



Disadvantaged, Minority,
Woman Business
Enterprise
(D/M/WBE)
Certification Workshop

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Overview

- North Central Texas Regional Certification Agency (NCTRCA) mission
- Certification checklist
- Renewal / re-certification process
- Benefits of certification
- What's next after certification
- TUCP & Texas certification agencies
- Upgrade process for DBE and adding additional codes
- ACDBE requirements
- Member entities

NCTRCA mission

- ❑ To provide assistance through education and counseling to applicants throughout the certification process in order to build a certified vendor pool for member entities

Certification Checklist

All applicants must submit the following information and all documentation is not subject to the Open Records Act

- Proof of U.S. citizenship or permanent residency status (U.S. Passport, Birth Certificate, Alien Resident card, etc.) – for all owners
- Proof of ethnicity / race (Driver's license, tribal card. Etc.) – for all owners (enlarge & lighten photos)
- Current, plus two previous years, business federal tax returns (must have all pages), if firm is unable to provide 3 years, write a statement of explanation
- Detailed business resumes of owner(s) and key personnel to include
 - Past employment
 - Duties performed
 - Job title
 - Time frame at each job
 - Education

Certification Checklist

All applicants must submit the following information

- Assumed name certificate – for proprietorship, general partnership (filed with the County Court House) and corporations doing business as another name (filed with the County Court House & the Secretary of State)

- Copies of bank signature cards & corporate resolution or a letter from the bank showing the name of the firm and who is authorized to sign on the business account

- Proof of capital investment
 - Copies of purchase receipts
 - An itemized list of equipment with a market value price
 - Copy of loan agreements
 - Front & back of cancelled checks
 - Titles for vehicles or trucks

Certification Checklist

All applicants must submit the following information

- Proof of Equipment
 - Copy of any leased equipment agreements
 - Copy of receipts for purchased equipment
 - Copy of loan agreements
 - Copy of equipment titles

- Proof of Real Estate Contributions
 - Copy of any office space lease agreements
 - Letter of explanation for a “Cottage” business

- License or State Permit, if applicable
 - Copy of business license for owners or key personnel (showing expiration date)
 - Copy of sales tax permit
 - Copy of authorized distributor agreements

- Three business references to whom your business has provided services/products; include a contact person and phone number

Certification Checklist

For a **Partnership** add the following documents

- Complete copy of Partnership Agreement including buy/out rights & profit sharing

For a **Corporation** add the following documents

- Articles of Incorporation/Formation, with State approval date
- Complete copy of Corporation By-laws and Certificate of Incorporation/Filing
- Front and back copies of all issued and voided stock certificates (not a specimen)
- Minutes of first corporate organizational meeting, last annual meeting and all resolutions affecting ownership
- Proof of stock purchase (i.e., cancelled check) – front/back of cancelled check for each owner
- Complete copy of stock Transfer Ledger – brief synopsis of stock certificates (shows ownership interest)

Certification Checklist

For a limited liability corporation (LLC) add the following documents

- Articles of Organization/Formation, with State approval date
- Complete copy of Corporation Regulations or Operating Agreement and Certificate of Organization/Filing
- Front and back copies of all issued and voided membership certificates (not a specimen) – please review the firm's Regulations, Operating Agreement & Organizational minutes to determine if membership certificates are required
- Minutes of first corporate organizational meeting, last annual meeting and all resolutions affecting ownership
- Proof of purchase for membership interest (*i.e., cancelled check*) – front/back of cancelled check for each owner
- Complete copy of Transfer Ledger – brief synopsis of membership certificates (shows ownership interest)

Certification Checklist

For a **limited partnership (LP)** add the following documents plus corporate information for general partner

- Submit the same information as previously requested for “all applicants” on the General Partner (GP)
- Certificate of Limited Partnership, with State approval date
- Complete copy of Partnership Agreement including buy/out rights & profit sharing

