



State of California  
Department of General Services  
Procurement Division

**FOR STATE USE ONLY**

**Request for Small Business, Small Business for the Purpose of Public**

**Works and/or Disabled Veteran Business Enterprise Certification (Application) (Rev. 01/2019)**

Office of Small Business & DVBE Services (OSDS)

707 3<sup>rd</sup> Street, 1<sup>st</sup> Floor, Room 1-400, MS 210

West Sacramento, CA 95605

[www.caleprocure.ca.gov](http://www.caleprocure.ca.gov) ▪ (916) 375-4940 ▪ FAX (916) 375-4950 ▪

[OSDSHelp@dgs.ca.gov](mailto:OSDSHelp@dgs.ca.gov)

CERTIFICATION ID:

BIDDER ID:

CERT. OFFICER:

DATE RECEIVED:

DATE PROCESSED:

**FOR EXPEDITED PROCESSING APPLY ONLINE AT  
[HTTPS://CALEPROCURE.CA.GOV](https://caleprocure.ca.gov)  
SUBMISSION OF PAPER REQUESTS MAY SIGNIFICANTLY  
LENGTHEN PROCESSING TIMES.**

**APPLICANT MUST BE AN ESTABLISHED BUSINESS BEFORE APPLYING. TYPE OR PRINT CLEARLY IN INK.**

<b>CERTIFICATION TYPE</b> (Check at least one below) <i>Renewal applications should only be submitted within 90 days prior to the firm's certification expiration date.)</i>				
<input type="checkbox"/> <b>SMALL BUSINESS (SB)</b> <i>Owner/officer must sign Section N</i>	<input type="checkbox"/> <b>SMALL BUSINESS-PUBLIC WORKS (SB-PW)</b> <i>Owner/officer must sign Section N</i>	<input type="checkbox"/> <b>DISABLED VETERAN BUSINESS ENTERPRISE (DVBE)</b> <i>Disabled Veteran qualifier (DV) must sign Sections N and O</i>		
<b>A. REGISTRATION &amp; CONTACT INFORMATION (ALL APPLICANTS)</b>				
1. LEGAL BUSINESS NAME		2. PRIMARY "DOING BUSINESS AS" (DBA) NAME, IF ANY		
3. SECONDARY "DOING BUSINESS AS" (DBA) NAME, IF ANY		4. DUN & BRADSTREET NUMBER (DUNS), IF ANY		
5. FEDERAL EMPLOYER IDENTIFICATION NUMBER (FEIN)		6. OWNER'S SOCIAL SECURITY NUMBER (SSN) (Only for sole proprietorships that do not use a FEIN)		
7. MAILING ADDRESS <i>(Street address or P.O. Box)</i>		CITY <i>Do not leave blank.</i>	STATE	ZIP CODE
8. PHYSICAL ADDRESS OF PRINCIPAL OFFICE <i>(Do not use P.O. Box.)</i> <i>Do not leave blank.</i>		CITY <i>Do not leave blank.</i>	STATE	ZIP CODE
			COUNTY	
			COUNTY	

<b>9. BUSINESS PHONE NUMBER</b>	<b>10. BUSINESS FAX NUMBER</b>	<b>11. BUSINESS MOBILE NUMBER</b>	<b>12. BUSINESS WEB ADDRESS</b>	
<b>13. CONTACT PERSON'S FIRST AND LAST NAME)</b>		<b>14. CONTACT PERSON'S EMAIL ADDRESS</b>	<b>15. CONTACT PERSON'S PHONE NUMBER</b>	
<b>16. LOGIN USER ID FOR ONLINE ACCESS (MAXIMUM 30 CHARACTERS. IF A USER ID IS NOT PROVIDED, THE EMAIL ADDRESS FROM SECTION 14 WILL BE USED.)</b> Do not leave blank.				
<b>17. I APPROVE THE SHARING OF MY CERTIFICATION INFORMATION WITH OTHER GOVERNMENT AND LOCAL AGENCIES FOR THE PURPOSE OF PARTICIPATING IN THEIR BUSINESS CERTIFICATION PROGRAMS.</b>			YES	NO
<b>18. SB AND/OR SB-PW ONLY: IS THE APPLICANT FIRM OWNED BY ONE OR MORE MILITARY VETERANS?</b>			YES	NO
<b>18A. SB AND/OR SB-PW ONLY: ANSWER ONLY IF 18 IS 'YES'. IS AT LEAST 51% OF THE FIRM OWNED BY ONE OR MORE MILITARY VETERANS?</b>			YES	NO
<b>19. TO REQUEST EXPEDITED PROCESSING, ENTER THE BID DUE DATE AND BID NUMBER FOR A BID THAT REQUIRES THIS CERTIFICATION. ATTACH THE BID SOLICITATION PAGE THAT LISTS THE BID DUE DATE (BDD).</b>		<b>19a. BID DUE DATE</b>	<b>19b. CONTRACT OR BID NUMBER</b>	

