



# **Office of Small and Minority Business Policy**

## **MBE/DBE/ACDBE/SBE Application Assistance Workshop**

**Wes Moore**  
*Governor*

**Aruna Miller**  
*Lt. Governor*

**Paul J. Wiedefeld**  
*Secretary*

# **MINORITY BUSINESS ENTERPRISE PROGRAM**

- **The Maryland Department of Transportation (MDOT) is the official certification agency for the State**
- **Established in 1978, Maryland's Minority Business Enterprise (MBE) Program is known to be the oldest in the country**
- **Largest MBE program in the country**
- **One of the most aggressive in the nation with a 29% MBE participation goal and contract sub goals**

# TYPES OF CERTIFICATION

There are four types of certifications:

- **Minority Business Enterprise (MBE)**
  - State-funded contracts
- **Disadvantaged Business Enterprise (DBE)**
  - USDOT contracts administered by:
    - Maryland State Highway Administration (SHA)
    - Maryland Aviation Administration (MAA)
    - Maryland Transit Administration (MTA)
    - Metropolitan Planning Organizations (MPOs)
- **Airport Concessions Disadvantaged Business Enterprise (ACDBE)**
  - Airport concessions contracts administered by MAA
- **Small Business Enterprise (SBE)**
  - USDOT contracts administered by SHA, MAA, and MTA
  - Race and gender neutral

# **BENEFITS OF CERTIFICATION:**

## **Access and Opportunities**

- **Greater exposure to government and private sector contracting opportunities**
- **Only MBE/DBE certified firms can fulfill the minority participation goals**
- **Certified firms appear on the Directory of Certified Firms which is used by prime contractors, consultants, government agencies and private sector companies seeking minority business participation**

# BENEFITS OF CERTIFICATION:

## Monitoring and Advocacy

- **Enforcement of MBE compliance policies and procedures**
- **[MBE Liaison Officers](#)**

# WHY DO WE CERTIFY?

- MDOT maintains the integrity of the program through a comprehensive certification process
- Only bona fide disadvantaged and minority-owned firms receive the MBE/DBE certification
- We deter fraud and abuse
- We aid in tracking minority business participation

**Only certified firms can fulfill Maryland's 29% MBE participation goal**

**FREE!**

**FREE!**

**FREE!**

**THERE IS NO COST TO APPLY FOR OR MAINTAIN  
CERTIFICATION WITH MDOT'S OFFICE OF MINORITY  
BUSINESS ENTERPRISE**



# IS THE PROGRAM WORKING?

**YES!...**

**In FY 2021, MBEs were awarded \$1.1 billion in State procurement contracts representing 17.2% MBE participation of the total \$6.6 billion in contracts awarded by the 70 participating agencies/departments across state government**

Source: Governor's Office of Small, Minority, & Women Business Affairs

**...BUT WE NEED YOU!!**

**MD Disparity Studies show the need for the MBE program still exists, and your participation supports that need**



# WHO DOES WHAT IN GOVERNMENT PURCHASING?



**State Agency**



**Prime/General Contractor**



**Sub-Contractor**

- Advertises the solicitation
- Awards the contract to the Prime Contractor
- Pays the Prime Contractor

- Bids on the complete contract
- Works for the State Agency
- Pays the Sub-Contractors

- Bids on a portion of the contract
- Works for the Prime Contractor

# THE MBE/DBE/ACDBE ROLE



**MBE/DBE/ACDBE  
Sub-Contractor**

Only firms who are certified as an **MBE, DBE** or **ACDBE** can fulfill the minority participation goal on a State contract



**MBE Prime  
Contractor**

**MBE prime contractors** may count their participation on contracts with MBE goals for up to 50% of the established MBE contract goal and 100% of any one contract sub goal

