Disadvantaged Business Enterprise (DBE) Program

For The
Hammond Northshore Regional Airport
Hammond LA

May 2016
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Section 26.1, 26.23 Objectives/Policy Statement

Hammond Northshore Regional Airport has established a Disadvantaged Business Enterprise (DBE) program in accordance with regulations of the U.S. Department of Transportation and 49 CFR 26. The Airport has received Federal financial assistance from DOT and, as a condition of receiving this assistance, the Airport has signed an assurance that it will comply with 49 CFR 26.

It is the policy of the Airport to ensure that DBEs, as defined under 49 CFR 26, have an equal opportunity to receive and participate in DOT-assisted Airport contracts. It is also the Airport's policy:

1. To ensure nondiscrimination in the award and administration of DOT-assisted Airport contracts;
2. To create a level playing field on which DBEs can compete fairly for DOT-assisted Airport contracts;
3. To ensure that the DBE program is narrowly tailored in accordance with applicable law;
4. To ensure that only firms that fully meet 49 CFR 26 eligibility standards are permitted to participate as DBEs;
5. To help remove barriers to the participation of DBEs in DOT-assisted Airport contracts;
6. To promote the use of DBEs in all types of federally-assisted Airport contracts and procurement activities;
7. To assist the development of firms that can compete successfully in the market place outside the DBE program; and
8. To provide appropriate flexibility to recipients of Federal financial assistance in establishing and providing opportunities for DBEs.

David L. Lobue has been appointed DBE Liaison Officer. In this capacity, Lobue is responsible for implementing all aspects of the DBE program. Implementation of the DBE program is accorded the same priority as compliance with all other legal obligations incurred by the Airport in its financial assistance agreements with DOT.

Note: this DBE program applies only to contracts directly funded by the U.S. Department of Transportation or its administrations (e.g. the Federal Aviation Administration) at Hammond Northshore Regional Airport, City of Hammond, Tangipahoa, Louisiana. For City of Hammond non-Airport projects, pass-through funding from DOT and its administrations is subject to the DBE program established by the Regional Planning Commission for Jefferson, Orleans, Plaquemines, St. Bernard, St. Tammany, and Tangipahoa Parishes.
The Airport has disseminated this policy statement to the Mayor of the City of Hammond, the Hammond City Council, the Hammond Northshore Regional Airport Authority and other departments of the City of Hammond. The Airport has also distributed this statement to DBE and non-DBE business communities that perform work for the Airport on DOT-assisted Airport contracts. The distribution was accomplished with an advertising campaign in local, regional, and State-wide news publications.

David L. Lobue  
[David L. Lobue, AIRPORT DIRECTOR]  
5/20/2014

Pete Panepinto  
[Pete Panepinto, MAYOR]  
5/20/2016
SUBPART A – GENERAL REQUIREMENTS

Section 26.1 Objectives

The objectives are found in the policy statement on the first page of this program.

Section 26.3 Applicability

The Airport is the recipient of Federal airport funds authorized by 49 USC 47101, et seq.

Section 26.5 Definitions

The Airport will use terms in this program that have the meaning defined in Section 26.5.

Section 26.7 Nondiscrimination Requirements

The Airport will never exclude any person from participation in, deny any person the benefits of, or otherwise discriminate against anyone in connection with the award and performance of any Airport contract covered by 49 CFR 26 on the basis of race, color, sex, or national origin.

In administering its DBE program, the Airport will not, directly or through contractual or other arrangements, use criteria or methods of administration that have the effect of defeating or substantially impairing accomplishment of the objectives of the DBE program with respect to individuals of a particular race, color, sex or national origin.

Section 26.11 Record Keeping Requirements

Reporting to DOT: 26.11

The Airport will report DBE participation to DOT as follows:

The Airport will transmit to FAA annually on December 1 the Uniform Report of DBE Awards or Commitments and Payments form found in Appendix B to this part. The Airport will also report the DBE contractor firm information either on the FAA DBE Contractor’s Form or other similar format. The Airport will begin using the revised Uniform Report of DBE Awards or Commitments and Payments for reporting FY 2016 reports due December 1, 2016.

Bidders List: 26.11(c)

The Airport will create and maintain a bidders list. The purpose of the list is to provide as accurate data as possible about the universe of DBE and non-DBE contractors and subcontractors who seek to work on DOT-assisted Airport contracts for use in helping to
set overall goals. The bidders list will include the name, address, DBE and non-DBE status, age, and annual gross receipts of firms—the latter indicated via bracketed information categorized as: less than $500,000-$1 million; $1 million-$2 million; $2 million-$5 million; and $5 million and above.

The Airport will collect this information by incorporating in the bid documents a questionnaire that asks pertinent questions regarding DBE/non-DBE status, as well as additional information as required above of each firm and all subcontractors who quote on the project. In order for the bid package to be complete, this questionnaire must be completed and provided at the time of bid. Please refer to Attachment 3 for a copy of the form entitled Bidder’s Questionnaire.

**Section 26.13 Federal Financial Assistance Agreement**

The Airport has signed the following assurances, applicable to all DOT-assisted Airport contracts and their administration:

**Assurance: 26.13(a)** - Each financial assistance agreement the Airport signs with a DOT operating administration (or a primary recipient) will include the following assurance:

The Airport shall not discriminate on the basis of race, color, national origin, or sex in the award and performance of any DOT-assisted Airport contract or in the administration of its DBE program or the requirements of 49 CFR 26. The Airport shall take all necessary and reasonable steps under 49 CFR 26 to ensure nondiscrimination in the award and administration of DOT-assisted Airport contracts. The Airport’s DBE program, as required by 49 CFR 26 and as approved by DOT, is incorporated by reference in this agreement. Implementation of this program is a legal obligation and failure to carry out its terms shall be treated as a violation of this agreement. Upon notification to the Airport of its failure to carry out its approved program, DOT may impose sanctions as provided for under 49 CFR 26 and may, in appropriate cases, refer the matter for enforcement under 18 USC 1001 and/or the Program Fraud Civil Remedies Act of 1986 (31 USC 3801 et seq.)

**Contract Assurance: 26.13(b)** – The Airport will ensure that the following clause is included in each contract the Airport signs with a contractor and each subcontract the prime contractor signs with a subcontractor:

The contractor, subrecipient, or subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of an Airport contract. The contractor shall carry out applicable requirements of 49 CFR 26 in the award and administration of DOT-assisted Airport contracts. Failure by the contractor to carry out these requirements is a material breach of contract that may result in the termination of the Airport contract or such other remedy as the Airport deems appropriate, including, but not limited to: (1) Withholding monthly progress
payments; (2) Assessing sanctions; (3) Liquidated damages; and/or (4) Disqualifying the contractor from future bidding as non-responsible.
SUBPART B - ADMINISTRATIVE REQUIREMENTS

Section 26.21 DBE Program Updates

The Airport is required to have a DBE program meeting the requirements of this part as it will receive grants for airport planning or development and will award prime contracts, cumulative total value of which exceeds $250,000 in FAA funds in a federal fiscal year. The Airport is not eligible to receive DOT financial assistance unless DOT has approved the Airport's DBE program and the Airport is in compliance with it and this part. The Airport will continue to carry out our program until all funds from DOT financial assistance have been expended. The Airport does not have to submit regular updates of its program as long as the Airport remains in compliance. However, the Airport will submit significant changes in the program for approval.

Section 26.23 Policy Statement

The Policy Statement is elaborated on the first page of this DBE program.

Section 26.25 DBE Liaison Officer (DBELO)

The Airport has designated the following individual as its DBE Liaison Officer:

David L. Lobue
DBELO
Hammond Northshore Regional Airport
600 Judge Leon Ford Drive
Hammond, Louisiana 70401
Telephone: 985-277-5667
Fax: 985-277-5669
Email: Lobue_DL@hammond.org

The DBELO is responsible for implementing all aspects of the DBE program and ensuring that the Airport complies with all provision of 49 CFR 26. The DBELO has direct, independent access to the City of Hammond Mayor concerning DBE program matters. An organizational chart displaying the DBELO's position is found in Attachment 2 to this program.

The DBELO is responsible for developing, implementing, and monitoring the DBE program in coordination with other appropriate officials. The DBELO has a staff of one plus the assistance of the City Attorney and the City Grants Department (three individuals) to assist in the administration of the program. The duties and responsibilities of the DBELO include the following:

1. Gathers and reports statistical data and other information as required by DOT.
2. Reviews third party contracts and purchase requisitions for compliance with this program.
3. Works with all departments to set overall annual goals.
4. Ensures that bid notices and requests for proposals are available to DBEs in a timely manner.
5. Identifies Airport contracts and procurements so that DBE goals are included in solicitations (both RN means and contract specific goals) and monitors results.
6. Analyzes the Airport's progress toward attainment and identifies ways to improve progress.
7. Participates in pre-bid meetings.
8. Advises the Mayor on DBE matters and achievement.
9. Chairs the DBE Advisory Committee.
10. Determines contractor compliance with good faith efforts.
11. Provides DBEs with information and assistance in preparing bids, obtaining bonding, and insurance.
12. Plans and participates in DBE training seminars.
14. Provides outreach to DBEs and community organizations to advise them of opportunities.
15. Maintains the Airport's updated directory on certified DBEs.

Section 26.27 DBE Financial Institutions

It is the policy of the Airport to investigate the full extent of services offered by financial institutions owned and controlled by socially and economically disadvantaged individuals in the community, to make reasonable efforts to use these institutions, and to encourage prime contractors on DOT-assisted Airport contracts to make use of these institutions. The Airport searched the U.S. Department of Treasury's Financial Management Services website (www.fms.treas.gov) for current participants in the Minority Bank Deposit Program in the State of Louisiana. To date, the Airport has identified the following institution:

Liberty Bank and Trust Company
Contact: Leroy Watts, EVP & CFO
6600 Plaza Drive
New Orleans, Louisiana 70127
Routing and Transit (ABA) Number: 065002108
Phone: 504-240-5102
Fax: 225-774-9501
E-mail: LWatts@libertybank.net
MC: 50

Section 26.29 Prompt Payment Mechanisms
The Airport has established, as part of its DBE program, an Airport contract clause to require prime contractors to pay subcontractors for satisfactory performance of their contracts no later than 30 days from receipt of each payment made to the prime contractor.

The Airport will ensure prompt and full payment of retainage from the prime contractor to the subcontractor within 30 days after the subcontractor's work is satisfactorily completed. The Airport will use the following methods to comply with this requirement:

Decline to hold retainage from prime contractors and prohibit prime contractors from holding retainage from subcontractors after 30 days.

The Airport will consider a subcontractor’s work is satisfactorily completed when all the tasks called for in the subcontract have been accomplished and documented as required by the Airport. When the Airport has made an incremental acceptance of a portion of a prime contract, the work of a subcontractor covered by that acceptance is deemed to be satisfactorily completed.

The Airport will provide appropriate means to enforce the requirements of this section. In the event of the contractor’s noncompliance with these prompt payment provisions, the Airport may impose such sanctions and penalties as it or DOT may determine to be appropriate, including, but not limited to:

1. Withholding of payments to the contractor under the Airport contract until the contractor complies, and/or
2. Deduction from an Airport contract funds due or to become due the contractor, and/or
3. Disqualification of the contractor as non-responsible, and/or
4. Cancellation, termination or suspension of the Airport contract in whole or in part, and/or
5. Any other remedy DOT deems appropriate.

The Airport will include the following clause in each DOT-assisted Airport prime contract:

The prime contractor agrees to pay each subcontractor under this prime Airport contract for satisfactory performance of its contract no later than 10 days from the receipt of each payment the prime contractor receives from the Airport. The prime contractor agrees further to return retainage payments to each subcontractor within 30 days after the subcontractor’s work is satisfactorily completed. Any delay or postponement of payment from the above referenced timeframe may occur only for good cause following written approval of the Airport. This clause applies to both DBE and non-DBE subcontractors.
Monitoring Payments to DBEs

The Airport will require prime contractors to maintain records and documents of payments to DBEs for three years following the performance of the contract. These records will be made available for inspection upon request by any authorized representative of the Airport or DOT. This reporting requirement also extends to any certified DBE subcontractor. The Airport will perform interim audits of Airport contract payments to DBEs. The audit will review payments to DBE subcontractors to ensure that the actual amount paid to DBE subcontractors equals or exceeds the dollar amounts stated in the schedule of DBE participation.

Section 26.31 Directory

The Airport uses the Louisiana Department of Transportation and Development’s DBE directory.

This directory lists the firm’s name, address, phone number, and date of most recent certification, as well as the type of work the firm has been certified to perform as a DBE. In addition, the directory lists each type of work for which a firm is eligible to be certified by using the most specific NAICS code available to describe each type of work.

LaDOTD revises the directory (Attachment 4) monthly and posts it at: http://wwwapps.dotd.la.gov/engineering/lettings/dbe_directory.aspx. The Airport maintains a current copy of the directory in the DBELO’s office at the Airport, 600 Judge Leon Ford Drive in Hammond, Louisiana (70401).

Section 26.33 Over-concentration

The Airport has not identified that over-concentration exists in the types of work that DBEs perform.

Section 26.35 Business Development Programs

The Airport has not established a business development program.

Section 26.37 Monitoring and Enforcement Mechanisms

The Airport will take the following monitoring and enforcement mechanisms to ensure compliance with 49 CFR 26.

1. The Airport will bring to the attention of DOT any false, fraudulent, or dishonest conduct in connection with the program so that they can take the steps (e.g., referral to the Department of Justice for criminal prosecution, referral to the DOT Inspector General, action under suspension and debarment or Program Fraud and Civil Penalties rules) provided in 26.107.
2. The Airport will implement similar action under its legal authorities, including responsibility determinations in future Airport contracts per local government code. In the event of non-compliance with the DBE regulation by a participant in the Airport’s DBE Program, the Airport will first advise violators in writing that they will removed from the approved bidders list if any non-compliance issues are not resolved within 30 days. At the end of the 30-day period, if non-compliance issues have not been resolved to the satisfaction of the DBELO, the violator will be removed from the approved bidders list. The Airport will also suspend any payment to the violator for work on any existing Airport contracts until non-compliance issues are resolved to the satisfaction of the DBELO.

3. The Airport will implement a monitoring and enforcement mechanism to ensure that work committed to DBEs at Airport contract award or subsequently (i.e. as the result of modification to the contract) is actually performed by the DBEs to which the work was committed.

4. The Airport will implement a monitoring and enforcement mechanism that will include written certification that the Airport has reviewed contracting records and monitored work sites for this purpose. This will be accomplished by monitoring of monthly pay requests for payments to DBEs. The Airport will also require all DBEs to certify that such payments were made.

**Section 26.39 Fostering Small Business Participation**

The Airport has created a Small Business Element for the Airport to structure Airport contracting requirements to facilitate competition by small business concerns—taking all reasonable steps to eliminate obstacles to their participation including unnecessary and unjustified bundling of Airport contract requirements that may preclude small business participation in procurements as prime contractors or subcontractors.

The Airport's Small Business Participation Plan is incorporated as Attachment 10 to this DBE program. The Airport will actively implement plan elements to foster small business participation; doing so is a requirement of good faith implementation of the Airport’s DBE program.
SUBPART C – GOALS, GOOD FAITH EFFORTS, AND COUNTING

Section 26.43  Set-asides or Quotas

The Airport does not use quotas in any way in the administration of this DBE program.

Section 26.45  Overall Goals

The Airport will establish an overall DBE goal covering a three-federal-fiscal-year period if the Airport anticipates awarding DOT-funded prime Airport contracts, the cumulative total value of which exceeds $250,000 during any one or more of the reporting fiscal years within the three-year goal period. In accordance with Section 26.45(f), the Airport will submit its Overall Three-year DBE Goal to FAA by August 1 as required by the established schedule below:

<table>
<thead>
<tr>
<th>Non-Primary (GAs, Relievers and State DOTs)</th>
<th>Central, Southwest, and Western-Pacific</th>
</tr>
</thead>
</table>

The DBE goals will be established in accordance with the 2-step process as specified in 49 CFR 26.45. If the Airport does not anticipate awarding DOT-funded prime contracts, the cumulative total value of which exceeds $250,000 during any of the years within the three-year reporting period, the Airport will not develop an overall goal; however, this DBE program will remain in effect and the Airport will seek to fulfill the objectives outlined in 49 CFR 26.1.

(c) Step 1. The first step is to determine the relative availability of DBEs in the market area—the "base figure". The Airport will use the Baton Rouge Metropolitan Airport's 2016 goal of 9.19% as a base figure. The Airport will then adjust the base figure percentage from this step so that it reflects as accurately as possible the DBE participation the Airport expects in the absence of discrimination based on past participation, a disparity study, and/or information about barriers to entry to past competitiveness of DBEs on Airport contracts.

If the Airport use a bidders list, the Airport will do the following: Determine the number of DBEs that have bid or quoted (successful and unsuccessful) on its DOT-assisted Airport prime contracts or subcontracts in the past three years. Determine the number of all businesses that have bid or quoted (successful and unsuccessful) on Airport prime or subcontracts in the same time period. Divide the number of DBE bidders by the number of all businesses to derive a base figure for the relative availability of DBEs in the market. When using this approach, the Airport will establish a mechanism (documented in its goal submission) to capture data on DBE and non-DBE prime and subcontractors that submitted bids or quotes on DOT-assisted Airport contracts.

Any methodology the Airport chooses will be based on demonstrable evidence of local market conditions and be designed to ultimately attain a goal that is rationally related to
the relative availability of DBEs in the market. The Airport understands that the exclusive use of a list of prequalified contractors or plan holders or of a bidders list that does not comply with the requirements of paragraph (c)(2) of this section is not an acceptable alternative means of determining the availability of DBEs.

(d) Step 2. Once the Airport has calculated the base figure, the Airport will examine all of the evidence available in its jurisdiction to determine what adjustment, if any, is needed to the base figure to arrive at an overall goal. If the evidence does not suggest an adjustment is necessary, then no adjustment shall be made.

Please see Attachment 5 for a detailed description of the Airport's overall goal calculation methodology and the results of these calculations.

26.45(g)(1) In establishing the overall goal, the Airport will provide for consultation and publication. This includes consultation with minority, women's and general contractor groups, community organizations, and other officials or organizations which could be expected to have information concerning the availability of disadvantaged and non-disadvantaged businesses, the effects of discrimination on opportunities for DBEs, and the Airport's efforts to establish a level playing field for the participation of DBEs. The consultation will include a scheduled, direct, interactive exchange (e.g. a face-to-face meeting, video conference, teleconference) with as many interested stakeholders as possible focused on obtaining information relevant to the Airport's goal setting process, and it will occur before the Airport is required to submit its goal methodology to the operating administration for review pursuant to paragraph (f) of this section. The Airport will document in its goal submission the consultation process that the Airport engaged in. Notwithstanding paragraph (f)(4) of this section, the Airport will not implement its proposed goal until the Airport has complied with this requirement.

In addition, the Airport will publish a notice announcing the proposed overall goal before submission to the operating administration on August 1. The notice will be posted in the Airport's journal of record and on the City of Hammond's official website and may be posted in any other publications (e.g. minority-focused media, trade association publications). If the proposed goal changes following review by the operating administration, the revised goal will be posted on the City of Hammond's official website. The Airport will inform the public that the proposed overall goal and its rationale are available for inspection during normal business hours at its principal office and that the Airport and DOT will accept comments on the goal for 30 days from the date of the notice. Notice of the comment period will include the addresses to which comments may be sent (including offices and websites) and where the proposed goal may be reviewed. The public comment period will not extend the August 1 deadline.

Our Overall Three-year DBE Goal submission to DOT will include a summary of information and comments received, if any, during this public participation process and the Airport's responses. Attachment 5, Overall Goal Calculations and Appendices, also
lists our consultations and publications, as well as the comments received and resulting actions taken, if any.

The Airport will begin using this overall goal on October 1 of the reporting period, unless the Airport has received other instructions from DOT.

Section 26.45(e) - Project Goals

If permitted or required by the FAA Administrator, the Airport will express its overall goal as a percentage of funds for a particular grant or project or group of grants and/or projects. Like the overall goal, a project goal may be adjusted to reflect changed circumstances with the concurrence of the appropriate operating administration. A project goal is an overall goal and must meet all the substantive and procedural requirements of this section pertaining to the overall goal. A project goal covers the entire length of the project to which it applies. The project goal should include a projection of the DBE participation anticipated to be obtained during each fiscal year covered by the project goal. The funds for the project to which the project goal pertains are separated from the base from which the overall goal, applicable to Airport contracts not part of the project covered by a project goal, is calculated. If the Airport establishes a goal on a project basis, the Airport will begin using this goal by the time of the first solicitation for a DOT-assisted Airport contract for the project.

Section 26.45(f) - Prior Operating Administration Concurrence

The Airport understands that it is not required to obtain prior operating administration concurrence with the overall goal. However, if the operating administration's review suggests that the overall goal has not been correctly calculated or that the method for calculating the goal is inadequate, the operating administration may, after consulting with the Airport, adjust the overall goal or require that the Airport do so. The adjusted overall goal is binding. In evaluating the adequacy or soundness of the methodology used to derive the overall goal, DOT operating administration will be guided by the goal setting principles and best practices identified in guidance issued pursuant to § 26.9.

Section 26.47 Failure to meet overall goals.

The Airport will maintain an approved DBE program and overall DBE goal, if applicable, as well as administer its DBE program in good faith to be considered to be in compliance with this part.

If the Airport awards and commitments shown on its Uniform Report of Awards or Commitments and Payments at the end of any fiscal year are less than the overall goal applicable to that fiscal year, the Airport will do the following in order to be regarded by DOT as implementing the DBE program in good faith:

(1) Analyze in detail the reasons for the difference between the overall goal and awards and commitments in that fiscal year;
(2) Establish specific steps and milestones to correct the problems the Airport identified in its analysis to enable the Airport to meet fully its goal for the new fiscal year;

(3) The Airport will prepare, within 90 days of the end of the fiscal year, the analysis and corrective actions developed under paragraphs (c)(1) and (2) of this section. The Airport will retain copy of analysis and corrective actions in records for a minimum of three years and will make it available to FAA upon request.

Section 26.51(a-c) Breakout of Estimated Race-Neutral & Race-Conscious Participation

(a) The Airport will meet the maximum feasible portion of its overall goal by using RN means of facilitating race-neutral DBE participation. Race-neutral DBE participation exists any time a DBE wins a prime Airport contract through customary competitive procurement procedures or is awarded a subcontract on a prime Airport contract that does not carry a DBE contract goal.

RN means include, but are not limited to, the following:

1. Arranging solicitations, times for the presentation of bids, quantities, and specifications, and delivery schedules in ways that facilitate participation by DBEs and other small businesses and by making contracts more accessible to small businesses by means such as those provided under §26.39 of this part.

2. Providing assistance in overcoming limitations such as inability to obtain bonding or financing by such means as simplifying the bonding process, reducing bonding requirements, eliminating the impact of surety costs from bids, and providing services to help DBEs and other small businesses obtain bonding and financing;

3. Providing technical assistance and other services;

4. Carrying out information and communications programs on contracting procedures and specific Airport contract opportunities (e.g. ensuring the inclusion of DBEs and other small businesses on recipient mailing lists for bidders; ensuring the dissemination to bidders on prime contracts of lists of potential subcontractors; providing information in languages other than English, where appropriate);

5. Implementing a supportive services program to develop and improve immediate and long-term business management, record keeping, and financial and accounting capability for DBEs and other small businesses;

6. Providing services to help DBEs and other small businesses improve long-term development, increase opportunities to participate in a variety of kinds of
work, handle increasingly significant projects, and achieve eventual self-sufficiency;

(7) Establishing a program to assist new, start-up firms, particularly in fields in which DBE participation has historically been low;

(8) Ensuring distribution of a DBE directory through print and electronic means to the widest feasible universe of potential prime contractors; and

(9) Assisting DBEs and other small businesses to develop their capability to utilize emerging technology and conduct business through electronic media.

The breakout of estimated race-neutral participation can be found in Attachment 5 to this program.

**Section 26.51(d-g) Contract Goals**

The Airport will use contract goals to meet any portion of the overall goal the Airport does not project being able to meet using RN means. Contract goals are established so that, over the period to which the overall goal applies, they will cumulatively result in meeting any portion of the overall goal that is not projected to be met through the use of RN means.

The Airport will establish contract goals only on those DOT-assisted Airport contracts that have subcontracting possibilities. The Airport need not establish a contract goal on every such contract, and the size of contract goals will be adapted to the circumstances of each such contract (e.g. type and location of work, availability of DBEs to perform the particular type of work).

The Airport will express contract goals as a percentage of the total amount of a DOT-assisted Airport contract.

**Section 26.53 Good Faith Efforts Procedures**

**Demonstration of good faith efforts (26.53(a) & (c))**

The obligation of the bidder is to make good faith efforts. The bidder can demonstrate that it has done so either by meeting the Airport contract goal or documenting good faith efforts. Examples of good faith efforts are found in Appendix A to Part 26, included as Attachment 6 to this program.

David L. Lobue, DBELO, Hammond Northshore Regional Airport, 600 Judge Leon Ford Drive, Hammond, Louisiana (70401) is responsible for determining whether a bidder who has not met an Airport contract goal has documented sufficient good faith efforts to be regarded as responsive.
The Airport will ensure that all information is complete and accurate and adequately documents the bidder's good faith efforts before the Airport commits to the performance of the Airport contract by the bidder's.

Information to be submitted (26.53(b))

In the Airport's solicitations for DOT-assisted Airport contracts for which a contract goal has been established, the Airport will require the following:

(1) Award of the Airport contract will be conditioned on meeting the requirements of this section;

(2) All bidders will be required to submit the following information to the Airport at the time provided in paragraph (b)(3) of this section:
   (i) The names and addresses of DBE firms that will participate in the contract;
   (ii) A description of the work that each DBE will perform. To count toward meeting a goal, each DBE firm must be certified in a NAICS code applicable to the kind of work the firm would perform on the contract;
   (iii) The dollar amount of the participation of each DBE firm participating;
   (iv) Written documentation of the bidder's commitment to use a DBE subcontractor whose participation will enable it to meet an Airport contract goal; and
   (v) Written confirmation from each listed DBE firm that it is participating in the Airport contract of the kind and amount of work provided in the prime contractor's commitment.
   (vi) If the Airport contract goal is not met, evidence of good faith efforts (see Appendix A of this part) must be documented. This documentation must include copies of each DBE and non-DBE subcontractor quote submitted to the bidder when a non-DBE subcontractor was selected over a DBE for work on the contract; and

(3) The Airport will require that the bidder present the information required by paragraph (b)(2) of this section under sealed bid procedures, as a matter of responsiveness, or with initial proposals, under Airport contract negotiation procedures; provided that, in a negotiated procurement, including a design-build procurement, the bidder may make a contractually binding commitment to meet the goal at the time of bid submission or the presentation of initial proposals, but provide the information required by paragraph (b)(2) of this section before the final selection for the Airport contract is made by the Airport.

Administrative reconsideration (26.53(d))

Within five business days of being informed by the Airport that it is not responsive because it has not documented sufficient good faith efforts, a bidder may request administrative reconsideration. Bidder should make this request in writing to the following reconsideration official:
Lacy Landrum  
Director of Administration  
City of Hammond  
Post Office Box 2788  
Hammond, Louisiana 70404  
Telephone: 985-277-5653  
Fax: 985-277-5607  
Email: Landrum.L@hammond.org

The reconsideration official will not have played any role in the original determination that the bidder did not document sufficient good faith efforts.

As part of this reconsideration, the bidder will have the opportunity to provide written documentation or argument concerning the issue of whether it met the goal or made adequate good faith efforts to do so. The bidder will also have the opportunity to meet in person with the reconsideration official to discuss the same. The Airport will send the bidder a written decision on reconsideration explaining the basis for finding that the bidder did or did not meet the goal or make adequate good faith efforts to do so. The result of the reconsideration process is not administratively appealable to DOT.

**Good Faith Efforts procedures in situations when there are contract goals (26.53(f)(g))**

The Airport will include in each prime Airport contract a provision stating:

> The contractor shall utilize the specific DBEs listed to perform the work and supply the materials for which each is listed unless the contractor obtains the Airport's written consent as provided in this paragraph 26.53(f); and

> Unless the Airport's written consent is provided under this paragraph 26.53(f), the contractor shall not be entitled to any payment for work or material unless it is performed or supplied by the listed DBE.

The Airport will require the contractor that is awarded the Airport contract make available upon request a copy of all DBE subcontracts. The subcontractor shall ensure that all subcontracts or agreements with DBEs to supply labor or materials require that all lower tier subcontractors adhere to this part's provisions.

The Airport will require that the prime contractor obtain prior Airport approval of any substitute DBE and provide copies of new or amended subcontracts or documentation of good faith efforts.

