



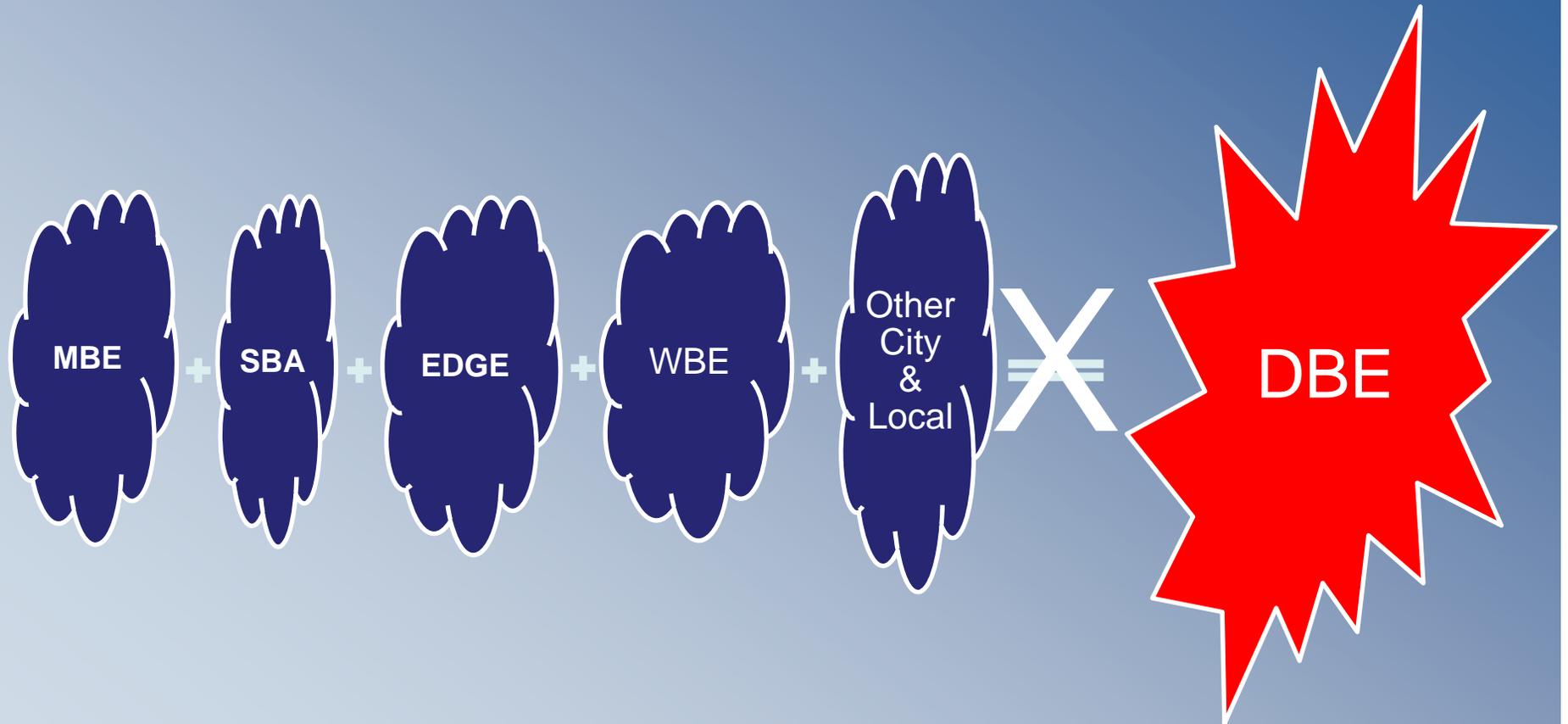
# Disadvantaged Business Enterprise



DBE

Ohio Unified Certification Program (UCP)

# Other Certifications



# Definition of DBE

- a Disadvantaged Business Enterprise (DBE) is a for-profit small business.
- at least 51% owned by one or more individuals who are both socially and economically disadvantaged
- whose management and daily business operations are controlled by one or more of the socially and economically disadvantaged individuals who own it.

