

## INSTRUCTIONS FOR COMPLETING THE DISADVANTAGED BUSINESS ENTERPRISE (DBE) PROGRAM UNIFORM CERTIFICATION APPLICATION

**NOTE: If you require additional space for any question in this application, please attach additional sheets or copies as needed, taking care to indicate on each attached sheet/copy the section and number of this application to which it refers.**

### **Section 1: CERTIFICATION INFORMATION**

#### **A. Prior/Other Certifications**

Check the appropriate box indicating for which program your firm is currently certified. If you are already certified as a DBE, indicate in the appropriate box the name of the certifying agency that has previously certified your firm, and also indicate whether your firm has undergone an onsite visit. If your firm has already undergone an onsite visit/review, indicate the most recent date of that review and the state UCP that conducted the review. **NOTE:** If your firm is currently certified under the SBA's 8(a) and/or SDB programs, you may not have to complete this application. You should contact your state UCP to find out about a streamlined application process for firms that are already certified under the 8(a) and SDB programs.

#### **B. Prior/Other Applications and Privileges**

Indicate whether your firm or any of the persons listed has ever withdrawn an application for a DBE program or an SBA 8(a) or SDB program, or whether any have ever been denied certification, decertified, debarred, suspended, or had bidding privileges denied or restricted by any state or local agency or Federal entity. If your answer is yes, indicate the date of such action, identify the name of the agency, and explain fully the nature of the action in the space provided.

### **Section 2: GENERAL INFORMATION**

#### **A. Contact Information**

- (1) State the name and title of the person who will serve as your firm's primary contact under this application.
- (2) State the legal name of your firm, as indicated in your firm's Articles of Incorporation.
- (3) Indicate the primary phone number of your firm.
- (4) Indicate a secondary phone number, if any.
- (5) Indicate your firm's fax number, if any.
- (6) Indicate your firm's or your contact person's email address.
- (7) Indicate your firm's website address, if any.
- (8) State the street address of your firm (i.e. the physical location of its offices -- not a post office box address).
- (9) State the mailing address of your firm, if it is different from your firm's street address.

#### **B. Business Profile**

- (1) In the box provided, briefly describe the primary business and professional activities in which your firm engages. *Please use the brief description names on Page 4 to complete this box. A complete description of the business profiles are listed on Pages 5 – 8.*
- (2) Give the Federal Tax ID number of your firm as provided on your firm's filed tax returns, if you have one. This could also be the Social Security number of the owner of your firm.
- (3) Give the date on which your firm was officially established, as stated in your firm's Articles of Incorporation.
- (4) Give the date on which you and/or each other owner took ownership of the firm.

(5) Check the appropriate box that describes the manner in which you and each other owner acquired ownership of your firm. If you checked "Other," explain in the space provided.

(6) Check the appropriate box that indicates whether your firm is "for profit."

**NOTE:** If you checked "No," then you do NOT qualify for the DBE program and therefore do not need to complete the rest of this application. The DBE program requires all participating firms be for-profit enterprises.

(7) Check the appropriate box that describes the legal form of ownership of your firm, as indicated in your firm's Articles of Incorporation. If you checked "Other," briefly explain in the space provided.

(8) Check the appropriate box that indicates whether your firm has ever existed under different ownership, a different type of ownership, or a different name. If you checked "Yes," specify which and briefly explain the circumstances in the space provided.

(9) Indicate in the spaces provided how many employees your firm has, specifying the number of employees who work on a full-time and parttime basis.

(10) Specify the total gross receipts of your firm for each of the past three years, as declared in your firm's filed tax returns.

#### **C. Relationships with Other Businesses**

(1) Check the appropriate box that indicates whether your firm is co-located at any of its business locations, or whether your firm shares a telephone number(s), a post office box, any office space, a yard, warehouse, other facilities, any equipment, or any office staff with any other business, organization, or entity of any kind. If you answered "Yes," then specify the name of the other firm(s) and briefly explain the nature of the shared facilities or other items in the space provided.

(2) Check the appropriate box that indicates whether at present, or at any time in the past:

(a) your firm has been a subsidiary of any other firm;

(b) your firm consisted of a partnership in which one or more of the partners are other firms;

(c) your firm has owned any percentage of any other firm; and

(d) your firm has had any subsidiaries of its own.

(3) Check the appropriate box that indicates whether any other firm has ever had an ownership interest in your firm.

