

Subcontractor/Supplier Certification Form

A. Company Identification	
Company Name:	Unique Entity Identification (or DUNS) No:
Address:	Federal Tax Identification No. (TIN):
City/State/Zip Code:	Web Page:
NAICS Code(s): https://www.sba.gov/document/support--table-size-standards	

Check All Certifications That Apply:

B. Federal Programs (FAR Parts 19 & 26)	Yes	No
Is your firm registered with the System for Award Management (SAM) at https://www.sam.gov/SAM/ or the SBA's Dynamic Small Business Search engine at http://dsbs.sba.gov/dsbs/search/dsp_dsbs.cfm?		
Has your firm completed Representations and Certifications at SAM?		
Is your firm a Small Business Concern?		
Is your firm a Small Disadvantaged Business (including 8(a) Small Disadvantaged Business ¹)?		
Is your firm an 8(a) Small Disadvantaged Business ¹ ?		
Is your firm a Women-owned Small Business?		
Is your firm a HUBZone Small Business ¹ ?		
Is your firm a Veteran-owned Small Business?		
Is your firm a Service-disabled Veteran-owned Small Business?		
Is your firm an Alaska Native Corporation as defined by FAR Part 19.701?		
Is your firm an Indian-owned economic enterprise as defined by FAR Part 26.101?		

¹ 8(a) SDB and HUBZone Concerns must be certified by SBA. All other Concerns may self-certify.

C. Unified Certification Programs (49 CFR 26)		MBE	WBE
Is your firm certified as a socially and economically Disadvantaged Business Enterprise (DBE) through a statewide Unified Certification Program (UCP)? List each state UCP that applies.			
State	Certifying Agency or Organization	Certification No.	

D. Third Party Certifications	Membership/Certification No.
California Public Utilities Commission (https://www.cpuc.ca.gov/supplierdiversity/)	
National Minority Supplier Development Council (NMSDC) (http://www.nmsdc.org/)	
Women’s Business Enterprise Council (WBENC) (http://www.wbenc.org/)	
National Women Business Owners Corporation (http://www.nwboc.org/)	
National Gay and Lesbian Chamber of Commerce (NGLCC) (https://nglcc.org)	
Other Third-party Certifications (List):	

E. Safety Performance Record	
Current Experience Modification Rate (EMR)	
Current OSHA Total Recordable Incident Rate (TRIR)	
Current Days Away from Work/Restricted Work Activity (DART)	

Under 15 U.S.C. 645(d), any person who misrepresents a firm’s small business status (including small disadvantaged, women-owned, HUBZone, veteran-owned and service-disabled veteran-owned small business concerns) in order to obtain a contract to be awarded under the preference programs established pursuant to section 8(a), 8(d), 9, or 15 of the Small Business Act or any other provision of Federal law that specifically references section 8(d) for a definition of program eligibility, shall—

- (i) (i) Be punished by imposition of fine, imprisonment, or both;*
- (ii) (ii) Be subject to administrative remedies, including suspension and debarment; and*
- (iii) (iii) Be ineligible for participation in programs conducted under the authority of the Act.*

Pursuant to 15 U.S.C. 645(d), I certify that the information provided on this form is accurate and true to the best of my knowledge.

Signature:	
Print Name and Title:	
Date:	

This self-certification is valid for one year. It is your responsibility to notify us if your size or ownership status changes during that period. After one year, you are required to re-certify. LEGACY FOUNDATIONS, a subsidiary of SHIMMICK encourages the maximum practicable utilization of small, disadvantaged and women-owned business concerns. To certify your firm’s socioeconomic status and remain on our source list of potential subcontractors and suppliers, please return this form to the following office(s) or project address(es):

SHIMMICK CONSTRUCTION COMPANY, INC.
 Attention: Sam Artis
 email: sam.artis@shimmick.com

F. Definitions.

"Small business concern" –

- (1) Means a concern, including its affiliates, that is independently owned and operated, not dominant in the field of operation in which it is bidding on Government contracts, and qualified as a small business under the criteria in 13 CFR part 121 and the size standard in paragraph (b) of this provision.
- (2) *Affiliates*, as used in this definition, means business concerns, one of whom directly or indirectly controls or has the power to control the others, or a third party or parties control or have the power to control the others. In determining whether affiliation exists, consideration is given to all appropriate factors including common ownership, common management, and contractual relationships. SBA determines affiliation based on the factors set forth at 13 CFR 121.103.

"Small disadvantaged business concern", consistent with 13 CFR 124.1002, means a small business concern under the size standard applicable to the acquisition, that –

- (1) Is at least 51 percent unconditionally and directly owned (as defined at 13 CFR 124.105) by –
 - (i) One or more socially disadvantaged (as defined at 13 CFR 124.103) and economically disadvantaged (as defined at 13 CFR 124.104) individuals who are citizens of the United States, and
 - (ii) Each individual claiming economic disadvantage has a net worth not exceeding \$750,000 after taking into account the applicable exclusions set forth at 13 CFR 124.104(c)(2); and
- (2) The management and daily business operations of which are controlled (as defined at 13 CFR 124.106) by individuals who meet the criteria in paragraphs (1)(i) and (ii) of this definition.

