

Federal ACDBE/DBE Program DBE/ACDBE Certification

Business Diversity Development

BDD Programs Overview

St. Louis Lambert International Airport is committed to increasing the opportunities to involve minority, women-owned and disadvantage businesses (M\WBE and DBE) in all Airport and City contracting and concession opportunities.

To this end, Business Diversity Development (BDD) is responsible for administering the following programs:

- Certification
- DBE and ACDBE Program
- City of St. Louis MWBE Program
- Outreach and Technical Assistance
- City of St. Louis Living Wage Program
- Title VI



Objectives

- Provide information regarding certification as a Federal Disadvantaged Business Enterprise (DBE) or Airport Concessions Disadvantaged Business Enterprise (ACDBE)
- History of DBE Program
- Eligibility Criteria
- Guidance through the certification supporting documentation checklist



DBE History

- United States Department of Transportation (USDOT) established a regulatory structure in 1980 to remedy past and current discrimination in transportation projects.
- ➤ Initial legislation enacted in 1983 by USDOT



DBE Program Objectives

- ➤ To ensure nondiscrimination in the award and administration of DOT- assisted contracts in the Department's highway, transit and airport financial assistance programs
- ➤ To create a level playing field on which DBEs can compete fairly on DOT assisted contracts.
- To help remove barriers to the participation of DBEs in DOT- assisted contracts.
- To ensure that only firms that fully meet this part's eligibility standards are permitted to participate as DBEs





Missouri Uniform Certification Program (UCP)

- In 1999 USDOT mandated all states to form a (UCP)
- "One stop shopping" to applicants for certification
- UCP must follow all certification procedures and standards of 49 CFR Part 26
- Missouri Regional Certification Committee (MRCC) oversees the UCP for the state
- Transportation projects including federal funds or airport concessions
- Goals set on a contract-by-contract basis





Missouri Uniform Certification Program (UCP)

- Missouri Regional Certification Committee (MRCC) oversees the UCP for the state
- Certifying Agencies:
 - St. Louis Lambert International Airport
 - MoDOT
 - Metro/Bi State
 - Kansas City Area Transit (KCATA)
 - City of Kansas City Missouri (Airport)



Purpose of DBE /ACDBE Certification

To ensure that the program benefits bona fide... For-profit small businesses and concessions owned and controlled by socially and economically disadvantaged individuals.



Definition of a DBE

- Pursuant to 49 (CFR) Part 26, a DBE is defined as a for profit small business concern that is
- A sole proprietorship, partnership, limited liability company, or corporation owned, operated and controlled by socially & economically individuals who:
 - ✓ Have at least 51% ownership
 - ✓ Maintain daily operational & managerial control
 - ✓ Have interest in capital and earnings commensurate with ownership percentage



Definition of an ACDBE

- Pursuant to 49 (CFR) Part 23, a concession that is a for profit small business concern located in an airport that engages in the sale of consumer goods or services to the public under agreement with an airport or the owner of a terminal
- An ACDBE is a business that provides goods and services to the airport and to other concessionaires
- A sole proprietorship, partnership, limited liability company, or corporation owned, operated and controlled by socially & economically individuals who:
 - ✓ Have at least 51% ownership
 - ✓ Maintain daily operational & managerial control
 - ✓ Have interest in capital and earnings commensurate with ownership percentage



Certification Eligiblity Federal DBE/ACDBE Program

- Burden of Proof
- Business Size
- Social and Economic Disadvantage
- Ownership
- Control



Business Size

Business size standards are based on North American Industry Classification System (NAICS)

- Average gross receipts (5 years) for appropriate type of work
- DOT Annual Gross Receipts not to exceed \$30.40 million
- > ACDBE size standard \$56.42 million



Socially Disadvantaged

A citizen or lawfully admitted permanent resident of the United States who are:

- > African-American
- > Asian-Pacific American
- Hispanic-American
- Native-American



Socially Disadvantaged

A citizen or lawfully admitted permanent resident of the United States who are:

- Subcontinent Asian American
- > Women
- ➤ Individual case-by-case

 determination (49 CFR Part 26 appendix E)



AFFIDAVIT OF CERTIFICATION

AFFIDAVIT OF CERTIFICATION



This from must be signed and noturized for <u>each</u> owner upon which disodvantaged status is relied.

