

# Central Certification



# CERT Program

Dear Applicant:

Thank you for your interest in the CERT Program. The Central Certification (CERT) Program is a small business certification program, created to make it easier for businesses like yours to take advantage of a wide range of business opportunities throughout the local marketplace. By so doing, the Program seeks to promote market growth, increase competitiveness, and create jobs among participating businesses, as well as to improve the quality of life for area residents.

Rather than operating separate certification efforts, Hennepin County, Ramsey County, and City of Saint Paul are collaboratively sponsoring a "one-stop shop" for certification. Eligible business owners who want to be certified by any or all of the participating jurisdictions can submit a single, standard application to a central processing location. Each application received is then evaluated using a uniform set of certification criteria.

Participating businesses instantly boost their market exposure because they are included in a CERT directory. Participating businesses are also eligible to participate in various activities specifically for certified vendors sponsored by the three jurisdictions.

The City of Saint Paul administers the certification services on behalf of the three jurisdictions. Completed application forms should be submitted to the following address:

CERT Program  
c/o Contract and Analysis Services  
Room 280 City Hall/Court House Bldg.  
15 W. Kellogg Blvd.  
Saint Paul, MN 55102

If you have any questions regarding the certification process, need assistance with completing the application, or would like more information regarding the CERT Program, please contact (651) 266-8900.

Your participation in the CERT Program is greatly valued. Thank you for your efforts.

Hennepin County, Ramsey County, City of Saint Paul  
CERT Program Participating Jurisdictions

## CENTRAL CERTIFICATION (CERT) PROGRAM ELIGIBILITY CRITERIA

**Eligible business**—a business entity whose principal place of business is in the marketplace that:

- is at least fifty-one (51) percent owned by one or more native or naturalized citizens of the United States, or lawfully admitted permanent residents of the United States, and
- is not a broker, or a manufacturer's representative, does not operate as a franchisee or under a franchise agreement, and is not a business in which the owner is also owner or part owner of one or more businesses that is dominant in the same field of operation; and
- performs a commercially useful function; and
- has been in operation for at least one (1) year or, in operation for less than one year and is able to provide documentation showing that it has an established record of generating revenue while performing the business function represented in its application for certification or, if a professional service, is able to provide documentation showing that it possesses applicable licenses or professional certifications or credentials.

**Small Business Enterprise (SBE)**—an eligible business that additionally:

- is not a business dominant in its field of operation, nor an affiliate or subsidiary thereof.

**Minority-owned Business Enterprise (MBE)**—an eligible business that additionally:

- is at least fifty-one (51) percent owned by one or more minority persons, and
- has its management and daily business operations controlled by one or more minority persons who own it.

**Women-owned Business Enterprise (WBE)**—an eligible business that additionally:

- is at least fifty-one (51) percent owned by one or more women, and
- has its management and daily business operations controlled by one or more women who own it.

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## DEFINITION OF TERMS

**Affiliate or subsidiary of a business dominant in its field of operation**—a business that is at least twenty (20) percent owned by a business dominant in its field of operation, or by partners, officers, directors, majority stockholders, or their equivalent, of a business dominant in that field of operation.

**Broker**—a business that carries no inventory and that has no written or oral ongoing agreement with any manufacturer or manufacturer's authorized distributor to sell the products of the manufacturer. This definition is not intended to include businesses that actively use just-in-time methods in their normal operation.

**Business, or business entity**—a contractor, developer, vendor, subcontractor, supplier, consultant, or provider of technical, administrative, human, or physical services, regardless of whether operating as an individual or organized as a sole proprietorship, partnership, joint venture, association, cooperative, corporation, or other entity, which is organized for profit.

**Commercially useful function**—a value added function performed by a business enterprise when it is responsible for the execution of a distinct element of the work of a contract and carrying out its responsibilities by actually performing, managing, and supervising the work involved. Acting as a conduit to transfer funds to another business does not constitute a commercially useful function unless it is done as a normal business practice of that industry.

**Dominant in its field of operation**—a business having gross revenues that exceed the Minnesota Department of Administration's revenue standard for its category.

**Franchise, or franchised business**—a business operated under an operating agreement obtained from a franchiser to conduct a business where the franchiser retains the right to (1) direct, or set requirements for, certain elements of the business, or (2) receive compensation for use of the franchise or the goodwill or business name, and (3) where the owner does not bear the full risk and responsibility for the performance of the business.

