovery Facilities | \$19.0 | | \$9.50 | |
| 562991 | Septic Tank and Related Services | \$7.0 | | \$3.50 | |
| 562998 | All Other Miscellaneous Waste Management Services | \$7.0 | | \$3.50 | |

SECTION 1: COMPANY INFORMATION

A. General Information

| | | | |
|--|-------------------|-----------------------------------|------------------|
| 1. *Legal name of business: | | 2. *Other names used by business: | |
| 3. Website (if have one): | | 4. *Federal tax ID: | |
| 5. *Company phone #: | 6. Other phone #: | 7. Company fax #: | |
| 8. E-mail communications: <input type="checkbox"/> Yes <input type="checkbox"/> No | | 9. *County | |
| 10. *Street address of firm (No P.O. box): | | City: | State: Zip: |
| 11. Mailing address of firm (if different): | | City: | State: Zip: |

*Indicates required field

DBE Unified Certification Application

B. Business Profile

| | | | | | | | | | | | | | |
|--|--|------------|----------------|----------|--|------------|----------------|----------|--|------------|----------------|----------|--|
| 1. *Date the firm was established: ___/___/___ | 2. *I/We have owned this firm since: ___/___/___ | | | | | | | | | | | | |
| 3. *Method of acquisition (check all that apply): <input type="checkbox"/> Started new <input type="checkbox"/> Inherited <input type="checkbox"/> Purchased existing <input type="checkbox"/> Merger or consolidation <input type="checkbox"/> Secured concession <input type="checkbox"/> Other (explain) | | | | | | | | | | | | | |
| 4. *Number of employees: Full time _____ Part time _____ | | | | | | | | | | | | | |
| 5. *Legal structure (check all that apply): <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Limited Liability Partnership <input type="checkbox"/> Partnership <input type="checkbox"/> Limited Liability Corporation <input type="checkbox"/> S-Corporation <input type="checkbox"/> Joint Venture <input type="checkbox"/> C-Corporation | | | | | | | | | | | | | |
| 6. *Has your firm ever existed under different ownership, a different type of ownership, or a different name? <input type="checkbox"/> Yes <input type="checkbox"/> No, If Yes, explain: | | | | | | | | | | | | | |
| 7. *Does this firm rely on any other firm for management functions or employee payroll? <input type="checkbox"/> Yes <input type="checkbox"/> No, If Yes, explain: | | | | | | | | | | | | | |
| 8. *Specify the annual gross receipts of the firm for the last 3 complete fiscal years: <table style="margin-left: 40px; border: none;"> <tr> <td>Year _____</td> <td>Total receipts</td> </tr> <tr> <td>\$ _____</td> <td></td> </tr> <tr> <td>Year _____</td> <td>Total receipts</td> </tr> <tr> <td>\$ _____</td> <td></td> </tr> <tr> <td>Year _____</td> <td>Total receipts</td> </tr> <tr> <td>\$ _____</td> <td></td> </tr> </table> | | Year _____ | Total receipts | \$ _____ | | Year _____ | Total receipts | \$ _____ | | Year _____ | Total receipts | \$ _____ | |
| Year _____ | Total receipts | | | | | | | | | | | | |
| \$ _____ | | | | | | | | | | | | | |
| Year _____ | Total receipts | | | | | | | | | | | | |
| \$ _____ | | | | | | | | | | | | | |
| Year _____ | Total receipts | | | | | | | | | | | | |
| \$ _____ | | | | | | | | | | | | | |
| 9. *Type(s) of work <i>(NAICS code will be assigned based on type of work description. Provide as much description as possible.)</i> a. Type of work description: b. Type of work description: c. Type of work description: | | | | | | | | | | | | | |

*Indicates required field

SECTION 2: COMPANY OWNERS AND REPRESENTATIVES

Instructions:

- This application must include every individual with ownership in the firm, every individual who is an officer of the company or on the board of directors, and every employee with significant responsibilities as listed in section B.
- One of the individuals entered must be designated as the company contact. The company contact will be the person to whom future correspondence will be addressed.
- If necessary, copy the pages of this application to enter information for additional individuals.
 - ⇒ At the top of each page is a place for the owner or representative's name. This is critical if your application has more than one individual—it will allow you to keep track of which owner or representative the information pertains to.

