



COMMONWEALTH OF VIRGINIA

Unified Certification Program Disadvantaged Business Enterprise Program 49 C.F.R. Part 26

Uniform Certification Application

ROADMAP FOR APPLICANTS

(1) Should I apply?

- Is your firm at least 51%-owned by a socially and economically disadvantaged individual(s) who also controls the firm?
- Is the disadvantaged owner a U.S. citizen or lawfully admitted permanent resident of the U.S.?
- Is your firm a small business that meets the Small Business Administration's (SBA's) size standard and does not exceed \$20.41 million in gross annual receipts?
- Is your firm organized as a for-profit business?
 - If you answered "Yes" to all of the questions above, you may be eligible to participate in the U.S. DOT DBE program.

(2) Is there an easier way to apply?

If you are currently certified by the SBA as an 8(a) and/or SDB firm, you may be eligible for a streamlined certification application process. Under this process, the certifying agency to which you are applying will accept your current SBA application package in lieu of requiring you to fill out and submit this form.

NOTE:

You must still meet the requirements for the DBE program, including undergoing an on-site review.

(3) Be sure to attach all of the required documents listed in the Documents Check List at the end of this form with your completed application.

(4) Where can I find more information?

- U.S. DOT - <http://osdbuweb.dot.gov/business/dbe/index.html> (this site provides useful links to the rules and regulations governing the DBE program, questions and answers, and other pertinent information)
- SBA - <http://www.ntis.gov/naics> (provides a listing of NAICS codes) and <http://www.sba.gov/size/indextableofsize.html> (provides a listing of NAICS codes)
- 49 CFR Part 26 (the rules and regulations governing the DBE program)

Under Sec. 26.107 of CFR Part 26, dated February 2, 1999, if at any time, the Department or a recipient has reason to believe that any person or firm has willfully and knowingly provided incorrect information or made false statements, the Department may initiate suspension or debarment proceedings against the person or firm under 49 CFR Part 29, Governmentwide Debarment and Suspension (nonprocurement) and Governmentwide Requirements for Drug-free Workplace (grants), take enforcement action under 49 CFR Part 31, Program Fraud and Civil Remedies, and/or refer the matter to the Department of Justice for criminal prosecution under U.S.C.1001, which prohibits false statements in Federal programs.



COMMONWEALTH OF VIRGINIA
Unified Certification Program
Disadvantaged Business Enterprise Program
49 C.F.R. Part 26

Uniform Certification Application

Section 1: CERTIFICATION INFORMATION

A. Prior / Other Certifications

Is your firm currently certified for any of the following programs? <i>(If Yes, check appropriate box(es))</i>	<input type="checkbox"/> DBE	Name of certifying agency:
		Has your firm's state UCP conducted an Onsite Visit? <input type="checkbox"/> Yes, on: <i>(date)</i> State: <input type="checkbox"/> No

B. Prior / Other applications and Privileges

Has your firm (under any name) or any of its owners, Board of Directors, officers or management personnel, ever withdrawn an application for any of the programs listed above, or ever been denied certification, decertified, or debarred or suspended or otherwise had bidding privileges denied or restricted by any state or local agency, or Federal entity? <input type="checkbox"/> Yes, on <i>(date)</i> <input type="checkbox"/> No If Yes, identify State and name of state, local or Federal agency, and explain the nature of the action:

Section 2: GENERAL INFORMATION

A. Contact Information

1) Contact Person:	Title:	2) Legal Name of Firm:
3) Phone:	4) Other Phone:	5) Fax:
6) Email:	7) Website:	
8) Street Address of Firm <i>(No P.O. Box)</i> :		County or Parish:
9) Mailing Address of Firm <i>(if different)</i> :		County or Parish:

B. Business profile

1) Describe the primary activities of your firm:	2) Federal Tax I.D.(if any):
3) This firm was established on: <i>(date)</i>	4) I/We have owned this firm since: <i>(date)</i>
5) Method of Acquisition <i>(check all that apply)</i> : <input type="checkbox"/> Started new business <input type="checkbox"/> Bought existing business <input type="checkbox"/> Inherited business <input type="checkbox"/> Secured concession <input type="checkbox"/> Merger or consolidation <input type="checkbox"/> Other: explain:	
6) Is your firm "for profit"? <input type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> STOP! If your firm is NOT for-profit, then you do NOT qualify for this program and do NOT need to fill out this application.

