

# Certification Checklist (SMWVBE)

Apply Online at: <https://supply-sa.org/certifications-2/>

The South-Central Texas Regional Certification Agency's dedicated certification team validates eligibility of firms applying for Small (SBE), Minority (MBE), Women (WBE) and Veteran (VBE) Business Enterprise certifications. Please gather all required documents before starting the application to ensure complete submission. Additional documentation may be requested if necessary. The required documentation for certification is listed below.

## All Applicants must provide:

1. ☐ Affidavit of Eligibility (download through portal)
2. ☐ Personal Net Worth Statement (download through portal)
3. ☐ Most recent 5 years, Complete Business Federal Income Tax Returns (all schedules and attachments) – If no business tax returns, submit a statement.
4. ☐ Most recent 5 years, Complete Personal Federal Income Tax Returns (all schedules and attachments)
5. ☐ If Applicable - Federal tax returns (and extensions) for affiliations (Any other business listed in Schedule E - filed an 1120, 1120s, or 1065 form; with related schedules, for the past 5 years)
6. ☐ Resumes (that include places of employment with corresponding dates), for all owners, officers, and key personnel of applicant firm (Anyone listed on the application or other ownership documents must provide a resume) – Biographies not accepted
7. ☐ Copy of Birth Certificate (Required for Minority Business Enterprise - MBE), US Passport, US Naturalization, or Permanent Resident Card
8. ☐ Copy of current Driver's License or State ID
9. ☐ Copy of Federal Employer Identification Number (EIN), Letter from the IRS or Social Security Number (SSN) Card
10. ☐ Documented Proof of Initial Contribution (Initial bank statement, receipts, cleared check, loan agreement, bill of sale, or statement with detailed information for firms with 5 or more years in business if no proof available)
11. ☐ Bank Signature Card (Listing Company name, and signatures)
12. ☐ Description of Real Estate owned - Lease agreement for place of business (mortgage statement, tax appraisal, or deed)

## Other required documents based on designations or other:

1. ☐ Franchise Agreement
2. ☐ Documentation verifying disability from a Medical Doctor or Government Agency – For the Disabled Individual Business Enterprise (DIBE)
3. ☐ Tribal Card (Native American Business Enterprise) – For persons having no less than 1/16 percentage origin in any of the American Indian Tribes, as recognized by the United States Department of the Interior, Bureau of Indian

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Affairs and as demonstrated by possession of personal tribal role documents, to include persons who are Eskimos, Aleuts, or Native Hawaiians, for all SCTRCA Purposes. **NOTE: The City of San Antonio does not recognize Eskimos, Aleuts or Native Hawaiians within its definition of Native American.**

4. ☐ DD214 from the Department of Defense verifying military service and discharge – For the Veterans Business Enterprise (VBE)
5. ☐ Assumed Name Certificate – for Sole Proprietor businesses
6. ☐ Licenses or Certificates to perform work, if required by state law (CDL, P.E, Architect, Electrician, Plumbing, Law, Food Service, etc.)

### Corporations must provide:

1. ☐ Certificate of Formation (signed by the state official) and any amendments
2. ☐ Official Articles of Incorporation (signed by the state official) and any amendments
3. ☐ Corporate By-Laws and any amendments
4. ☐ Minutes of First Corporate Organizational and Last Annual Meeting
5. ☐ Minutes of all meetings showing Resolutions Affecting Ownership Changes
6. ☐ Corporate Stock Certificates (Issued and Voided) front and back
7. ☐ Copy of the Stock Transfer Ledger

### Limited Liability Company (LLC) must provide:

1. ☐ Certificate of Formation (signed by the state official) and any amendments
2. ☐ Operating Agreement with any amendments - signed and dated
3. ☐ Minutes of First Corporate Organizational and Last Annual Meeting (Not Applicable for sole owner)
4. ☐ Minutes of all meetings showing Resolutions Affecting Ownership Changes (Not Applicable for sole owner)
5. ☐ Membership Certificates (Issued and Voided) front and back (Not Applicable for sole owner)
6. ☐ Membership Register (Not Applicable for sole owner)

## ADDITIONAL DOCUMENTS BASED ON SERVICES PROVIDED:

### Heavy Construction Company:

1. ☐ List of Equipment and/or Vehicles Owned with Proof of Purchase
  - ☐ a. If leased, copies of the lease agreements for the equipment
2. ☐ General Liability Insurance
3. ☐ Lease Agreement for the office and where the equipment is stored, if different
4. ☐ Three (3) signed contracts or invoices with proof of payment

