



Verification Requirements Benchmarking Study

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Introduction

Every year, the Kogod School of Business of American University conducts a number of studies on contemporary challenges and issues across private industry and government. These studies, under the auspices of a Consulting Practicum, seek to apply sound business theories in making recommendations and drawing relevant conclusions that lead to enhanced efficiencies or improved practices with the company or government organization. It is anticipated that the analysis and recommendations resulting from such studies will provide benefits, opportunities, and valuable insights to the targeted audience and respective stakeholders.

Overview

Many government agencies at both federal and state levels require a formal application process in order to qualify for preferred contracting programs or “set asides.” These include the federal government’s Department of Veterans Affairs and the Small Business Administration, as well as a number of state specific programs. All of these programs require detailed documentation in order to be certified for contract awards under these programs. The potential rewards for certification for these special contract considerations are great; therefore the various individual processes can be expected to evidence an appropriate degree of rigor in order to qualify.

Purpose

The purpose of this study is to review a number of Federal and State organizations and benchmark their specific requirements; and then, compare those requirements with those of the Department of Veterans Affairs, Center for Verification and Evaluation (CVE) as guided by Code of Federal Regulations (CFR) 38 Part 74. The study seeks to benchmark CVE’s requirements and the selected organizations that perform a similar function as CVE in order to understand and validate general requirements for such certifications.

Benchmarking

The underlying goal in benchmarking the various organizations that perform a similar function to CVE is to understand the various requirements the organizations have for applicants that wish to apply for their certification program and some of the mechanisms in place for reviewing applications. We seek to determine whether the CVE requirements are generally in-line with the requirements of other organizations in order to provide insight to the time and documentation requirements necessary to enable access to “set aside” contracting opportunities.

As a part of this study, the American University team benchmarked the following organizations against the CVE requirements:

1. California’s Department of General Services Procurement Division’s Disabled Veteran Business Enterprise; (**CA DGS**)
2. The Small Business Administration’s (SBA) Historically Underutilized Business Zone program; (**SBA Hubzone**)
3. The SBA’s 8(a) program; (**SBA 8[a]**)

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4. The Association for Service Disabled Veterans; (**ASDV**)
5. The Virginia Minority Supplier Development, (**VA SDC**)
6. The Women’s Business Enterprise National Council; (**WBENC**)
7. Maryland’s Minority Business Enterprise Program; and (**MD MBE**)
8. Pennsylvania’s Bureau of Minority and Women Business Opportunities; (**PA BMWBO**)
9. New York State Office of General Services, Service-Disabled Veteran-Owned Business; (**SDVOB**)

Methodology

Currently, CVE requires applicant companies to upload all documents to a secure Veteran’s Affairs server for filing and review. Other organizations require applicants to download their requested documents to a CD and send them via mail to the governmental organization’s location. During our review of benchmarked organizations, we found this procedure to be the standard, whereby benchmarked organizations require companies to submit the supporting documentation with their application package. The organizations require these documents for review. The organizations focused on specific documents, which they believe adequately support, among other things, their ownership and control requirements that are similar to CVE’s documentation requirements. The amount of documentation and the level of detail required in the applications varied somewhat across the organizations, and differed slightly based on the type of the applicant company (Sole proprietorship, Partnership, Limited Liability Company, or Corporation). However, all of the studied organizations required, at a minimum, the following documents from all applicants with the submission of their applications:

- Business License;
- Federal Business and/or Personal Tax Returns;
- Organizational structure and governance documents, i.e.: articles of incorporation, articles of organization, partnership agreements, organizational agreements, etc.; and
- Stock ledger or register and stock certificates and/or an IRS Form K-1.

We further reviewed and analysed which documents are considered essential in making a determination of ownership and control within the meaning of 38 CFR 74—without causing a hardship on the Veteran or being overly inclusive. All documents required to be submitted to the benchmarked organizations must be “official” documents related to the applicant’s business and that have been previously submitted to third party agencies (i.e., the IRS or other state agencies). Additionally, all of the documents requested are requested by one or more of the identified benchmark organizations.

In assisting in determining dependency with 38 CFR Part 74.4(i)(4), CVE requests a random sample of 10-20 checks to review as a means to determine if the veteran owner is authorizing financial obligations on behalf of the company and if not, who within the company is authorizing such obligations. In addition, CVE utilizes these checks in order to help determine if the checks are from the Applicant Company or are from another party.

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The matrix below serves to identify and compare documents requested by CVE and other relevant organizations.

