INDOT Application for DBE/ACDBE Certification

Version 1.0

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System Set Up

Logging In
Firms access the INDOT Application for DBE/ACDBE Certification through the INDOT Technical Application Pathway (ITAP). The ITAP web address is http://itap.indot.in.gov. First the Firm must be registered in the system, and then Firm Employees can be added to the firm. See instructions for using ITAP on the ITAP Login screen. Once logged in, please request the DBE/ACDBE application in ITAP to access the system.

INDOT Employees or any customers already enrolled in ITAP should enter their state network Username and Password. Please request the DBE/ACDBE application in ITAP to access the system.

Logging Off
To log out of the system, click on the Log off text in the upper right corner of the screen. The Log off button turns green when the cursor moves over the text.
The User is taken to the Log in screen. Enter your ITAP Username and Password to re-enter the site.

Roles and Permissions
Users are assigned Roles and Tokens, giving them permissions to certain site features. Users without permissions to certain features see grayed out records and options (or no options/icons at all) on those screens.

The Header
At the top of every screen in the DBC/ACDBE Certification system is a Header Bar. In addition to providing links to the My Application section and a way to Log off, there are also always links to Home 🏡, Help 🤔 and Email the Administrator 💌.

Click the Home 🏡 icon to return to the Home screen.

Click Help 🤔 to open up the Help document.

Click Email the Administrator 💌 to send an email to the site Administrator with questions.
Table Tools
Certain features are the same any time a table is used in the DBE/ACDBE Certification application. These include navigating using Panel Pages, the Items on a Panel Page, Hyperlinks, Sorting, Columns and Filtering.

Panel Pages
Use the **Next** and **Previous** buttons to navigate to subsequent pages or click the **End** or **Beginning** buttons to jump to the very last or very first page.

Items on each Panel Page
By default, Panels display 10 Items per Page. However, this may be changed.

Click on the **Items per Page** dropdown and select 10, 25, 50, 100, 500 or 1000 from the list.

Sorting
Data in Panels may be sorted in ascending or descending order numerically (smallest to largest or largest to smallest), alphabetically (A to Z or Z to A) or by date and time (oldest to newest or newest to oldest).

Click on the column heading of the field to be sorted. In the example below, the table is sorted by the Application Type (ascending) by clicking once on the Status column heading. A triangle indicating the direction of the sort appears next to the column heading.
To res-sort (descending), click again on the column heading.

By default, Panels display sorted by the first column.

Sorts are not saved. The next time the Panel is opened, it is sorted by the first column.

Columns can also be sorted by clicking on the small arrow in the far right of the column to display the dropdown menu. Select to **Sort Ascending** or **Sort Descending**. Click on the arrow again to display the menu again and change the sort.

Columns

Users can control which columns display in a table by clicking on any of the column headings. Hover over **Columns** submenu to display a list of all available columns to display for a Table. Any columns currently on display have a check mark in the check box to the left of the column name. Click in an empty check box to make the column visible. Click in any box with a check mark to remove the check mark and hide the column.

Column display selections are not saved. The next time the Panel is opened, all default columns display.
Home Screen
The DBE/ACDBE Application Portal home screen displays basic information about the Uniform Certification Application and the Economic Opportunity Division. Click the blue About the Division text to open the Economic Opportunity Division webpage in a new window. Click My Application to go to the application section.

My Application
The My Application screen displays DBE/ACDBE Related Links as well as a list of any Current Applications.
DBE/ACDBE Related Links

The DBE/ACDBE Related Links section provides a list of useful links. Click on the blue title of the relevant topic to open a new internet window with the linked information.

1) The Road Map for Applicants from DBE Certification
2) The Instructions for Application Completion
3) The Documentation Checklist
4) EOD Page

The selected topic information opens in a new window.
Current Application(s)

The **Current Application(s)** section displays different information and icons depending on the User’s company certification and application status. The panel displays the **DBE/ACDBE Application** section by default by also has an area for **No Change Affidavits** and a place to **Start Application**.

![Current Application(s) Section](image)

First Time DBE Applicant

First time DBE Applicants have an empty table in the **DBE/ACDBE Application(s)** section. They should click on the **Start Application** button at the bottom of the **Current Application(s)** section to start the application process. Refer to the DBE/ACDBE Related Links to prepare for the questions asked on the application and the documentation that needs to be uploaded with the application.