A MATERIAL OR FALSE STATEMENT OR OMISSION MADE IN CONNECTION WITH THIS APPLICATION IS SUFFICIENT CAUSE FOR DENIAL OF CERTIFICATION, REVOCATION OF A PRIOR APPROVAL, INITIATION OF SUSPENSION OR DEBARMENT PROCEEDINGS, AND MAY SUBJECT THE PERSON ANDOR ENTITY MAKING THE FALSE STATEMENT TO ANY AND ALL CIVIL AND CRIMINAL PENALTIES AVAILABLE PROCESSAY TO APPLICABLE FEDERAL AND STATE LAW

lower coal and understood all of the questions in this application and that all of the foregoing information and statements submitted in this application and its attachments and supporting documents are true and correct to the best of my knowledge, and that all responses to the questions are full and complete, untilling no material information. The responses include all material information necessary to fully and accurately identify and explain the operations, capabilities and pertinent history of the named firm as well as the ownership, control, and efficiations thereof.

I recognize that the information submitted in this application is for the purpose of inducing certification approval by a government agency. Funderstand that a government agency may, by means it doesn appropriate, determine the accuracy and ruth of the statements in the application, and II authorize such agency to contact any entity named in the application, and the named firm's hunding companies, banking institutions, credit agencies, contractors, clients, and other certifying agencies for the purpose of verifying the information supplied and determining the named firm's eligibility.

Lagree to submit to government audit, examination and review of books, records, documents and flee, in whatever form they exist, of the named firm and its affiliates, inspection of its places[s] of business and equipment, and to permit interviews of its principals, agents, and employees. I understand that rolusal to permit such inquiries shall be grounds for denial of certification.

If awarded a contract, subcontract, concession lease or sublaces. I agree to promptly and directly provide the prime contractor, if any, and the Department, recipioni agency, or federal finding agency on an origining basis, current, complete and accurate information regarding (1) work performed on the project, (2) psyments, and (3) proposed changes, if any, in the foregoing arrangements.

Lagree to provide written notice to the resipient agency or Unified Certification Program of any material change in the information contained in the original application within 30 calendar days of such change (e.g., ownership changes, address-felephone number, personal net worth exceeding \$1.32 million, etc.).

I acknowledge and agree that any misrepresentations in this application or in treams permitting to a contract or subcontract will be grounds for terminating any contract or subcontract which may be awarded, denial or revocation of certification; suspension and debamont, and for initiating action under federal and/or state law concerning false statement, final or other application of limits.

Lectrify that I am a socially and consminally disadvantaged individual who is an owner of the above-of-tenenced firm accking certification as a Disadvantaged Business Enterprise. In support of my application, Lectrify that I am a member of ence or more of the following groups, and that I have held myself out as a member of the group(s). Clinck all that applications.

□ Female □ Black American □ Hispanic American
 □ Native American □ Asian-Pacific American
 □ Subcontinent Asian American □ Other (specify)

I certify that I am ancially disarbontaged because I have been subjected to moial or ethnic prejudice or cultural bias, or have suffered the effects of discrimination, because of my identity as a member of one or more of the groups identified above, without regard to my individual qualities.

I further certify that my personal not worth does not exceed \$1.32 million, and that I am connomically disadvantaged because my ability to compete in the free enterprise system has been impaired due to diminished capital and credit repartments as compared to others in the same or similar line of husiness with are not socially and economically disadvantaged.

I declare under penalty of perjury that the information provided in this application and supporting documents is true and correct,

Signatur

(DBE/ACDBE Applicant)

(Date)

NOTARY CERTIFICATE

U.S. DOT Uniform DBE / ACDBE Certification Application • Page 14 of 15



Economically Disadvantaged

- Personal Net Worth (PNW) must be less than \$1.32 million
- > PNW excludes:
 - Equity in primary residence
 - Ownership interest in applicant firm
- Must submit a signed, notarized PNW with supporting documentation for items provided in the statement



Economically Disadvantaged Personal Net Worth Statement (PNW)

- Must fill out all line items on the Personal Net Worth Statement.
- All assets and liabilities must be reported at current fair market values as of the date of the statement if section is not applicable n/a, and 0 in each section.
- The PNW statement can't be more than 90 days old – So make sure this is the last form you fill out and have it signed a notarized with all supporting documentation.

