



RESOURCE ROUNDUP

WHAT IS SMALL BUSINESS CERTIFICATION?



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WHAT IS A SMALL BUSINESS?

The City of Phoenix defines eligible small business firms as:

- **Independent** and **for-profit** business concerns
- Owned and controlled by one or more persons
 - Personal Net Worth (PNW) of each owner(s) cannot exceed **\$2.047 million**
 - Gross sales (averaged over the business' previous 5 fiscal years) cannot exceed the **Small Business Administration (SBA) guidelines**







BENEFITS OF CERTIFICATION

- **Visibility/Exposure**
 - Primes
 - Other “small” business
 - Private sector
 - Other municipalities
- **Increased access to opportunities**
- **Growth**



CERTIFIED



CERTIFICATION TERMINOLOGY

AVN = City of Phoenix Aviation Department “system” which includes Phoenix Sky Harbor International, Phoenix Goodyear, and Phoenix Deer Valley airports

ACDBE = Airport Concession Disadvantaged Business Enterprise
Program implemented by local agencies pursuant to federal regulations, Title 49 Code of Federal Regulations Part 23 (49 CFR Part 23). This program applies to contracts and concessions administered by airports that receive financial assistance from the Federal Aviation Administration..

DBE = Disadvantaged Business Enterprise
Program implemented by local agencies and state departments of transportation pursuant to federal regulations 49 CFR Part 26. This program applies to all contracts financed in whole or in part by the Federal Aviation Administration, Federal Transit Administration or Federal Highway Administration.

SBE = Small Business Enterprise
Program implemented by the City of Phoenix to promote small business development. Only applicants who meet the certification requirements set forth in Chapter 18, Article VIII of the Phoenix City Code Eligibility requirements for SBE certification will be certified.



CERTIFICATION TERMINOLOGY

Local program = SBE Program implemented by the **City of Phoenix City Code Chapter 18** to promote small business development and applies to contracts issued by the City of Phoenix.

USDOT = The United States Department of Transportation (USDOT or DOT) is a federal agency of the U.S. government responsible for transportation.

FAA = Federal Aviation Administration

AZUCP = Arizona Unified Certification program. A “one-stop” program created to allow an applicant for DBE Certification in Arizona to file only one application and go through one certification review to achieve DBE Certification that will be recognized by all recipients of FAA, FHWA and FTA funds in the State.

Certification = Granted approval of *DBE, ACDBE or SBE application by the City of Phoenix (*AZUCP).

SEDO = Socially and Economically Disadvantage Owner

JOC = Jurisdiction of Original Certification. (Formally Home State)



CITY OF PHOENIX CERTIFICATION PROGRAMS

FEDERAL PROGRAMS

Disadvantaged Business Enterprise (DBE)

Airport Concession Disadvantaged Business Enterprise (ACDBE) *

- Applicable to USDOT-funded contracts administered by the City or its sub-recipients (Valley Metro and 15 surrounding cities)
- Available to firms located throughout the United States.
 - Applicants in **Arizona** can apply/complete the City of Phoenix, ADOT, or City of Tucson DBE certification process.
 - Applicants from **another state** must be certified in their JOC and can apply with the City of Phoenix (AC/DBE) or ADOT (DBE).



Arizona Department of Transportation
Business Engagement and Compliance
1801 W Jefferson St.
Suite 101
Phoenix, AZ 85007
(602) 712-7761



City of Phoenix

City of Phoenix
Equal Opportunity Department
Business Relations Division
200 W Washington St. 15th Floor
Phoenix, AZ 85003
(602) 262-6790



City of Tucson
Department of Procurement
255 W. Alameda, 6th Floor
P.O. Box 27210
Tucson, AZ 85726-7210
(520) 837-4000