The Airport will require that a prime contractor not terminate a DBE subcontractor listed in response to paragraph (b)(2) of this section (or an approved substitute DBE) without the Airport's prior written consent. This includes, but is not limited to, instances in which a prime contractor seeks to perform work originally designated for a DBE subcontractor with its own forces or those of an affiliate, a non-DBE firm, or with another DBE firm.
The Airport will provide such written consent only if the Airport agrees, for reasons stated in its concurrence document, that the prime contractor has good cause to terminate the DBE firm. For the purposes of this paragraph, good cause includes the following circumstances:

(1) The listed DBE subcontractor fails or refuses to execute a written contract;
(2) The listed DBE subcontractor fails or refuses to perform the work of its subcontract in a way consistent with normal industry standards; provided however, that good cause does not exist if the failure or refusal of the DBE subcontractor to perform its work on the subcontract results from the bad faith or discriminatory action of the prime contractor;
(3) The listed DBE subcontractor fails or refuses to meet the prime contractor’s reasonable, nondiscriminatory bond requirements.
(4) The listed DBE subcontractor becomes bankrupt, insolvent, or exhibits credit unworthiness;
(5) The listed DBE subcontractor is ineligible to work on public works projects because of suspension and debarment proceedings pursuant to 2 CFR 180, 215 and 1,200 or applicable State law;
(6) The Airport has determined that the listed DBE subcontractor is not a responsible contractor;
(7) The listed DBE subcontractor voluntarily withdraws from the project and provides written notice of its withdrawal;
(8) The listed DBE is ineligible to receive DBE credit for the type of work required;
(9) A DBE owner dies or becomes disabled with the result that the DBE is unable to complete its work on the contract;
(10) Other documented good cause that the Airport has determined compels the termination of the DBE subcontractor; provided, that good cause does not exist if the prime contractor seeks to terminate a DBE it relied upon to obtain the Airport contract so that the prime contractor can self-perform the work for which the DBE contractor was engaged or so that the prime contractor can substitute another DBE or non-DBE contractor after Airport contract award.

Before transmitting to the Airport a request to terminate and/or substitute a DBE subcontractor, the prime contractor must give notice in writing to the DBE subcontractor, with a copy to the Airport, of its intent to request to terminate and/or substitute and the reason.

The prime contractor must give the DBE five days to respond to the prime contractor’s notice and advise the Airport and the contractor of the reasons, if any, why the DBE objects to the proposed termination of its subcontract and why the Airport should not approve the prime contractor’s action. If required in a particular case as a matter of public necessity (e.g. safety), the Airport may provide a response period shorter than five days.
In addition to post-award terminations, the provisions of this section apply to pre-award deletions of, or substitutions for, DBE firms put forward by bidders in negotiated procurements.

The Airport will require a contractor to make good faith efforts to replace a DBE that is terminated or has otherwise failed to complete its work on an Airport contract with another certified DBE. These good faith efforts shall be directed at finding another DBE to perform at least the same amount of work under the Airport contract as the DBE that was terminated to the extent needed to meet the Airport contract goal that the Airport established for the procurement. Good faith efforts shall be documented by the contractor. If the Airport requests documentation from the contractor under this provision, the contractor shall submit the documentation within seven days, which may be extended for an additional seven days if necessary at the request of the contractor and approval of the Airport, and the Airport shall provide a written determination to the contractor stating whether or not good faith efforts have been demonstrated.

The Airport will include in each prime Airport contract the clause required by 26.13(b) stating that failure by the contractor to carry out the requirements of this part is a material breach of contract and may result in the termination of the Airport contract or such other remedies set forth in that section that the Airport deems appropriate if the prime contractor fails to comply with the requirements of this section.

If the contractor fails or refuses to comply in the time specified, the Airport will issue an order stopping all or part of payment/work until satisfactory action has been taken. If the contractor still fails to comply, the Airport may issue a termination for default proceeding.

Sample Bid Specification:

The requirements of 49 CFR 26, Regulations of the U.S. Department of Transportation, apply to this Airport contract. It is the policy of Hammond Northshore Regional Airport to practice nondiscrimination based on race, color, sex, or national origin in the award or performance of this Airport contract. All firms qualifying under this solicitation are encouraged to submit bids/proposals. Award of this Airport contract will be conditioned upon satisfying the requirements of this bid specification. These requirements apply to all bidders, including those who qualify as a DBE. A DBE Airport contract goal (see Attachment 5) has been established for this Airport contract. The bidder shall make good faith efforts, as defined in Appendix A, 49 CFR 26 (Attachment 1), to meet the Airport contract goal for DBE participation in the performance of this Airport contract.

The bidder will be required to submit the following information: (1) the names and addresses of DBE firms that will participate in the contract; (2) a description of the work that each DBE firm will perform (to count toward meeting a goal, each DBE firm must be certified in a NAICS code applicable to the kind of work the
firm would perform on the contract; (3) the dollar amount of the participation of each DBE firm participating; (4) Written documentation of the bidder's commitment to use a DBE subcontractor whose participation will enable it to meet the Airport contract goal; and (5) Written confirmation from each listed DBE firm that it is participating in the Airport contract of the kind and amount of work provided in the prime contractor's commitment; and (6), if the Airport contract goal is not met, evidence of good faith efforts.

Section 26.55 Counting DBE Participation

The Airport will count DBE participation toward overall and Airport contract goals as provided in 49 CFR 26.55. The Airport will not count the participation of a DBE subcontract toward a contractor's final compliance with its DBE obligations on an Airport contract until the amount being counted has actually been paid to the DBE.

If the firm is not currently certified as a DBE in accordance with the standards of D of this part at the time of the execution of the Airport contract, the Airport will not count the firm's participation toward any DBE goals, except as provided for in 26.87(j).
SUBPART D – CERTIFICATION STANDARDS

Section 26.61 – 26.73 Certification Process

The Airport will use the certification standards of 26(D) to determine the eligibility of firms to participate as DBEs in DOT-assisted Airport contracts. To be certified as a DBE, a firm must meet all certification eligibility standards.

For information about the certification process or to apply for certification, firms should contact:

DBE/SBE Program Manager
Louisiana Department of Transportation and Development
P.O. Box 94245
Baton Rouge, Louisiana 70804
Telephone: 225-379-1762

Certification application forms and documentation requirements are found in Attachment 8 to this program.
The Airport is a member of Louisiana’s Unified Certification Program administered by LaDOTD. UCP will meet all of the requirements of this section. A copy of the UCP, as well as the Uniform Certification Application can be found in Attachment 8.
SUBPART F – COMPLIANCE AND ENFORCEMENT

Section 26.109 Information, Confidentiality, Cooperation and intimidation or retaliation

The Airport will safeguard from disclosure to third parties information that may reasonably be regarded as confidential business information consistent with federal, State, and local law. Please refer to the Louisiana Public Records Act, LRS 44:1 et seq, for details regarding disclosure to third parties of information that may be regarded as confidential business information.

Notwithstanding any provision of federal, State, or local law, the Airport will not release any information that may reasonably be construed as confidential business information to any third party without the written consent of the firm that submitted the information. This includes applications for DBE certification and supporting information. However, the Airport will transmit this information to DOT in any certification appeal proceeding under 26.89 of this part or to any other state to which the individual’s firm has applied for certification under 26.85 of this part.

All participants in the Airport's DBE program (including, but not limited to, the Airport, DBE firms and applicants for DBE certification, complainants and appellants, and contractors using DBE firms to meet Airport contract goals) are required to cooperate fully and promptly with DOT and recipient compliance reviews, certification reviews, investigations, and other requests for information. Failure to do so shall be a ground for appropriate action against the party involved (e.g., with respect to the Airport, a finding of noncompliance; with respect to DBE firms, denial of certification or removal of eligibility and/or suspension and debarment; with respect to a complainant or appellant, dismissal of the complaint or appeal; with respect to a contractor that uses DBE firms to meet goals, findings of non-responsibility for future contracts and/or suspension and debarment).

The Airport, contractor, or any other participant in the program will not intimidate, threaten, coerce, or discriminate against any individual or firm for the purpose of interfering with any right or privilege secured by this part or because the individual or firm has made a complaint, testified, assisted, or participated in any manner in an investigation, proceeding, or hearing under this part. If the Airport violates this prohibition, the Airport is in noncompliance with this part.
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ATTACHMENT 1

Regulations:
49 CFR 26
PART 26—PARTICIPATION BY DISADVANTAGED BUSINESS ENTERPRISES IN DEPARTMENT OF TRANSPORTATION FINANCIAL ASSISTANCE PROGRAMS

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SOURCE: 64 FR 5126, Feb. 2, 1999, unless otherwise noted.

Subpart A—General

§26.1 What are the objectives of this part?

This part seeks to achieve several objectives:
(a) To ensure nondiscrimination in the award and administration of DOT-assisted contracts in the Department's highway, transit, and airport financial assistance programs;
(b) To create a level playing field on which DBEs can compete fairly for DOT-assisted contracts;
(c) To ensure that the Department's DBE program is narrowly tailored in accordance with applicable law;
(d) To ensure that only firms that fully meet this part's eligibility standards are permitted to participate as DBEs;
(e) To help remove barriers to the participation of DBEs in DOT-assisted contracts;
(f) To promote the use of DBEs in all types of federally-assisted contracts and procurement activities conducted by recipients.
(g) To assist the development of firms that can compete successfully in the marketplace outside the DBE program;


(3) Airport funds authorized by 49 U.S.C. 47101, et seq.

(b) [Reserved]

c) If you are letting a contract, and that contract is to be performed entirely outside the United States, its territories and possessions, Puerto Rico, Guam, or the Northern Marianas Islands, this part does not apply to the contract.

d) If you are letting a contract in which DOT financial assistance does not participate, this part does not apply to the contract.


§26.5 What do the terms used in this part mean?

Affiliation has the same meaning the term has in the Small Business Administration (SBA) regulations, 13 CFR part 121.

(1) Except as otherwise provided in 13 CFR part 121, concerns are affiliates of each other when, either directly or indirectly:

(i) One concern controls or has the power to control the other; or

(ii) A third party or parties controls or has the power to control both; or

(iii) An identity of interest between or among parties exists such that affiliation may be found.

(2) In determining whether affiliation exists, it is necessary to consider all appropriate factors, including common ownership, common management, and contractual relationships. Affiliates must be considered together in determining whether a concern meets small business size criteria and the statutory cap on the participation of firms in the DBE program.

Alaska Native means a citizen of the United States who is a person of one-fourth degree or more Alaskan Indian (including Tsimshian Indians not enrolled in the Metlakta Indian Community), Eskimo, or Aleut blood, or a combination of those bloodlines. The term includes, in the absence of proof of a minimum blood quantum, any citizen whom a Native village or Native group regards as an Alaska Native if their father or mother is regarded as an Alaska Native.

Alaska Native Corporation (ANC) means any Regional Corporation, Village Corporation, Urban Corporation, or Group Corporation organized under the laws of the State of Alaska in accordance with the Alaska Native Claims Settlement Act, as amended (43 U.S.C. 1601, et seq.).

Assets mean all the property of a person available for paying debts or for distribution, including one's respective share of jointly held assets. This includes, but is not limited to, cash on hand and in banks, savings accounts, IRA or other retirement accounts, accounts receivable, life insurance, stocks and bonds, real estate, and personal property.

Business, business concern or business enterprise means an entity organized for profit with a place of business located in the United States, and which operates primarily within the United States or which makes a significant contribution to the United States economy through payment of taxes or use of American products, materials, or labor.

Compliance means that a recipient has correctly implemented the requirements of this part.

Contingent Liability means a liability that depends on the occurrence of a future and uncertain event. This includes, but is not limited to, guaranty for debts owed by the applicant concern, legal claims and judgments, and provisions for federal income tax.

Contract means a legally binding relationship obligating a seller to furnish supplies or services (including, but not limited to, construction and professional services) and the buyer to pay for them. For purposes of this part, a lease is considered to be a contract.

Contractor means one who participates, through a contract or subcontract (at any tier), in a DOT-assisted highway, transit, or airport program.
Days mean calendar days. In computing any period of time described in this part, the day from which the period begins to run is not counted, and when the last day of the period is a Saturday, Sunday, or Federal holiday, the period extends to the next day that is not a Saturday, Sunday, or Federal holiday. Similarly, in circumstances where the recipient's offices are closed for all or part of the last day, the period extends to the next day on which the agency is open.

Department or DOT means the U.S. Department of Transportation, including the Office of the Secretary, the Federal Highway Administration (FHWA), the Federal Transit Administration (FTA), and the Federal Aviation Administration (FAA).

Disadvantaged business enterprise or DBE means a for-profit small business concern—

(1) That is at least 51 percent owned by one or more individuals who are both socially and economically disadvantaged or, in the case of a corporation, in which 51 percent of the stock is owned by one or more such individuals; and

(2) Whose management and daily business operations are controlled by one or more of the socially and economically disadvantaged individuals who own it.

DOT-assisted contract means any contract between a recipient and a contractor (at any tier) funded in whole or in part with DOT financial assistance, including letters of credit or loan guarantees, except a contract solely for the purchase of land.

Good faith efforts means efforts to achieve a DBE goal or other requirement of this part which, by their scope, intensity, and appropriateness to the objective, can reasonably be expected to fulfill the program requirement.

Home state means the state in which a DBE firm or applicant for DBE certification maintains its principal place of business.

Immediate family member means father, mother, husband, wife, son, daughter, brother, sister, grandfather, grandmother, father-in-law, mother-in-law, sister-in-law, brother-in-law, and domestic partner and civil unions recognized under State law.

Indian tribe means any Indian tribe, band, nation, or other organized group or community of Indians, including any ANC, which is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians, or is recognized as such by the State in which the tribe, band, nation, group, or community resides. See definition of “tribally-owned concern” in this section.

Joint venture means an association of a DBE firm and one or more other firms to carry out a single, for-profit business enterprise, for which the parties combine their property, capital, efforts, skills and knowledge, and in which the DBE is responsible for a distinct, clearly defined portion of the work of the contract and whose share in the capital contribution, control, management, risks, and profits of the joint venture are commensurate with its ownership interest.

Liabilities mean financial or pecuniary obligations. This includes, but is not limited to, accounts payable, notes payable to bank or others, installment accounts, mortgages on real estate, and unpaid taxes.

Native Hawaiian means any individual whose ancestors were natives, prior to 1778, of the area which now comprises the State of Hawaii.

Native Hawaiian Organization means any community service organization serving Native Hawaiians in the State of Hawaii which is a not-for-profit organization chartered by the State of Hawaii, is controlled by Native Hawaiians, and whose business activities will principally benefit such Native Hawaiians.

Noncompliance means that a recipient has not correctly implemented the requirements of this part.

Operating Administration or OA means any of the following parts of DOT: the Federal Aviation Administration (FAA), Federal Highway Administration (FHWA), and Federal Transit Administration (FTA). The “Administrator” of an operating administration includes his or her designees.

Personal net worth means the net value of the assets of an individual remaining after total liabilities are deducted. An individual’s personal net worth does not include: The individual’s ownership interest in an applicant or participating DBE firm; or the individual’s equity in his or her primary place of residence. An individual’s personal net worth includes only his or her own share of assets held jointly or as community property with the individual’s spouse.

Primary industry classification means the most current North American Industry Classification System (NAICS) designation which best describes the primary business of a firm. The NAICS is described in the North American Industry Classification Manual—United States, which is available on the Internet at the U.S. Census Bureau Web site: http://www.census.gov/eos/www/naics/.

Primary recipient means a recipient which receives DOT financial assistance and passes some or all of it on to another recipient.
Principal place of business means the business location where the individuals who manage the firm's day-to-day operations spend most working hours. If the offices from which management is directed and where the business records are kept are in different locations, the recipient will determine the principal place of business.

Program means any undertaking on a recipient's part to use DOT financial assistance, authorized by the laws to which this part applies.

Race-conscious measure or program is one that is focused specifically on assisting only DBEs, including women-owned DBEs.

Race-neutral measure or program is one that is, or can be, used to assist all small businesses. For the purposes of this part, race-neutral includes gender-neutrality.

Recipient is any entity: public or private, to which DOT financial assistance is extended, whether directly or through another recipient, through the programs of the FAA, FHWA, or FTA, or who has applied for such assistance.

Secretary means the Secretary of Transportation or his/her designee.

Set-aside means a contracting practice restricting eligibility for the competitive award of a contract solely to DBE firms.

Small Business Administration or SBA means the United States Small Business Administration.

SBA certified firm refers to firms that have a current, valid certification from or recognized by the SBA under the 8(a) BD or SDB programs.

Small business concern means, with respect to firms seeking to participate as DBEs in DOT-assisted contracts, a small business concern as defined pursuant to section 3 of the Small Business Act and Small Business Administration regulations implementing it (13 CFR part 121) that also does not exceed the cap on average annual gross receipts specified in §26.65(b).

Socially and economically disadvantaged individual means any individual who is a citizen (or lawfully admitted permanent resident) of the United States and who has been subjected to racial or ethnic prejudice or cultural bias within American society because of his or her identity as a member of groups and without regard to his or her individual qualities. The social disadvantage must stem from circumstances beyond the individual's control.

(1) Any individual who a recipient finds to be a socially and economically disadvantaged individual on a case-by-case basis. An individual must demonstrate that he or she has held himself or herself out, as a member of a designated group if you require it.

(2) Any individual in the following groups, members of which are rebuttably presumed to be socially and economically disadvantaged:

   (i) "Black Americans," which includes persons having origins in any of the Black racial groups of Africa;

   (ii) "Hispanic Americans," which includes persons of Mexican, Puerto Rican, Cuban, Dominican, Central or South American, or other Spanish or Portuguese culture or origin, regardless of race;

   (iii) "Native Americans," which includes persons who are enrolled members of a federally or State recognized Indian tribe, Alaska Natives, or Native Hawaiians;

   (iv) "Asian-Pacific Americans," which includes persons whose origins are from Japan, China, Taiwan, Korea, Burma (Myanmar), Vietnam, Laos, Cambodia (Kampuchea), Thailand, Malaysia, Indonesia, the Philippines, Brunei, Samoa, Guam, the U.S. Trust Territories of the Pacific Islands (Republic of Palau), Republic of the Northern Mariana Islands, Samoa, Macao, Fiji, Tonga, Kiribati, Tuvalu, Nauru, Federated States of Micronesia, or Hong Kong;

   (v) "Subcontinent Asian Americans," which includes persons whose origins are from India, Pakistan, Bangladesh, Bhutan, the Maldives Islands, Nepal or Sri Lanka;

   (vi) Women;

   (vii) Any additional groups whose members are designated as socially and economically disadvantaged by the SBA, at such time as the SBA designation becomes effective.

(3) Being born in a particular country does not, standing alone, mean that a person is necessarily a member of one of the groups listed in this definition.

Spouse means a married person, including a person in a domestic partnership or a civil union recognized under State law.
Transit vehicle manufacturer means any manufacturer whose primary business purpose is to manufacture vehicles specifically built for public mass transportation. Such vehicles include, but are not limited to: Buses, rail cars, trolleys, ferries, and vehicles manufactured specifically for paratransit purposes. Producers of vehicles that receive post-production alterations or retrofitting to be used for public transportation purposes (e.g., so-called cutaway vehicles, vans customized for service to people with disabilities) are also considered transit vehicle manufacturers. Businesses that manufacture, mass-produce, or distribute vehicles solely for personal use and for sale "off the lot" are not considered transit vehicle manufacturers.

Tribally-owned concern means any concern at least 51 percent owned by an Indian tribe as defined in this section.

You refers to a recipient, unless a statement in the text of this part or the context requires otherwise (i.e., "You must do XYZ" means that recipients must do XYZ).

§26.7 What discriminatory actions are forbidden?

(a) You must never exclude any person from participation in, deny any person the benefits of, or otherwise discriminate against anyone in connection with the award and performance of any contract covered by this part on the basis of race, color, sex, or national origin.

(b) In administering your DBE program, you must not, directly or through contractual or other arrangements, use criteria or methods of administration that have the effect of defeating or substantially impairing accomplishment of the objectives of the program with respect to individuals of a particular race, color, sex, or national origin.

§26.9 How does the Department issue guidance and interpretations under this part?

(a) Only guidance and interpretations (including interpretations set forth in certification appeal decisions) consistent with this part 26 and issued after March 4, 1999 express the official positions and views of the Department of Transportation or any of its operating administrations.

(b) The Secretary of Transportation, Office of the Secretary of Transportation, FHWA, FTA, and FAA may issue written interpretations of or written guidance concerning this part. Written interpretations and guidance are valid, and express the official positions and views of the Department of Transportation or any of its operating administrations, only if they are issued over the signature of the Secretary of Transportation or if they contain the following statement:

The General Counsel of the Department of Transportation has reviewed this document and approved it as consistent with the language and intent of 49 CFR part 26.

§26.11 What records do recipients keep and report?

(a) You must transmit the Uniform Report of DBE Awards or Commitments and Payments, found in Appendix B to this part, at the intervals stated on the form.

(b) You must continue to provide data about your DBE program to the Department as directed by DOT operating administrations.

(c) You must create and maintain a bidders list.

(1) The purpose of this list is to provide you as accurate data as possible about the universe of DBE and non-DBE contractors and subcontractors who seek to work on your Federally-assisted contracts for use in helping you set your overall goals.

(2) You must obtain the following information about DBE and non-DBE contractors and subcontractors who seek to work on your Federally-assisted contracts:

(i) Firm name;

(ii) Firm address;

(iii) Firm's status as a DBE or non-DBE.
(iv) Age of the firm; and
(v) The annual gross receipts of the firm. You may obtain this information by asking each firm to indicate into what gross receipts bracket they fit (e.g., less than $500,000; $500,000-$1 million; $1-2 million; $2-5 million; etc.) rather than requesting an exact figure from the firm.

(3) You may acquire the information for your bidders list in a variety of ways. For example, you can collect the data from all bidders, before or after the bid due date. You can conduct a survey that will result in statistically sound estimate of the universe of DBE and non-DBE contractors and subcontractors who seek to work on your Federally-assisted contract or in the administration of its DBE program or the requirements of 49 CFR part 26. The recipient must maintain records documenting a firm's compliance with the requirements of this part. At a minimum, you must keep a complete application package for each certified firm and all affidavits of no-change, change notices, and on-site reviews. These records must be retained in accordance with applicable record retention requirements for the recipient's financial assistance agreement. Other certification or compliance related records must be retained for a minimum of three (3) years unless otherwise provided by applicable record retention requirements for the recipient's financial assistance agreement, whichever is longer.

(e) The State department of transportation in each UCP established pursuant to §26.81 of this part must report to the Department of Transportation's Office of Civil Rights, by January 1, 2015, and each year thereafter, the percentage and location in the State of certified DBE firms in the UCP Directory controlled by the following:

1. Women;
2. Socially and economically disadvantaged individuals (other than women); and
3. Individuals who are women and are otherwise socially and economically disadvantaged.

§26.13 What assurances must recipients and contractors make?

(a) Each financial assistance agreement you sign with a DOT operating administration (or a primary recipient) must include the following assurance: The recipient shall not discriminate on the basis of race, color, national origin, or sex in the award and performance of any DOT-assisted contract or in the administration of its DBE program or the requirements of 49 CFR part 26. The recipient shall take all necessary and reasonable steps under 49 CFR part 26 to ensure nondiscrimination in the award and administration of DOT-assisted contracts. The recipient's DBE program, as required by 49 CFR part 26 and as approved by DOT, is incorporated by reference in this agreement. Implementation of this program is a legal obligation and failure to carry out its terms shall be treated as a violation of this agreement. Upon notification to the recipient of its failure to carry out its approved program, the Department may impose sanctions as provided for under 49 CFR part 26 and may, in appropriate cases, refer the matter for enforcement under 18 U.S.C. 1001 and/or the Program Fraud Civil Remedies Act of 1986 (31 U.S.C. 3801 et seq.).

(b) Each contract you sign with a contractor (and each subcontract the prime contractor signs with a subcontractor) must include the following assurance: The contractor, sub recipient or subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The contractor shall carry out applicable requirements of 49 CFR part 26 in the award and administration of DOT-assisted contracts. Failure by the contractor to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as the recipient deems appropriate, which may include, but is not limited to:

1. Withholding monthly progress payments;
2. Assessing sanctions;
3. Liquidated damages; and/or
4. Disqualifying the contractor from future bidding as non-responsible.

§26.15 How can recipients apply for exemptions or waivers?

(a) You can apply for an exemption from any provision of this part. To apply, you must request the exemption in writing from the Office of the Secretary of Transportation, FHWA, FTA, or FAA. The Secretary will grant the request only if
it documents special or exceptional circumstances, not likely to be generally applicable, and not contemplated in connection with the rulemaking that established this part, that make your compliance with a specific provision of this part impractical. You must agree to take any steps that the Department specifies to comply with the intent of the provision from which an exemption is granted. The Secretary will issue a written response to all exemption requests.

(b) You can apply for a waiver of any provision of Subpart B or C of this part including, but not limited to, any provisions regarding administrative requirements, overall goals, contract goals or good faith efforts. Program waivers are for the purpose of authorizing you to operate a DBE program that achieves the objectives of this part by means that may differ from one or more of the requirements of Subpart B or C of this part. To receive a program waiver, you must follow these procedures:

(1) You must apply through the concerned operating administration. The application must include a specific program proposal and address how you will meet the criteria of paragraph (b)(2) of this section. Before submitting your application, you must have had public participation in developing your proposal, including consultation with the DBE community and at least one public hearing. Your application must include a summary of the public participation process and the information gathered through it.

(2) Your application must show that—

(i) There is a reasonable basis to conclude that you could achieve a level of DBE participation consistent with the objectives of this part using different or innovative means other than those that are provided in subpart B or C of this part;

(ii) Conditions in your jurisdiction are appropriate for implementing the proposal;

(iii) Your proposal would prevent discrimination against any individual or group in access to contracting opportunities or other benefits of the program; and

(iv) Your proposal is consistent with applicable law and program requirements of the concerned operating administration’s financial assistance program.

(3) The Secretary has the authority to approve your application. If the Secretary grants your application, you may administer your DBE program as provided in your proposal, subject to the following conditions:

(i) DBE eligibility is determined as provided in subparts D and E of this part, and DBE participation is counted as provided in §26.49;

(ii) Your level of DBE participation continues to be consistent with the objectives of this part;

(iii) There is a reasonable limitation on the duration of your modified program; and

(iv) Any other conditions the Secretary makes on the grant of the waiver.

(4) The Secretary may end a program waiver at any time and require you to comply with this part’s provisions. The Secretary may also extend the waiver if he or she determines that all requirements of paragraphs (b)(2) and (3) of this section continue to be met. Any such extension shall be for no longer than period originally set for the duration of the program.

Subpart B—Administrative Requirements for DBE Programs for Federally-Assisted Contracting

§26.21 Who must have a DBE program?

(a) If you are in one of these categories and let DOT-assisted contracts, you must have a DBE program meeting the requirements of this part:

(1) All FHWA primary recipients receiving funds authorized by a statute to which this part applies;

(2) FTA recipients receiving planning, capital and/or operating assistance who will award prime contracts (excluding transit vehicle purchases) the cumulative total value of which exceeds $250,000 in FTA funds in a Federal fiscal year;

(3) FAA recipients receiving grants for airport planning or development who will award prime contracts the cumulative total value of which exceeds $250,000 in FAA funds in a Federal fiscal year.

(b)(1) You must submit a DBE program conforming to this part by August 31, 1999 to the concerned operating administration (OA). Once the OA has approved your program, the approval counts for all of your DOT-assisted programs.
(except that goals are reviewed by the particular operating administration that provides funding for your DOT-assisted contracts).

(2) You do not have to submit regular updates of your DBE programs, as long as you remain in compliance. However, you must submit significant changes in the program for approval.

(c) You are not eligible to receive DOT financial assistance unless DOT has approved your DBE program and you are in compliance with it and this part. You must continue to carry out your program until all funds from DOT financial assistance have been expended.


§26.23 What is the requirement for a policy statement?

You must issue a signed and dated policy statement that expresses your commitment to your DBE program, states its objectives, and outlines responsibilities for its implementation. You must circulate the statement throughout your organization and to the DBE and non-DBE business communities that perform work on your DOT-assisted contracts.

§26.25 What is the requirement for a liaison officer?

You must have a DBE liaison officer, who shall have direct, independent access to your Chief Executive Officer concerning DBE program matters. The liaison officer shall be responsible for implementing all aspects of your DBE program. You must also have adequate staff to administer the program in compliance with this part.

§26.27 What efforts must recipients make concerning DBE financial institutions?

You must investigate the full extent of services offered by financial institutions owned and controlled by socially and economically disadvantaged individuals in your community and make reasonable efforts to use these institutions. You must also encourage prime contractors to use such institutions.

§26.29 What prompt payment mechanisms must recipients have?

(a) You must establish, as part of your DBE program, a contract clause to require prime contractors to pay subcontractors for satisfactory performance of their contracts no later than 30 days from receipt of each payment you make to the prime contractor.

(b) You must ensure prompt and full payment of retainage from the prime contractor to the subcontractor within 30 days after the subcontractor's work is satisfactorily completed. You must use one of the following methods to comply with this requirement:

(1) You may decline to hold retainage from prime contractors and prohibit prime contractors from holding retainage from subcontractors.

(2) You may decline to hold retainage from prime contractors and require a contract clause obligating prime contractors to make prompt and full payment of any retainage kept by prime contractor to the subcontractor within 30 days after the subcontractor's work is satisfactorily completed.

