



## Small Business Self-Certification Form

(see Notes and Definitions, pages 2-4)

KS15051 | Design & Construction of Uranium Processing Facility (UPF), Construction Support Building (CSB)

WG Project No - Name: \_\_\_\_\_ at the Y-12 National Security Complex, Oak Ridge, TN

WG Subcontract No.: \_\_\_\_\_ Owner Contract No.: W912QR-15-R-0047

Subcontractor / Vendor Name: \_\_\_\_\_

(Street Address, City, State, Zip) \_\_\_\_\_ (Phone) \_\_\_\_\_

Scope of Work (Descriptive): \_\_\_\_\_

NAICS Code <sup>(e)</sup>: \_\_\_\_\_ SBA's NAICS Threshold ( ☒ one ) ☐ Millions \$ ☐ Employees \_\_\_\_\_  
(Must be only one full 6 digit code) (SBA Threshold Value)

Sub's / Vendor's: (a) Average <sup>(a)</sup> Annual Receipts: \$ \_\_\_\_\_ (Avg. from Last 3 Completed Tax Years, Also Ref. 13 CFR 121.104)  
(b) Average <sup>(a)</sup> No. of Employees: \_\_\_\_\_ (Avg. from Last 12 Months, Also Ref. 13 CFR 121.106)

**HAND INITIAL ONE OF THE FOLLOWING:** \_\_\_\_\_ **INITIAL PROPOSAL DATE** \_\_\_\_\_

My business \_\_\_\_\_ IS or \_\_\_\_\_ IS NOT dominant <sup>(d)</sup> in my industry. \_\_\_\_\_  
(Date of Initial Proposal, If Applicable)

**HAND INITIAL ONE OF THE FOLLOWING:** \_\_\_\_\_

\_\_\_\_\_ SB or \_\_\_\_\_ OTSB (Other Than Small Business a.k.a. Large Business)

**IF "SB" INITIALED ABOVE, HAND INITIAL BELOW WHICH ALSO APPLY (IF ANY):** \_\_\_\_\_

\_\_\_\_\_ SDB \_\_\_\_\_ WOSB \_\_\_\_\_ SBA Certified HUBZoneSB \_\_\_\_\_ VOSB <sup>(1)</sup> \_\_\_\_\_ SD-VOSB <sup>(1)</sup>  
(initial if SDB8(a)) (also initial VOSB)

(1) If VOSB and/or SD-VOSB initialed above, my business \_\_\_\_\_ IS or \_\_\_\_\_ IS NOT VA CVE verified.

**HAND INITIAL ALL THAT APPLY (IF ANY):** \_\_\_\_\_

\_\_\_\_\_ ANC/TO <sup>(2)</sup> \_\_\_\_\_ HBCU/MI \_\_\_\_\_ AbilityOne  
(also initial SB & SDB) (Per DFAR: also initial SB) (Per DFAR: also initial SB)

(2) If ANC/TO initialed above, my SDB status \_\_\_\_\_ HAS or \_\_\_\_\_ HAS NOT been verified by the SBA.

Undersigned certifies that information provided is accurate and understands applicable small business rules, regulations, and definitions. Under 15 U.S.C. 645(d) and 13 CFR 121.108, size misrepresentation is subject to (1) suspension and debarment, (2) civil penalties, and (3) criminal penalties.

\_\_\_\_\_  
(Typed Name: Owner, Principal, or Officer) (Title)

\_\_\_\_\_  
(Email) (Signature: Hand or Authenticated Elec.) (Date)

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### **NOTES:**

- a) Values for 3 Yr. “Average Annual Receipts” and 12 Month “Average No. of Employees” MUST include 100% of all Domestic and Foreign Affiliates, as defined by the SBA’s Rules of Affiliation, regardless of Industry.
- b) SBA’s General Principles of Affiliation states that concerns and entities are affiliates of each other when one controls or has the power to control the other, or a third party or parties controls or has the power to control both. It does not matter whether control is exercised, so long as the power to control exists. Refer to 13 CFR 121.103 for more on SBA’s Rules of Affiliation.
- c) Members of a Joint Venture (formal or informal) are considered Affiliates.
- d) Dominance: To qualify as a small business concern, the firm may not be dominant in its field of operation. That is, it cannot exercise a controlling or major influence on an industry on a national basis.
- e) Size designations shall be based on the NAICS Code indicated on page one (1). If for a specific contract, the NAICS Code shall be representative of the Scope of Work. If the Scope of Work falls under more than one NAICS code, the NAICS Code shall be the one that is most representative (makes up the greatest dollar value of the contract). If this form is not based on a specific contract, the NAICS Code above shall represent the Scope of Work most often provided by your Company. The definitions provided below and on following pages are not guaranteed and shall not waive the certifying Company's responsibility to review and understand the definitions pursuant to the Federal Acquisition Regulation (FAR) part 19.7 or 52.219-8 ([www.arnet.gov/far](http://www.arnet.gov/far)). Where following definitions conflict with those provided in the FAR, the FAR definition shall govern. If you have difficulty ascertaining your size status, refer to SBA's website at [www.sba.gov/size](http://www.sba.gov/size) or contact your local SBA office.