U.S. Depart Transport		· craonar net morar otalenten				IB APPROVAL NO: XPIRATION DATE:	
This form is used by all participants in owner of a firm applying to participat Each person signing this form author statements made. The agency you at the DBE program regulations 49 C.F.	te as a DBE or / rizes the Unified apply to will use	ACDBE, whose own Certification Progrethe Information pro	nership ar ram (UCF wided to (nd contro) recipie determina	i are relied upon fo nt to make inquiries e whether an owne	r DBE certifical s as necessary r is economical	tion must complete this form. to verify the accuracy of the ly disadvantaged as defined in
Name							Business Phone
Residence Address (As reported to City, State and Zip Code	the IRS)						Residence Phone
Business Name of Applicant Firm							
Spouse's Full Name (Marital Status: Single, Married, Divo	orced, Union)						
ASSETS		(Omit Cents)		LIABILITIES		(Omit Cents)	
Cash and Cash Equivalents		\$		Loan on Life Insurance (Complete Section 5)		\$	
Retirement Accounts (IRAs, 401Ks, 403Bs, Pensions, etc.) (Report full value minus tax and interest penalties that would apply if assets were distributed today) (Complete Section 3)		\$		Mortgages on Real Estate Excluding Primary Residence Debt (Complete Section 4)		\$	
Brokerage, Investment Accounts		\$		Notes, Obligations on Personal Property (Complete Section 6)		\$	
Assets Held in Trust		\$		Notes & Accounts Payable to Banks and Others (Complete Section 2)		\$	
Loans to Shareholders & Other Receivables (Complete section 6)		\$		Other Liabilities (Complete Section 8)		\$	
Real Estate Excluding Primary Residence (Complete Section 4)		\$		Unpaid Taxes (Complete Section 8)		\$	
Life Insurance (Cash Surrender Value Only) (Complete Section 5)		\$					
Other Personal Property and Assets (Complete Section 6)		\$					
Business interests Other Than the A (Complete Section 7)	pplicant Firm	\$					
	Total Assets \$			Total Liabilities		\$	
						NET WORTH	
Section 2. Notes Payable to Bank	s and Others						
Name of Noteholder(s)	Original Balance	Current Balance			cured or Endorsed Type of Collateral		

Economically Disadvantaged Personal Net Worth Statement (PNW)

Assets

- Cash and cash equivalents
- Retirement accounts, IRA, 401Ks, 403Bs, Pensions
- Brokerage and custodial accounts, stocks, bonds, retirement accounts
- Assets held in trust
- Loans to shareholders and other receivables not listed
- Real estate
- Life insurance

Liabilities

- Mortgages on real estate
- Loans on life insurance
- Unpaid taxes



Economically Disadvantaged Personal Net Worth Statement (PNW) con't

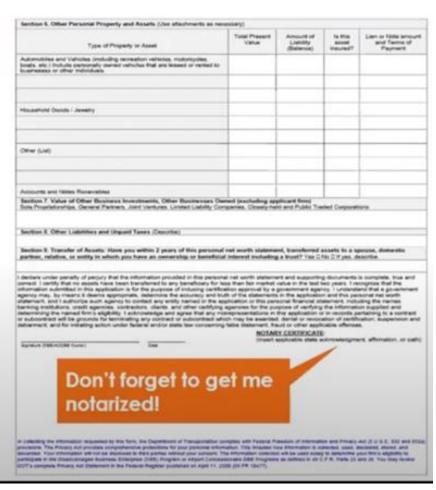
- Section 3 Include brokerage and custodial accounts, stocks, bonds, and retirement account information.
- Section 4 Include all Real Estate
 Owned (include primary residence, investment properties, and personal property leased or rented, farm properties, or any other income producing property.
- Section 5 Life insurance, including beneficiaries.

Name of Evenuty Binharage Account Retirement Account		Cost	Started Value Qualifier Exchange	Date of Qualitation Evolvenge	Total Value	
		-				
		-				
Section 4. Real Entate Own					of the second or the	
Purposes, Family Properties,	or any Other b	natura Produ	sound beatlesty.	Cold worth parties segon Property S	whity Auto autobional site	els if revolucery) Property C
Type of Property						
Arthur .						
Date Angured and Matheel of Anguistion (purchase, ritest), (fronts, giff, etc.)						
Names on Coast						
Purchase Price						
Present Market Valve						
Source of Warret Valuetion						
hapma of all filtrigage Holdber						
Stortgage Acc. Maris belance (se of date of form)						
Equity fine of credit become						
Amount of Payment Par Month Year (Specify)						
		mount and ca	of sumender ve	the of policies, name of	insulation company and	terefolates)
Section & Life Insurance III	Face Value	Cash Sure	nder Ansaurt	Elementolement	Loss on I	holey information
Section & Life Insurance In Insurance Company	744	1000		-		
Section & Life Insurance III	-					