Virginia Unified Certification Program

7) Type of firm (check all that apply):

Sole Proprietorship
 Partnership
 Corporation
 Limited Liability Partnership
 Limited Liability Corporation
 Joint Venture
 Other, describe:

8) Has your firm ever existed under different ownership, a different type of ownership, or a different name?
 Yes No
 If Yes, explain:

9) Number of employees: Full-time: Part-time: TOTAL:

10) Specify the gross receipts of the firm for the last 3 years:

Year:	Total Receipts: \$
Year:	Total Receipts: \$
Year:	Total Receipts: \$

C. Relationships with Other Businesses

1) Is your firm co-located at any of its business locations, or does it share a telephone number, P.O. Box, office space, yard, warehouse, facilities, equipment, or office staff, with any other business organization or entity? Yes No

If Yes, identify: Other Firm's name:
 Explain nature of shared facilities:

2) At present, or at any time in the past, has your firm:	a) been a subsidiary of any other firm?	<input type="checkbox"/> Yes <input type="checkbox"/> No
	b) consisted of a partnership in which one or more of the partners are other firms?	<input type="checkbox"/> Yes <input type="checkbox"/> No
	c) owned any percentage of any other firm?	<input type="checkbox"/> Yes <input type="checkbox"/> No
	d) had any subsidiaries?	<input type="checkbox"/> Yes <input type="checkbox"/> No

3) Has any other firm had an ownership interest in your firm at present or at any time in the past? Yes No

4) If you answered "Yes" to any of the questions in (2) a) – d) and/or (3), identify the following for each (*attach extra sheets if needed*)

Name:	Address:	Type of Business:
1.		
2.		
3.		

D. Immediate Family Member Businesses

Do any of you or your immediate family members own or manage another company? Yes No

If Yes, then list (*attach extra sheets if needed*):

<u>Name</u>	<u>Relationship</u>	<u>Company</u>	<u>Type of Business</u>	<u>Own or Manage?</u>
1.				
2.				

Section 3: OWNERSHIP

Identify all individuals or holding companies with any ownership interest in your firm, providing the information requested below. (If more than one owner, attach separate sheets for each additional owner.)

A. Background Information

1) Name:	2) Title:	3) Home Phone #:
4) Home Address: <i>Street & #:</i> _____, <i>City:</i> _____, <i>State:</i> _____ <i>Zip:</i> _____		
5) Gender: <input type="checkbox"/> Male <input type="checkbox"/> Female	6) Ethnic group membership (<i>check all that apply</i>)	
7) U.S. Citizen: <input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Black <input type="checkbox"/> Hispanic <input type="checkbox"/> Native American <input type="checkbox"/> Asian Pacific <input type="checkbox"/> Subcontinent Asian <input type="checkbox"/> Other (<i>specify</i>)	
8) Lawfully Admitted Permanent Resident: <input type="checkbox"/> Yes <input type="checkbox"/> No		

B. Ownership Interest

1) Number of years as owner:	2) Initial investment to acquire ownership in firm:	<u>Type</u>	<u>Dollar Value</u>
3) Percentage owned:		Cash	\$
4) Family relationship to other owners:		Real Estate	\$
		Equipment	\$
		Other	\$
5) Shares of Stock: Number: _____ Percentage: _____ Class: _____	Date Acquired: _____	Method Acquired: _____	
6) Does this owner perform a management or supervisory function for any other business? <input type="checkbox"/> Yes <input type="checkbox"/> No			
If Yes, identify: Name of Business: _____ Function/Title: _____			
7) Does this owner own or work for any other firm(s) that has a relationship with this firm (<i>e.g. ownership interest, shared office space, financial investments, equipment, leases, personnel sharing, etc.?</i>) <input type="checkbox"/> Yes <input type="checkbox"/> No			
If Yes, identify: Name of Business: _____ Function/Title: _____ Nature of Business Relationship _____			

C. Disadvantaged Status – NOTE: Complete this section only for each owner applying for DBE qualification (i.e. for each owner claiming to be socially and economically disadvantaged)

1) What is the Personal Networth of the owner(s) applying for DBE Certification? (<i>Use and attach the Personal Networth Statement with this application; attach additional sheets if more than one owner is applying</i>)
2) Has any trust been created for the benefit of this disadvantaged owner(s)? <input type="checkbox"/> Yes <input type="checkbox"/> No
If Yes, explain:

Section 4: CONTROL

A. Identify your firm's Officers & Board of Directors (If additional space is required, attach a separate sheet):

	Name	Title	Date Appointed	Ethnicity	Gender
1) Officers of the Company	a)				
	b)				
	c)				
	d)				
	e)				
2) Board of Directors	a)				
	b)				
	c)				
	d)				
	e)				

3) Do any of the person's listed in (1) and/or (2) above perform a management or supervisory function for any other business?
 Yes No If Yes, identify for each: Person: Title:
 Business: Function:

4) Do any of the person's listed in (1) and/or (2) above own or work for any other firm(s) that has a relationship with this firm? (e.g. ownership interest, shared office space, financial investments, equipment, leases, personnel sharing, etc?) Yes No
 If Yes, identify for each: Firm Name: Person:
 Nature of Business Relationship:

B. Identify your firm's management personnel who control your firm in the following areas. (If more than two persons, attach a separate sheet)

	Name	Title	Ethnicity	Gender
1) Financial Decisions (responsibility for lines of credit, surety bonding, supplies, etc.)	a.			
	b.			
2) Estimating & bidding	a.			
	b.			
3) Negotiating & contract execution	a.			
	b.			
4) Hiring/firing of management personnel	a.			
	b.			
5) Field/Production Operations Supervisor	a.			
	b.			
6) Office management	a.			
	b.			
7) Marketing/sales	a.			
	b.			
8) Purchasing of major equipment	a.			
	b.			
9) Authorized to sign company checks (for any purpose)	a.			
	b.			
10) Authorized to make financial transactions	a.			
	b.			

Virginia Unified Certification Program

11) Do any of the persons listed in (1) through (10) above perform a management or supervisory function for any other business?
 Yes No If Yes, identify for each: Person: Title:
 Business: Function:

12) Do any of the persons listed in (1) through (10) above own or work for any other firm that has a relationship with this firm?
 (e.g. ownership interest, shared office space, financial investments, equipment, leases, personnel sharing, etc.?)
 Yes No
 If Yes, identify for each: Firm Name: Person:
 Nature of Business Relationship:

C. Indicate your firm's inventory in the following categories (attach additional sheets if needed)

1. Equipment

Type of Equipment	Make / Model	Current Value	Owned or Leased?
a)			
b)			
c)			

2. Vehicles

Type of Vehicle	Make / Model	Current Value	Owned or Leased?
a)			
b)			
c)			

3. Office Space

Street Address	Owned or Leased?	Current Value of Property or Lease
a)		
b)		

4. Storage Space

Street Address	Owned or Leased?	Current Value of Property or Lease
a)		
b)		

D. Does your firm rely on any other firm for management functions or employee payroll? Yes No

If Yes, explain:

E. Financial Information

1) Banking Information:
 a) Name of bank: b) Phone No:
 c) Address of bank: City: State: Zip:

Virginia Unified Certification Program

2) Bonding Information: If you have bonding capacity, identify: a) Binder No:
 b) Name of agent / broker: c) Phone No:
 d) Address of agent / broker: City: State: Zip:
 e) Bonding limit: Aggregate limit: \$ Project limit: \$

F. Identify all sources, amounts and purposes of money loaned to your firm, including the names of any persons or firms securing the loan, if other than the listed owner:

Name of Source	Address of Source	Name of Person Securing Loan	Original Amount	Current Balance	Purpose of Loan
1)					
2)					
3)					

G. List all contributions or transfers of assets to/from your firm and to/from any of its owners over the past two years (attach additional sheets if needed):

Contribution / Asset	Dollar Value	From Whom Transferred	To Whom Transferred	Relationship	Date of Transfer
1)					
2)					
3)					

H. List current licenses/permits held by any owner and/or employee of your firm (e.g. contractor, engineer, architect, etc.) (attach additional sheets if needed):

Name of License or Permit Holder	Type of License or Permit	Expiry Date	License Number and State
1)			
2)			
3)			

I. List the three largest contracts completed by your firm in the past three years, if any:

Name of Owner / Contractor	Name / Location of Project	Type of Work Performed	Dollar Value of Contract
1)			
2)			
3)			

AFFIDAVIT OF CERTIFICATION

This form must be signed and notarized for each owner upon which disadvantaged status is relied.

A MATERIAL OR FALSE STATEMENT OR OMISSION MADE IN CONNECTION WITH THIS APPLICATION IS SUFFICIENT CAUSE FOR DENIAL OF CERTIFICATION, REVOCATION OF A PRIOR APPROVAL, INITIATION OF SUSPENSION OR DEBARMENT PROCEEDINGS, AND MAY SUBJECT THE PERSON AND/OR ENTITY MAKING THE FALSE STATEMENT TO ANY AND ALL CIVIL AND CRIMINAL PENALTIES AVAILABLE PURSUANT TO APPLICABLE FEDERAL AND STATE LAW.

I _____(full name printed), swear or affirm under penalty of law that I am _____(title) of applicant firm _____ (firm name) and that I have read and

understood all of the questions in this application and that all of the foregoing information and statements submitted in this application and its attachments and supporting documents are true and correct to the best of my knowledge, and that all responses to the questions are full and complete, omitting no material information. The responses include all material information necessary to fully and accurately identify and explain the operations, capabilities and pertinent history of the named firm as well as the ownership, control, and affiliations thereof.