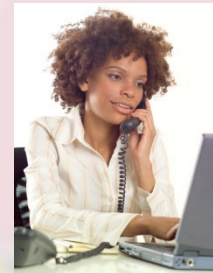
# CONNECT TO THE OPPORTUNITIES

- ***Department of General Services (DGS)***
  - **eMaryland Marketplace Advantage (eMMA)**
    - **Maryland State agencies advertise solicitations of \$15,000 and over**
    - **Local county and city governments advertise solicitations for local government procurements**
  - **Small Business Reserve (SBR) Program**
    - **Online self-registration for small businesses**
    - **15% set aside by all State agencies**
  - **For FAQs, instructions, vendor training webinars and more, visit [www.procurement.maryland.gov](http://www.procurement.maryland.gov) or email at [eMMA.HelpDesk@maryland.gov](mailto:eMMA.HelpDesk@maryland.gov)**
- **Prime contractors: ask “WHY?”**
- **Subcontractors: follow up**

## **USE YOUR RESOURCES**

- **Join professional organizations and be an active member**
- **Attend procurement fairs and matchmaking events**
- **Properly utilize and manage free social media outlets such as LinkedIn, Facebook or Twitter**
- **Network with other businesses**

# CERTIFICATION ELIGIBILITY



# **ELIGIBILITY STANDARDS**

**There are five eligibility standards each applicant must meet:**

- 1. Ownership**
- 2. Minority Status**
- 3. Control**
- 4. Personal Net Worth**
- 5. Size**

## **ELIGIBILITY STANDARDS: OWNERSHIP**

**An MBE/DBE/ACDBE is a small business that is at least 51% independently owned and controlled by one or more socially and economically disadvantaged individuals**

- **Ownership must be real and substantial**
- **Owner must be a U.S. citizen or permanent resident**
- **Firms headquartered in Maryland must be in good standing with the Maryland Department of Assessments and Taxation**

# ELIGIBILITY STANDARDS: MINORITY STATUS

Certain groups are *presumed* to be socially disadvantaged:

- Women
- African Americans
- Hispanic Americans
- Native Americans
- Asian Pacific Americans
- Subcontinent Asian Americans
- Disabled Persons (MBE Program Only)

**Firms owned by ethnic women are dually certified**



# **ELIGIBILITY STANDARDS: MINORITY STATUS (CONTINUED)**

- **Individuals who are not in the presumed groups and individuals who have had the presumption of disadvantaged rebutted, have the burden of proving that they are socially and economically disadvantaged (SED)**

## ELIGIBILITY STANDARDS: CONTROL

- **Minority owner(s) must have an overall understanding of, and managerial and technical competence and experience directly related to, the type of business in which the firm is seeking certification**
- **Firms are certified in specific areas of work as defined by the North American Industry Classification System (NAICS Codes)**

To learn more about NAICS Codes visit

<https://www.census.gov/naics/>

# ELIGIBILITY STANDARDS: PERSONAL NET WORTH

In order to evaluate economic disadvantage, each minority owner must submit a Personal Financial Statement (a.k.a. Personal Net Worth (PNW) Statement)

PNW is the net value of the assets held by an individual or includes the minority applicant's portion of assets held jointly or as community property

- **MBE Cap:**
  - \$1,995,008 (*adjusted annually*)
- **DBE Cap:**
  - \$1,320,000
- **ACDBE Cap:**
  - \$1,320,000

## PNW Calculations DO NOT Include:

- Applicant's personal residence
- Value of the applicant business

## ELIGIBILITY STANDARDS: SIZE

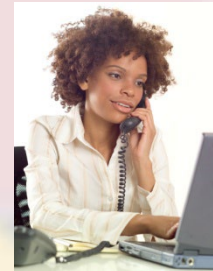
All applicant firms must be “small”

- Size standards are set by the U.S. Small Business Administration (SBA) under Regulation 13 CFR Part 121
- Size standards are determined by industry based on NAICS Codes
- Firms seeking DBE Certification must not exceed the current DBE statutory cap of \$30.40 (million)

