

Caine Lane

Contract Number: T-14-036 Chattanooga Department of Transportation

The following is the Schedule for this project:

Request for Information: All questions for this project should be submitted to the city's purchasing department by 4:00 PM on Friday, September 20, 2019. Addenda: All questions will be answered in addenda no later than 4:00 PM on Tuesday, September 24, 2019. Bid Opening: All Bids <u>MUST</u> be received by the city's purchasing department located at

101 East 11th Street Chattanooga, TN 37402 no later than **2:00 PM** on **Tuesday, October 1, 2019** in the Purchasing Conference Room.

<u>Comment 1</u>: When submitting your sealed bid to Purchasing, you <u>**MUST**</u> include Form 00201, Contractor's ID on the outside of the envelope. See the form below. NO bid will be opened without this form completed on the outside of the bid package envelope.

Comment 2:

The Pre-Bid Meeting was not mandatory, but suggested. It was Tuesday, **September 9**, **2019** at **11:00 am**. If you were not able to attend please feel free to contact Debbie Talley for any questions or comments you may have.

Comment 3:

All prospective bidders are to be TDOT (Tennessee Department of Transportation) prequalified. In addition, before opening the bids we have to make sure the bidders have not been removed from the pre-qualification list.

Bid Proposals can be issued up to the date and time of the bid opening because we may have a bidder that comes in at the last minute to place a bid. That is fine as long as their bonding company is there to sign the bid bond as well.

If you are not currently prequalified with TDOT, you MUST complete the process as soon as possible by going to this link: https://www.tn.gov/tdot/tdot-construction-division/construction-prequalification.html.

Comment 4:

You must be TDOT pre-qualified <u>and</u> TNUCP Certified in order to work as a DBE on the project. You have to be qualified through the DBE Offices of TDOT. If you are not already certified, there are forms to complete and it is a great idea to get that done as soon as possible by going to this link: <u>https://www.transportation.gov/civil-rights/disadvantaged-business-enterprise/ready-apply</u>. See application below. There is a DBE goal of 12% on this project.

Question:

I received the bid docs, thank you! I have a quick question on the Caine Lane Greenway bid – I can't find a bid form itemization sheet in the spec book. There is a form that has pricing already listed on it and it's divided out by federal funds and local match. But I don't see a form that we fill out for the bid with the line items. Am I missing something? Thanks for your help!

Answer:

Please see bid schedule as art of this addendum.

Below are questions / comments from the Pre-Bid Meeting:

Question 1: How long is this project? **Answer 1:** 3,900 Square Feet

Question: How many days do we have to complete this project? 240 days

Question: Why are we given so many days?

Answer: The number of days was increased to cover any unseen delays. We wanted to protect the contract and the contractor by allowing a reasonable and responsible amount of days.

Question: Is the site balanced between cut and fill? **Answer:** Mathematically yes, I believe it is mostly balanced. However, some backfill/borrow make need to be brought in as fill dirt.

Question: Who is responsible for the survey/layout? **Answer:** CDOT has done the survey and it is in a CAD file. CDOT will provide the survey and design CAD file. The contractor will be responsible for their own field staking and layout.

Question: Do you do a density test? **Answer:** Yes. There will be a CEI in place for quality control services.

Question: Who is the CEI? **Answer:** Benesch.

Question: Do you require an arborist?

Answer: The City has an arborist, and we have walked the site with him and he has already approved the clearing shown on the plans. Also, one bat tree was identified during the NEPA phase. It is marked on the plan set and should be avoided.

Question: When do you expect this project to start?

Answer: As soon as possible. The bid opening is scheduled for October 1, so we should have council approval and the contract signed by mid to late November.

Question: What needs to be done with the bat tree? **Answer:** The project will go around the tree leaving it undisturbed.

Question: Did you provide the cut/fill on the stormwater swales and cross sections. **Answer:** No, we did not.

Question: So the Shallowford Road project ties right into this one? **Answer:** Yes.

Question: Have the utility poles been relocated already? **Answer:** No, they have not been relocated to date.

Question: Will the contractor be responsible for any utility pole needed? **Answer:** This is TO BE DETERMINED. They have been included on the bid schedule in case needed.

Question: Is there any new asphalt on this project? **Answer:** No, there will not be any asphalt needed unless a patch is needed where the new curb line is going in (Sta. 46+00 to Sta. 53+00).

Question: Will there be ADA Mats or Brick? **Answer:** There will be Inlays. This is referenced in the Spec Book. TDOT specifies Yellow.

SECTION 00201

CONTRACTOR'S IDENTIFICATION

This form shall be attached to the sealed envelope containing the Bid.

BIDDER:	SEALED BID PROPOSAL FOR :
Name:	
Address:	
	BID OPENING DATE AND TIME:
Elecrtical Subcontractor:	LOCATION: City Hall, Purchasing Department 101 E. 11th Street Suite G13
HVAC Subcontractor:	Chattanooga, TN 37402
Plumming Subcontractor:	
Masonry Subcontractor:	

CITY OF CHATTANOOGA Purchasing Department 101 E. 11th Street, Suite G13 Chattanooga, Tennessee 37402