Documentation	CVE	SBA 8 (a)	SBA Hub Zone	MD MBE	PA UCP	VA SDC	WBENC	CA DGS	NY SDV OB
Business and/or personal professional industry, and/or other licenses	X	X		X	X	X	X	X	X
Resumes of all owners, directors, partners, officers, and other key personnel	X	X		X	X	X	X	X	X
IRS personal Federal tax Form 1040 with all corresponding W-2's and K-1's as well as the Schedule C and Schedule E for the past three years	X	X	X*	X	X		X		X
IRS Federal Tax Form for past three years	X	X	X*	X	X	X	X	X**	X
Payroll Distribution Ledger Summary Report (current year to date) and W-2's for preceding year	X		X	X			X		
Bank Signature cards and/or approximately 10-20 *negotiated/cancelled* checks from operating account	X	X		X	X	X	X	X	X
Copies of contracts and proposals (Cover page and Signature page only). Include payment and performance bonds as well as insurance certificate if construction contract	X	X		X		X			
Building Lease Agreement, to include Management and Services agreements	X	X	X	X	X	X	X	X	X
Operating agreements	X	X	X	X	X	X	X	X	X
Partnership agreements	X	X	X	X	X	X	X	X	X
Shareholder agreements	X	X		X	X		X		
Official Certificate of Formation	X	X			X		X	X	

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Documentation	CVE	SBA 8 (a)	SBA Hub Zone	MD MBE	PA UCP	VA SDC	WBENC	CA DGS	NY SDV OB
Minutes of first and most recent stockholder and Board of Directors meetings	X			X	X	X	X	X	X
Corporate bylaws	X	X	X	X	X	X	X	X	X
Articles of Organizations	X	X	X	X	X	X	X	X	X
Certificate of Incorporation filed with the Secretary of State	X	X	X	X	X	X	X	X	X
Stock registers	X		X	X	X				X
Narrative statement of economic disadvantage		X		X					
Fictitious business statement (if applicable)		X						X	X
Proof of U.S. Citizenship (passport, birth certificate)			X	X		X	X		
Proof of ethnicity for Owner(s), partners, shareholders (driver's license, birth certificate)						X	X °°		
Financial statements (P&L, statement of cash flows, balance sheet, income statement)		X		X	X	X	X		X
Notes payable (if any)						X	X		
Equipment Rental and Purchase Agreements (if applicable)					X	X	X	X	
Equipment owned or available (include description of equipment, year acquired, and current value)					X	X		X	
Indian/Native American Blood Degree Certificate (i.e. tribal registry letter, tribal roll register number - if applicable)						X			
Proof of Capital Investment				X	X		X	X	X
Buy Out Rights				X			X		
Profit Sharing				X			X		

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Documentation	CVE	SBA 8 (a)	SBA Hub Zone	MD MBE	PA UCP	VA SDC	WBENC	CA DGS	NY SDV OB
Proof of Stock Purchase				X			X	X	X
History of Business (How it started to where it is now)							X		
Affiliate/subsidiary agreements							X		
Limited Partnership Certificate						X	X	X	X
Certificate from the Board Secretary certifying the names of all current members of the Board of Directors							X		
Both sides of ALL stock certificates		X	X		X	X	X	X	
In an out-of-state corporation, proof of authority to do business in the state where application is made							X		
Schedule of advances made to corporation by shareholders for the preceding three years							X		
Schedule of advances made to LLC by members for the preceding three years							X		
Franchise Agreement			X				X	X	X

*Years not specified

**2 years

°°Proof of gender, specifically

Benchmarking Analysis and Summary

When looking at the organizations as a whole, all of the benchmarked organizations require similarly-detailed and specific documentation in order to achieve the certification or verification for their specific “set aside” contract awards. The overall trend appears to be toward an increasing amount of requirements, with more government agencies introducing a certification for these “set aside” contracts, as well as, increasing the existing requirements for applications.

These contract awards are highly coveted by those who apply; therefore, requirements to obtain them are rigorous. Less rigorous programs open the respective agencies to potential unwanted abuses. CVE’s documentation requirements are well within the norm and reflect the median for similar programs—some of the organizations surveyed require more documentation, while some require less documentation. Thus, each organization has several requirements for verification.

All of the organizations require receipt of correct and sufficient information for applications. In fact, many of the organizations require the applicant company to complete an affidavit that the information submitted for review is correct and accurate to the best of the business owner's knowledge. In particular, CVE requires an electronically signed affidavit in order to protect VA's interests (VA Form 0877). Additionally, all organizations have stated that the biggest cause for delay or a stop in the process for an applicant company is incomplete applications or applications with insufficient information. Additionally, all of the organizations have indicated that the review process will not begin until a complete application, meeting all of the application requirements, is received. Upon receipt of a completed application meeting all of the organizations requirements, most organizations have provided that the review process goes smoothly.