### **DEFINITIONS:**

**SB:** “Small Business” means a small business concern, including its affiliates <sup>(b)(c)</sup> (as defined by SBA, both domestic and foreign, and regardless of industry), that is independently owned and operated, not dominant in the industry, and qualified as a small business under the criteria and size standards in 13 CFR Part 121 (Size standards by standard Industrial Classification codes required by the Federal Acquisition Regulations (FAR), Section 19.102, may be found at [www.sba.gov/size](http://www.sba.gov/size)). For dollar thresholds, average annual receipts, computed from the gross receipts for the last 3 complete fiscal years, do not exceed the amount listed in SBA Table of Small Business Size Standards, as matched to North American Industry Classification System Codes. Average annual receipt is computed by taking the sum of the gross receipts of the prior 3 complete fiscal years and dividing by 3. For employee thresholds, do not exceed average annual number of employees listed in SBA Table of Small Business Size Standards, as matched to North American Industry Classification System Codes. Average annual number of employees is computed by taking sum of all employees for each pay period (over last 12 months) and dividing by number of pay periods. Refer to 13 CFR 121.104 for alternate calculation method if in business less than 3 complete fiscal years (for dollar threshold) or 13 CFR 121.106 for alternate calculation method if in business less than 12 full months (for employee threshold). If a business does not qualify as an SB, then none of the other SBA classifications will apply (except as allowed for ANC/TO, HBCU/MI, and AbilityOne).

**SDB:** “Small Disadvantaged Business” means a small business concern that is at least 51 percent unconditionally owned by one or more Socially and Economically disadvantaged individuals; or in the case of any publicly owned business, at least 51 percent of the voting stock is unconditionally owned by one or more Socially and Economically disadvantaged individuals; and whose management and daily business operations are controlled by one or more such individuals; and is a U.S. Citizen who also resides in the United States. Socially disadvantaged individuals are: Those who have been subjected to ethnic prejudice or cultural bias because of their identity as a member of a group without regard to their individual qualities. Minorities are “presumed” Socially disadvantaged but Social disadvantaged status can be self-certified by non-minorities when an individual believes, “in good faith”, they have been subjected to a Social disadvantage due to a distinguishing feature (such as gender, physical handicap, etc.) or cultural bias (religion, ethnicity, etc.). In such cases, non-minority Social disadvantaged status would be based on personal experiences through a “preponderance of

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evidence". Economically disadvantaged individuals are: Socially disadvantaged individuals whose ability to compete in the free enterprise system has been impaired due to the diminished capital and credit opportunities as compared to others in the same or similar line of business that are not Socially disadvantaged. To qualify as Economically disadvantaged, an individual must satisfy the following three (3) criteria: (1) The Net Worth of each individual upon whom the certification is based must not exceed \$750,000 after taking into account the applicable exclusions set forth (net worth exclusions are: (a) equity in business, (b) equity in prime residence, and (c) funds in retirement accounts provided there is a penalty associated with a withdrawal). (2) Annual income, averaged over the last three (3) years, of each individual upon whom the certification is based must not exceed \$350,000. (3) Fair market value of Assets, excluding qualified retirement accounts, must not exceed \$6 Million. SDB is a sub-set of SB.

**SDB8(a):** "Small Disadvantaged Business, Class 8(a)" is a classification named for Section 8(a) of the Small Business Act. It signifies a small business that has been certified by the Small Business Administration (SBA) to participate in a business development program created to help small disadvantaged businesses compete in the market place. Generally, a concern meets the basic requirements for admission to the 8(a) BD program if it is a small business which is unconditionally owned and controlled by one or more Socially and Economically disadvantaged individuals (qualifying under the initial eligibility Economic disadvantaged thresholds) who are of good character, citizens of the United States, reside in the United States, and which demonstrates potential for success. A Participant receives a program term of nine (9) years from the date of SBA's approval letter certifying the concern's admission to the program. The Participant must maintain its program eligibility during its tenure in the program and must inform SBA of any changes that would adversely affect its program eligibility. A firm that completes its nine (9) year term of participation in the 8(a) BD program is deemed to graduate from the program. The nine (9) year program term may be shortened only by termination, early graduation, or voluntary graduation as dictated by the program. SDB8(a) is a sub-set of SDB.