	TDOT LINE ITEM #	ITEM DESCRIPTION	UNIT	QUANTITY	UNIT PRICE	TOTAL
		Site Preparation & Demolition:				
	201-01.03	Clearing and Grubbing	ACRE	0.8		
	201-07.01	Removal and Disposal of Brush & Trees	LS	1		
	202-03	Removal of Rigid Pavement, Sidewalk, Etc.	SY	48		
	202-03.01	Removal of Asphalt Pavement	SY	133		
	202-08.15	Removal of Curb and Gutter (at curb ramp locations - typ. 4 places)	LF	98		
	407-20.05	Saw Cutting Asphalt Pavement	LF	765		
	502-04.01	Sawing Concrete Pavement (Full Depth)	LF	29		
	707-06.01	Removal of Fence (6 Foot Chain Link w/ 3s Barb Wire)	LF	486		
	716-08.03	Removal of Pavement Marking (Cross-walk)	LF	280		
		Construction Items:				
	203-03	Borrow Excavation (Unclassified)	CY	500		
	203-01.79	Excavation/Backfill	CY	450		
(2, 2a)	209-03.20	Filter Sock (8 inch)	LF	150		
	209-05	Sediment Removal	CY	1		
(2, 2a)	209-08.07	Rock Check Dams Per	EA	3		
,	604-01.20	Box Tube Safety Rail	LF	220		
	604-07.30	Retaining Wall (Hybrid Integrated, +/- 2 ft. in height as seen on sidewalk w/ turndown)	LF	222		
(3)	607-02.02	15" Concrete Pipe Culvert (Class III)	LF	26		
(3)		18" Concrete Pipe Culvert (Class III)	LF	28		
(4)		Trench Drains	LF	26		
(5)	701-01.01	Concrete Sidewalk (4")	SF	18905		
(6)	701-01.03	Concrete Sidewalk - 4" (for 10' shared use path)	SF	7410		
	701-02	Concrete Driveway	SF	1034		
	701-02.03	Concrete Curb Ramp	SF	925		
	702-01.02	Concrete Curb	LF	1058		
	702-03	Concrete Combined Curb and Gutter	CY	6		
	707-01.14	Gate - Chain-Link Fence-6 Foot (5 Foot Wide X 6 Foot Tall w/ 3s Barb Wire)	EA	1		
	707-08.01	Fence (6 Foot Chain-Link w/ 3 Strand Barbed Wire)	LF	486		
(7)	709-05.06	Machined Rip-Rap (Class A-1)	TON	22		
	714-01.38	Light Pole Relocation	EA	1		
	714-05.45	Remove & Relocate Utility Pole	EA	2		
	716-10.30	Truncated Dome Detectable Warning Mat	SF	180		
(9)	730-01.02	Removal of Signal Equipment	EA	2		
	730-26.11	Countdown Ped Sgnl Head w/ Audible Push Button & 15in Sign	EA	2		
	760-13.67	Remove OH Electric Utility Guy/Anchor Assy	LS	1		
	760-15.16	Down Guy 7/16 in (E-13)	EA	1		
(10)	790-42.11	6 Inch Diameter PVC Pipe	LF	60		
	795-16.21	Relocate/Reconnect 2" Water Meter Assm	EA	2		
	797-11.20	48" MH Adjustment decrease height	VF	1		
(2, 2a)	805-12.01	Erosion Control Blanket (Type 1)	SY	440		
(2, 2a)	805-01.01	Turf Reinforcement Mat (Class 1)	SY	150		

	TDOT LINE ITEM #	ITEM DESCRIPTION	UNIT	QUANTITY	UNIT PRICE	TOTAL
		Striping				
(8)	716-02.03	Plastic Pavement Marking (Crosswalk)	SF	900		
(8)	716-04.11	Plastic Pavement Marking (Bicycle Symbol w/ Rider)	EA	4		
		Signage:		-		
	712-04.01	Flexible Drums (Channelizing)	EA	18		
	712-06	Signs (Construction)	SF	24		
	713-16.20	Signs (Bike Route, Ped Traffic, etc.)	EA	31		
		Landscaping:		-		
	203-04	Placing & Spreading Topsoil	CY	300		
(2, 2a)	801-01	Seeding (with Mulch)	UNIT	30		
(2, 2a)	801-02	Seeding (without Mulch)	UNIT	5		
		Miscellaneous:		-		
(1)	202-01.50	Removal of Structures and Obstructions	EA	4		
		Mobilization and Administraton Costs:		-		
	717-01	Moblization	LS	1		
	712-99.91	Traffic Control	LS	1		
(2, 2a)	801-02 202-01.50 717-01	Seeding (without Mulch) Miscellaneous: Removal of Structures and Obstructions Mobilization and Administraton Costs: Moblization	UNIT EA LS	5 4 1		

Total Base Bid

Footnotes

- (1) Relocate mailbox.
- (2) See subsection 209.07 of the Standard Specifications for Maintenance Replacement.
- (2a) All quantities are to be used as directed by the Engineer.
- (3) Bedding material shall be included in the cost of pipe.
- (4) Payment for trench drains shall be per linear foot (per 12" standard width). Wider trench drains shall be given an equivalent quantity; e.g. 1 LF of 24" wide trench drain equals 2 LF under this pay item.
- (5) Includes all material and labor and up to 6" excavation.
- (6) Includes all material and labor and up to 8" excavation.
- (7) For stormwater outfall. Includes excavation, placement, & nonwoven geotextile underlayment. Complete-in-place.
- (8) The contractor may elect to substitute preformed plastic for thermoplastic. Preformed plastic shall be paid for at the same unit price as bid for Thermoplastic.
- (9) Consists of removing existing pushbuttons at Shallowford Road.
- (10) Shall be sch. 80 pvc. Includes installation, backfill, etc. Complete-in-place.