A. General Information (Company Owner or Representative)

| | | |
|--|--|------------|
| 1. *Name (first, middle initial, last): | 2. *Role: <input type="checkbox"/> Company Owner <input type="checkbox"/> Company Representative | 3. *Title: |
| 4. *Gender: <input type="checkbox"/> Male <input type="checkbox"/> Female | 5. *Ethnic group membership (check all that apply): <input type="checkbox"/> White Caucasian <input type="checkbox"/> African American <input type="checkbox"/> Hispanic <input type="checkbox"/> Native American <input type="checkbox"/> Asian Pacific <input type="checkbox"/> Subcontinent Asian <input type="checkbox"/> Other (specify) _____ | |
| 6. *Salary: \$ _____ | | |
| 7. Phone #: (____) _____ - _____ ext _____ | | |
| 8. *Is this owner or representative the company contact? (One, and only one, owner or representative must be designated as the company contact.) <input type="checkbox"/> Yes <input type="checkbox"/> No | | |
| 9. *Enable online account? <input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, enter email address: _____ | | |

*Indicates required field

DBE Unified Certification Application

Name (first, middle initial, last):

Instructions:

- * Owner information must be provided for every company owner, regardless of the percentage of ownership. If necessary, copy the pages of this application to add additional owners.

C. Personal Information (Company Owner)

| | | | | | |
|---|---------------------------|---|---|-------------------------|-----------------------|
| 1. *Home address (street and number): | | City: | State: | Zip: | |
| 2. *Home phone #: | 3. *Ownership percentage: | | 4. *Married status <input type="checkbox"/> Married <input type="checkbox"/> Single | | |
| 5. *U.S. citizen? <input type="checkbox"/> Yes <input type="checkbox"/> No | | 6. If No, legal permanent resident? <input type="checkbox"/> Yes <input type="checkbox"/> No | | | |
| 7. Familial relationship to other owners: | | | | | |
| 8. Has any trust been created for the benefit of this disadvantaged owner? If Yes, explain: <input type="checkbox"/> Yes <input type="checkbox"/> No | | | | | |
| 9. *Number of years as an owner? | | | | | |
| 10. Please list all investments made to acquire current ownership stake in the company: | | | | | |
| | Date | Ownership % | # of Shares | Share Class | Investment |
| *1. | | | | | Cash \$ |
| | | | | | Real Estate \$ |
| | | | | | Equipment \$ |
| | | | | | Other \$ |
| 2. | | | | | Cash \$ |
| | | | | | Real Estate \$ |
| | | | | | Equipment \$ |
| | | | | | Other \$ |
| 3. | | | | | Cash \$ |
| | | | | | Real Estate \$ |
| | | | | | Equipment \$ |
| | | | | | Other \$ |
| 11. Do any of your immediate family members own or manage another company? <input type="checkbox"/> Yes <input type="checkbox"/> No | | | | | |
| If Yes, then list (use additional space if needed): | | | | | |
| | Name | Relationship | Company | Type of Business | Own or Manage? |
| 1. | | | | | |
| 2. | | | | | |
| 3. | | | | | |

*Indicates required field

DBE Unified Certification Application

Name (first, middle initial, last):

Instructions:

- Complete the following worksheets first, then use the information to complete the balance sheet at the end of the section.
- Complete all fields of an applicable worksheet. For example, if an owner has stocks, be sure to provide Security Name, Number of Shares, and Year-end Market Value per Share.
- If more than one owner is applying, supply the following information for each owner (*make copies of these pages if necessary*).

