



# PROPRIETARY SMALL BUSINESS ENTERPRISE (SBE)

## ROADMAP FOR APPLICANTS

### **Should I apply?**

**If your firm is currently certified with any of the following agencies, you do NOT need to submit the SBE (Proprietary) Application:**

- Federal Small Business Administration (SBA) - 8(a) Business Development Program
- State of California Department of General Services (DGS) – Small Business (SB) and Micro Business (MB)
- California Department of Transportation (CALTRANS)- Small Minority/Women Business Enterprise (SMBE/SWBE)
- L.A. County Metropolitan Transportation Authority (METRO) – Small Business Enterprise (SBE)
- US Women’s Chamber of Commerce (USWCC) - Women-Owned Small Business (WOSB) & Economically Disadvantaged Women-owned Business (EDWOSB)
- National Women Business Owners Corporation (NWBOC) - Women-Owned Small Business (WOSB) & Economically Disadvantaged Women-owned Business (EDWOSB)
- Women’s Business Enterprise Council WEST (WBEC-WEST) – Women-Owned Small Business (WOSB)
- City of Los Angeles – Small Local Business (SLB)
- County of Los Angeles – Local Small Business Enterprise (LSBE)
- California Unified Certification Program (CUCP) – Disadvantaged Business Enterprise (DBE)

***CUCP Agencies include:***

- California Department of Transportation (CALTRANS)
- L.A. County Metropolitan Transportation Authority (METRO)
- San Francisco Bay Area Rapid Transit District (BART)
- San Francisco Municipal Transportation Agency (SFMTA)
- Santa Clara Valley Transportation Authority (VTA)
- City of Fresno
- City of Los Angeles
- San Diego County Regional Airport Authority (SAN)
- San Francisco International Airport (SFO)
- San Mateo County Transit District (SAMTRANS)

**If you are certified by one of the agencies listed above you may add SBE (Proprietary) to your LABAVN profile for verification or check the Bid/Proposal documents for the Department’s instruction regarding verification of certification.**

**If your firm is not currently certified with one of the above agencies, answer these questions:**

- Is your firm an independently-owned and operated business?
- Is your firm a small business that meets the size criteria set forth by the Small Business Administration 8(a) Business Development Program or the State of California DGS Small Business Program?
- Is your firm organized as a for-profit business?

**If you answered “Yes” to all of the questions above, you may be eligible to be certified as an SBE (Proprietary)**

**Complete the attached application and include all of the required documents listed on the checklist of SUPPORTING DOCUMENTATION at the end of this form.**

**Send completed application to:**

CITY OF LOS ANGELES  
DEPARTMENT OF PUBLIC WORKS  
Bureau of Contract Administration  
Office of Contract Compliance – Centralized Certification Administration  
1149 S. Broadway, Ste. 300  
Los Angeles, CA 90015

**For Assistance:**

Call (213) 847-2684

**Where can I find more information?**

- State of California SBE program - <http://www.dgs.ca.gov/pd/Programs/OSDS/GetCertified.aspx>
- Small Business Administration 8(a) Business Development, WOSB, and EDWOSB Programs: <https://www.sba.gov/federal-contracting>
- SBA Size Standards <https://www.naics.com/sba-size-standards/>
- NAICS Search <https://www.census.gov/cgi-bin/sssd/naics/naicsrch?code=811198&search=2007%20NAICS%20Search>
- LAWA SBE Program Rules and Regulations – <https://www.lawa.org/en/lawa-businesses/lawa-administrative-requirements/small-business-enterprise-program>
- Port of Los Angeles Small Business Enterprise (SBE) and Local Business Preference Program information- <https://www.portoflosangeles.org/business/sbp.asp>
- DWP SBE Program Information – [https://www.ladwp.com/ladwp/faces/ladwp/partners/p-vendorsandbidders/p-vb-sbedvbe?\\_adf.ctrl-state=bfw1rfro4\\_4&\\_afLoop=78220979903629](https://www.ladwp.com/ladwp/faces/ladwp/partners/p-vendorsandbidders/p-vb-sbedvbe?_adf.ctrl-state=bfw1rfro4_4&_afLoop=78220979903629)



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Please answer the following:

Which Department referred you to the Office of Contract Compliance for Proprietary SBE Certification?  
(You must check only one box)

- Department of Water and Power
- Harbor Department
- Los Angeles World Airports

Are you currently bidding or participating on a City Project?