Appendix F

UNIFORM CERTIFICATION APPLICATION

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

Roadmap 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 \$23.98 million in gross annual receipts for DBE (\$56.42 million for ACDBEs). (Other size standards apply for ACDBE that are banks/financial institutions, car rental 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 interview conducted by that agency. The attached document checklist can help you locate the items you need to submit to the agency with your completed application. If you fail to submit the required documents, your application may be delayed and/or denied. Firms already certified as a DBE do not have to complete this form, but may be asked by certifying agencies outside of your home state to provide a copy of your initial application form, 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? A transportation agency in your state that performs certification functions will contact you. The agency is a member of a statewide Unified Certification Program (UCP), which is required by the U.S. Department of Transportation. The UCP is a one-stop certification program that eliminates 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, 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-<u>https://www.transportation.gov/civil-rights</u> (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.census.gov/eos/www/naics/ and http://www.sba.gov/content/table-small-business-size-standards.

In collecting the information requested by this form, the Department of Transportation (Department) complies with the provisions of the Federal Freedom of Information and Privacy Acts (5 U.S.C. 552 and 552a). The Privacy Act provides comprehensive protections for your personal information. This includes how information is collected, used, disclosed, stored, and discarded. Your information will not be disclosed to third parties without your consent. The information collected will be used solely to determine your firm's eligibility to participate in the Department's Disadvantaged Business Enterprise Program as defined in 49 C.F.R. §26.5 and the Airport Concession Disadvantaged Business Enterprise Program as defined in 49 C.F.R. §23.3. You may review DOT's complete Privacy Act Statement in the Federal Register published on April 11, 2000 (65 FR 19477)

Under 49 C.F.R. §26.107, dated February 2, 1999 and January 28, 2011, if at any time, the Department or a recipient has reason to believe that any person or firm has willfully and knowingly provided incorrect information or made false statements, the Department may initiate suspension or debarment proceedings against the person or firm under 2 C.F.R. Parts 180 and 1200, No procurement Suspension and Department, take enforcement action under 49 C.F.R. Part 31, Program Fraud and Civil Remedies, and/or refer the matter to the Department of Justice for criminal prosecution under 18 U.S.C. 1001, which prohibits false statements in Federal programs.



INSTRUCTIONS FOR COMPLETING THE DISADVANTAGED BUSINESS ENTERPRISE (DBE) AIRPORT CONCESSIONS DISADVANTAGED BUSINESS ENTERPRISE (ACDBE) UNIFORM CERTIFICATION APPLICATION

<u>NOTE</u>: All participating firms must be for-profit enterprises. If your firm is not for profit, then you do NOT qualify for the DBE/ACDBE program and should not complete this application. 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. Basic Contact Information

- (1) Enter the contact name and title of the person completing this application and the person who will serve as your firm's contact for this application.
- (2) Enter the legal name of your firm, as indicated in your firm's Articles of Incorporation or charter.
- (3) Enter the primary phone number of your firm.
- (4) Enter a secondary phone number, if any.
- (5) Enter your firm's fax number, if any.
- (6) Enter the contact person's email address.
- (7) Enter your firm's website addresses, if any.
- (8) Enter the street address of the firm where its offices are physically located (not a P.O. Box).
- (9) Enter the mailing address of your firm, if it is different from your firm's street address.

B. Prior/Other Certifications and Applications

- (10) Check the appropriate box indicating whether your firm is currently certified in the DBE/ACDBE programs, and provide the name of the certifying agency that certified your firm. List the dates of any site visits conducted by your home state and any other states or UCP members. Also provide the names of state/UCP members that conducted the review.
- (11) Indicate whether your firm or any firms owned by the persons listed has ever been denied certification as a DBE/ACDBE, 8(a), or Small Disadvantaged Business (SDB) firm, or state and local MBE/WBE firm. Indicate if the firm has ever been decertified from one of these programs. Indicate if the application was withdrawn or whether the firm was debarred, suspended, or otherwise had its bidding privileges denied or restricted by any state or local agency, or Federal entity. If your answer is yes, identify the name of the agency, and explain fully the nature of the action in the space provided. Indicate if you have ever appealed this decision to the Department and if so, attach a copy of USDOT's final agency decision(s).

Section 2: GENERAL INFORMATION

A. Business profile:

(1) Give a concise description of the firm's primary activities, the product(s) or services the company provides, or type of construction. If your company offers more than one product/service, list primary product or service first (attach additional sheets if necessary). This description may be used in our UCP online directory if you are certified as a DBE.

- (2) If you know the appropriate NAICS Code for the line(s) of work you identified in your business profile, enter the codes in the space provided.
- (3) State the date on which your firm was established as stated in your firm's Articles of Incorporation or charter.
- (4) State the date each person became a firm owner.
- (5) Check the appropriate box describing 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." If you checked "No," then you do NOT qualify for the DBE/ACDBE program and should not complete this application. All participating firms must be for-profit enterprises. Provide the Federal Tax ID number as stated on your firm's Federal tax return.
- (7) Check the appropriate box that describes the type of legal business structure of your firm, as indicated in your firm's Articles of Incorporation or similar document. If you checked "Other," briefly explain in the space provided.
- (8) Indicate in the spaces provided how many employees your firm has, specifying the number of employees who work on a full-time, part-time, and seasonal basis. Attach a list of employees, their job titles, and dates of employment, to your application.
- (9) Specify the firm's gross receipts for each of the past three years, as stated in your firm's filed Federal tax returns. You must submit complete copies of the firm's Federal tax returns for each year. If there are any affiliates or subsidiaries of the applicant firm or owners, you must provide these firms' gross receipts and submit complete copies of these firm(s) Federal tax returns. Affiliation is defined in 49 C.F.R. §26.5 and 13 C.F.R. Part 121.

B. Relationships and Dealings 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, financing, or any office staff and/or employees with any other business, organization or entity of any kind. If you answered "Yes," then specify the name of the other firm(s) and fully explain the nature of your relationship with these other businesses by identifying the business or person with whom you have any formal, informal, written, or oral



agreement. Provide an explanation of any items shared with other firms in the space provided.