Like CVE's program, three agency programs (SBA's 8(a) Program, WBENC, and MDOT's MBE) provided publicly accessible, detailed program manuals or materials that allow applicant companies to review eligibility standards and the application and certification processes. Additionally, all of the organizations surveyed conduct site visits in some capacity with the exception of California's DGS Procurement Division. However, the purposes of the site visits varied.

VMSDC and WBENC use site visits to screen all potential recipients based on their management capabilities. These organizations use a rigorous application review process to ensure they only visit companies already meeting eligibility requirements. The HUB Zone program uses site visits as part of its eligibility determination. Due to the nature of the HUB Zone program and its eligibility requirements, HUB Zone has integrated selective site visits into its examination process to mitigate the risk of certifying ineligible companies and to deter ineligible companies from applying for certification. Maryland's MDOT and Pennsylvania's BMWBO attempt to visit 100% of their applicants as part of their eligibility determinations. The visits are announced and scheduled in advance. The half-day visits consist of an interview with the owner or management team and are used to substantiate ownership and control of the companies as well as assess management capabilities. CVE's site visit program has been instrumental in determining a veteran's status with respect to the ownership and control requirements within the meaning identified under 38 CFR 74. CVE site visits are termed "audits" and are generally unannounced.

It is our determination that while the organizations have some variances in their requirements and use mechanisms for different purposes, the organizations require similar information. CVE's requirements are more stringent than some of the organizations benchmarked, but less stringent than others. Therefore, CVE's documentation and certification requirements fall within the median of the organizations benchmarked.

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The table below provides a comparison of some of the tools and mechanisms in place the organizations use in their certification process.

Organization	On-line Application	Hard Copy Application	Documentation Required with Application	Selected Site Visits	100% Site Visits	Available Certification Manual
Center for Veterans Enterprise (CVE)	X		X	X		X
SBA HUBZone Program	X	X	X	X		
SBA 8(a) Program	X	X	X		X*	X
California's DGS Procurement Division	X	X	X			X
VMSDC	X	X	X		X	X
WBENC	X	X	X		X	X
Maryland's MBE Program	X	X	X		X**	X
PA UCP		X	X		X	X
NY SDVOB		X	X	X		X***

*Site visits are conducted after an applicant company is officially approved for participation in the program

** Maryland's MBE site visits may be conducted over the phone depending on the geographical location of the business

***FAQs & other documents, but not an official "manual," per se.

Appendix 1: List of Requested Documents by CVE

Center For Verification and Enrollment (CVE) Document Checklist				
Personal Identifiable Information may be “placed out” if desired				
Due to the size of the company, its location, or the length of time that it has been in existence, the following documents may or may not exist or may not be applicable (N/A) for the company. Based upon review of all documents, clarifying documents may be requested. Documents that may be reviewed are based upon 38 CFR Part 74.				
Documents	Sole Prop.	Part.	LLC/LLP	Corp S or C
Business and/or personal professional, industry, and/or other licenses, permits or accreditations held by Applicant and/or its employees which are required for Applicant to do business.	X	X	X	X
Resumes of all owners, directors, partners, officers and other key personnel, which include: education and training received former employers, dates of employment, position titles and responsibilities present employer, date of hire, position title and responsibility.	X	X	X	X
For all owner’s of a VOSB/SDVOSB that own 33% ownership or greater, to include Sole Proprietor’s. Include IRS personal Federal tax Form 1040 with <u>all corresponding W-2’s and K-1’s as well as the Schedule C and Schedule E</u> that were submitted to the IRS for the past two years.	X	X	X	X
For partnerships, IRS Federal Tax Form 1065 and corresponding K-1 for past two years.		X		
For Both LLC’s and LLP, they may elect to file as a Sole Proprietorship (Schedule C), partnership (Federal Tax Form 1065) K-1; or S Corporation (1120S) K-1. Please provide corresponding Federal tax documentation corresponding K-1 documentation for the past two years.			X	
For S Corporations, Federal Tax Form 1120S (plus K-1(s)) (S Corporations); for C Corporations, Federal Tax Form 1120 for the past two years.				X
Payroll Distribution Ledger Summary Report (Current year to date) and W-2s for preceding year.	X	X	X	X
Bank Signature cards authenticated by financial institutions (Banks/Credit Unions/etc.) and approximately 20 “negotiated/ cancelled/ issued” checks form operating account. (You may “white-out” the bank account number if desired.	X	X	X	X
Copies of last 5 contracts and proposals (Cover page and Signature Page only). If for a Construction type contract, please provide payment and performance Bonds, copy of checks) for bonds, as well as Insurance Certificate.	X	X	X	X
Building Lease Agreement, to include Management and Services agreements, and negotiated checks or instruments	X	X	X	X