- NO       YES

If yes, please provide the following information:

Project Name: \_\_\_\_\_

BAVN ID#: \_\_\_\_\_

Bid/RFP Number: \_\_\_\_\_

Due Date: \_\_\_\_\_



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| I. GENERAL INFORMATION   |   |                  |                      |
|--|---|------------------|----------------------|
| HAS YOUR FIRM BEEN CERTIFIED BY ANOTHER CERTIFYING AGENCY? <input type="checkbox"/> YES <input type="checkbox"/> NO  |   |                  |                      |
| IF YES, WHICH AGENCY & CERTIFICATION (e.g. SBE, MBE, WBE, DBE, etc.):  | HAS FIRM EVER BEEN DENIED CERTIFICATION? <input type="checkbox"/> YES <input type="checkbox"/> NO<br>IF YES, WHICH AGENCY & DATE: |                  |                      |
| LEGAL BUSINESS NAME  | FICTITIOUS OR DOING BUSINESS AS (DBA) NAME(S):  |                  |                      |
| STREET ADDRESS OF PRINCIPAL OFFICE LOCATION (DO NOT USE PO BOX)  | CITY  | STATE            | ZIP                  |
| MAILING ADDRESS (IF DIFFERENT)   | CITY  | STATE            | ZIP                  |
| FEDERAL EMPLOYER ID NUMBER (FEIN)  | DATE FIRM ESTABLISHED:  | WEBPAGE ADDRESS: |                      |
| PRIMARY POINT OF CONTACT:<br>(NAME & TITLE)  | PHONE NUMBER:   | FAX NUMBER:      |                      |
|  | OTHER PHONE NUMBER:   | EMAIL ADDRESS:   |                      |
| <b>ADDRESSES OF OTHER LOCATIONS, FACILITIES, STORAGE SPACES, ETC. (ATTACH ADDITIONAL PAGES IF NECESSARY)</b>   |   |                  |                      |
| DESCRIPTION (e.g. STORAGE, FIELD OFFICE, FACTORY)  | CITY  | STATE            | ZIP                  |
| DESCRIPTION ( e.g. STORAGE, FIELD OFFICE, FACTORY)   | CITY  | STATE            | ZIP                  |
| METHOD OF ACQUISITION: <input type="checkbox"/> STARTED NEW BUSINESS <input type="checkbox"/> PURCHASED EXISTING BUSINESS <input type="checkbox"/> INHERITED BUSINESS<br>OTHER (EXPLAIN): _____  |   |                  |                      |
| BUSINESS STRUCTURE: <input type="checkbox"/> SOLE PROPRIETORSHIP <input type="checkbox"/> PARTNERSHIP <input type="checkbox"/> CORPORATION <input type="checkbox"/> LLC <input type="checkbox"/> JOINT VENTURE   |   |                  |                      |
| TYPE OF BUSINESS: <input type="checkbox"/> CONSTRUCTION <input type="checkbox"/> MANUFACTURING <input type="checkbox"/> SERVICE/CONSULTING <input type="checkbox"/> WHOLESALER/RETAILER<br><input type="checkbox"/> DISTRIBUTOR/BROKER <input type="checkbox"/> CONCESSION <input type="checkbox"/> TRUCKER <input type="checkbox"/> OTHER _____ |   |                  |                      |
| <b>IF TYPE OF BUSINESS IS CONSTRUCTION, PROVIDE:</b>   |   |                  |                      |
| CONTRACTOR'S LICENSE NUMBER:   | LICENSE CLASSIFICATION CODE(S) :  |                  |                      |
| ENTER FIRM'S AVERAGE NUMBER OF EMPLOYEES FOR THE LAST FOUR QUARTERS INCLUDING ALL EMPLOYEES THAT ARE IN CALIFORNIA, OUT OF STATE, AND/OR OUT OF THE COUNTRY. (IF IN BUSINESS LESS THAN A YEAR, AVERAGE THE NUMBER OF EMPLOYEES OVER THE NUMBER OF QUARTERS THAT YOU HAVE BEEN IN BUSINESS)   |   |                  | NUMBER OF EMPLOYEES: |
| NUMBER OF: OWNERS _____ OFFICERS _____ DIRECTORS _____   |   |                  |                      |
| HAS FIRM EVER EXISTED UNDER DIFFERENT OWNERSHIP? <input type="checkbox"/> YES <input type="checkbox"/> NO  |   |                  |                      |
| IF YES, PROVIDE PREVIOUS OWNERSHIP, BUSINESS STRUCTURE, DATE THE CHANGE OCCURRED, AND BRIEF EXPLANATION OF CHANGE:   |   |                  |                      |