**WOSB:** "Woman-Owned Small Business" means a small business concern 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 whose management and daily business operations are controlled by one or more women. WOSB is a sub-set of SB.

**HUBZoneSB:** "HUBZone Small Business" means a small business concern that is listed, on the date of its representation, as a qualified HUBZone Small Business as maintained by the Small Business Administration (SBA), and no material change in ownership and control, principle office, or HUBZone employee percentage has occurred since it was certified by the SBA in accordance with 13 CFR part 126. HUBZone is a historically underutilized business zone, which is in an area located within one or more qualified census tracts, qualified non-metropolitan counties, or lands within the external boundaries of an Indian Reservation. To qualify for SBA Certification as a HUBZone Small Business, the business principal office must be located within a HUBZone, must be owned and controlled by one or more U.S. citizens, and have at least 35% of its employees residing in a HUBZone. HUBZoneSB is a sub-set of SB.

**VOSB:** "Veteran-Owned Small Business" means a small business concern where not less than 51 percent 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 the management and daily business operations of which are controlled by one or more veterans. VOSB is a sub-set of SB. On VA Contracts or Subcontracts, must be CVE verified by the VA (Per VAAR).

**SD-VOSB:** "Service-Disabled Veteran-Owned Small Business" means a small business concern where not less than 51 percent 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-

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disabled veterans; and the management and daily business operations of which are controlled by one or more service-disabled veterans or, in the case of a veteran with permanent and severe disability, the spouse or permanent caregiver of such veteran. 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) and declared by the United States Veterans Administration to be 10% or more disabled as a result of service in the armed forces. SD-VOSB is a sub-set of VOSB. On VA Contracts or Subcontracts, must be CVE verified by the VA (Per VAAR).

**ANC/TO:** "Alaskan Native Corporation" is any Regional Corporation, Village Corporation, Urban orporation, or Group Corporation organized under the laws of the State of Alaska in accordance with the Alaska Native Claims Settlement Act, as amended (43 U.S.C. 1601, et seq.). An ANC also qualifies as a TO. "Tribally Owned" business concern is any business concern that is at least 51 percent owned by an Indian tribe. An Indian tribe means any Indian tribe, band, nation, or other organized group or community of Indians, including any ANC, which is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians, or is recognized as such by the State in which the tribe, band, nation, group, or community resides. Indian tribes also include Indian-owned economic enterprises that meet the requirements of 25 U.S.C. 1452(e). ANCs and TOs automatically qualify as an SB and SDB, regardless of size or SBA certification status.

**HBCU/MI:** "Historically Black Colleges and Universities/Minority Institution". "Historically Black Colleges and Universities", as defined by The Higher Education Act (HEA) of 1965, as amended, is: "...any historically black college or university that was established prior to 1964, whose principal mission was, and is, the education of black Americans, and that is accredited by a nationally recognized accrediting agency or association determined by the Secretary [of Education] to be a reliable authority as to the quality of training offered or is, according to such an agency or association, making reasonable progress toward accreditation." There are 105 Historically Black Colleges and Universities (HBCU) in the United States today, including public and private, two-year and four-year institutions, medical schools and community colleges. Most are in the former slave states and territories of the U.S. "Minority Institutions" are places of higher education whose enrollment of a single minority group, as the term "minority" is defined under 365(2) of the HEA (20 U.S.C. 1067k(2)), or combination of those minority groups, that exceeded 50% of its total enrollment. Since most HBCU/MI are not for profit, most would not qualify as a Small Business since organized "for profit" is a Small Business criteria. Some "for profit" HBCU/MI, however, will qualify as a Small Business. HBCU/MI may qualify as a Small Business on DoD Contracts or Subcontracts per DFAR.

**AbilityOne:** Qualified non-profit agencies (sometimes referred to community rehabilitation programs, work centers, industries, or rehabilitation facilities) for the blind or other severely disabled, that have been approved by the Committee for Purchase from People Who Are Blind or Severely Disabled under the Javits-Wagner-O'Day Act (41 U.S.C. 46-48). AbilityOne may qualify as a Small Business on DoD Contracts or Subcontracts per DFAR.

\*\*\*\*\* BELOW FOR INTERNAL USE ONLY \*\*\*\*\*

*HUBZoneSB status has been verified in the SBA's Dynamic Small Business Search Database as of*

\_\_\_\_ / \_\_\_\_ / \_\_\_\_.

(Initial) \_\_\_\_\_.

\*\*\* ATTACH RELEVANT SBA PROFILE \*\*\*

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