(3) You may hold retainage from prime contractors and provide for prompt and regular incremental acceptances of portions of the prime contract, pay retainage to prime contractors based on these acceptances, and require a contract clause obligating the prime contractor to pay all retainage owed to the subcontractor for satisfactory completion of the accepted work within 30 days after your payment to the prime contractor.

(c) For purposes of this section, a subcontractor's work is satisfactorily completed when all the tasks called for in the subcontract have been accomplished and documented as required by the recipient. When a recipient has made an incremental acceptance of a portion of a prime contract, the work of a subcontractor covered by that acceptance is deemed to be satisfactorily completed.

(d) Your DBE program must provide appropriate means to enforce the requirements of this section. These means may include appropriate penalties for failure to comply, the terms and conditions of which you set. Your program may also provide that any delay or postponement of payment among the parties may take place only for good cause, with your prior written approval.
(e) You may also establish, as part of your DBE program, any of the following additional mechanisms to ensure prompt payment:

(1) A contract clause that requires prime contractors to include in their subcontracts language providing that prime contractors and subcontractors will use appropriate alternative dispute resolution mechanisms to resolve payment disputes. You may specify the nature of such mechanisms.

(2) A contract clause providing that the prime contractor will not be reimbursed for work performed by subcontractors unless and until the prime contractor ensures that the subcontractors are promptly paid for the work they have performed.

(3) Other mechanisms, consistent with this part and applicable state and local law, to ensure that DBEs and other contractors are fully and promptly paid.

[68 FR 35553, June 16, 2003]

§26.31 What information must you include in your DBE directory?

(a) In the directory required under §26.81(g) of this Part, you must list all firms eligible to participate as DBEs in your program. In the listing for each firm, you must include its address, phone number, and the types of work the firm has been certified to perform as a DBE.

(b) You must list each type of work for which a firm is eligible to be certified by using the most specific NAICS code available to describe each type of work. You must make any changes to your current directory entries necessary to meet the requirement of this paragraph (a) by August 26, 2011.

[76 FR 5096, Jan. 28, 2011]

§26.33 What steps must a recipient take to address overconcentration of DBEs in certain types of work?

(a) If you determine that DBE firms are so overconcentrated in a certain type of work as to unduly burden the opportunity of non-DBE firms to participate in this type of work, you must devise appropriate measures to address this overconcentration.

(b) These measures may include the use of incentives, technical assistance, business development programs, mentor-protégé programs, and other appropriate measures designed to assist DBEs in performing work outside of the specific field in which you have determined that non-DBEs are unduly burdened. You may also consider varying your use of contract goals, to the extent consistent with §26.51, to ensure that non-DBEs are not unfairly prevented from competing for subcontracts.

(c) You must obtain the approval of the concerned DOT operating administration for your determination of overconcentration and the measures you devise to address it. Once approved, the measures become part of your DBE program.

§26.35 What role do business development and mentor-protégé programs have in the DBE program?

(a) You may or, if an operating administration directs you to, you must establish a DBE business development program (BDP) to assist firms in gaining the ability to compete successfully in the marketplace outside the DBE program. You may require a DBE firm, as a condition of receiving assistance through the BDP, to agree to terminate its participation in the BDP program after a certain time has passed or certain objectives have been reached. See Appendix C of this part for guidance on administering BDP programs.

(b) As part of a BDP or separately, you may establish a "mentor-protégé" program, in which another DBE or non-DBE firm is the principal source of business development assistance to a DBE firm.

(1) Only firms you have certified as DBEs before they are proposed for participation in a mentor-protégé program are eligible to participate in the mentor-protégé program.

(2) During the course of the mentor-protégé relationship, you must:

(i) Not award DBE credit to a non-DBE mentor firm for using its own protégé firm for more than one half of its goal on any contract let by the recipient; and

(ii) Not award DBE credit to a non-DBE mentor firm for using its own protégé firm for more than every other contract performed by the protégé firm.
For purposes of making determinations of business size under this part, you must not treat protégé firms as affiliates of mentor firms, when both firms are participating under an approved mentor-protégé program. See Appendix D of this part for guidance concerning the operation of mentor-protégé programs.

(c) Your BDPs and mentor-protégé programs must be approved by the concerned operating administration before you implement them. Once approved, they become part of your DBE program.

§26.37 What are a recipient's responsibilities for monitoring the performance of other program participants?

(a) You must implement appropriate mechanisms to ensure compliance with the part's requirements by all program participants (e.g., applying legal and contract remedies available under Federal, state and local law). You must set forth these mechanisms in your DBE program.

(b) Your DBE program must also include a monitoring and enforcement mechanism to ensure that work committed to DBEs at contract award or subsequently (e.g., as the result of modification to the contract) is actually performed by the DBEs to which the work was committed. This mechanism must include a written certification that you have reviewed contracting records and monitored work sites in your state for this purpose. The monitoring to which this paragraph refers may be conducted in conjunction with monitoring of contract performance for other purposes (e.g., close-out reviews for a contract).

(c) This mechanism must provide for a running tally of actual DBE attainments (e.g., payments actually made to DBE firms), including a means of comparing these attainments to commitments. In your reports of DBE participation to the Department, you must display both commitments and attainments.

§26.39 Fostering small business participation.

(a) Your DBE program must include an element to structure contracting requirements to facilitate competition by small business concerns, taking all reasonable steps to eliminate obstacles to their participation, including unnecessary and unjustified bundling of contract requirements that may preclude small business participation in procurements as prime contractors or subcontractors.

(b) This element must be submitted to the appropriate DOT operating administration for approval as a part of your DBE program by February 28, 2012. As part of this program element you may include, but are not limited to, the following strategies:

1. Establishing a race-neutral small business set-aside for prime contracts under a stated amount (e.g., $1 million).

2. In multi-year design-build contracts or other large contracts (e.g., for "megaprojects") requiring bidders on the prime contract to specify elements of the contract or specific subcontracts that are of a size that small businesses, including DBEs, can reasonably perform.

3. On prime contracts not having DBE contract goals, requiring the prime contractor to provide subcontracting opportunities of a size that small businesses, including DBEs, can reasonably perform, rather than self-performing all the work involved.

4. Identifying alternative acquisition strategies and structuring procurements to facilitate the ability of consortia or joint ventures consisting of small businesses, including DBEs, to compete for and perform prime contracts.

5. To meet the portion of your overall goal you project to meet through race-neutral measures, ensuring that a reasonable number of prime contracts are of a size that small businesses, including DBEs, can reasonably perform.

(c) You must actively implement your program elements to foster small business participation. Doing so is a requirement of good faith implementation of your DBE program.

Subpart C—Goals, Good Faith Efforts, and Counting

§26.41 What is the role of the statutory 10 percent goal in this program?
(a) The statutes authorizing this program provide that, except to the extent the Secretary determines otherwise, not less than 10 percent of the authorized funds are to be expended with DBEs.

(b) This 10 percent goal is an aspirational goal at the national level, which the Department uses as a tool in evaluating and monitoring DBEs' opportunities to participate in DOT-assisted contracts.

(c) The national 10 percent goal does not authorize or require recipients to set overall or contract goals at the 10 percent level, or any other particular level, or to take any special administrative steps if their goals are above or below 10 percent.

§26.43 Can recipients use set-asides or quotas as part of this program?

(a) You are not permitted to use quotas for DBEs on DOT-assisted contracts subject to this part.

(b) You may not set-aside contracts for DBEs on DOT-assisted contracts subject to this part, except that, in limited and extreme circumstances, you may use set-asides when no other method could be reasonably expected to redress egregious instances of discrimination.

§26.45 How do recipients set overall goals?

(a)(1) Except as provided in paragraph (a)(2) of this section, you must set an overall goal for DBE participation in your DOT-assisted contracts.

(2) If you are a FTA or FAA recipient who reasonably anticipates awarding (excluding transit vehicle purchases) $250,000 or less in FTA or FAA funds in prime contracts in a Federal fiscal year, you are not required to develop overall goals for FTA or FAA respectively for that fiscal year. However, if you have an existing DBE program, it must remain in effect and you must seek to fulfill the objectives outlined in §26.1.

(b) Your overall goal must be based on demonstrable evidence of the availability of ready, willing and able DBEs relative to all businesses ready, willing and able to participate on your DOT-assisted contracts (hereafter, the "relative availability of DBEs"). The goal must reflect your determination of the level of DBE participation you would expect absent the effects of discrimination. You cannot simply rely on either the 10 percent national goal, your previous overall goal or past DBE participation rates in your program without reference to the relative availability of DBEs in your market.

(c) Step 1. You must begin your goal setting process by determining a base figure for the relative availability of DBEs. The following are examples of approaches that you may take toward determining a base figure. These examples are provided as a starting point for your goal setting process. Any percentage figure derived from one of these examples should be considered a basis from which you begin when examining all evidence available in your jurisdiction. These examples are not intended as an exhaustive list. Other methods or combinations of methods to determine a base figure may be used, subject to approval by the concerned operating administration.

(1) Use DBE Directories and Census Bureau Data. Determine the number of ready, willing and able DBEs in your market from your DBE directory. Using the Census Bureau's County Business Pattern (CBP) data base, determine the number of all ready, willing and able businesses available in your market that perform work in the same NAICS codes. (Information about the CBP data base may be obtained from the Census Bureau at their web site, www.census.gov/epcd/cbpview/cbpview.html.) Divide the number of DBEs by the number of all businesses to derive a base figure for the relative availability of DBEs in your market.

(2) Use a bidders list. Determine the number of DBEs that have bid or quoted (successful and unsuccessful) on your DOT-assisted prime contracts or subcontracts in the past three years. Determine the number of all businesses that have bid or quoted (successful and unsuccessful) on prime or subcontracts in the same time period. Divide the number of DBE bidders and quoters by the number of all businesses to derive a base figure for the relative availability of DBEs in your market. When using this approach, you must establish a mechanism (documented in your goal submission) to directly capture data on DBE and non-DBE prime and subcontractors that submitted bids or quotes on your DOT-assisted contracts.

(3) Use data from a disparity study. Use a percentage figure derived from data in a valid, applicable disparity study.

(4) Use the goal of another DOT recipient. If another DOT recipient in the same, or substantially similar, market has set an overall goal in compliance with this rule, you may use that goal as a base figure for your goal.

(5) Alternative methods. Except as otherwise provided in this paragraph, you may use other methods to determine a base figure for your overall goal. Any methodology you choose must be based on demonstrable evidence of local market conditions and be designed to ultimately attain a goal that is rationally related to the relative availability of DBEs in your market. The exclusive use of a list of prequalified contractors or plan holders, or a bidders list that does not comply with
the requirements of paragraph (c)(2) of this section, is not an acceptable alternative means of determining the availability of DBEs.

(d) Step 2. Once you have calculated a base figure, you must examine all of the evidence available in your jurisdiction to determine what adjustment, if any, is needed to the base figure to arrive at your overall goal. If the evidence does not suggest an adjustment is necessary, then no adjustment shall be made.

(1) There are many types of evidence that must be considered when adjusting the base figure. These include:

(i) The current capacity of DBEs to perform work in your DOT-assisted contracting program, as measured by the volume of work DBEs have performed in recent years;

(ii) Evidence from disparity studies conducted anywhere within your jurisdiction, to the extent it is not already accounted for in your base figure; and

(iii) If your base figure is the goal of another recipient, you must adjust it for differences in your local market and your contracting program.

(2) If available, you must consider evidence from related fields that affect the opportunities for DBEs to form, grow and compete. These include, but are not limited to:

(i) Statistical disparities in the ability of DBEs to get the financing, bonding and insurance required to participate in your program;

(ii) Data on employment, self-employment, education, training and union apprenticeship programs, to the extent you can relate it to the opportunities for DBEs to perform in your program.

(3) If you attempt to make an adjustment to your base figure to account for the continuing effects of past discrimination (often called the “but for” factor) or the effects of an ongoing DBE program, the adjustment must be based on demonstrable evidence that is logically and directly related to the effect for which the adjustment is sought.

(e) Once you have determined a percentage figure in accordance with paragraphs (c) and (d) of this section, you should express your overall goal as follows:

(1) If you are an FHWA recipient, as a percentage of all Federal-aid highway funds you will expend in FHWA-assisted contracts in the forthcoming three fiscal years.

(2) If you are an FTA or FAA recipient, as a percentage of all FT or FAA funds (exclusive of FTA funds to be used for the purchase of transit vehicles) that you will expend in FTA or FAA-assisted contracts in the three forthcoming fiscal years.

(3) In appropriate cases, the FHWA, FTA or FAA Administrator may permit or require you to express your overall goal as a percentage of funds for a particular grant or project or group of grants and/or projects, including entire projects. Like other overall goals, a project goal may be adjusted to reflect changed circumstances, with the concurrence of the appropriate operating administration.

(i) A project goal is an overall goal, and must meet all the substantive and procedural requirements of this section pertaining to overall goals.

(ii) A project goal covers the entire length of the project to which it applies.

(iii) The project goal should include a projection of the DBE participation anticipated to be obtained during each fiscal year covered by the project goal.

(iv) The funds for the project to which the project goal pertains are separated from the base from which your regular overall goal, applicable to contracts not part of the project covered by a project goal, is calculated.

(f)(1)(i) If you set your overall goal on a fiscal year basis, you must submit it to the applicable DOT operating administration by August 1 at three-year intervals, based on a schedule established by the FHWA, FTA, or FAA, as applicable, and posted on that agency’s Web site.

(ii) You may adjust your three-year overall goal during the three-year period to which it applies, in order to reflect changed circumstances. You must submit such an adjustment to the concerned operating administration for review and approval.

(iii) The operating administration may direct you to undertake a review of your goal if necessary to ensure that the goal continues to fit your circumstances appropriately.
(iv) While you are required to submit an overall goal to FHWA, FTA, or FAA only every three years, the overall goal and the provisions of Sec. 26.47(c) apply to each year during that three-year period.

(v) You may make, for informational purposes, projections of your expected DBE achievements during each of the three years covered by your overall goal. However, it is the overall goal itself, and not these informational projections, to which the provisions of section 26.47(c) of this part apply.

(2) If you are a recipient and set your overall goal on a project or grant basis as provided in paragraph (e)(3) of this section, you must submit the goal for review at a time determined by the FHWA, FTA or FAA Administrator, as applicable.

(3) You must include with your overall goal submission a description of the methodology you used to establish the goal, including your base figure and the evidence with which it was calculated, and the adjustments you made to the base figure and the evidence you relied on for the adjustments. You should also include a summary listing of the relevant available evidence in your jurisdiction and, where applicable, an explanation of why you did not use that evidence to adjust your base figure. You must also include your projection of the portions of the overall goal you expect to meet through race-neutral and race-conscious measures, respectively (see 26.51(c)).

(4) You are not required to obtain prior operating administration concurrence with your overall goal. However, if the operating administration's review suggests that your overall goal has not been correctly calculated or that your method for calculating goals is inadequate, the operating administration may, after consulting with you, adjust your overall goal or require that you do so. The adjusted overall goal is binding on you. In evaluating the adequacy or soundness of the methodology used to derive the overall goal, the operating administration will be guided by goal setting principles and best practices identified by the Department in guidance issued pursuant to §26.9.

(5) If you need additional time to collect data or take other steps to develop an approach to setting overall goals, you may request the approval of the concerned operating administration for an interim goal and/or goal-setting mechanism. Such a mechanism must:

(i) Reflect the relative availability of DBEs in your local market to the maximum extent feasible given the data available to you; and

(ii) Avoid imposing undue burdens on non-DBEs.

(6) Timely submission and operating administration approval of your overall goal is a condition of eligibility for DOT financial assistance.

(7) If you fail to establish and implement goals as provided in this section, you are not in compliance with this part. If you establish and implement goals in a way different from that provided in this part, you are not in compliance with this part. If you fail to comply with this requirement, you are not eligible to receive DOT financial assistance.

(g)(1) In establishing an overall goal, you must provide for consultation and publication. This includes:

(i) Consultation with minority, women's and general contractor groups, community organizations, and other officials or organizations which could be expected to have information concerning the availability of disadvantaged and non-disadvantaged businesses, the effects of discrimination on opportunities for DBEs, and your efforts to establish a level playing field for the participation of DBEs. The consultation must include a scheduled, direct, interactive exchange (e.g., a face-to-face meeting, video conference, teleconference) with as many interested stakeholders as possible focused on obtaining information relevant to the goal setting process, and it must occur before you are required to submit your methodology to the operating administration for review pursuant to paragraph (f) of this section. You must document in your goal submission the consultation process you engaged in. Notwithstanding paragraph (f)(4) of this section, you may not implement your proposed goal until you have complied with this requirement.

(ii) A published notice announcing your proposed overall goal before submission to the operating administration on August 1st. The notice must be posted on your official Internet Web site and may be posted in any other sources (e.g., minority-focused media, trade association publications). If the proposed goal changes following review by the operating administration, the revised goal must be posted on your official Internet Web site.

(2) At your discretion, you may inform the public that the proposed overall goal and its rationale are available for inspection during normal business hours at your principal office and for a 30-day comment period. Notice of the comment period must include addresses to which comments may be sent. The public comment period will not extend the August 1st deadline set in paragraph (f) of this section.

(h) Your overall goals must provide for participation by all certified DBEs and must not be subdivided into group-specific goals.


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§26.47 Can recipients be penalized for failing to meet overall goals?

(a) You cannot be penalized, or treated by the Department as being in noncompliance with this rule, because your DBE participation fails short of your overall goal, unless you have failed to administer your program in good faith.

(b) If you do not have an approved DBE program or overall goal, or if you fail to implement your program in good faith, you are in noncompliance with this part.

(c) If the awards and commitments shown on your Uniform Report of Awards or Commitments and Payments at the end of any fiscal year are less than the overall goal applicable to that fiscal year, you must do the following in order to be regarded by the Department as implementing your DBE program in good faith:

(1) Analyze in detail the reasons for the difference between the overall goal and your awards and commitments in that fiscal year;

(2) Establish specific steps and milestones to correct the problems you have identified in your analysis and to enable you to meet fully your goal for the new fiscal year;

(3)(i) If you are a state highway agency; one of the 50 largest transit authorities as determined by the FTA; or an Operational Evolution Partnership Plan airport or other airport designated by the FAA, you must submit, within 90 days of the end of the fiscal year, the analysis and corrective actions developed under paragraphs (c)(1) and (2) of this section to the appropriate operating administration for approval. If the operating administration approves the report, you will be regarded as complying with the requirements of this section for the remainder of the fiscal year.

(ii) As a transit authority or airport not meeting the criteria of paragraph (c)(3)(i) of this section, you must retain analysis and corrective actions in your records for three years and make it available to FTA or FAA on request for their review.

(4) FHWA, FTA, or FAA may impose conditions on the recipient as part of its approval of the recipient’s analysis and corrective actions including, but not limited to, modifications to your overall goal methodology, changes in your race-conscious/race-neutral split, or the introduction of additional race-neutral or race-conscious measures.

(5) You may be regarded as being in noncompliance with this Part, and therefore subject to the remedies in §26.103 or §26.105 of this part and other applicable regulations, for failing to implement your DBE program in good faith if any of the following things occur:

(i) You do not submit your analysis and corrective actions to FHWA, FTA, or FAA in a timely manner as required under paragraph (c)(3) of this section;

(ii) FHWA, FTA, or FAA disapproves your analysis or corrective actions; or

(iii) You do not fully implement the corrective actions to which you have committed or conditions that FHWA, FTA, or FAA has imposed following review of your analysis and corrective actions.

(d) If, as recipient, your Uniform Report of DBE Awards or Commitments and Payments or other information coming to the attention of FTA, FHWA, or FAA, demonstrates that current trends make it unlikely that you will achieve DBE awards and commitments that would be necessary to allow you to meet your overall goal at the end of the fiscal year, FHWA, FTA, or FAA, as applicable, may require you to make further good faith efforts, such as by modifying your race-conscious/race-neutral split or introducing additional race-neutral or race-conscious measures for the remainder of the fiscal year.


§26.49 How are overall goals established for transit vehicle manufacturers?

(a) If you are an FTA recipient, you must require in your DBE program that each transit vehicle manufacturer, as a condition of being authorized to bid or propose on FTA-assisted transit vehicle procurements, certify that it has complied with the requirements of this section. You do not include FTA assistance used in transit vehicle procurements in the base amount from which your overall goal is calculated.

(1) Only those transit vehicle manufacturers listed on FTA’s certified list of Transit Vehicle Manufacturers, or that have submitted a goal methodology to FTA that has been approved or has not been disapproved, at the time of solicitation are eligible to bid.

(2) A TVM’s failure to implement the DBE Program in the manner as prescribed in this section and throughout 49 CFR part 26 will be deemed as non-compliance, which will result in removal from FTA’s certified TVMs list, resulting in that manufacturer becoming ineligible to bid.
(3) FTA recipient's failure to comply with the requirements set forth in paragraph (a) of this section may result in formal enforcement action or appropriate sanction as determined by FTA (e.g., FTA declining to participate in the vehicle procurement).

(4) FTA recipients are required to submit within 30 days of making an award, the name of the successful bidder, and the total dollar value of the contract in the manner prescribed in the grant agreement.

(b) If you are a transit vehicle manufacturer, you must establish and submit for FTA's approval an annual overall percentage goal.

(1) In setting your overall goal, you should be guided, to the extent applicable, by the principles underlying §26.45. The base from which you calculate this goal is the amount of FTA financial assistance included in transit vehicle contracts you will bid on during the fiscal year in question, less the portion(s) attributable to the manufacturing process performed entirely by the transit vehicle manufacturer's own forces.

(i) You must consider and include in your base figure all domestic contracting opportunities made available to non-DBE firms; and

(ii) You must exclude from this base figure funds attributable to work performed outside the United States and its territories, possessions, and commonwealths.

(iii) In establishing an overall goal, the transit vehicle manufacturer must provide for public participation. This includes consultation with interested parties consistent with §26.45(g).

(2) The requirements of this part with respect to submission and approval of overall goals apply to you as they do to recipients.

(c) Transit vehicle manufacturers awarded must comply with the reporting requirements of §26.11 of this part including the requirement to submit the Uniform Report of Awards or Commitments and Payments, in order to remain eligible to bid on FTA assisted transit vehicle procurements.

(d) Transit vehicle manufacturers must implement all other applicable requirements of this part, except those relating to UCPs and DBE certification procedures.

(e) If you are an FHWA or FAA recipient, you may, with FHWA or FAA approval, use the procedures of this section with respect to procurements of vehicles or specialized equipment. If you choose to do so, then the manufacturers of this equipment must meet the same requirements (including goal approval by FHWA or FAA) as transit vehicle manufacturers must meet in FTA-assisted procurements.

(f) As a recipient you may, with FTA approval, establish project-specific goals for DBE participation in the procurement of transit vehicles in lieu of complying through the procedures of this section.

[79 FR 56594, Oct. 2, 2014]

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§26.51 What means do recipients use to meet overall goals?

(a) You must meet the maximum feasible portion of your overall goal by using race-neutral means of facilitating race-neutral DBE participation. Race-neutral DBE participation includes any time a DBE wins a prime contract through customary competitive procurement procedures or is awarded a subcontract on a prime contract that does not carry a DBE contract goal.

(b) Race-neutral means include, but are not limited to, the following:

(1) Arranging solicitations, times for the presentation of bids, quantities, specifications, and delivery schedules in ways that facilitate participation by DBEs and other small businesses and by making contracts more accessible to small businesses, by means such as those provided under §26.39 of this part.

(2) Providing assistance in overcoming limitations such as inability to obtain bonding or financing (e.g., by such means as simplifying the bonding process, reducing bonding requirements, eliminating the impact of surety costs from bids, and providing services to help DBEs, and other small businesses, obtain bonding and financing);

(3) Providing technical assistance and other services;

(4) Carrying out information and communications programs on contracting procedures and specific contract opportunities (e.g., ensuring the inclusion of DBEs, and other small businesses, on recipient mailing lists for bidders; ensuring the dissemination to bidders on prime contracts of lists of potential subcontractors; provision of information in languages other than English, where appropriate);
(5) Implementing a supportive services program to develop and improve immediate and long-term business management, record keeping, and financial and accounting capability for DBEs and other small businesses;

(6) Providing services to help DBEs, and other small businesses, improve long-term development, increase opportunities to participate in a variety of kinds of work, handle increasingly significant projects, and achieve eventual self-sufficiency;

(7) Establishing a program to assist new, start-up firms, particularly in fields in which DBE participation has historically been low;

(8) Ensuring distribution of your DBE directory, through print and electronic means, to the widest feasible universe of potential prime contractors; and

(9) Assisting DBEs, and other small businesses, to develop their capability to utilize emerging technology and conduct business through electronic media.

(c) Each time you submit your overall goal for review by the concerned operating administration, you must also submit your projection of the portion of the goal that you expect to meet through race-neutral means and your basis for that projection. This projection is subject to approval by the concerned operating administration, in conjunction with its review of your overall goal.

(d) You must establish contract goals to meet any portion of your overall goal you do not project being able to meet using race-neutral means.

(e) The following provisions apply to the use of contract goals:

(1) You may use contract goals only on those DOT-assisted contracts that have subcontracting possibilities.

(2) You are not required to set a contract goal on every DOT-assisted contract. You are not required to set each contract goal at the same percentage level as the overall goal. The goal for a specific contract may be higher or lower than that percentage level of the overall goal, depending on such factors as the type of work involved, the location of the work, and the availability of DBEs for the work of the particular contract. However, over the period covered by your overall goal, you must set contract goals so that they will cumulatively result in meeting any portion of your overall goal you do not project being able to meet through the use of race-neutral means.

(3) Operating administration approval of each contract goal is not necessarily required. However, operating administrations may review and approve or disapprove any contract goal you establish.

(4) Your contract goals must provide for participation by all certified DBEs and must not be subdivided into group-specific goals.

(f) To ensure that your DBE program continues to be narrowly tailored to overcome the effects of discrimination, you must adjust your use of contract goals as follows:

(1) If your approved projection under paragraph (c) of this section estimates that you can meet your entire overall goal for a given year through race-neutral means, you must implement your program without setting contract goals during that year, unless it becomes necessary in order meet your overall goal.

Example to paragraph (f)(1): Your overall goal for Year 1 is 12 percent. You estimate that you can obtain 12 percent or more DBE participation through the use of race-neutral measures, without any use of contract goals. In this case, you do not set any contract goals for the contracts that will be performed in Year 1. However, if part way through Year 1, your DBE awards or commitments are not at a level that would permit you to achieve your overall goal for Year 1, you could begin setting race-conscious DBE contract goals during the remainder of the year as part of your obligation to implement your program in good faith.

(2) If, during the course of any year in which you are using contract goals, you determine that you will exceed your overall goal, you must reduce or eliminate the use of contract goals to the extent necessary to ensure that the use of contract goals does not result in exceeding the overall goal. If you determine that you will fall short of your overall goal, then you must make appropriate modifications in your use of race-neutral and/or race-conscious measures to allow you to meet the overall goal.

Example to paragraph (f)(2): In Year II, your overall goal is 12 percent. You have estimated that you can obtain 5 percent DBE participation through use of race-neutral measures. You therefore plan to obtain the remaining 7 percent participation through use of DBE goals. By September, you have already obtained 11 percent DBE participation for the year. For contracts let during the remainder of the year, you use contract goals only to the extent necessary to obtain an additional one percent DBE participation. However, if you determine in September that your participation for the year is likely to be only 8 percent total, then you would increase your use of race-neutral and/or race-conscious means during the remainder of the year in order to achieve your overall goal.

(3) If the DBE participation you have obtained by race-neutral means alone meets or exceeds your overall goals for two consecutive years, you are not required to make a projection of the amount of your goal you can meet using such
means in the next year. You do not set contract goals on any contracts in the next year. You continue using only race-neutral means to meet your overall goals unless and until you do not meet your overall goal for a year.

Example to paragraph (f)(3): Your overall goal for Years I and Year II is 10 percent. The DBE participation you obtain through race-neutral measures alone is 10 percent or more in each year. (For this purpose, it does not matter whether you obtained additional DBE participation through using contract goals in these years.) In Year III and following years, you do not need to make a projection under paragraph (c) of this section of the portion of your overall goal you expect to meet using race-neutral means. You simply use race-neutral means to achieve your overall goals. However, if in Year VI your DBE participation falls short of your overall goal, then you must make a paragraph (c) projection for Year VII and, if necessary, resume use of contract goals in that year.

(4) If you obtain DBE participation that exceeds your overall goal in two consecutive years through the use of contract goals (i.e., not through the use of race-neutral means alone), you must reduce your use of contract goals proportionately in the following year.

Example to paragraph (f)(4): In Years I and II, your overall goal is 12 percent, and you obtain 14 and 16 percent DBE participation, respectively. You have exceeded your goals over the two-year period by an average of 25 percent. In Year III, your overall goal is again 12 percent, and your paragraph (c) projection estimates that you will obtain 4 percent DBE participation through race-neutral means and 8 percent through contract goals. You then reduce the contract goal projection by 25 percent (i.e., from 8 to 6 percent) and set contract goals accordingly during the year. If in Year III you obtain 11 percent participation, you do not use this contract goal adjustment mechanism for Year IV, because there have not been two consecutive years of exceeding overall goals.