(4) If you answered "Yes" to any of the questions in (2)(a)-(d) or (3), identify the name, address and type of business for each.

#### **D. Immediate Family Member Businesses**

Check the appropriate box that indicates whether any of your immediate family members own or manage

another company. An “immediate family member” is any person who is your father, mother, husband, wife, son, daughter, brother, sister, grandmother, grandfather, grandson, granddaughter, mother-in-law, or father-in-law. If you answered “Yes,” provide the name of each relative, your relationship to them, the name of the company they own or manage, the type of business, and whether they own or manage the company.

### **Section 3: OWNERSHIP**

**Identify all individuals or holding companies with any ownership interest in your firm, providing the information requested below (if your firm has more than one owner, provide completed copies of this section for each additional owner):**

#### **A. Background Information**

- (1) Give the name of the owner.
- (2) State his/her title or position within your firm.
- (3) Give his/her home phone number.
- (4) State his/her home (street) address.
- (5) Check the appropriate box that indicates this owner’s gender.
- (6) Check the appropriate box that indicates this owner’s ethnicity (check all that apply). If you checked “Other,” specify this owner’s ethnic group/identity not otherwise listed.
- (7) Check the appropriate box to indicate whether this owner is a U.S. citizen.
- (8) If this owner is not a U.S. citizen, check the appropriate box that indicates whether this owner is a lawfully admitted permanent resident. If this owner is neither a U.S. citizen nor a lawfully admitted permanent resident of the U.S., then this owner is NOT eligible for certification as a DBE owner. This, however, does not necessarily disqualify your firm altogether from the DBE program if another owner is a U.S. citizen or lawfully admitted permanent resident and meets the program’s other qualifying requirements.

#### **B. Ownership Interest**

- (1) State the number of years during which this owner has been an owner of your firm.
- (2) Indicate the dollar value of this owner’s initial investment to acquire an ownership interest in your firm, broken down by cash, real estate, equipment, and/or other investment.
- (a) **NOTE: If your company was initially capitalized using funds from a joint account, or as community property by both spouses. The Non-Socially and Economically Disadvantaged spouse is required to submit a notarized letter which renounces and transfers all rights in ownership interest sanctioned by the state in which either the spouse or the firm is located.**
- (3) State the percentage of total ownership control of your firm that this owner possesses.
- (4) State the familial relationship of this owner to each other owner of your firm.
- (5) Indicate the number, percentage of the total, class, date acquired, and method by which this owner acquired his/her shares of stock in your firm.

(6) Check the appropriate box that indicates whether this owner performs a management or supervisory function for any other business. If you checked “Yes,” state the name of the other business and this owner’s title or function held in that business.

(7) Check the appropriate box that indicates whether this owner owns or works for any other firm(s) that has any relationship with your firm. If you checked “Yes,” identify the name of the other business and this owner’s title or function held in that business. Briefly describe the nature of the business relationship in the space provided.

#### **C. Disadvantaged Status**

**NOTE: You only need to complete this section for each owner that is applying for DBE qualification (i.e. for each owner who is claiming to be “socially and economically disadvantaged” and whose ownership interest is to be counted toward the control and 51% ownership requirements of the DBE program)**

- (1) Indicate in the space provided the total Personal Net Worth (PNW) of each owner who is applying for DBE qualification. Use the PNW calculator form at the end of this application to compute each owner’s PNW.
- (2) Check the appropriate box that indicates whether any trust has ever been created for the benefit of this disadvantaged owner. If you answered “Yes,” briefly explain the nature, history, purpose, and current value of the trust(s).

### **Section 4: CONTROL**

#### **A. Identify your firm's Officers and Board of Directors:**

- (1) In the space provided, state the name, title, date of appointment, ethnicity, and gender of each officer of your firm.
- (2) In the space provided, state the name, title, date of appointment, ethnicity, and gender of each individual serving on your firm’s Board of Directors.
- (3) Check the appropriate box that indicates whether any of your firm’s officers and/or directors listed above perform a management or supervisory function for any other business. If you answered “Yes,” identify each person by name, his/her title, the name of the other business in which s/he is involved, and his/her function performed in that other business.
- (4) Check the appropriate box that indicates whether any of your firm’s officers and/or directors listed above own or work for any other firm(s) that has a relationship with your firm. If you answered “Yes,” identify the name of the firm, the officer or director, and the nature of his/her business relationship with that other firm.

