



NEW CERTIFICATION APPLICATION INSTRUCTIONS MIAMI-DADE COUNTY SMALL BUSINESS ENTERPRISE(S)

Upon receipt of a Small Business Enterprise (SBE) application by the Miami-Dade County, Small Business Development Division (SBD), your firm will be considered for one or more of the following programs: Small Business Enterprise(s) - Goods and Services, Construction Services, and/or Architecture and Engineering certification. All questions must be answered and the requested documents must be submitted. **Incomplete applications and applications submitted without the requested documentation will be returned.** Questions that do not apply to your firm should be marked "N/A" in the space provided.

SBD recognizes that you may not have all the documentation we request. Should that be the case, please submit a letter with your application stating which documents do not exist and why.

If your firm is a non-profit entity, please do not complete this application - only "for-profit firms" qualify for Miami-Dade County SBD certification(s). It is recommended that all applicants register as a vendor with Miami-Dade County, Procurement Management Division. To register, you may visit: <http://www.miamidade.gov/procurement/vendor-registration.asp>

Section I: Small Business Enterprise Programs (SBE)

In the box provided, you may check one (1) or more SBE program(s) for certification. Choose the program(s) that best fit your firm.

Small Business Enterprise – Goods and Services are small businesses that provide goods and/or services to Miami-Dade County:

- Business must have a Miami-Dade County Local Business Tax (LBT) Receipt for at least one (1) year.
- Business must have an actual location in Miami-Dade County.
- Home based business require an owner to reside at the location.
Virtual office location is not accepted for certification
- Business 3 Years average gross receipt not to exceed \$5 million.
- Business owner can own only one certified SBE – Goods and Services firm.
- Business License holder/qualifier (*if applicable*) must own at least 10% of the firm's issued stocks or have at least a 10% ownership interest in the certified firm.
- Business owner(s) Personal Financial (net worth) Statement cannot exceed \$1,500,000 for each owner.

Small Business Enterprise – Construction Services are defined as independent construction companies:

- Business must have an actual location in Miami-Dade County.
- Home based business require an owner to reside at the location
Virtual office location is not accepted for certification
- Business must have a valid Local Business Tax (LBT) Receipt issued by Miami-Dade County at least one (1) year prior to certification.
- Business owner can own only one certified SBE - Construction firm.
- Business License holder/qualifier must own at least 10% of the firm's issued stocks or have at least a 10% ownership interest in the certified firm.
- Business 3-years average gross receipts not to exceed \$10 million for general building (NAICS 236/SIC 15), \$6 million for heavy construction contractors (NAICS 237/SIC 16), and \$5 million for specialty trade contractors (NAICS 238/SIC 17).
- Business owner(s) Personal Financial (net worth) Statement cannot exceed \$1,500,000 for each owner.



For Construction Firms only:

- **The Miscellaneous Construction Contract (MCC) Program - 7040 Plan** is set-aside solely for SBE - Construction firms certified by Miami-Dade County SBD. This plan is utilized to bid construction projects in various building trades value up to five (5) million dollars. All firms must be certified and registered under the MCC 7040 Plan before bidding on a solicitation.
- **The Miscellaneous Construction Contract (MCC) Program - 7360 Plan** is open-competitive and accessible to all contractors. This plan is utilized when federal funding is involved or when a 100 percent SBE - Construction goal is not attainable due to unavailability of certified firms in the required trades.
- All certified firms will be automatically added to the 7040 and 7360 Pools. However, you can choose to opt out of the Plan(s).

Small Business Enterprise – Architecture and Engineering are defined as independent corporations, partnerships, sole proprietors or other legal entities in the architecture and/or engineering industry:

- Business must have an actual location in Miami-Dade County.
- Home based business require an owner to reside at the location.
- **Virtual office location is not accepted for certification**
- Business must have a valid Local Business Tax (LBT) Receipt issued by Miami-Dade County at least one (1) year prior to certification.
- Business owner can own only one certified SBE – Architecture and Engineering firm.
- Business License holder/qualifier (*if applicable*) must own at least 25% of the firm's issued stocks or have least a 25% ownership interest in the certified firm.
- Business 3-years average gross receipts not to exceed \$6 million for Engineering, Surveying & Mapping & Landscape Architecture Services, \$4.5 million for Architectural services.
- Business owner(s) Personal Financial (net worth) Statement cannot exceed \$1,500,000 for each owner.