<b>B. INDUSTRY TYPE (ALL APPLICANTS)</b>				
<b>20. DOES THIS FIRM PROVIDE SERVICES?</b>			YES	NO
<b>21. DOES THIS FIRM HOLD A CONSTRUCTION CONTRACTOR'S LICENSE WITH THE CONTRACTORS STATE LICENSE BOARD (CSLB)?</b>			YES	NO
<b>21a. IF 21. IS YES, PROVIDE THE:</b> <b>21b. CONTRACTOR'S LICENSE NUMBER</b> <b>21c. LICENSE CLASSIFICATION(S)</b>				
<b>22. DOES THIS FIRM SELL PRODUCTS AS A RESELLER, DISTRIBUTOR, WHOLESALER, RETAILER, ETC.?</b>			YES	NO
<b>22a. IF THIS FIRM SELLS PRODUCTS, PROVIDE THE DEPARTMENT OF TAX AND FEE ADMINISTRATION SELLERS PERMIT NUMBER:</b>				
<b>23a. DOES MORE THAN 50% OF THIS FIRM'S ANNUAL GROSS RECEIPTS RESULT FROM THE SALE OF PRODUCTS IT MANUFACTURES?</b>			YES	NO
<b>23b. DOES THIS FIRM USE ITS OWN FACILITIES TO MANUFACTURE ITS PRODUCTS?</b>			YES	NO

<b>23c. DOES THIS FIRM TRANSFORM ORIGINAL SUBSTANCES OR MATERIALS INTO A PRODUCT WITH NEW CHARACTERISTICS?</b>	YES	NO
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### C. BUSINESS INFORMATION (ALL APPLICANTS)

#### 24a. BUSINESS STRUCTURE TYPE (Check one)

- SOLE PROPRIETORSHIP     
 LIMITED LIABILITY PARTNERSHIP (LLP)     
 CORPORATION  
 PARTNERSHIP     
 JOINT VENTURE     
 LIMITED LIABILITY COMPANY (LLC)

#### 24b. CORPORATIONS & LLCs MUST PROVIDE THEIR CALIFORNIA SECRETARY OF STATE NUMBER:

<b>25. DATE BUSINESS STARTED</b>	<b>26. MONTH TAX YEAR BEGINS</b>
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**27.** If this firm's business structure type changed within the most recent three tax years, enter the previous type and the date the change occurred below:

<b>27a. PREVIOUS BUSINESS STRUCTURE TYPE</b>	<b>27b. DATE OF BUSINESS STRUCTURE TYPE CHANGE</b>
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<b>28. IS THIS FIRM A FRANCHISE?</b>	YES	NO
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### D. AFFILIATE BUSINESS RELATIONSHIPS (SMALL BUSINESS AND/OR SMALL BUSINESS-PUBLIC WORKS APPLICANTS ONLY)

#### 29a. Answer the eight questions below:

The applicant business, including its owners/officers, or partners, or LLC managers and/or members, must disclose affiliate business relationship information regardless of the affiliate's industry. The following questions will help determine if an affiliate business relationship currently exists or existed within the previous three tax years. You must answer **Yes or No**, do not indicate N/A.