Certification Checklist

Additional documentation that may also be requested

- ❑ Separate Marital Agreement – husband & wife owned firms (must be notarized and filed with the County Court House)
- ❑ If firm is incorporated outside of Texas, submit Authorization to do business in Texas – filed with the Secretary of State
- ❑ Payroll register for last quarter – 941 form filed with the Texas Workforce Commission
- ❑ If applying for Airport Concessionaire /Disadvantaged Business Enterprise (AC/DBE) certification, applicant must submit
 - The Personal Net Worth Statement
 - All pages of the current, plus two previous years, personal taxes
 - W-2's for the majority owner(s) and their spouses
 - Net Worth cannot exceed \$1.32 million
- In addition, if the applicant owns interest in other firms you must
 - Provide the market value of the business (if applying for DBE or ACDBE certification)
 - All pages of the current, plus two previous years business federal tax returns for the other businesses

Renewal / Re-Certification

- Annual Renewal
- Renewal Notifications
 - Emailed / Mailed 60 days prior to expiration
 - Renewed within month you expire

Failure to submit all information prior to expiration date will result in your firm being lapsed or decertified.

Certification Benefits

- ❑ Certification expands your business opportunity
- ❑ All NCTRCA member entitles utilize the NCTRCA database in their procurement process
- ❑ NCTRCA member agencies are encouraged to use a diversity outreach program that includes solicitation to certified businesses
- ❑ Serves as an inexpensive marketing tool

What's next after certification?

- ❑ Contact each NCTRCA member entity to register in their procurement database and to access their procurement process
 - Online vendor registration
 - Check periodically that your firm's information is correct with both NCTRCA and member entities
 - This information is used by
 - Member entities, general contractors and others to contact you
 - Notify you of bids and upcoming events and
 - More importantly to pay you
- ❑ Maximize certification exposure by participating in NCTRCA member agencies ongoing outreach events:
 - Training sessions
 - Networking events

How to Utilize Your Certification?

- ❑ Obtain notice of bid opportunities
 - Online bid postings
 - Local newspapers
 - Local cable access channels
 - Online bid search engines
 - Bidder's hotline

- ❑ Attend Pre-Bid meetings

- ❑ Visit Buyers to assess the needs of the member entity

- ❑ Be pro-active and contact potential prime contractors and prime consultants if your business lends itself to performing subcontracting or sub-consulting work

Texas Unified Certification Program (TUCP)

- Reciprocal certification program specific to DBE certification for the state of Texas
- DBE firm is certified based on headquartered location
- Six Agencies
 - City of Austin
 - City of Houston
 - Corpus Christi Regional Transportation Authority
 - NCTRCA
 - SCTRCA (San Antonio)
 - Texas DOT

Texas Certification Agencies

- **Federal Certifications**

SBA (Small Business Administration) (all other federal agencies) www.sba.gov

DBE (Federal Transportation agencies) <http://www.dotcr.ost.dot.gov/asp/dbe.asp#file>

- **State Certifications**

HUB (Historically Underutilized Businesses) <http://www.cpa.state.tx.us/procurement/prog/hub/>

- **Local Certifications**

M/WBE Certifications provided by each individual city - *Certifications are not reciprocal*
NCTRCA, SCTRCA (San Antonio), City of Austin, City of Houston, etc.

- **Council Certifications**

DFW Minority Supplier Development Council – certify minority owned business only

<http://msdc.adaptone.com/dfwmsdc/>

Women's Business Enterprise South West – certify women only

http://www.wbcswest.org/wbe_certification.aspx

UPGRADE TO DBE PROCESS

- What is it for?
 - If the firm is already certified as a MBE or WBE and wish to be qualified as a DBE.
- What NCTRCA needs?
 - Completed DBE application
 - Letter with application requesting DBE upgrade
 - Personal taxes for past (3) three years & W2 forms
- Is a site visit required?
 - Yes. The agency must conduct a site visit if the firm is seeking DBE certification. This must be conducted prior to the firm receiving DBE status.
- Is DBE certification automatic if you are already an M/WBE?
 - No. The requirements for DBE certification are different than that of M/WBE and therefore DBE status is not guaranteed.

