In 1999, the U.S. Department of Transportation mandated that each state develop a Unified Certification Program.
In 2003, the Louisiana Unified Certification Program (LAUCP) was implemented and is now in full operation.
LOUISIANA UNIFIED CERTIFICATION PROGRAM (LAUCP)

U.S. DOT RECIPIENTS INCLUDED:

FEDERAL HIGHWAY ADMINISTRATION (FHWA)
FEDERAL AVIATION ADMINISTRATION (FAA)
FEDERAL TRANSIT ADMINISTRATION (FTA)
CERTIFYING AGENCIES IN LOUISIANA

• Louisiana Department of Transportation & Development

• Louis Armstrong New Orleans International Airport

• New Orleans Regional Transit Authority

• Orleans Levee District
LA UCP REGIONS

Region 1 – Statewide
LADOTD

Region 2 – New Orleans Area
Louis Armstrong N.O. Int’l Airport
New Orleans Regional Transit Auth.
Orleans Levee District
LA UCP REGIONS

LA DOTD is the only Certifying Agency that can certify statewide. If a firm is located in Region 2, it can choose to either apply to one of the agencies in that Region, or with LA DOTD.

Out of state firms can apply to any of the 4 certifying agencies.
The LAUCP is a non-funded program.

U.S. DOT recipients: FHWA, FAA, FTA receive and administer their own funding.
LA UCP

The Louisiana Department of Transportation and Development has signed agreements with other DOT Recipients within the state to handle issues relative to DBE Certification. These recipients, are required to accept and be bound by this UCP Agreement.

Because of this, only firms that are certified with the LA UCP can be counted towards DBE goals.
WHO SHOULD APPLY?

• Firm must be at least 51% owned and controlled by socially and economically disadvantaged individuals.

PRESumptive Groups:

- WOMEN
- BLACK AMERICANS
- HISPANIC AMERICANS
- NATIVE AMERICANS
- ASIAN PACIFIC AMERICANS
- SUBCONTINENT ASIAN AMERICANS
ECONOMICALLY DISADVANTAGED

• PERSONAL NET WORTH CANNOT EXCEED $1.32 million which became effective February 28, 2011.

✓ EXCLUDES YOUR PRIMARY RESIDENCE

✓ EXCLUDES OWNERSHIP INTEREST IN THE APPLICANT FIRM

✓ ONLY HALF OF COMMUNITY PROPERTY WILL BE COUNTED IF YOU LIVE IN A COMMUNITY PROPERTY STATE
BUSINESS SIZE

To be an eligible DBE, a firm, (including its affiliates) must not exceed the business size standards as defined by the Small Business Administration (SBA).

A firm, that does general contracting, is not an eligible DBE if the firm, (including its Affiliates) has average annual gross receipts in excess of $22.4 million.
HOW TO BECOME CERTIFIED

Obtain and Complete a:
“DBE Uniform Certification Application”

❖ Download from our Website:
www.dotd.la.gov
“Doing Business With DOTD
“Unified Certification Program”

❖ Contact our office to have one emailed:
(225) 379-1382
WHAT TO DOWNLOAD

UCP FORMS

✓ Uniform Certification Application
✓ Instructions for Completing Application
✓ Supporting Documents Checklist
✓ Mailing Instructions
✓ Personal Net Worth Form
CERTIFICATION PROCESS

- The whole process takes approximately 6 to 8 weeks. NOTE: Sending in a complete application with all documents on the appropriate checklist could speed up this process.

- We will send a written request for any information not provided with the application.

- Our office will conduct an on-site review of your firm.

- If possible, a project site visit will be conducted.

- Your application and a written report from the on-site will go to the Certification Review Team and they will determine eligibility and render a decision.
APPROVAL OR DENIAL OF CERTIFICATION

• If a firm is approved, you will be notified by letter that your certification has been approved and in what work items. The firm will then be added to the LA UCP DBE Directory.

• If a firm is denied certification, you will be notified by letter detailing the specific reasons for the denial. Appeal rights will be included in the letter. A firm that is denied certification can appeal that decision to the U.S. Department of Transportation within 90 days.

