

# Disadvantaged Business Enterprises Newsletter

Civil Rights and Small Business Development

## Contact Us:

Office for Civil Rights & Small Business Development  
Kentucky Transportation Cabinet  
200 Mero Street, 6th Floor West  
Frankfort, KY 40622  
Phone: (502) 564-3601  
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[Visit our Website](#)

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The Indiana Department of Transportation and Kentucky Transportation Cabinet are excited to announce a partnership to allow certified Disadvantaged Business Enterprise (DBE) firms from each state to work on federally-funded projects in the other state without having to apply for an extra certification.

DBE firms must be pre-qualified in accordance with the requirements of the state where the project is located.

[Visit the DBE Exchange Website](#)



### WHY FORM THIS PARTNERSHIP?

- To remove regulatory and administrative barriers to DBE participation on federally-funded projects
- To increase opportunities for DBE firms
- To bring together certified DBEs and prime contractors
- To create access to a larger pool of projects, ultimately helping DBE firms to become prime contractors

### DETAILS OF THE DEAL

- The initial length of the agreement is one year, beginning July 1st, 2018, with the option to extend it for an additional four years
- All DBEs operating under the agreement are subject to all policies, statutes and regulations, including the DBE regulations under 49 C.F.R. Part 26
- The agreement does not grant interstate certification
- DBE firms must comply with all applicable local and state guidance, statutes, regulations, and policies applicable to the work performed in the state where the project takes place

### DBEs GET

- **Access to bid on more jobs**
- **The opportunity to bid as a prime contractor**
- **Access to support from both states and DBE support services**
- **The opportunity to foster new business relationships**
- **Opportunities for growth**

### PRIMES GET

- **The opportunity to reach DBE participation goals**
- **Reduced construction costs**
- **The ability to bid more projects knowing DBE firms with be available in each state**
- **A large pool of DBE firms to work with**

**MAKE SURE YOU MEET PRE-QUALIFICATION REQUIREMENTS**

KENTUCKY PRE-QUALIFICATION

INDIANA PRE-QUALIFICATION



## New DBE Online Application

Visit and Apply

Step 1 of 25

Company Information	Street Address	Mailing Address
<b>Contact Name</b> Enter name	<b>Address</b> Enter address	<b>Address</b> Enter address
<b>Contact Title</b> Enter title	<b>City</b> Enter city	<b>City</b> Enter city
<b>Legal Firm Name</b> Enter firm name	<b>County</b> Enter county	<b>County</b> Enter county
<b>Phone One</b> Enter phone #	<b>State</b> KY	<b>State</b> KY
<b>Phone Two</b> Enter phone #	<b>Zip</b> Enter zip code	<b>Zip</b> Enter zip code
<b>Fax</b> Enter fax #	<input type="checkbox"/> Only by Mailing	
<b>Email</b> Enter email address		
<b>Website</b> Enter firm website		

Cancel Continue

## Step-by-Step Process

### Starting a New Application on DBE Online

- 1) Enter your Federal Tax ID
- 2) Enter Basic Contact Information
- 3) Prior Certifications and Applications
  - Have you ever applied for DBE/ACDBE certification?
  - If you are certified in your home state as a DBE/ACDBE, you do not have to complete this application for other states.
- 4) Supporting Documentation
  - i.e. - Signed Affidavit, Resume, Up-to-date Personal Net Worth Statement, Licenses/Permits, Federal and Personal Tax Returns for over the past three years, and any other documents submitted to the home state for certification.
- 5) Submit all required documents. You will be contacted by a Program Investigative Officer.

Under Federal Regulation 49 CFR 26.83(j), you are required to submit an Annual "No Change Affidavit" verifying that no changes have occurred in your firm. Your Annual No Change Affidavit is due on or before your original date of certification each calendar year. The items required for submission include the "No Change Affidavit," a current list of NAICS business codes, previous year balance sheet, business license or certifications (if applicable), and previous year Federal Business taxes.