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supporting payment of the agreements (Last 3 months worth of checks)				
Operating Agreement including all documents	X	X	X	X
Partnership Agreement, including all amendments		X		
Shareholders Agreement, including all amendments			X	X
Official Certificate of Formation and Operating Agreement with any amendments	X	X	X	X
Minutes of first and most recent stockholder and Board of Directors meetings		X	X	X
All corporate bylaws and all amendments		X	X	X
Articles of Organization, including all amendments			X	
Articles of certificate or incorporation filed with the Secretary of State including all amendments				X
Stock registers for Applicant or stock ledgers showing listing all shares of issuance		X	X	X
Ownership voting (i.e., proxies and voting agreements)			X	X

Appendix 2: List of Requested Documentation by SBA Hub Zone

SBA's Historically Underutilized Business Zone (HUBZone) Program				
Documents	Sole Prop.	Part.	Corp. S-Corp	LLC
Principal Office Lease/ Rental Agreement/ Deed	X	X	X	X
Principal Office Utility Bill	X	X	X	X
Principal Office Firm Location List	X	X	X	X
35% HUBZone Residency Payroll Records	X	X	X	X
35% HUBZone Identification/ Proof of Residence for HUBZone Residents	X	X	X	X
35% HUBZone Map of HUBZone Residents' Addresses	X	X	X	X
State and Federal Unemployment Filings	X	X	X	X
Employment List	X	X	X	X
Contractor List (if applicable)	X	X	X	X
Business Tax Returns	X	X	X	X
Personal Tax Returns for Significant Owners	X	X	X	X
Proof of Citizenship for firms at least 51% owned by US Citizen	X	X	X	X
DBA (Doing Business As) Certificate	X	X	X	X
Articles of Incorporation and any amendments			X	X
Certificate of Incorporation with the Secretary of State seal			X	
Corporate Bylaws and any amendments			X	
Certificate of Good Standing			X	X
Operating Agreement and any amendments				X
Certificate of Organization with the Secretary of State seal				X
Articles of Organization and any amendments				X
Executed Stock Certificates			X	
Stock Ledger or Register			X	
Franchise Agreement	X	X	X	
ESOP or Trust Agreement	X	X	X	
Partnership Agreement and amendments		X		

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Appendix 3: List of Requested Documentation by SBA 8(a)

SBA's 8(a) Program				
Documents	Sole Prop	Part	Corp S-Corp	LLC
Copies of all stock certificates, stock ledger, buy/sell agreements, transmutation agreements, voting agreements	X	X	X	X
Certificate of Good Standing	X	X	X	X
Certificate Regarding Debarment, Suspension, and other responsibility matters	X		X	X
Balance sheet and P/L statement for the preceding 3 fiscal years	X	X	X	X
Last three years of the company's tax returns with all schedules and attachments	X	X	X	X
A statement of bonding limit (if applicable)	X	X	X	X
Articles of Incorporation, Operating Agreement, By-laws, stockholder and Board Member Meeting Minutes, Partnership Agreement, Articles of Organization, Fictitious Business Name filing, and bank signature cards	X	X	X	X
Copies of the business and special licenses under which the firm operates	X	X	X	X
Copies of loan agreements, including lines of credit and shareholder loan(s)	X	X	X	X
A current Personal Finance Statement on SBA Form 413 (no older than 30 days) for applicant and spouse, dividing all assets and liabilities as appropriate. If you are married and live in a community property jurisdiction, please provide evidence of which assets and income are community property and which are separate.	X	X	X	X
Copies of personal income tax returns (including all schedules and W-2 forms) for the 3 years immediately preceding the application for the individual and spouse, and an executed IRS Form 4506, Request for Copy or Transcript of Tax Form.	X	X	X	X
Narrative statement of economic disadvantage	X	X	X	X
Applicants who are not members of a designated group must submit supporting evidence of individual social disadvantage	X	X	X	X
Statement of Personal History (including a SBA Fingerprint Card if the SBA Form 912 reflects an arrest)	X	X	X	X
Personal Resume, including the education, technical training and business and employment experience (employer's name, dates of employment and nature of employment), including the individual's current duties within the applicant firm.	X	X	X	X

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Appendix 4: List of Requested Documentation by VA Minority Supplier Dev'lp Council