![First Time DBE Applicant Section](image)
The application opens with most fields empty. Fill in the fields as described in The Application Fields section.

Once the application is saved, the company name populates in the Current Application(s) section, the application status is Draft, the type is New Application, the Certification Status is TBD, there is an Edit Application icon and the Start Application button is no longer clickable. Click on the Edit Application icon to continue to edit and submit the application.
Once an application is submitted, an email is sent to the applicant confirming receipt of the application, the Application Status is **Pending**, the Type is **New Application**, the Certification Status is **TBD**, there is an **View Report** icon and the **Start Application** button is still not clickable.

Click **View Report** to view the application. Select to view the main application report, the Net Worth Report, or the Documents.
Current DBE Using the Site for the First Time

All Current DBE Certified firms must log in to the system and verify the online DBE Certification Application information.

The Current Application section provides information about the User’s company’s application. The Firm Name is listed under the Current Application title bar. For companies that are already certified but are logging in to the system for the first time, a Draft application displays in the DBE/ACDBE Application(s) section. The type is New Application and the certification status is Certified. Click on the Edit Application icon to review, edit and submit the application. This is not submitting a new application, but verifying the information previously submitted and approved and entered into the new system.

The Start Application icon is not clickable when there is an existing application.

Click on the Edit Application icon in the Actions column to review, edit and submit the application.
The Application opens the Draft application. Any information from previously submitted applications displays where available. Review the data, making changes or adding information as necessary by clicking in the text box and/or dropdown menu and typing the updates. See The Application Fields for more information on completing the application.

Once the application is submitted, the Application Status changes to Approved, the Certification Status is Certified and the Edit icon is replaced by the Start Amendment and View Report icons.

Click Start Amendment to start an amendment. See Start an Amendment for more information.
Click **View Report** to view the application. Select to view the entire application report, the Net Worth Report, the Documents or the Certification.
The Application Fields
Each Section of the application has its own unique questions (described in detail later in the User Guide) but there are several common features each application section shares.

Progress Bar
A progress bar at the top displays all the sections of the application, with the current and completed section highlighted in green.

Next/Previous
To move to the next section of the application, click the **Next** button at the top and bottom of each section. The application is saved each time the **Next** button is clicked.

When applicable, use the **Previous** button to move to previous application sections.
Required Fields
Fields with an asterisk (*) by the title or where the box is peach are REQUIRED and must be complete before moving to the next section. A warning message will alert the user to which required information is still needed before proceeding.

Back to Main
Click the Back to Main button at the bottom of the screen to return to the My Application screen. Any changes made to the application will NOT be saved if the Next button was not clicked before the Back to Main button is clicked.

View/Upload Documents
Click the Upload/View documents icon when applicable to view or upload any necessary supporting documentation. Click Select Files at the bottom of the uploader to select the files to upload.
Navigate to the file location and select the files to upload. Click **Open** to select the file(s).

The selected file displays underneath the **Select files**… button. Click **Upload Files** to upload the files into the application and ERMS.
The uploaded files display in the Files in ERMS section. Click View to view the files or click Delete to delete the uploaded file. Continue uploading files as necessary. To return to the application click the Close icon in the upper right corner of the window.

For Current Certified DBE/ACDBE firms, click the View Documents button in the upper right corner of Section 1 to view all documents associated with the application, including documents uploaded and archived by existing DBE/ACDBE Certified companies.

The Archived Document Viewer displays a list of the different application section documents. A check mark in the check box next to the Section Name indicates documents exist for the Section. Click the View Documents icon to display a list of documents associated with the selected section.
A list of the Section’s documents displays. Click the **View** icon to view the documents.
Section 1 – Certification Information

Section 1A
In Section 1A, verify/complete the basic Certification Information as requested.

The Federal Tax Id and Business Registration Number are auto-populated from ITAP.

Current DBE/ACDBE firms will have a Business Registration Number (BRN), but new DBE/ACDBE applicants are not required to have a BRN.
Section 1B covers any prior or additional certifications. Click in the appropriate radio buttons at the Yes/No questions.
To add dates of any site visits conducted by your home state and any other states or UCP members, click on the Add icon.

Enter the information as requested and click **Update** to update the table or click **Cancel** to return to the application without adding the information.
The new record displays in the table, along with the option to **Edit** or **Delete** the record.

