

**2020 Baton Rouge Metropolitan
Airport 15th Annual
“Business Opportunities
Workshop”
Thursday, October 15, 2020**



DOTD DISADVANTAGED BUSINESS ENTERPRISE (DBE)/SMALL BUSINESS ELEMENT (SBE) PROGRAMS

Paula Merrick Roddy

Director of Compliance Programs



The DBE/SBE Program



The DBE/SBE Program

- The Disadvantaged Business Enterprise (DBE) Program was created to remedy past and current discrimination against Minority and Women owned businesses. The intention is to level the playing field of socially and economically disadvantaged individuals wanting to do business with DOTD on Federally assisted projects.
- The Small Business Element (SBE) Program was created to level the playing field for economically disadvantaged individuals wanting to do business with DOTD on Federally assisted projects.
- In 1999, the U.S. Department of Transportation mandated that each state develop a Unified Certification Program
- In 2003, the Louisiana Unified Certification Program (LAUCP) was implemented and is now in full operation

The DBE/SBE Program

- U.S. DOT Recipients includes:
- Federal Highway Administration (FHWA)
- Federal Aviation Administration (FAA)
- Federal Transit Administration (FTA)
- There are Four (4) Certifying Agencies in Louisiana, Divided into 2 Regions
- **REGION 1 – CERTIFIES STATEWIDE**
 - Louisiana Department of Transportation & Development (Certify Statewide)
- **Region 2 – CERTIFIES IN THE NEW ORLEANS AREA ONLY**
 - Louis Armstrong New Orleans International Airport
 - New Orleans Regional Transit Authority
 - Louisiana Department of Transportation & Development – New Orleans Location
- The Louisiana Department of Transportation and Development has signed agreements with other DOT Recipients within the state to handle issues relative to DBE Certification. These recipients, are required to accept and be bound by this UCP Agreement.

The DBE/SBE Program

- Only firms that are certified with the LA UCP can be counted towards DBE goals for projects requiring DBE Participation.
- A DBE or SBE project goal is a percentage of the awarded contract amount that must be subcontracted by the Prime Contractor to certified DBE or SBE firms.
- All project goals are set by the DBE and SBE Goal Committee prior to advertisement. The project is examined to determine the location and scope of services. The DBE and SBE certified directories are used to assess the number of firms certified in the specific items listed in the scope of work.
- Small Business Element (SBE) goals are set on projects that are estimated to be between \$150,000 and \$500,000.

DBE CERTIFICATION

of public works



DBE CERTIFICATION

- A Disadvantaged Business Enterprise (DBE) is a for-profit small business concern that is at least 51 percent owned by one or more individual(s) who are both socially and economically disadvantaged. For example, in the case of a corporation, such individuals must own at least 51 percent of the each class of voting stock outstanding and 51 percent of the aggregate of all stock outstanding. Also, the management and daily business operations of a DBE business must be controlled by one or more of the socially and economically disadvantaged individuals who own it.
- Eligibility requirements for certification as a DBE are stated in 49 CFR, Part 26, Subpart D-Certification Standards. The following six requirements must be proved by a DBE applicant, but does not cover all the requirements found in 49 CFR, Part 26.

DBE CERTIFICATION

- **Social and Economic Disadvantage:** A disadvantaged owner must be a U.S. Citizen (or resident alien) and meet the Federal definition of socially and economically disadvantaged as defined in 49 CFR, Part 26.67. Presumptive groups include women, Black Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans, Subcontinent Asian-Americans, or other minorities found to be disadvantaged by the regulations, or any individual found to be socially and economically disadvantaged on a case-by-case basis.
- Rules to determine social and economic disadvantage also include extending the treatment of assets held by married couples to include domestic partnerships and civil unions that are legally recognized under state law. It also codifies guidance regarding the treatment of assets transferred to an immediate family member, or to a trust, a beneficiary of which is an immediate family member, for less than fair market value, within two years prior to the submission of an application for certification or within two years of a participant's annual program review.

DBE CERTIFICATION

- PERSONAL NET WORTH
- BUSINESS SIZE STANDARD
- OWNERSHIP
- INDEPENDENCE
- MANAGEMENT AND CONTROL

DBE WEBPAGE



DOTD DBE Certification

The Disadvantaged Business Enterprise (DBE) Program was created to remedy past and current discrimination against DBE firms. The intention is to level the playing field for socially and economically disadvantaged individuals wanting to do business with the DOTD on U.S. Department of Transportation federally assisted projects.

The Compliance Programs Section, Certification Unit, certifies businesses capable of performing services and/or products which can be credited toward DBE goals. The certification process ensures that only qualified small business firms that are independently owned and controlled by one or more socially and economically disadvantaged individuals are certified for this program. The first step in the certification process is to complete and submit a DBE application.

UNIFIED CERTIFICATION PROGRAM (UCP)

In order to comply with regulatory mandates, LADOTD has collectively joined with the Louis Armstrong New Orleans International Airport, and the New Orleans Regional Transit Authority to develop and implement uniform procedures for DBE certification. This program eliminates the necessity for DBE firms to complete multiple applications, as certification decisions are reciprocally accepted throughout the UCP membership in Louisiana. Any firm may apply with our department; however, the other 2 agencies listed above and the LADOTD New Orleans DBE Office are restricted by geographic location. Our department is recognized as the certifying agent for all airports and transit authorities located within the boundaries of Louisiana who have contracting opportunities in excess of \$250,000.00 annually. This authority excludes those entities mentioned in the previous paragraph.

