

PUBLIC UTILITIES COMMISSION OF THE STATE OF CALIFORNIA

Executive Division

Resolution M-4872  
February 15, 2024

**RESOLUTION**

**Resolution M-4872. US Pan Asian American Chamber of Commerce's request to become a minority-owned comparable verifying agent for the Supplier Diversity Program under General Order 156.**

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**PROPOSED OUTCOME:** This Resolution denies the request from the US Pan Asian American Chamber of Commerce to become a minority-owned comparable verifying agent for the Supplier Diversity Program under General Order 156.

**SAFETY CONSIDERATIONS:** None. There are no safety considerations associated with this Resolution.

**ESTIMATED COST:** None. There are no costs associated with this Resolution.

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**SUMMARY**

This Resolution denies the request from the US Pan Asian Chamber of Commerce (USPAAC) to become a minority-owned comparable verifying agent for the Supplier Diversity Program under General Order 156.

**BACKGROUND**

**Supplier Diversity Program**

In 1986, the California Legislature passed Assembly Bill (AB) 3678 (Moore, Stats. 1986, Ch. 1259) to encourage the award of a fair proportion of total utility contracts to women business enterprises (WBE) and minority business enterprises (MBE). Subsequently, the California Public Utilities Commission (Commission) issued General Order (GO) 156 to implement AB 3678 by establishing the Commission Supplier Diversity Program (Program) framework and guidelines. In Decision (D.)92-06-030 (1992) and D.15-06-007 (2015), the

Commission amended GO 156 to add disabled veteran business enterprises (DVBE) and lesbian, gay, bisexual, and/or transgender (LGBT) business enterprises (LGBTBE), respectively, into the Program.

In October 2019, Senate Bill (SB) 255 (Bradford, Stat. 2019, Ch. 407) amended Sections 366.2 and 8283 of the California Public Utilities Code (Pub. Util. Code) to add new participants to the Program and change the participation threshold requirements. Effective January 2020, SB 255 requires electrical, gas, water, and telephone corporations as well as wireless telecommunications and electric services providers with more than \$25 million annual California revenues to submit annually to the Commission a plan for increased procurement from WBEs, MBEs, DVBEs, and LGBTBEs and an implementation report. Those with annual California revenues exceeding \$15 million, but less \$25 million, are also expected to annually submit to the Commission data on their utilization of diverse suppliers.<sup>1</sup> In addition, cable television corporations, direct broadcast satellite providers, exempt wholesale generators, distributed energy resource contractors, and energy storage system companies are encouraged to voluntarily adopt a plan for increasing diverse supplier procurement.<sup>2</sup>

Furthermore, SB 255 requires each community choice aggregator (CCA)<sup>3</sup> with annual revenues exceeding \$15 million to annually submit to the Commission a plan for increasing procurement from small, local, and diverse suppliers as well as a report showing its procurement from diverse suppliers.<sup>4</sup> CCAs below the \$15 million threshold are encouraged to voluntarily adopt a plan for increasing procurement from small, local, and diverse supplies.

In 2021, the Commission opened Rulemaking (R.) 21-03-010 to incorporate SB 255's revisions into GO 156; to adopt a voluntary procurement goal for LGBTBE as directed in D.15-06-007; and for the consideration of other issues such as expanding the Supplier Diversity Program to include businesses owned and controlled by persons with disabilities and adding reporting requirements on workforce and board diversity.<sup>5</sup> In April 2022, the Commission issued D.22-04-035, revising GO 156 to add SB 255

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<sup>1</sup> Pub. Util. Code Section 8283 (f).

<sup>2</sup> Pub. Util. Code Section 8283 (e) (2).

<sup>3</sup> Community Choice Aggregators are governmental entities formed by cities and counties to serve the energy requirements of their residents and businesses (Pub. Util. Code Section 366.2).

<sup>4</sup> Pub. Util. Code Section 366.2 (m).

<sup>5</sup> R.21-03-010, Order Instituting Rulemaking to Revise General Order 156 to Include Certain Electric Service Providers and Community Choice Aggregators and Encourage Voluntary Participation by Other Non-Utility Entities Pursuant to Senate Bill 255; Consider LGBT Business Enterprise Voluntary Target Procurement Percentage Goals; Incorporate Disabled Business Enterprises; Modify the Required Reports and Audits; and Update Other Related Matters (March 23, 2021).

amendments and requirements; to set a voluntary procurement goal for LGBTBE; to add a new group of business enterprise: Persons with Disabilities Business Enterprise; to adopt workforce and board diversity reporting; and to make other program revisions.<sup>6</sup>

The current GO 156 (revised April 7, 2022) provides the basis for the CPUC's Supplier Diversity Program that promotes and monitors utilities', CCAs', and covered entities' supplier diversity programs as well as oversees a certification clearinghouse. Each utility and other covered entity is encouraged to purchase 15% from minority business enterprises; 5% from women business enterprises; 1.5% from disabled veteran business enterprises; and 0.5% for 2022, 1.0% for 2023, and 1.5% for 2024 and beyond from LGBT business enterprises.

### **Supplier Clearinghouse**

To ensure business enterprises are available to support the goals of Program, the Commission established The Supplier Clearinghouse (Clearinghouse)<sup>7</sup> to audit and verify the status of business enterprises as eligible suppliers and to develop and maintain a database of eligible suppliers that is accessible to the Commission, utilities, and other covered entities. The Clearinghouse is a utility-funded entity with oversight by Commission staff and operates in accordance with GO 156.

### **Third-party Verification Agencies**

In addition to the Clearinghouse, the Commission may approve of third-party agencies to perform verifications of applicants. The Clearinghouse is authorized to accept certifications by approved third-party agencies, as appropriate, and to develop and implement a streamlined comparable agency verification process for any applicant that already has a certification through an approved third-party agency. GO 156, Section 3.7(b) and (c) requires the requesting third-party agency to submit, and staff to review, detailed explanation showing that their objectives, eligibility requirements, required documentation, and review and certification processes are substantially similar to those of the Clearinghouse.

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<sup>6</sup> D.22-04-035, Decision Revising General Order 156 Supplier Diversity Program to Implement Senate Bill 255, Adopt a Voluntary Procurement Goal for LGBT Business Enterprises; Incorporate Persons with Disabilities Business Enterprises; and other Updates (April 7, 2022). 466761944.PDF (ca.gov)

<sup>7</sup> GO 156 Section 1.3.22.

The Program currently accepts the following as comparable verification agencies:

- National Minority Supplier Development Council (NSMDC) – certifies minority-owned business enterprises
- Women’s Business Enterprise National Council (WEBENC) – certifies women-owned business enterprises
- Disability: IN – certifies persons with disabilities business enterprises
- National Gay & Lesbian Chamber of Commerce (NGLCC) – certifies LGBT business enterprises Parties seeking to become a verifying agent must follow the process outlined in GO 156 Section 3.7.a – d.

### **USPAAC Verifying Agent Request**

On October 19, 2023, USPAAC submitted a request to Commission staff to become a verifying agent for minority-owned business certification. The request included USPAAC’s certification objectives, eligibility requirements, and required documentation. The Commission did not consider the letter and supporting documentation comprehensive enough to complete an evaluation; therefore, Staff issued a data request on November 13, 2023. An initial response (See Attachment 1) to the data request was received by the Commission on November 28, 2023; a subsequent response (See Attachment 2) was received on November 29, 2023. Staff is required to evaluate the request and make a recommendation to the Commission within 60 days of receiving the written request.<sup>8</sup>

### **DISCUSSION**

Staff’s review and analysis of USPAAC’s responses focused on determining whether the objectives, eligibility requirements, and review and certification process are substantially similar to those of the Clearinghouse as required by GO 156 Section 3.7.b. Staff found the minority-owner verification process utilized by USPAAC has some similarities to the Clearinghouse because both organizations have document and eligibility requirements and conduct review and certification steps. There are, however, significant differences which are detailed below.

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<sup>8</sup> GO 156 3.7.c.

**Objectives:** USPAAC failed to demonstrate its objective is to certify minority-owned businesses broadly, including outside the Pan Asian community.

USPAACC states its “mission is to promote and propel economic growth by opening doors to business, educational, and professional opportunities for Pan Asian Americans and their business partners in Fortune corporations, government, large nonprofits, and the small and minority business community. With unmatched expertise, experience, and connections, USPAACC is the gateway to Pan Asian American suppliers and information about the Asia-Pacific and Indian Subcontinental markets.” (See Attachment 2)

This intention is reflected in its certification results. USPAAC’s data request response indicated as of October 31, 2023, it had 1,000 certified minority-owned firms in its database, 990 (99%) of which are Asian American. The remaining firms include 7 African American and 3 Hispanic American firms. No Native American firms have been certified by USPAAC. (See Attachment 1)

In contrast, the Clearinghouse had 4,121 certified minority-owned firms on October 31, 2023, broken down as follows (Exhibit 1):

Category	Total Number of Certified Businesses	Percent of Total
Asian Pacific American	1284	32%
Black American	1070	26%
Hispanic American	1605	39%
Native American	162	4%
Total	4,121	100%

Exhibit 1: The Supplier Clearinghouse 10/31/2023

This data suggests the USPAAC has had limited success at attracting other minority groups to its certification services. Adding the USPAAC as a verifying option for the Program would not expand certification opportunities for all categories of minority-owned businesses that did not exist before with the Clearinghouse or NMSDC.

**Eligibility Requirements:** The eligibility standards maintained by USPAAC are not comprehensive enough to verify minority applicants.

The USPAAC Certification Manual defines African American, Hispanic American and Native American as “other minorities.” (See Attachment 2) The Clearinghouse definitions for these categories include a minority person’s country of origin, culture, or racial group. For example, a Hispanic American person “refers to a person of Mexican,

Puerto Rican, Cuban, South or Central American, Caribbean, and other Spanish culture or origin.”<sup>2</sup> The sole detailed country of origin definition utilized by USPAAC is for Asian American. They have no definitions for any other minority category. The primary goal of the GO 156 Program is to increase procurement opportunities for business enterprises owned and controlled by women, minority, disabled veteran, LGBT, and persons with disabilities. Without clearly defined definitions for these categories, the USPAAC eligibility standards lack the rigor required to ensure the integrity of the Program.

**Required Documentation:** USPAAC does not have documentation requirements for key Program categories.

According to its Certification Manual, USPAAC accepts as “Proof of Ethnicity, Citizenship, and Immigrant Status for each owner, partner, and shareholder (clear color copy of Passport, Birth Certificate, Permanent Resident Card, or Certificate of Naturalization...)” (See Attachment 2) This requirement does not specify the documents Native American persons should provide to prove ethnicity or minority status. By comparison, the Clearinghouse recognizes the following documents to prove the status of a Native American person: “copy of tribal enrollment card; or, letter of Tribal Chairman; or, letter from BIA if reservation is terminated.” (See Attachment 3) In addition, the Clearinghouse details documentation requirements for applicants to prove gender (See Exhibit 2), whereas the USPAAC Certification Manual does not have this specification. GO 156 Section 9.1.2 requires utilities to report Supplier Diversity Results by Ethnicity on an annual basis. It also requires the results to be segmented by gender. Certifications from USPACC would be incompatible with this requirement as it does not collect gender data.

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<sup>2</sup> GO 156 1.3.10.

Category	Total Number of Certified Businesses	Percent of Total
Asian Pacific American Male	780	19%
Asian Pacific American Female	504	12%
Black American Male	585	14%
Black American Female	484	12%
Hispanic American Male	1087	26%
Hispanic American Female	518	13%
Native American Male	124	3%
Native American Female	37	1%
Other/Non-Binary	2	0%
Total	4,121	100%
		Exhibit 2: The Supplier Clearinghouse 10/31/2023

**Review and Certification Process:** The USPAAC application denial rate is low.

In its response to the staff data request, USPAAC indicated its denial rate is “less than 1%”. (See Attachment 1) This contrasts with the Clearinghouse, which maintains a denial rate of 6.8%. (See Attachment 4) The Clearinghouse denial rate is more than six times higher than that of USPAAC. This suggests a lack of scrutiny with the USPAAC review and certification process which could compromise the integrity of the Program.

## **CONCLUSION**

Staff determined the minority owner verification process utilized by USPAAC has some similarities to the Clearinghouse; both organizations have document and eligibility requirements and conduct review and certification steps. However, the process undertaken by USPAAC lacks the rigor, data segmentation, and broad minority focus required of a comparable verifying agency. As such, it is appropriate to deny USPAAC’s request to become a minority-owned comparable verifying agent for the Supplier Diversity Program under General Order 156.

## **COMMENTS**

Public Utilities Code section 311(g)(1) provides that this Resolution must be served on all parties and subject to at least 30 days public review. Any comments are due within 20 days of the date of its mailing and publication on the Commission’s website and in

accordance with any instructions accompanying the notice. Section 311(g)(2) provides that this 30-day review period and 20-day comment period may be reduced or waived upon the stipulation of all parties in the proceeding.

The 30-day review and 20-day comment period for the draft of this resolution is neither waived nor reduced. Accordingly, this draft resolution was mailed to parties for comments, and will be placed on the Commission's agenda no earlier than 30 days from today.

### **FINDINGS**

1. On October 10, 2023, Staff received a request from USPAAC to be a verifying agency for minority-owned business certification.
2. Staff requested additional supporting information from USPAAC on November 13, 2023.
3. Staff reviewed the USPAAC response to determine whether the objectives, eligibility requirements, and review and certification process are substantially similar to those of the Clearinghouse as required by GO 156 Section 3.7.b.
4. Based on its review, Staff determined the minority owner verification process utilized by USPAAC has some similarities to the Clearinghouse; both organizations have document and eligibility requirements and conduct review and certification steps. However, the process undertaken by USPAAC lacks the rigor, data segmentation, and broad minority focus required of a comparable verifying agency.
5. A notice letter was e-mailed on January 12, 2024 informing the US Pan Asian American Chamber of Commerce and interested stakeholders on the R.14-10-009 (D.15-06-007), R.09-07-027 (D.11-05-019) and R.21-03-010 service lists of the availability of this draft Resolution and the opportunity to comment. The draft Resolution was publicized on the Commission's website at <http://www.cpuc.ca.gov>. This letter also informed interested stakeholders that the final confirmed Resolution adopted by the Commission will be posted and available on this same website.
6. The Commission received \_\_\_ comments.
7. There are no safety considerations associated with this Resolution.



