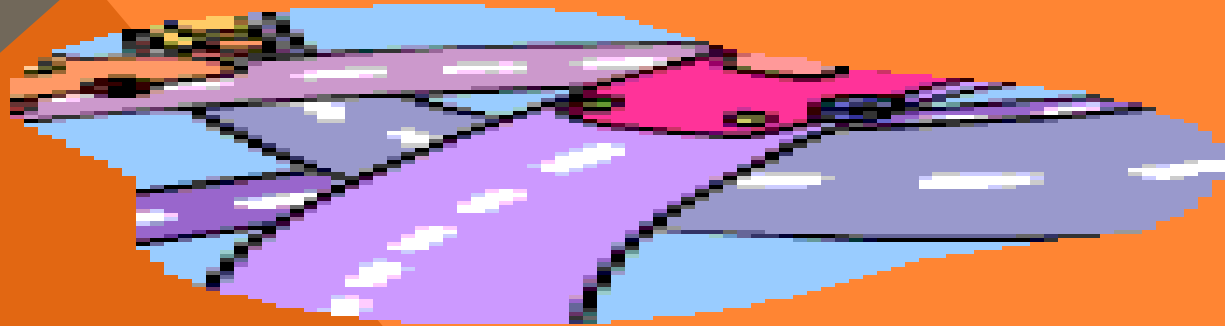




LOUISIANA DEPARTMENT OF
TRANSPORTATION & DEVELOPMENT





**RHONDA WALLACE-DBE/SBE
PROGRAM MANAGER**

DISADVANTAGED BUSINESS ENTERPRISE PROGRAM (DBE)

SMALL BUSINESS ENTERPRISE PROGRAM (SBE)



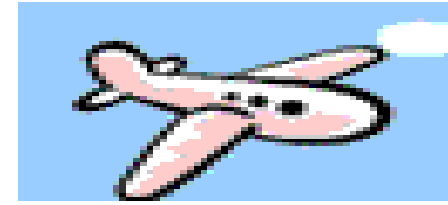
LOUISIANA UNIFIED CERTIFICATION PROGRAM (LAUCP)



U.S. DOT RECIPIENTS INCLUDED:

FEDERAL HIGHWAY ADMINISTRATION (FHWA)
FEDERAL AVIATION ADMINISTRATION (FAA)
FEDERAL TRANSIT ADMINISTRATION (FTA)

CERTIFYING AGENCIES IN LOUISIANA



- Louisiana Department of Transportation & Development
- Louis Armstrong New Orleans International Airport
- New Orleans Regional Transit Authority
- New Orleans - Louisiana Department of Transportation & Development

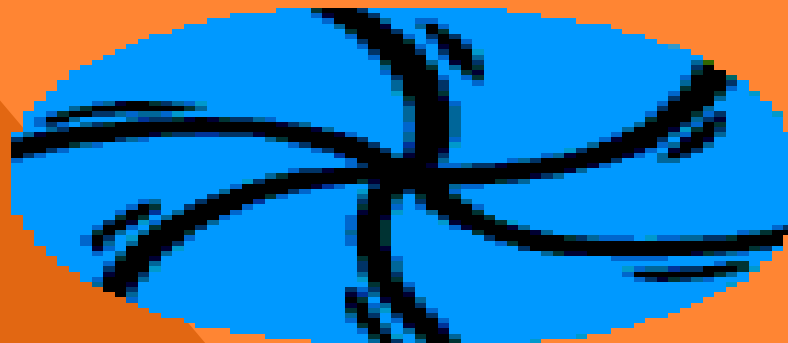


LA UCP REGIONS



Region 1 – Can Certify Statewide
LADOTD

Region 2 – Can Certify in the New Orleans Area
Louis Armstrong N.O. Int'l Airport
New Orleans Regional Transit Auth.
New Orleans - LADOTD



LA UCP

The Baton Rouge Airport has signed an agreement with LADOTD giving responsibility for DBE Certification to LADOTD.



Because of this, only firms that are certified with the LA UCP can be counted towards DBE goals for the airport projects.

MINIMUM QUALIFICATIONS FOR DBE

SOCIAL DISADVANTAGE

PRESUMPTIVE GROUPS INCLUDE:

- Black Americans
- Hispanic Americans
- Native Americans
- Asian Pacific Americans
- Subcontinent Asian Americans
- Women

MINIMUM QUALIFICATIONS – CONT.