**List the dates of any site visits conducted by your home state and any other states or UCP members:**

<table>
<thead>
<tr>
<th>Member's Date</th>
<th>State</th>
<th>UCP Member</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>08-Jun-2016</td>
<td>AL</td>
<td>Sample UCP Member</td>
<td><img src="edit.png" alt="Edit" /> <img src="delete.png" alt="Delete" /></td>
</tr>
</tbody>
</table>

Click the **Edit** icon to edit the record. Change information as necessary and click **Update** to update the record or click **Cancel** to return to the application without updating the record.

Click the **Delete** icon to delete the record. Click **OK** at the confirmation message to delete the record or click **Cancel** to return to the application without deleting the record.
To enter information explaining the nature of an action, begin typing in the text box. Features from Microsoft Word are at the top of the text box to assist in formatting the information.

Click the **Upload/View documents** icon to view or upload any necessary supporting documentation.
Section 2 – General Information

Section 2A
Complete Section 2A as required. Enter text in the text box for text questions and use the text editor as necessary. Click in date fields to manually enter the date (MM/DD/YYYY) or click on the Calendar icon to select a date from the calendar. Click in a radio button to make selections when necessary.
Click the Add icon to add NAICS codes as necessary. Edit or delete any added codes by clicking on the Edit or Delete icons.
Currently Certified DBE/ACDBE firms accessing the site for the first time will not be able to edit the NAICS Codes. If changes need to be made, a separate Amendment needs to be submitted to change the NAICS codes.

<table>
<thead>
<tr>
<th>NAICS Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>237311</td>
<td>Highway, Street, and Bridge Construction</td>
</tr>
<tr>
<td>238110</td>
<td>Structural Steel and Precast Concrete Contractors</td>
</tr>
<tr>
<td>332612</td>
<td>Metal Coat, Engraving (except Jewelry and Silversmith)</td>
</tr>
<tr>
<td>332312</td>
<td>Fabricated Structural Metal Manufacturing</td>
</tr>
</tbody>
</table>

When adding a new record, a new row is added at the top of the table. Select the NAICS code from the dropdown; the Description will automatically populate based on the NAICS code. Click **Update** to add the record or click **Cancel** to delete the row and not add a new record.

The new record displays in the table, along with the option to **Edit** or **Delete** the record. The **Edit** icon will make the NAICS code editable (just like adding a new record). Click **Update** to update the record or click **Cancel** to return to the table without changing the record. Click **Delete** to delete a row; click **OK** at the confirmation message to delete the record.
Click the Add icon to add gross receipts as necessary.

On the Add screen, enter the year (or click the up and down arrows to change the year) and type in the gross receipts as requested. Click Update to add the record or click Cancel to return to the application without adding the record. Continue adding records as necessary.
The saved record is added to the table, along with the option to **Edit** or **Delete** the record. The **Edit** icon will open the Edit screen. Make changes and click **Update** to update the record or click **Cancel** to return to the table without changing the record. Click **Delete** to delete a record; click **OK** at the confirmation message to delete the record.

![Table showing gross receipts]

Click **Upload/View documents** to upload documents as necessary.
Section 2B
In Section 2B, complete the text fields as requested. Answer the Yes/No questions by clicking in the appropriate radio button.
Section 3 – Majority/Minority Owner Information
In Section 3 enter the Majority and Minority Owner information. To be a majority owner, an individual must own at least 51% of the company. To add owner information, click the Add icon.
Complete the Add screen questions as necessary. Enter text in the text fields, click the appropriate radio button when necessary and click in dropdowns to select the appropriate answer.

A1. Identify the majority/minority owner of the firm holding 51% or more of less than 51% ownership interest:

(1) *First Name: 
Middle Name: 
*Last Name: 
(2) *Title: 
*Ownership Type: Select ownership type...
(3) *Home Phone #: 
(4) *Home Address (Street & Number) 
   *City: 
   *State: Select A State... 
   *Zip: 
(5) *Gender: Male  Female 
(6) *Ethnic group membership: BLACK OR AFRICAN AMERICAN  HISPANIC OR LATINO
(7) *U.S. Citizenship:
- American Indian or Alaskan Native
- Asian
- Native Hawaiian or Other Pacific Islander
- Caucasian or White
- Minority Female
- Asian Indian
- Handicapped
- Other

Any other ethnicity except mentioned above

(8) *Number of years as owner:
0

(9) *Percentage owned:
0%

*Class of stock owned:
Select Class of Stock...