*ACDBE Certification is only available through the City of Phoenix

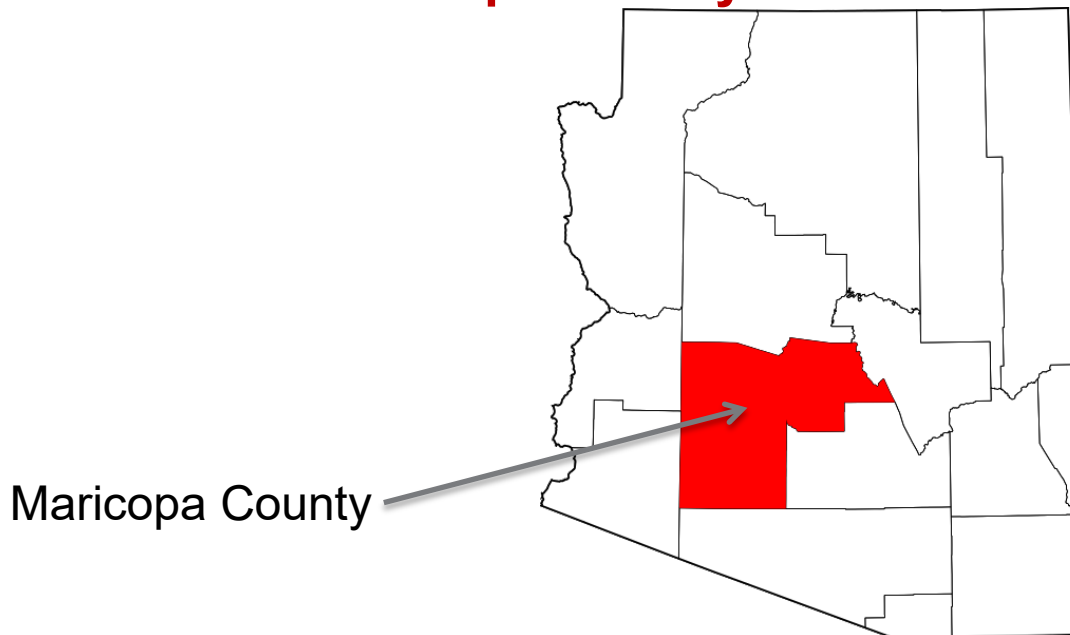


CITY OF PHOENIX CERTIFICATION PROGRAMS

LOCAL PROGRAM

Small Business Enterprise (SBE)

- Applicable to City of Phoenix-funded contracts administered by the City (opportunity to “Do Business” with the City of Phoenix)
- Available only to firms whose principal place of business is located in **Maricopa County**





AC/DBE vs SBE CERTIFICATION

There are **similarities** between **AC/DBE** and **SBE** certification for owners

- Personal Net Worth
- Control and Expertise
- US Citizenship or permanent legal resident
- Operational For-Profit concern
- Small Business Administration (SBA) guidelines requirement
- Non-transferrable
- Business size
 - *Same for DBE and SBE but not for ACDBE*



WHO SHOULD APPLY FOR CITY OF PHOENIX CERTIFICATION?

**SBE vs
AC/DBE CERTIFICATION**

THERE ARE DIFFERENCES



DIFFERENCES: APPLICANTS

AC/DBE PROGRAM

African American



Native American



Pacific Islander



Subcontinent Asian



Hispanic American



Women



Individual Determination



SBE PROGRAM

Program is race and gender neutral.

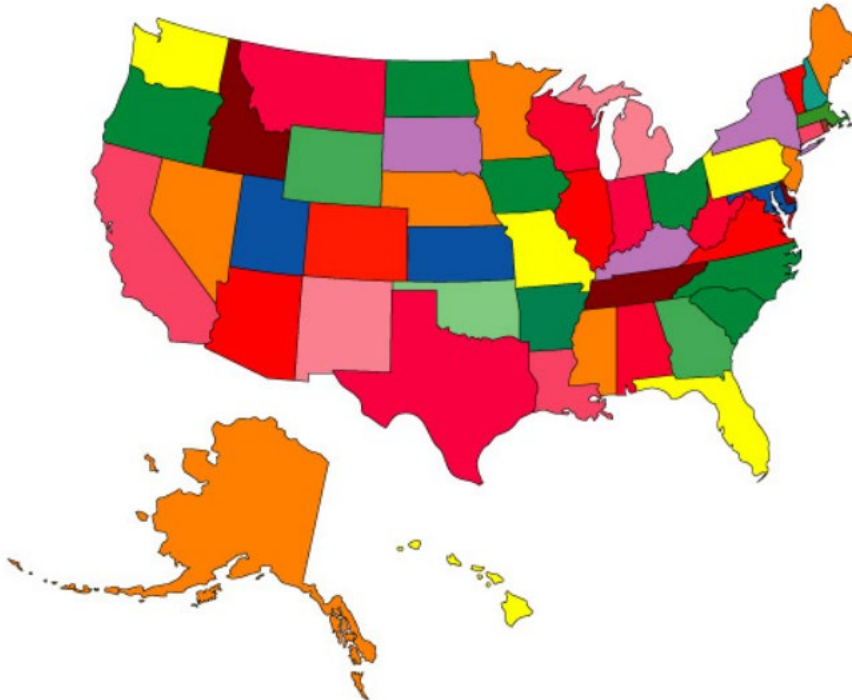
Firm need not be owned or controlled by a particular ethnic or gender group to apply.