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5. ☐ TWC Reports (last 4 quarters) or Employee Verification Documentation for the last 4 quarters if not in Texas
6. ☐ Three (3) signed contracts or invoices with proof of payment (bank statements or other verification) If the payment amount is different, please provide a statement with explanation. If there are no contracts or invoices, please provide a statement.
7. ☐ Company Balance Sheet – a new construction business (3 years or less) must provide a balance sheet

### Building Construction Company, including General Contractors and Operative Builders:

1. ☐ List of Equipment and/or Vehicles Owned with Proof of Purchase
  - ☐ a. If leased, copies of the lease agreements for the equipment
2. ☐ General Liability Insurance
3. ☐ Lease Agreement for the office and where the equipment is stored, if different
4. ☐ List of Subs and their contact information that you do business with
5. ☐ If applicable, how much work is contracted to other firms, and what services are contracted?
6. ☐ Three (3) signed contracts or invoices with proof of payment (bank statements or other verification) If the payment amount is different, please provide a statement with explanation. If there are no contracts or invoices, please provide a statement.
7. ☐ TWC Reports (last 4 quarters) or Employee Verification Documentation for the last 4 quarters if not in Texas
8. ☐ Company Balance Sheet – a new construction business (3 years or less) must provide a balance sheet

### Special Trade:

1. ☐ List of Equipment and/or Vehicles Owned with Proof of Purchase
  - ☐ a. If leased, copies of the lease agreements for the equipment
2. ☐ Lease Agreement for the office and where the equipment is stored, if different
3. ☐ Three (3) signed contracts or invoices with proof of payment (bank statements or other verification) If the payment amount is different, please provide a statement with explanation. If there are no contracts or invoices, please provide a statement.
4. ☐ TWC Reports (last 4 quarters) or Employee Verification Documentation for the last 4 quarters if not in Texas
5. ☐ Company Balance Sheet – a new construction business (3 years or less) must provide a balance sheet

### Manufacturer/Wholesaler/Reseller:

1. ☐ List of Equipment and Proof of Purchase
2. ☐ Proof of warehouse ownership or Lease Agreement

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3. ☐ Manufacturer Account(s) Information (verifying that you are an authorized dealer on behalf of the manufacturer)
4. ☐ Sales Tax Permit
5. ☐ List of Merchandise/Products the firm sells
6. ☐ TWC Reports (last 4 quarters) or Employee Verification Documentation for the last 4 quarters if not in Texas
7. ☐ Three (3) signed contracts or invoices with proof of payment (bank statements or other verification) If the payment amount is different, please provide a statement with explanation. If there are no contracts or invoices, please provide a statement.

### Medical Services:

1. ☐ Lease Agreement for office
2. ☐ License to Provide Service
3. ☐ TWC Reports (last 4 quarters) or Employee Verification Documentation for the last 4 quarters, if not in Texas
4. ☐ Three (3) signed contracts or invoices with proof of payment (bank statements or other verification) If the payment amount is different, please provide a statement with explanation. If there are no contracts or invoices, please provide a statement.

### Trucking Company:

1. ☐ Documented Proof of ownership of the Company
2. ☐ General Liability Insurance
3. ☐ Title(s) and registration certificate(s) for each truck owned or operated by firm
4. ☐ List of U.S. DOT numbers for each truck owned or operated by firm
5. ☐ Proof of Purchase for each truck owned or operated by firm
6. ☐ Three (3) signed contracts or invoices with proof of payment (bank statements or other verification) If the payment amount is different, please provide a statement with explanation. If there are no contracts or invoices, please provide a statement.

### If the Company was recently purchased from another individual or entity:

1. ☐ Proof of Stock Purchase (buy/sell agreement)
2. ☐ Cancelled check and documentation of where money came from (bank statement)
3. ☐ Amended Legal Documents
4. ☐ Meeting Minutes

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### DOCUMENT SUBMISSION CHECKLIST

Use this checklist before submitting your Local SMWVBE certification application. Providing complete, accurate, current, and signed documentation can help prevent delays and requests for additional information.