LDBs (Local Developing Business) are small businesses that have nonexclusive permits to provide general aeronautical services to commercial aircraft operators and airlines at Miami International Airport.

- Business must have an actual location in Miami-Dade County.
- Business must have a valid Local Business Tax (LBT) Receipt issued by Miami-Dade County.
- Business 3-years average gross receipts not to exceed \$23,980 million.

Section II: General Applicant Information

A. General Applicant Information:

1. Provide the legal business name and any other names (includes "Doing Business As" or fictitious name) used by the applicant firm, as indicated in the business Article of Incorporation.
2. The business address should be an office physically located in Miami-Dade County, virtual office and P.O. boxes are not accepted.
3. Indicate the Miami-Dade County Commissioner district number for business address listed on the SBE application. You may visit : <http://www.miamidade.gov/commission/>
4. Indicate the name and title of the person who will serve as your business primary contact under this application.
5. Provide majority owner name.
6. Provide your business telephone number including the area code.
7. Provide your business fax numbers including the area code, if any.
8. Provide your business cellular telephone number, if any.
9. Provide the e-mail address, mandatory.
10. Indicate the mailing address, if it is different from your business street address.



B. Business Structure:

- Established Date – it is the date the business was created on or before it was officially incorporated. Give the date on which your business was officially incorporated, as stated in your business' Articles of Incorporation. List your Employer FEIN or Federal Employer Identification Number. This 9 digit code is used by businesses in order to classify and identify them as a tax payer, for banking services and other official and legal purposes. Businesses with no employees and sole proprietorship may use the Social Security number for tax reporting, but for companies with employees must have FEIN or Federal Employer Identification Number. For each business owned by the same person, a different FEIN number would be required. It is unique to a business just like Social Security number is unique to an individual
- Check the appropriate box that describes the legal form of ownership of your business, as indicated in your business's Article of Incorporation, By-laws, business tax documents, etc.

C. In the space provided, briefly describe the primary function, and /or scope of services for your business. State the type of business activity that best describes the applicant firm's specialty, be specific.

- **For SBE – Goods and Services**, to obtain your National Institute of Governmental Purchasing (NIGP) codes, you must register as a Miami-Dade County vendor. You may visit: www.miamidade.gov/procurement or contact the Vendor Services Section at 305-375-5773.
- **For SBE – Construction Services**, to obtain your North American Industry Classification System (NAICS) code(s) that best describes the service, or work of the firm. You may visit: https://www.sba.gov/sites/default/files/files/Size_Standards_Table.pdf.
- **For SBE – Architecture and/or Engineering**, any firm interested in providing architecture, engineering, landscape architecture, and/or and surveying and mapping, (professional services) to Miami-Dade County must have technical certification approval. A firm's Technical Certification is valid for two (2) years. You can visit: <http://www.miamidade.gov/procurement/pre-qualification-and-technical-certification-process.asp> or call 305-375-5637.

Section III Ownership/Control of Firm

A. *Identify all owners, partners, or shareholders individually with any ownership interest in your firm, providing the information requested below:*

1. Give the name and title of the owner
2. Indicate owner's race/ethnicity
3. Indicate the owner's gender
4. Indicate the percentage of ownership and proof of ownership, you should submit the following – Stock certificates, Partnership agreement, Shareholder's agreements, Articles of Incorporation/organization, Membership agreement or Operating agreement, if issued. If any of the above-mentioned documents are not available, you must provide a written notarized letter explaining that the document(s) does not exist.

B. Qualifier or license holder(s) must be an owner with percentage of ownership in the Applicant's firm. At least 10% for SBE – Goods and Services and Construction and at least 25% SBE – Architecture and Engineering.