*Date Acquired:

(10) *Initial investment to acquire ownership interest in firm:

<table>
<thead>
<tr>
<th>Investment Type</th>
<th>Other Value</th>
<th>Actions</th>
</tr>
</thead>
</table>

No data to display

*Describe how you acquired your business:
- Started New Business
- Gift From
- Bought From
- Inherited From
- Other

E.g. Gift from Father, Bought from friend
B1. Additional Owner Information

(1) Describe familial relationship to other owners and employees:

(2) Does this owner perform a management or supervisory function for any other business?

- No
- Yes (Explain)

(3)(a) Does this owner own or work for any other firm(s) that has a relationship with this firm?

- No
- Yes

If Yes, identify the name of the business, and the nature of the relationship, and the owner’s function at the firm.

(b) Does this owner work for any other firm, non-profit organization, or is engaged in any other activity more than 20 hrs per week?

- No
- Yes, identify this activity

(4)(a) What is the personal net worth of this disadvantaged owner applying for certification? $  

This above field would be auto populated once a user would enter Personal NetWorth information.

(b) Has any trust been created for the benefit of this disadvantaged owner(s)?

- No
- Yes, Upload copy of trust instrument

(5) Do any of your immediate family members, managers, or employees own, manage, or are associated with another company?

- No
- Yes

If Yes, provide their name, relationship, company, type of business, and indicate whether they own or manage the company.

*This color background fields are mandatory.*
Click the **Add** icon to add an initial investment item.

Select the **Investment Type** from the dropdown, enter the dollar value and click **Update** to add the record or click **Cancel** to return without adding a record.
The new record displays in the table along with the option to **Edit** or **Delete** the record. The **Edit** icon will open the Edit screen. Make changes and click **Update** to update the record or click **Cancel** to return to the table without changing the record. Click **Delete** to delete a record; click **OK** at the confirmation message to delete the record.

Once all the Owner Information is added, click **Update** to add the Owner information or click **Cancel** to return to the table without adding the information.
The new record displays in the table along with the options to **Edit** or **Delete** the record and **View/Upload Documents**. Continue adding Owner Information as necessary.
Section 4 – Control

In Section 4, enter information about the control of the company. For all of the tables, click the Add icon to add a record to the table. Complete the required fields and click Update to add the record or click Cancel to return to the table without adding a record. The new record displays in the table, along with the options to Edit or Delete the record. The Edit icon will open the Edit screen. Make changes and click Update to update the record or click Cancel to return to the table without changing the record. Click Delete to delete a record; click OK at the confirmation message to delete the record. If supporting documents are required, they should be uploaded by clicking on the Upload/View documents icon. Some documentation is required for specific tables. A Document Uploaded column appears in those tables, and a green check mark ✓ appears once the required documentation is uploaded.

Section 4A
Start by adding the officers of the company.
On the Add screen, fill in the information as necessary. If the person is a New Person, then leave the New Person radio button checked and manually enter the information into the text boxes as required. Click Update to add the person to the table or click Cancel to return to the table without adding a person.
If the person being added already exists in the system (from the Section 3 information) then click on the **Existing Person** radio button and select them from the Existing Person dropdown. All information will populate based on data entered on previous screens and cannot be edited. Add any missing information as necessary.
After adding the officers, enter information on the Board of Directors.

The Add screen has the same fields as the Add screen for Officer Information.
Next list any persons who perform management or supervisory functions for any other business.

Any person added in Section A is included in the Select Person dropdown. Select the appropriate person, and then add any additional necessary information.
If any of the persons listed above own or work for any other firms that have a relationship with the Applicant company, they must be listed.

Any person added in the two tables above in Section 4 is included in the Select Person dropdown. Select the appropriate person, and then add any additional necessary information.
Section 4B

In Section B, identify the firm’s management personnel who control the firm. The owner information from Section 3 is automatically displayed. To change ownership information, return to Section 3 and make updates. Click the Edit Record icon to edit responsibilities.

