



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

Please complete each item, (must be typed or written in ink). 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.**

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 except Wholesalers & Manufacturers whose number of employees cannot exceed 50 and 100, respectively.
- 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** 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. You must submit a copy of the lease agreement or warranty deed for the business address.
3. Indicate the name and title of the person who will serve as your business primary contact under this application.
4. Provide majority owner name.
5. Provide your business telephone number including the area code.
6. Provide your business fax numbers including the area code, if any.
7. Provide your business cellular telephone number, if any
8. Provide the e- mail address, mandatory.
9. Indicate the mailing address, if it is different from your business street address.



- B. If your firm's address has changed within the last twelve (12) months, you must verify and submit the updated information to SBD. That information should include – lease or warranty deed and Local Business Tax Receipt that matches the new address.

### 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. If the qualifier is or has been employed with another firm, you must indicate the employer name, job title, work performed, salary/compensation and date of employment.
- D. 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 completed and 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 completed and 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

**E.** 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>.

**F.** If there are changes, you must indicate any changes in ownership, control and/or responsibility that have occurred since your business within the last 12 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, etc. If yes, you must describe what the changes are and provide back-up documentation verifying the changes.

## **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 (domestic and foreign) 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 for domestic and foreign firms. 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).