(g) In any year in which you project meeting part of your goal through race-neutral means and the remainder through contract goals, you must maintain data separately on DBE achievements in those contracts with and without contract goals, respectively. You must report this data to the concerned operating administration as provided in §26.11.


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§26.53 What are the good faith efforts procedures recipients follow in situations where there are contract goals?

(a) When you have established a DBE contract goal, you must award the contract only to a bidder/offeror who makes good faith efforts to meet it. You must determine that a bidder/offeror has made good faith efforts if the bidder/offeror does either of the following things:

(1) Documents that it has obtained enough DBE participation to meet the goal; or

(2) Documents that it made adequate good faith efforts to meet the goal, even though it did not succeed in obtaining enough DBE participation to do so. If the bidder/offeror does document adequate good faith efforts, you must not deny award of the contract on the basis that the bidder/offeror failed to meet the goal. See Appendix A of this part for guidance in determining the adequacy of a bidder/offeror's good faith efforts.

(b) In your solicitations for DOT-assisted contracts for which a contract goal has been established, you must require the following:

(1) Award of the contract will be conditioned on meeting the requirements of this section;

(2) All bidders or offerors will be required to submit the following information to the recipient, at the time provided in paragraph (b)(3) of this section:

(i) The names and addresses of DBE firms that will participate in the contract;

(ii) A description of the work that each DBE will perform. To count toward meeting a goal, each DBE firm must be certified in a NAICS code applicable to the kind of work the firm would perform on the contract;

(iii) The dollar amount of the participation of each DBE firm participating;

(iv) Written documentation of the bidder/offeror's commitment to use a DBE subcontractor whose participation it submits to meet a contract goal; and

(v) Written confirmation from each listed DBE firm that it is participating in the contract in the kind and amount of work provided in the prime contractor's commitment.

(vi) If the contract goal is not met, evidence of good faith efforts (see Appendix A of this part). The documentation of good faith efforts must include copies of each DBE and non-DBE subcontractor quote submitted to the bidder when a non-DBE subcontractor was selected over a DBE for work on the contract, and

(3)(i) At your discretion, the bidder/offeror must present the information required by paragraph (b)(2) of this section—
(A) Under sealed bid procedures, as a matter of responsiveness, or with initial proposals, under contract negotiation procedures; or

(B) No later than 7 days after bid opening as a matter of responsibility. The 7 days shall be reduced to 5 days beginning January 1, 2017.

(ii) Provided that, in a negotiated procurement, including a design-build procurement, the bidder/offeror may make a contractually binding commitment to meet the goal at the time of bid submission or the presentation of initial proposals but provide the information required by paragraph (b)(2) of this section before the final selection for the contract is made by the recipient.

(c) You must make sure all information is complete and accurate and adequately documents the bidder/offeror's good faith efforts before committing yourself to the performance of the contract by the bidder/offeror.

(d) If you determine that the apparent successful bidder/offeror has failed to meet the requirements of paragraph (a) of this section, you must, before awarding the contract, provide the bidder/offeror an opportunity for administrative reconsideration.

(1) As part of this reconsideration, the bidder/offeror must have the opportunity to provide written documentation or argument concerning the issue of whether it met the goal or made adequate good faith efforts to do so.

(2) Your decision on reconsideration must be made by an official who did not take part in the original determination that the bidder/offeror failed to meet the goal or make adequate good faith efforts to do so.

(3) The bidder/offeror must have the opportunity to meet in person with your reconsideration official to discuss the issue of whether it met the goal or made adequate good faith efforts to do so.

(4) You must send the bidder/offeror a written decision on reconsideration, explaining the basis for finding that the bidder did or did not meet the goal or make adequate good faith efforts to do so.

(5) The result of the reconsideration process is not administratively appealable to the Department of Transportation.

(e) In a “design-build” or “turnkey” contracting situation, in which the recipient lets a master contract to a contractor, who in turn lets subsequent subcontracts for the work of the project, a recipient may establish a goal for the project. The master contractor then establishes contract goals, as appropriate, for the subcontracts it lets. Recipients must maintain oversight of the master contractor's activities to ensure that they are conducted consistent with the requirements of this part.

(f)(1)(i) You must require that a prime contractor not terminate a DBE subcontractor listed in response to paragraph (b)(2) of this section (or an approved substitute DBE firm) without your prior written consent. This includes, but is not limited to, instances in which a prime contractor seeks to perform work originally designated for a DBE subcontractor with its own forces or those of an affiliate, a non-DBE firm, or with another DBE firm.

(ii) You must include in each prime contract a provision stating:

(A) That the contractor shall utilize the specific DBEs listed to perform the work and supply the materials for which each is listed unless the contractor obtains your written consent as provided in this paragraph (f), and

(B) That, unless your consent is provided under this paragraph (f), the contractor shall not be entitled to any payment for work or material unless it is performed or supplied by the listed DBE.

(2) You may provide such written consent only if you agree, for reasons stated in your concurrence document, that the prime contractor has good cause to terminate the DBE firm.

(3) For purposes of this paragraph, good cause includes the following circumstances:

(i) The listed DBE subcontractor fails or refuses to execute a written contract;

(ii) The listed DBE subcontractor fails or refuses to perform the work of its subcontract in a way consistent with normal industry standards. Provided, however, that good cause does not exist if the failure or refusal of the DBE subcontractor to perform its work on the subcontract results from the bad faith or discriminatory action of the prime contractor;

(iii) The listed DBE subcontractor fails or refuses to meet the prime contractor's reasonable, nondiscriminatory bond requirements.

(iv) The listed DBE subcontractor becomes bankrupt, insolvent, or exhibits credit unworthiness;

(v) The listed DBE subcontractor is ineligible to work on public works projects because of suspension and debarment proceedings pursuant 2 CFR Parts 180, 215 and 1,200 or applicable state law;
(vii) You have determined that the listed DBE subcontractor is not a responsible contractor;

(vi) The listed DBE subcontractor voluntarily withdraws from the project and provides to you written notice of its withdrawal;

(vii) The listed DBE is ineligible to receive DBE credit for the type of work required;

(viii) A DBE owner dies or becomes disabled with the result that the listed DBE contractor is unable to complete its work on the contract;

(ix) Other documented good cause that you determine compels the termination of the DBE subcontractor. Provided, that good cause does not exist if the prime contractor seeks to terminate a DBE it relied upon to obtain the contract so that the prime contractor can self-perform the work for which the DBE contractor was engaged or so that the prime contractor can substitute another DBE or non-DBE contractor after contract award.

(4) Before transmitting to you its request to terminate and/or substitute a DBE subcontractor, the prime contractor must give notice in writing to the DBE subcontractor, with a copy to you, of its intent to request to terminate and/or substitute, and the reason for the request.

(5) The prime contractor must give the DBE five days to respond to the prime contractor's notice and advise you and the contractor of the reasons, if any, why it objects to the proposed termination of its subcontract and why you should not approve the prime contractor's action. If required in a particular case as a matter of public necessity (e.g., safety), you may provide a response period shorter than five days.

(6) In addition to post-award terminations, the provisions of this section apply to preaward deletions of or substitutions for DBE firms put forward by offerors in negotiated procurements.

(g) When a DBE subcontractor is terminated as provided in paragraph (f) of this section, or fails to complete its work on the contract for any reason, you must require the prime contractor to make good faith efforts to find another DBE subcontractor to substitute for the original DBE. These good faith efforts shall be directed at finding another DBE to perform at least the same amount of work under the contract as the DBE that was terminated, to the extent needed to meet the contract goal you established for the procurement. The good faith efforts shall be documented by the contractor. If the recipient requests documentation under this provision, the contractor shall submit the documentation within 7 days, which may be extended for an additional 7 days if necessary at the request of the contractor, and the recipient shall provide a written determination to the contractor stating whether or not good faith efforts have been demonstrated.

(h) You must include in each prime contract the contract clause required by §26.13(b) stating that failure by the contractor to carry out the requirements of this part is a material breach of the contract and may result in the termination of the contract or such other remedies set forth in that section you deem appropriate if the prime contractor fails to comply with the requirements of this section.

(i) You must apply the requirements of this section to DBE bidders/offerors for prime contracts. In determining whether a DBE bidder/offeror for a prime contract has met a contract goal, you count the work the DBE has committed to perform with its own forces as well as the work that it has committed to be performed by DBE subcontractors and DBE suppliers.

(j) You must require the contractor awarded the contract to make available upon request a copy of all DBE subcontracts. The subcontractor shall ensure that all subcontracts or an agreement with DBEs to supply labor or materials require that the subcontract and all lower tier subcontractors be performed in accordance with this part's provisions.

(3) When a DBE subcontracts part of the work of its contract to another firm, the value of the subcontracted work may be counted toward DBE goals only if the DBE's subcontractor is itself a DBE. Work that a DBE subcontracts to a non-DBE firm does not count toward DBE goals.

(b) When a DBE performs as a participant in a joint venture, count a portion of the total dollar value of the contract equal to the distinct, clearly defined portion of the work of the contract that the DBE performs with its own forces toward DBE goals.

(c) Count expenditures to a DBE contractor toward DBE goals only if the DBE is performing a commercially useful function on that contract.

(1) A DBE performs a commercially useful function when it is responsible for execution of the work of the contract and is carrying out its responsibilities by actually performing, managing, and supervising the work involved. To perform a commercially useful function, the DBE must also be responsible, with respect to materials and supplies used on the contract, for negotiating price, determining quality and quantity, ordering the material, and installing (where applicable) and paying for the material itself. To determine whether a DBE is performing a commercially useful function, you must evaluate the amount of work subcontracted, industry practices, whether the amount the firm is to be paid under the contract is commensurate with the work it is actually performing and the DBE credit claimed for its performance of the work, and other relevant factors.

(2) A DBE does not perform a commercially useful function if its role is limited to that of an extra participant in a transaction, contract, or project through which funds are passed in order to obtain the appearance of DBE participation. In determining whether a DBE is such an extra participant, you must examine similar transactions, particularly those in which DBEs do not participate.

(3) If a DBE does not perform or exercise responsibility for at least 30 percent of the total cost of its contract with its own work force, or the DBE subcontracts a greater portion of the work of a contract than would be expected on the basis of normal industry practice for the type of work involved, you must presume that it is not performing a commercially useful function.

(4) When a DBE is presumed not to be performing a commercially useful function as provided in paragraph (c)(3) of this section, the DBE may present evidence to rebut this presumption. You may determine that the firm is performing a commercially useful function given the type of work involved and normal industry practices.

(5) Your decisions on commercially useful function matters are subject to review by the concerned operating administration, but are not administratively appealable to DOT.

(d) Use the following factors in determining whether a DBE trucking company is performing a commercially useful function:

(1) The DBE must be responsible for the management and supervision of the entire trucking operation for which it is responsible on a particular contract, and there cannot be a contrived arrangement for the purpose of meeting DBE goals.

(2) The DBE must itself own and operate at least one fully licensed, insured, and operational truck used on the contract.

(3) The DBE receives credit for the total value of the transportation services it provides on the contract using trucks it owns, insures, and operates using drivers it employs.

(4) The DBE may lease trucks from another DBE firm, including an owner-operator who is certified as a DBE. The DBE who leases trucks from another DBE receives credit for the total value of the transportation services the lessee DBE provides on the contract.

(5) The DBE may also lease trucks from a non-DBE firm, including from an owner-operator. The DBE that leases trucks equipped with drivers from a non-DBE is entitled to credit for the total value of transportation services provided by non-DBE leased trucks equipped with drivers not to exceed the value of transportation services on the contract provided by DBE-owned trucks or leased trucks with DBE employee drivers. Additional participation by non-DBE owned trucks equipped with drivers receives credit only for the fee or commission it receives as a result of the lease arrangement. If a recipient chooses this approach, it must obtain written consent from the appropriate DOT operating administration.

Example to paragraph (d)(5): DBE Firm X uses two of its own trucks on a contract. It leases two trucks from DBE Firm Y and six trucks equipped with drivers from non-DBE Firm Z. DBE credit would be awarded for the total value of transportation services provided by Firm X and Firm Y, and may also be awarded for the total value of transportation services provided by four of the six trucks provided by Firm Z. In all, full credit would be allowed for the participation of eight trucks. DBE credit could be awarded only for the fees or commissions pertaining to the remaining trucks Firm X receives as a result of the lease with Firm Z.

(6) The DBE may lease trucks without drivers from a non-DBE truck leasing company. If the DBE leases trucks from a non-DBE truck leasing company and uses its own employees as drivers, it is entitled to credit for the total value of these hauling services.
Example to paragraph (d)(6): DBE Firm X uses two of its own trucks on a contract. It leases two additional trucks from non-DBE Firm Z. Firm X uses its own employees to drive the trucks leased from Firm Z. DBE credit would be awarded for the total value of the transportation services provided by all four trucks.

(7) For purposes of this paragraph (d), a lease must indicate that the DBE has exclusive use of and control over the truck. This does not preclude the leased truck from working for others during the term of the lease with the consent of the DBE, so long as the lease gives the DBE absolute priority for use of the leased truck. Leased trucks must display the name and identification number of the DBE.

(e) Count expenditures with DBEs for materials or supplies toward DBE goals as provided in the following:

(1)(i) If the materials or supplies are obtained from a DBE manufacturer, count 100 percent of the cost of the materials or supplies toward DBE goals.

(ii) For purposes of this paragraph (e)(1), a manufacturer is a firm that operates or maintains a factory or establishment that produces, on the premises, the materials, supplies, articles, or equipment required under the contract and of the general character described by the specifications.

(2)(i) If the materials or supplies are purchased from a DBE regular dealer, count 60 percent of the cost of the materials or supplies toward DBE goals.

(ii) For purposes of this section, a regular dealer is a firm that owns, operates, or maintains a store, warehouse, or other establishment in which the materials, supplies, articles or equipment of the general character described by the specifications and required under the contract are bought, kept in stock, and regularly sold or leased to the public in the usual course of business.

(A) To be a regular dealer, the firm must be an established, regular business that engages, as its principal business and under its own name, in the purchase and sale or lease of the products in question.

(B) A person may be a regular dealer in such bulk items as petroleum products, steel, cement, gravel, stone, or asphalt without owning, operating, or maintaining a place of business as provided in this paragraph (e)(2)(ii) if the person both owns and operates distribution equipment for the products. Any supplementing of regular dealers' own distribution equipment shall be by a long-term lease agreement and not on an ad hoc or contract-by-contract basis.

(C) Packagers, brokers, manufacturers' representatives, or other persons who arrange or expedite transactions are not regular dealers within the meaning of this paragraph (e)(2).

(3) With respect to materials or supplies purchased from a DBE which is neither a manufacturer nor a regular dealer, count the entire amount of fees or commissions charged for assistance in the procurement of the materials and supplies, or fees or transportation charges for the delivery of materials or supplies required on a job site, toward DBE goals, provided you determine the fees to be reasonable and not excessive as compared with fees customarily allowed for similar services. Do not count any portion of the cost of the materials and supplies themselves toward DBE goals, however.

(4) You must determine the amount of credit awarded to a firm for the provisions of materials and supplies (e.g., whether a firm is acting as a regular dealer or a transaction expediter) on a contract-by-contract basis.

(f) If a firm is not currently certified as a DBE in accordance with the standards of subpart D of this part at the time of the execution of the contract, do not count the firm's participation toward any DBE goals, except as provided for in §26.67 (i)).

(g) Do not count the dollar value of work performed under a contract with a firm after it has ceased to be certified toward your overall goal.

(h) Do not count the participation of a DBE subcontractor toward a contractor's final compliance with its DBE obligations on a contract until the amount being counted has actually been paid to the DBE.


Subpart D—Certification Standards

§26.61 How are burdens of proof allocated in the certification process?

(a) In determining whether to certify a firm as eligible to participate as a DBE, you must apply the standards of this subpart.
(b) The firm seeking certification has the burden of demonstrating to you, by a preponderance of the evidence, that it meets the requirements of this subpart concerning group membership or individual disadvantage, business size, ownership, and control.

(c) You must rebuttably presume that members of the designated groups identified in §26.67(a) are socially and economically disadvantaged. This means they do not have the burden of proving to you that they are socially and economically disadvantaged. In order to obtain the benefit of the rebuttable presumption, individuals must submit a signed, notarized statement that they are a member of one of the groups in §26.67(a). Applicants do have the obligation to provide you information concerning their economic disadvantage (see §26.67).

(d) Individuals who are not presumed to be socially and economically disadvantaged, and individuals concerning whom the presumption of disadvantage has been rebutted, have the burden of proving to you, by a preponderance of the evidence, that they are socially and economically disadvantaged. (See Appendix E of this part.)

(e) You must make determinations concerning whether individuals and firms have met their burden of demonstrating group membership, ownership, control, and social and economic disadvantage (where disadvantage must be demonstrated on an individual basis) by considering all the facts in the record, viewed as a whole.


§26.63 What rules govern group membership determinations?

(a)(1) If, after reviewing the signed notarized statement of membership in a presumptively disadvantaged group (see §26.61(c)), you have a well founded reason to question the individual's claim of membership in that group, you must require the individual to present additional evidence that he or she is a member of the group.

(2) You must provide the individual a written explanation of your reasons for questioning his or her group membership and a written request for additional evidence as outlined in paragraph (b) of this section.

(3) In implementing this section, you must take special care to ensure that you do not impose a disproportionate burden on members of any particular designated group. Imposing a disproportionate burden on members of a particular group could violate §26.7(b) and/or Title VI of the Civil Rights Act of 1964 and 49 CFR part 21.

(b) In making such a determination, you must consider whether the person has held himself out to be a member of the group over a long period of time prior to application for certification and whether the person is regarded as a member of the group by the relevant community. You may require the applicant to produce appropriate documentation of group membership.

(1) If you determine that an individual claiming to be a member of a group presumed to be disadvantaged is not a member of a designated disadvantaged group, the individual must demonstrate social and economic disadvantage on an individual basis.

(2) Your decisions concerning membership in a designated group are subject to the certification appeals procedure of §26.69.


§26.65 What rules govern business size determinations?

(a) To be an eligible DBE, a firm (including its affiliates) must be an existing small business, as defined by Small Business Administration (SBA) standards. As a recipient, you must apply current SBA business size standard(s) found in 13 CFR part 121 appropriate to the type(s) of work the firm seeks to perform in DOT-assisted contracts, including the primary industry classification of the applicant.

(b) Even if it meets the requirements of paragraph (a) of this section, a firm is not an eligible DBE in any Federal fiscal year if the firm (including its affiliates) has had average annual gross receipts, as defined by SBA regulations (see 13 CFR 121.402), over the firm's previous three fiscal years, in excess of $23.98 million.

(c) The Department adjusts the number in paragraph (b) of this section annually using the Department of Commerce price deflators for purchases by State and local governments as the basis for this adjustment.


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§26.67 What rules determine social and economic disadvantage?

(a) Presumption of disadvantage. (1) You must rebuttably presume that citizens of the United States (or lawfully admitted permanent residents) who are women, Black Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans, Subcontinent Asian Americans, or other minorities found to be disadvantaged by the SBA, are socially and economically disadvantaged individuals. You must require applicants to submit a signed, notarized certification that each presumptively disadvantaged owner is, in fact, socially and economically disadvantaged.

(2)(i) You must require each individual owner of a firm applying to participate as a DBE, whose ownership and control are relied upon for DBE certification, to certify that he or she has a personal net worth that does not exceed $1.32 million.

(ii) You must require each individual who makes this certification to support it with a signed, notarized statement of personal net worth, with appropriate supporting documentation. To meet this requirement, you must use the DOT personal net worth form provided in appendix G to this part without change or revision. Where necessary to accurately determine an individual's personal net worth, you may, on a case-by-case basis, require additional financial information from the owner of an applicant firm (e.g., information concerning the assets of the owner's spouse, where needed to clarify whether assets have been transferred to the spouse when the owner's spouse is involved in the operation of the company). Requests for additional information shall not be unduly burdensome or intrusive.

(iii) In determining an individual's net worth, you must observe the following requirements:

(A) Exclude an individual's ownership interest in the applicant firm;

(B) Exclude the individual's equity in his or her primary residence (except any portion of such equity that is attributable to excessive withdrawals from the applicant firm). The equity is the market value of the residence less any mortgages and home equity loan balances. Recipients must ensure that home equity loan balances are included in the equity calculation and not as a separate liability on the individual's personal net worth form. Exclusions for net worth purposes are not exclusions for asset valuation or access to capital and credit purposes.

(C) Do not use a contingent liability to reduce an individual's net worth.

(D) With respect to assets held in vested pension plans, individual Retirement Accounts, 401(k) accounts, or other retirement savings or investment programs in which the assets cannot be distributed to the individual at the present time without significant adverse tax or interest consequences, include only the present value of such assets, less the tax and interest penalties that would accrue if the asset were distributed at the present time.

(iv) Notwithstanding any provision of Federal or State law, you must not release an individual's personal net worth statement nor any documents pertaining to it to any third party without the written consent of the submitter. Provided, that you must transmit this information to DOT in any certification appeal proceeding under §26.89 of this part or to any other State to which the individual's firm has applied for certification under §26.85 of this part.

(b) Rebuttal of presumption of disadvantage. (1) An individual's presumption of economic disadvantage may be rebutted in two ways.

(i) If the statement of personal net worth and supporting documentation that an individual submits under paragraph (a)(2) of this section shows that the individual's personal net worth exceeds $1.32 million, the individual's presumption of economic disadvantage is rebutted. You are not required to have a proceeding under paragraph (b)(2) of this section in order to rebut the presumption of economic disadvantage in this case.

Example to paragraph (b)(1)(i): An individual with very high assets and significant liabilities may, in accounting terms, be deemed a person with a net worth of less than $1.32 million. However, the person's assets, collectively (e.g., high income level, a yacht, extensive real or personal property holdings) may lead a reasonable person to conclude that he or she is not economically disadvantaged. The recipient may rebut the individual's presumption of economic disadvantage under these circumstances, as provided in this section, even though the individual's personal net worth is less than $1.32 million.

(ii) If the statement of personal net worth and supporting documentation that an individual submits under paragraph (a)(2) of this section demonstrates that the individual is able to accumulate substantial wealth, the individual's presumption of economic disadvantage is rebutted. In making this determination, as a certifying agency, you may consider factors that include, but are not limited to, the following:

(1) Whether the average adjusted gross income of the owner over the most recent three year period exceeds $350,000;

(2) Whether the income was unusual and not likely to occur in the future;

(3) Whether the earnings were offset by losses;

(4) Whether the income was reinvested in the firm or used to pay taxes arising in the normal course of operations by the firm;
(5) Other evidence that income is not indicative of lack of economic disadvantage, and

(6) Whether the total fair market value of the owner’s assets exceed $5 million.

(B) You must have a proceeding under paragraph (b)(2) of this section in order to rebut the presumption of economic disadvantage in this case.

(2) If you have a reasonable basis to believe that an individual who is a member of one of the designated groups is not, in fact, socially and/or economically disadvantaged you may, at any time, start a proceeding to determine whether the presumption should be regarded as rebutted with respect to that individual. Your proceeding must follow the procedures of §26.67.

(3) In such a proceeding, you have the burden of demonstrating, by a preponderance of the evidence, that the individual is not socially and economically disadvantaged. You may require the individual to produce information relevant to the determination of his or her disadvantage.

(4) When an individual's presumption of social and/or economic disadvantage has been rebutted, his or her ownership and control of the firm in question cannot be used for purposes of DBE eligibility under this subpart unless and until he or she makes an individual showing of social and/or economic disadvantage. If the basis for rebutting the presumption is a determination that the individual's personal net worth exceeds $1.32 million, the individual is no longer eligible for participation in the program and cannot regain eligibility by making an individual showing of disadvantage, so long as his or her PNW remains above that amount.

(c) Transfers within two years. (1) Except as set forth in paragraph (c)(2) of this section, recipients must attribute to an individual claiming disadvantaged status any assets which that individual has transferred to an immediate family member, to a trust a beneficiary of which is an immediate family member, or to the applicant firm for less than fair market value, within two years prior to a concern's application for participation in the DBE program or within two years of recipient's review of the firm's annual affidavit, unless the individual claiming disadvantaged status can demonstrate that the transfer is to or on behalf of an immediate family member for that individual's education, medical expenses, or some other form of essential support.

(2) Recipients must not attribute to an individual claiming disadvantaged status any assets transferred by that individual to an immediate family member that are consistent with the customary recognition of special occasions, such as birthdays, graduations, anniversaries, and retirements.

(d) Individual determinations of social and economic disadvantage. Firms owned and controlled by individuals who are not presumed to be socially and economically disadvantaged (including individuals whose presumed disadvantage has been rebutted) may apply for DBE certification. You must make a case-by-case determination of whether each individual whose ownership and control are relied upon for DBE certification is socially and economically disadvantaged. In such a proceeding, the applicant firm has the burden of demonstrating to you, by a preponderance of the evidence, that the individuals who own and control it are socially and economically disadvantaged. An individual whose personal net worth exceeds $1.32 million shall not be deemed to be economically disadvantaged. In making these determinations, use the guidance found in Appendix E of this part. You must require that applicants provide sufficient information to permit determinations under the guidance of appendix E of this part.

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§26.69 What rules govern determinations of ownership?

(a) In determining whether the socially and economically disadvantaged participants in a firm own the firm, you must consider all the facts in the record viewed as a whole, including the origin of all assets and how and when they were used in obtaining the firm. All transactions for the establishment and ownership (or transfer of ownership) must be in the normal course of business, reflecting commercial and arms-length practices.

(b) To be an eligible DBE, a firm must be at least 51 percent owned by socially and economically disadvantaged individuals.

(1) In the case of a corporation, such individuals must own at least 51 percent of the each class of voting stock outstanding and 51 percent of the aggregate of all stock outstanding.

(2) In the case of a partnership, 51 percent of each class of partnership interest must be owned by socially and economically disadvantaged individuals. Such ownership must be reflected in the firm's partnership agreement.

(3) In the case of a limited liability company, at least 51 percent of each class of member interest must be owned by socially and economically disadvantaged individuals.
(c)(1) The firm's ownership by socially and economically disadvantaged individuals, including their contribution of capital or expertise to acquire their ownership interests, must be real, substantial, and continuing, going beyond pro forma ownership of the firm as reflected in ownership documents. Proof of contribution of capital should be submitted at the time of the application. When the contribution of capital is through a loan, there must be documentation of the value of assets used as collateral for the loan.

(2) Insufficient contributions include a promise to contribute capital, an unsecured note payable to the firm or an owner who is not a disadvantaged individual, mere participation in a firm's activities as an employee, or capitalization not commensurate with the value for the firm.

(3) The disadvantaged owners must enjoy the customary incidents of ownership, and share in the risks and be entitled to the profits and loss commensurate with their ownership interests, as demonstrated by the substance, not merely the form, of arrangements. Any terms or practices that give a non-disadvantaged individual or firm a priority or superior right to a firm's profits, compared to the disadvantaged owner(s), are grounds for denial.

(4) Debt instruments from financial institutions or other organizations that lend funds in the normal course of their business do not render a firm ineligible, even if the debtor's ownership interest is security for the loan.

Examples to paragraph (c): (i) An individual pays $100 to acquire a majority interest in a firm worth $1 million. The individual's contribution to capital would not be viewed as substantial.

(ii) A 51% disadvantaged owner and a non-disadvantaged 49% owner contribute $100 and $10,000, respectively, to acquire a firm grossing $1 million. This may be indicative of a pro forma arrangement that does not meet the requirements of (c)(1).

(iii) The disadvantaged owner of a DBE applicant firm spends $250 to file articles of incorporation and obtains a $100,000 loan, but makes only nominal or sporadic payments to repay the loan. This type of contribution is not of a continuing nature.

(d) All securities that constitute ownership of a firm shall be held directly by disadvantaged persons. Except as provided in this paragraph (d), no securities or assets held in trust, or by any guardian for a minor, are considered as held by disadvantaged persons in determining the ownership of a firm. However, securities or assets held in trust are regarded as held by a disadvantaged individual for purposes of determining ownership of the firm, if—

(1) The beneficial owner of securities or assets held in trust is a disadvantaged individual, and the trustee is the same or another such individual; or

(2) The beneficial owner of a trust is a disadvantaged individual who, rather than the trustee, exercises effective control over the management, policy-making, and daily operational activities of the firm. Assets held in a revocable living trust may be counted only in the situation where the same disadvantaged individual is the sole grantor, beneficiary, and trustee.

(e) The contributions of capital or expertise by the socially and economically disadvantaged owners to acquire their ownership interests must be real and substantial. Examples of insufficient contributions include a promise to contribute capital, an unsecured note payable to the firm or an owner who is not a disadvantaged individual, or mere participation in a firm's activities as an employee. Debt instruments from financial institutions or other organizations that lend funds in the normal course of their business do not render a firm ineligible, even if the debtor's ownership interest is security for the loan.