- (2) Check the appropriate box indicating whether any other firm currently has or had an ownership interest in your firm at present or at any time in the past. If you checked yes, please explain.
- (3) Check the appropriate box that indicates whether at present or at any time in the past your firm:
- (a) ever existed under different ownership, a different type of ownership, or a different name;
- (b) existed as a subsidiary of any other firm;
- (c) existed as a partnership in which one or more of the partners are/were other firms;
- (d) owned any percentage of any other firm; and
- (e) had any subsidiaries of its own.
- (f) served as a subcontractor with another firm constituting more than 25% of your firm's receipts.

If you answered "Yes" to any of the questions in (3)(a-f), you may be asked to explain the arrangement in detail.

Section 3: MAJORITY OWNER INFORMATION

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 owner):

A. Identify the majority owner of the firm holding 51% or more ownership interest

- (1) Enter the full name of the owner.
- (2) Enter his/her title or position within your firm.
- (3) Give his/her home phone number.
- (4) Enter his/her home (street) address.
- (5) Indicate this owner's gender.
- (6) Identify the owner's ethnic group membership. 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 or 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.
- (8) Enter the number of years during which this owner has been an owner of your firm.
- (9) Indicate the percentage of the total ownership this person holds and the date acquired, including (if appropriate), the class of stock owned.
- (10) 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. Describe how you acquired your business and attach documentation substantiating this investment.

B. Additional Owner Information

- (1) Describe the familial relationship of this owner to each other owner of your firm and employees.
- (2) Indicate 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 function/title held in that business.

(3) (a) Check the appropriate box that indicates whether this owner owns or works for any other firm(s) that has <u>any</u> relationship with your firm. If you checked "Yes," identify the name of the other business, the nature of the business relationship, and the owner's function at the firm.

(b) If the owner works for any other firm, non-profit organization, or is engaged in any other activity more than 10 hours per week, please identify this activity.

- (4) (a) Provide the personal net worth of the owner applying for certification in the space provided. Complete and attach the accompanying "Personal Net Worth Statement for DBE/ACDBE Program Eligibility" with your application. Note, complete this section and accompanying statement only for each owner applying for DBE qualification (i.e., for each owner claiming to be socially and economically disadvantaged).
- (b) Check the appropriate box that indicates whether any trust has been created for the benefit of the disadvantaged owner(s). If you answered "Yes," you may be asked to provide a copy of the trust instrument.
- (5) Check the appropriate to indicate whether any of your immediate family members, managers, or employees, own, manage, or are associated with another company. Immediate family member is defined in 49 C.F.R. §26.5. If you answered "Yes," provide the name of each person, your relationship to them, the name of the company, the type of business, and whether they own or manage the company.

Section 4: CONTROL

A. Identify the 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.
- (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 to indicate whether any of your firm's officers and/or directors listed above performs 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. (e.g., ownership interest, shared office space, financial investments, equipment leases, personnel sharing, etc.) If you answered "Yes," identify the name of the firm, the individual's name, and the nature of his/her business relationship with that other firm.

B. Duties of Owners, Officers, Directors, Managers and Key Personnel

(1), (2) Specify the roles of the majority and minority owners, directors, officers, and managers, and key personnel who are responsible for the functions listed for the firm. Submit résumés for each owner and non-owner identified below. State the name of the individual, title, race



and gender and percentage ownership if any. Circle the frequency of each person's involvement as follows: "always, frequently, seldom, or never" in each area.

Indicate whether any of the persons listed in this section perform a management or supervisory function for any other business. Identify the person, business, and their title/function. Identify if any of the persons listed above own or work for any other firm(s) that has a relationship with this firm (e.g. ownership interest, shared office space, financial investment, equipment, leases, personnel sharing, etc.) If you answered "Yes," describe the nature of his/her business relationship with that other firm.

C. Inventory: Indicate firm inventory in these categories:

(1) Equipment and Vehicles

State the make and model, and current dollar value of each piece of equipment and motor vehicle held and/or used by your firm. Indicate whether each piece is either owned or leased by your firm or owner, whether it is used as collateral, and where this item is stored.

(2) Office Space

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

(3) Storage Space

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

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," you may be asked to explain the nature of that reliance and the extent to which the other firm carries out such functions.

E. Financial / Banking Information

State the name, City and State of your firm's bank. Identify the persons able to sign checks on this account. Provide bank authorization and signature cards.

Bonding Information. State your firm's bonding limits both aggregate and project limits.

F. Sources, amounts, and purposes of money loaned to your firm, including the names of persons or firms guaranteeing the loan.

State the name and address of each source, the name of person securing the loan, original dollar amount and the current balance of each loan, and the purpose for which each loan was made to your firm. Provide copies of signed loan agreements and security agreements

G. Contributions or transfers of assets to/from your firm and to/from any of its owners or another individual 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 <u>from whom</u> it was transferred, the person or firm <u>to</u> <u>whom</u> it was transferred, the relationship between the two persons and/or firms, and the date of the transfer.

H. 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 issuing State of the license or permit. Attach copies of licenses, license renewal forms, permits, and haul authority forms.

I. 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. 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.

Section 5: <u>AIRPORT CONCESSION (ACDBE)</u> <u>APPLICANTS</u>

Complete the entries in this section if you are applying for ACDBE certification. Indicate in Section A if you operate a concession at the airport, and/or supply a good or service to an airport concessionaire. Indicate in Section B whether the applicant firm owns or operates any off-airport locations, providing the type of business, lease information, address/location, and annual gross receipts generated. Provide similar information in section C for any airport concession locations the firm currently owns or operates. If the applicant firm has any affiliates, provide the requested information in Section D. Indicate whether the ACDBE firm is participating in any joint ventures, and if so, include the original and any amended joint venture agreements.