**THEREFORE, IT IS ORDERED THAT:**

1. The USPAAC 's request to become a minority-owned comparable verifying agent for the CPUC's Supplier Diversity Program under GO 156 is denied.

This Resolution is effective today.

I certify that the foregoing resolution was duly introduced, passed, and adopted at a conference of the Public Utilities Commission of the State of California held on February 15, 2024; the following Commissioners voting favorably thereon:

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Rachel Peterson  
Executive Director

# **ATTACHMENT 1**

Stephanie Green  
California Public Utilities Commission Executive Division  
505 Van Ness Avenue  
San Francisco, CA 94102

RE: Minority-Owned Business Verification Request

Dear Ms. Green,

Thank you for your continued consideration on this matter. Below are the answers requested of USPAACC. Please feel free to reach out if you have any questions or concerns.

1. Copy of USPAACC certification application
  - a. Please see attachment **USPAACC Supplier Registration Platform Help Manual**
2. Definitions of ethnic categories (Hispanic, Asian, Native American, African American)  
US Citizens or Legal Permanent Residents who are
  - a. Asian Americans: people whose ethnic origins are: Bangladesh, Bhutan, Burma, China, Fiji, Guam, Hong Kong, India, Indonesia, Japan, Kiribati, Korea, Macao, Malaysia, Maldives Islands, Micronesia, Nauru, Nepal, Northern Mariana Islands, Pakistan, Philippines, Republic of Palau, Samoa, Singapore, Sri Lanka, Taiwan, Thailand, Tonga, Tuvalu, Vietnam
  - b. Other Minorities: African American, Hispanic American, Native American
3. Total number of certifications processed by ethnic category monthly and annually since 2010
  - a. On average, we processed 20 - 25 renewals and 12 - 15 new applications each month.
  - b. Annually - Total Processed Certifications - Estimated

2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	2022
105	189	275	297	284	334	277	360	404	532	583	742	866

4. Total number of minority-owned businesses by ethnic category in the USPAACC database as of October 31, 2023
  - a. Asian American Firms 99% (990 firms)
  - b. Other Minority Firms: 1% (10 firms)
5. The CPUC supplier diversity program is targeted to the utilities industry and the related diverse suppliers; how does the USPAAC directory support this industry and what proportion of certified firms are in work categories relevant to the utilities?
  - a. USPAACC has a track record to support California-based utility companies such as PG&E, SoCalGas, Southern California Edison, Southern Company, Excelon, PepCo, Washington Gas, to search and develop suppliers for their procurement needs. We have previously referred certified members in the following industry sectors for utility corporations: Information Technology, Project Management, (what has Ampcus done for utilities),

Energy, Engineering, Marketing, Outreach and Promotion, Facility Maintenance, Furniture, Change Management Consulting.

6. How many firms are currently certified by USPAACC as of October 31, 2023?
  - a. Since 2010, we have certified and pending certification approximately 1,000 firms. Among them, we have 7 African American firms, 3 Hispanic American firms, and the rest are Asian American firms.
7. What is the breakdown by primary ethnicity of USPAACC-certified firms as of October 31, 2023?
  - a. Asian American Firms 99% (990 firms)
  - b. Other Minority Firms: 1% (10 firms)
8. What is the breakdown by primary gender of USPAACC-certified firms as of October 31, 2023?
  - a. We provide Minority Business Certification, we do not track gender data.
9. What is the rate of denial (%) of firms applying to USPAACC for certification as new firms?
  - a. Our rate of denial is low, about 1%.
10. What is the rate of denial (%) of firms applying to USPAACC for certification as renewing firms?
  - a. Less than 1%.
11. What proportion of applicants are interviewed through a site visit? How many are in-person vs virtual/phone?
  - a. Before Covid-19, 2020, all the applicants are interviewed through an in-person site visit.
  - b. Since 2020, all the applicants are interviewed through a real time virtual zoom site visit. All applicants are required to turn on their camera, give a real time virtual tour of the office, facility, etc. From the front door to the interior offices, we ask to see their operation, meet the owner or chief executive or president of the firm, and when appropriate, meet their key staff.
12. What quality control procedures does USPAACC have in place to ensure consistency across all review actions by different staff at different times? Please provide staff manual or standard operating procedure and certification guidelines.
  - a. Our certification process is centralized in the National Office. Our certification team consists of a Certification Chair (Vern Davis), a Certification Executive (Janice Tu), a Certification Data Analyst (Kevin Nguyen), a Certification Consultant (Ranjani >>>>), and an Attorney (Susan Au Allen). All are experienced in the certification process, familiar with the qualification requirements, and have processed the applications for 2 to 20 or more years.
  - b. Please see Attachment **USPAACC Certification S&P**

13. Does USPAACC recognize any other organizations for reciprocal or fast-track certification? If yes, which organization(s) and under what conditions?
- a. We have reciprocal certification with the US Black Chamber Inc. and Disability:IN, NVBDC (National Veteran Business Development Council), and City of Atlanta.
14. Is there a documented denial process? If yes, please provide.
- a. Please see Attachment **Certification Manual**
15. Is there a documented appeal/protest process? If yes, please provide.
- a. Yes, please see attachment **Certification Manual**
16. Will USPAACC provide a current list of certified firms (monthly or quarterly) to expedite verification when applications are received?
- a. We can provide list of firms once they are certified.



## **Pan Asian American/Minority-owned Certification Application**

### **Criteria and Processes**

#### **About USPAACC**

Founded in 1984, the US Pan Asian American Chamber of Commerce Education Foundation (USPAACC) is the most established and effective national nonprofit, nonpartisan business organization representing the unified voice for equal opportunity for Pan Asian Americans and Asian American Native Hawaiian Pacific Islanders (AANHPIs) and their related groups.

USPAACC's mission is to promote and propel economic growth by opening doors to business, educational, and professional opportunities for Pan Asian Americans and their business partners in Fortune corporations, government, large nonprofits, and the small and minority business community. With unmatched expertise, experience, and connections, USPAACC is the gateway to Pan Asian American suppliers and information about the Asia-Pacific and Indian Subcontinental markets.

#### **USPAACC Certification: The Gold Standard for Minority Business Certification**

USPAACC offers the most recognized and highly respected national certifications for Pan Asian American and/or other minority-owned businesses in the United States. Certification is available for U.S. based businesses. Since 1998, USPAACC certification has:

- Significantly increased business opportunities with Fortune corporations, government agencies, and large nonprofits.
- Provided corporate and government supplier diversity and small business programs with qualified and quality suppliers.
- Leveraged strong ties and established relationships to match supplier members with potential buyers.
- Opened doors to countless economic opportunities and delivered access to the multi-billion-dollar Federal procurement pipeline.
- Substantially increased the number of minority-owned businesses in the market by introducing the minority business development program to and educating an entire generation of Pan Asian American businesses of the efficacy of the program.

#### **Why USPAACC Certification Matters**

USPAACC certification is a valuable credential demonstrating that a business is at least 51% owned, controlled, and operated by Pan Asian Americans and/or other minorities who are U.S. citizens or legal permanent residents. By becoming a USPAACC-certified supplier, a business can:

- Expand its market opportunities and network with Fortune corporations, government agencies, and large nonprofits that value diversity and inclusion in their supply chain.
- Showcase its products and services at USPAACC's annual CelebrASIAN Business + Procurement Conference, the largest Pan Asian American business event in the U.S.
- Access USPAACC's acclaimed educational and professional development programs, such as the Chief Procurement Officers Forum, the Supplier Success Stories, and the Business Express, CIT/CTO/CDO Forum, and the Supplier Diversity Professional Leadership Caucus.
- Join USPAACC's regional chapters and participate in local events and activities that foster business connections and collaborations.

USPAACC certification follows a thorough vetting process that ensures the quality and credibility of the certified suppliers. Unlike some other certification programs that rely on self-declaration or minimal verification, USPAACC certification requires:

- A completed application form along with a non-refundable processing fee based on the annual gross receipts or sales of the business.
- A comprehensive review of the applicant's business documents, such as organization formation documents, tax returns, ownership shares and stock certificates.
- A site visit to the business location and personal interview with the owner or the highest-ranking executive to verify the veracity of the statements made in the application and the physical presence.

USPAACC certification is as rigorous as any national certification process and is accepted by Fortune corporations, government agencies, and large nonprofits. To apply for USPAACC certification, visit <https://uspaacc.com/join/membership-request>.

## **Benefits**

- Automatically become a USPAACC Member when you start the certification process and enjoy significant membership benefits.
- Register your business as a minority-owned business and diversity business in the supplier portals of Fortune corporations, such as JPMorgan Chase, Nationwide, Trane Technologies, Walmart, Wells Fargo, and many more.
- Receive the competitive advantage of being contacted and matched first by Fortune corporations or their prime contractors seeking to do business with Pan Asian American and minority-owned businesses.
- The official USPAACC Certified Business Seal may be used on all business marketing materials and website recommendations.
- Referral to USPAACC national corporate members, government partners, and large nonprofit organizations.

## Eligibility Criteria

- The business must be at least 51% owned, controlled, and operated daily by Pan Asian Americans and other minorities, i.e., African, Hispanic, and Native Americans who are U.S. citizens or Legal Permanent Residents.
- The business must operate for at least one year and have filed its first Federal business tax return.
- The owners of the company must spend full time in the business.

## Application Processing Fee

The following non-refundable tiered processing fee is based on annual gross receipts or sales as reported on the entity's most recent business tax return.

<b>Gross Receipts or Sales</b>	<b>Regular Processing Fee (1-3 months)</b>	<b>Expedited Processing Fee (3-4 weeks)</b>
Below \$1 million	\$350.00	\$600.00
\$1 - \$10 million	\$500.00	\$800.00
\$10 - \$50 million	\$700.00	\$900.00
Above \$50 million	\$900.00	\$1,200.00

## Required Documents for First-time Applicants

1. Business Federal Tax Returns and all schedules for the past two (2) years, final and signed copy, not a draft by the applicant business or from its CPA or accounting service.
2. 941 Employer's Quarterly Federal Tax Return for the past two (2) years.
3. Proof of Ethnicity, Citizenship, and Immigrant Status for each owner, partner, and shareholder (clear color copy of Passport, Birth Certificate, Permanent Resident Card, or Certificate of Naturalization; a Driver's License is not acceptable as proof).
4. Bank signature card or statement from the bank indicating who is authorized to sign on the business account.
5. Resumes of all owners, partners, and shareholders showing education, training, and employment history with dates to help prospective buyers understand their experiences.
6. Business cards of owners, partners, shareholders, and management team.
7. Certificate and Article of Incorporation of the business.



8. Copies of all licenses, permits, or business certifications (if applicable).
9. Copy of liability insurance policy.
10. Copies of three (3) recent job contracts.
11. Equipment rental, lease, and purchase agreements and a list of significant equipment owned (if applicable).
12. Property purchase or rental agreements.
13. Company brochure.
14. Copies of other certifications (if applicable).

**If the business structure is a corporation, also include**

1. Certificate of Incorporation, Articles of Incorporation, and amendments.
  - Minutes of the first corporate organizational meeting.
  - Minutes of the board of directors' meetings for the past two (2) years.
2. Corporate bylaws and all amendments.
3. Schedule of advances made to the corporation by shareholders for the preceding two (2) years.
4. Copies of stock certificates (front and back) and stock transfer ledgers (if applicable).
5. Proof of stock purchase or equity investment by business owners.
6. Copies of any agreements or board actions relating to stock options, stockholder voting rights, ownership agreements, and ownership of voting securities.

If the business structure is a Limited Liability Company (LLC) or a Professional Limited Liability Company (PLLC) also include:

1. Article of Incorporation and Certificate of Organization.
2. Operating Agreement and Regulations and Member Agreement for the LLC company.
3. Schedule of advances made to LLC or PLLC by members for the preceding two (2) years.

If the business structure is a partnership, also include:

1. Partnership Agreements.

2. Buy-Out Rights Agreements.
3. Profit Sharing Agreements.
4. Documentation of all capital investments by partners.
5. Limited Partnership Certificate (if applicable).

If the business has other documents that would help better understand its structure, ownership, control, daily management, and exit plan, include them.

## **Review Process**

### **Stage 1: Initial Review**

The application and supporting documents are filed online, and the USPAACC Certification Committee thoroughly reviews them. If the Committee has any questions, it will contact the business owner during the review period.

### **Stage 2: Site Visit**

After reviewing the application and supporting documents, if the Committee finds the application qualifies as a Pan Asian American and/or Minority-Owned business, the Committee will contact the owner for a site visit appointment. A site visit is critical to ensure that at least 51% of the business is owned, controlled, and operated daily by Pan Asian Americans and/or other minorities. The site visitor will issue a site visit report with a recommendation to approve or other comments about their findings.

### **Stage 3: Final Review**

After the site visitor reports to the Certification Committee, the applicant will enter the final review stage. The Certification Committee will review the site visit report and the submitted documents to determine whether to issue certification.

If the application meets the documentation and site visit requirements, USPAACC will certify the business as owned, controlled, and operated by Pan Asian Americans and/or other minorities. If the application is not certified, the applicant may file an appeal with the USPAACC national office within sixty (60) days of such notification. USPAACC will review de novo, make a final decision, and notify the applicant.

### **Stage 4: Renewal**

USPAACC Certification is valid for one year, and the expiration date will appear on the certification. Businesses should apply for renewal online at least forty-five (45) days before expiration. Applicants must complete a form and provide the supporting documents listed below.

1. Most recent tax returns.
2. Two recent job contracts.
3. Minutes of board meetings regarding any changes in ownership, control, and business management (if there are changes).
4. Change in ownership and share certificates (if there are changes).
5. Change of owners' status from legal permanent resident to U.S. citizen.
6. The application will be reviewed to determine if the business continues to meet the certification criteria.

If necessary, USPAACC will contact the applicant regarding a site visit appointment. Site visits are designed to ensure the integrity of the certification program. If the application form is completed, all the required documentation is provided, a site visit interview is successful, and the business applying for re-certification is still at least 51% owned, controlled, and operated by Pan Asian Americans and/or minorities, the application will be approved, and a new USPAACC Certification will be issued.