Virginia Minority Supplier Development Council				
DOCUMENTS	SOLE PROP	PART	CORP, S-CORP	LLC
Non-refundable processing fee	X	X	X	X
Fill out Carolinas-Virginia MSDC Application	X	X	X	X
Proof of U.S. Citizenship (Birth certificates or U.S. Passports only) of all principals, owners or partners	X	X	X	X
Proof of Ethnicity (<i>Copy of Driver's Licenses of all principals, owners and partners</i>)	X	X	X	X
Resumes for all owners, principals and partners	X	X	X	X
Business cards for all principals with appropriate corporate titles	X	X	X	X
Corporate Bank Resolution Agreement(s) including Bank Signature Card. (copy signature care or letter from bank)	X	X	X	X
Business Location Lease Agreement(s) (Security Deeds, if home-based)	X	X	X	X
Equipment Lease/Purchase Agreement(s) if applicable	X	X	X	X
Insurance Agreement(s) if applicable	X	X	X	X
Copy of the business' executed cancelled check (front and rear)	X	X	X	X
Financial Statements (P&L, Balance Sheets, Cash Flow statements)	X	X	X	X
Certificate of Limited Liability Partnership	X			
Articles of Organization	X			
Operating Agreement(s)	X			
Unit Certificates	X			
Any agreements pertaining to the ownership, operation and control of LLP	X			
Partnership Agreement (executed and attested)		X		
Amendments to the Partnership Agreement (if applicable)		X		
Minutes of partnership meetings		X		
Any additional agreements pertaining to the partnership ownership, operation and control of business		X		
Certificate of Incorporation			X	
Articles of Incorporation			X	
Stock Certificates (front and rear) and Stock Ledger**			X	

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Minutes to Board of Director's meetings and Shareholder's meetings.			X	
Bylaws (executed and attested) – basically, who is the president and how will the stock be held?			X	
Any agreement(s) pertaining to the ownership, operation, and control of business			X	
Minutes to Board of Managers' Meeting				X
Certificate of Organization				X
Articles of Organization				X
Unit Certificates (front and rear) for all principals and Unit Ledger Book				X
Operating Agreement (executed and attested)				X
Any agreements pertaining to the ownership, operation and control of LLC				X
Amendments (if applicable)	X	X	X	X
Indian/Native American Blood Degree Certificate (i.e. tribal registry letter, tribal roll register number) [if applicable].	X	X	X	X
Contract or work history for the past three years (if applicable) name/contact type of work performed or type of contract received).	X	X	X	X
Equipment owned or available (include description of equipment, year acquired, and current value).	X	X	X	X
Applicable Operating Business License and/or permits.	X	X	X	X
Two Years of Federal Tax Returns	X	X	X	X
Notes Payable (if any).	X	X	X	X
Equipment Rental and Purchase Agreements (if applicable).	X	X	X	X
Proof of Bonding Capacity (if applicable).	X	X	X	X

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Appendix 5: List of Requested Documentation by Woman’s Business Enterprise National Council

Women’s Business Enterprise National Council					
Documents	Sole Prop.	Part.	Corp. S-Corp.	LLC	Fran.
Evidence of gender and citizenship	X	X	X	X	X
History of Business (How it started to where it is now)	X	X	X	X	X
Professional and Business license.	X	X	X	X	X
Bank signature authorization card or corporate resolution	X	X	X	X	X
Resumes of owners, board of directors, and/or key management team	X	X	X	X	X
Balance sheet and P/L statement for last complete year of operation that aligns with most recent tax returns submitted	X	X	X	X	X
Debt instruments (including loan agreements, notes payable, notes payable, promissory notes, surety agreements, and securities agreement)	X	X	X	X	X
Equipment rental or purchase agreements	X	X	X	X	X
Real estate leases	X	X	X	X	X
Last three years of Federal Income Tax returns including all attachments and schedules	X	X	X	X	X
Management/ consulting agreements	X	X	X	X	X
Service agreements	X	X	X	X	X
Affiliate/Subsidiary agreements	X	X	X	X	X
List full-time/ part-time employees by name, position, and length of service.	X	X	X	X	X
Itemized employee payroll for the month prior to application submission	X	X	X	X	X
W-2s and/ or 1099 forms form every officer, director, or owner receiving compensation from the company	X	X	X	X	X
Partnership agreements		X			
Limited Partnership Certificate		X			
Buy-Out Rights Agreement		X			
Profit Sharing Agreement		X			
Proof of capital investment by female owners		X			
Certificate of incorporation			X		
Articles of incorporation/ charter of incorporation			X		
Minutes from shareholders’ first organization meeting and from first board of directors’ meeting			X		
Minutes from the shareholders’/ board of directors’ meeting establishing current ownership			X		
Minutes from the most recent meeting of shareholders			X		