I recognize that the information submitted in this application is for the purpose of inducing certification approval by a government agency. I understand that a government agency may, by means it deems appropriate, determine the accuracy and truth of the statements in the application, and I authorize such agency to contact any entity named in the application, and the named firm's bonding companies, banking institutions, credit agencies, contractors, clients, and other certifying agencies for the purpose of verifying the information supplied and determining the named firm's eligibility.

I agree to submit to government audit, examination and review of books, records, documents and files, in whatever form they exist, of the named firm and its affiliates, inspection of its places(s) of business and equipment, and to permit interviews of its principals, agents, and employees. I understand that refusal to permit such inquiries shall be grounds for denial of certification.

If awarded a contract or subcontract, I agree to promptly and directly provide the prime contractor, if any, and the Department, recipient agency, or federal funding agency on an ongoing basis, current, complete and accurate information regarding (1) work performed on the project; (2) payments; and (3) proposed changes, if any, to the foregoing arrangements.

I agree to provide written notice to the recipient agency or Unified Certification Program (UCP) of any material change in the information contained in the original application within 30 calendar days of such change (e.g., ownership, address, telephone number, etc.).

I acknowledge and agree that any misrepresentations in this application or in records pertaining to a contract or subcontract will be grounds for terminating any contract or subcontract which may be awarded; denial or revocation of certification; suspension and debarment; and for initiating action under federal and/or state law concerning false statement, fraud or other applicable offenses.

I certify that I am a socially and economically disadvantaged individual who is an owner of the above-referenced firm seeking certification as a Disadvantaged Business Enterprise (DBE). In support of my application. I certify that I am a member of one or more of the following groups, and that I have held myself out as a member of the group(s) (check all that apply):

- I hereby certify that I am a (check all that apply):
- Female Hispanic American
 - Black American Native American
 - Asian - Pacific American Subcontinent Asian American
- Other (specify): _____

Virginia Unified Certification Program

I certify that I am socially disadvantaged because I have been subjected to racial or ethnic prejudice or cultural bias, or have suffered the effects of discrimination, because of my identity as a member of one or more of the groups identified above, without regard to my individual qualities.

I further certify that my personal net worth does not exceed \$750,000, and that I am economically disadvantaged because my ability to compete in the free enterprise system has been impaired due to diminished capital and credit opportunities as compared to others in the same or similar line of business who are not socially and economically disadvantaged.

I declare under penalty of perjury that the information provided in this application and supporting documents is true and correct.

Executed on: _____ (date)

Signature _____
(DBE Applicant)

NOTARY CERTIFICATE

City / County of _____

In the Commonwealth / State of _____

The foregoing instrument was subscribed and sworn before me

This _____ day of _____, 20____,

By _____ (name of person / DBE applicant)

_____ Notary Signature Notary Registration # _____

My Commission expires:

NOTARY SEAL

DBE UNIFORM CERTIFICATION APPLICATION SUPPORTING DOCUMENTS CHECKLIST

In order to complete your application for DBE certification, you must attach copies of all of the following documents as they apply to you and your firm.

All Applicants

- Work experience resumes (include places of ownership/employment with corresponding dates), for all owners and officers of your firm
- Personal Financial Statement (form available with this application)
- Personal tax returns for the past three years, if applicable, for each owner claiming disadvantaged status
- Your firm's tax returns (gross receipts) and all related schedules for the past three years
- Documented proof of contributions used to acquire ownership for each owner (e.g., both sides of cancelled checks)
- Your firm's signed loan agreements, security agreements, and bonding forms
- Descriptions of all real estate (including office/storage space, etc.) owned/leased by your firm and documented proof of ownership/signed leases
- List of equipment leased and signed lease agreements
- List of construction equipment and/or vehicles owned and titles/proof of ownership
- Documented proof of any transfers of assets to/from your firm and/or to/from any of its owners over the past two years
- Year-end balance sheets and income statements for the past three years (or life of firm, if less than three years); a new business must provide a current balance sheet
- All relevant licenses, license renewal forms, permits, and haul authority forms
- DBE and SBA 8(a) or SDB certifications, denials, and/or decertifications, if applicable
- Bank authorization and signatory cards
- Schedule of salaries (or other compensation or remuneration) paid to all officers, managers, owners, and/or directors of the firm
- Trust agreements held by any owner claiming disadvantaged status, if any

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
- 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)

Trucking Company

- Documented proof of ownership of the company
- Insurance agreements for each truck owned or operated by your firm
- Title(s) and registration certificate(s) for each truck owned or operated by your firm
- List of U.S. DOT numbers for each truck owned or operated by your firm

Regular Dealer

- Proof of warehouse ownership or lease
- List of product lines carried
- List of distribution equipment owned and/or leased

NOTE: The specific state UCP to which you are applying may have additional required documents that you must also supply with your application. Contact the appropriate certifying agency to which you are applying to find out if more is required.