DIFFERENCES: LOCATION

AC/DBE PROGRAM



Can be located anywhere in U.S. but **must complete the DBE certification process in Arizona.**

Jurisdiction of Original Certification (JOC) is required for interstate certification.

SBE PROGRAM



Firm must have its **principal location in Maricopa County.**



CITY OF PHOENIX CERTIFICATION PROCESS

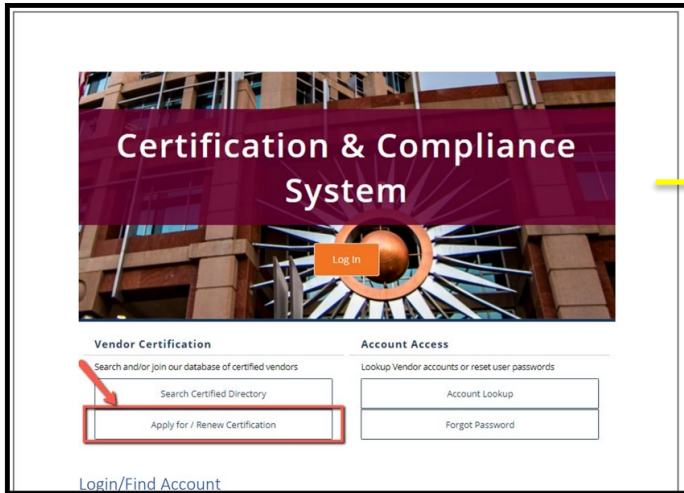
1. Complete online application at our **Certification & Compliance System**
2. Verification of Documents/Internal review
3. Onsite Interview/Job Site Visit
4. Final Recommendation
5. Certification granted
If denied, applicant can appeal decision



To make changes or request updates to your certification
visit the **online application portal:**
<https://phoenix.diversitycompliance.com>



CITY OF PHOENIX ON-LINE APPLICATION



<https://phoenix.diversitycompliance.com>

Register & Apply for Certification Online

SBE, DBE & ACDBE Online Certification Process

Welcome!

You are about to complete the online application for certification under the City of Phoenix's Business Certification Program. If you have any questions or need help while completing the application, please contact the Equal Opportunity Department by email at business_relations.eod@phoenix.gov or by phone at 602-262-6790.

PLEASE NOTE: Our certification programs are valid for providers of goods, general services, and construction subcontractor services. Our program is not intended for the certification of General Contractors.

For more information about the City of Phoenix's Certification Program, visit our website at <http://www.phoenix.gov/eod/programs>.

You may already have an account due to working relationships with other agencies. Therefore, prior to creating a new account, it is always best to Lookup Account to ensure you are not currently in the system.

Need more information about the program or the process?

[View Questions and Answers](#)

New Certification

Your firm is not currently certified.

[Create Account](#)

I Forgot My Username & Password

[Lookup Account](#)

Renew Your Certification

I Know My Username & Password

[Login](#)

I Forgot My Username & Password

[Lookup Account](#)

After logging in to your account, you will be directed to the application form. You can also click the Apply for Certification link on the right side of the "Dashboard." If you require technical assistance while completing the application, please use our [online support form](#).



ON-LINE DIRECTORIES

CITY OF PHOENIX Search for SBE ONLY

Certified Vendor Directory

Search our Certified Vendor Directory by entering search criteria and clicking Search. You must select at least one certification type. You can also search by a variety of other fields which are listed below.

Search results may be downloaded to Excel, by clicking the "Download Results to Excel" button after your search results are displayed. To download the full Certification Directory do not enter search criteria, scroll to the bottom of the page and click the "Download Entire Directory to Excel" button.

NOTE: This online directory lists firms certified by the City of Phoenix. Firms that appear in the directory are currently certified and approved to be utilized toward meeting established contract goals in their displayed certification type(s). Firms that are noted as suspended cannot be utilized for-credit in new contracts until the suspension is removed. For additional details please reference the [US DOT regulations](#) or contact business_relations_eod@phoenix.gov.