For more information regarding size standards visit SBA's website *at:*

<https://www.sba.gov/size>

# The Certification Process



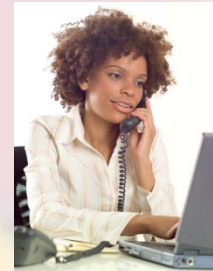
# THE PROCESS

1. **APPLICATION** – Applicants must submit an application along with all applicable supporting documentation; online and hard copy versions available
2. **INVESTIGATION** – An MBE Officer reviews the entire application package then conducts an on-site interview with the applicant(s) and performs a job-site visit (if applicable); all findings are documented in a written report
3. **EVALUATION** – **MBE Advisory Committee (MBEAC)** reviews the investigative report to evaluate whether the applicant firm meets all program requirements; the owner(s) may be asked to appear before the MBEAC as part of the evaluation process
4. **DETERMINATION** – The MBEAC Chairperson issues a written determination

Out of state firms must be certified in their home state  
before applying in Maryland



# The Application



# COMPLETING THE APPLICATION

- **Create a profile and complete the application using [the Certification Management System](https://marylandmdbe.mdbecert.com/) (<https://marylandmdbe.mdbecert.com/>)**
- **You will not be able to submit your application until all required fields are completed. All required fields are marked with an asterisk.**

**Out of state firms must be certified in their home state  
before applying in Maryland**



## **SECTION 1: GENERAL INFORMATION**

- **1A - The “Contact Person” should be the minority applicant, not a designated representative**

## **SECTION 2: GENERAL INFORMATION**

- **2A - It is best to use NAICS Codes when describing the primary activities of the firm. If you do not know your NAICS Codes, provide a written list of your products and/or services and the MBE Officer will help you determine the appropriate codes**

## **SECTION 2: GENERAL INFORMATION (CONTINUED)**

- **2B – Be sure to clearly identify any relationships with other businesses in the section provided**

## **SECTION 3: OWNERSHIP**

**If your firm has more than one owner, complete and attach a separate page for *each* owner.**

- **3A – Each owner claiming social and economic disadvantage status is required to provide proof of identity *and* proof of citizenship**

## **SECTION 3: OWNERSHIP (CONTINUED)**

- **3A – When completing the Initial Investment section, you may be required to provide supporting documentation. This can include but not limited to receipts, notarized statements, bank statements, filing fees, etc.; this information may be submitted with the application or provided to the MBE Officer during the investigation**

## **SECTION 4: CONTROL**

- **E – Obtain a copy of your Signatory Card or a signature authorization form/letter from your financial institution identifying who is authorized to sign checks on the business account; provide copies of your bonding documents (*if applicable to your business*) with the initial application**

## **SECTION 4: CONTROL (CONTINUED)**

- **H – Firms must meet Maryland’s licensing/permit requirements (i.e. attorneys, engineers, electricians, etc.); include a copy of the license issued by the home state; out-of-state firms should also include information on their license status with Maryland**
- **I-J – Input information pertaining to the three largest jobs your firm is currently working and/or has held in the past three years**

# AFFIDAVIT OF CERTIFICATION

- The Affidavit of Certification is a mandatory document
  - *Declaration of Minority Status*
  - *Attesting your Personal Net Worth is below the established threshold*
  - *Must notify of change(s) in 30 days*
- It must be completed in its entirety
- Sign and notarize this important document

# PERSONAL FINANCIAL STATEMENT

The Personal Financial Statement is *also known as the Personal Net Worth (PNW) Statement*

- This document defines the personal assets and liabilities of the applicant(s), not those of the business
- Applicants must use US DOT PNW Form and it must be signed & notarized
- The individuals who comprise the 51% minority ownership must submit PNW
- Any other minority owner upon which disadvantaged status is relied must complete an Affidavit and PNW
- Non-minority owners do not need to submit a PNW



## Steps to Submit an Application for MBE/DBE/ACDBE/SBE Certification

1. Create a profile using [the Certification Management System](#).
2. Read the instructions for completing the online application.
3. Complete the online certification application:
  - Complete the online application for MBE/DBE/ACDBE/SBE certification.
  - Upload supporting documents.
  - Complete [Personal Net Worth \(PNW\) Form](#) and [PNW Guidelines \(Instructions\)](#) are available in [the Certification Management System](#).
4. Review the appropriate [Document Checklist](#) for submission.
  - These are the official checklists to be used for MBE/DBE/ACDBE/SBE Certification.
5. Submit your application.
6. Retain a hard copy or electronic copy of the entire application package for your files.