For more information on affiliation, click one of the following links:

[Affiliate FAQs](#) (MS Word document)

[Affiliate FAQs](#) (PDF document)

<b>DURING ANY ONE (OR ALL) OF THE PREVIOUS THREE TAX YEARS, DID THE APPLICANT FIRM AND/OR ITS INDIVIDUAL OWNERS/OFFICERS/PARTNERS/LLC MANAGERS AND/OR MEMBERS:</b>		
<b>1. HAVE A CONTROLLING OWNERSHIP INTEREST IN ANOTHER BUSINESS, INCLUDING SOLE PROPRIETORSHIPS AND/OR THE PURCHASE OF A BUSINESS?</b>	YES	NO
<b>2. HAVE ANY OWNERSHIP INTEREST IN ANOTHER BUSINESS, INCLUDING THE PURCHASE OF A BUSINESS?</b>	YES	NO
<b>3. HAVE A ROLE IN MAKING BUSINESS DECISIONS AND MANAGING DAY-TO-DAY OPERATIONS OF ANOTHER BUSINESS?</b>	YES	NO

4. HAVE A FAMILY MEMBER WHO OWNS A SIMILAR TYPE OF BUSINESS?	YES	NO
5. HAVE A FINANCIAL RELATIONSHIP WITH AN INDIVIDUAL OR ANOTHER BUSINESS, SUCH AS ASSISTING WITH LOANS, BONDING, SECURITY, OR CREDIT? (Exclude relationships with public financial institutions.)	YES	NO
6. HAVE A CONTRACTUAL RELATIONSHIP WITH ANOTHER BUSINESS, SUCH AS ASSIGNMENTS OR TITLE TRANSFERS?	YES	NO
7. SHARE FACILITIES, EQUIPMENT OR SYSTEMS WITH ANOTHER BUSINESS?	YES	NO
8. SHARE EMPLOYEES WITH ANOTHER BUSINESS?	YES	NO

**29b. If you answered YES to any of the questions in Section 29a, complete the below section. Only list an affiliate business once. Attach additional paper if necessary.**

If a business was affiliated during the previous three tax years, and is no longer affiliated, disclose the affiliate business and the affiliate business **end date** in the below section.

Affiliate Business Information		Individual associated with applicant & affiliate	Affiliate Ownership %	Affiliate Business Start date End date		Affiliate Avg.# of Employees during last 4 qtrs. (if applicable)
1	Business Name					
	Business Address					
2	Business Name					
	Business Address					

**E. DV EQUIPMENT OWNERSHIP (DVBE APPLICANTS ONLY)****Answer the following questions that apply to equipment rental:**

<b>30a. DOES THIS FIRM RENT EQUIPMENT TO THE STATE?</b>	YES	NO
<b>30b. IF 30a ANSWER IS <b>NO</b>, SKIP THIS QUESTION. IF 30a ANSWER IS <b>YES</b>, DOES THE DV OWN 51% OF THE QUANTITY AND VALUE OF EACH PIECE OF EQUIPMENT THAT WILL BE PROVIDED FOR RENTAL UNDER A CONTRACT?</b>	YES	NO

**F. DVBE MANAGERIAL CONTROL (DVBE APPLICANTS ONLY)****Answer the following questions:**

<b>31. IS THE DV OWNER AND/OR DV MANAGER RESPONSIBLE FOR THE NEGOTIATIONS, EXECUTION, AND SIGNATURE OF CONTRACTS?</b>	YES	NO
<b>32. IS THE DV OWNER AND/OR DV MANAGER RESPONSIBLE FOR THE EXECUTION (SIGNING) OF FINANCIAL TRANSACTIONS AND AGREEMENTS (CREDIT, BANKING, BONDING, ETC.)?</b>	YES	NO