**Manufacturer**—a business that makes or processes raw materials into a finished product.

**Manufacturer's representative**—a business that has an agreement with one or more manufacturers or manufacturer's authorized distributors to sell the products of the manufacturer, but that is not an employee of the manufacturer, and where the owner does not bear the full risk and responsibility for the performance of the business and the products and services offered.

**Marketplace**—the geographical area of the Minnesota counties of Anoka, Benton, Carver, Chisago, Dakota, Hennepin, Isanti, Ramsey, Scott, Sherburne, Stearns, Washington, and Wright; and the Wisconsin counties of Pierce and St. Croix.

**Minority**—a citizen of the United States or lawfully admitted permanent resident who is Asian-American/Pacific Islander, Native American, African-American, or Hispanic.

**Minority-owned Business Enterprise (MBE)**—a qualified business located in the marketplace (a) which is at least fifty-one (51) percent owned by one or more minority persons, or, in the case of any publicly owned business, at least fifty-one (51) percent of the stock is owned by one or more minority persons; and, (b) whose management and daily business operations are controlled by one or more minority persons who own it.

**NAICS Code**— The North American Industry Classification System (NAICS) Code is the standard used by Federal statistical agencies in classifying business establishments for the purpose of collecting, analyzing, and publishing statistical data related to the U.S. business economy. Developed by the U.S., Canada, and Mexico, the NAICS Code has replaced the U.S. Standard Industrial Classification (SIC) system. NAICS provides increased comparability of industries across North America, and with the International Standard Industrial Classification (ISIC) system developed and maintained by the United Nations.

**NAPCS Code** – The **North American Product Classification System** is nearing completion. The OMB in collaboration with Canada and Mexico began development of this in February 1999. Various agencies and organizations have been using NAICS as a basis for their procurement programs, requiring that a NAICS code be provided for each good or service to be procured. NAICS is an industry classification system, not a product classification system, and therefore neither intended nor well suited for this purpose. Therefore, NAPCS is intended to incorporate all of the outputs/products of the industries defined in NAICS, with "product" referring to goods produced and services provided. For statistical purposes, a business establishment is assigned one NAICS code, based on its primary business activity. Once NAPCS is complete, multiple NAPCS codes could be linked to any one establishment to indicate its various products.

**Principal place of business**—the primary physical location at which or from which a business performs, is maintained, or operates.

**SIC Code**—the Standard Industrial Classification code as promulgated and maintained by one or more agencies or departments of the United States, and includes any code or system which replaces or succeeds the code in existence on July 1, 1997. "SIC" or "SIC Code" shall also include classification codes promulgated and maintained by the American Institute of Architects or other organizations concerned with contracting which, in the discretion of the Collaborative are deemed more useful or suitable for carrying out the purposes of the CERT Program.

**Small Business Enterprise (SBE)**—a business entity whose principal place of business is in the marketplace<sup>8</sup> that:

- is not a business dominant in its field of operation, nor an affiliate or subsidiary thereof; and
- is not a broker, or a manufacturer's representative, does not operate as a franchisee or under a franchise agreement, and is not a business in which the owner is also owner or part owner of one or more businesses that is dominant in the same field of operation; and
- has gross revenues that do not exceed the criteria consistent with the Minnesota Department of Administration's revenue standards<sup>9</sup>; and
- performs a commercially useful function; and
- has been in operation for at least one (1) year or, in operation for less than one year and is able to provide documentation showing that it has an established record of generating revenue while performing the business function represented in its application for certification or, if a professional service, is able to provide documentation showing that it possesses applicable licenses or professional certifications or credentials.

**Women-owned Business Enterprise (WBE)**—a qualified business concern located in the marketplace<sup>10</sup> (a) which is at least fifty-one (51) percent owned by one or more women, or, in the case of any publicly owned business, at least fifty-one (51) percent of the stock is owned by one or more women; and, (b) whose management and daily business operations are controlled by one or more women who own it.

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<sup>8</sup> This will be interpreted to mean that the firm's principal place of business is in the marketplace.

<sup>9</sup> Currently this is based on SIC codes; however, this will change to NAICS codes in the near future. Small business size standards for companies with SIC codes that do not fit into any of the SIC divisions with calculated size standards will be handled according to the specific revenue limit set by the Minnesota Department of Administration.

<sup>10</sup> This will be interpreted to mean that the firm's principal place of business is in the marketplace.

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## ADDITIONAL TERMS

**Appeal**—Any business whose application for certification/recertification has been denied, or whose certification has been terminated, may appeal in writing to the CERT Collaborative’s Executive Committee. Such appeal shall be decided on submission of grounds/reason, supporting documentation, and where appropriate in the discretion of the appeals entity with an informal conference of the business with the appeals entity.