We do not accept electronic submissions. Hard copy only, please.

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## United States DOT-OIG

### REPORT FRAUD, WASTE, & ABUSE

According to the Inspector General Act of 1978, the role of an Inspector General is to prevent and detect waste, fraud, and abuse relating to each agency's programs and operations, and to promote economy, efficiency, and effectiveness in the agency's programs and operations.



#### EXAMPLES OF WRONGDOING

- Contract and Procurement Fraud
- False Claims
- Bribery or Solicitation of Bribes
- Solicitation or Acceptance of Gratuities
- Kickbacks
- Ethical Violations
- Health, Safety or Environmental Violations
- Theft or Misuse of Government Property
- Retaliation for Whistleblower Complaints

Visit below for further examples:

<https://www.oig.dot.gov/investigations/common-fraud-schemes>

→ **If you know of any such incidents, you may report any and all allegations through the following contact information:**

***United States Department of Transportation Office of Inspector General***

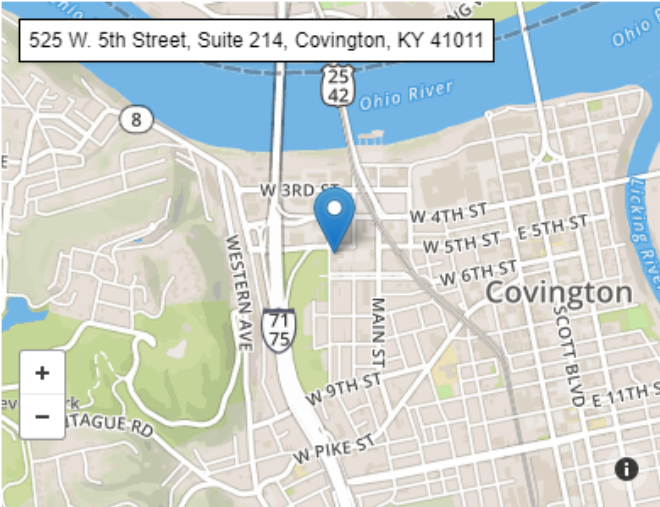
Toll Free Hotline: (800) 424-9071  
Direct: (202) 366-1461  
Fax: (202) 366-7749  
Email: [hotline@oig.dot.gov](mailto:hotline@oig.dot.gov)  
Web: <https://www.oig.dot.gov/hotline>

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### Supportive Services

525 W. 5th Street, Suite 214  
Covington, KY 41011  
(855) 678-9323  
<https://www.kydb.com/>



The KYTC DBE Supportive Services Program provides support to businesses that are accepted into the DBE program. This support includes FREE opportunities to enable one's business to successfully compete with larger businesses. Its purpose is to increase the number of certified DBE contractors doing business with KYTC, as well as the dollar percentage awarded to DBEs. Supportive Services provides activities and services designed to contribute to the development of self-sufficiency of certified DBE contractors and consultants so that they may achieve proficiency in competing for contracts and subcontracts. These services also help DBEs gain knowledge of regulation compliance.

Construction Estimating Institute (CEI), the leading provider of construction education, is one of the programs that provides the educational sessions that all of our DBE's. Their courses provide the essential training and critical information that construction professionals need to be effective within their companies and organizations. CEI has trained over 100,000 construction professionals.

### Free Online Classes

CEI delivers public training courses in the areas of civil estimating, building estimating, project scheduling, construction project management, construction negotiating, construction business management, construction bonding, construction laws, construction safety and accounting.