#### **B. Identify your firm's management personnel (by name, title, ethnicity, and gender) who control your firm in the following areas:**

- (1) Making of financial decisions on your firm’s behalf, including the acquisition of lines of credit, surety bonds, supplies, etc.;

- (2) Estimating and bidding, including calculation of cost estimates, bid preparation and submission;
  - (3) Negotiating and contract execution, including participation in any of your firm's negotiations and executing contracts on your firm's behalf;
  - (4) Hiring and/or firing of management personnel, including interviewing and conducting performance evaluations;
  - (5) Field/Production operations supervision, including site supervision, scheduling, project management services, etc.;
  - (6) Office management;
  - (7) Marketing and sales;
  - (8) Purchasing of major equipment;
  - (9) Signing company checks (for any purpose); and
  - (10) Conducting any other financial transactions on your firm's behalf not otherwise listed.
- (11) Check the appropriate box that indicates whether any of the persons listed in (1) through (10) above perform a management or supervisory function for any other business. If you answered "Yes," identify each person by name, his/her title, the name of the other business in which s/he is involved, and his/her function performed in that other business.

- (12) Check the appropriate box that indicates whether any of the persons listed in (1) through (10) above own or work for any other firm(s) that has a relationship with your firm. If you answered "Yes," identify the name of the firm, the name of the person, and the nature of his/her business relationship with that other firm.

**C. Indicate your firm's inventory in the following categories:**

**(1) Equipment**

State the type, make and model, and current dollar value of each piece of equipment held and/or used by your firm. Indicate whether each piece is either owned or leased by your firm.

**(2) Vehicles**

State the type, make and model, and current dollar value of each motor vehicle held and/or used by your firm. Indicate whether each vehicle is either owned or leased by your firm.

**(3) Office Space**

State the street address of each office space held and/or used by your firm. Indicate whether your firm owns or leases the office space and the current dollar value of that property or its lease.

**(4) Storage Space**

State the street address of each storage space held and/or used by your firm. Indicate whether your firm owns or leases the storage space and the current dollar value of that property or its lease.

**D. Does your firm rely on any other firm for management functions or employee payroll?**

Check the appropriate box that indicates whether your firm relies on any other firm for management functions or for employee payroll. If you answered "Yes," briefly explain the nature of that reliance and the extent to which the other firm carries out such

functions.

**E. Financial Information**

**(1) Banking Information**

- (a) State the name of your firm's bank.
- (b) Give the main phone number of your firm's bank branch.
- (c) Give the address of your firm's bank branch.

**(2) Bonding Information**

- (a) State your firm's Binder Number.
- (b) State the name of your firm's bond agent and/or broker.
- (c) Give your agent's/broker's phone number.
- (d) Give your agent's/broker's address.
- (e) State your firm's bonding limits (in dollars), specifying both the Aggregate and Project Limits.

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

State the name and address of each source, the original dollar amount and the current balance of each loan, and the purpose for which each loan was made to your firm.

**G. List all contributions or transfers of assets to/from your firm and to/from any of its owners over the past two years:**

Indicate in the spaces provided, the type of contribution or asset that was transferred, its current dollar value, the person or firm from whom it was transferred, the person or firm to whom it was transferred, the relationship between the two persons and/or firms, and the date of the transfer.

**H. List current licenses/permits held by any owner or employee of your firm.**

List the name of each person in your firm who holds a professional license or permit, the type of permit or license, the expiration date of the permit or license, and the license/permit number and issuing State of the license or permit.

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

List the name of each owner or contractor for each contract, the name and location of the projects under each contract, the type of work performed on each contract, and the dollar value of each contract.

**J. List the three largest active jobs on which your firm is currently working.**

For each active job listed, state the name of the prime contractor and the project number, the location, the type of work performed, the project start date, the anticipated completion date, and the dollar value of the contract.

**AFFIDAVIT & SIGNATURE**

Carefully read the attached affidavit in its entirety. Fill in the required information for each blank space, and sign and date the affidavit in the presence of a Notary Public, who must then notarize the form.