Disclaimer: Certification and the information listed within this directory is not a guarantee of a firm's capacity or ability to perform specific tasks or services. Users of this information are advised to conduct their own due diligence when engaging any listed entities. Prior to contracting, it is the prime contractor's responsibility to ensure a subcontractor is ready, willing and able to perform the defined scope of work.

Search by Certification Type

CERTIFICATIONS Small Business Enterprise (SBE)

Search by Business Name or DBA

BUSINESS NAME/DBA Tip: Try just a few letters of the firm's name.

Search by Business Description

BUSINESS DESCRIPTION Tip: Try just a few letters of a keyword.

Search by Commodity Code

COMMODITY CODES

Search by Contact Person

CONTACT PERSON/OWNER First Name
Tip: Use the first few letters.
Last Name
Tip: Try the first few letters.

Search by Location

CITY
ZIP CODE
DISTANCE SEARCH

AZUCP Search for AC/DBE and SBC

Call us: 602.712.7761 | E-mail: AZUTRACS-Support@azdot.gov

AZUTRACS Arizona's Transportation Business Portal

[Search \(DBE\) Firm Directory](#) | [Log In](#)

[Home](#) [Register / Renew](#) [Contract Compliance](#) [Tools / Resources](#)

Firm Search

[Quick DBE Search](#) [Quick SBC Search](#) [Quick ACDBE Search](#)

Search Criteria

DBE SBC ACDBE

Firm Name/DBA

Business Description

Contact First Name

Contact Last Name

City

State

ZIP

NAICS Code

NAICS Description

NAICS Description Keyword

County firm is willing to work in

Firm Type

Professional Work Category

Construction Work Category

Goods And Services

Search Results

0 Firms matched this criteria.



TO CHANGE or ADD* A NAICS CODE

*Only applies to certified firms

NAICS codes are determined by the scope(s) of work in which a firm meets certification standards. It is **crucial** to ensure that your firm is assigned the correct NAICS codes because it establishes what your firm can be “counted” for utilization credits.

1. Review your current NAICS Code classifications associated with your certification. Make sure you have been assigned all of the appropriate classifications for your firm.
2. If the appropriate codes are not listed, you can request to add or delete NAICS codes via the **online application portal**: <https://phoenix.diversitycompliance.com>

You will need to provide **documentation of capacity** to establish that your firm performs work in the additional classifications requested by providing:

- Past or current contracts
- Evidence of activity specific (i.e., new license or equipment)
- Other information as directed by EOD

Should you have any issues changing (adding or deleting) NAICS codes or have any other questions, contact **Business Relations Division** Certification Section at [602-262-6790](tel:602-262-6790) or brd.certification@phoenix.gov



S/DBE CERTIFICATION: DOES IT LAPSE/EXPIRE?

Certifications **do not** lapse or expire.

However, firms are required to submit via the online system a **Declaration of Eligibility*** annually which confirms the firm's circumstances have not changed and is still eligible to maintain S/DBE certification.

The online system sends reminders:

- **60 days prior** to the anniversary date of your certification
- Every **2 weeks** until you submit the paperwork

Owners failing to submit required renewal documentation in a timely manner are considered **non-compliant** and their firms may be **decertified**. You will receive a separate "Notice of Intent to Remove" by email, to which you must respond immediately to prevent any further action.

Should you have any issues with your annual update or have any other questions, contact **Business Relations Division** Certification Section at **602-262-6790** or brd.certification@phoenix.gov

*A copy of the firm's most recent tax return must be submitted with the Annual Update



COMMON MISTAKES DURING THE APPLICATION PROCESS

- Incomplete information
- Insufficient documentation of ownership acquisition
- By-Laws/Operating Agreement issues
- Insufficient management, control, and/or voting rights
- Lack of independence

mistake

A yellow pencil with a red eraser is shown erasing the word "mistake" from the page. The eraser is positioned at the end of the word, and some eraser shavings are visible on the surface below the pencil.

DISCLAIMER: Submission of an application **does not guarantee** Certification with the City of Phoenix.



CERTIFICATION APPLICATION ASSISTANCE



City Hall
200 Washington St, Phoenix, AZ 85003
15th Floor West

City of Phoenix Certification & Compliance System

**For more information:
Equal Opportunity Department
Business Relations Division**

SBE/AC/DBE Certification:

brd.certification@phoenix.gov

602-262-6790

TTY 602-534-1557





Thank you