The list of potential duties displays under the person’s name. By default all are selected to Never. Click the Edit icon to change the duty frequency.
When the **Edit** icon is clicked, the Duty Frequency column becomes a dropdown for the selected row. Click in the dropdown to change the frequency and click **Update** to change the record or **Cancel** to return to the Duty Types table without updating the frequency.
Once all updates are complete, click **Close** at the bottom of the page.

Repeat the same steps for all Officers, Directors, Managers and Key Personnel.

<table>
<thead>
<tr>
<th>Duty Types</th>
<th>Duty Frequency</th>
<th>Actors</th>
</tr>
</thead>
<tbody>
<tr>
<td>SETS POLICY FOR COMP. DIRECT./SCOPE OF OP.</td>
<td>FREQUENTLY</td>
<td></td>
</tr>
<tr>
<td>BIDDING AND ESTIMATING</td>
<td>NEVER</td>
<td></td>
</tr>
<tr>
<td>MAJOR PURCHASING</td>
<td>NEVER</td>
<td></td>
</tr>
<tr>
<td>MARKETING AND SALES</td>
<td>NEVER</td>
<td></td>
</tr>
<tr>
<td>SUPERVISES FIELD OPER.</td>
<td>Seldom</td>
<td></td>
</tr>
<tr>
<td>ATTEND BIG OPENING AND LETTING</td>
<td>NEVER</td>
<td></td>
</tr>
<tr>
<td>PERFORM OFFICE MANAGEMENT</td>
<td>NEVER</td>
<td></td>
</tr>
<tr>
<td>HIRED AND FIRE MANAGEMENT STAFF</td>
<td>NEVER</td>
<td></td>
</tr>
<tr>
<td>HIRED AND FIRE FIELD STAFF AND CREW</td>
<td>NEVER</td>
<td></td>
</tr>
<tr>
<td>DESIGNATES PROFIT SPENDING OR INVESTMENT</td>
<td>NEVER</td>
<td></td>
</tr>
<tr>
<td>OBLIGATES BUSINESS BY CONTRACT/CREDIT</td>
<td>NEVER</td>
<td></td>
</tr>
<tr>
<td>PURCHASE EQUIPMENT</td>
<td>NEVER</td>
<td></td>
</tr>
<tr>
<td>SIGN BUSINESS CHECKS</td>
<td>NEVER</td>
<td></td>
</tr>
</tbody>
</table>

2. Complete for all Officers, Directors, Managers, and Key Personnel who control the following function for the firm.

<table>
<thead>
<tr>
<th>Office/Director/Manager/Key Personnel</th>
<th>Title</th>
<th>Role</th>
<th>Race</th>
<th>Gender</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sally Smith</td>
<td>CFO</td>
<td>Director</td>
<td>HISPANOIC</td>
<td>FEMALE</td>
<td></td>
</tr>
<tr>
<td>Sally Smith</td>
<td>CEO</td>
<td>Officer</td>
<td>HISPANOIC</td>
<td>FEMALE</td>
<td></td>
</tr>
<tr>
<td>Susan James</td>
<td>CFO</td>
<td>Officer</td>
<td>ASIAN</td>
<td>FEMALE</td>
<td></td>
</tr>
</tbody>
</table>
If any of the people listed in Section B1 or B2 perform a management or supervisory function for any other business, add them in the next table.

Any person added in the tables in Sections A or B are included in the Select Person dropdown. Select the appropriate person, and then add any additional necessary information.
If any of the people listed above own or work for any other firm, add their information in the next table.

Any person added in the tables in Sections A or B are included in the Select Person dropdown. Select the appropriate person, and then add any additional necessary information.
Section 4C
In Section C list the firm’s inventory. Start with Equipment and Vehicles.

Enter the Equipment make and model, the current value and select the ownership type from the dropdown. Indicate if the equipment is used as collateral, and where it is stored.

* This color background fields are mandatory.
Next add any firm Office Space.

Enter the Street Address, Current Value and if the space is owned or leased.

Add in any Storage Space for the firm.
Enter the Street Address, Current Value and if the space is owned or leased.

**Section 4D**
Indicate whether your firm relies on any other firm for management functions or employee payroll.

**D. Does your firm rely on any other firm for management functions or employee payroll?**

**Section 4E**
Add Financial/Banking information.
Enter the Name of the Bank, City & State and select who can sign checks on the account.