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Minutes from most recent meeting of board of directors Corporation's bylaws			X		
Certificate from the Board Secretary certifying the names, titles, & gender of all current members of the board of directors			X		
Both sides of ALL stock certificates			X		
Stock transfer ledger			X		
If an out-of-state corporation, proof of authority to do business in the state where application is made			X		
Schedule of advances made to corporation by shareholders for the preceding three years			X		
Articles of organization/ formation and any amendments				X	
Certificate of organization (for businesses in states that issue certificates).				X	
LLC Regulations and/ or Operating Agreement and/or Member Agreement				X	
Member List with Titles				X	
Proof of Equity investment for Woman (or Women) Owner(s)				X	
If an out-of-state LLC, Proof of Authority to do business in the State where application is made				X	
Schedule of Advances made to LLC by members for the preceding three years				X	
Franchise Agreements	X	X	X	X	X
Trust agreements that involve the majority female ownership	X	X	X	X	X
Employee Stock Ownership Plan Agreements	X	X	X	X	X
Union agreements	X	X	X	X	X
Assumed name documents	X				
First page of IRS form 941 for preceding 12 months or W3 or list of all employees for the past year if IRS forms or W3 aren't available.		X	X	X	

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Appendix 6: List of Requested Documentation by Maryland Minority Business Enterprise Program

Documentation	Sole Prop	LLC	CORP	PART
Current financial statement (for all minority owners constituting 51% ownership - LLC, CORP, PART)	X	X	X	X
Complete Federal Tax Returns (past 3 years)	X			
Certificate of Incorporation			X	
Minutes of the first and most recent organizational meetings			X	
Corporate By-Laws (and shareholder agreements)			X	
Copy of each stock certificate and stock ledger			X	
Proof of stock ownership. i.e. cancelled checks (if unavailable and firm is > 5 yrs old, a signed and notarized statement describing personal investment may be acceptable)			X	
Rental/lease agreements (or loan, distributorship, any formal written agreements related to the operation, management, or funding of business. Agreements with financial institutions as well)	X	X	X	X
Business license (professional licenses and permits)	X	X	X	X
Business Plan (businesses < 1 yr encouraged, not required)	X	X	X	X
Titles, registrations, current insurance carriers and policy numbers for all vehicles owned by the company	X	X	X	X
Resumes of all key personnel, showing education, training, employment with dates	X	X	X	X
List of equipment used to provide services	X	X	X	
Last four quarterly state unemployment tax wage reports. All attachments.		X	X	X
Completed net worth form	X	X	X	X
Statement of disadvantage (trust agreements)	X	X	X	X
Partnership agreement including buy-out rights and profit sharing agreement				X
Proof of capital invested, i.e. cancelled checks, receipt. (If unavailable and firm is > 5 yrs, signed and notarized statement acceptable)	X	X		X
Articles of Organization (signed by state official)		X		
Operating Agreement (original & amended)		X		
Completed certification application.	X	X	X	X
Completed Affidavit of Certification (DBE/MBE) or Statement of Disadvantage (MBE) for all applicants claiming disadvantaged status.	X	X	X	X
A copy of Trade Name Registration from the Maryland Department of Assessments and Taxation (www.dat.state.md.us) is required for all certified firms using a	X			

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Trade Name.				
A Certificate of Good Standing from the Maryland Department of Assessments and Taxation (www.dat.state.md.us) is required for all certified firms. If not submitted with the application package, proof of good standing must be provided prior to certification.		X	X	X
Proof of U.S. citizenship in the form of a U.S. Passport or Permanent Resident Card or Certificate of Naturalization or birth certificate and government issued photo identification (e.g. driver's license).	X	X	X	X
Copies of year-end financial statements of the business for the past three (3) years or the life of firm, if less than three years. A new business must provide a current financial statement. Non-CPA statements are acceptable.	X	X	X	X
Copy of home state MBE/DBE/ACDBE/WBE certification for non-Maryland firms only, AND Copy of all MBE/DBE/ACDBE/WBE certifications and denials of certification by other agencies, if any.	X	X	X	X
Copy of bank signature authorization form or a letter signed by a bank official indicating who has authority to sign checks on the business account.	X	X	X	X
Copies of three (3) job contracts, if applicable. Task orders, purchase orders, and invoices are acceptable.	X	X	X	X
Copy of personal federal tax returns for the past three (3) years for each owner constituting 51% ownership. Include all schedules.		X	X	X
Copy of business federal tax returns for the past three (3) years. Include all schedules.		X	X	X