(f) The following requirements apply to situations in which expertise is relied upon as part of a disadvantaged owner's contribution to acquire ownership:

(1) The owner's expertise must be—

(i) In a specialized field;

(ii) Of outstanding quality;

(iii) In areas critical to the firm's operations;

(iv) Indispensable to the firm's potential success;

(v) Specific to the type of work the firm performs; and

(vi) Documented in the records of the firm. These records must clearly show the contribution of expertise and its value to the firm.

(2) The individual whose expertise is relied upon must have a significant financial investment in the firm.

(g) You must always deem as held by a socially and economically disadvantaged individual, for purposes of determining ownership, all interests in a business or other assets obtained by the individual—
(1) As the result of a final property settlement or court order in a divorce or legal separation, provided that no term or condition of the agreement or divorce decree is inconsistent with this section; or

(2) Through inheritance, or otherwise because of the death of the former owner.

(h)(1) You must presume as not being held by a socially and economically disadvantaged individual, for purposes of determining ownership, all interests in a business or other assets obtained by the individual as the result of a gift, or transfer without adequate consideration, from any non-disadvantaged individual or non-DBE firm who is—

(i) Involved in the same firm for which the individual is seeking certification, or an affiliate of that firm;

(ii) Involved in the same or a similar line of business; or

(iii) Engaged in an ongoing business relationship with the firm, or an affiliate of the firm, for which the individual is seeking certification.

(2) To overcome this presumption and permit the interests or assets to be counted, the disadvantaged individual must demonstrate to you, by clear and convincing evidence, that—

(i) The gift or transfer to the disadvantaged individual was made for reasons other than obtaining certification as a DBE; and

(ii) The disadvantaged individual actually controls the management, policy, and operations of the firm, notwithstanding the continuing participation of a non-disadvantaged individual who provided the gift or transfer.

(i) You must apply the following rules in situations in which marital assets form a basis for ownership of a firm:

(1) When marital assets (other than the assets of the business in question), held jointly or as community property by both spouses, are used to acquire the ownership interest asserted by one spouse, you must deem the ownership interest in the firm to have been acquired by that spouse with his or her own individual resources, provided that the other spouse irrevocably renounces and transfers all rights in the ownership interest in the manner sanctioned by the laws of the state in which either spouse or the firm is domiciled. You do not count a greater portion of joint or community property assets toward ownership than state law would recognize as belonging to the socially and economically disadvantaged owner of the applicant firm.

(2) A copy of the document legally transferring and renouncing the other spouse's rights in the jointly owned or community assets used to acquire an ownership interest in the firm must be included as part of the firm's application for DBE certification.

(j) You may consider the following factors in determining the ownership of a firm. However, you must not regard a contribution of capital as failing to be real and substantial, or find a firm ineligible, solely because—

(1) A socially and economically disadvantaged individual acquired his or her ownership interest as the result of a gift, or transfer without adequate consideration, other than the types set forth in paragraph (h) of this section;

(2) There is a provision for the co-signature of a spouse who is not a socially and economically disadvantaged individual on financing agreements, contracts for the purchase or sale of real or personal property, bank signature cards, or other documents; or

(3) Ownership of the firm in question or its assets is transferred for adequate consideration from a spouse who is not a socially and economically disadvantaged individual to a spouse who is such an individual. In this case, you must give particularly close and careful scrutiny to the ownership and control of a firm to ensure that it is owned and controlled, in substance as well as in form, by a socially and economically disadvantaged individual.


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§26.71 What rules govern determinations concerning control?

(a) In determining whether socially and economically disadvantaged owners control a firm, you must consider all the facts in the record, viewed as a whole.

(b) Only an independent business may be certified as a DBE. An independent business is one the viability of which does not depend on its relationship with another firm or firms.

(1) In determining whether a potential DBE is an independent business, you must scrutinize relationships with non-DBE firms, in such areas as personnel, facilities, equipment, financial and/or bonding support, and other resources.
(2) You must consider whether present or recent employer/employee relationships between the disadvantaged owner(s) of the potential DBE and non-DBE firms or persons associated with non-DBE firms compromise the independence of the potential DBE firm.

(3) You must examine the firm's relationships with prime contractors to determine whether a pattern of exclusive or primary dealings with a prime contractor compromises the independence of the potential DBE firm.

(4) In considering factors related to the independence of a potential DBE firm, you must consider the consistency of relationships between the potential DBE and non-DBE firms with normal industry practice.

(c) A DBE firm must not be subject to any formal or informal restrictions which limit the customary discretion of the socially and economically disadvantaged owners. There can be no restrictions through corporate charter provisions, by-law provisions, contracts or any other formal or informal devices (e.g., cumulative voting rights, voting powers attached to different classes of stock, employment contracts, requirements for concurrence by non-disadvantaged partners, conditions precedent or subsequent, executory agreements, voting trusts, restrictions on or assignments of voting rights) that prevent the socially and economically disadvantaged owners, without the cooperation or vote of any non-disadvantaged individual, from making any business decision of the firm. This paragraph does not preclude a spousal co-signature on documents as provided for in §26.69(j)(2).

(d) The socially and economically disadvantaged owners must possess the power to direct or cause the direction of the management and policies of the firm and to make day-to-day as well as long-term decisions on matters of management, policy, and operations.

(1) A disadvantaged owner must hold the highest officer position in the company (e.g., chief executive officer or president).

(2) In a corporation, disadvantaged owners must control the board of directors.

(3) In a partnership, one or more disadvantaged owners must serve as general partners, with control over all partnership decisions.

(e) Individuals who are not socially and economically disadvantaged or immediate family members may be involved in a DBE firm as owners, managers, employees, stockholders, officers, and/or directors. Such individuals must not, however, possess or exercise the power to control the firm, or be disproportionately responsible for the operation of the firm.

(f) The socially and economically disadvantaged owners of the firm may delegate various areas of the management, policymaking, or daily operations of the firm to other participants in the firm, regardless of whether these participants are socially or economically disadvantaged individuals. Such delegations of authority must be revocable, and the socially and economically disadvantaged owners must retain the power to hire and fire any person to whom such authority is delegated. The managerial role of the socially and economically disadvantaged owners in the firm's overall affairs must be such that the recipient can reasonably conclude that the socially and economically disadvantaged owners actually exercise control over the firm's operations, management, and policy.

(g) The socially and economically disadvantaged owners must have an overall understanding of, and managerial and technical competence and experience directly related to, the type of business in which the firm is engaged and the firm's operations. The socially and economically disadvantaged owners are not required to have experience or expertise in every critical area of the firm's operations, or to have greater experience or expertise in a given field than managers or key employees. The socially and economically disadvantaged owners must have the ability to intelligently and critically evaluate information presented by other participants in the firm's activities and to use this information to make independent decisions concerning the firm's daily operations, management, and policymaking. Generally, expertise limited to office management, administration, or bookkeeping functions unrelated to the principal business activities of the firm is insufficient to demonstrate control.

(h) If state or local law requires the persons to have a particular license or other credential in order to own and/or control a certain type of firm, then the socially and economically disadvantaged persons who own and control a potential DBE firm of that type must possess the required license or credential. If state or local law does not require such a person to have such a license or credential to own and/or control a firm, you must not deny certification solely on the ground that the person lacks the license or credential. However, you may take into account the absence of the license or credential as one factor in determining whether the socially and economically disadvantaged owners actually control the firm.

(i)(1) You may consider differences in remuneration between the socially and economically disadvantaged owners and other participants in the firm in determining whether to certify a firm as a DBE. Such consideration shall be in the context of the duties of the persons involved, normal industry practices, the firm's policy and practice concerning reinvestment of income, and any other explanations for the differences proffered by the firm. You may determine that a firm is controlled by its socially and economically disadvantaged owner although that owner's remuneration is lower than that of some other participants in the firm.
(2) In a case where a non-disadvantaged individual formerly controlled the firm, and a socially and economically disadvantaged individual now controls it, you may consider a difference between the remuneration of the former and current controller of the firm as a factor in determining who controls the firm, particularly when the non-disadvantaged individual remains involved with the firm and continues to receive greater compensation than the disadvantaged individual.

(j) In order to be viewed as controlling a firm, a socially and economically disadvantaged owner cannot engage in outside employment or other business interests that conflict with the management of the firm or prevent the individual from devoting sufficient time and attention to the affairs of the firm to control its activities. For example, absentee ownership of a business and part-time work in a full-time firm are not viewed as constituting control. However, an individual could be viewed as controlling a part-time business that operates only on evenings and/or weekends, if the individual controls it all the time it is operating.

(k)(1) A socially and economically disadvantaged individual may control a firm even though one or more of the individual’s immediate family members (who themselves are not socially and economically disadvantaged individuals) participate in the firm as a manager, employee, owner, or in another capacity. Except as otherwise provided in this paragraph, you must make a judgment about the control the socially and economically disadvantaged owner exercises vis-à-vis other persons involved in the business as you do in other situations, without regard to whether or not the other persons are immediate family members.

(2) If you cannot determine that the socially and economically disadvantaged owners—as distinct from the family as a whole—control the firm, then the socially and economically disadvantaged owners have failed to carry their burden of proof concerning control, even though they may participate significantly in the firm’s activities.

(l) Where a firm was formerly owned and/or controlled by a non-disadvantaged individual (whether or not an immediate family member), ownership and/or control were transferred to a socially and economically disadvantaged individual, and the nondisadvantaged individual remains involved with the firm in any capacity, there is a rebuttable presumption of control by the non-disadvantaged individual unless the disadvantaged individual now owning the firm demonstrates to you, by clear and convincing evidence, that:

(1) The transfer of ownership and/or control to the disadvantaged individual was made for reasons other than obtaining certification as a DBE; and

(2) The disadvantaged individual actually controls the management, policy, and operations of the firm, notwithstanding the continuing participation of a nondisadvantaged individual who formerly owned and/or controlled the firm.

(m) In determining whether a firm is controlled by its socially and economically disadvantaged owners, you may consider whether the firm owns equipment necessary to perform its work. However, you must not determine that a firm is not controlled by socially and economically disadvantaged individuals solely because the firm leases, rather than owns, such equipment, where leasing equipment is a normal industry practice and the lease does not involve a relationship with a prime contractor or other party that compromises the independence of the firm.

(n) You must grant certification to a firm only for specific types of work in which the socially and economically disadvantaged owners have the ability to control the firm. To become certified in an additional type of work, the firm must demonstrate to you only that its socially and economically disadvantaged owners are able to control the firm with respect to that type of work. You must not require that the firm be recertified or submit a new application for certification, but you must verify the disadvantaged owner's control of the firm in the additional type of work.

(1) The types of work a firm can perform (whether on initial certification or when a new type of work is added) must be described in terms of the most specific available NAICS code for that type of work. If you choose, you may also, in addition to applying the appropriate NAICS code, apply a descriptor from a classification scheme of equivalent detail and specificity. A correct NAICS code is one that describes, as specifically as possible, the principal goods or services which the firm would provide to DOT recipients. Multiple NAICS codes may be assigned when appropriate. Program participants must rely on, and not depart from, the plain meaning of NAICS code descriptions in determining the scope of a firm’s certification. If your Directory does not list types of work for any firm in a manner consistent with this paragraph (a)(1), you must update the Directory entry for that firm to meet the requirements of this paragraph (a)(1) by August 28, 2011.

(2) Firms and recipients must check carefully to make sure that the NAICS codes cited in a certification are kept up-to-date and accurately reflect work which the UCP has determined the firm’s owners can control. The firm bears the burden of providing detailed company information the certifying agency needs to make an appropriate NAICS code designation.

(3) If a firm believes that there is not a NAICS code that fully or clearly describes the type(s) of work in which it is seeking to be certified as a DBE, the firm may request that the certifying agency, in its certification documentation, supplement the assigned NAICS code(s) with a clear, specific, and detailed narrative description of the type of work in which the firm is certified. A vague, general, or confusing description is not sufficient for this purpose, and recipients should not rely on such a description in determining whether a firm’s participation can be counted toward DBE goals.
(4) A certifier is not precluded from changing a certification classification or description if there is a factual basis in the record. However, certifiers must not make after-the-fact statements about the scope of a certification, not supported by evidence in the record of the certification action.

(o) A business operating under a franchise or license agreement may be certified if it meets the standards in this subpart and the franchisor or licensor is not affiliated with the franchisee or licensee. In determining whether affiliation exists, you should generally not consider the restraints relating to standardized quality, advertising, accounting format, and other provisions imposed on the franchisee or licensee by the franchise agreement or license, provided that the franchisee or licensee has the right to profit from its efforts and bears the risk of loss commensurate with ownership. Alternatively, even though a franchisee or licensee may not be controlled by virtue of such provisions in the franchise agreement or license, affiliation could arise through other means, such as common management or excessive restrictions on the sale or transfer of the franchise interest or license.

(p) In order for a partnership to be controlled by socially and economically disadvantaged individuals, any non-disadvantaged partners must not have the power, without the specific written concurrence of the socially and economically disadvantaged partner(s), to contractually bind the partnership or subject the partnership to contract or tort liability.

(q) The socially and economically disadvantaged individuals controlling a firm may use an employee leasing company. The use of such a company does not preclude the socially and economically disadvantaged individuals from controlling their firm if they continue to maintain an employer-employee relationship with the leased employees. This includes being responsible for hiring, firing, training, assigning, and otherwise controlling the on-the-job activities of the employees, as well as ultimate responsibility for wage and tax obligations related to the employees.


§26.73 What are other rules affecting certification?

(a)(1) Consideration of whether a firm performs a commercially useful function or is a regular dealer pertains solely to counting toward DBE goals the participation of firms that have already been certified as DBEs. Except as provided in paragraph (a)(2) of this section, you must not consider commercially useful function issues in any way in making decisions about whether to certify a firm as a DBE.

(2) You may consider, in making certification decisions, whether a firm has exhibited a pattern of conduct indicating its involvement in attempts to evade or subvert the intent or requirements of the DBE program.

(b)(1) You must evaluate the eligibility of a firm on the basis of present circumstances. You must not refuse to certify a firm based solely on historical information indicating a lack of ownership or control of the firm by socially and economically disadvantaged individuals at some time in the past, if the firm currently meets the ownership and control standards of this part.

(2) You must not refuse to certify a firm solely on the basis that it is a newly formed firm, has not completed projects or contracts at the time of its application, has not yet realized profits from its activities, or has not demonstrated a potential for success. If the firm meets disadvantaged, size, ownership, and control requirements of this Part, the firm is eligible for certification.

(c) DBE firms and firms seeking DBE certification shall cooperate fully with your requests (and DOT requests) for information relevant to the certification process. Failure or refusal to provide such information is a ground for a denial or removal of certification.

(d) Only firms organized for profit may be eligible DBEs. Not-for-profit organizations, even though controlled by socially and economically disadvantaged individuals, are not eligible to be certified as DBEs.

(e) An eligible DBE firm must be owned by individuals who are socially and economically disadvantaged. Except as provided in this paragraph, a firm that is not owned by such individuals, but instead is owned by another firm—even a DBE firm—cannot be an eligible DBE.

(1) If socially and economically disadvantaged individuals own and control a firm through a parent or holding company, established for tax, capitalization or other purposes consistent with industry practice, and the parent or holding company in turn owns and controls an operating subsidiary, you may certify the subsidiary if it otherwise meets all requirements of this subpart. In this situation, the individual owners and controllers of the parent or holding company are deemed to control the subsidiary through the parent or holding company.

(2) You may certify such a subsidiary only if there is cumulatively 51 percent ownership of the subsidiary by socially and economically disadvantaged individuals. The following examples illustrate how this cumulative ownership provision works:
Example 1: Socially and economically disadvantaged individuals own 100 percent of a holding company, which has a wholly-owned subsidiary. The subsidiary may be certified, if it meets all other requirements.

Example 2: Disadvantaged individuals own 100 percent of the holding company, which owns 51 percent of a subsidiary. The subsidiary may be certified, if all other requirements are met.

Example 3: Disadvantaged individuals own 80 percent of the holding company, which in turn owns 70 percent of a subsidiary. In this case, the cumulative ownership of the subsidiary by disadvantaged individuals is 56 percent (80 percent of the 70 percent). This is more than 51 percent, so you may certify the subsidiary, if all other requirements are met.

Example 4: Same as Example 2 or 3, but someone other than the socially and economically disadvantaged owners of the parent or holding company controls the subsidiary. Even though the subsidiary is owned by disadvantaged individuals, through the holding or parent company, you cannot certify it because it fails to meet control requirements.

Example 5: Disadvantaged individuals own 60 percent of the holding company, which in turn owns 51 percent of a subsidiary. In this case, the cumulative ownership of the subsidiary by disadvantaged individuals is about 31 percent. This is less than 51 percent, so you cannot certify the subsidiary.

Example 6: The holding company, in addition to the subsidiary seeking certification, owns several other companies. The combined gross receipts of the holding companies and its subsidiaries are greater than the size standard for the subsidiary seeking certification and/or the gross receipts cap of §26.65(b). Under the rules concerning affiliation, the subsidiary fails to meet the size standard and cannot be certified.

(f) Recognition of a business as a separate entity for tax or corporate purposes is not necessarily sufficient to demonstrate that a firm is an independent business, owned and controlled by socially and economically disadvantaged individuals.

(g) You must not require a DBE firm to be prequalified as a condition for certification.

(h) A firm that is owned by an Indian tribe or Native Hawaiian organization, rather than by Indians or Native Hawaiians as individuals, may be eligible for certification. Such a firm must meet the size standards of §26.65. Such a firm must be controlled by socially and economically disadvantaged individuals, as provided in §26.71.

(i) The following special rules apply to the certification of firms related to Alaska Native Corporations (ANCs).

(1) Notwithstanding any other provisions of this subpart, a direct or indirect subsidiary corporation, joint venture, or partnership entity of an ANC is eligible for certification as a DBE if it meets all of the following requirements:

(i) The Settlement Common Stock of the underlying ANC and other stock of the ANC held by holders of the Settlement Common Stock and by Natives and descendants of Natives represents a majority of both the total equity of the ANC and the total voting power of the corporation for purposes of electing directors;

(ii) The shares of stock or other units of common ownership interest in the subsidiary, joint venture, or partnership entity held by the ANC and by holders of its Settlement Common Stock represent a majority of both the total equity of the entity and the total voting power of the entity for the purpose of electing directors, the general partner, or principal officers; and

(iii) The subsidiary, joint venture, or partnership entity has been certified by the Small Business Administration under the 8(a) or small disadvantaged business program.

(2) As a recipient to whom an ANC-related entity applies for certification, you do not use the DOT uniform application form (see Appendix F of this part). You must obtain from the firm documentation sufficient to demonstrate that entity meets the requirements of paragraph (i)(1) of this section. You must also obtain sufficient information about the firm to allow you to administer your program (e.g., information that would appear in your DBE Directory).

(3) If an ANC-related firm does not meet all the conditions of paragraph (i)(1) of this section, then it must meet the requirements of paragraph (h) of this section in order to be certified, on the same basis as firms owned by Indian Tribes or Native Hawaiian Organizations.


Subpart E—Certification Procedures

§26.81 What are the requirements for Unified Certification Programs?

(a) You and all other DOT recipients in your state must participate in a Unified Certification Program (UCP).
(1) Within three years of March 4, 1999, you and the other recipients in your state must sign an agreement establishing the UCP for that state and submit the agreement to the Secretary for approval. The Secretary may, on the basis of extenuating circumstances shown by the recipients in the state, extend this deadline for no more than one additional year.

(2) The agreement must provide for the establishment of a UCP meeting all the requirements of this section. The agreement must specify that the UCP will follow all certification procedures and standards of this part, on the same basis as recipients, that the UCP shall cooperate fully with oversight, review, and monitoring activities of DOT and its operating administrations, and that the UCP shall implement DOT directives and guidance concerning certification matters. The agreement shall also commit recipients to ensuring that the UCP has sufficient resources and expertise to carry out the requirements of this part. The agreement shall include an implementation schedule ensuring that the UCP is fully operational no later than 18 months following the approval of the agreement by the Secretary.

(3) Subject to approval by the Secretary, the UCP in each state may take any form acceptable to the recipients in that state.

(4) The Secretary shall review the UCP and approve it, disapprove it, or remand it to the recipients in the state for revisions. A complete agreement which is not disapproved or remanded within 180 days of its receipt is deemed to be accepted.

(5) If you and the other recipients in your state fail to meet the deadlines set forth in this paragraph (a), you shall have the opportunity to make an explanation to the Secretary why a deadline could not be met and why meeting the deadline was beyond your control. If you fail to make such an explanation, or the explanation does not justify the failure to meet the deadline, the Secretary shall direct you to complete the required action by a date certain. If you and the other recipients fail to carry out this direction in a timely manner, you are collectively in noncompliance with this part.

(b) The UCP shall make all certification decisions on behalf of all DOT recipients in the state with respect to participation in the DOT DBE Program.

(1) Certification decisions by the UCP shall be binding on all DOT recipients within the state.

(2) The UCP shall provide "one-stop shopping" to applicants for certification, such that an applicant is required to apply only once for a DBE certification that will be honored by all recipients in the state.

(3) All obligations of recipients with respect to certification and nondiscrimination must be carried out by UCPs, and recipients may use only UCPs that comply with the certification and nondiscrimination requirements of this part.

(c) All certifications by UCPs shall be pre-certifications; i.e., certifications that have been made final before the due date for bids or offers on a contract on which a firm seeks to participate as a DBE.

(d) A UCP is not required to process an application for certification from a firm having its principal place of business outside the state if the firm is not certified by the UCP in the state in which it maintains its principal place of business. The "home state" UCP shall share its information and documents concerning the firm with other UCPs that are considering the firm's application.

(e) Subject to DOT approval as provided in this section, the recipients in two or more states may form a regional UCP. UCPs may also enter into written reciprocity agreements with other UCPs. Such an agreement shall outline the specific responsibilities of each participant. A UCP may accept the certification of any other UCP or DOT recipient.

(f) Pending the establishment of UCPs meeting the requirements of this section, you may enter into agreements with other recipients, on a regional or inter-jurisdictional basis, to perform certification functions required by this part. You may also grant reciprocity to other recipient's certification decisions.

(g) Each UCP shall maintain a unified DBE directory containing, for all firms certified by the UCP (including those from other states certified under the provisions of this part), the information required by §26.31. The UCP shall make the directory available to the public electronically, on the Internet, as well as in print. The UCP shall update the electronic version of the directory by including additions, deletions, and other changes as soon as they are made and shall revise the print version of the Directory at least once a year.

(h) Except as otherwise specified in this section, all provisions of this subpart and subpart D of this part pertaining to recipients also apply to UCPs.


§26.83 What procedures do recipients follow in making certification decisions?

(a) You must ensure that only firms certified as eligible DBEs under this section participate as DBEs in your program.
(b) You must determine the eligibility of firms as DBEs consistent with the standards of subpart D of this part. When a UCP is formed, the UCP must meet all the requirements of subpart D of this part and this subpart that recipients are required to meet.

(c)(1) You must take all the following steps in determining whether a DBE firm meets the standards of subpart D of this part:

(i) Perform an on-site visit to the firm’s principal place of business. You must interview the principal officers and review their résumés and/or work histories. You may interview key personnel of the firm if necessary. You must also perform an on-site visit to job sites if there are such sites on which the firm is working at the time of the eligibility investigation in your jurisdiction or local area. You may rely upon the site visit report of any other recipient with respect to a firm applying for certification;

(ii) Analyze documentation related to the legal structure, ownership, and control of the applicant firm. This includes, but is not limited to, Articles of Incorporation/Organization, corporate by-laws or operating agreements; organizational, annual and board/member meeting records; stock ledgers and certificates; and State-issued Certificates of Good Standing;

(iii) Analyze the bonding and financial capacity of the firm; lease and loan agreements; bank account signature cards;

(iv) Determine the work history of the firm, including contracts it has received, work it has completed; and payroll records;

(v) Obtain a statement from the firm of the type of work it prefers to perform as part of the DBE program and its preferred locations for performing the work, if any.

(vi) Obtain or compile a list of the equipment owned by or available to the firm and the licenses the firm and its key personnel possess to perform the work it seeks to do as part of the DBE program;

(vii) Obtain complete Federal income tax returns (or requests for extensions) filed by the firm, its affiliates, and the socially and economically disadvantaged owners for the last 3 years. A complete return includes all forms, schedules, and statements filed with the Internal Revenue Service.

(viii) Require potential DBEs to complete and submit an appropriate application form, except as otherwise provided in §26.85 of this part.

(2) You must use the application form provided in Appendix F to this part without change or revision. However, you may provide in your DBE program, with the written approval of the concerned operating administration, for supplementing the form by requesting specified additional information not inconsistent with this part.

(3) You must make sure that the applicant attests to the accuracy and truthfulness of the information on the application form. This shall be done either in the form of an affidavit sworn to by the applicant before a person who is authorized by State law to administer oaths or in the form of an unsworn declaration executed under penalty of perjury of the laws of the United States.

(4) You must review all information on the form prior to making a decision about the eligibility of the firm. You may request clarification of information contained in the application at any time in the application process.

(d) When another recipient, in connection with its consideration of the eligibility of a firm, makes a written request for certification information you have obtained about that firm (e.g., including application materials or the report of a site visit, if you have made one to the firm), you must promptly make the information available to the other recipient.

(e) [Reserved]

(f) Subject to the approval of the concerned operating administration as part of your DBE program, you may impose a reasonable application fee for certification. Fee waivers shall be made in appropriate cases.

(g) You must safeguard from disclosure to unauthorized persons information gathered as part of the certification process that may reasonably be regarded as proprietary or other confidential business information, consistent with applicable Federal, state, and local law.

(h)(1) Once you have certified a DBE, it shall remain certified until and unless you have removed its certification, in whole or in part, through the procedures of §26.87 of this part, except as provided in §26.67(b)(1) of this part.

(2) You may not require DBEs to reapply for certification or undergo a recertification process. However, you may conduct a certification review of a certified DBE firm, including a new on-site review, if appropriate in light of changed circumstances (e.g., of the kind requiring notice under paragraph (l) of this section or relating to suspension of certification under §26.88), a complaint, or other information concerning the firm’s eligibility. If information comes to your attention that leads you to question the firm’s eligibility, you may conduct an on-site review on an unannounced basis, at the firm’s offices and job sites.
If you are a DBE, you must inform the recipient or UCP in writing of any change in circumstances affecting your ability to meet size, disadvantaged status, ownership, or control requirements of this part or any material change in the information provided in your application form.

(1) Changes in management responsibility among members of a limited liability company are covered by this requirement.

(2) You must attach supporting documentation describing in detail the nature of such changes.

(3) The notice must take the form of an affidavit sworn to by the applicant before a person who is authorized by State law to administer oaths or an unsworn declaration executed under penalty of perjury of the laws of the United States. You must provide the written notification within 30 days of the occurrence of the change. If you fail to make timely notification of such a change, you will be deemed to have failed to cooperate under §26.109(c).

(j) If you are a DBE, you must provide to the recipient, every year on the anniversary of the date of your certification, an affidavit sworn to by the firm’s owners before a person who is authorized by State law to administer oaths or an unsworn declaration executed under penalty of perjury of the laws of the United States. This affidavit must affirm that there have been no changes in the firm’s circumstances affecting its ability to meet size, disadvantaged status, ownership, or control requirements of this part or any material changes in the information provided in its application form, except for changes about which you have notified the recipient under paragraph (i) of this section. The affidavit shall specifically affirm that your firm continues to meet SBA business size criteria and the overall gross receipts cap of this part, documenting this affirmation with supporting documentation of your firm’s size and gross receipts (e.g., submission of Federal tax returns). If you fail to provide this affidavit in a timely manner, you will be deemed to have failed to cooperate under §26.109(c).

(k) If you are a recipient, you must make decisions on applications for certification within 90 days of receiving from the applicant firm all information required under this part. You may extend this time period once, for no more than an additional 60 days, upon written notice to the firm, explaining fully and specifically the reasons for the extension. You may establish a different time frame in your DBE program, upon a showing that this time frame is not feasible, and subject to the approval of the concerned operating administration. Your failure to make a decision by the applicable deadline under this paragraph is deemed a constructive denial of the application, on the basis of which the firm may appeal to DOT under §26.89.

(l) As a recipient or UCP, you must advise each applicant within 30 days from your receipt of the application whether the application is complete and suitable for evaluation and, if not, what additional information or action is required.

(m) Except as otherwise provided in this paragraph, if an applicant for DBE certification withdraws its application before you have issued a decision on the application, the applicant can resubmit the application at any time. As a recipient or UCP, you may not apply the waiting period provided under §26.86(c) of this part before allowing the applicant to resubmit its application. However, you may place the reapplication at the “end of the line,” behind other applications that have been made since the firm’s previous application was withdrawn. You may also apply the waiting period provided under §26.86(c) of this part to a firm that has established a pattern of frequently withdrawing applications before you make a decision.

§26.85 Interstate certification.

(a) This section applies with respect to any firm that is currently certified in its home state.

(b) When a firm currently certified in its home state (“State A”) applies to another State (“State B”) for DBE certification, State B may, at its discretion, accept State A’s certification and certify the firm, without further procedures.