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#### 1. RESUME

- ☐ A **current resume** is provided for each owner, and key officers.
  - ☐ A biography has **not** been submitted in place of a resume.
  - ☐ Employment history is complete.
  - ☐ Employment dates include **month and year**.
  - ☐ Position/title and duties and responsibilities are included.
  - ☐ Education, licenses, and certifications are included, as applicable.
  - ☐ Relevant business ownership and management experience is included.
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#### 2. NAICS CODES & BUSINESS SERVICES

- ☐ NAICS codes (must be 6 digits) accurately reflect the **services actually provided** by the business.
  - ☐ The services listed in the application correspond with the NAICS codes selected.
  - ☐ Supporting documentation is provided for the services/NAICS codes requested, as applicable.
  - ☐ Contracts and/or invoices provided to demonstrate services are accompanied by **matching proof of payment**.
  - ☐ If matching proof of payment is not available, a **written statement explaining the circumstances** is provided.
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#### 3. TAX RETURNS

- ☐ **Last 5 years** Complete tax returns are provided. (IRS Extension for the recent year is acceptable) IRS 1040 Tax Return Transcripts are acceptable for misplaced Personal Tax Returns.
- ☐ **All pages** are included.
- ☐ **All schedules and attachments** are included.
- ☐ Applicable W-2s are included.

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☐ Applicable 1099s are included.

☐ Applicable K-1s are included.

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### 4. PERSONAL NET WORTH (PNW)

☐ The **SCTRCA** PNW statement is **complete and accurate**. (For each qualifying owner 51% or more)

☐ All applicable assets are disclosed.

☐ All applicable liabilities are disclosed.

☐ **Real estate ownership** is disclosed.

☐ Ownership interests in **other businesses** are disclosed.

☐ Values and calculations have been reviewed for accuracy.

☐ The PNW statement is **signed and dated**.

☐ The PNW checklist has been reviewed and completed.

☐ Information reported on the PNW is consistent with the tax returns and other financial documentation.

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### 5. BUSINESS FORMATION DOCUMENTS

☐ The **Certificate of Formation** is provided.

☐ The Certificate of Formation is not replaced with a Certificate of Filing or Certificate of Fact.

☐ The formation document is consistent with the ownership and organizational information reported in the application.

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### 6. BUSINESS LOCATION

☐ Documentation establishing the firm's current business location is provided.

☐ Applicable documentation may include:

☐ **Lease agreement**

☐ **Deed**

☐ **Property tax appraisal**

☐ **Mortgage statement**

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- ☐ The documentation is current.
  - ☐ The business location is consistent with the information reported in the application.
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### 7. BANK SIGNATORY LETTER

- ☐ The required **Bank Signatory Letter** is provided.
  - ☐ The letter identifies the individuals authorized to sign on or conduct transactions for the business bank account.
  - ☐ The authorized signatories are clearly identified (Wet signatures are required if none are provided).
  - ☐ A bank statement or bank/debit card has **not** been submitted in place of the Bank Signatory Letter.
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### 8. SIGNATURES & DATES

- ☐ All required forms are signed.
  - ☐ Required affidavits and legal documents are signed.
  - ☐ All required owners have signed applicable documents.
  - ☐ Required dates are included.
  - ☐ Documents requiring multiple signatures have been fully executed.
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### 9. DOCUMENT CONSISTENCY

Before submitting your application, compare the information across all documents.

- ☐ Business name is consistent.
  - ☐ Ownership information is consistent.
  - ☐ Business address is consistent.
  - ☐ Owner information is consistent.
  - ☐ Employment dates and work history are consistent.
  - ☐ Financial information is consistent.
  - ☐ Information reported on the application agrees with the supporting documentation.
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### FINAL REVIEW

Before submitting your application:

- ☐ I have reviewed the application and all required documentation.
- ☐ I have provided **complete documents**, rather than partial documents.
- ☐ I have provided **signed and dated documents** where required.
- ☐ I have reviewed my documents for accuracy and consistency.
- ☐ I have provided supporting documentation for the services and NAICS codes identified in my application.
- ☐ I have addressed all applicable items on this checklist.

### REMEMBER

**Incomplete or missing documentation may result in a request for additional information and may delay the processing of your certification application.**

Please carefully review the Local SMWVBE application requirements before submitting your application.

- ❖ All communication will be conducted through the application portal and via email. Applicants must respond to all Q&A requests by the stated deadline and submit all requested information to avoid the risk of denial for failure to cooperate. If needed, applicants may submit a written request to withdraw their application to avoid denial and may reapply at any time. Applicants who are denied due to failure to cooperate will not be eligible to reapply for three (3) months from the date of denial.