AFFIDAVIT & SIGNATURE

The Affidavit of Certification must accompany your application. 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.

Section 1: <u>A. Basic Contact Information</u>		TION INFORMATION ing for certification as D	BE 🗖 ACDB	E
(1) Contact person and Title:		(2) Legal name of firm: _		
(3) Phone #: () (4) Ot	ther Phone #:	() (5) F	°ax #: ())
(6) E-mail:	(7) I	Firm Websites:		
(8) Street address of firm (No P.O. Box):	City:			
(9) Mailing address of firm (if different):	City:	County/Parish:		Zip:
 B. Prior/Other Certifications and Applicate (10) Is your firm currently certified for an □ DBE □ ACDBE Names of certifying a ⊗ If you are certified in your home state as a DE Ask your state UCP about the interstate certificate List the dates of any site visits conducted Date// State/UCP Member: (11) Indicate whether the firm or any per (a) Denied certification or decertified as a DE 	ny of the follo agencies: BE/ACDBE, you tion process. by your home Da sons listed in	a do <u>not</u> have to complete this application have ever	application fo s or UCP m Member: been:	r other states. embers:
(b) Withdrawn an application for these denied or restricted by any state or local a	programs, or d	ebarred or suspended or oth		
If yes, explain the nature of the action. (If yo	u appealed the o	decision to DOT or another ag	gency, attach d	a copy of the decision,
A. Business Profile: (1) Give a concise descrit provides. If your company offers more that use additional paper if necessary. This descrit are certified as a DBE or ACDBE.	cription of the an one product ription may be	/service, list the primary pro- used in our database and th	oduct or serv e UCP onlin	ice first. Please e directory if you
(2) Applicable NAICS Codes for this line	of work inclu	de:		
(3) This firm was established on <u>/</u> /	/	(4) I/We have owned this	firm since:	//
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(5) Method of acquisition (Check all that a	pply):			Stant OF TRA
 Started new business Bought existing based on the started new business Merger or consolidation Other (explain) 				and a starten of
(6) Is your firm "for profit"? □ Yes Federal Tax ID#			OT for-profit, then you d not fill out this applica	
 (7) Type of Legal Business Structure: (check Sole Proprietorship Limited Liability Partnership Partnership Corporation Limited Liability Company Other, 				
8) Number of employees: Full-time(Provide a list of employees, their job titles, and a	Part-time lates of employment	Seasonal	Total	_
9) Specify the firm's gross receipts for the each year. If there are affiliates or subsidiaries of irms' Federal tax returns).				
Gross Receipts of Applicant Fi	irm \$	Gross Receipt	s of Affiliate Firms \$	
Year Gross Receipts of Applicant Fi Year Gross Receipts of Applicant Fi Year Gross Receipts of Applicant Fi	irm \$	Gross Receipt	s of Affiliate Firms \$	
Year Gross Receipts of Applicant Fi	rm \$	Gross Receipt	s of Affiliate Firms \$	
Yes, explain the nature of your relationship with a ave any formal, informal, written, or oral agreements			business or person will	n wnom you
2) Has any other firm had an ownership in Yes 🖵 No If Yes, explain				t?
■ Yes ■ No II Yes, explain				
 (3) At present, or at any time in the past, h (a) Ever existed under different ownership, a (b) Existed as a subsidiary of any other firm? 	different type of	ownership, or a dif	ferent name? 🗖 Yes	🗖 No
 (c) Existed as a partnership in which one or r (d) Owned any percentage of any other firm? (e) Had any subsidiaries? □ Yes □ No 		ers are/were other fi	rms? 🗖 Yes 🗖 No	
(f) Served as a subcontractor with another fir (If you answered "Yes" to any of the questions in whether the arrangement continues).				
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(1) Full Name:	(2) Title:		(3) Ho			
(1) Fun Rame. (4) Home Address (Street and Number):		City:		State:	Zip:	
(5) Gender:	Cla	Number of yea Percentage owners of stock owner	rs as ow ned: ed:	/ner:% Date a	acquired	
(6) Ethnic group membership (Check a	ll that apply):					
 Black Hispanic Asian Pacific Native American Subcontinent Asian Other (<i>specify</i>) 	acc int De	scribe how you a) acquired	Cash Real Estate Equipment Other	\$ \$ \$	
(7) U.S. Citizenship:□ U.S. Citizen □ Lawfully Admitted Permanent Reside	ent	 Started business myself. It was a gift from:				
(1) Describe familial relationship to ot						
 B. Additional Owner Information Describe familial relationship to ot (2) Does this owner perform a manage Yes, identify: Name of Business:	ement or supervis r any other firm(s, equipment, leases, p	sory function fo Function s) that has a rel personnel sharing, e	n/Title: ationshi	p with this f es D No	firm? (e.g., ownership	
 (1) Describe familial relationship to ot (2) Does this owner perform a manage If Yes, identify: Name of Business: (3)(a) Does this owner own or work fo <i>interest, shared office space, financial investment</i> Identify the name of the business, and th (b) Does this owner work for any othe 	ement or superviser r any other firm(s, equipment, leases, p e nature of the relation r firm, non-profi	sory function fo Function s) that has a rel personnel sharing, e ationship, and th t organization, o	h/Title: lationshi tc.) Y e owner or engag	p with this f Yes D No S function at ge in any oth	firm? (e.g., ownership t the firm: the activity more	
 (1) Describe familial relationship to ot (2) Does this owner perform a manage If Yes, identify: Name of Business: (3)(a) Does this owner own or work fo <i>interest, shared office space, financial investment</i> Identify the name of the business, and th 	ement or supervis r any other firm(s, equipment, leases, p e nature of the rela r firm, non-profi y this activity: of this disadvanta	sory function fo Function s) that has a rel personnel sharing, e ationship, and th t organization, o aged owner app advantaged ow	h/Title: lationshi tc.) Y e owner or engag	p with this f Tes I No Tes function at ge in any oth	firm? (e.g., ownership the firm: eer activity more n? \$	

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Section 3: OWNER INFORMATION, Cont'd.