Economically Disadvantaged Personal Net Worth Statement (PNW)

- Section 6 Include personal property or assets such as automobiles, recreation vehicles, motorcycles, boats, etc.).
 Household goods/jewelry will also be included in the section.
- Section 7 Value of other business investments.
- Section 8 Other liabilities and unpaid taxes.
- Section 9 Transfer of assets to spouse, domestic partner, relative, or entity.





Eligibility Criteria – Federal DBE/ACDBE Ownership

- Majority ownership (at least 51% owned)
- Real, Substantial and Continuing
- Initial Capitalization
- Ownership supporting documents Certification and Denials, Federal Tax Returns (signed with all statements and schedules), Loans and Bonding Forms, Meeting Minutes, Operating Agreement, Partnership or JV Agreements, Personal Federal Tax Returns (signed with all statements and schedules) Promissory Notes, Proof of Contributions (for each owner) Shareholders' Agreements, Stock Certificates and Ledger, Transfers and Trusts



Eligibility Criteria – Federal DBE/ACDBE Control

- Independence
- No formal or informal restrictions
- Management authority/power
- Expertise & competence
- North American Industry Classification System (NAICS) Code
- Control supporting documents Articles of Incorporation/Organization, Bank signatory cards, Bank Resolution, By-laws, Certifications and Denials, Documentation for Trucks, Equipment and Vehicle List, Licenses, List of employees, Loans & Bonding Forms, Meeting Minutes, Operating Agreement, Partnership or JV Agreements, Real Estate, Resumes, Schedule of Salaries, Shareholders' agreement(s), Transfers, Warehouse/Storage Facilities



Control is Key



Required Documents for ALL Applicants

Résumés (that include places of employment with corresponding dates) for all owners, offices, & key personnel of the applicant firm

Federal tax returns (and requests for extensions) filed by the firm and its affiliates with related schedules, for the past 3 years

Documented proof of contributions used to acquire ownership for each owner (e.g. both sides of cancelled checks)

Signed loan & security agreements, & bonding forms

List of equipment and/or vehicles owned & leased including VIN numbers, copy of titles, proof of ownership, insurance cards for each vehicle

Title(s), registration certificate(s), & U.S. DOT numbers for each truck owned or operated by your firm Licenses, license renewal forms, permits, & haul authority forms

Descriptions of all real estate (including office/storage space, etc.) owned/leased by your firm & documented proof of ownership/signed leases Documented proof of any transfers of assets to/from your firm and/or to/from any of its owners over the past 2 years

DBE/ACDBE & SBA 8(a), SDB, MBE/WBE certifications, denials, and/or decertifications, if applicable; & any U.S. DOT appeal decisions on these actions

Bank authorization & signatory cards

Schedule of salaries (or other remuneration) paid to all officers, managers, owners, and/or directors of the firm

List of all employees, job titles, & dates of employment

Proof of warehouse/storage facility ownership or lease arrangements

Original & any amended Partnership or Joint Venture Agreements



Required Documents for ALL Applicants

Official Articles of Incorporation (signed by the state official) Both sides of all corporate stock certificates & your firm's stock transfer ledger Shareholders' Agreement(s) Minutes of all stockholders & board of directors meetings Corporate by-laws & any amendments Corporate bank resolution & bank signature cards Official Certificate of Formation & Operating Agreement with any amendments (for LLCs) Optional Documents to be Provided on Request If requested to provide these documents, you must supply them with your application or at the on-site visit ☐ Proof of citizenship ☐ Insurance agreements for each truck owned or operated by your firm ☐ Audited financial statements (if available) ☐ Personal Federal Tax returns for the past 3 years, if applicable, for other disadvantaged owners of the firm ☐ Trust agreements held by any owner claiming disadvantaged status ☐ Year-end balance sheets & income statements for the past 3 years (or life of firm, if less than three years) **Suppliers** ☐ List of product lines carried & list of distribution equipment owned and/or leased