## **Appeals**

After considering an application for certification, USPAACC will issue certification or a notice of denial. Applicants will have thirty (30) days to provide additional documents to cure the deficiency. If the application is denied and a business believes that its certification was wrongly denied, it may ask for reconsideration within sixty (60) days of receiving the notice of deficiency by filing an appeal in writing with USPAACC's Certification Appeals Committee. USPAACC's Certification Appeals Committee will conduct a new and complete review, make a final decision, and notify the applicant.

USPAACC processes all certification applications under one standard. The appeals process includes procedural safeguards for fairness, notice, and opportunity for the applicant to provide an explanation and documentation as proof of the three-prong test. USPAACC's Appeals Committee will review the appeal; if it is unsuccessful, it will be denied.

There are 2 committees in this process: a Certification Committee made up of 5 members: the chair, a USPAACC board member, a corporate member, attorney, and a consultant. A simple majority of the Committee members is required to review an appeal. Also, a Certification Appeals Council of 3-5 Members.

The Committee will use USPAACC standards and procedures to guide their decision. All Committee members must sign a non-disclosure statement before reviewing files. USPAACC National Office in Washington, D.C. will maintain a signed copy.

**Appeals must be addressed to:**

**US Pan Asian American Chamber of Commerce Educational Foundation  
Certification Appeals Committee  
1329 18<sup>th</sup> Street NW  
Washington, D.C. 20036**

USPAACC will contact the applicant to schedule an appeal date meeting if necessary. During the meeting, the USPAACC Certification Appeals Committee will consider all information provided during the initial certification application process and any relevant or requested additional information. **Changes in business ownership and control after the applicant's request for certification shall not be considered evidence during the appeal process.** Within thirty (30) days of the appeal request meeting, the USPAACC Certification Appeals Committee will convene, review the file, and make a recommendation. The original certification determination remains in effect pending any appeal.

The applicant will be informed of the decision and a summary of the appeal decision in writing within seven (7) days. **The decision of the USPAACC Certification Appeals Committee is final.** If the Committee's decision results in a denial, then the applicant may re-apply for certification six (6) months from the date of the original denial letter.

## **Frequently Asked Questions**

### **Who can apply for the USPAACC Membership?**

USPAACC-certified membership is open to businesses at least 51% owned, controlled, and operated by Pan Asian Americans and other minorities.

### **If I am a legal permanent resident (LPR) can I also apply for the USPAACC Certification?**

Yes, USPAACC Certification is open to U.S. citizens and Asian immigrants who are legal permanent residents (LPR). This inclusive process opens the doors to permanent residents who pay taxes, whose children have served in the U.S. military, and who contribute to the economy.

### **How much does the USPAACC membership cost?**

USPAACC Certified Membership costs between \$ 300 and \$900. The fee structure is tiered based on businesses' annual revenue. USPAACC Non-Certified Membership costs \$200 for businesses of all sizes.

### **Do I have to renew the membership every year? If so, how?**

USPAACC membership is annual. USPAACC will notify businesses about membership renewal one month before the expiration date.

## **How long does each membership process take?**

For the Certified Membership, it will typically take 2-3 months. Non-certified membership is effective soon after completing the membership form and paying the annual fee.

## **How thorough is the certified membership process?**

The certification process typically takes 2-3 months. It consists of two main parts: a document review and a site visit. The USPAACC Certification Committee will thoroughly review and verify submitted documents according to the criteria. Upon completion of the document review, a site visit will be conducted. The process will be shortened if documents are correctly prepared.

## **Why should I get my business certified by USPAACC?**

USPAACC strongly encourages Pan Asian American and other minority businesses to apply for certification as a Pan Asian American/Minority-Owned Business. This could increase business opportunities with Fortune companies and government agencies as subcontractors when a contract and opportunity require specialized skills. USPAACC certification enables such businesses to be easily identified among thousands of minority suppliers.

## **What is the most substantial benefit of being USPAACC-certified?**

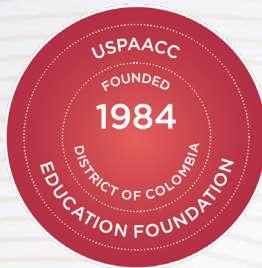
USPAACC is a vital link to Fortune corporations, U.S. government buyers, and large nonprofits for Pan Asian American and/or other minority businesses. With decades of strong relationships, USPAACC has a proven track record in making successful matches among members.

## **Can the certification process be expedited?**

Yes, USPAACC offers an expedited application process that enables the case to be certified within 3-4 weeks for a \$600-\$1,200 fee, depending on the business's annual revenue.

For more information, visit [www.uspaacc.com](http://www.uspaacc.com) or email [sme@uspaacc.com](mailto:sme@uspaacc.com).

# Asian & Minority Business Certification Standard & Procedural Requirements



**US Pan Asian American Chamber of Commerce  
Education Foundation (USPAACC)**

1329 18<sup>th</sup> Street, NW Washington, DC 20036  
(202) 296-5221 \* (202) 296-5225 fax \* [www.uspaacc.com](http://www.uspaacc.com)

The US Pan Asian American Chamber of Commerce Education Foundation (USPAACC) was formed in 1984 as a national, non-profit, non-partisan business organization. Our mission is to promote and propel economic growth by opening doors to business, educational, and professional opportunities for Pan Asian Americans (include East, Southeast and South Asian, and Pacific Islander) and their business partners in corporate America, government at the federal, state, and local levels, large nonprofits, and the small and minority business community. We also serve as the gateway to Asian American suppliers and information about the Asia-Pacific and Indian Subcontinental markets.

USPAACC certification identifies a business that is at least 51% owned, controlled, and operated by Asian American(s) and/or other minority(ies). It connects them to Fortune corporations, large non-profit organizations, and key government agencies.



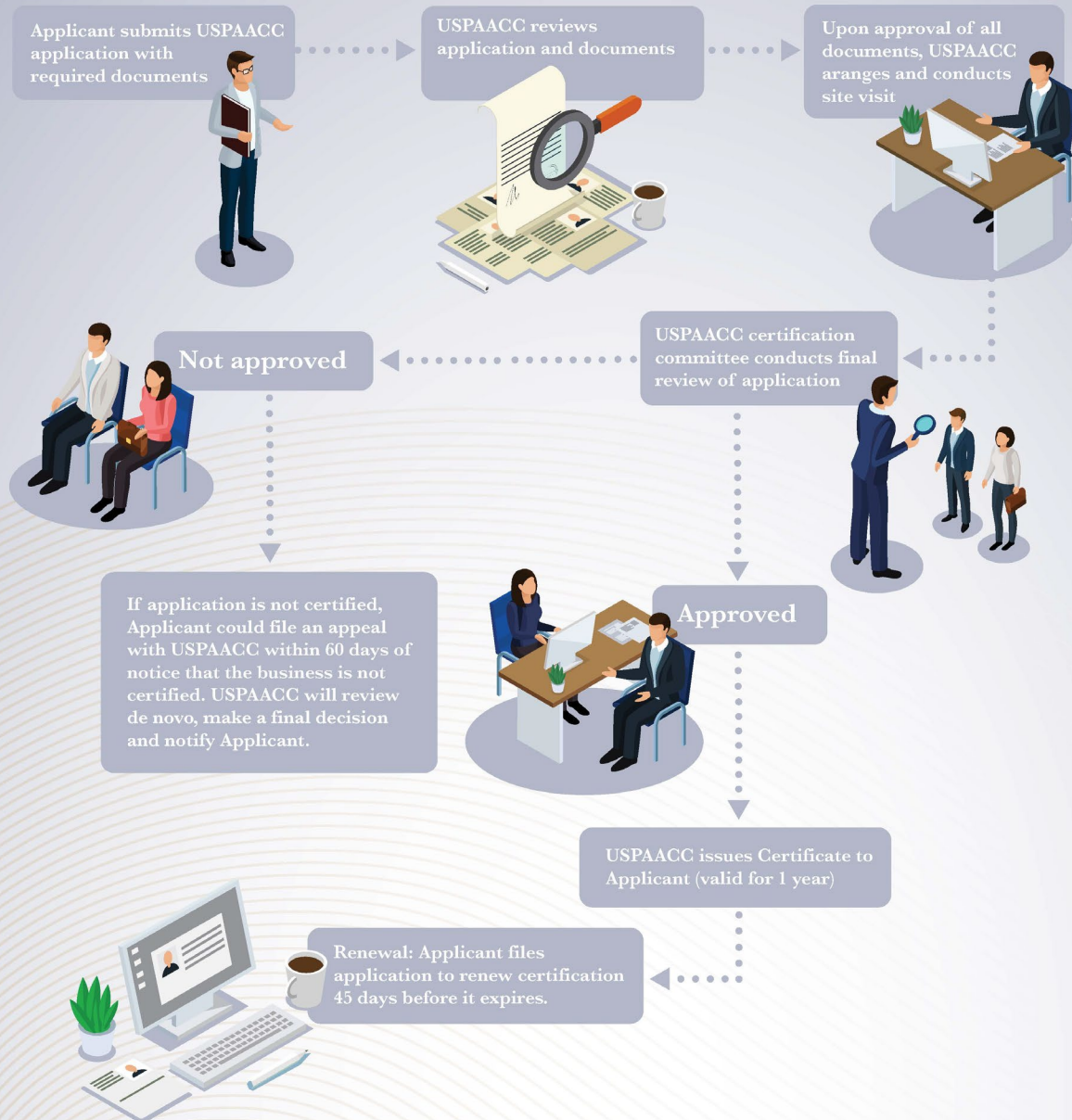
### Eligibility:

- Your business must be at least 51% **owned, controlled, and managed day-to-day** by Asian American(s) and/or other minorities (i.e., Black, Hispanic or Native Americans)
- US Citizen (Category I) and/or Legal Permanent Resident (Category II)
- Privately-owned Company
- If a business is held in a trust, the applicant will be required to provide documents to show ownership, control, and day-to-day management of the trust
- If a business is a franchise, the applicant will be required to provide the franchise and operation agreement to show ownership, control, and day-to-day management of the franchise



Example	Ownership	Control	Operation/Day-to-day Management	Category I	Category II	Not Certified
Company A	US Citizen (USC)	USC	USC	X		
Company B	USC	USC	LPR		X	
Company C	LPR	LPR	LPR		X	
Company D	LPR	LPR	H-1			X
Company E – Public						X
Non-profit						X

## Certification Process Flow Chart



## Application Process

Step 1. Complete the application form online

Step 2. Pay for the certification processing fee

The following non-refundable processing fee structure is tiered based on annual gross receipts or sales as reported on your most recent business tax return

Gross Receipts or Sales	Regular Processing Fee (30-60 days)	Expedited Processing Fee (7-14 days)
Below \$1M	\$350.00	\$ 600.00
\$1M - \$10M	\$500.00	\$ 800.00
\$10M - \$50M	\$700.00	\$ 900.00
Above \$50M	\$900.00	\$1,200.00

Step 3. Upload required supporting documents below:

1. Business Federal Tax Returns and all schedules for the past two (2) years
2. 941 Employer's Quarterly Federal Tax Return for the past two (2) years
3. Proof of Ethnicity, Citizenship, and Immigrant Status for each minority partner/shareholder (copy of Passport, Birth Certificate, or Certificate of Naturalization. Please provide clear copy in original color.)
4. Bank signature card or statement from bank indicating people authorized to sign on the business account
5. Resumes of all principals, owners, and partners showing education, training, and employment with dates to help prospective buyers understand the experience of the owner(s)
6. Business card of owner(s) and management team
7. Certificate and/or Article of Incorporation of the business
8. All licenses, permits, or certifications (if applicable)
9. Liability insurance policy
10. Three (3) recent job contracts
11. Equipment rental, lease and/or purchase agreements, equipment(s) the business owns (if applicable)
12. Property purchase or rental agreements
13. Company brochure
14. Copies of other certifications (if applicable)



If your business structure is a corporation, please also upload:

1. Certificate of Incorporation and/or Articles of Incorporation, and Amendments
  - Minutes of the first corporate organizational meeting
  - Minutes of the board of directors meetings for the past three (3) years
2. Corporate By-laws and all amendments
3. Schedule of advances made to the corporation by shareholders for the proceeding three (3) years
4. Stock certificates (front & back) and stock transfer ledgers (if applicable)
5. Proof of stock purchase or equity investment by business owner(s)
6. Any agreements or board actions relating to stock options, stockholder voting rights, ownership agreements, and ownership of voting securities

If the business is a Limited Liability Company (LLC)/Professional Limited Liability Company (PLLC), upload:

1. Article of Incorporation and Certificate of Organization
2. Operating Agreement and/or Regulations and/or Member Agreement
3. Schedule of advances made to LLC/ PLLC by members for the preceding three (3) years

## Renewal

Your certification is valid for one year. The expiration date will appear on your certification. Please **[apply for renewal](#)** online at least 45 days before the expiration date.

## **Question & Answers**

**Question: Can I leverage my MBE status for federal contracting work including DoD?**

Answer:

- USPAACC Certification is mostly applicable to commercial and the private sector (civilian).
- For federal contracting, federal government has their own certification program such 8(a). Our Federal government partners also work with us for referral of appropriate small business suppliers.
- If you attend our Doing Business with Government, you could obtain useful information that will get you on your way to become a government contractor.

**Question: With regard to providing current contracts to show our qualifications, we work with law firms and have strict confidentiality agreements so I cannot provide contracts or purchase orders from these firms. Please let me know what we can use as an alternative?**

Answer:

- We do not need the master agreement or master contract. You can provide the renewal contracts.. You could also block out appropriate data to preserve confidentiality.
- Invoices and purchase orders will help.



# USPAACC PORTAL SUPPLIER RESIGRATION AND APPLICATION WORKFLOW USER MANUAL

November 2021

“This document includes confidential data that may not be disclosed to third parties and may not be duplicated, used, or disclosed, in whole or in part, for any purpose other than to access data in the STARS portal.”



# STARS Portal – USPAACC Supplier Registration and Application

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# STARS Portal – USPAACC Supplier Registration and Application

## 1. User Account Creation/Access

This manual describes the initial registration, profile creation and management steps for the suppliers (“Users”) in the USPAACC STARS portal.

Users can register in the portal by clicking the “Register & Get Certified – Register in our Portal” link on the portal home page.

URL: <https://uspaacc.starssmp.com/>



## 2. Initial Registration

To register in the portal, Users needs to provide data for at least all the mandatory fields.