Adding Additional NAICS Codes

- If your firm is already certified you have specific NAICS codes listed on your certificate. *No cap on number of codes desired.*
- In order to add additional codes:
 1. The firm must provide a written request to the NCTRCA specifically identifying additional NAICS or service areas
 2. The firm must provide 2-3 client references for which the services have been provided
 3. The firm may provide 2-3 contracts documenting services provided (contracts must be executed)
 4. The firm must provide documentation identifying equipment necessary to provide additional services
- A site visit will be conducted

ACDBE Additional Documents

- Concession contracts or other contracts firm has received
 - If concession is located in Airport- provide copy of agreement between airport and concession
 - If concession is not located in Airport, but has provide services elsewhere – provide copy of contracts or agreements for services rendered.
 - If firm is providing a service or product to a concession – provide contract or agreement between firm and concession
- Statement from firm of the type(s) of concession(s) it prefers to operate or type of other contract(s) it prefers to perform
- If franchise, agreement between franchisee and franchisor
- Itemized list of equipment used or needed for operation of concession

Personal Net Worth Statement applied to ACDBE

➤ Same Requirements of DBE

➤ **\$3 million exclusion**

- Exclude finances applicant demonstrates are necessary to obtain or encumbered to enter or expand business
- Personal assets or contingent liabilities
- Exclusion should be real and present rather than a possibility that is speculative or well into the future.

(Ex. Loan obtained today for projected expansion in 3 years could not be excluded on “today’s” PNW)

Differences in Designations

- Disadvantaged Business Enterprise (DBE)
 - Specifically for contracts which receive federal aid from Federal Highway Administration, Federal Aviation Administration, Federal Transit Administration
- Minority / Women Business Enterprise (MBE / WBE)
 - Specifically used as a marketing tool to gain access to contracting opportunities with the local government

If you are M/WBE certified you ARE NOT DBE certified.

Member Entities

- **Austin Industries**
<http://www.austin-ind.com>
- **Baylor Health Care System**
<http://baylorhealth.edu>
- **City of Dallas**
www.bids.dallascityhall.com
- **City of Ft. Worth**
<http://fortworthgov.org/>
- **City of Irving**
<http://cityofirving.org/>
- **City of Lancaster**
<http://www.lancaster-tx.com/>
- **City of Mesquite**
<http://www.cityofmesquite.com/>
- **DART**
<http://www.dart.org/deo.asp>
- **Dallas County**
<http://www.dallascounty.org/>
- **Dallas County Schools**
<http://www.dcschools.com/>
- **Dallas County Community College District**
<http://dccc.edu>
- **DFW Airport**
<http://www.dfwairport.com/>
- **Dallas Independent School District**
<http://www.dallasisd.org/>
- **Fort Worth Housing Authority**
<http://www.ftwha.org/>
- **North Texas Tollway Authority**
<http://www.ntta.org/>
- **The “T”**
<http://www.the-t.com/>
- **Tarrant County College District**
<http://www.tccd.edu>
- **Tarrant Regional Water District**
<http://www.trwd.com/>

Member Entity Representatives

<u>Organization/Representative</u>	<u>Address</u>	<u>Telephone Number</u>
1. Austin Industries Simeon Terry Diversity Affairs	3535 Travis Street, Suite 201 P.O. Box 1590 Dallas, TX 75204-1466 Email: sterry@austin-ind.com	(214) 443-5500 (214) 443-5556 (fax)
2. Baylor Health Care System Lisa Woodard Supplier Diversity Program	2001 Bryan Street, Suite 2700 Dallas, TX 75201 Email: lisawoo@BaylorHealth.edu	(214) 820-8306 (214) 820-7390 (fax)
3. City of Dallas Perfecta Gallegos Assistant Director, Business Development & Procurement Services	City Hall 1500 Marilla, Suite 3FN Dallas, TX 75201 Email: perfecta.gallegos@dallascityhall.com	(214) 671-9352 (214) 670-4793 (fax)
4. City of Fort Worth Gail Scott M/WBE Office	1150 South Freeway, Suite 144 Fort Worth, TX 76104 Email: gail.scott@fortworthtexas.gov	(817) 212-2674 (817) 212-2681 (fax)
5. City of Irving Deborah McVean M/WBE Program Administrator	845 W. Irving Boulevard Irving, TX 75060 Email: dmcvean@cityofirving.org	(972) 721-3753 (972) 721-2568 (fax)

