



SBE Program Links

KYTC's Small Business Development Branch

<http://transportation.ky.gov/Civil-Rights-and-Small-Business-Development/Pages/SmallBusinessHome.aspx>

US DOT Office of Small and Disadvantaged Business Utilization

www.dot.gov/osdbu

49 Code of Federal Regulations Part 26

www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title49/49cfr26_main_02.tpl

North American Industries Classification Codes (NAIC)

www.naics.com/

Small Business Administration

www.sba.gov

Contact Information:

Kentucky Transportation Cabinet

Office for Civil Rights and
Small Business Development

Small Business Enterprise Program

200 Mero Street, Sixth Floor West
Frankfort, KY 40622

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Small Business Enterprise Program (SBE)



SBE Contracting Opportunities:

Construction
Supplier
Vendor of Goods
Business Services

What is the SBE Program?

In accordance with 49 CFR 26.39, KYTC's SBE Program is intended to facilitate competition by, and expand opportunities for, small businesses.

Recognizing that the DBE Program goals should be met through a mixture of race conscious and race neutral methods, KYTC will set a goal on all FHWA-assisted transportation projects of \$2 million or more for participation by small businesses.

All certified small businesses, may compete for these prime contract and subcontract awards, regardless of the owner's gender, race or geographic location. This small business goal is in addition to the Disadvantaged Business Enterprise (DBE) contract goals, which may be required pursuant to applicable law or policy.

In accordance with 49 CFR 26, KYTC has set specific project goals for participation on Federally-funded projects. Contractors are required to make a good faith effort to meet those goals with businesses that are SBE certified by KYTC.

The Requirements

If you wish to be considered for SBE certification, your business must meet the following general guidelines:

1. Must be a business that is independently owned and operated and not dominant in its field.
2. Only existing "for-profit" businesses may be certified and SBE applicants are subject to applicable Small Business Size standards requirements. Average gross receipts, for the last three years, may not exceed \$23.98 million (affiliates included). Visit www.sba.gov/content/small-business-size-standards for more information.

3. The personal net worth (PNW) of each owner must not exceed \$1.32 million (excluding ownership interest in the firm and the equity in his/her primary residence), meeting the definitions specified in Section 3 of the Small Business Act and the Small Business Administration regulations implementing it (13CFR Part 121).

The Certification Process

If a business meets the basic requirements and wishes to become a certified SBE, it may apply using the following procedure:

- ▶ Submit the SBE application, PNW Statement and all required documentation. Visit the KYTC Office for Civil Rights and Small Business Development (OCRSBD) website to download the SBE application packet.
- ▶ Certification will be obtained through a desk audit performed by OCRSBD staff. Staff will complete a thorough review of a signed, notarized and complete SBE application. OCRSBD will have a period of sixty (60) days to process the completed application and issue a determination.
- ▶ Upon certification, all SBEs will be certified for a period of three years. All SBEs must submit a "No Change Affidavit" and "Personal Net Worth Statement" annually to reconfirm the firm's eligibility status. At the expiration of the three-year certification period, the SBE will be required to submit an updated application for continued eligibility.
- ▶ If the applicant is not approved, the applicant is notified as to the reasons for denial.

The Benefits

1. Certified businesses will be listed in the SBE Directory which is widely disseminated to governmental, public, contractor and private procurement entities soliciting bids on projects. The SBE Directory is a successful marketing tool for SBEs.
2. SBEs have access to a list of work items typically subcontracted by prime contractors and consultants. This information is key to generating new business opportunities.
3. SBEs receive information regarding upcoming KYTC projects and the prime contractors/consultants that have shown interest in them.
4. Certified businesses will qualify to meet subcontracting goals for federally-assisted construction projects.