Users can provide FEIN as Tax ID and the company’s DUNS number.

To avoid duplicate registration users can check for existing registration by providing the Legal Business Name and by using the “Verify” button.

Users can provide Pimary and Secondary contacts.

Users will need to supply a user name and password to complete the registration. Availability of the user name can be verified by using the “Check Availability” link associated with the corresponding fields.

# STARS Portal – USPAACC Supplier Registration and Application

Please complete the form below to register your company in this portal to begin your certification process with the USPAACC.  
(If your company is already registered in this portal, please try Retrieve User Name or Reset Password option in the home page to obtain your login credentials.)

## Supplier Verification

Is your firm currently certified with the USPAACC? ☐ Yes ☐ No

Legal Business Name

DBA/Trade Name

Tax ID Type  Federal Employer ID Number

Federal Employer ID Number

D&B Number

Verify

## Headquarters Information

Country  United States

Address

City

State  Select

Zip/Postal Code  Zip +4

Company Phone  Ext

Company Fax

Company Email

Confirm Email

Company Website Address

## Primary Contact Information

Contact Name

Title

Address ☐ Same as Corporate Address

Address

City

## STARS Portal – USPAACC Supplier Registration and Application



City 

State  Select

Zip/Postal Code 

Zip +4 

Work Phone 


Ext 


Cell Phone 

Fax 


Email 


### Secondary Contact Information


Contact Name 


Title 


Address ☐ Same as Corporate Address

Address 

City 

State  Select

Zip/Postal Code 

Zip +4 

As a security measure to ensure human access, Users need to go through Google reCAPTCHA validation to get authenticated for successful registration.



Zip/Postal Code 

Zip +4 

Work Phone 

Ext 

Cell Phone 

Fax 


Email 

### Login Information

User Name  Demosupplier1001  
[Check Availability](#)

Password  \*\*\*\*\*

Confirm Password 

☐ I'm not a robot 

Reset

## STARS Portal – USPAACC Supplier Registration and Application

Upon successful registration, Users will see the “My Profile” page by default. Users will also receive an email confirmation sent to the company, the primary contact and the secondary contact email IDs with details for working with the portal.

### 3. Dashboard

In the Dashboard, Users can view their historical applications and certificates on the Certification center. Users can Begin a new application or Submit an existing(in progress) application.

Users will also see various notifications and messages along with ability to navigate to Supplier profile, Support and Help manuals.

By clicking the company name shown at the top right banner in the portal, Users can access the “Support” module. This module contains among other features, this manual and other support options such as the Help Desk phone number and email IDs, technical support contact, password change, user settings update, last login details and creating and managing additional users.

The screenshot displays the USPAACC STARS Supplier Management Portal Dashboard for 'Demo Supplier 1001'. The interface includes a dark sidebar with navigation links: Dashboard, My Profile, Certification Center, Certificates / Application(s), Support Center, Contact Support, and Help Manuals. The main content area features a top banner with the user's name and a 'Go to My Profile' button. Below this is a 'Support' section with contact information and a 'Help' icon. An 'Engagement Overview' section shows 'Messages' and 'New notifications'. The 'Certification Center' section includes links to 'Go to Applications' and 'Go to Certificates', a list of actions (Begin Application, Submit Application), and a table of applications. The table has columns for Application Ref #, Application Type, Certification Type, Application Started, Application Submitted, Application Status, and Actions. One application is listed with Ref # C00195, Initial Certification, MBE, started on 09/29/2021, and status 'In Progress'. Below the table, a 'Certificates' section states 'No Certifications found.'

Application Ref #	Application Type	Certification Type	Application Started	Application Submitted	Application Status	Actions
C00195	Initial Certification	MBE	09/29/2021		In Progress	

# STARS Portal – USPAACC Supplier Registration and Application

## 4. My Profile

Users can view and update the information provided during the initial registration process.

Users can view and update the additional sections on the profile – Legal Information, Financial/Size Information, Upload capability document, Product/Service information and Diversity Certificates.

The screenshot shows the 'Supplier Profile' page in the USPAACC portal. The user is logged in as 'Demo Supplier 1001'. The page has a dark sidebar with navigation links: Dashboard, My Profile (active), Certification Center, Certificates / Application(s), Support Center, Contact Support, and Help Manuals. The main content area is titled 'Supplier Profile' and includes a 'Submit' and 'Cancel' button. A yellow warning banner states: 'This is NOT your application yet. After you create your supplier profile, Please go back to dashboard, click "Go to Application" to start an application.' Below this, the 'Company Information' section is highlighted in blue. It contains the following fields: Legal Business Name (Demo Supplier 1001), DBA/Trade Name, Tax ID Type (Federal Employer ID Number), Federal Employer ID Number (43-5546565), and D&B Number. A red note indicates 'Fields marked with asterisk \* are required'.

The screenshot shows the 'Headquarters Information' section of the 'Supplier Profile' page. The user is logged in as 'Demo Supplier 1001'. The sidebar is the same as the previous screenshot. The main content area is titled 'Headquarters Information' and includes a 'Submit' and 'Cancel' button. The section contains the following fields: Country (United States), Address (Rolling Meadows), Suite# (425), City (Rolling Meadows), State (Illinois), Zip/Postal Code (60008), Zip +4, Company Phone ((847) 368-0860), Ext, Cell Phone ((234) 234-2343), Company Fax, Company Email (shivab@viva-ll.com), Confirm Email (shivab@viva-ll.com), Company Website Address (www.viva-ll.com), Company Facebook, and Company Twitter. A red note indicates 'Fields marked with asterisk \* are required'.

# STARS Portal – USPAACC Supplier Registration and Application

USPAACC

STARS  
Supplier Management Portal

Demo Supplier 1001

Dashboard

My Profile

Certification Center

Certificates / Application(s)

Support Center

Contact Support

Help Manuals

Company Contact

Contact Name

Murugan NR

Title

Dev Team

Address

☐ Same as Corporate Address

Address

Rolling Meadows

Suite# 425

City

Rolling Meadows

State

Illinois

Zip/Postal Code

60008

Zip +4

Work Phone

(847) 368-0860

Ext

Cell Phone

(234) 234-2342

Fax

Email

murugannr@viva-it.com

Secondary Contact Information

USPAACC

STARS  
Supplier Management Portal

Demo Supplier 1001

Dashboard

My Profile

Certification Center

Certificates / Application(s)

Support Center

Contact Support

Help Manuals

Secondary Contact Information

Contact Name

Title

Address

☐ Same as Corporate Address

Address

City

State

Select

Zip/Postal Code

Zip +4

Work Phone

Ext

Cell Phone

Fax

Email

# STARS Portal – USPAACC Supplier Registration and Application

USPAACC

Demo Supplier 1001

Demo Supplier 1001

Dashboard
My Profile
Certification Center
Certificates / Application(s)
Support Center
Contact Support
Help Manuals

Legal Information

Legal Structure Select
State of Incorporation Select
Is your firm "for profit"? ☒ Yes ☐ No
Business Acquisition Select
Year Business Started/Acquired by Current Ownership mm/dd/yyyy
Did the business exist under a different type of business ownership prior to the date indicated above? ☐ Yes ☒ No
Are there any affiliates or subsidiaries for your company? ☐ Yes ☒ No

Financial / Size Information

Gross Income for the last three (3) fiscal years (numbers must match those on P&L/returns)

Net Income for 2020	\$0.00
Gross Receipts for 2020	\$100.00
Gross Receipts for 2019	\$200.00
Gross Receipts for 2018	\$300.00
Gross Receipts for 2017	\$0.00

USPAACC

Demo Supplier 1001

Demo Supplier 1001

Dashboard
My Profile
Certification Center
Certificates / Application(s)
Support Center
Contact Support
Help Manuals

Gross Receipts for 2017 \$0.00

Gross Receipts for 2016 \$0.00

Current Number of Employees

Full-time 0

Part-time 0

Seasonal 0

No. of Minority Employees 0

Type of Industry Select

Hours of Operations 0

Capability Document

Please upload document containing details

Choose File No file chosen

Upload

Please upload files in the following formats only: 'txt', 'ppt', 'pptx', 'pptm', 'pdf', 'doc', 'docx', 'xls', 'xlsx', 'rtf', 'png', 'gif'

File size should not exceed 28 MB.

Product/Service Information

Product/Service Information (You must enter at least one NAICS code, one SIC code and one UNSPSC code)

NAICS Codes (List as many as apply)

(<http://www.census.gov/ipeds/www/naics.html>)



Product/Service Information

**Demo Supplier 1001**

- Dashboard
- My Profile**
- Certification Center
- Certificates / Application(s)
- Support Center
- Contact Support
- Help Manuals

**Product/Service Information** (You must enter at least one NAICS code, one SIC code and one UNSPSC code)

---

**NAICS Codes** (List as many as apply)  
(<http://www.census.gov/epcd/www/naics.html>)

Primary NAICS Code	Actions

+ Add New

**SIC Codes** (List as many as apply) \*  
(<http://www.osha.gov/pls/mis/sicsearch.html>)

SIC Code	Actions
1333	

+ Add New

**UNSPSC Codes** (List as many as apply, provide at least 1) \*  
(<http://www.unspsc.org/>)

UNSPSC Code	Actions
313313	

+ Add New

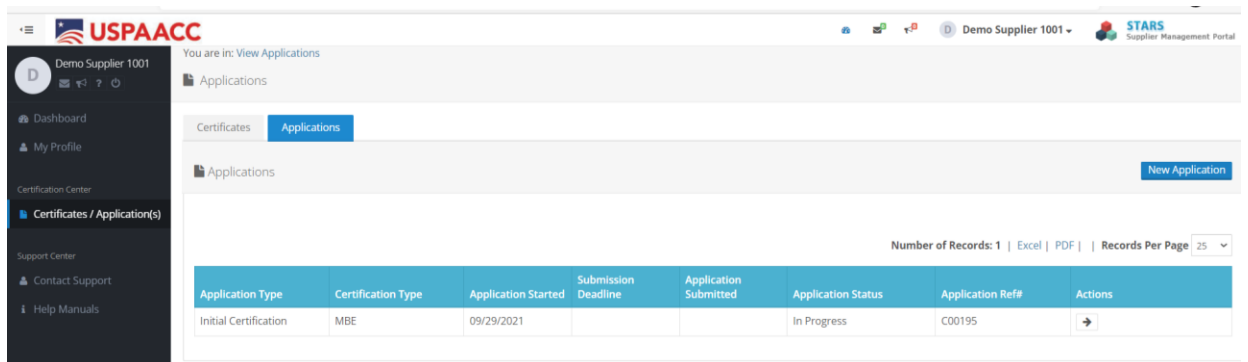
**Specific Product(s)/Service(s) Description** \*

Page 9 of 27

## STARS Portal – USPAACC Supplier Registration and Application

### 5. Certificates / Application(s)

Users can view all of their historical applications and certificates. At the same time, Users can start a new application here.



#### 5.1 Application – Begin Application

In this page, Users can initiate a new application by providing the Certification type and an interest for expedited processing.

## STARS Portal – USPAACC Supplier Registration and Application

The screenshot shows the 'Begin Application' section of the USPAACC Supplier Registration and Application portal. The user is logged in as 'Test Company 1'. The application progress bar shows 'Application Started', 'Supplier Data Entered', 'Documents Uploaded', 'Affidavit Signed', and 'Application Submitted'. The 'Begin Application' section includes a dropdown for 'Application Type' (Initial Certification), a dropdown for 'Certification Type' (Select), and a radio button for 'Do you like us to expedite the application processing?' (Yes/No). The 'Processing Fees Overview' section is also visible. The left sidebar shows the 'Application' menu with 'Begin Application' selected.

### 5.2 Application – General Information

Users can further continue their application process by filling various sections on this page as noted in below snapshots.

The screenshot shows the 'General Information' section of the USPAACC Supplier Registration and Application portal. The user is logged in as 'Test Company 1'. The application progress bar shows 'Application Started', 'Supplier Data Entered', 'Documents Uploaded', 'Affidavit Signed', and 'Application Submitted'. The 'General Information' section includes a dropdown for 'Legal Business Name' (Test Company 1), a text field for 'Doing Business As (dba, if applicable)', a text field for 'Company Website Address' (skichicago.com), a dropdown for 'Tax ID Type' (Federal Employer ID Number), a text field for 'Federal Employer ID Number' (23-4234324), a text field for 'D&B Number', a dropdown for 'Business Acquisition' (Select), and a text field for 'Year Business Started/Acquired by Current Ownership' (MM/DD/YYYY). The 'Legal Structure' section includes a dropdown for 'Legal Structure' (Select) and a dropdown for 'State of Incorporation' (Select). The left sidebar shows the 'Application' menu with 'General Information' selected.

## STARS Portal – USPAACC Supplier Registration and Application

Test Company 1

Dashboard

My Profile

Application

Begin Application

General Information

Management

Capability

Diversity

References

Real Estate

Equipment

Additional Information

Upload Documents

Affidavit

Submit Application

Certification History

Legal Structure

Legal Structure

State of Incorporation

Is your firm "for profit"? ☒ Yes ☐ No

Financial / Size Information

Income numbers must match those on P&L/returns

Net Income for 2020

Gross Receipts for 2020

Gross Receipts for 2019

Gross Receipts for 2018

Gross Receipts for 2017

Gross Receipts for 2016

Current Number of Employees

Full-time

Part-time

Seasonal

Test Company 1

Dashboard

My Profile

Application

Begin Application

General Information

Management

Capability

Diversity

References

Real Estate

Equipment

Additional Information

Upload Documents

Affidavit

Submit Application

Certification History

No. of Minority Employees

Hours of Operations

Type of Industry

Are there any affiliates or subsidiaries for your company? ☐ Yes ☒ No

Headquarters Information

Address

City

State

Zip Code  Zip +4

Phone

Cell Phone

Fax

## STARS Portal – USPAACC Supplier Registration and Application

USPAACC

Test Company 1

Dashboard

My Profile

Application

Begin Application

General Information

Management

Capability

Diversity

References

Real Estate

Equipment

Additional Information

Upload Documents

Affidavit

Submit Application

Certification History

Mailing Address Information

Mailing Address ☐ Same as Headquarters Address

Address

City

State

Zip Code  Zip +4

Phone

Cell Phone

Fax

Company Contact

Name

Title

Address

USPAACC

Test Company 1

Dashboard

My Profile

Application

Begin Application

General Information

Management

Capability

Diversity

References

Real Estate

Equipment

Additional Information

Upload Documents

Affidavit

Submit Application

Certification History

Owner Contact

Owner Contact ☐ Same as company contact details

Name

Title

Address ☐ Same as Headquarters Address

Address

City

State

Zip Code  Zip + 4

Email

Phone  Ext

Cell Phone

Fax

Business Trust Details

# STARS Portal – USPAACC Supplier Registration and Application

**Business Trust Details**

Business Controlled by a Trust? ☒ Yes ☐ No

**Contractor Details**

Is the company a contractor? ☒ Yes ☐ No

**Government Security Clearance & Contracting Vehicle**

Government Security Clearance ☒ Applicable ☐ Not Applicable

Does the company have a Government Security Clearance? ☒ Yes ☐ No

**Bonding Details**

Bonding ☒ Applicable ☐ Not Applicable

Is the company bonded? ☒ Yes ☐ No

Is this firm currently involved in the bidding process or other contract/purchase order negotiations with any governmental agency, department or authority? ☒ Yes ☐ No

Are you a Union Shop? ☒ Yes ☐ No

## 5.3 Application - Management

Users need to provide management structure with ownership, contribution and responsibilities as noted below.