D. Personal Net Worth Worksheets (Required for all owners)

Enter year for which the following net worth worksheets apply:

| Life Insurance Worksheet | | | |
|---------------------------------|-------------|----------------------|---------------|
| Insurance Company | Face Amount | Cash Surrender Value | Beneficiaries |
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |

| Stocks and Bonds Worksheet | | |
|-----------------------------------|------------------|---------------------------------|
| Security Name | Number of Shares | Year-end Market Value per Share |
| 1. | | |
| 2. | | |
| 3. | | |
| 4. | | |

| Unpaid Taxes Worksheet | |
|-------------------------------|--------|
| Type of Tax | Amount |
| 1. | |
| 2. | |
| 3. | |
| 4. | |

DBE Unified Certification Application

Name (first, middle initial, last): _____

Real Estate and Real Estate Mortgages Worksheet

| Type of Property | Street Address | Date Purchased | Original Cost | Current Estimated Value |
|------------------|----------------|----------------|---------------|-------------------------|
| 1. | | | | |

Is there a mortgage on the property? Yes No *(If Yes, complete the mortgage holder information for each mortgage on the property.)*

Name of mortgage holder: _____ Mortgage balance: \$ _____

Mortgage holder address:
 Street (No P.O. box): _____ City: _____ State: _____ Zip: _____

| Type of Property | Street Address | Date Purchased | Original Cost | Current Estimated Value |
|------------------|----------------|----------------|---------------|-------------------------|
| 2. | | | | |

Is there a mortgage on the property? Yes No *(If Yes, complete the mortgage holder information for each mortgage on the property.)*

Name of mortgage holder: _____ Mortgage balance: \$ _____

Mortgage holder address:
 Street (No P.O. box): _____ City: _____ State: _____ Zip: _____

| Type of Property | Street Address | Date Purchased | Original Cost | Current Estimated Value |
|------------------|----------------|----------------|---------------|-------------------------|
| 3. | | | | |

Is there a mortgage on the property? Yes No *(If Yes, complete the mortgage holder information for each mortgage on the property.)*

Name of mortgage holder: _____ Mortgage balance: \$ _____

Mortgage holder address:
 Street (No P.O. box): _____ City: _____ State: _____ Zip: _____

DBE Unified Certification Application

Name (first, middle initial, last):

| Other Personal Property Worksheet | | | |
|-----------------------------------|------------|------------|-------------------------|
| | Asset Name | Asset Type | Current Estimated Value |
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |

| Other Assets Worksheet | | | |
|------------------------|------------|------------|-------------------------|
| | Asset Name | Asset Type | Current Estimated Value |
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |

| Notes Payable Worksheet | | | | | | |
|-------------------------|--------------------|------------------|-----------------|----------------|-------------------|-----------------|
| Noteholder Name | Noteholder Address | Original Balance | Current Balance | Payment Amount | Payment Frequency | Collateral Type |
| 1. | | | | | | |
| 2. | | | | | | |
| 3. | | | | | | |
| 4. | | | | | | |

| Other Liabilities Worksheet | |
|-----------------------------|--------|
| Liability | Amount |
| 1. | |
| 2. | |
| 3. | |
| 4. | |

DBE Unified Certification Application

Name (first, middle initial, last): _____

E. Personal Net Worth Statement (Required for all owners)

| Balance Sheet | | | |
|--------------------------------------|---------------------|--|---------------------|
| Assets | (Omit cents) | Liabilities | (Omit cents) |
| Cash on hand and in banks: | \$ | Accounts payable: | \$ |
| Savings accounts: | \$ | Notes payable to banks and others (worksheet): | \$ |
| IRA or other retirement accounts: | \$ | | |
| Accounts and notes receivable: | \$ | Installment account (other): | \$ |
| Life Insurance (worksheet): | \$ | Loan on life insurance: | \$ |
| Stocks and bonds (worksheet): | \$ | Unpaid taxes (worksheet): | \$ |
| Real estate (worksheet): | \$ | Mortgages on real estate (worksheet): | \$ |
| Automobiles-estimated current value: | \$ | Installment account (auto): | \$ |
| Other personal property (worksheet): | \$ | | |
| Other assets (worksheet): | \$ | Other liabilities (worksheet): | \$ |
| Total assets: | \$ | Total liabilities: | \$ |
| (minus total liabilities) | (-\$) | | |
| Owner net worth: | \$ | Year: _____ | |