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| <b>II. OWNERSHIP (ATTACH ADDITIONAL PAGES IF NECESSARY)</b>                |       |                |   |
|--|-------|----------------|---|
| NAME OF INDIVIDUAL OWNER(S)<br>SHAREHOLDER(S) AND/OR<br>CORPORATE OFFICERS | TITLE | %<br>OWNERSHIP | HOME ADDRESS (STREET, CITY, STATE, ZIP) |
|  |       |                |   |
|  |       |                |   |
|  |       |                |   |

| <b>III. AFFILIATE BUSINESS RELATIONSHIP(S) - DO NOT LEAVE BLANK OR ENTER N/A</b>   |  |  |
|--|--|--|
| <b>DURING THE PREVIOUS THREE (3) TAX YEARS DID ANY OWNER/OFFICER:</b>  |  |  |
|  | YES                                      | NO                                       |
| 1. HAVE OWNERSHIP INTEREST IN ANOTHER BUSINESS?  | <input type="checkbox"/>                 | <input type="checkbox"/>                 |
| 2. SHARE OR HAVE COMMON MANAGEMENT WITH ANOTHER BUSINESS?  | <input type="checkbox"/>                 | <input type="checkbox"/>                 |
| 3. SHARE OR HAVE COMMON OWNERS WITH ANOTHER BUSINESS?  | <input type="checkbox"/>                 | <input type="checkbox"/>                 |
| 4. HAVE A FAMILY MEMBER(S) ENGAGED IN A SIMILAR BUSINESS ACTIVITY?   | <input type="checkbox"/>                 | <input type="checkbox"/>                 |
| 5. HAVE A FINANCIAL RELATIONSHIP WITH ANOTHER BUSINESS CONSISTING OF A LOAN AND/OR ASSISTANCE BOND, SECURITY, OR CREDIT REQUIREMENTS?  | <input type="checkbox"/>                 | <input type="checkbox"/>                 |
| 6. HAVE A LONG-TERM OR PERMANENT CONTRACTUAL RELATIONSHIP WITH ANOTHER BUSINESS?   | <input type="checkbox"/>                 | <input type="checkbox"/>                 |
| 7. SHARE FACILITIES, EQUIPMENT, OR SYSTEMS WITH ANOTHER BUSINESS?  | <input type="checkbox"/>                 | <input type="checkbox"/>                 |
| 8. SHARE EMPLOYEES WITH ANOTHER BUSINESS?  | <input type="checkbox"/>                 | <input type="checkbox"/>                 |
| <b>IF YOU ANSWERED YES TO ANY OF THE ABOVE, PROVIDE THE FOLLOWING INFORMATION FOR EACH BUSINESS THAT APPLIES TO EACH "YES" RESPONSE (ATTACH ADDITIONAL PAGES IF NECESSARY)</b> |  |  |
| 1) OWNER/OFFICER NAME  | 2) OWNER/OFFICER NAME                    | 3) OWNER/OFFICER NAME                    |
| BUSINESS NAME  | BUSINESS NAME                            | BUSINESS NAME                            |
| BUSINESS ADDRESS   | BUSINESS ADDRESS                         | BUSINESS ADDRESS                         |
| NATURE OF BUSINESS   | NATURE OF BUSINESS                       | NATURE OF BUSINESS                       |
| NATURE OF RELATIONSHIP W/ APPLICANT FIRM   | NATURE OF RELATIONSHIP W/ APPLICANT FIRM | NATURE OF RELATIONSHIP W/ APPLICANT FIRM |