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Appendix 7: List of Requested Documentation by the PA Unified Certification Program (UCP)
for Disadvantaged Business Enterprise

Documentation	Sole Prop	LLC	CORP	PART
Work experience resumes (include places of ownership/employment with corresponding dates), for all owners and officers of your firm	X	X	X	X
Personal Financial Statement (form available with this application)	X	X	X	X
Personal tax returns for the past three years, if applicable, for each owner claiming disadvantaged status	X	X		X
Firm's tax returns (gross receipts) and all related schedules for the past three years	X	X	X	X
Documented proof of contributions used to acquire ownership for each owner (e.g., both sides of cancelled checks)	X	X	X	X
Firm's signed loan agreements, security agreements, and bonding form	X	X	X	X
Descriptions of all real estate (including office/storage space, etc.) owned/leased by the firm and documented proof of ownership/signed leases	X	X	X	X
List of equipment leased and signed lease agreements	X	X	X	X
List of construction equipment and/or vehicles owned and titles/proof of ownership	X	X	X	X
Documented proof of any transfers of assets to/from the firm and/or to/from any of its owners over the past two years	X	X	X	X
Year-end balance sheets and income statements for the past three years (or life of firm, if less than three years); a new business must provide a current balance sheet	X	X	X	X
All relevant licenses, license renewal forms, permits, and haul authority forms	X	X	X	X
DBE certifications, denials, and/or de-certifications, if applicable	X	X	X	X
Bank authorization and signatory cards	X	X	X	X
Schedule of salaries (or other compensation or remuneration) paid to all officers, managers, owners, and/or directors of the firm	X	X	X	X
Trust agreements held by any owner claiming disadvantaged status, if any	X	X	X	X
Original and any amended Partnership or Joint Venture Agreements				X
Official Articles of Incorporation (signed by the state official)		X	X	
Both sides of all corporate stock certificates and your firm's		X	X	

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stock transfer ledger				
Shareholders' Agreement		X	X	
Minutes of all stockholders and board of directors meetings		X	X	
Corporate by-laws and any amendments		X	X	
Corporate bank resolution and bank signature cards		X	X	
Official Certificate of Formation and Operating Agreement with any amendments (for LLCs)		X	X	

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Appendix 8: List of Requested Documentation by CA Dept of General Services Procurement
Disabled Veteran Business Enterprise

REQUIRED DOCUMENTS	SOLE PROP	PART	LLP	CORP, S-CORP	LLC	JV
Certification Online Application or Certification Application, 812 (Rev. 12/2012)	X	X	X	X	X	X
Award of Entitlement Letter from - U.S. Department of Veterans Affairs	X	X	X	X	X	X
(800-827-1000) or Department of Defense (800-321-1080) OR currently certified disabled veterans may submit the Service-Connected Disability Renewal Statement 812B (Rev. 4/16/09)	X	X	X	X	X	X
Business License	X	X	X	X	X	X
Disabled Veteran resume(s) which communicate experience, education, knowledge, qualifications (original applicants)	X	X	X	X	X	X
Up to Five (5): Six-digit United Nations Standard Products & Services	X	X	X	X	X	X
Code (UNSPSC) from www.unspsc.org .	X	X	X	X	X	X
Trust Agreement and amendments, when applicable.	X	X	X	X	X	X
Franchise Agreement and amendments, when applicable.	X	X	X	X	X	X
Equipment rentals	X	X	X	X	X	X
Partnership Agreement and amendments		X	X			
The most recent Limited Liability Partnership Registration (LLP-1) as filed with the California Secretary of State					X	
Articles of Organization as filed with the California					X	

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Secretary of State.						
LLC - Statement of Information as filed with the California Secretary of State					X	
Operating Agreement and amendments. NOTE: Business must be exclusively owned by a disabled veteran(s)					X	
Articles of Incorporation.				X		
Corporate meeting minutes listing the current elected corporate officers and directors, or the most recent "Statement of Information" that was filed with the California Secretary of State				X		
Corporate bylaws and amendments.				X		
Stock Transfer Ledger and Stock Certificates for original applicants or change in business structure				X		
Provide the Joint Venture agreement for the specific project that this JV will bid on. Joint Venture applications are certified on a bid-by-bid basis.						X
Solicitation for the specific project.						X
Additional Support Documents that may be requested include, but are not limited to domicile	X	X	X	X	X	X
Voter registration record issued by the County Registrar's Office	X	X	X	X	X	X
DMV Driver Record H6 Printout	X	X	X	X	X	X
Residential Lease Agreement and cancelled checks - last three (3) months	X	X	X	X	X	X
Residential Utility Bill (e.g., PG&E, Water, or Garbage Services) - last three months	X	X	X	X	X	X