You are in: Management

Management: MBE

Update Update & Continue

Application Started Supplier Data Entered Documents Uploaded Affidavit Signed Application Submitted

Yet to start In progress Completed

Fields marked with asterisk \* are required

**Owners**

Provide the following information for EACH proprietor, partner, officer, director, stockholder, and any other persons holding comparable authority. Authority is defined as Stockholder (any equity owner), Director (director or person with comparable authority), and Officer (officer or person with comparable authority). The sum of % ownership MUST equal 100%.

Name	Title	Authority	% Ownership	Actions

**Management Contributions**

When the company was started or acquired by the current ownership, what resources were contributed by each owner, and in what amounts?

Name of Individual	Money	Equipment	Real Estate	Other	Actions

# STARS Portal – USPAACC Supplier Registration and Application

Test Company 1

Dashboard

My Profile

Application

- Begin Application
- General Information
- Management
  - Capability
  - Diversity
  - References
  - Real Estate
  - Equipment
  - Additional Information
  - Upload Documents
  - Affidavit
  - Submit Application

Certification History

USPAACC

Test Company 1

STARS Supplier Management Portal

Management Responsibilities (List all applicable owners and non-owner Directors/Officers/Managers)

Assign persons and click update.

Supervises day-to-day operations?	Select
Supervises fieldwork/production (if any)?	Select
Has Hiring/Firing authority for management personnel?	Select
Makes financial decisions?	Select
Has signing authority for checks?	Select
Signs/co-signs for loans and/or lines of credit?	Select
Is responsible for signing contracts?	Select
Makes and approves major capital expenses?	Select
Selects projects on which to bid and accept?	Select
Estimating	Select
Preparing Bids	Select
Negotiating Insurance	Select
Marketing & Sales	Select
Purchasing Equipment/Supplies	Select
Managing & Signing Payroll	Select

Test Company 1

Dashboard

My Profile

Application

- Begin Application
- General Information
- Management
  - Capability
  - Diversity
  - References
  - Real Estate
  - Equipment
  - Additional Information
  - Upload Documents
  - Affidavit
  - Submit Application

Certification History

USPAACC

Test Company 1

STARS Supplier Management Portal

Signs/co-signs for loans and/or lines of credit?

Is responsible for signing contracts?

Makes and approves major capital expenses?

Selects projects on which to bid and accept?

Estimating

Preparing Bids

Negotiating Insurance

Marketing & Sales

Purchasing Equipment/Supplies

Managing & Signing Payroll

Negotiating Contracts

Update Cancel

Management At Outside Firm

Do any Stockholders, Directors or Officers have any ownership of/employment at another firm? ☒ Yes ☐ No

Update Update & Continue

# STARS Portal – USPAACC Supplier Registration and Application

## 5.4 Application – Capability

In this page, Users can provide detailed inputs with product and services related information as noted below.

The screenshot displays the USPAACC Supplier Registration and Application form, specifically the 'Product/Service Information' and 'Capability' sections. The form is titled 'Product/Service Information' and includes a sub-header 'Product/Service Information (You must enter at least one NAICS code, one SIC code, one UNSPSC code and click "Save" icon)'. The form is divided into several sections: NAICS Codes, SIC Codes, UNSPSC Codes, Specific Product(s)/Service(s) Description, and Business Categories. The 'NAICS Codes' section includes a table with columns for 'NAICS Code' and 'Actions', and a '+ Add New & Save' button. The 'SIC Codes' section includes a table with columns for 'SIC Code' and 'Actions', and a '+ Add New & Save' button. The 'UNSPSC Codes' section includes a table with columns for 'UNSPSC Code' and 'Actions', and a '+ Add New & Save' button. The 'Specific Product(s)/Service(s) Description' section includes a text area with a 'keywords only: 500 character maximum.' label. The 'Business Categories' section includes a table with columns for 'Business Categories' and 'Actions', and a '+ Add New & Save' button. The 'Capability' section includes a table with columns for 'Scope of Project', 'Project Duration', and 'Contract Types', and a '+ Add New & Save' button. The form also includes a sidebar with navigation links and a top header with the USPAACC logo and user information.

USPAACC

Test Company 1

Dashboard

My Profile

Application

Begin Application

General Information

Management

Capability

Diversity

References

Real Estate

Equipment

Additional Information

Upload Documents

Affidavit

Submit Application

Certification History

Product/Service Information

Product/Service Information (You must enter at least one NAICS code, one SIC code, one UNSPSC code and click "Save" icon)

NAICS Codes (List as many as apply) <http://www.census.gov/ipeds/www/naics.html>

NAICS Code

Actions

+ Add New & Save

SIC Codes (List as many as apply) <http://www.osha.gov/pls/tms/sicsearch.html>

SIC Code

Actions

+ Add New & Save

UNSPSC Codes (List as many as apply, provide at least 1) <http://www.unspsc.org>

UNSPSC Code

Actions

+ Add New & Save

Specific Product(s)/Service(s) Description

keywords only: 500 character maximum.

If licensing, permits or accreditation is required to conduct the business, please identify ☐ Not applicable or no licenses/permits held ☐ Yes

Geographical Service Area ☐ Local ☐ Regional ☐ National ☐ International

Business Categories

Construction Related

Manufacturer/Supply

Professional Service

Broker

Technical Service

Retail

Consumer Service

Financial Services

Franchise

Other

Describe principal products/commodities sold, specialties or services offered

keywords only: 500 character maximum.

(Features of Projects)

Scope of Project

Project Duration

Contract Types

State

Update

Update & Continue



# STARS Portal – USPAACC Supplier Registration and Application

## 5.5 Application - Diversity

In this page, Users can specify the current diversity information including upload of certificates.

USPAACC

You are in: Diversity and Other Certifications

Add / Edit Diversity Certificate: MBE

Update Update & Continue

Application Started Supplier Data Entered Documents Uploaded Affidavit Signed Application Submitted

■ Yet to start ■ In progress ■ Completed

Add New Diversity and click "Save & Close" or "Save & New" for additional certifications.

Diversity Type \* Select

Certification Type \* Select

Certifying Agency \* Select

Expiration Date \*

Certification Number

Upload Latest Certificate \* No file chosen  
Please upload files in the following formats only: 'pdf', 'doc', 'docx', 'xls', 'xlsx'  
File size should not exceed 28 MB.

Update Update & Continue

### Edit existing records

Diversity Type	Certified By Self   Agency	Agency Name	Expiration Date	Certificate File	
Minority Business Enterprise (MBE)	<input checked="" type="checkbox"/>	Eastern Minority Supplier Development Council	02/01/2022		Edit  Delete
Veteran Owned Business Enterprise (VBE)	<input checked="" type="checkbox"/>	Small Business Administration	12/31/2021		Edit  Delete
Small Business Enterprise (SBE)	<input checked="" type="checkbox"/>	Small Business Administration	02/24/2022		Edit  Delete
Hubzone (HUBZ)	<input checked="" type="checkbox"/>	Small Business Administration	02/18/2022		Edit  Delete

# STARS Portal – USPAACC Supplier Registration and Application

## 5.6 Application - References

Users can provide inputs with various references that will help with application evaluation.

The screenshot displays the USPAACC Supplier Management Portal interface. The left sidebar contains a navigation menu with options: Dashboard, My Profile, Application (selected), and Certification History. The Application menu is expanded, showing sub-options: Begin Application, General Information, Management, Capability, Diversity, References (selected), Real Estate, Equipment, Additional Information, Upload Documents, Affidavit, and Submit Application. The main content area is titled 'Contract Reference' and includes a text box for 'Leading Contracts: Three (3) leading contracts from the last fiscal year. These individuals should represent businesses with whom you have worked in the last 12 months and reflect the three largest contracts your business held during that time.' Below this is a table with columns: Company/Organization Name, Address, Buyer/Representative, Product/Service provided, Dollar Volume, and Actions. An 'Add New' button is located at the top right of the table. The next section is 'Bank and Credit References', which includes a text box stating: 'At least 1 reference required to identify the primary banking institution & contact that handles your business accounts as well as any institutions/contacts with which your firm has active loans or closed loans within the three years prior to this application.' Below this is a table with columns: Institution Name, Address, Type of Account, Contact Name, Loan Date, Loan Amount, and Actions. An 'Add New' button is located at the top right of the table. The final section is 'Business Reference', which includes a text box stating: 'Business references should be organizations or individuals with whom you have conducted business in the last 12 months that can attest to the quality of your products/services and your ability to deliver said products/services upon the agreed terms of the contract. These references can be clients, customers, or businesses with which you have partnered on projects/joint ventures.'

## 5.7 Application – Real Estate

In this page, Users can provide details with company facilities.

The screenshot displays the USPAACC Supplier Management Portal interface, specifically the Real Estate section. The left sidebar is the same as in the previous screenshot. The main content area shows a progress bar with steps: Application Started, Supplier Data Entered, Documents Uploaded, Affidavit Signed, and Application Submitted. Below the progress bar, there is a section titled 'Real Estate' with a sub-header 'Real Estate: MBE'. There are two radio button questions: 'Do you maintain a staffed, full-time office?' and 'Is your home your business headquarters?'. Below these is a section titled 'List of Facilities' with a text box stating: 'Please provide information about your company's facilities. Information must be included for the Facility Type: Principal Place of Business, Additional offices, Plants, Storage, Warehouses, and/or Distribution centers.' Below this is a table with columns: Type, Address, Square Feet, Ownership, Rental Amount, Rental/Purchase Agreement, and Actions. An 'Add New' button is located at the top right of the table. At the bottom right of the page, there are 'Update' and 'Update & Continue' buttons.

## STARS Portal – USPAACC Supplier Registration and Application

### 5.8 Application - Equipment

In this page, Users can specify inputs with both equipment's and vehicles in use by the company.

The screenshot displays the USPAACC Supplier Management Portal interface. The top navigation bar includes the USPAACC logo, user information for 'Test Company 1', and the 'STARS Supplier Management Portal' title. A sidebar on the left contains a menu with options like Dashboard, My Profile, Application, and Certification History. The main content area is titled 'Equipment and Vehicles: MBE' and shows a progress bar with steps: Application Started, Supplier Data Entered, Documents Uploaded, Affidavit Signed, and Application Submitted. Below the progress bar, there are sections for 'Equipment' and 'Vehicles'. Each section has a header bar, a status indicator (e.g., 'Equipment used'), and a table for data entry. The 'Equipment' table has columns for 'Equipment Type', 'Ownership', and 'Actions'. The 'Vehicles' table has columns for 'Vehicle', 'Ownership', 'Vehicle ID (License Plate)', and 'Actions'. Both tables have an 'Add New' button. At the bottom right, there are 'Update' and 'Update & Continue' buttons.

You are in: Equipment-and-Vehicles

Equipment and Vehicles: MBE

Update Update & Continue

Application Started Supplier Data Entered Documents Uploaded Affidavit Signed Application Submitted

■ Yet to start ■ In progress ■ Completed

Fields marked with asterisk \* are required

**Equipment**

Equipment used ☒ Applicable ☐ Not Applicable

+ Add New

Equipment Type	Ownership	Actions
----------------	-----------	---------

**Vehicles**

Vehicles used ☒ Applicable ☐ Not Applicable

+ Add New

Vehicle	Ownership	Vehicle ID (License Plate)	Actions
---------	-----------	----------------------------	---------

Update Update & Continue

### 5.9 Application – Additional Information

In this page, Users can specify key inputs like litigation's, bankruptcy, Certification denials etc.

# STARS Portal – USPAACC Supplier Registration and Application

USPAACC

Test Company 1

STARS Supplier Management Portal

Fields marked with asterisk \* are required

Test Company 1

Dashboard

My Profile

Application

Begin Application

General Information

Management

Capability

Diversity

References

Real Estate

Equipment

Additional Information

Upload Documents

Affidavit

Submit Application

Certification History

Litigation Details

Is the applicant involved in any present or impending lawsuit? ☐ Yes ☐ No

Bankruptcy Details

Is the applicant business involved in bankruptcy or insolvency proceedings? ☐ Yes ☐ No

Certification Denial Details

Has the applicant business ever been denied certification by a certifying agency? ☐ Yes ☐ No

Special Features

How did you find about USPAACC? Check box(es) below.

Name	Please specify
<input type="checkbox"/> Federal Government Agency	
<input type="checkbox"/> State Economic Development Agency	
<input type="checkbox"/> Fortune Corporation(s)	
<input type="checkbox"/> USPAACC Members	

## 5.10 Application – Upload Documents

Users will have the ability to upload various documents needed to process the application. Certain documents are to be provided for multiple years and multiple owners as applicable.