**G. DVBE OPERATIONAL CONTROL (DVBE APPLICANTS ONLY)****Answer the following questions:**

<b>33. ARE THERE ANY FORMAL OR INFORMAL RESTRICTIONS LIMITING THE VOTING POWER OR CONTROL OF THE DV OWNER AND/OR MANAGER?</b>	YES	NO
<b>34. ARE THERE ANY THIRD PARTY AGREEMENTS RESTRICTING DV OWNER AND/OR DV MANAGER CONTROL?</b>	YES	NO
<b>35. DOES THE DV OWNER AND/OR DV MANAGER POSSESS THE REQUISITE EXPERIENCE, EDUCATION, KNOWLEDGE, AND QUALIFICATIONS IN THE FIRM'S FIELD OF OPERATIONS?</b>	YES	NO
<b>36. ARE THE SALARY/PROFITS OF THE DV OWNER AND/OR DV MANAGER COMMENSURATE (PROPORTIONATE) WITH THEIR OWNERSHIP INTEREST?</b>	YES	NO
<b>37. DOES THE DV OWNER AND/OR DV MANAGER HAVE DIRECT RESPONSIBILITY FOR SUBORDINATES, IF ANY?</b>	YES	NO
<b>38. DOES THE DV OWNER AND/OR DV MANAGER HAVE DIRECT RESPONSIBILITY FOR SUBCONTRACTORS, IF ANY?</b>	YES	NO
<b>39. DOES THE DV OWNER AND/OR DV MANAGER HAVE DIRECT RESPONSIBILITY FOR THE APPLICANT FIRM'S EQUIPMENT, IF ANY?</b>	YES	NO
<b>40. DOES THE DV OWNER AND/OR DV MANAGER HAVE DIRECT RESPONSIBILITY FOR THE APPLICANT FIRM'S MATERIALS, IF ANY?</b>	YES	NO
<b>41. DOES THE DV OWNER AND/OR DV MANAGER HAVE DIRECT RESPONSIBILITY FOR THE APPLICANT FIRM'S FACILITIES (OFFICE/YARD)?</b>	YES	NO

42. IS THE DV OWNER AND/OR DV MANAGER ENGAGED OR EMPLOYED WITH ANOTHER BUSINESS?	YES	NO
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#### H. DVBE CORPORATIONS (DVBE APPLICANTS ONLY)

Answer the following questions **ONLY IF THIS FIRM IS A CORPORATION:**

43. DOES THE DV OWNER AND/OR DV MANAGER HAVE THE ABILITY TO CONTROL THE BOARD OF DIRECTORS?	YES	NO
44. IS THE DV OWNER ENTITLED TO 100% OF THE VALUE OF EACH SHARE OF STOCK THEY HOLD?	YES	NO
45. DOES THE DV OWNER AND/OR DV MANAGER HOLD THE HIGHEST OFFICER POSITION AND HAVE CONTROL OVER ALL OTHER POSITIONS IN THE FIRM?	YES	NO

#### I. APPLICANT'S OWNERSHIP (ALL APPLICANTS)

**46.** When the applicant business is owned by individual(s), enter the names and complete HOME ADDRESSES of all owners, shareholders, and/or officers in the applicant business. When the applicant business is owned by another business, enter the parent company's headquarters address in the home address box.

**CORPORATIONS:** Identify ALL corporate officers, even if they do not have ownership in the business.

- President/CEO, Vice President, Secretary, and Treasurer/CFO must be identified. If an individual holds multiple titles, list all titles held. Enter percentage only once.
- If there is no Vice President, write No VP in the title box.

**LIMITED LIABILITY COMPANIES (LLCs):** Enter the LLC members, managers and/or officers.

- **DVBE LLCs must be 100% owned by one or more disabled veterans.**

**DVBE:** Check the Disabled Veteran Qualifier box to identify each qualifying disabled veteran.

**OWNER TYPE:** Enter the applicable owner type (Individual (first & last name), Business, Trust, Holding Co., Parent Co., or ESOP) for each owner, shareholder, and/or officer.

**OWNERSHIP PERCENTAGE:** **If one person/entity has multiple titles, enter their ownership percentage under one of the titles. Must total 100%.**

OWNER/OFFICER/ PARTNER/MEMBER/ MANAGER NAME	TITLE <i>(List all titles – see instructions above)</i>	OWNERS HIP PERCENT AGE <i>(Refer to ownership percentage above)</i>	HOME ADDRESS (INCLUDE CITY, STATE, ZIP CODE) <i>(Do not enter P.O. Box)</i>	DISABLED VETERAN QUALIFIER ? (refer to DVBE above)	OWNER TYPE <i>(Refer to owner type above)</i>

**ATTACH ADDITIONAL PAPER IF NECESSARY**

**J. EMPLOYEES (SMALL BUSINESS AND/OR SMALL BUSINESS-PUBLIC WORKS APPLICANTS ONLY)**

47. Enter the <b>average number of employees for the last four quarters</b> . Include all employees, whether in California or outside of the state/country. If business is less than a year old, enter the average number of employees for that time frame.	# OF EMPLOYEES
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**K. GROSS ANNUAL RECEIPTS (ALL APPLICANTS)**

Use this table to locate the gross receipts on the Federal Income Tax Return. Enter the figures below.