ECONOMIC DISADVANTAGE

PERSONAL NET WORTH

- Exclude equity in personal residence
- Exclude ownership interest in applicant firm
- Community Property
- Must not exceed \$1.32 million

MUST BE AT LEAST 51% OWNED AND CONTROLLED BY SOCIALLY AND ECONOMICALLY DISADVANTAGED INDIVIDUALS

BUSINESS SIZE STANDARD

Firms must also meet the business size standard as outlined in 49CFR26.

- Small business as defined by Small Business Administration (SBA) standards
- NAICS code table
- Average annual gross receipts (including affiliates) over previous 3 years
- 49CFR26 states even if a firm meets the SBA standards, if it exceeds \$23.98 million it is not an eligible DBE.

HOW TO BECOME CERTIFIED

- ❖ Download from our Website:

www.dotd.la.gov

“BUSINESS Working With DOTD”
“DBE”



- ❖ Unified Certification Program Website:

<http://www8.dotd.la.gov/ucp/>



Contact our office to have one emailed:
(225) 379-1382

WHAT TO DOWNLOAD

UCP FORMS

- ✓ Uniform Certification Application
- ✓ Mailing Instructions
- ✓ Personal Net Worth Form/Instructions

LA UCP Home
CERTIFYING AGENCIES
Region 1
Region 2
UCP Work Type List
UCP Directory Search
UCP Links
UCP Forms

UCP APPLICATION

SECTION 1: CERTIFICATION INFORMATION

BASIC CONTACT INFORMATION

- Legal Name of Firm
- Contact Person
- Address(es)
- Phone Numbers
- Emails

PRIOR/OTHER CERTIFICATIONS AND APPLICATIONS

- Is the firm currently certified in the DBE/ACDBE program? Name the certifying entity. Dates of on-site visits by home state.
- Has the firm ever been denied any certification? Withdrawn certification? Ever been debarred or suspended? Explain.

UCP APPLICATION

SECTION 2: GENERAL INFORMATION

BUSINESS PROFILE

- A Concise description of the firm's primary activities, products or services it provides
- List the NAICS codes for line of work you described
- When was the company first established? Date each person became an owner.
- How was the company acquired by the owners?
- Federal Tax ID #
- Number of employees
- Gross Receipts for the last 3 years. Affiliate(s) Gross Receipts.

UCP APPLICATION

SECTION 2: GENERAL INFORMATION (CONTINUED)

RELATIONSHIPS/DEALINGS WITH OTHER BUSINESSES

- Does the firm share office space, warehouse, equipment, employees, etc with any other businesses?
- Has another firm ever had ownership in this firm?
- Has the firm ever been a subsidiary of another firm?

Explain if the answer is YES.

UCP APPLICATION

SECTION 3: MAJORITY OWNER INFORMATION

MAJORITY OWNER HOLDING 51% OR MORE OWNERSHIP INTEREST

- Name and Personal Contact Information
- Gender and Ethnic Group
- Initial Investment to Acquire Ownership
- How was the Business Acquired
- Years Owned

UCP APPLICATION

SECTION 3: MAJORITY OWNER INFORMATION (CONTINUED)

ADDITIONAL OWNER INFORMATION

- Family Relationships With Other Owners or Employees
- Manage or Supervise Another Business
- Own or Work for any Other Business
- Personal Net Worth
- Any Family Members Work for Business Associated with this one

Same Owner Information is Provided on Any Owner that Owns Less Than 51%.

UCP APPLICATION

SECTION 4: CONTROL

OFFICERS AND BOARD OF DIRECTORS

- Name, Title, Ethnicity, Gender
- Management or Supervisory for any Other Business
- Own or Work for any Firm that has Relationship with this one.
- If Yes, list Business and Title/Duties

UCP APPLICATION

SECTION 4: CONTROL (CONTINUED)

DUTIES OF OWNERS, OFFICERS, DIRECTORS, MANAGERS AND KEY PERSONNEL

- Identify the personnel and the frequency they control the firm in the following areas:
 - Policy
 - Bidding and Estimating
 - Purchasing
 - Supervise Field Operations
 - Office Management
 - Hire and Fire
 - Financial
 - Sign Business Check

UCP APPLICATION

SECTION 4: CONTROL (CONTINUED)