A. Identify all individuals, firms, or holding companies that hold LESS THAN 51% ownership interest in the firm (*Attach separate sheets for each additional owner*)



(1) Full Name:	(2) Title:		• •	me Phone #	:
(4) Home Address (Street and Number):		City:		State:	
(5) Gender: 🗖 Male 🗖 Female	(9	3) Number of ye 9) Percentage ov	wned:	%	
(6) Ethnic group membership (Check	call that apply) C	lass of stock ow	ned:	Date ac	quired
 Black Hispanic Asian Pacific Native American Subcontinent Asian Other (<i>specify</i>) 	to	10) Initial inv acquire owner nterest in firm:	r ship <u>T</u> C R E		
 (7) U.S. Citizenship: U.S. Citizen Lawfully Admitted Permanent Residual 	ident	 Describe how you Started busines It was a gift from I bought it from I inherited it from Other 	ss myself. om: n: om:		
3. Additional Owner Information (1) Describe familial relationship to	• ·			07	,
 (2) Does this owner perform a mana If Yes, identify: Name of Business:	gement or super for any other fir	m(s) that has a s, personnel sharing	for any ot tion/Title: relationshi	her busines	s?
(b) Does this owner work for any oth more than 10 hours per week? If yes	ner firm, non-pr o	o fit organizatio	n, or is eng	gaged in any	other activity
(4)(a) What is the personal net worth	n of this disadva	ntaged owner a	pplying for	r certificatio	on? \$
(b) Has any trust been created for the (If Yes, you may be asked to provide a copy		-	owner(s)?	Y es D	No
(5) Do any of your immediate family with another company?		. .	•	0,	

business, and indicate whether they own or manage: (Please attach extra sheets, if needed):

Section 4: CONTROL

A. Identify your firm's Officers and Board of Directors (If additional space is required, attach a separate sheet):

	Name	Title	Date Appointed	Ethnicity	Gender
(1) Officers of the Company	(a)				
	(b)				
	(c)				
	(d)				
(2) Board of Directors	(a)				
	(b)				
	(c)				
	(d)				

(3) Do any of the persons listed above perform a management or supervisory function for any other business? □ Yes □ No If Yes, identify for each:

_ Title:
_ Function:
Function:

(4) Do any of the persons listed in section A above own or work for any other firm(s) that has a relationship

with this firm? (e.g., ownership interest, shared office space, financial investments, equipment, leases, personnel sharing, etc.) Yes No

If Yes, identify for each:

Firm Name:	Person:
Nature of Business Relationship:	

B. Duties of Owners, Officers, Directors, Managers, and Key Personnel

1. Complete for all Owners who are responsible for the following functions of the firm (*Attach separate sheets as needed*).

		Majority Owner (51% or more)			nore)	Minority Owner (49% or less)			
A= Always	S = Seldom	Name:				Name:			
F = Frequently	N = Never	Title:				Title:			
		Percent	Owned:			Percent (Owned:		-
Sets policy for comp of operations	any direction/scope	А	F	S	Ν	А	F	S	Ν
Bidding and estimati	ing	А	F	S	Ν	А	F	S	Ν
Major purchasing de	ecisions	А	F	S	Ν	А	F	S	Ν
Marketing and sales		А	F	S	N	А	F	S	Ν
Supervises field oper	rations	А	F	S	Ν	А	F	S	Ν
Attend bid opening a	0	А	F	S	Ν	А	F	S	N
Perform office mana		А	F	S	Ν	А	F	S	Ν
accounts receivable/	payable, etc.)								
Hires and fires mana	igement staff	А	F	S	Ν	А	F	S	Ν
Hire and fire field sta	aff or crew	А	F	S	Ν	А	F	S	Ν
	pending or investment	А	F	S	Ν	А	F	S	Ν
Obligates business b	y contract/credit	А	F	S	N	А	F	S	Ν
Purchase equipment		А	F	S	N	А	F	S	Ν
Signs business check	KS	А	F	S	Ν	А	F	S	Ν

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2. Complete for all Officers, Directors, Managers, and Key Personnel who are responsible for the following functions of the firm. (*Attach separate sheets as needed*).

, I	Officer/	Director/	Manager	Key Personnel	Offi	cer/Directe	or/Manag	er/ Key Personnel
A= Always S = Seldom	Name:			Name:				
$\mathbf{F} = \mathbf{Frequently} \mathbf{N} = \mathbf{Never}$	Title:				Title	e:		
r requency it itever	Race an	d Gender	:		Race	e and Geno	der:	
	Percent	Owned:				ent Owned		
Sets policy for company direction/scope of operations	А	F	S	Ν	Α	F	S	Ν
Bidding and estimating	А	F	S	Ν	А	F	S	Ν
Major purchasing decisions	А	F	S	N	Α	F	S	N
Marketing and sales	А	F	S	Ν	А	F	S	Ν
Supervises field operations	А	F	S	Ν	Α	F	S	Ν
Attend bid opening and lettings	А	F	S	Ν	Α	F	S	Ν
Perform office management (billing, accounts receivable/payable, etc.)	А	F	S	Ν	А	F	S	Ν
Hires and fires management staff	А	F	S	Ν	Α	F	S	Ν
Hire and fire field staff or crew	А	F	S	Ν	Α	F	S	Ν
Designates profits spending or investment	А	F	S	Ν	Α	F	S	Ν
Obligates business by contract/credit	А	F	S	Ν	Α	F	S	Ν
Purchase equipment	А	F	S	Ν	Α	F	S	Ν
Signs business checks	А	F	S	Ν	Α	F	S	Ν