C. Personal Financial (NET WORTH) Statement

1. Give the name of each owner
2. List the personal net worth of all applicant(s). **NOTE:** This attachment to the application cannot be left blank. Personal net worth does not include the value of the business, the equity in the owner's primary residence, and funds invested in an individual retirement account ("IRA"), pension, or other official retirement account (each owner MUST provide information about the terms and restrictions of the account(s) to SBD, and certify that the retirement account(s) is legitimate. Complete one Personal Financial Statement for each owner – see *attachment A and B*.

Attachment A - You must complete each asset and liability section (1 through 12) transferring the total from each section to the Summary Page. For any section where no asset or liability exists, you must indicate "Not Applicable," or enter zero(s). If you require more space in any section, attach additional sheets, and reference the appropriate section number and heading. If you hold any asset or liability jointly, each owner should reflect the value of their individual shares. This form must be completed and notarized for all New Applications, Re-certification Applications and Annual Continuing Eligibility Affidavits for Small Business Certification. **Attachment A must be maintained with your office** records, and made available to Small Business Development (SBD) when site visits are conducted. Failure to comply with these requirements will result in the non-certification or immediate decertification of your business.

Attachment B - must be submitted with your application. The Personal Net-Worth (PNW) for each owner cannot exceed \$1.5 million. Your personal net worth is a monetary figure that is calculated by subtracting your total liabilities from your total assets. When calculating your PNW, the following should be excluded:

- Value of the business.
- Value of your primary residence for which there is a homestead exemption.
- All applicable retirement accounts in which there is a monetary penalty for early withdrawal (i.e., IRA, 401k, pension, or other official retirement account).

Each owner MUST provide information about the terms and restrictions of the retirement account(s) to SBD, and certify that the retirement account(s) is legitimate. Representations as to average gross revenues, personal net worth of owners and payroll shall be subject to audit.

If you hold any assets or liabilities jointly, you (the owner), need only include the value of your individual shares.

3. Each ownership percentage in the business
4. Give number of years each person has been an owner of the business

D. Identify your business/firm's management personnel who control your firm in the following areas:

1. Negotiating and contract execution, including participation in any of your firm's negotiations and executing contracts on your firm's behalf
2. Field operations supervision, including site supervision, scheduling, project management services, etc.
3. Making of financial decisions on your firm's behalf, including the acquisition of lines of credit, surety bonds supplies, etc.
4. Office Management
5. Marketing and Sales
6. Hiring and/or firing of management personnel, including interviewing and conduction performance evaluations.

E. List the name and title of each person who is a member of the Board of Directors for the company. In the space provided, state the name/title, ethnicity, period of service and percentage of stock owned. If the firm is a sole proprietorship or partnership and has no Board, please indicate "N/A" in the space provided.



- F.** Indicate whether any owner(s) of the applicant firm/business has any ownership, financial interest and/or affiliation with any other firm (list all active domestic and foreign firms). Give the owner(s) name, other business name, the type of business and the ownership percentage. SBD will determine if the applicant firm as affiliate and if that affiliate is engaged in the same or similar type of business as the applicant firm. Businesses are affiliates of each other when they share common ownership, common management, common facilities, or contractual relations. For affiliate firm, you must submit copies of the corporate federal tax returns for the previous three years. For more information on affiliation, please see "Appendix A" on the SBD website at <http://www.miamidade.gov/smallbusiness/enterprise-programs.asp>
- G.** Indicate whether your firm is owned in full or in part by another firm. If so, you must provide the other firm name, address, percentage of ownership, contact person name and telephone number. (Include Small Business Investment Company (SBIC) Program, venture capitalists, and other similar investors.)
- H.** Check the appropriate box that indicates whether any owner, principal, board member and/or officer works for any other firm(s) in the same or similar line of business. If you checked "Yes", identify the individual name, title/position held in the other firm and company/firm name.
- I.** If there are changes, you must indicate any changes in ownership, control and/or responsibility that have occurred within the last 15 months. Those changes may include but are not limited to increase or decrease in percentage of ownership, add or removal of ownership, changes in key management (any individuals that are listed in Section III, D of the Miami-Dade SBE application), etc.
- J.** If yes, indicate the owner(s), key management (anyone listed in Section III, D of Miami-Dade SBE application), and/or qualifier who has been employed in any capacity with another company.
- K.** Indicate if any owner(s) is currently employed with Miami-Dade County. If yes, you must give that individual name and County Department where the individual works. You must contact the Miami-Dade County Ethic Commission for a legal opinion at ethics@miamidade.gov or 305-579-2594. That opinion should be submitted in writing with the Miami-Dade County SBE application.