Additionally, indicate Bonding information by clicking in the text boxes and entering the limits.
Section 4F
Identify all sources, amounts and purposes of money loaned to the firm.

Fill out the information as required on the Add screen.
Section 4G

List any contributions or transfers of assets to/from the firm and to/from any of its owners or other individuals in the past two years.

<table>
<thead>
<tr>
<th>Contribution / Asset</th>
<th>Dollar Value</th>
<th>From Whom Transferred</th>
<th>To Whom Transferred</th>
<th>Relationship</th>
<th>Date of Transfer</th>
</tr>
</thead>
</table>

Complete the information on the Add screen as required, entering the contribution/asset, amount, from whom and to whom it was transferred, the relationship and the date of the transfer.
Section 4H
List any permits or licenses held by any owner and/or employee of the firm.

Enter the information as required on the Add screen.

* This color background fields are mandatory.
Section 4I
List the three largest contracts completed by the firm in the past three years (if any).

Enter the contract information as required.
Section 4J
List the three largest active jobs on which your firm is currently working.

Enter the company contract information as required.
There is a special table just for Airport Concession applicants.

Enter the Concession information as necessary.
Airport Concessions must also provide information concerning any other airport concession businesses the applicant firm or any affiliate owns and/or operates.

Enter the concession information as necessary.
Section 5 – Affidavit of Certification

Section 5 is the Affidavit of Certification. Each business owner must complete the Affidavit. If additional owners need to be in the table, return to Section 3 and make any necessary additions, updates or changes. Click the Signature icon to sign the affidavit.

The Affidavit will open in a new window, populated by the user’s information. Type your name in the eSignature field and enter the current date to sign the affidavit. Click in the check box to affirm the information submitted is true. Click Update to save the signature and return to the application or click Cancel to return to the application without signing the affidavit.
A green check mark will indicate the affidavit has been signed. Once all owners have signed the affidavit, the next button can be clicked to move on to the next section.
Section 6 – Documents Checklist
The Documents Checklist section provides a way to see which documents have been uploaded and which still need to be added.

### Required Documents per Business Type To Upload:

<table>
<thead>
<tr>
<th>Title</th>
<th>Upload/View Documents</th>
<th>Document(s) uploaded?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Annual Galaxy for all owners/managers/directors</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>Articles of Incorporation With State Seal</td>
<td></td>
<td></td>
</tr>
<tr>
<td>By Laws (amendments and amendments)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Financial Banking Information</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Corporate Federal Tax Returns</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Income Statements</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sally Smith’s Personal federal tax returns for most current 3 years</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Meeting Minutes</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>Share Ledger</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Stock Certificates (both series including any cancelled certifications)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Out of State Required Documents To Upload:

<table>
<thead>
<tr>
<th>Title</th>
<th>Upload/View Documents</th>
<th>Document(s) uploaded?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Current Home Stats Certification Letter</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Current Home Stats Oracle Review Report</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Review each section; anywhere where a check mark is missing, please click the **Upload/View Documents** icon and upload the necessary documents. If the **Next** button is clicked and documents are still needed, the system will display a warning alerting the User that some additional documents are needed to be uploaded.
Section 7 – Personal Net Worth

Finally in Section 7 complete the Personal Net Worth statement. Click on the Edit icon to edit the Personal Net Worth document.

The Personal Net Worth section opens in a new window. Information is pre-populated when available.

Type in the text boxes, enter dollar amounts where applicable and for all of the tables, click the Add icon to add a record to the table. Complete the required fields and click Update to add the record or click Cancel to return to the table without adding a record. The new record displays in the table, along with the options to Edit or Delete the record. The Edit icon will open the Edit screen. Make changes and click Update to update the record or click Cancel to return to the table without changing the record. Click Delete to delete a record; click OK at the confirmation message to delete the record. If supporting documents are required, they should be uploaded by clicking on the Upload/View documents icon. Some documentation is required for specific tables. A Document Uploaded column appears in those tables, and a green check mark ✓ appears once the required documentation is uploaded.
General Instructions to complete Personal Net Worth Statement:

This form is used by all participants in the U.S. Department of Transportation’s Disadvantaged Business Enterprise (DBE) Programs. Each individual owner of a firm applying to participate as a DBE or CDBE whose ownership and control are relied upon for DBE certification must complete this form. Each person signing this form authorizes the Uniform Certification Program (UCP) recipient to make inquires as necessary to verify the accuracy of the statement made. The agency you apply to will use the information provided to determine whether an owner is economically disadvantaged as defined in the DBE program regulations 49 C.F.R. Parts 23 and 26.