USPAACC

Test Company 1

STARS Supplier Management Portal

Fields marked with asterisk \* are required

Test Company 1

Dashboard

My Profile

Application

Begin Application

General Information

Management

Capability

Diversity

References

Real Estate

Equipment

Additional Information

Upload Documents

Affidavit

Submit Application

Certification History

Owner Personal Information

Document Name	Owner Name	Certification Type(s)	Upload Status	Uploaded By	Date	Action /Notes
Proof of Ethnicity, Citizenship, and Immigrant Status for each minority partner/shareholder (Copy of Passport, Birth Certificate, or Certificate of Naturalization: please make sure to provide a clear color copy)		MBE	* Upload			
Business card of owner(s) and management team		MBE	* Upload			
Resumes of all principals, owners, and partners showing education, training, and employment with dates to help prospective buyers understand the experience of the owner(s)		MBE	* Upload			

General Business Information

Document Name	Certification Type(s)	Upload Status	Uploaded By	Date	Action /Notes
Certificate and/or Article of Incorporation of the business	MBE	* Upload			
Business Federal Tax Returns and all schedules for the past two (2) years If a business has been established less than two (2) years, please provide the owner(s) personal tax return for the past two (2) years.	MBE	* Upload			
941 Employer's Quarterly Federal Tax Return for the past two (2) years	MBE	* Upload			
Company brochure	MBE	* Upload			
Copies of three (3) recent job contracts	MBE	* Upload			
Bank signature card or statement from bank indicating who are authorized to sign on business account	MBE	* Upload			

# STARS Portal – USPAACC Supplier Registration and Application

## 5.11 Application – Affidavit

Users are required to certify the accuracy of information provided with the application and in order to process the same where each owner is required to attest their own affidavit.

The screenshot shows the USPAACC Supplier Management Portal interface. The user is logged in as 'Demo Supplier 1001'. The application progress bar indicates the following steps: Application Started, Supplier Data Entered, Documents Uploaded, Affidavit Signed (current step), and Application Submitted. The left sidebar lists application sections: Dashboard, My Profile, Application (selected), Certification History, and a list of application steps: Begin Application, General Information, Management, Capability, Diversity, References, Real Estate, Equipment, Additional Information, Upload Documents, Affidavit (marked with a red asterisk), and Submit Application (marked with a red asterisk). The main content area is titled 'Affidavit' and contains a 'Declaration of Asian American / Minority-Owned Business Enterprise Status Affidavit'. The form includes a business name field (Demo Supplier 1001) and a section for Owner One with fields for Printed Name, Title (CEO), Signature (marked with a red asterisk), and Date (10/27/2021). A 'Submit Signature' button is present. A warning message states: 'Fields marked with asterisk \* are required. \* Please be advised that only company's owner(s) can sign the affidavit below.'

This screenshot continues the affidavit form from the previous one. It shows the section for Owner Two with fields for Printed Name, Title (CTO), Signature (marked with a red asterisk), and Date. A 'Submit Signature' button is present. Below this is the section for Owner Three with fields for Printed Name, Title (Director), Signature (marked with a red asterisk), and Date. A 'Submit Signature' button is present. The same warning message is repeated: 'Fields marked with asterisk \* are required. \* Please be advised that only company's owner(s) can sign the affidavit below.'

## STARS Portal – USPAACC Supplier Registration and Application

### 5.12 Submit Application – Make Payment

Finally, once all sections of the application are completed and listed with Green tick mark, Users may proceed with payment by using the “Make Payment” button which provides option to either indicate a payment by check or using a credit card which will redirect to the PayPal processing page.

USPAACC

You are in: Submit Application

Certification Type(s): MBE

Submit Application Cancel

Fields marked with asterisk \* are required

**Submit Application**

Please note that the entire certification review process, which includes a mandatory site visit, takes Regular 60 - 90 days Expediated 3 - 4 Weeks from the date your application is submitted. Please be advised we would like to keep review process within the timeframe. If we do not receive your supporting documents or hear back from you, this will result in delaying the review process.

Date of Application 11/09/2021

Application Ref # C02319

Non-refundable Processing Fee \$600.00 **Make Payment**

☐ I certify that all information is complete and accurate and I acknowledge and agree to pay for the above non-refundable processing fee.

USPAACC

You are in: Payment

**Make Payment**

Fields marked with asterisk \* are required

Application Ref #: C00195 Application Date: 09/29/2021 Is Expedited Process: Yes Payment Status: Yet to complete **Back**

Please Indicate the Payment Type ☒ Check ☐ Credit Card - PayPal

**Check**

Fields marked with asterisk \* are required

Amount Enclosed \$600.00

Check # \*

☐ I certify that all information is complete and accurate. I hereby authorize USPAACC, to collect payment for all authorized charges associated with this application.

**Submit Cancel**

## STARS Portal – USPAACC Supplier Registration and Application

USPAACC

Demo Supplier 1001

Dashboard

My Profile

Application

Certification History

You are in: Payment

Make Payment

Fields marked with asterisk \* are required

Application Ref #: C00195

Application Date: 09/29/2021

Is Expedited Process: Yes

Payment Status: Yet to complete

Back

Please Indicate the Payment Type ☒ Check ☐ Credit Card - PayPal

Credit Card - PayPal

Amount

☒ I certify that all information is complete and accurate. I hereby authorize City, to collect payment for all authorized charges associated with this form by processing a charge to the credit card listed above. I certify that I am the authorized signer of the credit card listed above. Please note that using this payment option, will result in an additional 4% processing fee.

PayPal Check out

The safer, easier way to pay

PayPal

Pay with PayPal

Enter your email or mobile number to get started.

Next

OR

Pay with Debit or Credit Card

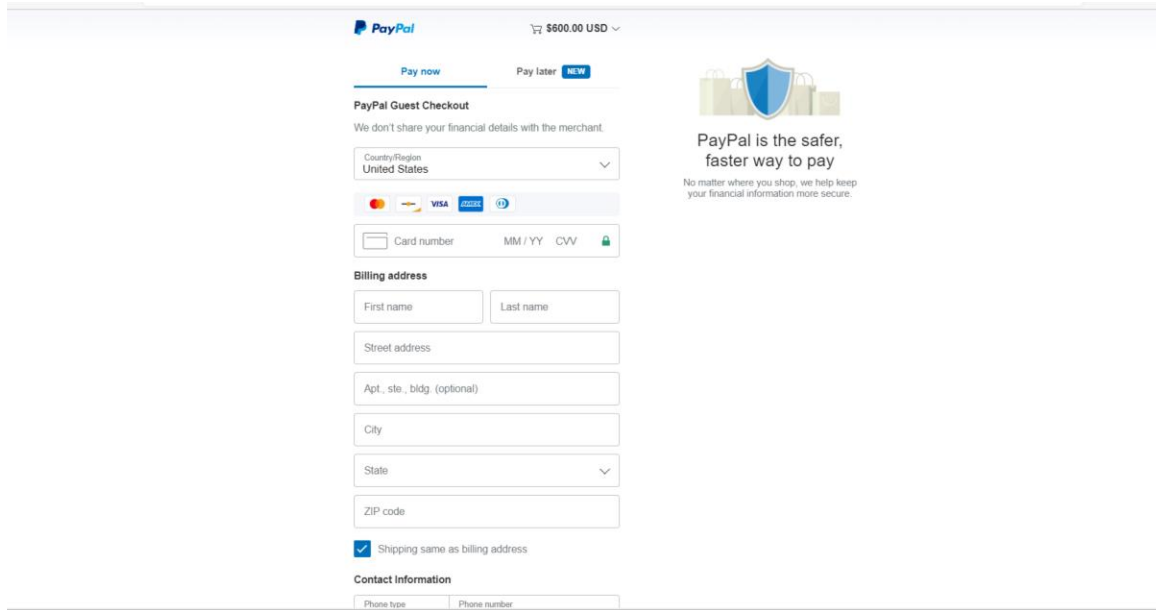
Cancel and return to John Doe's Test Store

English | Français | Español | 中文

If you continue to browse, we'll use cookies that make our site work, improve performance, and customise your experience. If you accept, we'll also use cookies to personalise ads. [Manage your cookies](#)

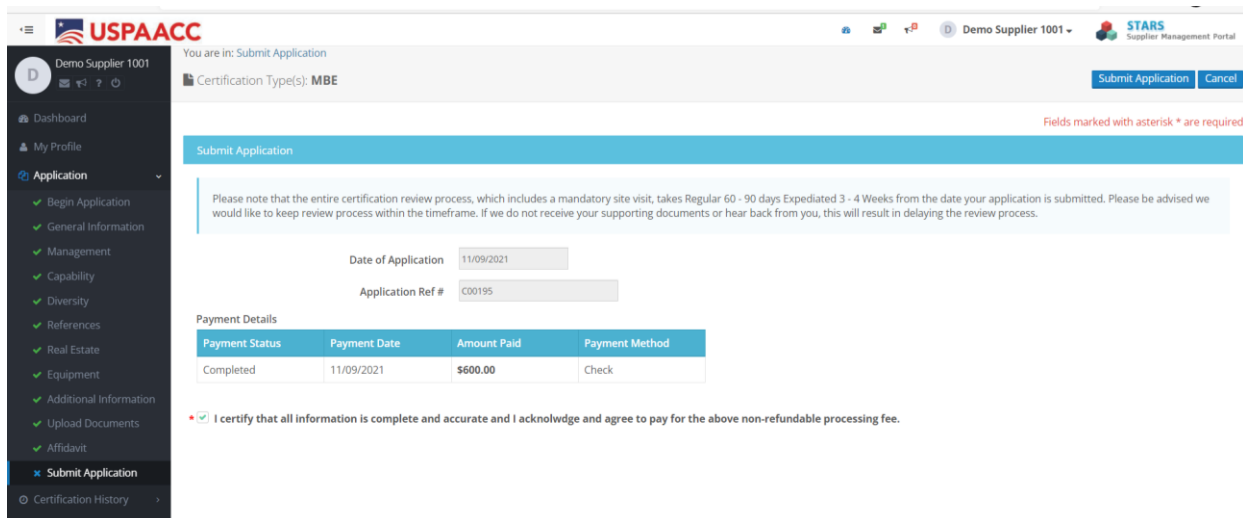
Accept Cookies

## STARS Portal – USPAACC Supplier Registration and Application



The image shows a PayPal Guest Checkout page. At the top, there's a PayPal logo and a currency selector set to \$600.00 USD. Below this, there are two tabs: "Pay now" (active) and "Pay later". The main heading is "PayPal Guest Checkout" with a sub-note: "We don't share your financial details with the merchant." The form includes a "Country/Region" dropdown set to "United States", a row of payment method icons (MasterCard, Visa, American Express, Discover), and a "Card number" field with "MM / YY" and "CVV" sub-fields. The "Billing address" section contains fields for "First name", "Last name", "Street address", "Apt., ste., bldg. (optional)", "City", "State" (dropdown), and "ZIP code". A checkbox for "Shipping same as billing address" is checked. The "Contact Information" section has "Phone type" and "Phone number" fields. On the right, there's a shield icon and the text: "PayPal is the safer, faster way to pay. No matter where you shop, we help keep your financial information more secure."

Upon successful payment processing, the below confirmation page will be shown to Users allowing them to submit the application.



The image shows the "Submit Application" confirmation page in the USPAACC Supplier Management Portal. The top navigation bar includes the USPAACC logo, user information "Demo Supplier 1001", and the "STARS Supplier Management Portal" logo. The main heading is "Submit Application" with a sub-note: "Please note that the entire certification review process, which includes a mandatory site visit, takes Regular 60 - 90 days Expediated 3 - 4 Weeks from the date your application is submitted. Please be advised we would like to keep review process within the timeframe. If we do not receive your supporting documents or hear back from you, this will result in delaying the review process." The form includes fields for "Date of Application" (11/09/2021) and "Application Ref #" (C00195). Below this is a "Payment Details" table:

Payment Status	Payment Date	Amount Paid	Payment Method
Completed	11/09/2021	\$600.00	Check

At the bottom, there is a checkbox for "I certify that all information is complete and accurate and I acknowledge and agree to pay for the above non-refundable processing fee." which is checked. A note on the right states: "Fields marked with asterisk \* are required".

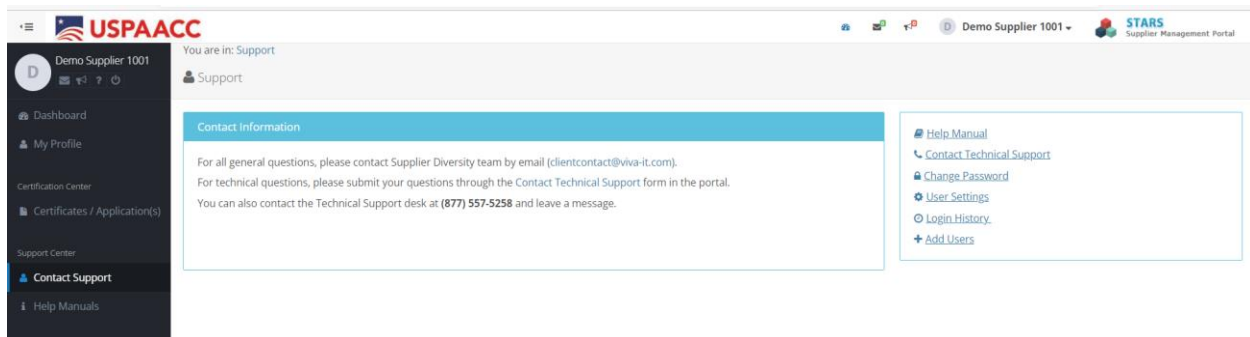
Users will receive notifications of application made and payment receipt to the email id of the applicant and company.



# STARS Portal – USPAACC Supplier Registration and Application

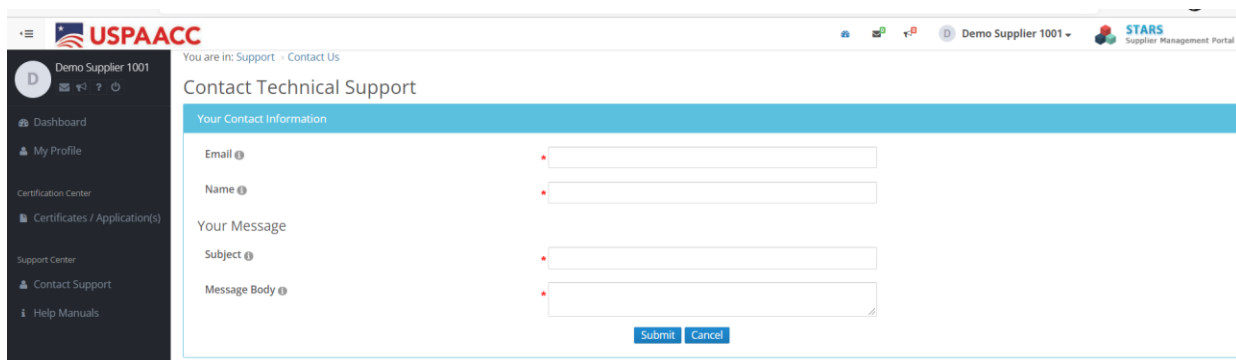
## 6. Support – Landing Page

Through the menu items in this page, Users can request assistance, change the password, change the user profile details, create additional users (only primary user can do this), view the recent past login details with date and time stamp, and refer to the help manual to understand and be proficient with the portal workflow features.