Section IV Financial Information

- A.** You must submit signed copies of the firm's and its affiliate's corporate federal tax return, including all schedules, for the firm/company for the past three (3) years. If you filed an IRS Tax Return extension, you must provide a copy of the extension and a copy of the business' most recent income statement. If your business is a sole proprietorship, you must submit your individual tax returns for the last three (3) years. If your income statement is not available for the most recent year, you must provide a signed statement from an owner within the applicant firm indicating the estimated gross revenue.
- B.** Indicate the number of individual(s) who are authorized to sign checks for your firm/business. Provide the name(s) and title of the individual(s).
- C.** If applicable, indicate in the spaces provided, name of the source who provided the contribution, what type of contribution (cash, loan, gifts, equipment, expertise, etc.), its current dollar value, the reason or purpose the contribution was given to your firm.

Section V Certification History

- A.** If yes, explain any instances of decertification, suspension or removal of participation from government (local, state or federal) certification programs (Small Business Enterprise, Disadvantaged Business Enterprise, etc.) to the applicant firm or firms associated with the applicant's owner, officers, directors, or senior managers. Identify the agency that has taken the action, what type of action (removal, denial, decertified, suspended, etc.), that agency telephone number, contact person for the agency, and date of the action. You must attach a copy of the letter from the agency or any written correspondence explaining the action taken by the agency.



- B. If yes, explain any suspensions or debarments from government (local, state or federal) contracting to the applicant firm or firms associated with the applicant firm's owners, officers, directors, or senior managers. You must attach a copy of the letter from the agency or any written correspondence explaining the action taken by the agency. *Firms that are debarred to do business with Miami-Dade County are listed at <http://www.miamidade.gov/smallbusiness/business-development-reports.asp>*

Section VI Licenses and Registration

- A. All firms must be registered or authorized to do business with the Florida Department of State Division of Corporations – www.sunbiz.org. If you answered “No”, the applicant firm’s cannot obtain Miami-Dade County SBE Certification until firm is registered with the State Division of Corporations.
- B. The State of Florida requires many professional activities to be state-licensed. To obtain a listing of regulated professions and businesses, you may visit <http://www.myflorida.com/licensee/>. For additional information you may visit RER website at <http://www.miamidade.gov/building/certificates.asp>. A copy of all required license(s) must be submitted with the certification application. If you answered “No”, you must provide a written statement explaining why.
- C. All firms must be registered or authorized to do business with Miami-Dade County and have a valid Miami-Dade County Local Business Tax Receipt (LBT) for at least one (1) year. Local business taxes (formerly known as occupational licenses) vary depending on the nature of business. A receipt is required for each place of business and for each separate classification at the same location. Receipts are transferable when there is a change of ownership, business location or trade name. You may apply in person at 200 NW 2nd Avenue, 1st Floor, Miami, Florida 33128 or on-line at <https://www.miamidade.county-taxes.com/btexpress>. For information regarding other business licenses or permits, you can visit <http://www.miamidade.gov/businessexpress/start-license.asp>

Section VII Facility Information

- A. List all locations the applicant firm uses to conduct business; this includes principal and regional offices. In space provided, you must give the street address, city and zip, purpose that office is used for (principle office, storage, warehouse, etc.), the approximate square footage, office location zoning type (commercial or residential). Indicate yes or no, if office space is shared with another entity. You must provide copies of your current written lease agreement (with landlord contact information) or proof of ownership (deed, mortgage agreement, or property tax bill). Please submit cancelled checks for three (3) months of lease payments along with each lease agreement.
- B. If any facility is shared, provide information on the firm(s) sharing space with the applicant firm including contact person and principal business activities.