| <b>IV. BUSINESS CLASSIFICATION</b>   |  |
|--|--|
| <b>PROVIDE A DESCRIPTION OF YOUR BUSINESS AND/OR INDIVIDUAL KEYWORDS WHICH BEST DESCRIBE YOUR BUSINESS SERVICES:</b><br>USE THE NORTH AMERICAN INDUSTRY CLASSIFICATION SYSTEM (NAICS) TO IDENTIFY THE FIRM'S AREA(S) OF SPECIALTY.<br>THE PRIMARY NAICS REPRESENTS THE FIRM'S LARGEST SOURCE OF REVENUE FOR THE MOST RECENTLY COMPLETED FISCAL YEAR. ENTER UP TO 5 CODES.<br>FOR A FULL LIST OF NAICS CODES AND ASSISTANCE IN LOCATING APPROPRIATE CODES PLEASE VISIT: <a href="http://www.naics.com/search.htm">HTTP://WWW.NAICS.COM/SEARCH.HTM</a> |  |
| 6 DIGIT NAICS CODE & DESCRIPTION:  | % OF THE FIRM'S REVENUES EARNED IN THIS NAICS DURING PAST 12 MONTHS: |
| 1)   |  |
| 2)   |  |
| 3)   |  |
| 4)   |  |
| 5)   |  |



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## PENALTY OF PERJURY DECLARATION

The undersigned states:

I certify under penalty of perjury under the laws of the City of Los Angeles and the State of California that all information submitted in the Small Business Enterprise application, and any additional information to determine eligibility is true and correct.

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Date

### SUPPORTING DOCUMENTATION CHECKLIST

#### SUBMIT REQUIRED DOCUMENTATION FOR ALL CATEGORIES BELOW THAT APPLY TO YOUR BUSINESS.

**PLEASE DO NOT BIND YOUR SUBMITTAL**

#### ALL APPLICANTS

- Most recently entire filed Federal Individual Income Tax Return (Form 1040) for **each owner** including all schedules and statements.
- Entire filed Federal Income Tax Return (Form 1040, 1220, 1120S or 1065) for the applicant business **and** each affiliate business for the most recent three (3) years or for the years the firm or its affiliate(s) were in business.
- If the firm's business classification identified by the selected NAICS codes requires a professional license or permit in order to operate, include a copy of the current license or permit (e.g. Architect, Engineer, Contractor, Broker/Agent, Lawyer, Security, etc.)
- If the size standard for the selected NAICS codes is number of employees- provide the Quarterly Contribution returns and report of wages (Form DE 9C) for the applicant business and each affiliate business for the four (4) most recent completed quarters. Submit a copy of out of state and/or out of country equivalent to form DE 9C, if applicable.

#### SOLE PROPRIETORSHIP

- Fictitious Business Name Statement

#### PARTNERSHIP

- Partnership Agreement and Amendments

#### CORPORATION

- Articles of Incorporation (*signed by the state official with approval date*)
- Corporate Meeting minutes for the past two (2) years listing current elected corporate officers and directors; or statement of information as filed with CA Secretary of State

#### LLC

- Articles of Organization, as filed with State
- LLC Statement of Information
- Operating Agreement and Amendments

#### JOINT VENTURE

- Joint Venture Agreement and Amendments

#### TRUCKING COMPANY

- Title(s) and registration certificate(s) for each truck owned and/or operated by your business
- Current Motor Carrier Permit