### 6.1 Support – Contact Technical Support

Users can request assistance from the portal Help Desk support (business & workflow) team for working with the portal features.



## STARS Portal – USPAACC Supplier Registration and Application

### 6.2 Support – Change Password

During an iteration of password change, Users need to provide a unique password.

User can also view the last password change details.

The screenshot shows the 'Change Password' form in the USPAACC portal. The form is titled 'Change Password' and is located in the 'Support' section. It includes the following fields and elements:

- Current Password:** A text input field with a red asterisk indicating a required field.
- New Password:** A text input field with a red asterisk indicating a required field.
- Retype New Password:** A text input field with a red asterisk indicating a required field.
- Last Password Changed On:** A label showing the date and time '10/12/2021 5:01:18 AM'.
- Buttons:** 'Submit' and 'Cancel' buttons.
- Help Links:** A sidebar on the right contains links for 'Help Manual', 'Contact Technical Support', 'Change Password', 'User Settings', 'Login History', and 'Add Users'.

### 6.3 Support – User Settings

Users can view and update the user name and other details.

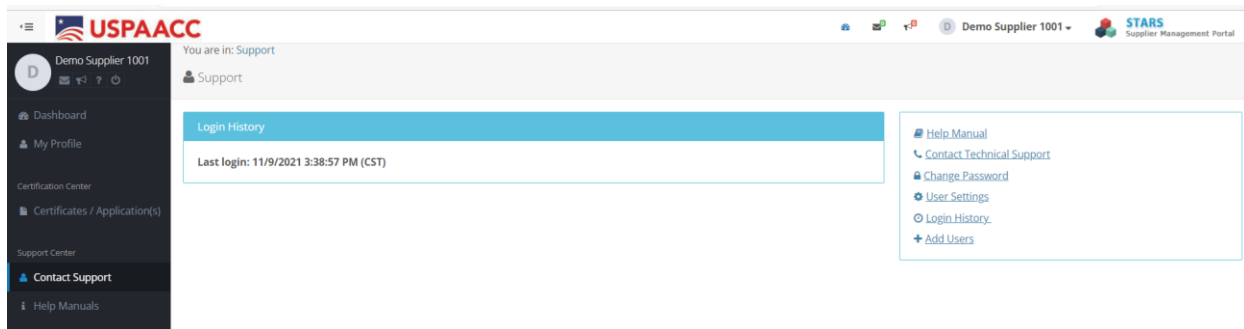
As a security measure, upon updating the user name, the portal will log out the Users and prompt them to login again to validate the user name change and allow the Users to access the portal features.

The screenshot shows the 'User Settings' form in the USPAACC portal. The form is titled 'User Settings' and is located in the 'Support' section. It includes the following fields and elements:

- User Name:** A text input field with a red asterisk indicating a required field, containing the value 'DemoSupplier1001'.
- Company Email:** A text input field with a red asterisk indicating a required field, containing the value 'shivab@viva-ilt.com'.
- Primary Contact Name:** A text input field with a red asterisk indicating a required field, containing the value 'Murugan NR'.
- Primary Contact Email:** A text input field with a red asterisk indicating a required field, containing the value 'muruganr@viva-ilt.com'.
- Secondary Contact Name:** A text input field.
- Secondary Contact Email:** A text input field.
- Buttons:** 'Submit' and 'Cancel' buttons.
- Help Links:** A sidebar on the right contains links for 'Help Manual', 'Contact Technical Support', 'Change Password', 'User Settings', 'Login History', and 'Add Users'.

### 6.4 Support – Login History

Users can see their recent login history on this page.

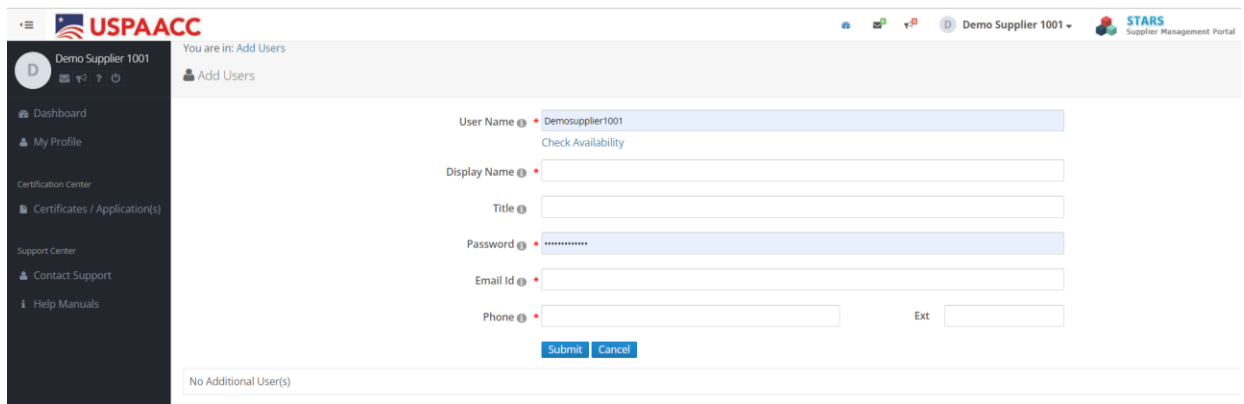


### 6.5 Support – Add Users

Users can create additional users through this page. Additional users can have access to and work with all the workflow information submitted by the primary User. But these additional users cannot create additional users on their own.

Please note that any information created/updated by either the primary Users or additional users of a supplier will be shown to all the users of that supplier when they access their respective portal accounts. Only their user credential related information will differ.

Upon creation of an additional user, portal will send an email confirming the new user creation to the registered email ID of the additional user.



# **ATTACHMENT 2**



## **Pan Asian American/Minority-owned Certification Application**

### **Criteria and Processes**

#### **About USPAACC**

Founded in 1984, the US Pan Asian American Chamber of Commerce Education Foundation (USPAACC) is the most established and effective national nonprofit, nonpartisan business organization representing the unified voice for equal opportunity for Pan Asian Americans (include East, South and Southeast Asian, Native Hawaiian and Pacific Islander) and their related groups.

USPAACC's mission is to promote and propel economic growth by opening doors to business, educational, and professional opportunities for Pan Asian Americans and their business partners in Fortune corporations, government, large nonprofits, and the small and minority business community. With unmatched expertise, experience, and connections, USPAACC is the gateway to Pan Asian American suppliers and information about the Asia-Pacific and Indian Subcontinental markets.

#### **USPAACC Certification: The Gold Standard for Minority Business Certification**

USPAACC offers the most recognized and highly respected national certifications for Pan Asian American and/or other small and minority-owned businesses in the United States. Certification is available for U.S.-based businesses. Since 1998, USPAACC certification has:

- Significantly increased business opportunities with Fortune corporations, government agencies, and large nonprofits.
- Provided corporate and government supplier diversity and small business programs with qualified and quality suppliers.
- Leveraged strong ties and established relationships to match supplier members with potential buyers.
- Opened doors to countless economic opportunities and delivered access to the multi-billion-dollar Federal procurement pipeline.
- Substantially increased the number of small and minority-owned businesses in the market by introducing the minority business development program to and educating an entire generation of Pan Asian American businesses of the efficacy of the program.
- Created opportunities for Pan Asian American businesses to meet to do business with each other and with other small, minority- and diverse-owned businesses.

#### **Why USPAACC Certification Matters**

USPAACC certification is a valuable credential demonstrating that a business is at least 51% owned, controlled, and operated by Pan Asian American(s) and/or other minority(ies) who are U.S. citizens or Legal Permanent Residents. By becoming a USPAACC-certified supplier, a business can:

- Expand its market opportunities and network with Fortune corporations, government agencies, and large nonprofits that value diversity and inclusion in their supply chain.
- Showcase its products and services at USPAACC's annual CelebrASIAN Business + Procurement Conference, the largest Pan Asian American business event in the United States; and the InnovASIAN Symposium where some of the best among the country's Chief Technology, Digital and Information Officers share their insights and plans for advancing their corporation's competitive edge.
- Access USPAACC's acclaimed market development, educational and professional development programs such as the Chief Procurement Officers Forum, CIT/CTO/CDO Forum, Supplier Diversity Professional Leadership Caucus, One-on-One Business Matchmaking, Business Express: ReadySetGrow, and Supplier Success Stories.
- Join USPAACC's regional chapters and participate in local events and activities that foster business connections with regional corporations, state and local governments, and collaborations among small and diverse businesses.

USPAACC certification follows a thorough vetting process that ensures the quality and credibility of the certified suppliers. Unlike some other certification programs that rely on self-declaration or minimal verification, USPAACC certification requires:

- A completed application form along with a non-refundable processing fee based on the annual gross receipts or sales of the business.
- A comprehensive review of the applicant's business documents, such as organization formation documents, tax returns, ownership shares and stock certificates.
- A site visit to the business location and personal interview with the owner or the highest-ranking executive to verify the veracity of the statements made in the application and the physical presence of the business operating in the United States.

USPAACC certification is as rigorous as any national certification process and is accepted by Fortune corporations, government agencies, and large nonprofits. To apply for USPAACC certification, visit <https://uspaacc.com/join/membership-request>.

## **Benefits**

- Automatically become a USPAACC Member when you start the certification process and enjoy significant membership benefits.
- Register your business as a minority-owned business and diversity business in the supplier portals of Fortune corporations, such as JPMorgan Chase, Nationwide, Trane Technologies, Walmart, Wells Fargo, and many more.

- Receive the competitive advantage of being contacted and matched first by Fortune corporations or their prime contractors seeking to do business with Pan Asian American and other minority-owned businesses.
- The official USPAACC Certified Business Seal may be used on all business marketing materials and website recommendations so it is visible to corporations, government agencies, large nonprofits, and the Pan Asian American and small and diverse business communities who value diversity, equality and inclusion.
- Referral to USPAACC national corporate members, government partners, and large nonprofit organizations for business and contract opportunities.

## **Eligibility Criteria**

- The business must be at least 51% owned, controlled, and operated daily by Pan Asian Americans and/or other minorities, i.e., African, Hispanic, and Native Americans who are U.S. citizens or Legal Permanent Residents.
- The business must have operated for at least two years or the business owner must have at least 2 years of knowledge and experience in the services or products the business offers, and have filed its first Federal business tax return.
- The owners of the company must spend full time in the business.

## **Application Processing Fee**

The following non-refundable tiered processing fee is based on annual gross receipts or sales as reported on the entity's most recent business tax return.

<b>Gross Receipts or Sales</b>	<b>Regular Processing Fee (1-3 months)</b>	<b>Expedited Processing Fee (3-4 weeks)</b>
Below \$1 million	\$350.00	\$ 600.00
\$1 - \$10 million	\$500.00	\$ 800.00
\$10 - \$50 million	\$700.00	\$ 900.00
Above \$50 million	\$900.00	\$1,200.00

## **Required Documents for First-time Applicants**

1. Business Federal Tax Returns and all schedules for the past two (2) years, final and signed copy, not a draft by the applicant business or from its CPA or accounting service.
2. 941 Employer's Quarterly Federal Tax Return for the past two (2) years.

3. Proof of Ethnicity, Citizenship, and Immigrant Status for each owner, partner, and shareholder (clear color copy of Passport, Birth Certificate, Permanent Resident Card, or Certificate of Naturalization; a Driver's License is not acceptable as proof).
4. Bank signature card or statement from the bank indicating who is authorized to sign on the business account.
5. Resumes of all owners, partners, and shareholders showing education, training, and employment history with dates to help prospective buyers understand their experiences.
6. Business cards of owners, partners, shareholders, and management team.
7. Certificate and Article of Incorporation of the business.
8. Copies of all licenses, permits, or business certifications (if applicable).
9. Copy of liability insurance policy.
10. Copies of three (3) recent job contracts.
11. Equipment rental, lease, and purchase agreements and a list of significant equipment owned (if applicable).
12. Property purchase or rental agreements.
13. Company brochure.
14. Copies of other certifications (if applicable).

**If the business structure is a corporation, also include**

1. Certificate of Incorporation, Articles of Incorporation, and amendments.
  - Minutes of the first corporate organizational meeting.
  - Minutes of the board of directors' meetings for the past two (2) years.
2. Corporate bylaws and all amendments.
3. Schedule of advances made to the corporation by shareholders for the preceding two (2) years.
4. Copies of stock certificates (front and back) and stock transfer ledgers (if applicable).
5. Proof of stock purchase or equity investment by business owners.
6. Copies of any agreements or board actions relating to stock options, stockholder voting rights, ownership agreements, and ownership of voting securities.



If the business structure is a Limited Liability Company (LLC) or a Professional Limited Liability Company (PLLC) also include:

1. Article of Incorporation and Certificate of Organization.
2. Operating Agreement and Regulations and Member Agreement for the LLC company.
3. Schedule of advances made to LLC or PLLC by members for the preceding two (2) years.

If the business structure is a partnership, also include:

1. Partnership Agreements.
2. Buy-Out Rights Agreements.
3. Profit Sharing Agreements.
4. Documentation of all capital investments by partners.
5. Limited Partnership Certificate (if applicable).

If the business has other documents that would help better understand its structure, ownership, control, daily management, and exit plan, please include them.

## **Review Process**

### **Stage 1: Initial Review**

The application and supporting documents are filed online, and the USPAACC Certification Committee thoroughly reviews them. If the Committee has any questions, it will contact the business owner during the review period.