**Application**—A business shall file an application with the Collaborative or designated certification entity and provide such information on such forms as the Collaborative may reasonably require. The Collaborative may require information:

- that will establish that the business meets and will continue to meet the definition of an SBE, MBE, or WBE, as the case may be, for the entire period of certification; and
- that delineates the availability and qualifications of such business; and
- for the areas of contracts such business seeks; and
- on the number and dollar amount of past contracts it has been a party to or participated in as a subcontractor.

**Certification of another jurisdiction**—The Collaborative may waive all or part of the application process, and waive the submission of information required thereunder, as to any such business which has been certified under a program materially similar to the CERT Program. This authority is not intended to circumvent any agreements that may exist to engage in a joint certification process with other governmental entities. Program(s) for which this waiver may apply shall be designated from time-to-time by the CERT Collaborative.

**Certification term (three years)**—The CERT certification is valid for a thirty-six (36) month period following the date granted. A certification may be renewed for additional three-year periods by completing a recertification application.

**Change in circumstances**—If the Collaborative or Certification Processor determines that any such business no longer meets the definition of SBE, MBE, or WBE, as the case may be, the Collaborative or Certification Processor may terminate the certification of such business. Each such business, which has been certified, is and remains under a continuing obligation to report any change in circumstances that would cause it not to meet the appropriate definition.

**Joint applications**—The Collaborative may cooperate with any other governmental entity having a program materially similar to the CERT Program in providing for a joint or mutually acceptable application process.

**Material misstatement of fact**—If the Collaborative or Certification Processor determines that any business made a material misstatement of fact in its application for certification or in any information submitted in support of the application, whether intentional or by mistake, the Collaborative or certifying entity may determine either not to certify the business for participation in the CERT Program, or to terminate the certification of the business if already granted.

**Periodic review**—The certification for each certified business may be reviewed periodically to determine that it continues to be eligible for certification and meets the definitions of an SBE, MBE, or WBE, as the case may be, but such review shall take place at least every three (3) years after its initial certification. The Collaborative may require each certified business which has been certified to submit all information necessary to verify the continued eligibility of such business, and the failure of such a certified business to provide the information shall automatically terminate its eligibility to participate in the CERT Program.

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# Central Certification



# CERT Program

Date Received	Date Complete
Approved – Y/N	Categories S / W / M
Approved by (initials) & Date	

## Program Application

*Note: Most, if not all, of the information requested in this application is classified as public under state law. It is the responsibility of the Applicant Firm to claim and defend any other classification.*

### Company Information

Company Name: \_\_\_\_\_

Doing Business As (DBA): \_\_\_\_\_

Street Address: \_\_\_\_\_

City: \_\_\_\_\_ County: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Mailing Address (if different than above): \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Primary Contact: \_\_\_\_\_ Title: \_\_\_\_\_

Phone: ( ) \_\_\_\_\_ Fax: ( ) \_\_\_\_\_

Web Site Address: \_\_\_\_\_ Email Address: \_\_\_\_\_

Description of Product(s) and/or Service(s) (use back of page if necessary): \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Annual Gross Revenues: \$ \_\_\_\_\_ Fiscal Year End: \_\_\_\_\_ # of Employees FT: \_\_\_\_\_ PT: \_\_\_\_\_

Primary Standard Industrial Classification (SIC) Code (if known): \_\_\_\_\_

Secondary SIC Code(s) (if applicable): \_\_\_\_\_

#### Method of Acquisition:

Bought Existing  New  Other (explain): \_\_\_\_\_ Date Business Originally Established (mm/yyyy): \_\_\_\_\_

Date Current Ownership Acquired (mm/yyyy): \_\_\_\_\_ Federal Tax ID Number: \_\_\_\_\_ State Tax ID Number: \_\_\_\_\_

#### Legal Structure:

Individual/Sole Proprietorship  Partnership  C-Corporation  S-Corporation  Limited Liability Company

#### Certification Categories for which you are applying:

Small business  Woman-owned Business  Minority-owned Business

### Individual Owner Information

*If there is more than one owner, attach the following information for each additional owner on a separate sheet.*

First Name: \_\_\_\_\_ Middle Initial: \_\_\_\_\_ Last Name: \_\_\_\_\_

Title: \_\_\_\_\_ Social Security Number: \_\_\_\_\_ - - Phone: ( ) \_\_\_\_\_

Residence Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Male  Female  Minority (Specify): \_\_\_\_\_ Citizenship Status:  U.S Citizen  Naturalized #: \_\_\_\_\_