**GROSS ANNUAL RECEIPTS TABLE**

IF THE FIRM'S OWNERSHIP TYPE IS:	FIND THE GROSS RECEIPTS LESS RETURNS & ALLOWANCES:
Sole Proprietorship	Form 1040, Schedule C, Section A – Line 3
C-Corporation or S-Corporation (all business types except rental or leasing)	Form 1120 or 1120S – Line 1c
Partnership or S-Corporation (rental or leasing business)	Form 8825 – total of Line 3 combined
Partnership or Limited Liability Partnership (LLP) (all business types except rental or leasing)	Form 1065 – Line 1c
Limited Liability Company – Single Member	Form 1040, Schedule C – Line 3 <b>or</b> Form 1120 – Line 1c
Limited Liability Company – Multiple members	Form 1065 or Form 1120 or 1120S – Line 1c

**48. APPLICANT FIRM** – Enter Gross Receipts for the three most recently completed tax years (or the number of years in business, if less than three): **ATTACH ADDITIONAL PAPER IF NECESSARY**

TAX YEAR	FROM TAX YEAR START (MM/DD/YY)	TO TAX YEAR END (MM/DD/YY)	GROSS ANNUAL RECEIPTS LESS RETURNS AND ALLOWANCES
1.			\$
2.			\$
3.			\$

**49a. AFFILIATE FIRM #1**, if any (from Section D, Item 29b) – Enter Gross Receipts for the three most recently completed tax years (or the number of years in business, if less than three):

TAX YEAR	FROM TAX YEAR START (MM/DD/YY)	TO TAX YEAR END (MM/DD/YY)	GROSS ANNUAL RECEIPTS LESS RETURNS AND ALLOWANCES
1.			\$
2.			\$
3.			\$



**49a. AFFILIATE FIRM #2**, if any (from Section D, Item 29b) – Enter Gross Receipts for the three most recently completed tax years (or the number of years in business, if less than three):

TAX YEAR	FROM TAX YEAR START (MM/DD/YY)	TO TAX YEAR END (MM/DD/YY)	GROSS ANNUAL RECEIPTS LESS RETURNS AND ALLOWANCES
1.			\$
2.			\$
3.			\$

**L. BUSINESS CLASSIFICATION CODES AND KEYWORDS (ALL APPLICANTS)****50. UNSPSC** – Enter up to six United Nations Standard Products and Services Classification codes. Search for codes at <https://www.dgsapps.dgs.ca.gov/PD/UNSPSCSearch/>. **ADD ADDITIONAL PAPER IF NECESSARY**

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**51. NAICS – MANUFACTURER INDUSTRY TYPE ONLY** – If this firm responded YES to all of the Manufacturer questions (Section B, Items 23a – 23c), enter up to six North American Industry Classification System (NAICS) codes. Use codes in sectors 31 through 33 because codes outside this range cannot be entered. Search for 2012 codes at <https://www.census.gov/eos/www/naics/index.html>.

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**52. KEYWORDS** – Enter singular words (not phrases) that best describe the applicant's product and/or service for searching the online certification database. Do not enter acronyms. (Example: Janitorial, Supplies, Cleaning, etc.)

