



City of Phoenix
Equal Opportunity Department

Introduction to

**Small Business Enterprise (SBE) &
Disadvantaged Business Enterprise (DBE)
Certification Programs**





Objectives

Overview:

1. **Explain the City's local SBE and federal DBE Programs**
2. **Define the groups eligible to participate in each program**
3. **Explain the certification review process & criteria**
4. **Introduce you to the on-line certification application**
5. **Answer any questions you might have**



What are the two types of certification?

Small Business Enterprise Program (SBE)

- **Local program**
- **Opportunities to do business with the City of Phoenix**
- **Applicable to procurement and contracting that occurs using City funds**
- **Only available to firms with a primary or principal location in Maricopa County**

Disadvantaged Business Enterprise Program (DBE)

- **Federal program**
- **Applicable to USDOT-funded contracts administered by the City or its subrecipients (surrounding 15 cities, Valley Metro and state wide)**
- **Available to firms located throughout the United States and completed the DBE process with the City of Phoenix, ADOT, or City of Tucson**



What is Certification?

- Certification is the process used to determine an applicant's eligibility to participate in the SBE and/or DBE Programs
- The criteria followed in making the determination is set forth in Chapter 18 of City ordinance and 49 Code of Federal Regulations (CFR) Parts 23 and 26
- Certification applies to the owner of the business
- SBE/DBE designation is not transferable

What are the requirements for SBE certification?

REQUIREMENTS FOR SBE CERTIFICATION

Qualifying groups	Gender and race neutral – Anyone can apply
Personal Net Worth (PNW)	Owner's personal net worth cannot exceed \$1,320,000 (excluding ownership interest in the applicant's business and the primary residence)
Local firm	Firm must have a primary or principal location in Maricopa County
Operational and For Profit concern	Copies of 3 completed or in progress jobs, contracts, proposals or bids
Control and Expertise	Owners must have the experience, expertise, and control of the day-to-day operations of the firm
SBA Guidelines Requirement	Business must qualify as a small business under the Small Business Administration guidelines
U.S Citizenship	Owner(s) must be U.S citizens or permanent legal resident(s)

What are the requirements for DBE certification?

REQUIREMENTS FOR DBE CERTIFICATION

Qualifying groups Must hold at least 51% ownership of the firm	African American males & females Native American males & females Pacific Islander males & females Asian males & females Hispanic males & females Anglo females
U.S Citizenship	Owner(s) must be US Citizen or lawfully admitted permanent resident(s)
Personal Net Worth (PNW)	Owner's personal net worth cannot exceed \$1,320,000 (excluding ownership interest in the applicant business and the primary residence)
Location	Can be located anywhere in U.S. but must complete the DBE certification process in Arizona. Home state DBE certification is required.
SBA Guidelines Requirement	Business must qualify as a small business under the Small Business Administration guidelines
Control and Expertise	Owners must have the experience, expertise, and control of the day-to-day operations of the firm
Operational for Profit	Copies of 3 completed or in progress jobs, contracts, proposals or bids