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Business Ownership:						
All Office Space Utility Bills	X	X	X	X	X	X
Business and/or Personal Bank Signature card(s)	X	X	X	X	X	X
Business and/or Personal Bank Statements – last three (3) months	X	X	X	X	X	X
Business Purchase Agreement	X	X	X	X	X	X
California County Issued Fictitious Business Name Statement	X	X	X	X	X	X
California Franchise Income Tax Returns	X	X	X	X	X	X
Cancelled Checks for Stock Certificates issued to all major stockholders	X	X	X	X	X	X
Capital Contributions	X	X	X	X	X	X
Declaration of Business Assets (movable or immovable)	X	X	X	X	X	X
Business Federal Income Tax Returns - three (3) most recent years--if the income tax return is on extension with the IRS, submit the Affidavit of Income form (Rev. 5/2012) and tax extension	X	X	X	X	X	X
Individual Federal Income Tax Returns	X	X	X	X	X	X
Dissolution of Corporation Documentation	X	X	X	X	X	X
Initial Corporate meeting minutes	X	X	X	X	X	X
Office Space Lease Agreement and cancelled checks – last three months	X	X	X	X	X	X
Stock Purchase Agreement and amendments	X	X	X	X	X	X
Stock Transfer Ledger and Stock Certificates	X	X	X	X	X	X
Webpage records and revisions	X	X	X	X	X	X
Industry Types:						
Resellers	X	X	X	X	X	X
List of suppliers	X	X	X	X	X	X

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Sales Representative Agreement	X	X	X	X	X	X
State Board of Equalization (BOE) California Seller's Permit • Written	X	X	X	X	X	X
Agreements or Lines of Credit	X	X	X	X	X	X
Construction—Valid Construction License	X	X	X	X	X	X
Experience:						
California State Issued Professional Licenses or Certificates	X	X	X	X	X	X
Statement of fact addressing specific application requirements	X	X	X	X	X	X

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Appendix 9: List of Requested Documentation by NY State Office of General Services, Service-Disabled Veteran-Owned Business (SDVOB)

Documentation	Sole Prop.	LLC	CORP	PART
DD214(s) and/or NG214(s) with Line of Duty Report	X	X	X	X
U.S. Veterans Administration documentation of service-connected disability rating which must be dated within one year of the date DSDVBD receives your SDVOB Certification Application and must demonstrate a service-connected disability rating of at least 10%.	X	X	X	x
Official Internal Revenue Service (IRS) documentation verifying the firm's Federal Employee Identification Number (FEIN) or Social Security Number (SSN) listed on the application.	X	X	X	X
The entire Federal Income Tax Returns for the applicant business for the three most recently completed tax years	X	X	X	X
Business License	X	X	X	X
Resume which communicates the Disabled Veteran's experience, education, knowledge, and qualifications.	X	X	X	X
Franchise, Trust Agreement and Amendments, as applicable	X	X	X	X
Articles of Organization		X		
Articles of Incorporation			X	
LLC – Statement of Information		X		
Operating Agreement and amendments		X		
Corporate meeting minutes listing current elected corporate officers and directors, or the most recent Statement of Information			X	
Corporate bylaws and amendments			X	
Stock Transfer Ledger and Stock certificates for original applicants or changes in business structure			X	
Partnership agreement and amendments				X
Limited Liability Partnership Registration		X	X	X
Voter registration record issued by the County Registrar's Office, or DMV driver record H6 printout	Domicile*			
Residential lease agreement and cancelled checks - last three months				
Residential utility bill (e.g., Utility, Water, or Garbage Services) - last three months				
New York franchise income tax returns				
All office space utility bills	Business Ownership*			
Audited or unaudited business income statement				
Business and/or personal bank signature cards				

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Business and/or personal bank statements - last three months	
Business purchase agreement	
New York county-issued fictitious business name statement	
Cancelled checks for stock certificates issued to all major stockholders	
Capital contributions	
Declaration of business assets (movable or immovable)	
Corporate organization meeting minutes	
Office space lease agreement and cancelled checks - last 3 months	
Stock purchase agreement	
Stock transfer ledger and stock certificates	
Webpage records and revisions	
Professional employer organization employee records	
Business plan	
List of suppliers and manufacturers	
Agreements: manufacturer, lines of credit, stock purchase, sales representative, distributor	
New York State issued professional licenses or certificates	

*Can be applicable to various organizations in different contexts.