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**M. SERVICE AREAS (ALL APPLICANTS)****53. Check appropriate boxes to indicate where this firm can provide goods or services. Check STATEWIDE for all counties.**

<input type="checkbox"/> STATEWIDE	<input type="checkbox"/> INYO	<input type="checkbox"/> NEVADA	<input type="checkbox"/> SANTA CRUZ
<input type="checkbox"/> ALAMEDA	<input type="checkbox"/> KERN	<input type="checkbox"/> ORANGE	<input type="checkbox"/> SHASTA
<input type="checkbox"/> ALPINE	<input type="checkbox"/> KINGS	<input type="checkbox"/> PLACER	<input type="checkbox"/> SIERRA
<input type="checkbox"/> AMADOR	<input type="checkbox"/> LAKE	<input type="checkbox"/> PLUMAS	<input type="checkbox"/> SISKIYOU
<input type="checkbox"/> BUTTE	<input type="checkbox"/> LASSEN	<input type="checkbox"/> RIVERSIDE	<input type="checkbox"/> SOLANO
<input type="checkbox"/> CALAVERAS	<input type="checkbox"/> LOS ANGELES	<input type="checkbox"/> SACRAMENTO	<input type="checkbox"/> SONOMA
<input type="checkbox"/> COLUSA	<input type="checkbox"/> MADERA	<input type="checkbox"/> SAN BENITO	<input type="checkbox"/> STANISLAUS
<input type="checkbox"/> CONTRA COSTA	<input type="checkbox"/> MARIN	<input type="checkbox"/> SAN BERNARDINO	<input type="checkbox"/> SUTTER
<input type="checkbox"/> DEL NORTE	<input type="checkbox"/> MARIPOSA	<input type="checkbox"/> SAN DIEGO	<input type="checkbox"/> TEHAMA
<input type="checkbox"/> EL DORADO	<input type="checkbox"/> MENDOCINO	<input type="checkbox"/> SAN FRANCISCO	<input type="checkbox"/> TRINITY
<input type="checkbox"/> FRESNO	<input type="checkbox"/> MERCED	<input type="checkbox"/> SAN JOAQUIN	<input type="checkbox"/> TULARE
<input type="checkbox"/> GLENN	<input type="checkbox"/> MODOC	<input type="checkbox"/> SAN LUIS OBISPO	<input type="checkbox"/> TUOLUMNE
<input type="checkbox"/> HUMBOLDT	<input type="checkbox"/> MONO	<input type="checkbox"/> SAN MATEO	<input type="checkbox"/> VENTURA
<input type="checkbox"/> IMPERIAL	<input type="checkbox"/> MONTEREY	<input type="checkbox"/> SANTA BARBARA	<input type="checkbox"/> YOLO
	<input type="checkbox"/> NAPA	<input type="checkbox"/> SANTA CLARA	<input type="checkbox"/> YUBA

**N. REQUIRED SIGNATURE (ALL APPLICANTS)****PENALTY OF PERJURY**

Any person that willfully and knowingly provides false information is subject to serious penalties. The submittal of this online application must be authorized by the applicant firm's owner (or officer, in the case of a corporation and member or manager in the case of a Limited Liability Company) or their designated user and hereby certifies that he/she has read and understands that the applicant meets the applicable Small Business and/or Disabled Veteran Business Enterprise certification requirements under Government Code Section 14837 et seq., Military and Veterans Code Section 999 et seq., and California Code of Regulations, Title 2, Section 1896 et seq., and that the foregoing statement and all information submitted herein are truthful and accurate. *I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.*

**VERIFICATION OR RE-VERIFICATION OF STATUS**

All applicants are subject to verification or re-verification of status at any time. Failure by a business to provide requested information that supports its eligibility, by the date and time specified by the Office of Small Business and Disabled Veterans Business Enterprise Services, shall be grounds for certification denial or discontinuance. Sanctions may be imposed for certification program abuse. (See Title 2, California Code of Regulations, Sections 1896.14, 1896.18, 1896.82, 1896.84, 1896.90, 1896.91 and 1896.92. See also Government Code Sections 14842 and 14842.5; Military and Veterans Code Section 999.9 and Public Contract Code Section 10115 et seq., available at [www.leginfo.ca.gov](http://www.leginfo.ca.gov).)