For further information on the UCP, or to download a DBE application, please go to:

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

Small Business Technical Assistance Resources and Programs

DBE Unified Certification Webpage



THE STATE OF LOUISIANA'S
Unified Certification
PROGRAM

[LA UCP Home](#)
CERTIFYING AGENCIES
[Region 1](#) 
[Region 2](#) 
[UCP Work Type List](#)
[UCP Directory Search](#)
[UCP Links](#)
[UCP Forms](#)

LOUISIANA UNIFIED CERTIFICATION PROGRAM (LA UCP) for Disadvantaged Business Enterprises (DBE)

UCP/DBE Agreement
Provides information about what is the Unified Certification Program for Disadvantaged Business Enterprises and its purpose.

UCP Plan and Process
Describes how the Unified Certification Program works.

Certifying Agencies

Region 1



Department of Transportation and Development
DOTD Construction Letting Information

Region 2



Louis Armstrong New Orleans International Airport



New Orleans Regional Transit Authority



DOTD New Orleans DBE Office

UCP Application and Miscellaneous Forms
[UCP Work Item List](#)
[UCP Directory Search](#)
Find a Certified DBE Company by Company Name, Region, parish, type of service and/or type of work performed.

UCP Links and Other Useful Information

DBE Certification Guidelines

THE STATE OF LOUISIANA's
Unified Certification
PROGRAM

LOUISIANA'S on the MOVE
DOTD BUILDS the WAY

LA UCP Home

CERTIFYING AGENCIES

Region 1

Region 2

UCP Work Type List

UCP Directory Search

UCP Links

UCP Forms

LA UCP Downloads

The following documents are provided in Adobe PDF format. You will need to have the Adobe PDF Reader installed on your computer to view and print the documents below. If you do not have Adobe PDF Reader, please download and install it first.



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

DBE Certification Guidelines



OMB APPROVAL NO:
2105-0510
Expiration Date: 10/31/2021

Appendix F

UNIFORM CERTIFICATION APPLICATION
DISADVANTAGED BUSINESS ENTERPRISE (DBE) /
AIRPORT CONCESSION DISADVANTAGED BUSINESS ENTERPRISE (ACDBE)
49 C.F.R. Parts 23 and 26

Roadmap for Applicants

1. Should I apply?

You may be eligible to participate in the DBE/ACDBE program if:

- The firm is a for-profit business that performs or seeks to perform transportation related work (or a concession activity) for a recipient of Federal Transit Administration, Federal Highway Administration, or Federal Aviation Administration funds.
- The firm is at least 51% owned by a socially and economically disadvantaged individual(s) who also controls it.
- The firm's disadvantaged owners are U.S. citizens or lawfully admitted permanent residents of the U.S.
- The firm meets the Small Business Administration's size standard and does not exceed \$23.98 million in gross annual receipts for DBE (\$56.42 million for ACDBEs). (Other size standards apply for ACDBE that are banks/financial institutions, car rental companies, pay telephone firms, and automobile dealers.)

2. How do I apply?

First time applicants for DBE certification must complete and submit this certification application and related material to the certifying agency in your home state and participate in an on-site interview conducted by that agency. The attached document checklist can help you locate the items you need to submit to the agency with your completed application. If you fail to submit the required documents, your application may be delayed and/or denied. Firms already certified as a DBE do not have to complete this form, but may be asked by certifying agencies outside of your home state to provide a copy of your initial application form, supporting documents, and any other information you submitted to your home state to obtain certification or to any other state related to your certification.

3. Where can I send my application? [INSERT UCP PARTICIPATING MEMBER CONTACT INFORMATION]

DBE GOAL PROJECTS

- Goal calculation sheet
 - Work Items
 - # Available DBE's
 - Total DBE's
 - \$ Work Items
 - \$ Project Total
- Federal Highway Projects – DOTD only
- RTA and NOLA-MSY – Other types of projects
- Pre-Engineering and Consulting Contracts
- REALISTIC DBE GOAL PERCENTS

DBE Contract Administration



DBE Contract Administration

- Required to determine compliance with DBE contract specifications and federal regulations on all Federal Aid DBE goal projects. This includes monitoring the performance of contractors and subcontractors from pre-award to completion.
- Review and approve CS-6AAA Forms (DBE Goal Projects only)
- Assist low bidders, to submit forms electronically
- Monitor monthly payments to DBE's

DBE Contract Administration

- Perform commercially useful function reviews
- Resolve conflicts and complaints
- Evaluate completed projects for compliance with contract provisions, as well as department and projects goal requirements
- Approve all Request to Sublet documents (state and federal projects)
- Project Closeouts

DBE/SBE ACCOMPLISHMENTS & ASPIRATIONS

- Continuous outreach efforts and growth
- Strengthen procedures for tracking payments from Prime contractors to DBE sub-contractors
- Improve processes to ensure federally funded highway construction projects achieve DBE goals
- Attainment of DOTD DBE Department Goal

DBE GOALS

STATE	2020 GOAL
Alabama	8.61%
Arkansas	8.60%
Florida	10.65%
Georgia	10.00%
Kentucky	10.70%
Louisiana	15.00%
Mississippi	9.96%
Missouri	16.05%
South Carolina	13.20%
Tennessee	8.27%
Texas	14.40%
Southern Regional Average	11.40%

*Louisiana ranked 12 out of 53 states and territories

CONTACT INFORMATION

Paula Merrick Roddy

DOTD Compliance Programs Director

225-379-1382

Paula.Roddy@la.gov

Rhonda Wallace

DBE/SBE Program Manager

225-379-1382

Rhonda.Wallace@la.gov

CONTACT INFORMATION

<http://wwwsp.dotd.la.gov/Pages/default.aspx>

http://wwwsp.dotd.la.gov/Inside_LaDOTD/Divisions/Administration/Compliance/Pages/DBE_Certification.aspx

QUESTIONS