Do any of the persons listed in B1 or B2 perform a management or supervisory function for any other business? If Yes, identify the person, the business, and their title/function:

Do any of the persons listed above own or work for any other firm(s) that has a relationship with this firm? (*e.g., ownership interest, shared office space, financial investments, equipment, leases, personnel sharing, etc.*) If Yes, describe the nature of the business relationship:

C. Inventory: Indicate your firm's inventory in the following categories (Please attach additional sheets if needed):=

1. Equipment and Vehicles

Make and Model	Current Value	Owned or Leased by Firm or Owner?	Used as collateral?	Where is item stored?
1				
3				
4				
_				
6				
7				
8.				
9.				

2. Office Space

Street Address Owned or Leased by Firm or Owner? Current Value of Property or Lease

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	t Address	Owned or L Firm or O		urrent Value of Proper	ty or Lease 📎
Does your firm rel	y on any other firm	ı for management fu	nctions or emp	loyee payroll? 🛛 Y	es 🗖 No
Financial/Banking	Information (Provid	de bank authorization a	nd signature card	(s)	
Jame of bank:		City a checks on this account	nd State:		
The following individ	luals are able to sign	checks on this account	nt:		
lame of bank: The following individ	luals are able to sign	City a checks on this account	nd State: nt:		
Bonding Informatio	n : If you have bondi	ng capacity, identify t Project limit \$	he firm's bondi	ng aggregate and pro	ject limits:
stitutions. Identify BE/ACDBE. Includ	whether you the ow	rposes of money loan yner and any other po persons or firms gua ' security agreements).	erson or firm le	oaned money to the	applicant
Name of Source A	Address of Source	Name of Person Guaranteeing the Loan	Original Amount	Current Pu Balance	rpose of Loan
·		Loan			
List all contribution	ons or transfers of a	assets to/from your find the set of the set	rm and to/fron	1 any of its owners o	or another
Contribution/Asset	Dollar Value	From Whom Transferred	To Whom Transferred	Relationship	Date of Transfer
. List current licens	ses/permits held by a	any owner and/or en ch additional sheets if ne	nployee of your		
Name of License/F	Permit Holder	Type of License		·	State
·					

Name of Owner/Contractor		of Work Perforn	ned	Dollar Value of Contract
List the three largest activ Name of Prime Contractor and Project Number			Anticipated Completion Date	Dollar Valu of Contract
· · · · · · · · · · · · · · · · · · ·	 			
ditional Information:				

SEAL OF THANKING

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SECTION 5 - AIRPORT CONCESSION (ACDBE APPLICANTS ONLY)



A. I am applying for ACDBE certification to: (check all that apply)

□ Operate a concession at an airport □ Supply a good or service to an airport concessionaire

B. Does the applicant firm own/operate any off-airport locations? Yes No If Yes, identify the following

Type of Business (e.g., F&B, News & Gift, Retail, Duty Free, Advertising, etc.)	Lease Term (years)	Lease Start Date	Address / Location	Annual Gross Receipts Generated

C. Does the applicant firm currently own/operate any <u>airport</u> concession locations? Yes No If Yes, supply the following information:

Airport Name	Concession Type (e.g., F&B, News & Gift, Retail, Duty Free, Advertising, etc.)	Number of Leases	Number of Locations	Annual Gross Receipts Generated	Lease Type (e.g. Direct Lease, Subcontract Management Agreement, etc. enter all that apply to the leases listed)

D. Does the applicant firm have any affiliates? Yes No If Yes, provide the following information concerning any locations owned/operated by affiliate firms.

Airport Name	Concession Type (e.g., F&B, News & Gift, Retail, Duty Free, Advertising, etc.)	Number of Leases	Number of Locations	Annual Gross Receipts Generated	Lease Type (e.g. Direct Lease, Subcontract Management Agreement, etc. enter all that apply to the leases listed)

E. Is the ACDBE applicant firm a participant in any joint ventures? Yes No If Yes, attach all original and any amended Joint Venture Agreements and any amendments to the agreements.

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AFFIDAVIT OF CERTIFICATION

This form must be signed and notarized for each owner upon which disadvantaged status is relied.

A MATERIAL OR FALSE STATEMENT OR OMISSION MADE IN CONNECTION WITH THIS APPLICATION IS SUFFICIENT CAUSE FOR DENIAL OF CERTIFICATION, REVOCATION OF A PRIOR APPROVAL, INITIATION OF SUSPENSION OR DEBARMENT PROCEEDINGS, AND MAY SUBJECT THE PERSON AND/OR ENTITY MAKING THE FALSE STATEMENT TO ANY AND ALL CIVIL AND CRIMINAL PENALTIES AVAILABLE PURSUANT TO APPLICABLE FEDERAL AND STATE LAW.

Ι	(full name printed),
swear or affirm under penalty of law that	I am
(title) o	f the applicant firm

and that I

have read and understood all of the questions in this application and that all of the foregoing information and statements submitted in this application and its attachments and supporting documents are true and correct to the best of my knowledge, and that all responses to the questions are full and complete, omitting no material information. The responses include all material information necessary to fully and accurately identify and explain the operations, capabilities and pertinent history of the named firm as well as the ownership, control, and affiliations thereof.