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# DBE Eligibility Standards

DBE owner must:

- actually controls the management, policy, and operations of the firm;
- *must have an overall understanding of, and managerial and technical competence and experience in the firm's overall operations;*
- a firm must be independent;
- cannot engage in outside employment or other business interests that conflict or interfere with the management of the firm.

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# DBE Eligibility Standards

- Must meet SBA definitions of small business:
  - Measured in dollars for type of work
    - (Heavy Highway  $\leq$ \$22.4 Million gross receipts averaged over three years)
    - (Type of work is the line of work for the company, in which a NAICS\* code is assigned)
  - Meet federal personal net worth limitations
    - ( $\leq$ \$1.32 million *excluding personal residence and investment in the business*)



\*North American Industry Classification System  
<http://www.census.gov/epcd/naics02>

# OHIO-UCP

The OHIO-UCP is a "one stop" certification process for the Federal DBE Programs in Ohio. The Ohio-UCP consolidates all DBE firms certified by five different agencies into one centralized DBE Directory for USDOT funded contracts for Airport, Highways, and Public Transit.

# What DBE Certification CAN Do for a *DBE Firm*

- Support services are available in both technical & tuition reimbursement for construction related companies
- Statewide exposure to all prime contractors bidding on USDOT funded projects, which may have goals
- DBE firms only have to get certified with one agency to do work with:
  - Federal Highway (FHWA) - Federal Transit (FTA)
  - Federal Aviation (FAA)



# What DBE Certification CANNOT Do for a DBE Firm

❖ Guarantee work

❖ Guarantee success



# UCP Online

- Fill out application online @ [www.ohioucp.org](http://www.ohioucp.org):
  - Register
  - Complete & submit an online application.
  - Mail a notarized application & required supporting documentation
- Update annual affidavit information online
- Check status of application/affidavit online
- Online help to assist in utilizing system
- Query certification list



# UCP Online - Security

- Information secure
- Encrypted data
- User ID and password assigned upon sign-up
- Password reset by user upon first login

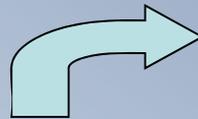


# Processing the Application

Certification decision must be reached within 90 days of a completed application

# Online Application

- Application questions
- Wizard to display how far along in application



Overview	File/Application	F
<b>Wizard</b>		
<ul style="list-style-type: none"><li>• <b>Step 1 -- Prior/Other Certifications</b></li><li>• <b>Step 2 -- Business Profile</b></li><li>• <b>Step 3 -- Other Business Relationships</b></li><li>• <b>Step 4 -- Owners and Representatives</b></li><li>• <b>Step 5 -- Equipment, Vehicles, and Facilities</b></li><li>• <b>Step 6 -- Financial Information</b></li><li>• <b>Step 7 -- Licenses and Permits</b></li><li>• <b>Step 8 -- Contracts and Current Jobs</b></li><li>• <b>Step 9 -- Other Information</b></li></ul>		
<b>&lt;&lt; Contract</b>		



# Required Documentation

- Completed application
- Supporting business documentation:
  - Personal Net Worth Statement
  - Taxes - Business and Personal (3 years)
  - Financial Statement
  - Information on owners
  - Business structure
  - Resume of owners

# Processing the Application

- Step 1 - Application is received
- Step 2 - Application is checked for completeness. If incomplete, the applicant is sent a letter requesting the missing information.
- Step 3 - Once the application is complete an on-site review is scheduled and conducted at the applicant's office. During the on-site review, interviews are conducted with the owners of the firm.

- Step 4 - All materials submitted by the applicant and the on-site report are reviewed by the investigator, who determines if the applicant meets the eligibility standards.
- Step 5 - The investigator reviews the application and makes a decision on the firm's eligibility for certification in the DBE program with the Deputy Director.
- Step 6 - If the application is approved, the applicant is notified, in writing & e-mail, of the certification approval.