### **Stage 2: Site Visit**

After reviewing the application and supporting documents, if the Certification Committee finds the application qualifies as a Pan Asian American and/or Minority-Owned business, the Certification Committee will contact the owner for a site visit appointment. A site visit is critical to ensure that at least 51% of the business is owned, controlled, and operated daily by Pan Asian American(s) and/or other minority(ies). The site visitor will issue a site visit report with a recommendation to approve, or deny the application, or provide comments about their findings of deficiency.

### **Stage 3: Final Review**

After the site visitor reports to the Certification Committee, the applicant will enter the final review stage. The Certification Committee will review the site visit report and the submitted

documents to determine whether to issue certification, to notify the applicant of the deficiency(ies), or deny the application.

If the application meets the documentation and site visit requirements, USPAACC will certify the business as owned, controlled, and operated by Pan Asian American(s) and/or other minority(ies).

If there is a finding of deficiency, the Certification Chair will issue a letter to the applicant stating the deficiency. The applicant will have 30 days to cure the deficiency. If the deficiency is cured, the application will be certified.

If the application is denied, the applicant may file an appeal with the USPAACC Certification Appeals Board at USPAACC National Office within thirty (30) days of such notification. The Certification Appeals Board will review the application and any additional information and/or documents the applicant provides on appeal de novo, make a final decision, and notify the applicant of the final decision.

Any documents provided on appeal must be in existence on the date of the application.

## **Stage 4: Renewal**

USPAACC Certification is valid for one year, and the expiration date will appear on the certification. Businesses should apply for renewal online at least forty-five (45) days before expiration. Applicants must complete a form and provide the supporting documents listed below:

1. Most recent tax returns.
2. Two recent job contracts.
3. Minutes of board meetings regarding any changes in ownership, control, and business management (if there are changes).
4. Change in ownership and share certificates (if there are changes).
5. Change of owners' status from Legal Permanent Resident to U.S. citizen, or losing Legal Permanent Resident status.
6. The application will be reviewed to determine if the business continues to meet the certification criteria.

If necessary, USPAACC will contact the applicant regarding a site visit appointment. Site visits are designed to ensure the integrity of the certification program. If the application form is completed, all the required documentation is provided, a site visit interview is successful, and the business applying for re-certification is still at least 51% owned, controlled, and operated by Pan Asian American(s) and/or minority(ies), the application will be approved, and a new USPAACC Certification will be issued.

## **Appeals**

After considering an application for certification, USPAACC will issue certification or a notice of denial. Applicants will have thirty (30) days to provide additional documents to cure the deficiency. If the application is denied and a business believes that its certification was wrongly

denied, it may ask for reconsideration within sixty (60) days of receiving the notice of deficiency by filing an appeal in writing with USPAACC's Certification Appeals Board. USPAACC's Certification Appeals Board will conduct a new and complete review, make a final decision, and notify the applicant of the Final Decision.

USPAACC processes all certification applications under one standard. The appeals process includes procedural safeguards for fairness, notice, and opportunity for the applicant to provide an explanation and documentation as proof of the three-prong test. USPAACC's Certification Appeals Board will review the appeal; if it is unsuccessful, it will be denied.

There are two committees in this process: a Certification Committee made up of five (5) members: the chair, a USPAACC board member, a corporate member, an attorney, and a small business owner. The Certification Appeals Board is comprised of three (3) members. A simple majority of the committee members is required to review an application or appeal and render a decision.

The Committee will use USPAACC standards and procedures to guide their decision. All Committee members must sign a non-disclosure statement before reviewing files. USPAACC National Office in Washington, D.C. will maintain a signed copy.

### **Appeals must be addressed to:**

**US Pan Asian American Chamber of Commerce Educational Foundation  
Certification Appeals Board  
1329 18<sup>th</sup> Street NW  
Washington, D.C. 20036**

USPAACC will contact the applicant to schedule an appeal date meeting if necessary. During the meeting, the USPAACC Certification Appeals Board will consider all information provided during the initial certification application process and any relevant or requested additional information or documents provided by the applicant on appeal. **Changes in business ownership and control after the applicant's request for certification shall not be considered evidence during the appeal process.** Within thirty (30) days of the appeal request meeting, the USPAACC Certification Appeals Board will convene, review the file, and make a decision. The original certification determination remains in effect pending any appeal.

The applicant will be informed of the decision and a summary of the appeal decision in writing within seven (7) days. **The decision of the USPAACC Certification Appeals Board is final.** If the Board's decision results in a denial, then the applicant may re-apply for certification six (6) months from the date of the original denial letter.

## **Frequently Asked Questions**

### **Who can apply for the USPAACC Membership?**

USPAACC-certified membership is open to businesses at least 51% owned, controlled, and operated by Pan Asian Americans and other minorities.

### **If I am a legal permanent resident (LPR) can I also apply for the USPAACC Certification?**

Yes, USPAACC Certification is open to U.S. citizens and Asian immigrants who are Legal Permanent Residents (LPR). This inclusive process opens the doors to permanent residents who pay taxes, whose children have served in the U.S. military, and who contribute to the economy.

### **How much does the USPAACC membership cost?**

USPAACC Certified Membership costs between \$ 350 and \$900. The fee structure is tiered based on businesses' annual revenue. USPAACC Non-Certified Membership costs \$200 for businesses of all sizes.

### **Do I have to renew the membership every year? If so, how?**

USPAACC membership is annual. USPAACC will notify businesses about membership renewal one month before the expiration date.

### **How long does each membership process take?**

For the Certified Membership, it will generally take 2-3 months. Non-certified membership is effective soon after completing the membership form online and paying the annual fee.

### **How thorough is the certified membership process?**

The certification process generally takes 2-3 months. It consists of two main parts: a document review, and a site visit. The USPAACC Certification Committee will thoroughly review and verify submitted documents according to USPAACC's established criteria. Upon completion of the document review, a site visit will be conducted. The process will be shortened if documents are correctly prepared.

### **Why should I get my business certified by USPAACC?**

USPAACC strongly encourages Pan Asian American and other minority-owned businesses to apply for certification as a Pan Asian American/Minority-Owned Business. This could increase business opportunities with Fortune corporations, government agencies and large nonprofit organizations, as subcontractors when a contract and opportunity require knowledge, skills, and experiences that would meet the needs of the corporation or government agencies or large nonprofit organizations. USPAACC certification enables such businesses to be easily identified among thousands of minority-own businesses.

### **What is the most substantial benefit of being USPAACC-certified?**

USPAACC is a vital link to Fortune corporations, U.S. government, and large nonprofits buyers for Pan Asian American and/or other small and minority-owned businesses. With decades of strong relationships, USPAACC has a proven track record in making successful matches among members.

### **Can the certification process be expedited?**

Yes, USPAACC offers an expedited application process that enables the application to be processed within 3-4 weeks for an expedited fee of \$600 - \$1,200, depending on the business's annual revenue.

For more information, visit [www.uspaacc.com](http://www.uspaacc.com) or email [sme@uspaacc.com](mailto:sme@uspaacc.com).

# **ATTACHMENT 3**

☐ **Proof of qualifying owner(s) U.S. citizenship or legal, permanent U.S. resident alien status**

Acceptable forms include:

- copy of certified birth certificate from applicable county, state or federal registrar; or,
- copy of U.S. passport; or
- copy of voter's registration card; or,
- copy of U.S. military record (Form DD214); or,
- copy of front and back of INS permanent resident visa card; or,
- INS certificate of naturalization; or,
- INS certificate of U.S. citizenship

☐ **Business license**☐ **Cancelled check/payment receipt for lease, rental or purchase of business site for residence, mortgage/tax invoice**☐ **Copy of full lease/rental agreement for main business site or copy of deed and/or purchase loan agreement reflecting ownership of property(s)**

If working from home, state so in a letter and give copy of mortgage or property tax bill.

☐ **Evidence of personal capital contributions**

e.g. cancelled checks - or an explanation and substantiating evidence of other consideration given to acquire ownership interest in the business (initial investment of each owner).

☐ **Business bank account information: copy of bank account signature card, or letter from your bank verifying person(s) authorized to sign checks and the number of signatures required**☐ **Brochure/Portfolio describing company's products or services**☐ **Business References: On a separate page, list two clients AND two suppliers with whom you have done business in the past twelve months. Include name of client/supplier, contact person, address, phone number, and nature of relationship to applicant firm.**☐ **Copies of business card from all owners**

☐ **Detailed resume AND work history of all principals and key employees**

Document must summarize education, training, and employment history, with dates, duties, and responsibilities including day-to-day duties for the applicant firm.

☐ **Articles of Incorporation**

Include documents issued by the Secretary of State.

☐ **By-Laws and any amendments thereto**

Pertaining, but not limited to, the following: stock options, stockholder agreements, stockholder voting rights, ownership of voting securities, facts pertaining to values of shares and restrictions on disposal of stock loan agreements.

☐ **Copy of any stock transfer ledgers/stock ledgers**☐ **Front and back copies of all current stock certificates**☐ **Record of first organizational meeting AND subsequent minutes which record any change in ownership and/or control of the corporation**

## Required Documents

**Required documents must be provided when applicable to your firm. Failure to submit a required document without an explanation as to why any such attachment was not provided will result in a delay in processing and/or could result in denial.**

☐ **Proof of qualifying owner(s)' disability status**

Provide at least one of the following documents:

- Documentation from a licensed, registered, or state or private certified vocational rehabilitation specialist affirming that the applicant/person is a person with a disability;
- Documentation from a federal or state agency (including the District of Columbia or a U.S. territory) that issues or provides disability benefits confirming the owner has a disability;
- Documentation from a licensed medical professional (e.g., a physician or other medical professional duly certified to practice medicine by a state, the District of Columbia, or a U.S. Territory) confirming the owner has a disability;
- An Individualized Education Program (IEP) for an owner who has a learning disability;
- A letter/written signed statement from a leader of the Disability Chamber of



Commerce or an affiliate chamber confirming to the disability status of the owner;

- Three letters of reference from personal contacts who: (a) have known the owner for over one year and (b) can attest, in a signed statement, to the owner's disability status;
- A letter/written signed statement by a leader or board member from a disability advocacy organization attesting to the owner's disability status;
- Proof of media coverage, including publications, newspapers, or articles, explicitly stating the disability status of the owner;
- A letter/written signed statement from a physician or attorney establishing the disability status of the owner;
- Certificates, awards, recognition of the owner as outstanding members of the disability community; or;
- Documentation of participation in a program by owner that provides benefits based on disability.

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☐ **Proof of qualifying owner(s)' ethnicity/minority status**

REQUIRED FOR MBE APPLICANTS: For applicants other than Native Americans, furnish:

- copy of certified birth certificate from applicable county, state or federal registrar; or,
- one declaration from recognized minority community organizations; or,
- copy of parents' or grandparents' birth certificates.

For Native American applicants, furnish:

- copy of tribal enrollment card; or,
- letter of Tribal Chairman; or,
- letter from BIA if reservation is terminated

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☐ **Proof of qualifying owner(s)' gender**

REQUIRED FOR WBE APPLICANTS: Acceptable forms include:

- copy of certified birth certificate from applicable county, state or federal registrar; or,
- copy of U.S. driver's license; or,
- copy of U.S. passport

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☐ **Proof of qualifying owner(s)' LGBT status**

Provide at least one of the following documents:

Copy of valid municipal or state license / certificate of marriage / civil union or

- Copy of valid, municipal or state license/certificate of marriage, civil union, or domestic partnership;
- Proof of domestic partnership health insurance utilization;
- Copy of petition for same-sex partner hospital visitation rights;
- Evidence of completed or attempted parenting or family building efforts with same-sex partners including surrogacy, adoption, or in-vitro fertilization procedures;
- Joint living arrangement paperwork naming same-sex partner and reference to same-sex partner status must be made in the document. (e.g. property, deeds/titles, lease or rental agreement, insurance [auto, health, home, etc], phone/utility bills, wills, retirement plans, loans, lines of credit, investment holdings, etc);
- One letter from the NGLCC affiliate chamber leader attesting to LGBT status of each business owner;
- Three letters of reference from personal contacts on their company letterhead or stationary who: a) have known owner for over one year, and b) can vouch/attest to LGBT status;
- One letter from a recognized LGBT organization attesting to LGBT status and signed by the organization leader or board member;
- Physician carry letter evidencing gender reassignment or related medical procedures [For Transgender Applicants];
- Proof of media coverage, including publications, newspapers, or articles, explicitly stating LGBT status of owner(s);
- Physician or attorney letter establishing LGBT status of owner(s);
- Certificates, awards, recognition of owners as outstanding members of LGBT community; and/or
- Legal petition for name/gender change [For Transgender Applicants]

☐**Fictitious business name statement**

Document is required for firms that utilize a DBA

☐**Copy of most recently filed Statement of Domestic Stock Corporation/Statement of Information**☐**Copy of Statement of Foreign Corporation Designation**

If not a California corporation - if one has been filed.

☐**Most recent annual report**

If available.

# **ATTACHMENT 4**

**From:** Justin Talbot-Stern <[jts@b2gnow.com](mailto:jts@b2gnow.com)>

**Sent:** Tuesday, December 19, 2023 3:53 PM

**To:** Green, Stephanie <[stephanie.green@cpuc.ca.gov](mailto:stephanie.green@cpuc.ca.gov)>; ed Salcedo <[esalcedo@gcapservices.com](mailto:esalcedo@gcapservices.com)>

**Subject:** [EXTERNAL] Re: SCH questions

**Importance:** High

**CAUTION:** This email originated from outside of the organization. Do not click links or open attachments unless you recognize the sender and know the content is safe.

Stephanie,

Excluding CAV applications, the numbers for the year ending 10/31/2023 are:

**What is the rate of denial (%) of firms applying to SCH for certification as new firms?**

13.8% (includes VAP and FTP applications)

- as noted by Jasmin last week, many denials are due to applicant unresponsiveness ("ghosting")

**What is the rate of denial (%) of firms applying to SCH for certification as renewing firms?**

1.9%

**What is SCH overall denial rate?**

6.8%

The overall number is a healthy, goldilocks denial rate -- not too high, not too low. It's appropriate for the type of program that Clearinghouse is based on GO 156. Programs with substantially lower denials rates (below 3%) would be a cause for concern. Programs with higher denial rates (over 10%) would likely not be similar to Clearinghouse / GO 156.

Lastly, the numbers above are based on over 2000 applicants during the period. That's a sufficiently large pool to minimize statistical quirks.

Regards,

Justin