INVENTORY

- Equipment and Vehicles: Make, Model, Value, Owned or Leased
- Office and Storage Space: Address, Owned or Leased, Value

FINANCIAL

- Banking Information
- Bonding Information
- Loans

UCP APPLICATION

SECTION 4: CONTROL (CONTINUED)

LICENSES

- Type of License, Name of License Holder, Expiration, Date

COMPLETED CONTRACTS/PROJECTS

- Name of Owner/Prime, Location, Work Performed, Dollar Value

ACTIVE PROJECTS

- Name of Owner/Prime, Location, Work Performed, Dollar Value, Completion

AFFIDAVIT OF CERTIFICATION

This form must be Signed and Notarized for **EACH** Owner that is claiming Disadvantaged Status.

PERSONAL NET WORTH STATEMENT

This form must be completed in its entirety, Signed and Notarized by **EACH** Owner that is claiming Disadvantaged Status to determine Economic Eligibility.

SUPPORTING DOCUMENT CHECKLIST

DOCUMENTS THAT MUST BE PROVIDED:

- Resumes on ALL Owners, Officers and Key Personnel
- Personal Tax Returns for ALL Owners for past three (3) years
- Business Tax Returns for past three (3) years
- Tax Returns on ANY Affiliated Business (common ownership)
- Documented Proof of Contributions (monetary, equipment, real estate etc) used to Acquire Ownership for Each Owner
- Articles of Incorporation, By-laws and/or Operating Agreement.
- Stock Certificates, Stock Ledger

SUPPORTING DOCUMENTS CHECKLIST

CONTINUED

- Loans
- Licenses (contractor, engineering, etc.)
- List of Equipment and Vehicles Owned
- Bank Signatory Card
- Truckers: Title and/or Registration and Insurance on Trucks Owned
- Suppliers: Proof of Inventory

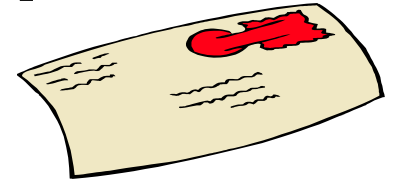
****An Application will not be Processed for Certification Without All Documentation****

CERTIFICATION PROCESS



- The whole process takes approximately 6 to 8 weeks.
NOTE: Sending in a complete application with all documents on the appropriate checklist could speed up this process
- We will send a written request for any information not provided with the application.
- Our office will conduct an on-site review of your firm.
- If possible, a project site visit will be conducted.
- Your application and a written report from the on-site will go to the Certification Review Team and they will determine eligibility and render a decision.

APPROVAL OR DENIAL OF CERTIFICATION

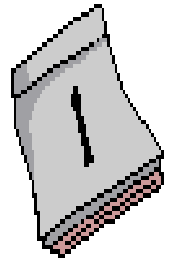


- If a firm is approved, you will be notified by letter that your certification has been approved and in what work items. The firm will then be added to the LA UCP DBE Directory.
- If a firm is denied certification, you will be notified by letter detailing the specific reasons for the denial. Appeal rights will be included in the letter. A firm that is denied certification can appeal that decision to the U.S. Department of Transportation within 90 days.
- If a firm is denied, they may not reapply for 12 months.

ANNUAL AFFIDAVITS

Once a firm is certified they must submit yearly, an Annual Affidavit attesting that there have been no changes in ownership, control or size that would effect the firm's eligibility.

Must submit a complete copy of the firm's current federal income tax returns at this time.



LAUCP DBE DIRECTORY

The DBE Directory can be found on LADOTD's Website:

www.dotd.la.gov



“BUSINESS Working With DOTD”

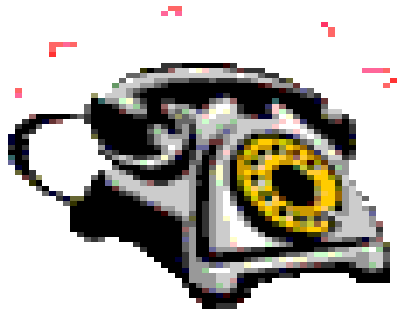


“(UCP) Unified Certification Program”

<http://www8.dotd.la.gov/ucp/>

“UCP Directory Search”

FOR ASSISTANCE IN OBTAINING DBE CERTIFICATION CONTACT



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