Member Entity Representatives

<u>Organization/Representative</u>	<u>Address</u>	<u>Telephone Number</u>
6. City of Lancaster Dawn Berry Purchasing Manager	Purchasing Office 211 N. Henry Street Lancaster, TX 75146 Email: dberry@lancaster-tx.com	(972) 218-1133 (972) 216-6394 (fax)
7. City of Mesquite LaKeesha Browne Senior Financial Analyst	711 N. Galloway Ave. Mesquite, TX 75185 Email: lbrowne@ci.mesquite.tx.us	(972) 329-8721 (972) 216-8157 (fax)
8. Dallas Area Rapid Transit Henry Nelson	P.O. Box 660163 Dallas, TX 75266-7217 Email: hnelson@dart.org	(214) 749-3191 (214) 749-3665 (fax)
9. Dallas County Leffie Crawford Director, OM/WBO	Records Building 509 Main Street, Rm. 613 Dallas, TX 75202 Email: ltcrawford@dallascounty.org	(214) 653-6018 (214) 653-7449 (fax)
10. Dallas County Schools Wes Scott	612 N. Zang Boulevard Dallas, TX 75208 Email: wscott@dcschools.com	(214) 944-4550 (214) 944-4564 (fax)
11. Dallas County Community College District John Lopez Director, Business Diversity Program	4343 N. Highway 67 Mesquite, TX 75150 Email: businessdiversity@dcccd.edu	(972) 860-7917 (972) 860-7929 (fax)

Member Entity Representatives

<u>Organization/Representative</u>	<u>Address</u>	<u>Telephone Number</u>
12. D/FW Airport Board Felix Galan - CHAIR M/WBE Liaison	P.O. Box 619428 DFW Airport, TX 75261 Email: fgalan@dfwairport.com	(972) 973-5504 (972) 973-5501 (fax)
13. Dallas Independent School District Annie Holmes-Partee Executive Director, M/WBE	3700 Ross Ave. – Box 76 Dallas, TX 75204 Email: APartee@dallasisd.org	(972) 925-4143 (972) 925-4141 (fax)
14. Ferrovial Agroman Angela Berry-Roberson DBE Manager	5520 LBJ Freeway, Suite 150 Dallas, TX 75240 ntedbe@ferrovial.us.com lbdbe@ferrovial.us.com	(972) 239-2771 (817) 510-3557 (phone 2)
15. Fort Worth Housing Authority Henry Robinson Materials Manager	300 S. Beach Fort Worth, TX 76105 Email: henry@ftwha.org	(817) 535-6877 * 2101 (817) 535-5445 (fax) (817) 333-2101
16. Fort Worth Transit (The "T") Andrew Boster Grant Administrator	1600 E. Lancaster Fort Worth, TX 76102 Email: aboster@the-t.com	(817) 215-8730 (817) 215-8709 (fax)

Member Entity Representatives

<u>Organization/Representative</u>	<u>Address</u>	<u>Telephone Number</u>
17. Irving Independent School District Rick Powell – VICE CHAIR	2621 West Airport Freeway Irving, TX 75062 Email: rpowell@irvingisd.net	(972) 600-5440
18. North Texas Tollway Authority LaRhonda Hytchye Manager – BOPP	5900 W. Plano Parkway, #100 Plano, TX 75093 Email: lhytchye@ntta.org	(214) 224-2288 (214) 528-4826 (fax)
19. Tarrant County College District Reginald Cleveland M/WBE Coordinator	1500 Houston Street Fort Worth, TX 76102 Email: reginald.cleveland@tccd.edu	(817) 515-5399 (817) 515-5315 (FAX)
20. Tarrant Regional Water District Stacy Beeson - SECRETARY Administrative Analyst	800 E. Northside Drive Fort Worth, TX 76106 Email: stacy.beeson@trwd.com	(817) 720-4343 (817) 720-4938 (FAX)