# COMPLETING THE ONLINE APPLICATION

[www.mdot.maryland.gov](http://www.mdot.maryland.gov) – **Select MBE in  
Toolbar**

The screenshot shows the top portion of the Maryland Department of Transportation website. At the top left is the Maryland.gov logo. To the right are links for State Directory, State Agencies, and Translate. Below this is an orange security alert banner with a warning icon and text: "Security Alert. If you have received a text from 'Maryland-MDot Urgent' addressing 'MDot customer' with a link, please ignore the text. It is SPAM and has been reported to MDOT's IT Department. DO NOT click on the link and DELETE the message. [Link](#)". Below the banner is a dark blue navigation bar containing a search box with the placeholder "Enter search term" and a magnifying glass icon, followed by menu items: Home, Business (with a dropdown arrow), Careers, Programs (with a dropdown arrow), About (with a dropdown arrow), Quick Links (with a dropdown arrow), and MBE (which is highlighted with a red rectangular box). Below the navigation bar is a dark red banner with the MDOT logo and the text "MARYLAND DEPARTMENT OF TRANSPORTATION". To the right of this banner is a blue banner featuring a photograph of a building with the MDOT logo on it, and social media icons for LinkedIn, Twitter, YouTube, and Facebook, along with a three-dot menu icon.

# COMPLETING THE ONLINE APPLICATION

MBE Home

Directory of Certified Firms

Certifications & Forms

Annual Review

Expansion of Service

Minority Business Enterprise Advisory Committee (MBEAC)

Certification Application Assistance Workshops

How to Use Directory of Certified Firms

Resources and Information

## Small, Minority & Disadvantaged Business



### Maryland's Official Certification Agency

The Maryland Department of Transportation (MDOT) is Maryland's official certification agency for the Minority Business Enterprise (MBE) Program, the Disadvantaged Business Enterprise (DBE) Program, the Airport Concessions Disadvantaged Business Enterprise (ACDBE) Program, and Small Business Enterprise (SBE) Program. We ensure only bona fide MBE/DBE/ACDBE/SBE firms participate in our program through our comprehensive certification program. Certified firms appear in MDOT's [Online Directory of Certified Firms](#).

# COMPLETING THE ONLINE APPLICATION



## Certification Management System

[Vendor Log In](#)

[OMBE Staff Log In](#)

### About the System

Learn more about this system and how it works today

[Information for Business Users](#)

### System Training

Learn how to fully utilize our system with a live trainer

[Training](#)

### Account Access

Lookup system user accounts or reset user passwords

[Account Lookup](#)

### Business Applicant Certification

Search and/or join our database of certified businesses

[Terms of Use](#)

[Search Directory of Certified Firms](#)

[Apply for Certification / Submit Annual Review /  
Submit a Change](#)

### Track My Application

Track your application status

[Track My Application](#)

# COMPLETING THE ONLINE APPLICATION

## Apply for Certification

Welcome!

You are about to complete the online certification application for Maryland Department of Transportation (MDOT). If you have any questions or need help while completing the application, please contact technical support [here](#).

### Need Help?

- [Download the user manual](#)
- [Sign up for a Training Class](#)

To continue, please select one option below:

### New Certification Application

Your firm is not currently certified with MDOT.

[Create Account](#)

I Forgot My Username & Password

[Lookup Account](#)

### Annual Review

I Know My Username & Password

[Login](#)

I Don't Know My Username & Password

[Lookup Account](#)

### Report a Change, Submit an Expansion and/or Update your Firm's Information

I Know My Username & Password

[Login](#)

I Forgot My Username & Password

[Lookup Account](#)

# COMPLETING THE ONLINE APPLICATION

\* required entry

## Section 1: Business Lookup

TAX ID NUMBER \*

Enter your firm's Tax ID Number and click **Lookup** to check if an account already exists.

