

# 8(a) Annual Review Document Checklist

---

This document lists the supporting documentation that must be included with your Annual Review. You will be prompted in Certify to upload documents individually with the relevant question within each section of the questionnaire (ex. Eligibility, Control, etc.).

When collecting your documents, note each should be saved according to the following guidelines to ensure successful upload in Certify. Each document must be saved individually as a **PDF, no larger than 25MB**, and named with the naming convention: **FileName Year** (e.g. TaxReturn\_2015).

Documents must **not be password protected**.

**NOTE: If this is your firm's first time completing the Annual Review in Certify and you did not complete your Initial Application in Certify (prior to November 2017), you will be required to include additional documentation for your first Annual Review in Certify. This checklist includes the additional documentation, denoted by a double-asterisk (\*\*), where relevant in the application.**

## **For Firms**

### **Eligibility:**

- ❑ **Details and/or supporting documentation if there have been changes to the following in the past *program* year:**
  - Firm ownership
  - Management (*including change in one or more individuals holding the position of officer, director or day-to-day manager of the Participant as well as DVD's full-time devotion to the Participant firm*)
  - Business structure
  - Primary NAICS code designation (*SBA must approve any change to primary NAICS code*)
  - Articles of Incorporation
  - Partnership Agreement
  - Bylaws
  - Operating Agreement
  - Stock issues
  - Other things have changed
  
- ❑ **Details and/or supporting documentation if there has been conduct by your firm or any of its principals showing lack of business integrity or good character resulting in any of the following: an arrest, criminal indictment, a guilty plea or criminal conviction, a judgment or settlement in a civil lawsuit, or other consequences from lack of business integrity or good character (if the Participant firm is a defendant in a pending civil lawsuit).**
  - ***Note: only provide firm's information such as details regarding any debarment or suspension, including documentation showing the debarment has been lifted; document describing firm's interest in any pending lawsuit, the claims, the current status, and a copy of the complaint, answer, and/or counterclaim filed in the suit. The principals will have the opportunity to***

## 8(a) Annual Review Document Checklist

---

provide their information as part of the Individual Contributor application (documents listed below).

- ❑ **Details and/or supporting documentation if there are or have been any pending adverse actions that may affect your firm's business operations not previously reported to SBA, such as** lawsuits, delinquent taxes, bankruptcy filings, creditor problems, contract disputes, or other adverse actions.
  - **\*\* All delinquent tax returns and delinquent SBA loans** if the Participant firm has any outstanding delinquent Federal, state, or local financial obligations or liens filed against it; and details and a copy of the bankruptcy court's final order or discharge if the Participant firm filed for bankruptcy or insolvency within the past 7 years. (if this is the firm's first time completing an Annual Review in certify.SBA.gov)
  
- ❑ **[SBA Form Benefit Report](#)** (if your firm is entity-owned)
  
- ❑ **Federal business tax returns** for the previous year, including all forms, schedules, and attachments.
  - **\*\* The previous three (3) years of federal business tax returns** (if this is the firm's first time completing an Annual Review in certify.SBA.gov)
  
- ❑ **Year-end Balance Sheet and Profit & Loss (Income) Statement** with a breakout of 8(a) and non-8(a) revenue
  - Firms with over \$10 million in revenue must submit audited annual financial statements prepared by a licensed CPA within 120 days of the end of the firm's *fiscal year*.
  - Firms with \$2-10 million in revenue may submit annual financial statements prepared and signed by a licensed CPA within 90 days of the end of the firm's *fiscal year*.
  - Firms with less than \$2 million in revenue may submit an in-house annual statement signed and dated by a CPA or an authorized officer, partner, limited liability member, or sole proprietor of the firm within 90 days of the end of the firm's *fiscal year*.
  - Entity-owned firms must submit either:
    - The latest *fiscal year*-end balance sheet and income statements showing a breakout of 8(a) and non-8(a) revenue for your firm, or
    - Consolidated financial statements prepared by the parent entity that include schedules for your firm.
  - **ALL FIRMS: \*\* The previous three (3) years of Balance Sheets and Profit & Loss Statements** (if this is the firm's first time completing an Annual Review in certify.SBA.gov)

# 8(a) Annual Review Document Checklist

---

## Ownership:

- Details of all salaries, bonuses, advances, loans, distributions, or dividends paid in the past *fiscal* year to your firm's owners, officers, directors, and other firms or individuals, including explanation of any payments that were not salaries. Include each person's name, title, equity interest, salary, and total payments.
- Promissory notes or letters describing any loans made to the firm's owners, officers, directors, shareholders owning more than 10% of the firm's stock, and other firms or individual.