• If a firm is denied, they may not reapply for 12 months.
ANNUAL AFFIDAVITS

- Once a firm is certified, the firm is required to complete an annual affidavit, Personal Net Worth Statement each year stating there have been no changes in the firm’s ownership and/or control. This affidavit will be forwarded to the firm on an annual basis.

- With the Annual Affidavit and Personal Net Worth Statement all sets of taxes are expected, the personal, the DBE firm’s and if you have ownership interest in any other firm with all attachments (including K-1, W-2, 1098 and 1099)
LAUCP DBE DIRECTORY

The DBE Directory can be found on LADOTD’s Website:

www.dotd.la.gov

“Doing Business With DOTD”

“(UCP) Unified Certification Program”

“UCP Directory Search”
FOR ASSISTANCE IN OBTAINING CERTIFICATION CONTACT

REMY GRAVES
BONNIE BERTRAND
KANDY FLY

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bonnie.bertrand@la.gov
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SMALL BUSINESS ELEMENTS

In accordance with Federal Regulation 49CFR26.39, Fostering Small Business Participation, the Louisiana Department of Transportation and Development (LADOTD) has developed the following plan to facilitate competition by small business concerns in contracting opportunities with LADOTD. This plan will require certification of small businesses to better ensure a level playing field.
Economically Disadvantaged – For a business owner to be considered economically disadvantaged his/her Personal Net Worth (PNW), excluding the primary residence and ownership interest in the applicant business as stated previously, cannot exceed 1.32 million in accordance with Federal Regulations 49CFR26.67.
Small Business Concern- ...a small business concern as defined pursuant to Section 3 of the Small Business Act and Small Business Administration regulations Implementing it (13CFR Part 121) that does not exceed the cap on average annual gross receipts of 22.4 million as specified in Federal Regulation 49CFR26.65 (b).
Small Business Enterprise (SBE) – This refers to a for-profit business that is at least 51% owned by one or more individuals, who have control/knowledge of the firm and who are economically disadvantaged, and whose company meets the small business concern definition.
METHOD TO FACILITATE COMPETITION

Currently the LADOTD establishes DBE contract goals on US DOT assisted contracts over $500,000. In accordance with Federal Regulations 49CFR26.39, to facilitate SBE competition, LADOTD will establish SBE goals on FHWA assisted contracts that are between $250,000 and $500,000. The method used to establish SBE goals will be the same process followed in establishing DBE goals. A DBE/SBE Goal Committee will review and evaluate the scope of work and location of each project.
LADOTD will advertise and post on our website each project and specify the SBE goal percentage. For each project that is assigned a SBE goal, contract specifications will be developed and included as part of the contract.

LADOTD will have in place a monitoring and tracking process similar to the process for DBE monitoring and tracking.
LADOTD Compliance Programs Office, Certification Unit will certify businesses as SBE’s in accordance with Federal regulation 49CFR26.65 through an application process similar to the DBE process with the exception of reference to and/or presumption of social disadvantaged based on race and/or gender.
SBE certification will include provisions of Federal Regulation 49CFR26.67 (2) (i) which establishes a personal net worth threshold of 1.32 million for the individual owner of the business seeking certification.

The SBE anniversary date will also be similar to the DBE process in regards to the annual affidavit. The firm will have to complete an annual affidavit, with supporting documents each year for continued certification as a SBE. If you are a DBE/SBE, then your firm will send in the information to the DBE certification unit.
A separate directory of SBE firms will be maintained by each UCP and made available on LADOTD’s website. All available contact information will be provided on each certified SBE.

All certified DBE’s in the LAUCP have already been determined they meet the economically disadvantaged and small business concern definitions, but each certified DBE must apply for SBE certification using a different application form. This form is two (2) pages long, not including the PNW.
FOR ASSISTANCE IN OBTAINING CERTIFICATION WITH THE SBE PROGRAM CONTACT

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SBE Program Manager

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QUESTIONS