Pursuant to the Federal Privacy Act (P.L. 93-579) of 1974 and the California Information Practices Act (IPA) of 1977 (California Civil Code Sections 1798, et seq.), notice is hereby given for the request of personal information by this application. The requested personal information is mandatory. The principal purpose of this mandatory information is to determine eligibility for Small Business and/or DVBE Certification. Failure to provide all or any part of the requested information may delay processing of this application. No disclosure of personal information will be made unless permissible under Article 6, Section 1798.24 of the IPA of 1977. Each individual has the right, upon request and proper identification, to inspect all personal information in any record maintained on the individual by an identifying particular. Direct any inquiries on information maintenance to the appropriate IPA Officer in the Department of General Services, Office of Small Business and DVBE Services.

**I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct (ALL APPLICANTS)**

OWNER/OFFICER/PARTNER/LLC MANAGER OR MEMBER

- *Owner/officer/partner/LLC manager or member must sign on the line below*
- *The Disabled Veteran (DV) qualifier must also sign in the box below*

SIGNATURE

PRINTED NAME

DATE

**O. DVBE DISABILITY RATING (DVBE RECERTIFICATION APPLICANTS ONLY)**

I am the qualifying disabled veteran and certify that my disability rating is 10% or more.

SIGNATURE

PRINTED NAME

DATE

**SMALL BUSINESS (SB) AND/OR SMALL BUSINESS-PUBLIC WORKS (SB-PW) CERTIFICATION****SUPPORT DOCUMENT REQUIREMENTS****1. Expedited Processing:**

Applicants that require this certification for a bid must provide a copy of the bid solicitation page identifying the state agency (or reciprocity partner), contract name, and Bid Due Date (BDD). **Note:** A written expedite request and a completed application package must be submitted a minimum of five working days prior to the bid due date.

**2. First Time Applicants must provide:**

Internal Revenue Service (IRS) documentation verifying the firm's Federal Employer Identification Number (FEIN) or Social Security Number (SSN)

**3. All SB AND/OR SB-PW Applicants must provide:**

- **Gross Annual Receipts:** Federal Income Tax Returns for the applicant business (and each affiliate listed in Section D, if any) for the previous three tax years (or for the number of years in business, if less than three)
  - Include all pages, forms, schedules, and statements for each tax return.
  - Exceptions:
    - New businesses without applicable business tax returns must enter the Date Business Started in Section C, and will be required to provide tax returns when requested.
    - If the most recent tax return has not been prepared, complete and submit the Affidavit of Income (11/4/2016) form available at: <http://www.documents.dgs.ca.gov/pd/smallbus/AI.pdf>, which has been incorporated by reference. Include the IRS extension, if applicable. Follow the instructions on the form.

**4. If Applicable, provide:**

- **Employee Count:** Quarterly Contribution Return & Report of Wages – Continuation (Form DE 9C) for the applicant business (and each affiliate listed in Section D, if any) for the four most recently completed quarters (or for the number of quarters in business, if less than four). Provide copies of out-of-state and/or out-of country documents equivalent to Form DE 9C, if applicable.
- **Trust agreement and amendments, if ownership is held by a trust**
- **Franchise agreement and amendments, if any**
- **SB AND/OR SB-PW Corporations:**
  - Corporate meeting minutes listing current elected corporate officers and directors or Statement of Information as filed with California Secretary of State
- **SB AND/OR SB-PW Limited Liability Companies (LLCs):**
  - Articles of Organization
  - Operating Agreement and amendments

- LLC Statement of Information, as filed with the California Secretary of State
- **SB AND/OR SB-PW Joint Ventures (JVs) – Applications are certified on a bid-by-bid basis:**
  - Each joint venture partner must be certified as a Small Business (SB)
  - Provide the bid solicitation for the specific project the JV is bidding
  - Provide the Joint Venture agreement for the specific project

## DVBE CERTIFICATION

### SUPPORT DOCUMENT REQUIREMENTS

#### 1. Expedited Processing:

Applicants that require this certification for a bid must provide a copy of the bid solicitation page identifying the state agency (or reciprocity partner), contract name, and Bid Due Date (BDD).