How to apply on-line

www.flystl.com/bdd



BUSINESS DIVERSITY

Business Diversity Development

Get Certified

DEVELOPMENT

Certification Workshops

Contract Opportunities

Find Certified Firms

Compliance Resources

Living Wage

Programs

Success Stories

BDD Frequently Asked Questions

Contact BDD

2019 Business Diversity Forum

BDD Achievements

Missouri Regional Certification Committee (MRCC)

Business Diversity Development

Here at St. Louis Lambert International Airport, we have a large, dynamic, and efficient operation that depends on working with contractors and entrepreneurs in the St. Louis area, regardless of their size or background. Our Business Diversity Development (BDD) department is the certifying body for the City of St. Louis' local Minority and/or Women Business Enterprise (MWBE) program, as well as STL's federal Disadvantaged Business Enterprise (DBE) and Airport Concessions Disadvantaged Business Enterprise (ACDBE) programs.

The BDD is committed to offering the best environment for companies to receive the top technical assistance and certification training, develop partnerships with prime contractors in their industries, and compete successfully for Airport contracts and other opportunities.

You can view our full 2018 BDD Annual Report below. These numbers show that we are dedicated to helping disadvantaged businesses compete for, win, and perform on meaningful contracts for the Airport. See how we can help you.

Certification can be a great development tool. Before filling out an application consider attending one of our certification workshops.

Are you interested in working at St. Louis Lambert International Airport? Sign up to receive notifications of contracting opportunities with our interested parties list.

You can also find current and upcoming contracting opportunities here.

- L Directions To The Business Diversity Development Office
- 🦶 Fiscal Year 2016 BDD Annual Report



BUSINESS DIVERSITY
DEVELOPMENT

Business Diversity Development

Get Certified

Certification Workshops

Contract Opportunities

Find Certified Firms

Compliance Resources

Living Wage

Programs

Success Stories

BDD Frequently Asked Questions

Contact BDD

2019 Business Diversity Forum

BDD Achievements

Missouri Regional Certification Committee (MRCC)

Get Certified

Are you ready to take your business to the next level?

Certification with the City of St. Louis can help make you more competitive for contracts and business opportunities not just at the Airport, but also in the St. Louis region.

Airport Concessions Disadvantage Business Enterprise (ACDBE), Federal Disadvantage Business Enterprise (DBE), City of St. Louis Local Minority Business Enterprise (MBE), and City of St. Louis Local Women Business Enterprise (WBE) certifications provide invaluable marketing exposure to leading contractors and government agencies. If your business receives certification, you also get access to training seminars that can help drive your growth and development.

The BDD office has the responsibility of certifying and re-certifying Minority and/or Women-owned Business Enterprises to participate in the City of St. Louis M/WBE Program. Remember, you must be certified or recognized by the City of St. Louis to participate in the M/WBE Program.

To learn how to summit a successful application register for one of our certification workshops.

What are the benefits of becoming certified?

- Having a Sense of Community
- · Landing Contracts That Once Seemed Unlikely
- Opening Up Marketing Opportunities
- Getting Access to Government Contracts



How to Get Started

The department utilizes the Certification and Compliance Management System for our online certification process. This online certification system is developed and managed by B2G Now, Inc., which is currently used by a number of government agencies, airports, and other public entities. Use of the system allows for efficient and faster processing of applications and records management. We encourage small businesses to use this system to complete all applications for certification.

The process to apply for MBE/WBE certification with the City of St. Louis involves two steps:

- Create an account in our vendor management system
- Fill out and submit, along with the documents required, the Electronic Certification Application
- Please click link below to review the list of REQUIRED documents for certification
- Please note you will need a tax id number in order to complete the application



Certification Login

If additional assistance is needed in completing the application, sign up for one of our certification workshops. During this workshop, you will have the opportunity to discuss the certification process in-depth and ask additional questions. Please register here or RSVP by calling the BDD office at (314) 426-8111



Certification Program Overview



Online Certification Portal

https://flystl.diversitycompliance.com





Log In

Apply for Certification

If you are interested in applying for certification as a MBE/WBE with the City of St. Louis and/or as a DBE/ACDBE through St. Louis Lambert International Airport, please create an account below.

If you have any questions or need help while completing the application, please contact technical support here.

To continue, please select one option below:

Need Help?

- · Download the user manual
- Sign up for a Training
 Class

New Certification

My firm is not currently certified with the City of St. Louis or St. Louis Lambert International Airport and I don't have an account.

Create Account

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.