Lookup

9 digit Federal Tax ID; firms are strongly encouraged not to use SSN as the tax ID. Tax ID Numbers can be easily [obtained from the IRS](#) at no charge.

## Section 2: Business Information

BUSINESS NAME \*

DBA NAME

COMPANY TYPE \*

None selected ▼

# COMPLETING THE ONLINE APPLICATION

## Section 3: Business Contact Information

MAIN COMPANY EMAIL \*

MAIN PHONE \*

MAIN FAX

COMPANY WEBSITE

COMPANY ADDRESS \*

Enter a location	Line 1
	Line 2
	Line 3

CITY \*

STATE/PROVINCE \*

U.S. States/Provinces    Canadian Provinces

▼	or	▼
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ZIP CODE/POSTAL CODE \*

U.S. Zip Code    Canadian Postal Code

	or	
--	----	--

COUNTRY \*

United States ▼
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# COMPLETING THE ONLINE APPLICATION


## Section 4: Company Contact Person

NAME *	First name	Last name
	<input type="text"/>	<input type="text"/>
TITLE	<input type="text"/>	
EMAIL/USERNAME *	<a href="#">Copy from above</a> <input type="text"/>	
PHONE NUMBER *	<a href="#">Copy from above</a> <input type="text"/> <input type="text"/> Ext. <input type="text"/>	
MOBILE NUMBER	<input type="text"/> <input type="text"/>	
FAX NUMBER	<a href="#">Copy from above</a> <input type="text"/> <input type="text"/>	
CHOOSE PASSWORD *	<input type="text"/> <b>Password requirements:</b> <ul style="list-style-type: none"><li>▶ Must be at least 8 characters long</li><li>▶ Must have at least one lower case letter: a-z</li><li>▶ Must have at least one upper case letter: A-Z</li><li>▶ Must have at least one number: 0-9</li><li>▶ Must have at least one special character: !@#%&amp; etc.</li></ul>	
RETYPE PASSWORD *	<input type="text"/>	
TIME ZONE *	US/Eastern <input type="button" value="v"/>	

Next

# COMPLETING THE ONLINE APPLICATION

Enter search parameters below and click the **Search** button. You can then send yourself a username/password reminder by email. If you do not see your business listed in the search results, you can select **Change Parameters & Search Again**.

If you are unable to find your business, or the contact information is incorrect, please view this quick video  or email [Customer Support](#). Please note that when contacting Customer Support, we may need to request additional information for security purposes.

## Need help?

Some questions may be answered by watching a tutorial video:

- Change User Information 
- Request Username and Password 
- New User Request 

### Search by Business Name or DBA

Tip: Try a few letters of the firm's name.

### Search by Tax Identification Number

Tip: Must be 9 numbers; do not enter spaces or dashes.

### Search by Contact Person

First Name

Tip: Use the first letter.

Last Name

Tip: Try the first few letters.

### Search by Contact Information

Email

Tip: Try part of the email.

Phone Number

Fax Number

### Search by Location

Address

City

State/Province

[view our upcoming events](#)



## **CERTIFICATION TIME**

**Once a complete application package has been received, it takes an average of 3-4 months to complete the certification process**

**If you do need assistance, please call the OMBE office at 410-865-1269.**

## DELAY IN CERTIFICATION

- The most common cause for delay is submission of an incomplete application
- More than 50% of all applications are incomplete when submitted

# ADD REFERENCES TO YOUR PROFILE

- **Be sure to add professional references when completing your company profile to showcase experience your business has gained**
- **References can be updated at any time by completing and submitting the “Reference Data” form to OMBE via email**  
**([https://www.mdot.maryland.gov/MBE/reference\\_letter.pdf](https://www.mdot.maryland.gov/MBE/reference_letter.pdf) )**
- **Your company profile can have up to three references**

Dear Sir/Madam:

As you are aware, the Maryland Department of Transportation's Office of Minority Business Enterprise maintains an online directory of certified Minority Business Enterprise (MBE) firms. Your listing includes the option to name up to three professional references. This is not a mandatory requirement. It is, however, an opportunity to enhance your listing and provide valuable information to those seeking services from MBE firms.

