

Disadvantaged Business Enterprise Program

Certification and Prequalification



Ohio Unified Certification Program (UCP)

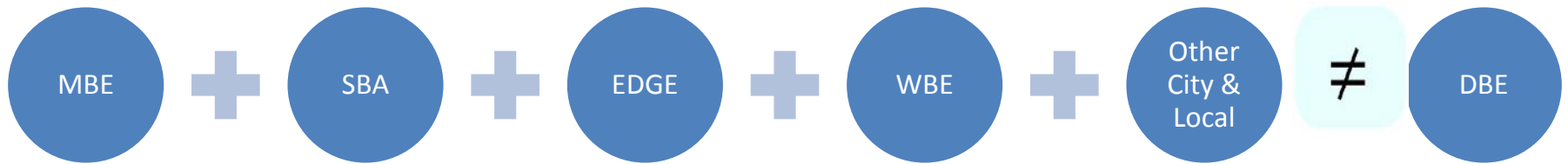
OHIO-UCP

The OHIO-UCP is a "one stop" certification process for the Federal DBE Programs in Ohio.

The Ohio-UCP consolidates all DBE firms into one centralized DBE Directory for United States Department of Transportation funded contracts for Airport, Highways, and Public Transit.



Other Certifications



Ohio UCP Certifying Agencies

COLUMBUS:

- ▶ Ohio Department of Transportation

CLEVELAND:

- Greater Cleveland Regional Transit Authority (GCRTA)
- Cleveland Hopkins Airport

DAYTON:

- ▶ City of Dayton – Human Relations Council



Definition of DBE

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 the socially and economically disadvantaged individuals who own it.



DBE Owner

DBE owner must:

- control the management, policy, and operations of the firm;
- have an overall understanding of, and managerial and technical competence and experience in the firm's overall operations;



DBE Owner

DBE owner must:

- be independent;
- not engage in outside employment or other business interests that conflict or interfere with the management of the firm.



DBE Small Business Parameters

- ❑ Gross receipts (*averaged over three years*) \leq \$22.4 million. Based on company assigned NAICS* codes for type of work

- ❑ Personal net worth limits \leq \$1.32 million (*excluding personal residence and value of the applying business*)

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



DBE Certification Opens Doors

- ❑ 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:
 1. Federal Highway (FHWA)
 2. Federal Transit (FTA)
 3. Federal Aviation (FAA)



DBE Certification Opens Doors

- DBE contracts and subcontracts count toward project DBE goals.
- DBEs may participate in a variety of supportive services such as training and technical assistance.
- DBEs receive numerous special mailings containing information on contracting and other opportunities.
- ODOT's online DBE Certified List is used by many firms to locate subcontractors for their projects.



Get Started

1. Meet with a Minority Business Assistance Counselor for Technical Assistance
2. Register your company online @ www.ohioucp.org
3. Complete & submit an online application and mail in a notarized application with required supporting documentation



Get Certified

4. Completed application and supporting documents review and notification of application status within 30 days
5. On-site visit
6. Certification letter



Required Documentation

Supporting business documentation:

1. Personal net worth statement
2. Taxes - Business (3 years)
3. Taxes - Personal (3 years)
4. Financial statement
5. Information on affiliates
6. Business structure
7. Resume of owner(s)



After Your Firm is DBE Certified

- Annual Affidavit
 - The DBE has a duty to update Ohio UCP regarding new information within 30 days of the event.
- Ongoing supportive services
- Referral to MBAC for business development
- Pre-Qualification with ODOT for your work type(s)



Visit our Web Sites

<http://www.ohioucp.org>

and

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

*for upcoming projects

Intake Coordinator

(Lisa Feaster-Bynum)

800/459-3778 or 614/728-2067



PREQUALIFICATION



Prequalification

- ❑ The Contractor Qualification Section prequalifies construction companies to bid on projects let by the Ohio Department of Transportation, determines the firm's dollar bidding capacity and the work types for which the bidder is qualified.



Get Ready to Contract for Work: Prequalification

Who must be Prequalified?

- Prime Contractors
- Subcontractors performing \$500,000 or more of work on ODOT let projects in a calendar year



Get Ready to Contract for Work: Prequalification

When must a firm be Prequalified?

- Primes must be prequalified at time of bid
- Subcontractors must be prequalified at time of submission of C-92
- DBE firms being used for goal must be prequalified prior to contract execution



Get Ready to Contract for Work: Prequalification

Steps to Apply for Prequalification

- 1.) Complete Prequalification Application
- 2.) Request Work-Types
- 3.) Obtain independent Financial Audit or Review
- 4.) Submit all required attachments



Get Ready to Contract for Work: Prequalification

Independent Financial Audit or Review

- **Independent Financial Audit** for requests to be prequalified to perform more than \$5 million per year
- **Independent Financial Review** for requests to be prequalified to perform \$5 million or less per year
- Both must be completed and signed by a CPA



Get Ready to Contract for Work: Prequalification

Independent Financial Audit or Review

- Firms already DBE certified who are capable of performing work for ODOT can apply for reimbursement related to costs of the audit/review through the **ODOT DBE Supportive Services Program**



Prequalification Application Checklist

- Resumes of Key Construction Personnel
- W-9 Form (with original signature)
- Insurance Certificate (original signed by authorized agent)
- Secretary of State Authorization (if out of state company)
- Independent Certified Public Accountant's report
- Additional documentation may be required for members of consolidated organizations



Prequalification Certificate

OHIO DEPARTMENT OF TRANSPORTATION



Certificate of Qualification

This certifies that [REDACTED] has been registered by the Ohio Department of Transportation as a prequalified contractor. This certificate of qualification allows your company to submit bids on State Highway Projects up to but not exceeding [REDACTED] less the contractual amount pending on all incomplete work including ODOT and non-ODOT work. Your certificate will expire on Friday, May 30, 2014.

This Certificate limits the holder to the classifications of work listed below:

- | | | | |
|---|--|----|----------------------------|
| 1 | Clearing & Grubbing | 10 | Flexible Paving |
| 2 | Building Removal | 12 | Rigid Paving |
| 4 | Roadway Excavation & Embankment Construction | 16 | Flexible Replacement |
| 6 | Incidental Grading | 17 | Rigid Pavement Replacement |
| 8 | Temporary Soil Erosion & Sediment Control | 35 | Drainage (Culverts, Misc.) |
| 9 | Aggregate Bases | 48 | Trucking |

Handwritten signature of the Director of Transportation.

Director
Department of Transportation

Effective Date: 5/30/2013

Issued Date: 5/30/2013

Certificate Number: 14019

Handwritten signature of Megan O'Callaghan.

Deputy Director
Division of Construction Management



Prequalification Contact

Diane H. Cox, Researcher II

800/461-2823 or 614/466-2824

diane.hupp@dot.state.oh.us

<http://www.dot.state.oh.us/Divisions/ContractAdmin/Contracts/Pages/Prequalification.aspx>



Questions?

Marci Wright, Administrator

Office of Small and Disadvantaged Business
Enterprise

Ohio Department of Transportation

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