% of Ownership: \_\_\_\_\_ Owner Since (mm/yyyy): \_\_\_\_\_ Hours Devoted to Business per Week: \_\_\_\_\_

Please describe the dollar value of your contribution to start or acquire the business below:

Cash/Securities: \$ \_\_\_\_\_ Real Estate: \$ \_\_\_\_\_ Equipment: \$ \_\_\_\_\_ Other: \$ \_\_\_\_\_

**Note: Percentage of Ownership should equal 100%**



**Application Checklist for Completeness**

**Applicants must provide ALL of the attachments indicated for their respective legal structure:**

<b>Document</b>		<b>Individual/Sole Proprietorship</b>	<b>Partnership</b>	<b>Corporation</b>	<b>Limited Liability Company</b>
Resumes for all owners (use attached form OR similar format)					
Statement of Responsibilities for each owner/officer/manager					
Business or Professional Licenses (if applicable)					
Equipment/Vehicle List (if applicable) (use attached form OR similar format)					
The following types of financial information:					
OR	Tax Returns from previous 3 years				
	Financial Statements from previous 3 years				
Certificate of Assumed Name (if applicable)					
Certifications by other government agencies (if applicable)					
Partnership Agreement					
Articles of Incorporation					
Articles of Organization					
Article Amendments (if applicable)					
By Laws/Company Statutes					
Corporate Minutes/Written Actions					
Stock Certificates					

**Résumé**

Complete a copy of this form (or a similar format) for each owner and individual in a key decision making position.

**Name:** \_\_\_\_\_

<i>Follow this format in the spaces below</i>	<b>Dates:</b>	<b>Company:</b>	<b>Location:</b>
	<b>Title:</b>		
	<b>Responsibilities/Accomplishments:</b>		
	<ul style="list-style-type: none"> <li>•</li> <li>•</li> <li>•</li> </ul>		
<b>Current work experience</b>			
	<ul style="list-style-type: none"> <li>•</li> <li>•</li> <li>•</li> </ul>		
	<ul style="list-style-type: none"> <li>•</li> <li>•</li> <li>•</li> </ul>		
<b>Previous experience</b>			
	<ul style="list-style-type: none"> <li>•</li> <li>•</li> <li>•</li> </ul>		
	<ul style="list-style-type: none"> <li>•</li> <li>•</li> <li>•</li> </ul>		
<b>Previous experience</b>			
	<ul style="list-style-type: none"> <li>•</li> <li>•</li> <li>•</li> </ul>		
	<ul style="list-style-type: none"> <li>•</li> <li>•</li> <li>•</li> </ul>		
<b>Previous experience</b>			
	<ul style="list-style-type: none"> <li>•</li> <li>•</li> <li>•</li> </ul>		
	<ul style="list-style-type: none"> <li>•</li> <li>•</li> <li>•</li> </ul>		
<i>Follow this format &gt;&gt;&gt;</i>	<b>Dates:</b>	<b>School:</b>	<b>Location:</b>
	<b>Degree/Area of Emphasis:</b>		
	<ul style="list-style-type: none"> <li>•</li> <li>•</li> <li>•</li> </ul>		
<b>Education</b>			
	<ul style="list-style-type: none"> <li>•</li> <li>•</li> <li>•</li> </ul>		
	<ul style="list-style-type: none"> <li>•</li> <li>•</li> <li>•</li> </ul>		
<b>Related Licenses &amp; Credentials</b>	<ul style="list-style-type: none"> <li>•</li> <li>•</li> <li>•</li> </ul>		
	<ul style="list-style-type: none"> <li>•</li> <li>•</li> <li>•</li> </ul>		
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	<ul style="list-style-type: none"> <li>•</li> <li>•</li> <li>•</li> </ul>		

**Equipment/Vehicle List  
(only applicable to companies who use equipment on the job)**

Please use the table below (or a similar format) to list all major equipment owned by the Applicant Firm. Attach additional pages as necessary.

Description of Major Pieces of Equipment	Approximate Value
1	
2	
3	
4	
5	
6	
7	
8	
9	
10	
11	
12	
13	
14	

**Trucking or construction firms only**—Please use the table below (or a similar format) to list information on vehicles owned by the Applicant Firm. Attach additional pages as necessary. **Include lease, rental, and/or purchase agreements, as well as insurance documents for all vehicles listed.**

Description of Vehicles	Approximate Value
1	
2	
3	
4	
5	
6	
7	
8	
9	
10	
11	
12	
13	
14	