



Illinois Department
of Transportation

Office of Business
and Workforce
Diversity



Disadvantaged Business Enterprises (DBE) Certification

A Road to Opportunity

DBE Program

In accordance with 49 CFR Part 26
the Illinois Department of Transportation
Office of Business and Workforce Diversity
administers the DBE program

The DBE regulations mandate that minority and women owned businesses be afforded the opportunity to participate in IDOT federally-assisted highway, transit and airport contracts.

Authority: Transportation Equity Act for the 21st Century (TEA-21), Sec. 1101(b), Pub. L. 105-178.

49 CFR Part 26 contains the rules by which the DBE program is administered.

www.idot.illinois.gov

DBE Certification

A firm has to meet federal requirements concerning:

- Presumptive group membership or individual disadvantage
- Business size
- Personal Net Worth
- Ownership
- Control



Presumed Disadvantaged Groups

Black Americans

Hispanic Americans

Native Americans

Asian-Pacific Americans

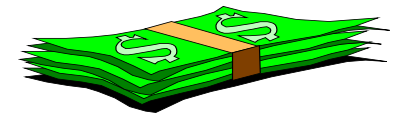
Subcontinent Asian Americans

Women

Other minorities found to be disadvantaged by the SBA

Personal Net Worth & Business Size

- The DBE program imposes a personal net worth (PNW) cap of **\$1.32 million**. Any individual whose PNW exceeds the cap is not eligible to participate in the DBE program.
- Each firm owner whose status is being relied upon for DBE certification must submit a USDOT signed notarized PNW statement.
- Recipients are required to conduct size determinations on all businesses applying for DBE certification.
- Industry size caps, are set by the **Small Business Administration (SBA)**. Business gross receipts (GR) are averaged over the preceding 5-years. If a firm's GR exceeds any NAICS size cap, they are not eligible to perform any work covered under that code for DBE goal credit.
- The DBE program cap is **\$28.48 million**, any firm whose GR averaged over the preceding 3-years, exceeds the cap, is not eligible to participate in the DBE program



Certification Submittal & Process

Submit:

- Application signed & notarized
- Statement of Personal Net Worth signed & notarized
- All applicable documentation identified on the USDOT application supporting documents checklist

Process:

- Intake
- Application assigned to Certification Analyst.
(This is your contact throughout the process.)
- On-site interview
- Written report
- Administrative Review Panel decision

Certification

Certification review process: Is ninety (90) days from receipt of a complete application. Once certified your firm's name, address, work categories and district work preference will appear in the IL UCP directory located at www.idot.Illinois.gov

Continued Certification

Once certified, a firm must (annually) submit a **No Change Affidavit (NCA)** by their anniversary date.

- Will receive an NCA notification containing the affidavit **60-days** prior the anniversary date
- Will receive a reminder notification **30-days** later
- Failure to submit the NCA will result in the commencement of removal of DBE certification



How to Request Additional Categories

Work Category Expansion



IDOT's Core Types of Work

North American Industry Classification System (NAICS) CODES

541330

Engineering
Services

541370

Survey &
Mapping

541380

Testing
Laboratories

237110

Sewer-
Water Line

237310

Bridge
Construction

238210

Highway
Lighting

238320

Painting
Bridges

238910

Site
Preparation

238990

Concrete
Work

484220

Trucking

Highway, airport and transit-related services:

Districts: 1, 2, 3, 4, 5, 6, 7, 8, 9

WORK CATEGORY EXPANSION PROCESS

WORK EXPANSION REQUEST MUST BE SUBMITTED IN WRITING

- Once received, your analyst will provide a **work category and location (WCL)** form and a **work expansion supporting documents checklist (WESD)**
- **WCL:** You must check the box next to the type(s) of work you are requesting, if the type of work is not listed, check the other box and hand write it on the form. This is also a great opportunity to reconsider Districts in which you want to work by checking the applicable box(es)
- **WESD:** You must provide all applicable information listed pertaining to your expansion request including up-dated and or new documentation (e.g., resumes, licensure, titles, etc.)
- In accordance with 49 CFR Part 26, approval of work expansions are based on the DBE owner(s) ability to the control and having the required equipment to perform the work

WORK CATEGORY EXPANSION PROCESS (CONT.)

- Work expansion requests, may also have to meet State and or IDOT criteria (i.e. licensure, specific Bureau approval listings etc).
- Once approved, you will receive a category revision letter listing all work you are currently DBE certified in
- Your listing in the IL UCP directory will be updated to reflect your new categories including the National American Industry Classification System codes (NAICS).
- Expansion processing time is approximately 30 days from receipt of all applicable information

CERTIFICATION CONTACTS

Certification Section:
217-782-5490

Bureau Chief
Aliceber Rivera-Alfaro

Section Manager
Tony Day

Unit Managers
Lincoln Blackwell
Steven Moss

Analysts
Jennifer Childress
Anna Ramirez
Edward Dougherty
Joelle Goldbeck
Dwayne Curry

Supportive Services Assistance

Certification information/assistance is available at the Bureau of Small Business Enterprises' Resource Centers in Districts 1 - 9.

IDOT's Supportive Service Program (SSP) offers certification assistance to any businesses who are seeking to apply for DBE certification.

Once a firm becomes certified, SSP can provide a host of other services upon request

IDOT's SSP provides management, technical, technology, financial and bonding assistance among others.

COMPLIANCE and SUPPORTIVE SERVICES CONTACTS

**Compliance Section:
217-782-5490**

Ronald Brown

Statewide Contract Compliance Manager
Policy & Supportive Services

Brian Hendricks

Unit Manager
Policy & Supportive Services

Bernice Richie

Unit Manager
Contract Compliance

QUESTIONS

