

Certification Quick Start Guide -

Disadvantaged Business Enterprise (DBE)

In order to complete your application for DBE certification you will be required to attach the following documents. Gathering these documents now will help the certification process go faster and more smoothly.

Required Documents for ALL Applicants

- ☐ Resumes (that include places of employment with corresponding dates), for all owners, officers, and key personnel of the applicant firm
- ☐ Personal Net Worth Statement for each socially and economically disadvantaged owners comprising 51% or more of the ownership percentage of the applicant firm.
- ☐ Personal Federal tax returns for the past 3 years, if applicable, for each disadvantaged owner
- ☐ Federal tax returns (and requests for extensions) filed by the firm and its affiliates with related schedules, for the past 3 years.
- ☐ Documented proof of contributions used to acquire ownership for each owner (e.g., both sides of canceled checks)
- ☐ Signed loan and security agreements, and bonding forms
- ☐ List of equipment and/or vehicles owned and leased including VIN numbers, copy of titles, proof of ownership, insurance cards for each vehicle.
- ☐ Title(s), registration certificate(s), and U.S. DOT numbers for each truck owned or operated by your firm
- ☐ Licenses, license renewal forms, permits, and haul authority forms
- ☐ Descriptions of all real estate (including office/storage space, etc.) owned/leased by your firm and documented proof of ownership/signed leases
- ☐ Documented proof of any transfers of assets to/from your firm and/or to/from any of its owners over the past 2 years
- ☐ DBE/ACDBE and SBA 8(a), SDB, MBE/WBE certifications, denials, and/or decertifications, if applicable; and any U.S. DOT appeal decisions on these actions.
- ☐ Bank authorization and signatory cards
- ☐ Schedule of salaries (or other remuneration) paid to all officers, managers, owners, and/or directors of the firm
- ☐ List of all employees, job titles, and dates of employment.
- ☐ Proof of warehouse/storage facility ownership or lease arrangements

Suppliers

- ☐ List of product lines carried and list of distribution equipment owned and/or leased

Partnership or Joint Venture

- ☐ Original and any amended Partnership or Joint Venture Agreements

Corporation or LLC

- ☐ Official Articles of Incorporation (signed by the state official)
- ☐ Both sides of all corporate stock certificates and your firm's stock transfer ledger
- ☐ Shareholders' Agreement(s)
- ☐ Minutes of all stockholders and board of directors meetings
- ☐ Corporate by-laws and any amendments
- ☐ Corporate bank resolution and bank signature cards
- ☐ Official Certificate of Formation and Operating Agreement with any amendments (for LLCs)

Possible Requested Documents

The UCP to which you are applying may require the submission of the following documents. If requested to provide these document, you must supply them with your application or at the on-site visit.

- ☐ Proof of citizenship
- ☐ Insurance agreements for each truck owned or operated by your firm
- ☐ Audited financial statements (if available)
- ☐ Personal Federal Tax returns for the past 3 years, if applicable, for other disadvantaged owners of the firm.
- ☐ Trust agreements held by any owner claiming disadvantaged status
- ☐ Year-end balance sheets and income statements for the past 3 years (or life of firm, if less than three years)

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Applicant must meet ALL Requirements

- 1 Within the Personal Net Worth (PNW) Limitations? [\$2.047 Million]
- 2 Within Business Size Standards? [Up to \$30.72 Million]
- 3 Socially & Economically Disadvantaged?
- 4 Meet the 51% Ownership Requirement?
- 5 Meet the 51% Operational Control Requirement?
- 6 Individual Social & Economical Disadvantage.

See corresponding numbers at bottom of page for explanation.

Submit application for DBE Certification

Yes

No

NOT QUALIFIED FOR THIS PROGRAM

APPLICATION RECEIVED

File Analyst reviews application for completeness

All Required Documents included

Applicant contacted and onsite visit is scheduled

Yes

No

LETTER REQUESTING ADDITIONAL DOCUMENTS SENT; DUE WITHIN 35 DAYS

Additional documents submitted

No

APPLICATION DENIED FOR NON COOPERATION

File analyst conducts assessment of application, site visit report, supporting documents to determine ownership & control by disadvantaged owner(s) Licence(s) verified; NAICS codes/Work code assessed, prepares recommendation to management for final determination.

Yes

Application approved – NAICS codes assigned; approval letter sent; placed on DBE database

No

APPLICATION DENIED – DENIED APPLICANTS GRANTED APPEAL RIGHTS WITH US DOT

Processed 90 days from receipt of all pertinent documents (May be extended up to 60 days)

1 Personal Net Worth:

If an individual demonstrates that he/she is able to accumulate substantial wealth, the individual's claim of economic disadvantage may be denied, even though the individual's PNW is less than \$2.047million.

2 Business Size Standards:

Set by the US Small Business Administration (SBA). Size standards are a three year average annual receipts.

Visit 13 CFR §121.201 or <http://sba.gov/size> for more Information.

3 Social & Economical Disadvantaged Groups:

1. Hispanic
2. Black
3. Subcontinent Asian
4. Native American
5. Asian Pacific
6. Female

6 Individual Determination of Social & Economic Disadvantage:

Disadvantage Individuals who do not fall within six presumptive groups are encouraged to visit Appendix E to Part 26 for SBA regulations concerning social & economic disadvantage determinations. 13 CFR 124.103(c) & 124.104.