#### 2. First Time Applicants must provide:

Internal Revenue Service (IRS) documentation verifying the firm's Federal Employer Identification Number (FEIN) or Social Security Number (SSN)

For each disabled veteran owner and/or manager, an Award of Entitlement letter, eBenefits Service/Benefit Verification letter, or Retired/Retainer letter from the U.S. Department of Veterans Affairs (1-800-827-1000) or Department of Defense (1-800-321-1080) or go to: <https://www.ebenefits.va.gov/ebenefits/homepage>

- The letter must be dated within one year of the OSDS receiving your DVBE Certification Application.
- The letter must certify or declare a service-connected disability rating of at least 10 percent

#### 3. All DVBE Applicants must provide:

- **Gross Annual Receipts:** Federal Income Tax Returns for the applicant business for the three most recently completed tax years (or for the number of years in business, if less than three)
  - Include all pages, forms, schedules, and statements for each tax return  
Exceptions:
    - New businesses without applicable business tax returns must enter the Date Business Started in Section C, and provide all pages of the qualifying disabled veteran owner's most recent Individual Federal Tax Returns.
    - If the most recent tax return has not been prepared, complete and submit the Affidavit of Income (11/4/2016) form available at: <http://www.documents.dgs.ca.gov/pd/smallbus/AI.pdf>, which has been incorporated by reference. Include the IRS extension, if applicable. Follow the instructions

on the form.

- Partnerships: In addition to the business' Federal Income Tax Returns, provide Individual Federal Income Tax Returns for each of the partners for the three most recently completed tax years.
- Equipment rentals: Provide Individual Federal Income Tax Returns for each disabled veteran who owns equipment for the three most recently completed tax years.
- Disabled Veteran resume that communicates experience, education, knowledge, and qualifications.
- Business license from your city or county
- Seller's permit, if any

#### **4. If Applicable, provide:**

- Trust agreement and amendments, if ownership is held by a trust
- Franchise agreement and amendments, if any
- **DVBE Corporations:**
  - Corporate Articles of Incorporation
  - Corporate bylaws and any amendments
  - Corporate meeting minutes listing current elected corporate officers and directors or Statement of Information as filed with California Secretary of State
  - Stock Transfer Ledger and Stock Certificates for new applicants or changes in ownership

- **DVBE Partnerships:**
  - Partnership Agreement and amendments

*NOTE: Individual Federal Income Tax Returns are required for each partner.*

- **DVBE Limited Liability Partnerships (LLPs):**
  - Partnership Agreement and amendments
  - Limited Liability Partnership Registration as filed with the California Secretary of State

*NOTE: Individual Federal Income Tax Returns are required for each partner.*

- **DVBE Limited Liability Companies (LLCs):**
  - Articles of Organization
  - Operating Agreement and amendments
  - LLC Statement of Information, as filed with the California Secretary of State

*NOTE: LLC must be wholly owned by qualifying disabled veteran(s).*

- **DVBE Joint Ventures (JVs) – Applications are certified on a bid-by-bid basis:**
  - Provide the bid solicitation for the specific project the JV is bidding.
  - Provide the Joint Venture agreement for the specific project.

**ADDITIONAL SUPPORT DOCUMENTS THAT MAY BE REQUESTED BY OSDS****Do not send these documents unless requested by OSDS:****Domicile:**

- Voter registration record issued by the County Registrar's Office
- California driver's license
- Residential lease agreement and cancelled checks – last three months
- Residential utility bill (e.g., Gas/Electric, Water, or Garbage Services) – last three months
- State income tax returns
- IRS Form 4506-T requesting a transcript of a tax return, upon just cause [Government Code § 14840(b)]

**Business Ownership:**

- Partnership agreement
- Office space utility bills
- Audited or unaudited business financial statements
- Business and/or personal bank signature cards
- Business and/or personal bank statements – last three months
- Business purchase agreement
- County-issued fictitious business name statement
- Cancelled checks for capital contributions
- Dissolution of corporation
- Individual federal income tax returns unless the applicant firm is filed as a disregarded entity
- Office space lease agreement and cancelled checks – last three months
- Stock purchase agreement
- Stock transfer ledger and stock certificates
- Webpage records and revisions

**Employee Count:**

- Professional employer organization employee records

**Established Business:**

- List of suppliers and manufacturers
- Department of Tax and Fee Administration seller's permit
- Agreements: manufacturer, lines of credit, stock purchase, sales representative, distributor
- State-issued professional licenses, permits, or certificates