(1) To obtain certification in this manner, the firm must provide to State B a copy of its certification notice from State A.

(2) Before certifying the firm, State B must confirm that the firm has a current valid certification from State A. State B can do so by reviewing State A’s electronic directory or obtaining written confirmation from State A.

(3) In any situation in which State B chooses not to accept State A’s certification of a firm as provided in paragraph (b) of this section, as the applicant firm you must provide the information in paragraphs (c)(1) through (4) of this section to State B.

(1) You must provide to State B a complete copy of the application form, all supporting documents, and any other information you have submitted to State A or any other state related to your firm’s certification. This includes affidavits of no change (see §26.83(i)) and any notices of changes (see §26.83(i)) that you have submitted to State A, as well as any correspondence you have had with State A’s UCP or any other recipient concerning your application or status as a DBE firm.
(2) You must also provide to State B any notices or correspondence from states other than State A relating to your status as an applicant or certified DBE in those states. For example, if you have been denied certification or decertified in State C, or subject to a decertification action there, you must inform State B of this fact and provide all documentation concerning this action to State B.

(3) If you have filed a certification appeal with DOT (see §26.89), you must inform State B of the fact and provide your letter of appeal and DOT’s response to State B.

(4) You must submit an affidavit sworn to by the firm’s owners before a person who is authorized by State law to administer oaths or an unsworn declaration executed under penalty of perjury of the laws of the United States.

(i) This affidavit must affirm that you have submitted all the information required by 49 CFR 26.85(c) and the information is complete and, in the case of the information required by §26.85(c)(1), is an identical copy of the information submitted to State A.

(ii) If the on-site report from State A supporting your certification in State A is more than three years old, as of the date of your application to State B, State B may require that your affidavit also affirm that the facts in the on-site report remain true and correct.

(d) As State B, when you receive from an applicant firm all the information required by paragraph (c) of this section, you must take the following actions:

(1) Within seven days contact State A and request a copy of the site visit review report for the firm (see §26.83(c)(1)), any updates to the site visit review, and any evaluation of the firm based on the site visit. As State A, you must transmit this information to State B within seven days of receiving the request. A pattern by State B of not making such requests in a timely manner or by “State A” or any other State of not complying with such requests in a timely manner is noncompliance with this Part.

(2) Determine whether there is good cause to believe that State A’s certification of the firm is erroneous or should not apply in your State. Reasons for making such a determination may include the following:

(i) Evidence that State A’s certification was obtained by fraud;

(ii) New information, not available to State A at the time of its certification, showing that the firm does not meet all eligibility criteria;

(iii) State A’s certification was factually erroneous or was inconsistent with the requirements of this part;

(iv) The State law of State B requires a result different from that of the State law of State A.

(v) The information provided by the applicant firm did not meet the requirements of paragraph (c) of this section.

(3) If, as State B, unless you have determined that there is good cause to believe that State A’s certification is erroneous or should not apply in your State, you must, no later than 60 days from the date on which you received from the applicant firm all the information required by paragraph (c) of this section, send to the applicant firm a notice that it is certified and place the firm on your directory of certified firms.

(4) If, as State B, you have determined that there is good cause to believe that State A’s certification is erroneous or should not apply in your State, you must, no later than 60 days from the date on which you received from the applicant firm all the information required by paragraph (c) of this section, send to the applicant firm a notice stating the reasons for your determination.

(i) This notice must state with particularity the specific reasons why State B believes that the firm does not meet the requirements of this Part for DBE eligibility and must offer the firm an opportunity to respond to State B with respect to these reasons.

(ii) The firm may elect to respond in writing, to request an in-person meeting with State B’s decision maker to discuss State B’s objections to the firm’s eligibility, or both. If the firm requests a meeting, as State B you must schedule the meeting to take place within 30 days of receiving the firm’s request.

(iii) The firm bears the burden of demonstrating, by a preponderance of evidence, that it meets the requirements of this Part with respect to the particularized issues raised by State B’s notice. The firm is not otherwise responsible for further demonstrating its eligibility to State B.

(iv) The decision maker for State B must be an individual who is thoroughly familiar with the provisions of this Part concerning certification.

(v) State B must issue a written decision within 30 days of the receipt of the written response from the firm or the meeting with the decision maker, whichever is later.
The firm's application for certification is stayed pending the outcome of this process.

A decision under this paragraph (d)(4) may be appealed to the Departmental Office of Civil Rights under §§26.89 of this part.

As State B, if you have not received from State A a copy of the site visit review report by a date 14 days after you have made a timely request for it, you may hold action required by paragraphs (d)(2) through (4) of this section in abeyance pending receipt of the site visit review report. In this event, you must, no later than 30 days from the date on which you received from an applicant firm all the information required by paragraph (c) of this section, notify the firm in writing of the delay in the process and the reason for it.

As a UCP, when you deny a firm's application, reject the application of a firm certified in State A or any other State in which the firm is certified, through the procedures of paragraph (d)(4) of this section, or decertify a firm, in whole or in part, you must make an entry in the Department of Transportation Office of Civil Rights' (DOCR's) Ineligibility Determination Online Database. You must enter the following information:

(i) The name of the firm;
(ii) The name(s) of the firm's owner(s);
(iii) The type and date of the action;
(iv) The reason for the action.

As a UCP, you must check the DOCR Web site at least once every month to determine whether any firm that is applying to you for certification or that you have already certified is on the list.

For any such firm that is on the list, you must promptly request a copy of the listed decision from the UCP that made it. As the UCP receiving such a request, you must provide a copy of the decision to the requesting UCP within 7 days of receiving the request. As the UCP receiving the decision, you must then consider the information in the decision in determining what, if any, action to take with respect to the certified DBE firm or applicant.

You must implement the requirements of this section beginning January 1, 2012.

§26.86 What rules govern recipients' denials of initial requests for certification?

(a) When you deny a request by a firm, which is not currently certified with you, to be certified as a DBE, you must provide the firm a written explanation of the reasons for the denial, specifically referencing the evidence in the record that supports each reason for the denial. All documents and other information on which the denial is based must be made available to the applicant, on request.

(b) [Reserved]

(c) When a firm is denied certification, you must establish a time period of no more than twelve months that must elapse before the firm may reapply to the recipient for certification. You may provide, in your DBE program, subject to approval by the concerned operating administration, a shorter waiting period for reapplication. The time period for reapplication begins to run on the date the explanation required by paragraph (a) of this section is received by the firm. An applicant's appeal of your decision to the Department pursuant to §26.89 does not extend this period.

(d) When you make an administratively final denial of certification concerning a firm, the firm may appeal the denial to the Department under §26.89.

§26.87 What procedures does a recipient use to remove a DBE's eligibility?

(a) Ineligibility complaints. (1) Any person may file with you a written complaint alleging that a currently-certified firm is ineligible and specifying the alleged reasons why the firm is ineligible. You are not required to accept a general allegation that a firm is ineligible or an anonymous complaint. The complaint may include any information or arguments supporting the complainant's assertion that the firm is ineligible and should not continue to be certified. Confidentiality of complainants' identities must be protected as provided in §26.109(b).
(2) You must review your records concerning the firm, any material provided by the firm and the complainant, and other available information. You may request additional information from the firm or conduct any other investigation that you deem necessary.

(3) If you determine, based on this review, that there is reasonable cause to believe that the firm is ineligible, you must provide written notice to the firm that you propose to find the firm ineligible, setting forth the reasons for the proposed determination. If you determine that such reasonable cause does not exist, you must notify the complainant and the firm in writing of this determination and the reasons for it. All statements of reasons for findings on the issue of reasonable cause must specifically reference the evidence in the record on which each reason is based.

(b) Recipient-initiated proceedings. If, based on notification by the firm of a change in its circumstances or other information that comes to your attention, you determine that there is reasonable cause to believe that a currently certified firm is ineligible, you must provide written notice to the firm that you propose to find the firm ineligible, setting forth the reasons for the proposed determination. The statement of reasons for the finding of reasonable cause must specifically reference the evidence in the record on which each reason is based.

(c) DOT directive to initiate proceeding. (1) If the concerned operating administration determines that information in your certification records, or other information available to the concerned operating administration, provides reasonable cause to believe that a firm you certified does not meet the eligibility criteria of this part, the concerned operating administration may direct you to initiate a proceeding to remove the firm's certification.

(2) The concerned operating administration must provide you and the firm a notice setting forth the reasons for the directive, including any relevant documentation or other information.

(3) You must immediately commence and prosecute a proceeding to remove eligibility as provided by paragraph (b) of this section.

(d) Hearing. When you notify a firm that there is reasonable cause to remove its eligibility, as provided in paragraph (a), (b), or (c) of this section, you must give the firm an opportunity for an informal hearing, at which the firm may respond to the reasons for the proposal to remove its eligibility in person and provide information and arguments concerning why it should remain certified.

(1) In such a proceeding, you bear the burden of proving, by a preponderance of the evidence, that the firm does not meet the certification standards of this part.

(2) You must maintain a complete record of the hearing, by any means acceptable under state law for the retention of a verbatim record of an administrative hearing. If there is an appeal to DOT under §26.89, you must provide a transcript of the hearing to DOT and, on request, to the firm. You must retain the original record of the hearing. You may charge the firm only for the cost of copying the record.

(3) The firm may elect to present information and arguments in writing, without going to a hearing. In such a situation, you bear the same burden of proving, by a preponderance of the evidence, that the firm does not meet the certification standards, as you would during a hearing.

(e) Separation of functions. You must ensure that the decision in a proceeding to remove a firm's eligibility is made by an office and personnel that did not take part in actions leading to or seeking to implement the proposal to remove the firm's eligibility and are not subject, with respect to the matter, to direction from the office or personnel who did take part in these actions.

(1) Your method of implementing this requirement must be made part of your DBE program.

(2) The decisionmaker must be an individual who is knowledgeable about the certification requirements of your DBE program and this part.

(3) Before a UCP is operational in its state, a small airport or small transit authority (i.e., an airport or transit authority serving an area with less than 260,000 population) is required to meet this requirement only to the extent feasible.

(f) Grounds for decision. You may base a decision to remove a firm's eligibility only on one or more of the following grounds:

(1) Changes in the firm's circumstances since the certification of the firm by the recipient that render the firm unable to meet the eligibility standards of this part;

(2) Information or evidence not available to you at the time the firm was certified;

(3) Information relevant to eligibility that has been concealed or misrepresented by the firm;

(4) A change in the certification standards or requirements of the Department since you certified the firm.
(5) Your decision to certify the firm was clearly erroneous;

(6) The firm has failed to cooperate with you (see §26.109(c));

(7) The firm has exhibited a pattern of conduct indicating its involvement in attempts to subvert the intent or requirements of the DBE program (see §26.73(a)(2)); or

(8) The firm has been suspended or debarred for conduct related to the DBE program. The notice required by paragraph (g) of this section must include a copy of the suspension or debarment action. A decision to remove a firm for this reason shall not be subject to the hearing procedures in paragraph (d) of this section.

(g) Notice of decision. Following your decision, you must provide the firm written notice of the decision and the reasons for it, including specific references to the evidence in the record that supports each reason for the decision. The notice must inform the firm of the consequences of your decision and of the availability of an appeal to the Department of Transportation under §26.89. You must send copies of the notice to the complainant in an ineligibility complaint or the concerned operating administration that had directed you to initiate the proceeding. Provided that, when sending such a notice to a complainant other than a DOT operating administration, you must not include information reasonably construed as confidential business information without the written consent of the firm that submitted the information.

(h) [Reserved]

(1) A firm remains an eligible DBE during the pendancy of your proceeding to remove its eligibility.

(2) The firm does not become ineligible until the issuance of the notice provided for in paragraph (g) of this section.

(i) Effects of removal of eligibility. When you remove a firm's eligibility, you must take the following action:

(1) When a prime contractor has made a commitment to using the ineligible firm, or you have made a commitment to using a DBE prime contractor, but a subcontract or contract has not been executed before you issue the decertification notice provided for in paragraph (g) of this section, the ineligible firm does not count toward the contract goal or overall goal. You must direct the prime contractor to meet the contract goal with an eligible DBE firm or demonstrate to you that it has made a good faith effort to do so.

(2) If a prime contractor has executed a subcontract with the firm before you have notified the firm of its ineligibility, the prime contractor may continue to use the firm on the contract and may continue to receive credit toward its DBE goal for the firm's work. In this case, or in a case where you have let a prime contract to the DBE that was later ruled ineligible, the portion of the ineligible firm's performance of the contract remaining after you issued the notice of its ineligibility shall not count toward your overall goal, but may count toward the contract goal.

(3) Exception: If the DBE's ineligibility is caused solely by its having exceeded the size standard during the performance of the contract, you may continue to count its participation on that contract toward overall and contract goals.

(k) Availability of appeal. When you make an administratively final removal of a firm's eligibility under this section, the firm may appeal the removal to the Department under §26.89.


§26.88 Summary suspension of certification.

(a) A recipient shall immediately suspend a DBE's certification without adhering to the requirements in §26.87(d) of this part when an individual owner whose ownership and control of the firm are necessary to the firm's certification dies or is incarcerated.

(b)(1) A recipient may immediately suspend a DBE's certification without adhering to the requirements in §26.87(d) when there is adequate evidence to believe that there has been a material change in circumstances that may affect the eligibility of the DBE firm to remain certified, or when the DBE fails to notify the recipient or UCP in writing of any material change in circumstances as required by §26.83(i) of this part or fails to timely file an affidavit of no change under §26.83(j).

(2) In determining the adequacy of the evidence to issue a suspension under paragraph (b)(1) of this section, the recipient shall consider all relevant factors, including how much information is available, the credibility of the information and allegations given the circumstances, whether or not important allegations are corroborated, and what inferences can reasonably be drawn as a result.

(c) The concerned operating administration may direct the recipient to take action pursuant to paragraph (a) or (b) this section if it determines that information available to it is sufficient to warrant immediate suspension.


(d) When a firm is suspended pursuant to paragraph (a) or (b) of this section, the recipient shall immediately notify the DBE of the suspension by certified mail, return receipt requested, to the last known address of the owner(s) of the DBE.

(e) Suspension is a temporary status of ineligibility pending an expedited show cause hearing/proceeding under §26.87 of this part to determine whether the DBE is eligible to participate in the program and consequently should be removed. The suspension takes effect when the DBE receives, or is deemed to have received, the Notice of Suspension.

(f) While suspended, the DBE may not be considered to meet a contract goal on a new contract, and any work it does on a contract received during the suspension shall not be counted toward a recipient's overall goal. The DBE may continue to perform under an existing contract executed before the DBE received a Notice of Suspension and may be counted toward the contract goal during the period of suspension as long as the DBE is performing a commercially useful function under the existing contract.

(g) Following receipt of the Notice of Suspension, if the DBE believes it is no longer eligible, it may voluntarily withdraw from the program, in which case no further action is required. If the DBE believes that its eligibility should be reinstated, it must provide to the recipient information demonstrating that the firm is eligible notwithstanding its changed circumstances. Within 30 days of receiving this information, the recipient must either lift the suspension and reinstate the firm's certification or commence a decertification action under §26.87 of this part. If the recipient commences a decertification proceeding, the suspension remains in effect during the proceeding.

(h) The decision to immediately suspend a DBE under paragraph (a) or (b) of this section is not appealable to the US Department of Transportation. The failure of a recipient to either lift the suspension and reinstate the firm or commence a decertification proceeding, as required by paragraph (g) of this section, is appealable to the U.S. Department of Transportation under §26.89 of this part, as a constructive decertification.

[79 FR 59599, Oct. 2, 2014]

§26.89 What is the process for certification appeals to the Department of Transportation?

(a)(1) If you are a firm that is denied certification or whose eligibility is removed by a recipient, including SBA-certified firms, you may make an administrative appeal to the Department.

(2) If you are a complainant in an ineligibility complaint to a recipient (including the concerned operating administration in the circumstances provided in §26.87(c)), you may appeal to the Department if the recipient does not find reasonable cause to propose removing the firm's eligibility or, following a removal of eligibility proceeding, determines that the firm is eligible.

(3) Send appeals to the following address: U.S. Department of Transportation, Departmental Office of Civil Rights, 1200 New Jersey Avenue SE, Washington, DC 20590-0001.

(b) Pending the Department's decision in the matter, the recipient's decision remains in effect. The Department does not stay the effect of the recipient's decision while it is considering an appeal.

(c) If you want to file an appeal, you must send a letter to the Department within 90 days of the date of the recipient's final decision, including information and setting forth a full and specific statement as to why the decision is erroneous, what significant fact that the recipient failed to consider, or what provisions of this Part the recipient did not properly apply. The Department may accept an appeal filed later than 90 days after the date of the decision if the Department determines that there was good cause for the late filing of the appeal or in the interest of justice.

(d) When it receives an appeal, the Department requests a copy of the recipient's complete administrative record in the matter. If you are the recipient, you must provide the administrative record, including a hearing transcript, within 20 days of the Department's request. The Department may extend this time period on the basis of a recipient's showing of good cause. To facilitate the Department's review of a recipient's decision, you must ensure that such administrative records are well organized, indexed, and paginated. Records that do not comport with these requirements are not acceptable and will be returned to you to be corrected immediately. If an appeal is brought concerning one recipient's certification decision concerning a firm, and that recipient relied on the decision and/or administrative record of another recipient, this requirement applies to both recipients involved.

(e) The Department makes its decision based solely on the entire administrative record as supplemented by the appeal. The Department does not make a de novo review of the matter and does not conduct a hearing. The Department may also supplement the administrative record by adding relevant information made available by the DOT Office of Inspector General; Federal, State, or local law enforcement authorities; officials of a DOT operating administration or other appropriate DOT office; a recipient; or a firm or other private party.

(f) As a recipient, when you provide supplementary information to the Department, you shall also make this information available to the firm and any third-party complainant involved, consistent with Federal or applicable state laws
concerning freedom of information and privacy. The Department makes available, on request by the firm and any third-party complainant involved, any supplementary information it receives from any source.

1. The Department affirms your decision unless it determines, based on the entire administrative record, that your decision is unsupported by substantial evidence or inconsistent with the substantive or procedural provisions of this part concerning certification.

2. If the Department determines, after reviewing the entire administrative record, that your decision was unsupported by substantial evidence or inconsistent with the substantive or procedural provisions of this part concerning certification, the Department reverses your decision and directs you to certify the firm or remove its eligibility, as appropriate. You must take the action directed by the Department's decision immediately upon receiving written notice of it.

3. The Department is not required to reverse your decision if the Department determines that a procedural error did not result in fundamental unfairness to the appellant or substantially prejudice the opportunity of the appellant to present its case.

4. If it appears that the record is incomplete or unclear with respect to matters likely to have a significant impact on the outcome of the case, the Department may remand the record to you with instructions seeking clarification or augmentation of the record before making a finding. The Department may also remand a case to you for further proceedings consistent with Department instructions concerning the proper application of the provisions of this part.

5. The Department does not uphold your decision based on grounds not specified in your decision.

6. The Department's decision is based on the status and circumstances of the firm as of the date of the decision being appealed.

7. The Department provides written notice of its decision to you, the firm, and the complainant in an eligibility complaint. A copy of the notice is also sent to any other recipient whose administrative record or decision has been involved in the proceeding (see paragraph (d) of this section). The Department will also notify the SBA in writing when DOT takes an action on an appeal that results in or confirms a loss of eligibility to any SBA-certified firm. The notice includes the reasons for the Department's decision, including specific references to the evidence in the record that supports each reason for the decision.

8. The Department's policy is to make its decision within 180 days of receiving the complete administrative record. If the Department does not make its decision within this period, the Department provides written notice to concerned parties, including a statement of the reason for the delay and a date by which the appeal decision will be made.

9. All decisions under this section are administratively final, and are not subject to petitions for reconsideration.

§26.91 What actions do recipients take following DOT certification appeal decisions?

(a) If you are the recipient from whose action an appeal under §26.89 is taken, the decision is binding. It is not binding on other recipients.

(b) If you are a recipient to which a DOT determination under §26.89 is applicable, you must take the following action:

1. If the Department determines that you erroneously certified a firm, you must remove the firm's eligibility on receipt of the determination, without further proceedings on your part. Effective on the date of your receipt of the Department's determination, the consequences of a removal of eligibility set forth in §26.87(h) take effect.

2. If the Department determines that you erroneously failed to find reasonable cause to remove the firm's eligibility, you must expeditiously commence a proceeding to determine whether the firm's eligibility should be removed, as provided in §26.87.

3. If the Department determines that you erroneously declined to certify or removed the eligibility of the firm, you must certify the firm, effective on the date of your receipt of the written notice of Department's determination.

4. If the Department determines that you erroneously determined that the presumption of social and economic disadvantage either should or should not be deemed rebutted, you must take appropriate corrective action as determined by the Department.

5. If the Department affirms your determination, no further action is necessary.
(c) Where DOT has upheld your denial of certification to or removal of eligibility from a firm, or directed the removal of a firm's eligibility, other recipients with whom the firm is certified may commence a proceeding to remove the firm's eligibility under §26.87. Such recipients must not remove the firm's eligibility absent such a proceeding. Where DOT has reversed your denial of certification to or removal of eligibility from a firm, other recipients must take the DOT action into account in any certification action involving the firm. However, other recipients are not required to certify the firm based on the DOT decision.

Subpart F—Compliance and Enforcement

§26.101 What compliance procedures apply to recipients?

(a) Noncompliance complaints. Any person who believes that a recipient has failed to comply with its obligations under this part may file a written complaint with the concerned operating administration's Office of Civil Rights. If you want to file a complaint, you must do so no later than 180 days after the date of the alleged violation or the date on which you learned of a continuing course of conduct in violation of this part. In response to your written request, the Office of Civil Rights may extend the time for filing in the interest of justice, specifying in writing the reason for so doing. The Office of Civil Rights may protect the confidentiality of your identity as provided in §26.109(b). Complaints under this part are limited to allegations of violation of the provisions of this part.

(b) Compliance reviews. The concerned operating administration may review the recipient's compliance with this part at any time, including reviews of paperwork and on-site reviews, as appropriate. The Office of Civil Rights may direct the operating administration to initiate a compliance review based on complaints received.

(c) Reasonable cause notice. If it appears, from the investigation of a complaint or the results of a compliance review, that you, as a recipient, are in noncompliance with this part, the appropriate DOT office promptly sends you, return receipt requested, a written notice advising you that there is reasonable cause to find you in noncompliance. The notice states the reasons for this finding and directs you to reply within 30 days concerning whether you wish to begin conciliation.

(d) Conciliation. (1) If you request conciliation, the appropriate DOT office shall pursue conciliation for at least 30, but not more than 120, days from the date of your request. The appropriate DOT office may extend the conciliation period for up to 30 days for good cause, consistent with applicable statutes.

(2) If you and the appropriate DOT office sign a conciliation agreement, then the matter is regarded as closed and you are regarded as being in compliance. The conciliation agreement sets forth the measures you have taken or will take to ensure compliance. While a conciliation agreement is in effect, you remain eligible for FHWA or FTA financial assistance.

(3) The concerned operating administration shall monitor your implementation of the conciliation agreement and ensure that its terms are complied with. If you fail to carry out the terms of a conciliation agreement, you are in noncompliance.

(4) If you do not request conciliation, or a conciliation agreement is not signed within the time provided in paragraph (d)(1) of this section, then enforcement proceedings begin.

(e) Enforcement actions. (1) Enforcement actions are taken as provided in this subpart.

(2) Applicable findings in enforcement proceedings are binding on all DOT offices.
§26.105 What enforcement actions apply in FAA programs?

(a) Compliance with all requirements of this part by airport sponsors and other recipients of FAA financial assistance is enforced through the procedures of Title 49 of the United States Code, including 49 U.S.C. 47106(d), 47111(d), and 47122, and regulations implementing them.

(b) The provisions of §26.103(b) and this section apply to enforcement actions in FAA programs.

(c) Any person who knows of a violation of this part by a recipient of FAA funds may file a complaint under 14 CFR part 16 with the Federal Aviation Administration Office of Chief Counsel.

§26.107 What enforcement actions apply to firms participating in the DBE program?

(e) If you are a firm that does not meet the eligibility criteria of subpart D of this part and that attempts to participate in a DOT-assisted program as a DBE on the basis of false, fraudulent, or deceitful statements or representations or under circumstances indicating a serious lack of business integrity or honesty, the Department may initiate suspension or debarment proceedings against you under 2 CFR parts 180 and 1200.

(b) If you are a firm that, in order to meet DBE contract goals or other DBE program requirements, uses or attempts to use, on the basis of false, fraudulent or deceitful statements or representations or under circumstances indicating a serious lack of business integrity or honesty, another firm that does not meet the eligibility criteria of subpart D of this part, the Department may initiate suspension or debarment proceedings against you under 2 CFR parts 180 and 1200.

(c) In a suspension or debarment proceeding brought under paragraph (a) or (b) of this section, the concerned operating administration may consider the fact that a purported DBE has been certified by a recipient. Such certification does not preclude the Department from determining that the purported DBE, or another firm that has used or attempted to use it to meet DBE goals, should be suspended or debarred.

(d) The Department may take enforcement action under 49 CFR Part 31, Program Fraud and Civil Remedies, against any participant in the DBE program whose conduct is subject to such action under 49 CFR part 31.

(e) The Department may refer to the Department of Justice, for prosecution under 18 U.S.C. 1001 or other applicable provisions of law, any person who makes a false or fraudulent statement in connection with participation of a DBE in any DOT-assisted program or otherwise violates applicable Federal statutes.


§26.109 What are the rules governing information, confidentiality, cooperation, and intimidation or retaliation?

(a) Availability of records. (1) In responding to requests for information concerning any aspect of the DBE program, the Department complies with provisions of the Federal Freedom of Information and Privacy Acts (5 U.S.C. 552 and 552a). The Department may make available to the public any information concerning the DBE program release of which is not prohibited by Federal law.

(2) Notwithstanding any provision of Federal or state law, you must not release any information that may reasonably be construed as confidential business information to any third party without the written consent of the firm that submitted the information. This includes applications for DBE certification and supporting information. However, you must transmit this information to DOT in any certification appeal proceeding under §26.99 of this part or to any other state to which the individual's firm has applied for certification under §26.85 of this part.

(b) Confidentiality of information on complainants. Notwithstanding the provisions of paragraph (a) of this section, the identity of complainants shall be kept confidential, at their election. If such confidentiality will hinder the investigation, proceeding or hearing, or result in a denial of appropriate administrative due process to other parties, the complainant must be advised for the purpose of waiving the privilege. Complainants are advised that, in some circumstances, failure to waive the privilege may result in the closure of the investigation or dismissal of the proceeding or hearing. FAA follows the procedures of 14 CFR part 16 with respect to confidentiality of information in complaints.

(c) Cooperation. All participants in the Department's DBE program (including, but not limited to, recipients, DBE firms and applicants for DBE certification, complainants and appellants, and contractors using DBE firms to meet contract goals) are required to cooperate fully and promptly with DOT and recipient compliance reviews, certification reviews, investigations, and other requests for information. Failure to do so shall be a ground for appropriate action against the party involved (e.g., with respect to recipients, a finding of noncompliance; with respect to DBE firms, denial of certification or removal of eligibility and/or suspension and debarment; with respect to a complainant or appellant, dismissal of the complaint or appeal; with respect to a contractor which uses DBE firms to meet goals, findings of non-responsibility for future contracts and/or suspension and debarment).
(d) Intimidation and retaliation. If you are a recipient, contractor, or any other participant in the program, you must not intimidate, threaten, coerce, or discriminate against any individual or firm for the purpose of interfering with any right or privilege secured by this part or because the individual or firm has made a complaint, testified, assisted, or participated in any manner in an investigation, proceeding, or hearing under this part. If you violate this prohibition, you are in noncompliance with this part.


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Appendix A to Part 26—Guidance Concerning Good Faith Efforts

I. When, as a recipient, you establish a contract goal on a DOT-assisted contract for procuring construction, equipment, services, or any other purpose, a bidder must, in order to be responsible and/or responsive, make sufficient good faith efforts to meet the goal. The bidder can meet this requirement in either of two ways. First, the bidder can meet the goal, documenting commitments for participation by DBE firms sufficient for this purpose. Second, even if it doesn't meet the goal, the bidder can document adequate good faith efforts. This means that the bidder must show that it took all necessary and reasonable steps to achieve a DBE goal or other requirement of this part which, by their scope, intensity, and appropriateness to the objective, could reasonably be expected to obtain sufficient DBE participation, even if they were not fully successful.

II. In any situation in which you have established a contract goal, Part 26 requires you to use the good faith efforts mechanism of this part. As a recipient, you have the responsibility to make a fair and reasonable judgment whether a bidder that did not meet the goal made adequate good faith efforts. It is important for you to consider the quality, quantity, and intensity of the different kinds of efforts that the bidder has made, based on the regulations and the guidance in this Appendix.

The efforts employed by the bidder should be those that one could reasonably expect a bidder to take if the bidder were actively and aggressively trying to obtain DBE participation sufficient to meet the DBE contract goal. Mere pro forma efforts are not good faith efforts to meet the DBE contract requirements. We emphasize, however, that your determination concerning the sufficiency of the firm's good faith efforts is a judgment call. Determinations should not be made using quantitative formulas.