Maintain Vour Cartification



Account Lookup

Search the system's user directory to find your account. You can then send yourself a username/password reminder by email and/or fax. Enter search parameters below and click the **Search** button. <u>Search results</u> are displayed below.

If you do not see your business listed in the search results, or the contact information is incorrect, please email <u>Customer Support</u>. Include your business' and personal contact information for account verification. We may need to request additional information for security purposes.

Enter search parameters below and click the **Search** button. You can then send yourself a username/password reminder by email. If you do not see your business listed in the search results, you can select **Change Parameters & Search Again**.

If you are unable to find your business, or the contact information is incorrect, please view this quick video for email Customer Support. Please note that when contacting Customer Support, we may need to request additional information for security purposes.

Need help?

Some questions may be answered by watching a tutorial video:

- Change User Information
- New User Request

Request Username and Password

1

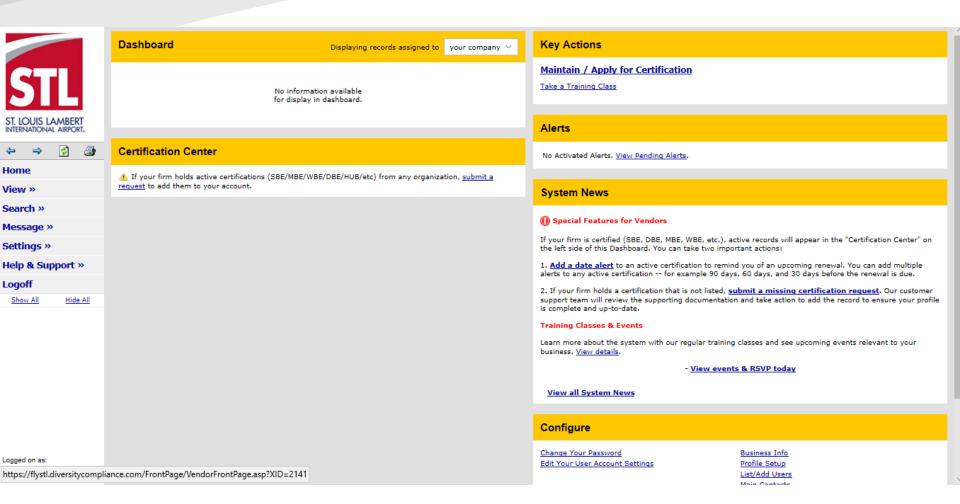
Search by	/ Business	Name	or DBA
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Tip: Try a few letters of the firm's name.

Search by Tax Identification Number

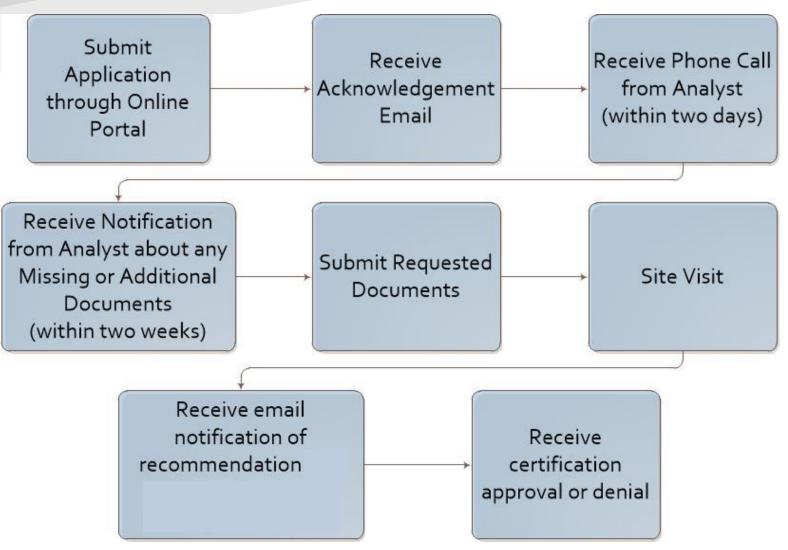
Tip: Must be 9 numbers; do not enter spaces or dashes.







Certification Process Flow Chart





Common Issues

Common Issues

- Not completing the application consistently (including signatures and notarized, where applicable)
- Disregarding mandatory and required documents
- Not being familiar with the firm's governing documents
- Not responding to correspondence
- Confusion about capital contributions
- Firm not operational
- Keep contact information updated in online portal



DBE/ACDBE Certification

Q&A

Break Before MBE/WBE Session