- Navigating KYTC Doing Business with KYTC
- Marketing your Business
- Locating Work Opportunities in KYTC
- Your Contracting Business-Part 1: Managing your Business
- Your Contracting Business-Part 2: Accounting and Bookkeeping
- Contracts and Compliance
- Estimating and Bidding-Part 1: Estimating Labor Costs
- Estimating and Bidding-Part 2: Estimating Material & Equipment Costs
- Specifications and Scheduling: How to Schedule a Project
- Basic Estimating for KYTC Parts 1 & 2 Estimating Quantities

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## Kentucky Procurement Technical Assistance Center

*"The mission of the Kentucky Procurement Technical Assistance Center (KYPTAC) is to provide marketing and procurement assistance to Kentucky businesses interested in selling their products and/or services either directly or indirectly to federal, state or local governments"*

Kentucky Procurement Technical Assistance Center (KYPTAC) can help verify that a business is correctly registered in the government contract award system. The System for Award Management (SAM) allows qualifying companies to do business with the government. PTAC specialists can assist with registrations in other Federal, State, and Local government databases. PTAC also helps to determine eligibility for special certifications which may create unique work opportunities with government agencies.



KENTUCKY  
**PTAC**  
Procurement Technical Assistance Center

Government Contracting Workshops



## Qualifying for PTAC

- *Must be a KY-based business*
- *Have email/internet access*
- *Complete KYPTAC application*
- *Complete yearly surveys*
- *Desire to sell to the government*
- *Potential to sell to the government*
- *Must be in business 2 or more years*

## Services Offered

### Determining Government Contracting Feasibility:

PTAC specialists can help assess a company's readiness for pursuing the unique challenges associated with federal, state, and local government contracting. Assessing a company's readiness allows them to better position the company for success.

### Marketing Strategy:

PTAC can advise on developing an effective marketing strategy for getting contracts.

### Identifying Bid Opportunities:

PTAC offers a Bid Match service to notify companies of contract opportunities.



U.S. Small Business Administration

Prior to becoming a DBE you should consider contacting the Small Business Administration (SBA) for assistance.

In the Small Business Act of July 1953, Congress created the Small Business Administration, whose function is to "aid, counsel, assist, and protect, insofar as is possible, the interests of small business concerns." The charter also stipulates that SBA would ensure small businesses a "fair proportion" of government contracts and sales of surplus property.

SBA provides assistance primarily through its four programmatic functions:

- **Access to Capital** (Business Financing)
- **Entrepreneurial Development** (Education, Information, Technical Assistance & Training)
- **Government Contracting** (Federal Procurement)
- **Advocacy** (Voice for Small Business)

The SBA provides valuable information to you as a business owner that you may find helpful. Their contact information is listed below:

Ralph Ross  
District Director

Mazzoli Federal Building, Room 188  
600 Dr. Martin Luther King, Jr. Place  
Louisville, KY 40202

Phone: (502) 582-5971

Fax: (502) 582-5009

Website: <https://www.sba.gov/>

Office Email: [DL0092@sba.gov](mailto:DL0092@sba.gov) or [kyconference@sba.gov](mailto:kyconference@sba.gov)

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## Financial Literacy Opportunities



### Commerce Lexington Economic Development

Phone: (859) 226-1621

330 East Main St. Suite 205  
Lexington, KY 40507

Website:

<http://www.locateinlexington.com/>

#### **What is the Access Loan Program?**

- Commerce Lexington and Lexington's leading banks and financial institutions have teamed up in the Access Program to improve your odds of getting approval for a loan that matches your business needs.
- There are no guarantees, but you will know what your chances are of securing the credit you desire. The program will provide valuable feedback from experts from the lending community experts to assist you in putting together a business plan on gathering information important to your success.

## Participating Entities

- Bank of the Bluegrass & Trust Co.
- Bank of Hindman
- BB&T
- Central Bank & Trust Co.
- Chase / J.P. Morgan
- City National Bank
- Community Trust Bank
- Community Ventures Corporation
- Cumberland Valley National Bank
- Field and Main Bank
- Fifth Third Bank
- First State Bank
- Kentucky Bank
- LFUCG
- Limestone Bank
- Park Community Credit Union
- PNC Bank
- Republic Bank & Trust
- Small Business Development Center
- South Central Bank
- Town & Country Bank
- Traditional Bank
- U.S. Bank
- WesBanco
- US Small Business Admin.