III. The Department also strongly cautions you against requiring that a bidder meet a contract goal (i.e., obtain a specified amount of DBE participation) in order to be awarded a contract, even though the bidder makes an adequate good faith efforts showing. This rule specifically prohibits you from ignoring bona fide good faith efforts.

IV. The following is a list of types of actions which you should consider as part of the bidder's good faith efforts to obtain DBE participation. It is not intended to be a mandatory checklist, nor is it intended to be exclusive or exhaustive. Other factors or types of efforts may be relevant in appropriate cases.

A. (1) Conducing market research to identify small business contractors and suppliers and soliciting through all reasonable and available means the interest of all certified DBEs that have the capability to perform the work of the contract. This may include attendance at pre-bid and business matchmaking meetings and events, advertising and/or written notices, posting of Notices of Sources Sought and/or Requests for Proposals, written notices or emails to all DBEs listed in the State’s directory of transportation firms that specialize in the areas of work desired (as noted in the DEB directory) and which are located in the area or surrounding areas of the project.

(2) The bidder should solicit this interest as early in the acquisition process as practicable to allow the DBEs to respond to the solicitation and submit a timely offer for the subcontract. The bidder should determine with certainty if the DBEs are interested by taking appropriate steps to follow up initial solicitations.

B. Selecting portions of the work to be performed by DBEs in order to increase the likelihood that the DBE goals will be achieved. This includes, where appropriate, breaking out contract work items into economically feasible units (for example, smaller tasks or quantities) to facilitate DBE participation, even when the prime contractor might otherwise prefer to perform these work items with its own forces. This may include, where possible, establishing flexible timeframes for performance and delivery schedules in a manner that encourages and facilitates DBE participation.

C. Providing interested DBEs with adequate information about the plans, specifications, and requirements of the contract in a timely manner to assist them in responding to a solicitation with their offer for the subcontract.

D. (1) Negotiating in good faith with interested DBEs. It is the bidder's responsibility to make a portion of the work available to DBE subcontractors and suppliers and to select those portions of the work or material needs consistent with the available DBE subcontractors and suppliers, so as to facilitate DBE participation. Evidence of such negotiation includes the names, addresses, and telephone numbers of DBEs that were considered; a description of the information provided regarding the plans and specifications for the work selected for subcontracting; and evidence as to why additional Agreements could not be reached for DBEs to perform the work.
(2) A bidder using good business judgment would consider a number of factors in negotiating with subcontractors, including DBE subcontractors, and would take a firm’s price and capabilities as well as contract goals into consideration. However, the fact that there may be some additional costs involved in finding and using DBEs is not in itself sufficient reason for a bidder’s failure to meet the contract DBE goal, as long as such costs are reasonable. Also, the ability or desire of a prime contractor to perform the work of a contract with its own organization does not relieve the bidder of the responsibility to make good faith efforts. Prime contractors are not, however, required to accept higher quotes from DBEs if the price difference is excessive or unreasonable.

E. (1) Not rejecting DBEs as being unqualified without sound reasons based on a thorough investigation of their capabilities. The contractor’s standing within its industry, membership in specific groups, organizations, or associations and political or social affiliations (for example union vs. non-union status) are not legitimate causes for the rejection or non-solicitation of bids in the contractor’s efforts to meet the project goal. Another practice considered an insufficient good faith effort is the rejection of the DBE because its quotation for the work was not the lowest received. However, nothing in this paragraph shall be construed to require the bidder or prime contractor to accept unreasonable quotes in order to satisfy contract goals.

(2) A prime contractor’s inability to find a replacement DBE at the original price is not alone sufficient to support a finding that good faith efforts have been made to replace the original DBE. The fact that the contractor has the ability and/or desire to perform the contract work with its own forces does not relieve the contractor of the obligation to make good faith efforts to find a replacement DBE, and it is not a sound basis for rejecting a prospective replacement DBE’s reasonable quote.

F. Making efforts to assist interested DBEs in obtaining bonding, lines of credit, or insurance as required by the recipient or contractor.

G. Making efforts to assist interested DBEs in obtaining necessary equipment, supplies, materials, or related assistance or services.

H. Effectively using the services of available minority/women community organizations; minority/women contractors’ groups; local, State, and Federal minority/women business assistance offices; and other organizations as allowed on a case-by-case basis to provide assistance in the recruitment and placement of DBEs.

V. In determining whether a bidder has made good faith efforts, it is essential to scrutinize its documented efforts. At a minimum, you must review the performance of other bidders in meeting the contract goal. For example, when the apparent successful bidder fails to meet the contract goal, but others meet it, you may reasonably raise the question of whether, with additional efforts, the apparent successful bidder could have met the goal. If the apparent successful bidder fails to meet the goal, but meets or exceeds the average DBE participation obtained by other bidders, you may view this, in conjunction with other factors, as evidence of the apparent successful bidder having made good faith efforts. As provided in §26.53(b)(2)(v), you must also require the contractor to submit copies of each DBE and non-DBE subcontractor quote submitted to the bidder when a non-DBE subcontractor was selected over a DBE for work on the contract to review whether DBE prices were substantially higher; and contact the DBEs listed on a contractor’s solicitation to inquire as to whether they were contacted by the prime. Pro forma mailings to DBEs requesting bids are not alone sufficient to satisfy good faith efforts under the rule.

VI. A promise to use DBEs after contract award is not considered to be responsive to the contract solicitation or to constitute good faith efforts.

[79 FR 59600, Oct. 2, 2014]
Section A: Awards and Commitments Made During This Period

The amounts in items 8(A)-10(1) should include all types of prime contracts awarded and all types of subcontracts awarded or committed, including: professional or consultant services, construction, purchase of materials or supplies, lease or purchase of equipment and any other types of services. All dollar amounts are to reflect only the Federal share of such contracts and should be rounded to the nearest dollar.

Line 8: Prime contracts awarded this period: The items on this line should correspond to the contracts directly between the recipient and a supply or service contractor, with no intermediaries between the two.

8(A). Provide the total dollar amount for all prime contracts assisted with DOT funds and awarded during this reporting period. This value should include the entire Federal share of the contracts without removing any amounts associated with resulting subcontracts.

8(B). Provide the total number of all prime contracts assisted with DOT funds and awarded during this reporting period.

8(C). From the total dollar amount awarded in item 8(A), provide the dollar amount awarded in prime contracts to certified DBE firms during this reporting period. This amount should not include the amounts sub contracted to other firms.

8(D). From the total number of prime contracts awarded in item 8(B), specify the number of prime contracts awarded to certified DBE firms during this reporting period.

8(E&F). This field is closed for data entry. Except for the very rare case of DBE-set asides permitted under 49 CFR part 26, all prime contracts awarded to DBES are regarded as race-neutral.

8(G). From the total dollar amount awarded in item 8(C), provide the dollar amount awarded to certified DBEs through the use of Race Neutral methods. See the definition of Race Neutral in item 7 and the explanation in item 8 of project types to include.

8(H). From the total number of prime contracts awarded in 8(D), specify the number awarded to DBEs through Race Neutral methods.

8(I). Of all prime contracts awarded this reporting period, calculate the percentage going to DBEs. Divide the dollar amount in item 8(C) by the dollar amount in item 8(A) to derive this percentage. Round percentage to the nearest tenth.

Line 9: Subcontracts awarded/committed this period: Items 9(A)-9(I) are derived in the same way as items 8(A)-8(I), except that these calculations should be based on subcontracts rather than prime contracts. Unlike prime contracts, which may only be awarded, subcontracts may be either awarded or committed.

9(A). If filling out the form for general reporting, provide the total dollar amount of subcontracts assisted with DOT funds awarded or committed during this period. This value should be a subset of the total dollars awarded in prime contracts in 8(A), and therefore should never be greater than the amount awarded in prime contracts. If filling out the form for project reporting, provide the total dollar amount of subcontracts assisted with DOT funds awarded or committed during this period. This value should be a subset of the total dollars awarded or previously in prime contracts in 8(A). The sum of all subcontract amounts in consecutive periods should never exceed the sum of all prime contract amounts awarded in those periods.

9(B). Provide the total number of all subcontracts assisted with DOT funds that were awarded or committed during this reporting period.

9(C). From the total dollar amount of subcontracts awarded/committed this period in item 9(A), provide the total dollar amount awarded in subcontracts to DBEs.
9(D). From the total number of sub contracts awarded or committed in item 9(B), specify the number of sub contracts awarded or committed to DBEs.

9(E). From the total dollar amount of sub contracts awarded or committed to DBEs this period, provide the amount in dollars to DBEs using Race Conscious measures.

9(F). From the total number of sub contracts awarded or committed to DBEs this period, provide the number of sub contracts awarded or committed to DBEs using Race Conscious measures.

9(G). From the total dollar amount of sub contracts awarded or committed to DBEs this period, provide the amount in dollars to DBEs using Race Neutral measures.

9(H). From the total number of sub contracts awarded or committed to DBEs this period, provide the number of sub contracts awarded to DBEs using Race Neutral measures.

9(I). Of all subcontracts awarded this reporting period, calculate the percentage going to DBEs. Divide the dollar amount in item 9(C) by the dollar amount in item 9(A) to derive this percentage. Round percentage to the nearest tenth.

Section B: Breakdown by Ethnicity & Gender of Contracts Awarded to DBEs This Period

11-17. Further breakdown the contracting activity with DBE involvement. The Total Dollar Amount to DBEs in 17(C) should equal the Total Dollar Amount to DBEs in 10(C). Likewise the total number of contracts to DBEs in 17(F) should equal the Total Number of Contracts to DBEs in 10(D).

Line 16: The “Non-Minority” category is reserved for any firms whose owners are not members of the presumptively disadvantaged groups already listed, but who are either “women” OR eligible for the DBE program on an individual basis. All DBE firms must be certified by the Unified Certification Program to be counted in this report.

Section C: Payments on Ongoing Contracts

Line 18(A-E). Submit information on contracts that are currently in progress. All dollar amounts are to reflect only the Federal share of such contracts, and should be rounded to the nearest dollar.

18(A). Provide the total dollar amount paid to all firms performing work on contracts.

18(B). Provide the total number of contracts where work was performed during the reporting period.

18(C). From the total number of contracts provided in 18(A) provide the total number of contracts that are currently being performed by DBE firms for which payments have been made.

18(D). From the total dollar amount paid to all firms in 18(A), provide the total dollar value paid to DBE firms currently performing work during this period.

18(E). Provide the total number of DBE firms that received payment during this reporting period. For example, while 3 contracts may be active during this period, one DBE firm may be providing supplies or services on all three contracts. This field should only list the number of DBE firms performing work.

18(F). Of all payments made during this period, calculate the percentage going to DBEs. Divide the total dollar value to DBEs in item 18(D) by the total dollars of all payments in 18(B). Round percentage to the nearest tenth.

Section D: Actual Payments on Contracts Completed This Reporting Period

This section should provide information only on contracts that are closed during this period. All dollar amounts are to reflect the entire Federal share of such contracts, and should be rounded to the nearest dollar.

19(A). Provide the total number of contracts completed during this reporting period that used Race Conscious measures. Race Conscious contracts are those with contract goals or another race conscious measure.
19(B). Provide the total dollar value of prime contracts completed this reporting period that had race conscious measures.

19(C). From the total dollar value of prime contracts completed this period in 19(B), provide the total dollar amount of dollars awarded or committed to DBE firms in order to meet the contract goals. This applies only to Race Conscious contracts.

19(D). Provide the actual total DBE participation in dollars on the race conscious contracts completed this reporting period.

19(E). Of all the contracts completed this reporting period using Race Conscious measures, calculate the percentage of DBE participation. Divide the total dollar amount to DBEs in item 19(D) by the total dollar value provided in 19(B) to derive this percentage. Round to the nearest tenth.

20(A)-20(E). Items 21(A)-21(E) are derived in the same manner as items 19(A)-19(E), except these figures should be based on contracts completed using Race Neutral measures.

20(C). This field is closed.

21(A)-21(D). Calculate the totals for each column by adding the race conscious and neutral figures provided in each row above.

21(C). This field is closed.

21(E). Calculate the overall percentage of dollars to DBEs on completed contracts. Divide the Total DBE participation dollar value in 21(D) by the Total Dollar Value of Contracts Completed in 21(B) to derive this percentage. Round to the nearest tenth.

23. Name of the Authorized Representative preparing this form.

24. Signature of the Authorized Representative.

25. Phone number of the Authorized Representative.

**Submit your completed report to your Regional or Division Office.**
The purpose of this program element is to further the development of DBEs, including but not limited to assisting them to move into non-traditional areas of work and/or compete in the marketplace outside the DBE program, via the provision of training and assistance from the recipient.

(A) Each firm that participates in a recipient's business development program (BDP) program is subject to a program term determined by the recipient. The term should consist of two stages; a developmental stage and a transitional stage.

(B) In order for a firm to remain eligible for program participation, it must continue to meet all eligibility criteria contained in part 26.

(C) By no later than 6 months of program entry, the participant should develop and submit to the recipient a comprehensive business plan setting forth the participant's business targets, objectives, and goals. The participant will not be eligible for program benefits until such business plan is submitted and approved by the recipient. The approved business plan will constitute the participant's short and long term goals and the strategy for developmental growth to the point of economic viability in non-traditional areas of work and/or work outside the DBE program.

(D) The business plan should contain at least the following:

(1) An analysis of market potential, competitive environment and other business analyses estimating the program participant's prospects for profitable operation during the term of program participation and after graduation from the program.

(2) An analysis of the firm's strengths and weaknesses, with particular attention paid to the means of correcting any financial, managerial, technical, or labor conditions which could impede the participant from receiving contracts other than those in traditional areas of DBE participation.

(3) Specific targets, objectives, and goals for the business development of the participant during the next two years, utilizing the results of the analysis conducted pursuant to paragraphs (C) and (D)(1) of this appendix;

(4) Estimates of contract awards from the DBE program and from other sources which are needed to meet the objectives and goals for the years covered by the business plan;

(5) Such other information as the recipient may require.

(E) Each participant should annually review its currently approved business plan with the recipient and modify the plan as may be appropriate to account for any changes in the firm's structure and redefined needs. The currently approved plan should be considered the applicable plan for all program purposes until the recipient approves in writing a modified plan. The recipient should establish an anniversary date for review of the participant's business plan and contract forecasts.

(F) Each participant should annually forecast in writing its need for contract awards for the next program year and the succeeding program year during the review of its business plan conducted under paragraph (E) of this appendix. Such forecast should be included in the participant's business plan. The forecast should include:

(1) The aggregate dollar value of contracts to be sought under the DBE program, reflecting compliance with the business plan;

(2) The aggregate dollar value of contracts to be sought in areas other than traditional areas of DBE participation;

(3) The types of contract opportunities being sought, based on the firm's primary line of business; and

(4) Such other information as may be requested by the recipient to aid in providing effective business development assistance to the participant.

(G) Program participation is divided into two stages; (1) a developmental stage and (2) a transitional stage. The developmental stage is designed to assist participants to overcome their social and economic disadvantage by providing such assistance as may be necessary and appropriate to enable them to access relevant markets and strengthen their financial and managerial skills. The transitional stage of program participation follows the developmental stage and is designed to assist participants to overcome, insofar as practical, their social and economic disadvantage and to prepare the participant for leaving the program.

(H) The length of service in the program term should not be a pre-set time frame for either the developmental or transitional stages but should be figured on the number of years considered necessary in normal progression of achieving the firm's established goals and objectives. The setting of such time could be factored on such items as, but not limited to, the number of contracts, aggregate amount of the contract received, years in business, growth potential, etc.

(I) Beginning in the first year of the transitional stage of program participation, each participant should annually submit for inclusion in its business plan a transition management plan outlining specific steps to promote profitable business operations in areas other than traditional areas of DBE participation after graduation from the program. The transition
management plan should be submitted to the recipient at the same time other modifications are submitted pursuant to the annual review under paragraph (E) of this section. The plan should set forth the same information as required under paragraph (F) of steps the participant will take to continue its business development after the expiration of its program term.

(J) When a participant is recognized as successfully completing the program by substantially achieving the targets, objectives and goals set forth in its program term, and has demonstrated the ability to compete in the marketplace, its further participation within the program may be determined by the recipient.

(K) In determining whether a concern has substantially achieved the goals and objectives of its business plan, the following factors, among others, should be considered by the recipient:

1. Profitability;
2. Sales, including improved ratio of non-traditional contracts to traditional-type contracts;
3. Net worth, financial ratios, working capital, capitalization, access to credit and capital;
4. Ability to obtain bonding;
5. A positive comparison of the DBE's business and financial profile with profiles of non-DBE businesses in the same area or similar business category; and
6. Good management capacity and capability.

(L) Upon determination by the recipient that the participant should be graduated from the developmental program, the recipient should notify the participant in writing of its intent to graduate the firm in a letter of notification. The letter of notification should set forth findings, based on the facts, for every material issue relating to the basis of the program graduation with specific reasons for each finding. The letter of notification should also provide the participant 45 days from the date of service of the letter to submit in writing information that would explain why the proposed basis of graduation is not warranted.

(M) Participation of a DBE firm in the program may be discontinued by the recipient prior to expiration of the firm's program term for good cause due to the failure of the firm to engage in business practices that will promote its competitiveness within a reasonable period of time as evidenced by, among other indicators, a pattern of inadequate performance or unjustified delinquent performance. Also, the recipient can discontinue the participation of a firm that does not actively pursue and bid on contracts, and a firm that, without justification, regularly fails to respond to solicitations in the type of work it is qualified for and in the geographical areas where it has indicated availability under its approved business plan. The recipient should take such action if over a 2-year period a DBE firm exhibits such a pattern.

Appendix D to Part 26—Mentor-Protégé Program Guidelines

(A) The purpose of this program element is to further the development of DBEs, including but not limited to assisting them to move into non-traditional areas of work and/or compete in the marketplace outside the DBE program, via the provision of training and assistance from other firms. To operate a mentor-protégé program, a recipient must obtain the approval of the concerned operating administration.

(B)(1) Any mentor-protégé relationship shall be based on a written development plan, approved by the recipient, which clearly sets forth the objectives of the parties and their respective roles, the duration of the arrangement and the services and resources to be provided by the mentor to the protégé. The formal mentor-protégé agreement may set a fee schedule to cover the direct and indirect cost for such services rendered by the mentor for specific training and assistance to the protégé through the life of the agreement. Services provided by the mentor may be reimbursable under the FTA, FHWA, and FAA programs.

(2) To be eligible for reimbursement, the mentor's services provided and associated costs must be directly attributable and properly allowable to specific individual contracts. The recipient may establish a line item for the mentor to quote the portion of the fee schedule expected to be provided during the life of the contract. The amount claimed shall be verified by the recipient and paid on an incremental basis representing the time the protégé is working on the contract. The total individual contract figures accumulated over the life of the agreement shall not exceed the amount stipulated in the original mentor-protégé agreement.

(C) DBEs involved in a mentor-protégé agreement must be independent business entities which meet the requirements for certification as defined in subpart D of this part. A protégé firm must be certified before it begins participation in a mentor-protégé arrangement. If the recipient chooses to recognize mentor-protégé agreements, it should establish formal general program guidelines. These guidelines must be submitted to the operating administration for approval prior to the recipient executing an individual contractor/subcontractor mentor-protégé agreement.
Appendix E to Part 26—Individual Determinations of Social and Economic Disadvantage

The following guidance is adapted, with minor modifications, from SBA regulations concerning social and economic disadvantage determinations (see 13 CFR 124.103(c) and 124.104).

SOCIAL DISADVANTAGE

I. Socially disadvantaged individuals are those who have been subjected to racial or ethnic prejudice or cultural bias within American society because of their identities as members of groups and without regard to their individual qualities. Social disadvantage must stem from circumstances beyond their control. Evidence of individual social disadvantage must include the following elements:

(A) At least one objective distinguishing feature that has contributed to social disadvantage, such as race, ethnic origin, gender, disability, long-term residence in an environment isolated from the mainstream of American society, or other similar causes not common to individuals who are not socially disadvantaged;

(B) Personal experiences of substantial and chronic social disadvantage in American society, not in other countries; and

(C) Negative impact on entry into or advancement in the business world because of the disadvantage. Recipients will consider any relevant evidence in assessing this element. In every case, however, recipients will consider education, employment and business history, where applicable, to see if the totality of circumstances shows disadvantage in entering into or advancing in the business world.

(1) Education. Recipients will consider such factors as denial of equal access to institutions of higher education and vocational training, exclusion from social and professional association with students or teachers, denial of educational honors rightfully earned, and social patterns or pressures which discouraged the individual from pursuing a professional or business education.

(2) Employment. Recipients will consider such factors as unequal treatment in hiring, promotions and other aspects of professional advancement, pay and fringe benefits, and other terms and conditions of employment; retaliatory or discriminatory behavior by an employer or labor union; and social patterns or pressures which have channelled the individual into non-professional or non-business fields.

(3) Business History. The recipient will consider such factors as unequal access to credit or capital, acquisition of credit or capital under commercially unfavorable circumstances, unequal treatment in opportunities for government contracts or other work, unequal treatment by potential customers and business associates, and exclusion from business or professional organizations.

II. With respect to paragraph I(A) of this appendix, the Department notes that people with disabilities have disproportionately low incomes and high rates of unemployment. Many physical and attitudinal barriers remain to their full participation in education, employment, and business opportunities available to the general public. The Americans with Disabilities Act (ADA) was passed in recognition of the discrimination faced by people with disabilities. It is plausible that many individuals with disabilities—especially persons with severe disabilities (e.g., significant mobility, vision, or hearing impairments)—may be socially and economically disadvantaged.

III. Under the laws concerning social and economic disadvantage, people with disabilities are not a group presumed to be disadvantaged. Nevertheless, recipients should look carefully at individual showings of disadvantage by individuals with disabilities, making a case-by-case judgment about whether such an individual meets the criteria of this appendix. As public entities subject to Title II of the ADA, recipients must also ensure their DBE programs are accessible to individuals with disabilities. For example, physical barriers or the lack of application and information materials in accessible formats cannot be permitted to thwart the access of potential applicants to the certification process or other services made available to DBEs and applicants.

ECONOMIC DISADVANTAGE

(A) General. Economically disadvantaged individuals are socially disadvantaged individuals whose 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 disadvantaged.

(B) Submission of narrative and financial information. (1) Each individual claiming economic disadvantage must describe the conditions which are the basis for the claim in a narrative statement, and must submit personal financial information.

(2) [Reserved]
(C) Factors to be considered. In considering diminished capital and credit opportunities, recipients will examine factors relating to the personal financial condition of any individual claiming disadvantaged status, including personal income for the past two years (including bonuses and the value of company stock given in lieu of cash), personal net worth, and the fair market value of all assets, whether encumbered or not. Recipients will also consider the financial condition of the applicant compared to the financial profiles of small businesses in the same primary industry classification, or, if not available, in similar lines of business, which are not owned and controlled by socially and economically disadvantaged individuals in evaluating the individual's access to credit and capital. The financial profiles that recipients will compare include total assets, net sales, pre-tax profit, sales/working capital ratio, and net worth.

(D) Transfers within two years. (1) Except as set forth in paragraph (D)(2) of this appendix, recipients will attribute to an individual claiming disadvantaged status any assets which that individual has transferred to an immediate family member, or to a trust, a beneficiary of which is an immediate family member, for less than fair market value, within two years prior to a concern's application for participation in the DBE program, unless the individual claiming disadvantaged status can demonstrate that the transfer is to or on behalf of an immediate family member for that individual's education, medical expenses, or some other form of essential support.

(2) Recipients will not attribute to an individual claiming disadvantaged status any assets transferred by that individual to an immediate family member that are consistent with the customary recognition of special occasions, such as birthdays, graduations, anniversaries, and retirements.

(3) In determining an individual's access to capital and credit, recipients may consider any assets that the individual transferred within such two-year period described by paragraph (D)(1) of this appendix that are not considered in evaluating the individual's assets and net worth (e.g., transfers to charities).

Section 3: MAJORITY OWNER INFORMATION

A. Identify the majority owner of the firm having 50% or more ownership interest.

<table>
<thead>
<tr>
<th>Full Name</th>
<th>Title</th>
<th>Business Phone</th>
</tr>
</thead>
<tbody>
<tr>
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<table>
<thead>
<tr>
<th>(a) Is there any other firm that has an ownership interest in your firm?</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>(b) Percentage owned by the majority owner on the date of the application</td>
<td>50%</td>
<td></td>
</tr>
</tbody>
</table>

| (c) Relationship of the majority owner to the firm or individual |  |

B. Additional Ownership Information

(c) Describe the relationship of the majority owner to the firm or individual.

(d) Describe any management or supervisory function the majority owner performs or supervises at the firm.

(e) Has the majority owner been a director, officer, general partner, or controlling person of any other business or organization that has had a direct or indirect financial interest in the firm in the past 5 years? Yes | No |

(f) Is the majority owner an officer of any other business or organization that has had a direct or indirect financial interest in the firm in the past 5 years? Yes | No |

(g) Has the majority owner ever been associated with any business or organization that has had a direct or indirect financial interest in the firm in the past 5 years? Yes | No |

(h) Has the majority owner ever been associated with any business or organization that has had a direct or indirect financial interest in the firm in the past 5 years? Yes | No |

I. OTHER INFORMATION

(a) Name of the majority owner or any other individual who has an ownership interest of 5% or more. |  |

(b) Address of the majority owner or any other individual who has an ownership interest of 5% or more. |  |

(c) Telephone number of the majority owner or any other individual who has an ownership interest of 5% or more. |  |

(d) Residential telephone number of the majority owner or any other individual who has an ownership interest of 5% or more. |  |

(e) E-mail address of the majority owner or any other individual who has an ownership interest of 5% or more. |  |

(f) Has the majority owner ever been associated with any business or organization that has had a direct or indirect financial interest in the firm in the past 5 years? Yes | No |

(g) Has the majority owner ever been associated with any business or organization that has had a direct or indirect financial interest in the firm in the past 5 years? Yes | No |

(h) Has the majority owner ever been associated with any business or organization that has had a direct or indirect financial interest in the firm in the past 5 years? Yes | No |

I. OTHER INFORMATION

(a) Has the majority owner ever been associated with any business or organization that has had a direct or indirect financial interest in the firm in the past 5 years? Yes | No |

(b) Has the majority owner ever been associated with any business or organization that has had a direct or indirect financial interest in the firm in the past 5 years? Yes | No |

(c) Has the majority owner ever been associated with any business or organization that has had a direct or indirect financial interest in the firm in the past 5 years? Yes | No |

(d) Has the majority owner ever been associated with any business or organization that has had a direct or indirect financial interest in the firm in the past 5 years? Yes | No |

(e) Has the majority owner ever been associated with any business or organization that has had a direct or indirect financial interest in the firm in the past 5 years? Yes | No |

(f) Has the majority owner ever been associated with any business or organization that has had a direct or indirect financial interest in the firm in the past 5 years? Yes | No |

(g) Has the majority owner ever been associated with any business or organization that has had a direct or indirect financial interest in the firm in the past 5 years? Yes | No |

(h) Has the majority owner ever been associated with any business or organization that has had a direct or indirect financial interest in the firm in the past 5 years? Yes | No |

I. OTHER INFORMATION

(a) Has the majority owner ever been associated with any business or organization that has had a direct or indirect financial interest in the firm in the past 5 years? Yes | No |

(b) Has the majority owner ever been associated with any business or organization that has had a direct or indirect financial interest in the firm in the past 5 years? Yes | No |

(c) Has the majority owner ever been associated with any business or organization that has had a direct or indirect financial interest in the firm in the past 5 years? Yes | No |

(d) Has the majority owner ever been associated with any business or organization that has had a direct or indirect financial interest in the firm in the past 5 years? Yes | No |

(e) Has the majority owner ever been associated with any business or organization that has had a direct or indirect financial interest in the firm in the past 5 years? Yes | No |

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(g) Has the majority owner ever been associated with any business or organization that has had a direct or indirect financial interest in the firm in the past 5 years? Yes | No |

(h) Has the majority owner ever been associated with any business or organization that has had a direct or indirect financial interest in the firm in the past 5 years? Yes | No |
2. Complete for all Officers, Directors, Managers, and Key Personnel who control the following functions for the Bank (rank equivalent or higher):

<table>
<thead>
<tr>
<th>Name</th>
<th>Function</th>
<th>Frequency</th>
<th>Rank and Grade</th>
<th>Age</th>
<th>Gender</th>
<th>How Often</th>
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3. List any other income or property owned by the applicant or any other person or firm having control or management over the applicant.

<table>
<thead>
<tr>
<th>Name</th>
<th>Source of Income</th>
<th>Amount</th>
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ATTACHMENT 2

Organizational Chart

City Of Hammond
310 East Charles St
Hammond LA 70404

David Lobue, Airport
PH (985) 277-5667

Beth Yokum, Airport Assistant
PH (985) 277-5668
ATTACHMENT 3

Bidders List Collection Form
In accordance with Section 26.11 Record Keeping Requirements – Bidders List: 26.11(C), this form shall be completed by each firm and all subcontractors quoting on the project as indicated above.