## DBE Work Types/Categories

### GLOSSARY

#### **Highway Construction**

*(normal ALDOT work)*

Barrier Rail	Fencing	Retaining Wall
Base	Guardrail	Sediment/Erosion Control
Bridge Coating	Hazardous Materials	Stay-in-Place Forms
Bridge Construction	Land Clearing	Striping
Concrete Specialty	Landscaping	Traffic Control
Culvert Construction	Lighting/Signal	Trucking
Curb & Gutter	Minor Structure Concrete	Tunnel Work
Demolition	Paving	Utility Construction
Drilling/Blasting	Pest Control	Vegetation Establishment
Edge Drain	Pile Driving	Welding/Iron Work
Engineering Control	Prime Contractor	
Excavation	Reinforcing Steel	

#### **Other Construction**

*(non-highway, i.e. traditional construction of buildings)*

Building/Framing	Glass	Painting
Electrical	Heating & A/C	Plumbing
Flooring	Masonry	Roofing

#### **Materials**

Dealer/Supplier	Manufacturer
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#### **Services**

Bonding	Insurance	Towing
Consulting	Real Estate	
Financial	Software Development	

## DBE Work Types/Categories

### GLOSSARY

**Note: a cited section such as (Section 510) is a reference to the applicable Section of the *ALDOT Standard Specifications for Highway Construction*, which describes the requirements for the work of this type/category.**

#### **Highway Construction (normal ALDOT work)**

**Barrier Rail** – work type includes bridge barrier rail construction (Section 510), median or safety barrier rail construction/installation (Section 629) or portable safety rail installation (Section 726).

**Base** – work type includes Roadbed Processing items (Section 230), Roadbed Stabilization (Section 231), Lime Stabilization (Section 232), and various Base Course items (Section 301).

**Boring/Trenching** – work types includes horizontal boring and trenching operations for installation of cables, conduits, splices, and fiber optic lines and systems for traffic signals (Section 730), roadway lighting items (Section 750), Dynamic Message Signs (Section 737), Video Systems (Section 739), and Overhead Sign Structures (Sections 714-717). It also includes boring and trenching work for water line, sewer line, and other utilities and encasements as outlined in Sections 640-649.

**Bridge Coating** – see Section 521.

**Bridge Construction** – work type includes typical bridge construction such as foundations (piling or drilled shafts), structural steel installation, substructure concrete, and superstructure concrete. Ability to perform this work includes installing the required reinforcing steel.

**Concrete Specialty** – work type includes breaking, cleaning, coring, crosshole sonic logging, grinding, grooving, grouting, joint sealing, rubblizing, sawcutting, seating, undersealing, and waterproofing.

**Culvert Construction** – work type includes culvert construction, culvert extensions, and bridge culvert construction (Section 524). Ability to perform this work includes installing the required reinforcing steel.

**Curb & Gutter** – work type includes typical curb, gutter, and curb & gutter items (Section 623). This work type generally is for work requiring a curb machine. Small quantity construction typically done by hand with standard formwork would be considered minor structure concrete.

**Demolition** – work type includes typical demolition work such as removal of structures, old bridges, culverts and large buildings/structures.

**Drilling/Blasting** – work type includes specialty type work for drilling and/or blasting for items such as excavation of rock. This includes vertical drilling and boring.

**Edge Drain** – work type includes Pavement Edge Drain items (Section 605) and the applicable outlet items.

**Engineering Control** – see Section 680.

**Excavation** – work type includes normal grading items (Section 210-212, 214), Limesink Remediation items (Section 224), Aggregate Surfacing (Section 430), Roadway Pipe (Section 530), Slotted Drain Pipe (Section 532), Storm Sewer Pipe (533), Side Drain Pipe (Section 535) Underdrain Pipe items (Section 606), and Riprap (Section 610).

**Fencing** – see Sections 634-637.

**Guardrail** – work type includes various guardrail, end anchors and glare screens in Sections 630-632 and Permanent Barricades in Section 713.

**Hazardous Materials** – work type includes asbestos abatement, UST removals, contaminated soil treatment/removal, etc. Contractor must have all current and valid accreditations, permits, licenses, and certifications required for this work.

**Land Clearing** – work type includes ability to perform Clearing & Grubbing (Section 201) and removal of small structures (Section 206).

**Landscaping** – work type includes ornamental plant items such as vines, shrubs, and trees (Section 660). Contractor must possess a current and valid professional services permit for the Setting of Landscape Plants issued through the Alabama Department of Agriculture and Industries. In addition, contractor must have a current and valid Commercial Application Permit (turf and ornamentals category) for herbicide applications.

**Lighting/Signal** – work type includes typical traffic signal installation items (Section 730) and lighting items (Section 750) as well as the affected electrical systems, cables, conduits, splices, and fiber optic lines and systems. It can also include Dynamic Message Signs (Section 737), Video Systems (Section 739), and Overhead Sign Structures (Sections 714-717).

