

Metro Gold Line Foothill Extension Construction Authority

What is an SBE?

An SBE is a Small Business Enterprise that meets specific race-neutral ownership and economic criteria established by State and Federal guidelines. SBE eligibility requirements vary among contracting agencies depending on the funding source used on their projects. Projects that are federally funded require SBE certification standards as defined by the United States Small Business Administration (SBA) and those that are State funded require SBE certification standards as defined by the California Department of General Services (DGS). The two accepted definitions are below:

State Small Business Definition: California Department of General Services

- Be independently owned and operated;
- Not dominant in field of operation;
- Principal office located in California;
- Owners (officers, if a corporation) domiciled in California; and,
- Including affiliates, be either,
- A business with 100 or fewer employees; an average annual gross receipts of \$14 million or less, over the last three tax years;
- A manufacturer* with 100 or fewer employees; or,
- A microbusiness. A small business will automatically be designated as a microbusiness, if gross annual receipts are less than \$3,500,000; or the small business is a manufacturer with 25 or fewer employees.

Federal Small Business Definition: Small Business Administration

- Is organized for profit;
- Has a place of business in the US;
- Operates primarily within the U.S. or makes a significant contribution to the U.S. economy through payment of taxes or use of American products, materials or labor;
- Is independently owned and operated;
- Is not dominant in its field on a national basis; and
- Meets [size standards](#), which vary by NAICS (i.e. General building and heavy construction contractors: \$33.5 million; Special trade construction contractors: \$14 million)

Small businesses who meet the above standards can be certified as an SBE. There are various agencies that provide SBE certification. The Authority recognizes SBE certifications from:

- MTA
- DGS
- City of Los Angeles
- Caltrans
- Other certifying agencies may be evaluated on a case-by-case basis

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Small Business Certification Eligibility Information

Certifying Agency	General Eligibility Requirements	Contact Information
<p>California Department of Transportation (Caltrans)</p> <p>SB Certification</p>	<ol style="list-style-type: none"> 1. Independently owned and operated 2. Not dominant in its field of operation 3. Principal office located in California 4. Owners (or officers) domiciled in California 5. Including affiliates, be either, <ol style="list-style-type: none"> a. A business with 100 or fewer employees and average annual gross receipts of \$14 million or less b. A manufacturer with 100 or fewer employees; or, c. A business with gross annual receipts less than \$3,500,000; or manufacturer with 25 or fewer employees (microbusiness) 	<p>Will Blas District 7 Small Business Liaison 100 S. Main Street, Ste 100 Los Angeles 90012</p> <p>Phone: 949-553-3577 Fax: 213-897-8603 Email: Will.Blas@dot.ca.gov</p> <p>www.dot.ca.gov/dist07/business/smlbus/</p>
<p>Department of General Services (DGS)</p> <p>SB Certification</p>	<ol style="list-style-type: none"> 1. Independently owned and operated 2. Not dominant in its field of operation 3. Principal office located in California 4. Owners (or officers) domiciled in California 5. Including affiliates, be either, <ol style="list-style-type: none"> a. A business with 100 or fewer employees and average annual gross receipts of \$14 million or less b. A manufacturer with 100 or fewer employees; or, c. A business with gross annual receipts less than \$3,500,000; or manufacturer with 25 or fewer employees (microbusiness) 	<p>Office of Small Business and DVBE Services Room 1-400, MS 210 P.O. Box 989052 West Sacramento, CA 95798-9052</p> <p>Phone: 916-375-4940 Fax: 916-375-4950 Email: OSDSHelp@dgs.ca.gov</p> <p>www.dgs.ca.gov/pd/Programs/OSDS.aspx</p>
<p>Los Angeles County Metropolitan Authority (Metro)</p> <p>SBE Certification</p>	<ol style="list-style-type: none"> 1. Business Size <ol style="list-style-type: none"> a. Meets SBA size standards as defined by 13 CFR Part 121 b. Demonstrates that business has gross receipts 	<p>Small Business Certification Unit One Gateway Plaza Mail Stop: 99-8-4 Los Angeles, CA 90012-2952</p>

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	<p style="text-align: center;">average of less than \$22.41 million per year (over last 3 years)</p> <ol style="list-style-type: none"> 2. Owner's Personal Net Worth <ol style="list-style-type: none"> a. Owned and controlled by one or more individuals whose Personal Net Worth (PNW) is less than \$1.32 million 3. Quality of Ownership <ol style="list-style-type: none"> a. At least 51% owned and controlled by one or more individuals each with a PNW less than \$1.32 million b. Various other elements of quality of ownership are reviewed 4. Ownership Discretion & Control <ol style="list-style-type: none"> a. Owner should be able to demonstrate competence in decision making, knowledge of industry and various other elements that pertain to ownership discretion and controll 	<p>Phone: 213-922-2600 Fax: 213-922-7660 Email: certificationunit@metro.net</p> <p>www.metro.net/about/deod/sbe</p>
<p>City of Los Angeles</p> <p>SLB Certification</p>	<ol style="list-style-type: none"> 1. Principal office must be located within the County of Los Angeles. 2. Firm must have a City of Los Angeles Business Tax Registration Certificate. For information on obtaining a City of Los Angeles Business Tax Registration Certificate, please call the Office of Finance, Tax and Permits Division at (213) 473-5901. 3. Gross receipts for your business (including affiliates) must total less than \$3 million for the previous fiscal year. 	<p>Helmut Peindl Office of Contract Compliance, Centralized Certification: 1149 S. Broadway, Suite 300 Los Angeles, CA 90015</p> <p>Phone: 213-847-2684 Email: helmut.peindl@lacity.org</p> <p>http://bca.lacity.org/index.cfm?nxt=div1&nxt_body=div_occ.cfm</p>