Section 1:
Owner Name

Sally Smith

Residence Address:
123 Street Indianapolis, IN 46240

Residence Phone:
(317) 555-5555

Residence Name of the Applicant Firm

Business Phone

Marital Status

Spouse’s Name

Assets

Cash and Cash Equivalents

$0.00

$0.00

Retirement Accounts (IRAs, 401k’s, 403b’s, Pensions, etc.) (Report full value minus tax and interest penalties that would apply if assets were distributed today)

$0.00

$0.00

Brokerage, Investment Accounts

$0.00

$0.00

Assets Held in Trust

$0.00

$0.00

Liabilities

Loan on Life Insurance

$0.00

$0.00

Mortgages on Real Estate Excluding Primary Residence Debt

$0.00

$0.00

Notes, Obligations on Personal Property

$0.00

$0.00

Notes & Accounts Payable to Banks and Others

$0.00

$0.00

Other Liabilities

$0.00

$0.00

Total Liabilities:

$0.00

$0.00

Other Liabilities

Other Unpaid Taxes

$0.00

$0.00

Total Net Worth:

$0.00

$0.00

Section 2: Notes Payable to Banks and Others

Name | Original Bal | Current Bal | Payment Amount | Frequency Typ | How Borrowed | Actions
---|---|---|---|---|---|---

No Items to Display
### Section 3: Accounts

<table>
<thead>
<tr>
<th>Account Type</th>
<th>Name of Account</th>
<th>Cost</th>
<th>Market Value</th>
<th>Date of Qudat</th>
<th>Total Value</th>
<th>Actions</th>
</tr>
</thead>
</table>

### Section 4: Real Estate

<table>
<thead>
<tr>
<th>Property Type</th>
<th>Address</th>
<th>Purchase Price</th>
<th>Present Market</th>
<th>Mortgage Account</th>
<th>Mortgage Balance</th>
<th>Actions</th>
</tr>
</thead>
</table>

### Section 5: Life Insurances Held

<table>
<thead>
<tr>
<th>Insurance Company</th>
<th>Face Value</th>
<th>Cash Surrender Amount</th>
<th>Benefits</th>
<th>Loan on Policy Info</th>
<th>Actions</th>
</tr>
</thead>
</table>

### Section 6: Other Property and Assets

<table>
<thead>
<tr>
<th>Property Type</th>
<th>Name</th>
<th>Total Present</th>
<th>Amount of LL</th>
<th>Insured Amount</th>
<th>Lien or Note</th>
<th>Terms of Pay</th>
<th>Actions</th>
</tr>
</thead>
</table>

### Section 7: Other Businesses

<table>
<thead>
<tr>
<th>Name</th>
<th>Business Type</th>
<th>Present Interest</th>
<th>Market Value</th>
<th>Notes</th>
<th>Actions</th>
</tr>
</thead>
</table>

No items to display.
Not all the Asset and Liability fields are editable. Many of the values will populate based on the information entered in the tables below.
Start with the Notes Payable to banks and others.

Enter information on the Add screen as necessary.

Next enter information about Accounts.
In the Accounts Add/Edit screen, select the Account Type then complete the other fields as necessary.

Add any Real Estate information as necessary.
Select the Property Type, Method of Acquisition and Frequency from the dropdowns and then type the remaining information into the text fields.
Next enter information on any Life Insurances Held.

Enter any life insurance information in the text fields.

*This color background fields are mandatory.
Enter any other Property or Assets information.

Select a property type from the dropdown and then complete the remaining text fields.
Enter in details of other businesses.

Select the Business Type from the dropdown and complete the text fields as necessary.

Add any Liability or Unpaid Taxes information.
Select the liability type and complete the remaining text fields.

Indicate any transferred assets.
Enter the name and value of the transfer. Add the people who own the assets now by clicking the **Add** icon.

* This color background fields are mandatory.