### Kentucky Economic Development Finance Authority (KEDFA)

Phone: (800) 626-2930

300 W. Broadway  
Frankfort, KY 40601

Website:

<http://thinkkentucky.com/>

### **Small Business Loan Program**

#### Criterion:

- Have 50 or fewer employees
- Businesses engaged in manufacturing, agribusiness or services and technology
- At least one new full time job must be created by the business within one (1) year of the loan closing
- Loan range \$15,000 - \$100,000
- Loan terms are 3 - 10 years depending on the project
- Loans can be used for up to 100% of the project costs or be used in conjunction with other lenders

### Financial Literacy at the Maxwell Street Legal Clinic

Phone: (859) 233-3840

201 East Maxwell Street  
Lexington, KY 40508

Website:

<http://maxlegalaid.kyequaljustice.org>

**Anyone is welcome between the  
hours of 4 and 7 PM on  
Monday through Friday.**

#### Services:

- Help clients draft demand letters for their unpaid wages
- Assist with submission of claims to the Labor Cabinet
- Provide advice and referrals for more complicated cases (such as discrimination, workers' compensation, small claims court, etc.)





## ~ Success Story ~

# MARINE SOLUTIONS

**Address:**

Marine Solutions, Inc.  
c/o Amy Wilkins  
225 Industry Parkway  
Nicholasville, KY 40356

**Phone:** (859) 576-6634

**Fax:** (859) 554-4100

**Email:** [awilkins@MSIdiving.com](mailto:awilkins@MSIdiving.com)

**Website:** <https://www.msimarinesolutions.com/>

- Amy Wilkins, CEO of Marine Solutions

*Marine Solutions was initially certified as a DBE with KYTC in 2008, within one year of starting our company. At that time, we were 7 people working from a small garage unit. Today, we employ over 70 people in Kentucky, Ohio, Maryland, New Jersey and New York and are headquartered in an over 20,000 square foot facility located in Nicholasville, Kentucky. Our growth and success can, in large part, be attributed to our participation in the DBE program.*



*Marine Solutions offers very specialized services that can be difficult to find in the civil engineering and construction market. Our hurdle in earning new business was often lack of awareness of our company or competing against more well-established consultants. In many cases, our potential clients were comfortable with their existing consultant, even if not altogether pleased. One potential client once told me (after not selecting our firm) that it was "better to dance with the devil you know than the devil you don't." Motivation for clients to satisfy a DBE goal provided the incentive for them to look seriously at our qualifications and to give us a chance. Once given an opportunity, we were able to demonstrate our qualifications and professionalism and, over time, we developed long-standing clients that valued our services regardless of DBE requirements.*

*Not only has the DBE program helped us, but we feel that we are making a positive contribution back into the DBE program and the industry we serve. Earning a reputation for services far exceeding what was previously offered has given merit to the DBE program and the many quality firms it includes. Marine Solutions was recognized as the 39th fastest growing small business in the United States in 2015 and voted one of the best places to work in Kentucky in 2018. We fill a much-needed role supporting women in the construction industry, promoting small business enterprises, and providing unique niche services that most large businesses do not offer.*

*The certification process can seem daunting to a small business owner who is typically wearing numerous hats and is unsure of the benefit. I advise businesses to consider certification. The paperwork is comprised of items you have, or should have, and the doors that may open are very likely to have a large impact on your business.*

*KYTC DBE Supportive Services is a great resource and will help you work through the process. We are now certified with many other agencies, but KYTC stands apart from the rest as they provide clear directions and are responsive, easy to work with, and really want to help you succeed.*

# Feedback

We want to hear from you!

- What topics are you interested in learning more about?
- Do you have questions about the DBE Program or organizations affiliated with the DBE Program?