# 20 NAICS Categories

11	Agriculture, Forestry, Fishing, Hunting
21	Mining
22	Utilities
23	Construction
31-33	Manufacturing
42	Wholesale Trade
44-45	Retail Trade
48-49	Transportation and Warehousing
51	Information
52	Finance and Insurance
53	Real Estate and Rental and Leasing
54	Professional, Scientific, and Technical Services
55	Management of Companies and Enterprises
56	Adm. & Support, Waste Mgmt & Remediation
61	Educational Services Manufacturing
62	Health Care and Social Assistance
71	Arts, Entertainment, and Recreation
72	Accommodation and Food Services
81	Other Services (except Public Administration)
92	Public Administration



# After firm is certified . . .

- Good for 3 years from certification date, BUT an Annual Affidavit must be completed on the anniversary date
- Annual affidavit includes but not limited to Personal Net Worth Statement & Taxes
- The DBE has a duty to update Ohio UCP regarding new information within 30 days of the event.

# Annual Affidavit

The state of Ohio UCP requires an Annual Affidavit to maintain & renew Disadvantaged Business Enterprise.

- 60 day advance notice via e-mail\* and postal services.

\*e-mail notification every 45, 30, 15 days the certified firm will be notified.

# Ohio UCP Certifying Agencies

## COLUMBUS:

- Ohio Department of Transportation (ODOT)  
Office of Contracts, DBE Section  
1980 W. Broad Street, 1st Floor
- Columbus, OH 43223  
(614) 728-9598  
(614) 728-2078 (fax)

## CLEVELAND:

- Cleveland Hopkins International Airport  
5300 Riverside Drive  
Cleveland, OH 44135  
(216) 265-6137  
(216) 265-6021 (fax)
- Greater Cleveland Regional Transit Authority (GCRTA)  
1240 W. 6th Street  
Cleveland, OH 44113-1331  
(216) 566-5002  
(216) 781-4752 (fax)

## DAYTON:

- City of Dayton  
130 W. Second Street, Suite 730  
Dayton, OH 45402  
(937) 228-7277  
(937) 222-4589 (fax)

# Questions?

Visit our web site at:

<http://www.ohioucp.org>

or

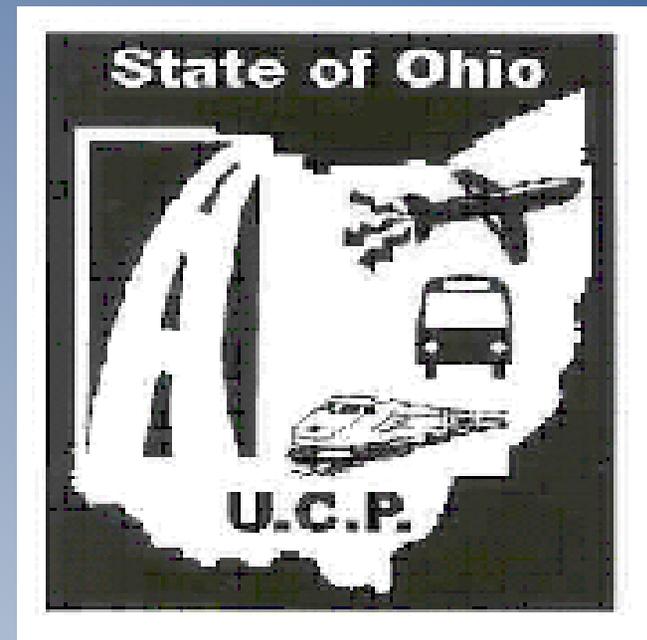
<http://www.dot.state.oh.us/contract>\*

\*for upcoming projects

**Intake Coordinator**

**(Lisa Feaster-Bynum 614/728-2067)**

**800-459-3778 or by fax 614-728-2078**



Ohio Unified Certification Program (UCP)