## Control:

- [SBA Form 1790](#) (if your firm hired outside support to help you obtain any federal government contract - upload one form for the first 6 months and one for the last 6 months of the last *program* year)
- Statement on company letterhead signed by the DVD if he/she is not the highest paid employee. Note: Only required on company letter head the first time this is provided; subsequent Annual Reviews only require a narrative.
- Current list of known affiliates or sister subsidiaries (if the firm has added or removed affiliates or the firm's sister subsidiaries have changed in the previous *fiscal* year)

## Business Development:

- [Mentor/Protégé Worksheet](#) for each 8(a) mentor (if the firm is in the 8(a) Mentor-Protégé program)
- [SBA 8\(a\) Business Plan](#)
- Marketing Capability Statement
- 8(a) Joint Ventures (JV) including JV name, JV DUNS, and JV partner names (if your firm has active 8(a) JV)
- [8\(a\) Contracts Worksheet](#) (if your firm has performed work on any 8(a) contracts during the past *program* year)

## Individual Contributors

Add all current contributors to your annual review submission. Individual contributors include:

- Disadvantaged individual(s) (i.e. DVD)
- Spouse(s) of DVDs
  - If spouse is claiming DVD, spouse should be noted as a DVD – they will fill out the DVD questionnaire, not the spouse questionnaire.

## 8(a) Annual Review Document Checklist

---

- If spouse is not claiming DVD but is an officer, director or 10% owner or more, please make sure to answer the question "Do you own 10% or more of the Applicant Firm or act as a director, management member, partner, or officer?" correctly for the system to generate additional questions for the spouse to complete.
- 10% or more owners
- Directors, management members, managing partners, and officers

### All Individuals:

- Prepare a **blank PDF document** to be uploaded where needed. For some questions in Certify, you will be required to provide your answer and/or upload a document to proceed. Where noted for the questions below, upload the blank PDF.
- If you own or work for another firm that has a relationship with the applicant firm - *provide your answer and upload a blank PDF.*
- If you have prior 8(a) involvement - *provide your answer and upload a blank PDF.*
- If immediate family member(s) have ever owned an 8(a) firm - *provide your answer and upload a blank PDF.*
- If the individual or any member of the individuals' household is a Federal Government employee holding position of GS-13 or above - *provide your answer and upload a blank PDF.*
- Explanation and copy of the bankruptcy court's final order or discharge** (if the individual filed bankruptcy within the previous 7 years)
- SBA loan details including name of borrower, date approved (or estimated date), and current status of the loan** (if the individual has previously obtained an SBA loan)
- Pending lawsuit details including interest in the suit, summary of the claims, and current status of the suit** (if the individual is a party to a pending civil lawsuit)
- Debt Obligation details, including the following details for each debt obligation: Explanation, type, and status of each delinquency.** Details of the repayment arrangement, compliance with repayment arrangements, and deferred payment status for student loans (if the individual is delinquent in paying or filing Federal taxes or Federally guaranteed obligations including Federal student loans, business taxes or liens, or personal Federal, State, or local tax returns)
- Narrative for each criminal offense including the date, location, fine, sentence, whether offense was a misdemeanor or felony, dates of parole or probation, any unpaid fines or penalties, name you were charged under, copies of all relevant court dispositions or documents and Fingerprint card [form FD-258](#)** (if you are

## 8(a) Annual Review Document Checklist

---

presently subject to an indictment, criminal information, arraignment, or other means by which formal criminal charges are brought in any jurisdiction, and/or have been arrested in the past six months for any criminal offense, and/or for any criminal offense - other than a minor vehicle violation -you ever been convicted, plead guilty, plead nolo contendere, have been placed on pretrial diversion, or have been placed on any form of parole or probation (including probation before judgment).

- *Note: Fingerprint card form FD-258 must be mailed via UPS or other tracked mail; this form should not be uploaded into Certify.*

### **Additional Documents for Disadvantaged Individual(s) (DVD):**

- If legally separated from spouse - *provide your answer and upload a blank PDF.*
- Evidence of US Citizenship - *provide your answer and upload a blank PDF.*
- External Job Details, including your title, primary role and responsibilities, average number of hours worked per week, normal weekly work schedule, explanation of how it does not conflict with the day-to-day management of the applicant firm (if you have another job)**
- Personal Federal tax return for the previous year (including all accompanying W2 forms, schedules, forms, statements, and 1099s)**
  - **\*\* The previous three (3) years of personal federal tax returns (if this is the firm's first time completing an Annual Review in certify.SBA.gov)**
- \*\* Documentation that includes terms and restrictions of retirement accounts, such as traditional IRA, 401K, Roth IRA, Self Employed Pension Plan, Thrift Savings Plan, etc. Note: The most recent account statement from you IRA provider will suffice in most cases. SBA will not include the funds in calculating your net worth if documentation provided indicates that the funds are not available until retirement age without a significant penalty.**
- Resume - *upload a blank PDF.*
- Birth certificate or tribal card - *upload a blank PDF.*
- Social disadvantage narrative - *upload a blank PDF.*

### **Additional Documents for Spouse of DVD:**

- Personal Federal tax return for the previous year (including all accompanying W2 forms, schedules, forms, statements, and 1099s)**
  - **\*\* The previous three (3) years of personal federal tax returns (if this is the firm's first time completing an Annual Review in certify.SBA.gov)**

### **10% Owners (former majority owner of applicant firm):**

- If the individual is a former majority owner (51% or more) of the applicant firm - *provide your answer and upload a blank PDF.*