We want to help you succeed, so tell us how we can help.

Is the content of this email relevant to you?

Yes

Select

No

Select



*DBE Program Investigative Officers at the Joint Utility Reception in Louisville, KY*

## Contact Us

**Address:**

Office of Civil Rights and Small Business Development  
200 Mero Street, 6th Floor West  
Frankfort, KY 40622

## DBE Toolbox

49 CFR Part 26



DBE & ACDBE Overview



2

49 CFR Part 23



DBE & ACDBE Overview



2

Personal Net Worth Statement





**UNIFORM CERTIFICATION APPLICATION**  
**DISADVANTAGED BUSINESS ENTERPRISE (DBE) /**  
**AIRPORT CONCESSION DISADVANTAGED BUSINESS ENTERPRISE (ACDBE)**  
49 C.F.R. Parts 23 and 26

**Readmap for Applicants**

- 1. Should I apply?**  
You may be eligible to participate in the DBE/ACDBE program if:
  - The firm is a for-profit business that performs or seeks to perform transportation related work (or a concession activity) for a recipient of Federal Transit Administration, Federal Highway Administration, or Federal Aviation Administration funds.
  - The firm is at least 51% owned by a socially and economically disadvantaged individual(s) who also controls it.
  - The firm's disadvantaged owners are U.S. citizens or lawfully admitted permanent residents of the U.S.
  - The firm meets the Small Business Administration's size standard and does not exceed \$23.5 million in gross annual receipts for DBE (\$32.47 million for ACDBE). (Other size standards apply for ACDBE that are bank/financial institutions, air/rail companies, pay telephone firms, and automobile dealers.)
- 2. How do I apply?**  
First-time applicants for DBE certification must complete and submit this certification application and related material to the certifying agency in your home state and participate in an on-site hearing conducted by that agency. The attached document checklist can help you locate the forms you need to submit to the agency with your completed application. If you fail to submit the required documents, your application may be denied and/or denied. Firms already certified as a DBE do not have to complete this form, but may be asked by certifying agencies on-site if you have state to provide a copy of your final application forms, supporting documents, and any other information you submitted to your home state to obtain certification or to any other state related to your certification.
- 3. Where can I send my application? INSERT UCP PARTICIPATING MEMBER CONTACT INFORMATION!**
- 4. Who will contact me about my application and what are the eligibility standards?**  
The DBE and ACDBE Programs require that all U.S. Department of Transportation (DOT) recipients of federal assistance participate in a nationwide Unified Certification Program (UCP). The UCP is a one-stop certification program that streamlines the need for your firm to obtain certification from multiple certifying agencies within your state. The UCP is responsible for certifying firms and maintaining a database of certified DBEs and ACDBEs for DOT purposes, pursuant to the eligibility standards found in 49 C.F.R. Parts 23 and 26.
- 5. Where can I find more information?**  
U.S. DOT - <http://www.dot.gov> (This site provides useful links to the rules and regulations governing the DBE/ACDBE program, questions and answers, and other pertinent information.)  
SBA - Small Business Size Standards matched to the North American Industry Classification System (NAICS): <http://www.sba.gov/sbc/size/naics> and <http://www.sba.gov/sbc/size/naics/naics-standards>

To fulfill the obligations required by the firm, the Department of Transportation (Department) complies with the provisions of the Federal Acquisition Regulation and Policy Act (51 U.S.C. 552 and 5136). The Policy Act provides competitive procedures for the award of contracts. The information contained in this document is for informational purposes only and is not intended to be used in any way to influence the award of a contract. The information contained in this document is for informational purposes only and is not intended to be used in any way to influence the award of a contract. The information contained in this document is for informational purposes only and is not intended to be used in any way to influence the award of a contract. The information contained in this document is for informational purposes only and is not intended to be used in any way to influence the award of a contract.



**DBE Online Application**

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