If you choose to submit references, complete the reference data information form on the reverse side of this letter and return it by mail or email as identified below. Please note, the form must be signed.

Maryland Department of  
Transportation Office of Minority  
Business Enterprise 7201 Corporate  
Center Drive  
Hanover, MD 21076  
Email: [MBE@mdot.maryland.gov](mailto:MBE@mdot.maryland.gov)

Don't hesitate to contact our office at 410-865-1269 if you have any questions.

Sincerely,



Monica A. Cruse, Acting Director  
Office of Minority Business  
Enterprise

**REFERENCE DATA**  
**CERTIFIED MINORITY/DISADVANTAGED BUSINESS ENTERPRISE FIRMS**

Name of Firm: \_\_\_\_\_

Certification Number: \_\_\_\_\_

Reference Information:

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

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

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

Contact Person: \_\_\_\_\_

Type of Work Performed: \_\_\_\_\_

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

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

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

Contact Person: \_\_\_\_\_

Type of Work Performed: \_\_\_\_\_

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

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

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

Contact Person: \_\_\_\_\_

Type of Work Performed: \_\_\_\_\_

By signing and submitting this document, I affirm that I am authorized by \_\_\_\_\_ (Name of Firm) to make these statements on its behalf. I also affirm that these statements are true and correct to the best of my knowledge, information, and belief. By providing this information, I agree on behalf of \_\_\_\_\_ (Name of Firm) to permit the State of Maryland to publish this information both electronically and in print, and release and discharge the State of Maryland, its departments, officers, agents, and employees from any claim, suit, judgement, expenses, damages, and costs of any kind arising out of or resulting from errors, omissions, or negligent acts relating to our concerning the publication of the information provided.

Signature: \_\_\_\_\_ Printed Name: \_\_\_\_\_

Title: \_\_\_\_\_ Company: \_\_\_\_\_

Date: \_\_\_\_\_

## **CERTIFICATION DOES NOT...**

- **Guarantee contract award**
- **Guarantee a firm's ability to do work**
- **Mean a firm meets all of the requirements needed to do business in the State**

# **SMALL BUSINESS ENTERPRISE PROGRAM**

- **Small Business Enterprise (SBE) Program is a race and gender neutral program, designed to provide PRIME contracting opportunities to small businesses on federally aided projects assisted by the Federal Aviation Administration (FAA), Federal Highway Administration (FHWA), and Federal Transit Administration (FTA)**
- **Goals of the SBE Program:**
  - **Facilitate competition, eliminate obstacles, making sure there is no unnecessary & unjustified bundling of contracts, and increase opportunities for small businesses to participate as prime contractors on MDOT federally aided contracts without competing with larger and more established businesses**
  - **Assist in building capacity**
- **The SBE Program applies only to contracts with SHA, MTA, and MAA**

# **SMALL BUSINESS ENTERPRISE PROGRAM (CONTINUED)**

- **SBE Program Eligibility:**
  - Race and gender neutral
  - Must be a Small Business as defined by the SBA (13 CFR Part 121)
  - The firms average gross receipts cannot exceed USDOT size standard of \$30.40 million
  - At least 51% of the firm's ownership must not exceed the PNW cap of \$1.32 million
  - The firm must be organized for profit
  - The 51% owner(s) must be a U.S. Citizen or Permanent Resident
  
- **Firms that are currently MDOT DBE certified will automatically be certified as SBE**



As you go through the certification process... **talk with the experts!**



**410.865.1269**

[mbe@mdot.maryland.gov](mailto:mbe@mdot.maryland.gov)

[www.mdot.maryland.gov](http://www.mdot.maryland.gov)

For individual guidance on your application, please contact the Office of Minority Business Enterprise using the contact information above.