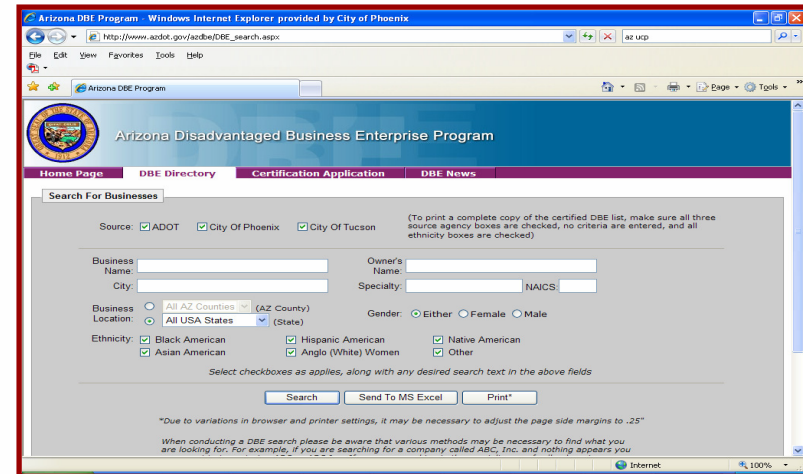
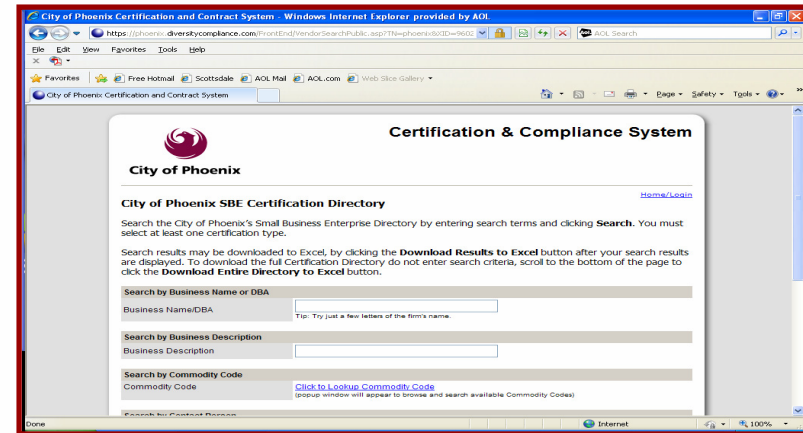


Benefits of Certification?

- Participate in the City's subcontracting goals program
- SBEs are eligible to bid on procurement or general services contracts reserved for competition among certified SBE firms
- Exposure for additional business opportunities through listing in on-line certification directory
- Construction firms are eligible to meet project goals set on contracts funded and/or administered by the City and its subrecipients
- Private sector firms as well as other government agencies offer opportunities to certified firms

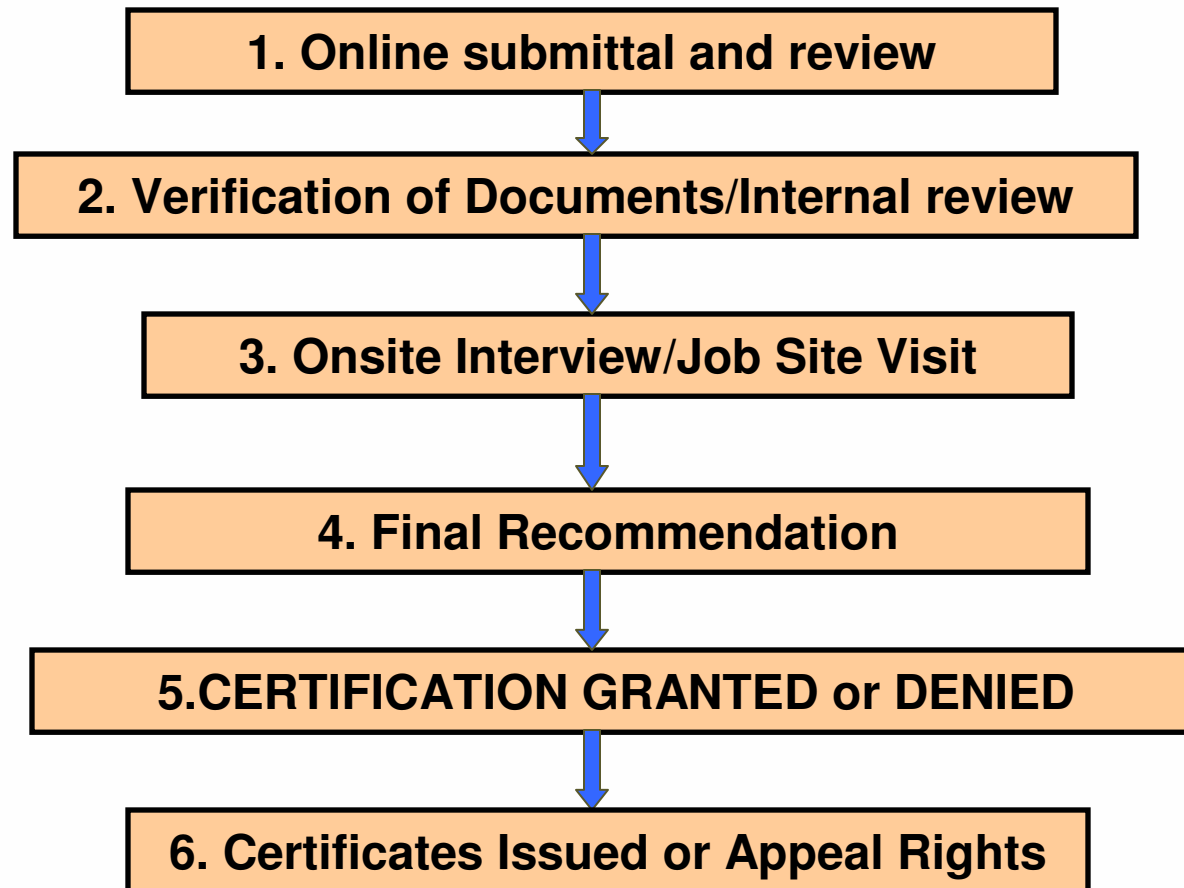
What happens once I become certified?