"8(a) Small disadvantaged business concern" means any small business concern that is at least 51% unconditionally owned by an individual(s) who is a citizen of the U.S. and who is determined by SBA to be socially and economically disadvantaged. Section 8(a) of the Small Business Act Authorizes the U.S. SBA to enter into contracts with government agencies and to arrange for the performance of such contracts by awarding subcontracts to firms eligible for program participation. 13 CFR 124.102-109, FAR 19.8

"Women-owned small business concern" means a small business concern –

- (1) That is at least 51 percent owned by one or more women; or, in the case of any publicly owned business, at least 51 percent of the stock of which is owned by one or more women; and
- (2) Whose management and daily business operations are controlled by one or more women.

"Women-owned small business (WOSB) concern eligible under the WOSB Program" (in accordance with 13 CFR part 127), means a small business concern that is at least 51 percent directly and unconditionally owned by, and the management and daily business operations of which are controlled by, one or more women who are citizens of the United States.

"Economically disadvantaged women-owned small business (EDWOSB) concern" means a small business concern that is at least 51 percent directly and unconditionally owned by, and the management and daily business operations of which are controlled by, one or more women who are citizens of the United States and who are economically disadvantaged in accordance with 13 CFR part 127. It automatically qualifies as a women-owned small business concern eligible under the WOSB Program.

"HUBZone" means a small business concern that is located in an area located within one or more qualified census tracts, qualified metropolitan counties, or lands within the external boundaries of an Indian reservation and appears on the List of Qualified HUBZone Small Business Concerns maintained by SBA. A certification is required from SBA. HUBZone stands for "historically underutilized business zone." Company must be owned and controlled by one or more U.S. citizens; and at least 35% of its employees reside in a HUBZone. Status as a qualified HUBZone small business concern is determined by the SBA. FAR 2.101, FAR 19.13, 13CFR 126.103

"Veteran-owned small business concern" means a small business concern –

- (1) Not less than 51 percent of which is owned by one or more veterans (as defined at [38 U.S.C.101\(2\)](#)) or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more veterans; and
- (2) The management and daily business operations of which are controlled by one or more veterans.

"Service-disabled veteran-owned small business concern" –

- (1) Means a small business concern –
 - (i) Not less than 51 percent of which is owned by one or more service-disabled veterans or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more service-disabled veterans; and
 - (ii) The management and daily business operations of which are controlled by one or more service-disabled veterans or,

in the case of a service-disabled veteran with permanent and severe disability, the spouse or permanent caregiver of such veteran.

- (2) "Service-disabled veteran" means a veteran, as defined in [38 U.S.C.101\(2\)](#), with a disability that is service-connected, as defined in [38 U.S.C.101\(16\)](#).

"Indian" means any person who is a member of any Indian tribe, band, group, pueblo, or community that is recognized by the Federal Government as eligible for services from the Bureau of Indian Affairs (BIA) in accordance with [25 U.S.C.1452\(c\)](#) and any "Native" as defined in the Alaska Native Claims Settlement Act ([43 U.S.C.1601](#)).

"Indian organization" means the governing body of any Indian tribe or entity established or recognized by the governing body of an Indian tribe for the purposes of [25 U.S.C., Chapter 17](#).

"Indian-owned economic enterprise" means any Indian-owned (as determined by the Secretary of the Interior) commercial, industrial, or business activity established or organized for the purpose of profit, provided that Indian ownership constitutes not less than 51 percent of the enterprise.

"Indian tribe" means any Indian tribe, band, pueblo, or community, including native villages and native groups (including corporations organized by Kenai, Juneau, Sitka, and Kodiak) as defined in the Alaska Native Claims Settlement Act, that is recognized by the Federal Government as eligible for services from BIA in accordance with [25 U.S.C.1452\(c\)](#).

"Disadvantaged business enterprise" or "DBE" means a for-profit small business concern—

- (1) That is at least 51 percent owned by one or more individuals who are both socially and economically disadvantaged or, in the case of a corporation, in which 51 percent of the stock is owned by one or more such individuals; and
- (2) Whose management and daily business operations are controlled by one or more of the socially and economically disadvantaged individuals who own it.

"Socially and economically disadvantaged individual" means any individual who is a citizen (or lawfully admitted permanent resident) of the United States and who is—

- (1) Any individual who a recipient finds to be a socially and economically disadvantaged individual on a case-by-case basis.
- (2) Any individual in the following groups, members of which are rebuttably presumed to be socially and economically disadvantaged:
 - (i) "Black Americans," which includes persons having origins in any of the Black racial groups of Africa;
 - (ii) "Hispanic Americans," which includes persons of Mexican, Puerto Rican, Cuban, Dominican, Central or South American, or other Spanish or Portuguese culture or origin, regardless of race;
 - (iii) "Native Americans," which includes persons who are American Indians, Eskimos, Aleuts, or Native Hawaiians;
 - (iv) "Asian-Pacific Americans," which includes persons whose origins are from Japan, China, Taiwan, Korea, Burma (Myanmar), Vietnam, Laos, Cambodia (Kampuchea), Thailand, Malaysia, Indonesia, the Philippines, Brunei, Samoa, Guam, the U.S. Trust Territories of the Pacific Islands (Republic of Palau), the Commonwealth of the Northern Marianas Islands, Macao, Fiji, Tonga, Kiribati, Juvalu, Nauru, Federated States of Micronesia, or Hong Kong;
 - (v) "Subcontinent Asian Americans," which includes persons whose origins are from India, Pakistan, Bangladesh, Bhutan, the Maldives Islands, Nepal or Sri Lanka;
 - (vi) Women;
 - (vii) Any additional groups whose members are designated as socially and economically disadvantaged by the SBA, at such time as the SBA designation becomes effective.