**Minor Structure Concrete** – work type includes typical concrete construction for slope paving, driveways, sidewalks, pipe end treatments, collars, plugs, junction boxes, inlets, manholes, and stilling basins (Sections 614, 618-622). It also includes curb and gutter work using standard forms.

**Paving** – work type includes hot mix asphalt production and/or placement, bituminous treatment operations, and/or removal of existing asphalt. Applicable items include Section 327, 401, 404, 405, 408, 410, 420, 423, 424, 428 and 429. Work type also includes construction of concrete pavement as outlined in Section 450.

**Pest Control** – see Section 666. Contractor must have a current and valid Commercial Application Permit specifically for right-of-way pest control.

**Pile Driving** – includes cofferdams and various piling items for bridge foundations; see Sections 503 and 505.

**Prime Contractor** – work type is for contractors who are pre-qualified and bid with ALDOT as a prime contractor and have the ability to perform multiple operations such as clearing, excavation, and base work or bridge construction, culvert construction, minor structure concrete, etc. without the use of subcontractors. Contractors that meet this criterion will have this work type listed along with each specific work type they are certified to perform.

**Reinforcing Steel** – work type is only for contractors who perform partial work such as tying rebar for installation in large concrete structures such as a culverts, bridge substructures, and decks.

**Retaining Wall** – work type is for typical wall construction as covered by Section 529.

**Sediment/Erosion Control** – work type includes Rolled Erosion Control Products (Section 659); typical Section 665 sediment control items such as temporary pipe, polyethylene, hay bales, sand bags, check dams, temporary aggregates, silt fence, wattles, silt dikes, inlet protection, floating basin booms; and Flocculant (Section 672).

**Stay-in-place forms** – work type includes partial work for installing metal deck forms as part of a bridge superstructure construction (Section 510).

**Striping** – see Sections 701, 703 and 705 for typical roadway markings.

**Traffic Control** – work type includes furnishing, installation and possible maintenance of permanent and temporary traffic control items as outlined in Sections 707-711 and 740-742 and Permanent Barricades (Section 713).

**Trucking** – transportation of construction materials from off-site to the project site, within the project limits, and from the project site to an off-site location.

**Trucking-Tanker** – work types includes hauling liquid products such as asphalt cement and construction fuel in tanker trucks.

**Tunnel work** – see Sections 783-788.

**Utility Construction** – work type includes the installation of water line, sewer line, and other utilities and encasements as outlined in Sections 640-649.

**Vegetation Establishment** – work type includes Seeding and Mowing items (Section 652), Solid Sodding (Section 654), Mulching (Section 656), Rolled Erosion Control Products (Section 659), and Temporary Seeding and Mulching (Section 665). It may also include Flocculant (Section 672).

**Welding/Iron work** – this work type is only for contractors who only specialize in this type of work, which is generally performed on items such as pile splices and cofferdam construction. Note: most bridge contractors will have employees who can perform these duties without the use of a subcontractor.

### **Other Construction (non-highway, i.e. traditional construction of buildings)**

**Building/Framing** – work type includes construction of commercial buildings, houses, foundations.

**Electrical** – work type includes wiring and conduit for commercial, industrial and residential buildings

**Flooring** – work type includes carpet, hardwood floors, laminate, tile, vinyl, etc.

**Glass** – work type includes installation of windows, mirrors, glass doors, etc.

**Heating & AC** – self-explanatory

**Masonry** – work type includes brick, block, stone, and stucco installation.

**Painting** – work type includes traditional exterior and interior wall and trim painting for commercial buildings and residences.

**Plumbing** – self-explanatory

**Roofing** – self-explanatory

### **Materials**

**Dealer/Supplier** – work type was renamed to coincide with 49CFR wording. Materials that are furnished by a certified DBE Dealer are subject to 60% credit of the invoice price. See Credit Toward Participation section of the DBE Special Provision.

**Manufacturer** - Materials that are furnished by a certified DBE Manufacturer are subject to 100% credit of the invoice price. See Credit Toward Participation section of the DBE Special Provision.

### **Services**

**Bonding** – self-explanatory

**Consulting** – normal engineering and professional services type firms.

**Financial** – work type includes banking firms, financial planners, accountants, etc.

**Insurance** – work type is for business equipment, personnel and liability purposes.

**Real Estate** – self-explanatory

**Software Development** – work type is for a specific professional service.

**Towing** – Work type can include the mobilization and de-mobilization of equipment to projects.