I recognize that the information submitted in this application is for the purpose of inducing certification approval by a government agency. I understand that a government agency may, by means it deems appropriate, determine the accuracy and truth of the statements in the application, and I authorize such agency to contact any entity named in the application, and the named firm's bonding companies, banking institutions, credit agencies, contractors, clients, and other certifying agencies for the purpose of verifying the information supplied and determining the named firm's eligibility.

I agree to submit to government audit, examination and review of books, records, documents and files, in whatever form they exist, of the named firm and its affiliates, inspection of its places(s) of business and equipment, and to permit interviews of its principals, agents, and employees. I understand that refusal to permit such inquiries shall be grounds for denial of certification.

If awarded a contract, subcontract, concession lease or sublease, I agree to promptly and directly provide the prime contractor, if any, and the Department, recipient agency, or federal funding agency on an ongoing basis, current, complete and accurate information regarding (1) work performed on the project; (2) payments; and (3) proposed changes, if any, to the foregoing arrangements.

I agree to provide written notice to the recipient agency or Unified Certification Program of any material change in the information contained in the original application within 30 calendar days of such change (e.g., ownership changes, address/telephone number, personal net worth exceeding \$1.32 million, etc.).

I acknowledge and agree that any misrepresentations in this application or in records pertaining to a contract or subcontract will be grounds for terminating any contract or subcontract which may be awarded; denial or revocation of certification; suspension and debarment: and for initiating action under federal and/or state law concerning false statement, fraud or other applicable offenses.

I certify that I am a socially and economically disadvantaged individual who is an owner of the above-referenced firm seeking certification as a Disadvantaged Business Enterprise or Airport Concession Disadvantaged Business Enterprise. In support of my application, I certify that I am a member of one or more of the following groups, and that I have held myself out as a member of the group(s): (Check all that apply):

□ Female□ Black American□ Hispanic American □ Native American □ Asian-Pacific American □ Subcontinent Asian American □ Other (specify)

I certify that I am socially disadvantaged because I have been subjected to racial or ethnic prejudice or cultural bias, or have suffered the effects of discrimination, because of my identity as a member of one or more of the groups identified above, without regard to my individual qualities.

I further certify that my personal net worth does not exceed \$1.32 million, and that I am economically disadvantaged because my ability to compete in the free enterprise system has been impaired due to diminished capital and credit opportunities as compared to others in the same or similar line of business who are not socially and economically disadvantaged.

I declare under penalty of perjury that the information provided in this application and supporting documents is true and correct.

Signature

(DBE/ACDBE Applicant)

(Date)

NOTARY CERTIFICATE

UNIFORM CERTIFICATION APPLICATION SUPPORTING DOCUMENTS CHECKLIST



In order to complete your application for DBE or ACDBE certification, you must attach copies of all of the following REQUIRED documents. A failure to supply any information requested by the UCP may result in your firm denied DBE/ACDBE certification.

Required Documents for All Applicants

□ Résumés (that include places of employment with corresponding dates), for all owners, officers, and key personnel of the applicant firm

□ Personal Net Worth Statement for each socially and economically disadvantaged owners who the applicant firm relies upon to satisfy the Regulation's 51% ownership requirement.

 \Box Personal Federal tax returns for the past 3 years, if applicable, for each disadvantaged owner

 \Box Federal tax returns (and requests for extensions) filed by the firm and its affiliates with related schedules, for the past 3 years.

□ Documented proof of contributions used to acquire ownership for each owner (*e.g., both sides of cancelled checks*)

 $\hfill\square$ Signed loan and security agreements, and bonding forms

□ List of equipment and/or vehicles owned and leased including VIN numbers, copy of titles, proof of ownership,

including vity numbers, copy of thes, proof of ownersing insurance cards for each vehicle.

 $\hfill Title(s), registration certificate(s), and U.S. DOT numbers for each truck owned or operated by your firm$

 $\hfill\square$ Licenses, license renewal forms, permits, and haul authority forms

□ Descriptions of all real estate (including office/storage space, etc.) owned/leased by your firm and documented proof of ownership/signed leases

Documented proof of any transfers of assets to/from your firm and/or to/from any of its owners over the past 2 years
 DBE/ACDBE and SBA 8(a), SDB, MBE/WBE

certifications, denials, and/or decertification's, if applicable; and any U.S. DOT appeal decisions on these actions.

 $\hfill\square$ Bank authorization and signatory cards

□ Schedule of salaries (or other remuneration) paid to all officers, managers, owners, and/or directors of the firm

□ List of all employees, job titles, and dates of employment.

□ Proof of warehouse/storage facility ownership or lease arrangements

<u>Partnership or Joint Venture</u>

□ Original and any amended Partnership or Joint Venture Agreements

Corporation or LLC

□ Official Articles of Incorporation (*signed by the state official*)

□ Both sides of all corporate stock certificates and your firm's stock transfer ledger

□ Shareholders' Agreement(s)

□ Minutes of all stockholders and board of director's meetings

 $\hfill\square$ Corporate by-laws and any amendments

Corporate bank resolution and bank signature cards
 Official Certificate of Formation and Operating Agreement with any amendments (for LLCs)

Optional Documents to Be Provided on Request

The certifying agency to which you are applying may require the submission of the following documents. If requested to provide these document, you must supply them with your application or at the on-site visit.

□ Proof of citizenship

 $\hfill\square$ Insurance agreements for each truck owned or operated by your firm

□ Audited financial statements (if available)

□ Trust agreements held by any owner claiming disadvantaged status

□ Year-end balance sheets and income statements for the past 3 years (*or life of firm, if less than three years*)

<u>Suppliers</u>

□ List of product lines carried and list of distribution equipment owned and/or leased