- Certified SBE firms appear in the City's online directory
- A certificate is issued to the owner of the certified firm as proof of SBE and/or DBE certification
- Certified ACDBE and DBE firms appear in the statewide AZUCP online directory





How are applications processed?





Is my information kept safe?

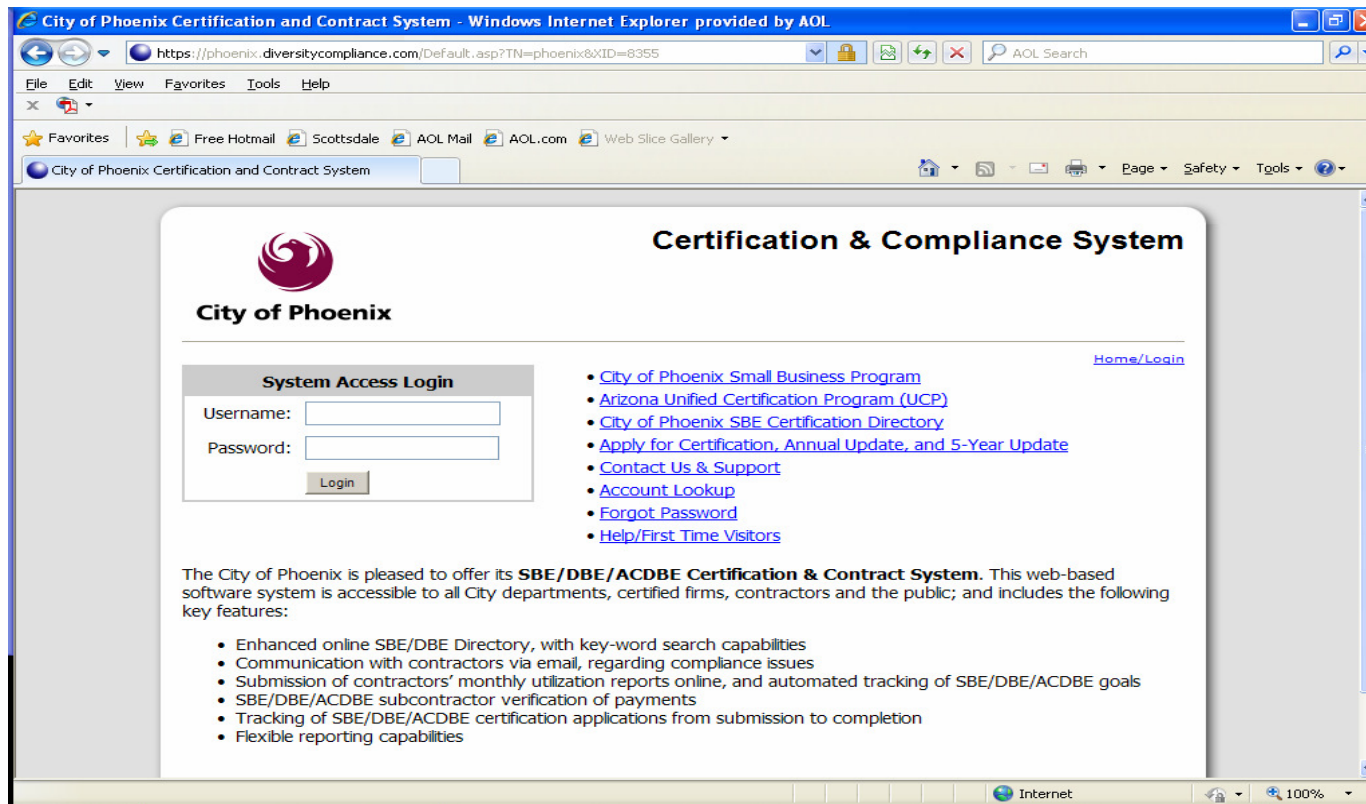
- Applicant's personal and financial information is protected through a secured **https** website: **<https://phoenix.diversitycompliance.com/>**
- We do not disclose information to third parties or other government agencies – unless compelled by law or at applicant's request
- Applicant will be notified if an information request is made from a third party