Click the **Add** icon to enter the name and relationship of the new asset owner.
Once all asset and liability information has been added, type your name in the eSignature text box, enter the date and click in the check box to affirm the information entered is accurate. Click Update to save the Personal Net Worth statement or click Cancel to return to the Personal Net Worth table without adding the record.

Once all Personal Net Worth statements are entered and the application is complete, click the Submit Application button to submit the application.

Click OK at the confirmation message.
Start an Amendment

To amend an existing approved application, click the Start Amendment icon from the My Application screen.

Once an Amendment is started, it can stay in DRAFT status for up to 30 days. If the Amendment is not submitted within 30 days then the Amendment will automatically be cancelled. A note will appear in the Current Application(s) section to alert the User of the time limit.

If a No Change Affidavit is due and the User sees the Notification on his Current Application(s) header, then an Amendment would not be allowed to be submitted unless a No Change Affidavit is submitted and approved.

The screen will open an editable version of the approved application, populated with all the information previously entered. Make changes as necessary and move through the screens. At any point click the Cancel Amendment button at the bottom of the page to cancel the amendment. Click OK at the confirmation message to cancel the Amendment.
When an Amendment Application is in process, the Application Status changes to Draft, the type changes to Amendment and the Edit and Cancel Amendment icons are available.

Click Edit to open the Amendment application and continue working the application.

Click Cancel Amendment to cancel the amendment. Click OK at the confirmation message to cancel the amendment. The Application Status will change to Approved and the Type will be New Application.

Once the Amendment is submitted for approval, the Application Status changes to Pending, the Type stays Amendment the Certification Status is Certified and the only icon available is View Report.
Start Re-Application

A Re-Application can only be submitted if a previous application has been denied or the Certification has been removed due to either not submitting a No Change Affidavit (during the 6 month window) or the New Application was denied. Click **Start Re-Application** to start the re-application process.

Once **Start Re-Application** is clicked, the Application Status changes to Draft, the Type is Re-Application and the Certification Status is TBD. The only action icon available is **Edit**. Click the **Edit** icon to work the Re-Application.

The Re-Application is NOT pre-populated with any previously entered information. Complete the new application as required and **Submit**.
**EOD Need More Info**

Occasionally the Economic Opportunity Division will need additional information or documentation before an application can be finalized. An email will be sent to the applicant notifying them of the additional information needed. In the *Current Application(s)* section, the Application Status changes to **EOD Need More Info** and in the Actions column the **Edit** icon will be available. Click on the **Edit** icon to change information or upload additional documentation as necessary.

The application will open in EDIT mode. Complete the changes as necessary and click the **Next** button to move through each section.
At the end of Section 7, click the **Submit Application** button to resubmit the application for consideration.
No Change Affidavit

When the time comes to submit a No Change Affidavit, an alert appears at the top of the Current Application(s) section notifying the user. If the applicant meets the qualifications to submit a No Change Affidavit, click on the red **here** in the message to open the form.

Once the red **here** link has been clicked, the No Change Affidavit can also be accessed by clicking on the **No Change Affidavit** tab.
Click on the Edit icon to access the No Change Affidavit form.

The No Change Affidavit form opens populated with information submitted in the original approved application.
Click **Cancel** at any time to return to the **My Applications** screen. Any information entered into the Owner table will be saved, but all other entries will be lost.

Type in the Gross receipts for the past calendar year, and enter the average number of employees employed by the firm.
Review the Owner information and click on the Edit icon to eSign the document. Each Owner needs to complete the eSignature. Select the Personal Net Worth Range from the dropdown, type in the name to eSign the document and enter the current date. Check the check box next to “I declare under the penalty…” and click Update to sign the form. Click Cancel to return to the No Change Affidavit form without signing the document.

Click the Edit icon again if changes are necessary.

Click the Upload/View Documents icon to upload last year’s company tax returns, as well as any personal documents that are required.
Once the signatures are made and the documents are uploaded, click **Submit** to submit the No Change Affidavit.

In the **Current Application(s)** section, on the **No Change Affidavit(s)** tab, the record will show with a status of Pending. Click the **Edit** icon to view the form.
The No Change Affidavit will open in View mode, so information can be viewed but not edited or resubmitted. Click **Cancel** to return to the **My Application** screen.

Once the No Change Affidavit is approved, the Message text at the top of the **My Application(s)** is removed but on the **No Change Affidavit** tab the form shows with the status of **Approved**.