Where can I go if I need help with the application?

- Call the Equal Opportunity Department at (602) 262-6790 to get questions answered or to make an appointment
- Spanish-speaking staff is available
- After creating a vendor account, use the free tutorials/training webinars



On-line Certification Application



The screenshot shows a web browser window titled "City of Phoenix Certification and Contract System - Windows Internet Explorer provided by AOL". The address bar displays the URL <https://phoenix.diversitycompliance.com/Default.asp?TN=phoenix&XID=8355>. The page content includes the City of Phoenix logo, the title "Certification & Compliance System", and a "System Access Login" form with fields for "Username:" and "Password:" and a "Login" button. A list of links is provided, including "Home/Login", "City of Phoenix Small Business Program", "Arizona Unified Certification Program (UCP)", "City of Phoenix SBE Certification Directory", "Apply for Certification, Annual Update, and 5-Year Update", "Contact Us & Support", "Account Lookup", "Forgot Password", and "Help/First Time Visitors". A paragraph of text describes the system's purpose and lists key features such as an enhanced online directory, communication with contractors, and automated tracking of goals.

City of Phoenix

Certification & Compliance System

[Home/Login](#)

System Access Login

Username:


Password:

- [City of Phoenix Small Business Program](#)
- [Arizona Unified Certification Program \(UCP\)](#)
- [City of Phoenix SBE Certification Directory](#)
- [Apply for Certification, Annual Update, and 5-Year Update](#)
- [Contact Us & Support](#)
- [Account Lookup](#)
- [Forgot Password](#)
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The City of Phoenix is pleased to offer its **SBE/DBE/ACDBE Certification & Contract System**. This web-based software system is accessible to all City departments, certified firms, contractors and the public; and includes the following key features:

- Enhanced online SBE/DBE Directory, with key-word search capabilities
- Communication with contractors via email, regarding compliance issues
- Submission of contractors' monthly utilization reports online, and automated tracking of SBE/DBE/ACDBE goals
- SBE/DBE/ACDBE subcontractor verification of payments
- Tracking of SBE/DBE/ACDBE certification applications from submission to completion
- Flexible reporting capabilities

<https://phoenix.diversitycompliance.com/>



Resources

City of Phoenix Business Resource Line

602.534.CITY (2489)

<http://www.phoenix.gov/business/index.html>

Construction Subcontracting Goals Programs

Street Transportation Department

Mark Escobedo: 602-534-2917

Goods and General Services Procurement Opportunities

Finance Department

602-262-7795

Business Assistance Programs

Community Economic Development Department

602-495-0375



**Equal Opportunity Department
Business Relations Division**

SBE/DBE Certification: 602-262-6790

<https://phoenix.diversitycompliance.com>



Questions?