<table>
<thead>
<tr>
<th>Name of Bidder</th>
<th>Address</th>
<th>DBE Status (Check Box as applicable)</th>
<th>Age of Firm</th>
<th>Type(s) of Work</th>
<th>Annual Gross Receipts (Check Box as applicable)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>[ ] DBE</td>
<td></td>
<td></td>
<td>[ ] Less than $500,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td>[ ] Non DBE</td>
<td></td>
<td></td>
<td>[ ] $500,000-$1 million</td>
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<td>[ ] $1 million-$2 million</td>
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<td>[ ] $2 million-$5 million</td>
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<td>[ ] $5 million and above</td>
</tr>
</tbody>
</table>

(Duplicate form as necessary.)
ALL DBE Certified Contractors for the Letting of 5/11/2016 LA DOTD Headquarters

This list is to be used for the following proposals:
H.001689.6, H.007259.6, H.009522.6, H.009547.6, H.009556.6, H.010024.6, H.010275.6, H.010300.6, H.010344.6, H.010379.6, H.010391.6, H.010398.6-Rl, H.001341.6, H.010901.6, H.011575.6, H.001230.6, H.011236.6

The following is a list of those firms currently certified by the Louisiana Department of Transportation and Development as Disadvantaged and/or Women Business Enterprises. Only these firms are certified eligible to participate for work or services to be counted toward contract goals for the above stated projects.

It is the Prime Contractor’s responsibility to ensure only properly licensed contractors perform work in excess of $50,000. While it is not necessary to be licensed to bid Federal Aid Projects, the license must be obtained prior to issuance of a Notice To Proceed. Questions regarding licensing should be directed to the State Licensing Board For Contractors, (225) 765-2301.

This list is not an endorsement or guarantee of capability, dependability, or availability of any firm listed. Credit for DBE/WBE participation will only be given for use of certified firms who perform a commercially useful function in accordance with 49CFR26.

Should you have any questions concerning the information contained in this list, please contact the Compliance Programs Section, (225) 379-1382 or Email: Remy.Graves@dotd.la.gov

Select by Agency
- All
- DOTD

Select list by work code

<table>
<thead>
<tr>
<th>Contractor Address</th>
<th>City, State Zip</th>
<th>Owner</th>
<th>Work Type</th>
<th>Type</th>
<th>Minority</th>
<th>Phone</th>
<th>Fax</th>
<th>Date Certified License #</th>
</tr>
</thead>
<tbody>
<tr>
<td>1ST RESOURCE SOLUTIONS, LLC</td>
<td>1811 N DIAMONT DRIVE</td>
<td>MARRION, IN 46052</td>
<td>SANDERS, DARRYL</td>
<td>C73-Broker Fees for Construction Materials</td>
<td>MINORITY BUSINESS ENTERPRISE</td>
<td>BLACK</td>
<td>765-618-8800</td>
<td>888-499-1527</td>
</tr>
<tr>
<td>216 RESOURCES, INC.</td>
<td>10700 RICHMOND AVE. SUITE 134</td>
<td>HOUSTON, TX 77042</td>
<td>WILLIAMS, H. 11</td>
<td>MINORITY BUSINESS ENTERPRISE</td>
<td>BLACK</td>
<td>713-975-8800</td>
<td>888-442-8054</td>
<td>511/2009</td>
</tr>
<tr>
<td>2R Construction, LLC</td>
<td>2913 LAKEWOOD DRIVE</td>
<td>VIOLET, LA 70092</td>
<td>ROMANO L.</td>
<td>MINORITY BUSINESS ENTERPRISE</td>
<td>BLACK</td>
<td>504-915-5051</td>
<td>504-592-7866</td>
<td>3/16/2016</td>
</tr>
<tr>
<td>360 TRUCKING, LLC</td>
<td>7510 CANAL STREET</td>
<td>NEW ORLEANS, LA 70124</td>
<td>ZOLLER KEIFER, ANNE</td>
<td>MINORITY BUSINESS ENTERPRISE</td>
<td>WHITE WOMEN BUSINESS ENTERPRISE</td>
<td>OTHER</td>
<td>504-329-7882</td>
<td>504-368-7573</td>
</tr>
<tr>
<td>A &amp; A Enterprises, Inc.</td>
<td>34 23RD STREET</td>
<td>KENNER, LA 70062</td>
<td>ALBAN, GAIL</td>
<td>MINORITY BUSINESS ENTERPRISE</td>
<td>WHITE WOMEN BUSINESS ENTERPRISE</td>
<td>OTHER</td>
<td>504-468-2527</td>
<td>504-468-2734</td>
</tr>
<tr>
<td>A CUBED CORPORATION</td>
<td>3014 9TH STREET</td>
<td>NEW ORLEANS, LA 70174</td>
<td>BAKER, FRED</td>
<td>MINORITY BUSINESS ENTERPRISE</td>
<td>BLACK</td>
<td>504-523-9622</td>
<td>504-200-5114</td>
<td>3/14/2010</td>
</tr>
<tr>
<td>Name</td>
<td>Address</td>
<td>City, State, Zip</td>
<td>C74-Construction Management</td>
<td>Black, Other, Hispanic, Minority Business Enterprise</td>
<td>White Women Business Enterprise</td>
<td>Email</td>
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<tr>
<td>A-1 AMERICAN FENCE, INC.</td>
<td>901 EAST LUTHER DR</td>
<td>ORANGE, TX 77632</td>
<td>C74-Construction Management, G90-No Item, 610-Supply of Fence and Guardrail, 704-Guardrails, 705-Fences</td>
<td>Black</td>
<td>Other</td>
<td><a href="mailto:andrea@aandeenterprise.com">andrea@aandeenterprise.com</a></td>
<td></td>
<td></td>
</tr>
<tr>
<td>A-T SPECIALTIES, LLC</td>
<td>P.O. BOX 4157</td>
<td>NEW ORLEANS, LA 70178-4157</td>
<td></td>
<td></td>
<td></td>
<td><a href="mailto:tony.asberry@atspecialties.com">tony.asberry@atspecialties.com</a></td>
<td></td>
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</tr>
<tr>
<td>A. O. GASTON CONSTRUCTION COMPANY, INC.</td>
<td>8207 NORTHERN AVENUE, SUITE 150</td>
<td>BIRMINGHAM, AL 35203</td>
<td>BC-1 Building Construction</td>
<td>Minority Business Enterprise</td>
<td></td>
<td><a href="mailto:info@agaston.com">info@agaston.com</a></td>
<td></td>
<td></td>
</tr>
<tr>
<td>A.L. RICHARD, LLC</td>
<td>11441 ALMONASTER STREET</td>
<td>NEW ORLEANS, LA 70129</td>
<td></td>
<td>Minority Business Enterprise</td>
<td></td>
<td><a href="mailto:lbryj@rbin.com">lbryj@rbin.com</a></td>
<td></td>
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</tr>
<tr>
<td>A.T. CONTRACTORS</td>
<td>527 SCHOOL STREET</td>
<td>HOUMA, LA 70360</td>
<td></td>
<td></td>
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<td><a href="mailto:absoluthireserv@gmail.com">absoluthireserv@gmail.com</a></td>
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<td>ABBIGAIL A. BROWN CONSULTING, LLC</td>
<td>5956 COLLEGE DRIVE</td>
<td>BATON ROUGE, LA 70806-</td>
<td>C74-Construction Management</td>
<td>White Women Business Enterprise</td>
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<td><a href="mailto:abbigail@aabconsultingllc.com">abbigail@aabconsultingllc.com</a></td>
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<td>ABM ENTERPRISES, INC.</td>
<td>3246 BEHRMAN PL</td>
<td>NEW ORLEANS, LA 70116</td>
<td>BC-1 Building Construction, C74-Construction Management</td>
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<td></td>
<td>abm.email@abmenterprise_com</td>
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<tr>
<td>ABBE CONSTRUCTION COMPANY</td>
<td>7416 JAMES FORD ROAD</td>
<td>NEW ORLEANS, LA 70127</td>
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<td><a href="mailto:atransform@att.net">atransform@att.net</a></td>
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<td>700 JOHNSON AVENUE</td>
<td>NEW ORLEANS, LA 70118</td>
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<td><a href="mailto:info@abcconstr.com">info@abcconstr.com</a></td>
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<td>ABF ENTERPRISES, INC.</td>
<td>1401 REGAL AVENUE</td>
<td>NEW ORLEANS, LA 70116</td>
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<td><a href="mailto:info@abfenterprises.com">info@abfenterprises.com</a></td>
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<tr>
<td>ABSOLUTE CONCRETE SERVICES, LLC</td>
<td>4212 CHEF MENTEUR HIGHWAY</td>
<td>NEW ORLEANS, LA 70129</td>
<td></td>
<td></td>
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<td><a href="mailto:albholmes@absoluteconcrete.com">albholmes@absoluteconcrete.com</a></td>
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<td>627 SCHOOL STREET, NOUHA, LA 70360</td>
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<td>627 SCHOOL STREET, NOUHA, LA 70360</td>
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<td>AC Sweepers and Maintenance, Inc.</td>
<td>3620 Main Street NW</td>
<td>Carla Maynard</td>
<td>202-423-5640</td>
<td><a href="mailto:acscanewsawnorthindustrialparkwy@gmail.com">acscanewsawnorthindustrialparkwy@gmail.com</a></td>
<td>Biomedical, Environmental Impact Assessments, Environmental Remediation, Erosion Control, Erosion Control Systems</td>
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<tr>
<td>Acadia Environmental, Inc.</td>
<td>PO Box 236</td>
<td>Brent Costo</td>
<td>318-470-1917</td>
<td><a href="mailto:bpaulson@acsgroup.net">bpaulson@acsgroup.net</a></td>
<td>Biomedical, Environmental Impact Assessments, Environmental Remediation, Erosion Control, Erosion Control Systems</td>
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<tr>
<td>Accuray Services &amp; Transportation, LLC</td>
<td>5605 Highway 71</td>
<td>Brent Costo</td>
<td>337-392-8932</td>
<td><a href="mailto:aceservic@kricket.net">aceservic@kricket.net</a></td>
<td>Biomedical, Environmental Impact Assessments, Environmental Remediation, Erosion Control, Erosion Control Systems</td>
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<tr>
<td>Ace Group</td>
<td>1001 Maple Circle</td>
<td>Janura Paulson</td>
<td>337-238-4190</td>
<td><a href="mailto:acegroup@kricket.net">acegroup@kricket.net</a></td>
<td>Biomedical, Environmental Impact Assessments, Environmental Remediation, Erosion Control, Erosion Control Systems</td>
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<tr>
<td>Actuarial Insurance Data Analysis Consulting</td>
<td>44 Dias Street</td>
<td>Maureen Lubin</td>
<td>337-342-3853</td>
<td><a href="mailto:mlubin@aadc.com">mlubin@aadc.com</a></td>
<td>Biomedical, Environmental Impact Assessments, Environmental Remediation, Erosion Control, Erosion Control Systems</td>
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<tr>
<td>Advanced Engineering Design, Inc.</td>
<td>825 Balmoral Road Suite 426</td>
<td>Brenda Terence</td>
<td>301-643-2112</td>
<td><a href="mailto:info@advancedengineeringdesign.com">info@advancedengineeringdesign.com</a></td>
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<td>Advanced Environmental Consulting, Inc.</td>
<td>3430 Executive Place Suite 2A</td>
<td>Deonna King</td>
<td>601-362-1788</td>
<td><a href="mailto:djking@advancedenvironmentalconsult.com">djking@advancedenvironmentalconsult.com</a></td>
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<td>Advanced Mechanical, Inc.</td>
<td>4914 Major Drive</td>
<td>Brent Costo</td>
<td>337-392-8932</td>
<td><a href="mailto:aceservic@kricket.net">aceservic@kricket.net</a></td>
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<td>Advantage Manhole &amp; Concrete Services</td>
<td>PO Box 8447</td>
<td>Patrick Williams</td>
<td>7138802255</td>
<td><a href="mailto:advantage@acsweepers.com">advantage@acsweepers.com</a></td>
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<td>Advect</td>
<td>Computer Systems</td>
<td>835482784</td>
<td>HISPANIC</td>
<td>Hunter Sea</td>
<td>245 First Street Suite 1800</td>
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<td>Aerial Data Service, Inc.</td>
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<td>8301 E 3151ST, STE 106</td>
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<td>TULSA, OK 74145</td>
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<td>6060 CARTIER AVENUE</td>
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<td>NEW ORLEANS, LA 70122</td>
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<td>5801E51ST,STE100</td>
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<td>NEW ORLEANS, LA 70122</td>
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<td>AIR PROJECTS, INC.</td>
<td>Engineering</td>
<td>908 KING STREET SUITE 408E</td>
<td>WHITE WOMEN BUSINESS ENTERPRISE</td>
<td>King, Amtia</td>
<td>ALEXANDRIA, VA 22314</td>
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<td>AIRCO SERVICES, LLC</td>
<td>Engineering</td>
<td>1600 WELLS ISLAND ROAD</td>
<td>MINORITY BUSINESS ENTERPRISE</td>
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<td>Shreveport, LA 71102</td>
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<td>AIRPORT BUSINESS ENTERPRISE, LLC</td>
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<td>Airport Contractors Services</td>
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<td>8264 Shady Lynn Court</td>
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<td>Wesley, Eric</td>
<td>Orlando, FL 32810</td>
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<td>AIRWARE TRANSPORTATION &amp; LOGISTICS, LLC</td>
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<td>912 NORTH WEST STREET</td>
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<td>JACKSON, MS 37202</td>
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<td>A's Pest Control Service, Inc.</td>
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<td>ALARM DETECTION AND SUPPRESSION DBA A</td>
<td>Security Systems</td>
<td>30 VETERANS BLVD</td>
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<td>ALEXIS PAINTING COMPANY</td>
<td>Painting</td>
<td>7220 SHUBRICK STREET</td>
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<td>ALEXIS, LINCOLN</td>
<td>811 Painting and Protective Coatings</td>
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<td>504-737-4717</td>
<td><a href="mailto:lincolnalexis46@yahoo.com">lincolnalexis46@yahoo.com</a></td>
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<tr>
<td>ALL STATE PROTECTIVE SERVICE</td>
<td>PO BOX 162</td>
<td>WILLIAMS, MIRT III</td>
<td>225-346-0974</td>
<td><a href="mailto:rawilliams@npusa.com">rawilliams@npusa.com</a></td>
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<tr>
<td>ALL THE WAY CLEAN CAR WASH</td>
<td>6374 DIANNE ST</td>
<td>JANET HOLLIDAY</td>
<td>504-402-5608</td>
<td><a href="mailto:allthewaycleanerswash14@gmail.com">allthewaycleanerswash14@gmail.com</a></td>
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<td>ALLLEN ACCOUNTING &amp; CONSULTING, LLC</td>
<td>4410 GEN DEGAULLE DR, SUITE 207</td>
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<td>ALLLEN HART, LLC</td>
<td>7620 ZIMPFL STREET</td>
<td>ALLEN-HART, MICHELLE</td>
<td>504-450-6241</td>
<td><a href="mailto:mailenhart@allenhartlaw.com">mailenhart@allenhartlaw.com</a></td>
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<td>ALLIANCE MEDICAL EQUIPMENT &amp; SUPPLY, INC</td>
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<td>GAYLE HEATH</td>
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<td>ALLIANCE TRANSPORTATION GROUP, INC</td>
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<td>Alldorbe Project Management</td>
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<td>ALPHA AND OMEGA, LLC</td>
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<td>ALTERNATIVE SOURCE, INC</td>
<td>2601 N. HULLEN STREET, SUITE 101</td>
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<td><a href="mailto:holliday@alternativesourceinc.com">holliday@alternativesourceinc.com</a></td>
<td>RED-Skyscraper and Parking Structure Construction, B01-Roofing, B03-Masonry, B52-Commercial Painting, B57-Flourishing, B87-Drywall Contractor, C09 Civil Engineering, C74-Construction Management</td>
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<td>THOMAS, KEITH A</td>
<td><a href="mailto:dbhbuildingservice@gmail.com">dbhbuildingservice@gmail.com</a></td>
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<td>AMERICA SIGN &amp; LIGHTING, LLC</td>
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<td>NEW ORLEANS, LA 70126</td>
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<td><a href="mailto:dhobbs@afognak.com">dhobbs@afognak.com</a></td>
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<td>AMERICAN INFRASTRUCTURE DEVELOPMENT, INC</td>
<td>BC-Building Construction, B06-HVAC America, B09-Mechanical Engineering, B52-Commercial Painting, B80-Wall Covering and Painting, B87-Drywall Contractor</td>
<td>WHITE WOMEN BUSINESS ENTERPRISE</td>
<td>TAMPA, FL 33618</td>
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<td><a href="mailto:sahina@aidinc.us">sahina@aidinc.us</a></td>
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<td>American Native Veterans of Louisiana</td>
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<td>727-Mobilization, 733-Electrical Systems</td>
<td><a href="mailto:cortney@signandlighting.com">cortney@signandlighting.com</a></td>
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<td>ANY'S CONTRACTOR SERVICES LLC</td>
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<td>MINORITY BUSINESS ENTERPRISE</td>
<td>DENHAM SPRINGS, LA 70727-1285</td>
<td>TRK-Trucking, 713-Temporary Signs, Barriers and Pavement Markings, 727-Mobilization, 729-Traffic Signs and Saigon Services</td>
<td>PO BOX 1285</td>
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<td>ANDREWS CONSTRUCTION MANAGEMENT</td>
<td>Construction Management</td>
<td>550 HUNTERS RUN</td>
<td>318-746-3528</td>
<td>318-746-3528</td>
<td><a href="mailto:sergio@aps-testing.com">sergio@aps-testing.com</a></td>
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<td>ANGELIC HANDS CLEANING SERVICE, LLC</td>
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<td>315 WESTMINSTER DRIVE</td>
<td>985-771-1864</td>
<td>985-771-1864</td>
<td><a href="mailto:angelici12@gmail.com">angelici12@gmail.com</a></td>
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<tr>
<td>ANIL VERMA ASSOCIATES, INC.</td>
<td>Real Estate</td>
<td>444 SOUTH FLOWER STREET, SUITE 1688</td>
<td>213-624-6908</td>
<td>213-624-1188</td>
<td><a href="mailto:avinverma@earthlink.net">avinverma@earthlink.net</a></td>
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<tr>
<td>ARPS Construction, LLC</td>
<td>Construction</td>
<td>400 Lafayette Street, STE. 105</td>
<td>504-273-9358</td>
<td>504-273-7777</td>
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<tr>
<td>APPLE DESIGNS, INC.</td>
<td>Architecture</td>
<td>52 EILEY ROAD, SUITE 720</td>
<td>321-443-1428</td>
<td>321-443-1428</td>
<td><a href="mailto:susan.erhart@appledesigns.net">susan.erhart@appledesigns.net</a></td>
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<tr>
<td>ARCHI-DINAMICA ARCHITECTS, LLC</td>
<td>Architecture</td>
<td>217 SOUTH JEFFERSON DAVIS PKWY</td>
<td>504-486-8167</td>
<td>504-486-8167</td>
<td><a href="mailto:archi@aes.net">archi@aes.net</a></td>
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<tr>
<td>ARK ENGINEERING &amp; CONSULTANTS, INC.</td>
<td>Engineering</td>
<td>9648 WESTHEIMER ROAD, STE. 220-4153</td>
<td>832-236-7165</td>
<td>832-236-7165</td>
<td><a href="mailto:jharvey@arkengineering.com">jharvey@arkengineering.com</a></td>
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<tr>
<td>ARMAND RESOURCES, INC.</td>
<td>Resources</td>
<td>300 FRANK W. BRIER BLVD, 2ND FLOOR</td>
<td>201-357-8725</td>
<td>201-357-8725</td>
<td><a href="mailto:armmandresourcesgroup@ymail.com">armmandresourcesgroup@ymail.com</a></td>
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<tr>
<td>ARMS CONSTRUCTION, LLC</td>
<td>Construction</td>
<td>1420 INDUSTRIAL BLVD</td>
<td>504-621-9235</td>
<td>504-621-9235</td>
<td><a href="mailto:mgayen56@hotmail.com">mgayen56@hotmail.com</a></td>
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<tr>
<td>Arrow Fence Co., LLC</td>
<td>Fence</td>
<td>7722 VICTORIA DRIVE</td>
<td>225-265-9465</td>
<td>225-265-9465</td>
<td><a href="mailto:willberzeigen@qwest.net">willberzeigen@qwest.net</a></td>
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<td>ASA ELECTRICAL, LLC</td>
<td>WHITE WOMEN BUSINESS ENTERPRISE</td>
<td>3519 PALMISANO BLVD, CHALMETTE, LA 70043</td>
<td>504-269-8260</td>
<td><a href="mailto:eclairstores@yahoo.com">eclairstores@yahoo.com</a></td>
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<tr>
<td>ASD CONSULTANTS INC</td>
<td>MINORITY BUSINESS ENTERPRISE</td>
<td>PO BOX 180932, AUSTIN, TX 78758</td>
<td><a href="mailto:curtis@asdcconsultantsinc.com">curtis@asdcconsultantsinc.com</a></td>
<td><a href="mailto:curtis@asdcconsultantsinc.com">curtis@asdcconsultantsinc.com</a></td>
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<td>ASHBY HVAC, LLC</td>
<td>MINORITY BUSINESS ENTERPRISE</td>
<td>5164 HEMINGWAY DR, DARROW, LA 70725</td>
<td><a href="mailto:kentashby@cox.net">kentashby@cox.net</a></td>
<td><a href="mailto:kentashby@cox.net">kentashby@cox.net</a></td>
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<tr>
<td>Associated Lumber Enterprises</td>
<td>WHITE WOMEN BUSINESS ENTERPRISE</td>
<td>1117 B Sampson, Westlake, LA 70669</td>
<td><a href="mailto:hayley@asakurarobinson.com">hayley@asakurarobinson.com</a></td>
<td><a href="mailto:hayley@asakurarobinson.com">hayley@asakurarobinson.com</a></td>
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<td>ASSORTED PRODUCTS</td>
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<td>P.O. BOX 26503, NEW ORLEANS, LA 70186</td>
<td>504-939-8200</td>
<td>504-245-0144</td>
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<td>Auto Engineering &amp; Manufacturing</td>
<td>WHITE WOMEN BUSINESS ENTERPRISE</td>
<td>11039 LAMONT AVENUE NE, HAMBOURG, MN 55115</td>
<td><a href="mailto:kattieashby@cox.net">kattieashby@cox.net</a></td>
<td><a href="mailto:kattieashby@cox.net">kattieashby@cox.net</a></td>
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<td>ASTYRA CORPORATION</td>
<td>MINORITY BUSINESS ENTERPRISE</td>
<td>411 E FRANKLIN STREET, STE 105, RICHMOND, VA 23219</td>
<td>804-342-2799</td>
<td>804-342-0000</td>
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<td>Athena Construction Group</td>
<td>WHITE WOMEN BUSINESS ENTERPRISE</td>
<td>10831 DUMFRIES SHOPPING PLAZA, DUMFRIES, VA 22026</td>
<td><a href="mailto:info@astyra.com">info@astyra.com</a></td>
<td><a href="mailto:info@astyra.com">info@astyra.com</a></td>
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<td>Artwood Fence Company Inc.</td>
<td>WHITE WOMEN BUSINESS ENTERPRISE</td>
<td>PO BOX 365, KOCHUKO, MS 30904-0365</td>
<td>602-289-6338</td>
<td>602-289-7463</td>
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<td>AUGUILLARD CONSTRUCTION COMPANY</td>
<td>MINORITY BUSINESS ENTERPRISE</td>
<td>590 NORTH CLAIBORNE AVENUE, NEW ORLEANS, LA 70117</td>
<td>504-945-2233</td>
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<td>Contractor Address</td>
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<tr>
<td>B &amp; B Rentals &amp; Sales Inc</td>
<td>6624 Greenwood Road, Shreveport, LA 71119</td>
<td>B.B.</td>
<td>203-Excavation and blasting equipment &amp; rental</td>
<td>BLACK</td>
<td>MINORITY BUSINESS ENTERPRISE</td>
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<td>B &amp; F DISTRIBUTORS, LLC</td>
<td>3203 Fernway Drive, Hattiesburg, MS 35401</td>
<td>B.F.</td>
<td>204-Temporary erosion control, 302-Base Course</td>
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<td>MINORITY BUSINESS ENTERPRISE</td>
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<td>B &amp; S Equipment Co. Inc.</td>
<td>3501 PATRIOT ST, Harvey, LA 70058</td>
<td>B.S.</td>
<td>302-Base Course</td>
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<td>WHITE WOMEN BUSINESS ENTERPRISE</td>
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<tr>
<td>B &amp; P Enterprise of Avoyelles Parish</td>
<td>250 Bluhard Lane, Marksville, LA 71351</td>
<td>B.P.</td>
<td>302-Removal or Relocating Structures and Obstructions, 206-Excavation and Embankment</td>
<td>BLACK</td>
<td>MINORITY ENTERPRISE</td>
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<td>B &amp; P Management &amp; Support Services</td>
<td>P.O. Box 491, 132 Lawrenceville, GA 30046</td>
<td>B.P.</td>
<td>302-Asphaltic Concrete Mixtures</td>
<td>BLACK</td>
<td>MINORITY ENTERPRISE</td>
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<td>B.E.F. Construction, LLC</td>
<td>558 Enterprise Drive, Gretna, LA 70053</td>
<td>B.E.F.</td>
<td>302-Removal or Relocating Structures and Obstructions, 301-Civil Engineering, 204-Asphaltic Concrete Mixtures</td>
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<td>WHITE WOMEN BUSINESS ENTERPRISE</td>
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<td>B.M. Grace, Inc.</td>
<td>6600 Bluebonnet Blvd, Ste. A, Baton Rouge, LA 70810</td>
<td>B.M.</td>
<td>302-Asphaltic Concrete Mixtures, 204-Excavation and Embankment</td>
<td>BLACK</td>
<td>WHITE WOMEN BUSINESS ENTERPRISE</td>
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</table>
BACKSTROM MCCARLEY BERRY & CO., LLC
115 SANSOME STREET, MEZ A
SAN FRANCISCO, CA 94104
MCCARLEY, VINCENT
C99-Financial Consulting

MINORITY BUSINESS ENTERPRISE
BLACK
415-392-3505
4155920576
vmcscarley@hmmbeco.com

BASE Consulting
706 Nokona Court
Allen, TX 75013
719-Landscaping

MINORITY BUSINESS ENTERPRISE
HISPANIC
972-339-1630
214-864-9619
gaze@baseconsulting.com

BAKER MANAGEMENT GROUP, INC.
301 NAPOLIOM AVENUE
NEW ORLEANS, LA 70125
JAMES W. BAKER
C10-Management

MINORITY BUSINESS ENTERPRISE
BLACK
504-455-6436
bakening@msn.com

BAKER READY MIX, LLC
2809 FRENCHMEN STREET
NEW ORLEANS, LA 70122
SHERMAN, ARNOLD
051-Supply of Ready Mix Concrete, 062-Ready Mix Concrete Manufacturer

MINORITY BUSINESS ENTERPRISE
BLACK
504-947-8081
5049478085
abaker@bakerreadymix.com

BALTHAZAR ENTERPRISES D/B/A BALTHAZAR B.
201 ST. CHARLES AVE., STE. 2570
NEW ORLEANS, LA 70170
BALTHAZAR, CAROL

MINORITY WOMEN BUSINESS ENTERPRISE
7/27/2015
026-Supply of Electrical Equipment, 053-Supply of Lamps and Bulbs, 054-Supply of Light Fixtures, 055-Electrical Supplies

Barnes, Fordland And Associates, Inc
1230 HILLCREST ST
ORLANDO, FL 32803
BARTON, PATRICK A
C20-Environmental Impact Assessments

WHITE WOMEN BUSINESS ENTERPRISE
7/1/2011
407-846-8608
407-846-8322
pbarton@fordland.com

Barnett Concrete Work
137 Red Roan Road
Huntsville, MS 35902
LAMARR BERGSTIN
003-Masonry, 706-Concrete Walks, Drives And Incidental Paving, 707-Curbs and Gutters

WHITE WOMEN BUSINESS ENTERPRISE
3/1/2011
334-448-4958
334-448-4958
mblair@barnettconcrete.com

BARRIER CONSTRUCTION, INC.
PO BOX 819
BOSSIER CITY, LA 71111-8199
BARR, DAWN

WHITE WOMEN BUSINESS ENTERPRISE
7/31/2004
318-741-7170
318-777-6204

Barrister Global Ser. Network, Inc
PO BOX 1797
HAMMOND, LA 70404
BLOOMER, DOROTHY D.
C58-Telecommunications Call Center, C99-BROKER FEES FOR IT SERVICE/REPAIR

WHITE WOMEN BUSINESS ENTERPRISE
7/1/2012
985-356-2602
985-310-5319
jlacy@barrister.com

BARRY TECHNOLOGIES, INC.
2115 E. 79TH STREET
CHICAGO, IL 60649
BARRY, BERNARD M.
C30-Airport Planning and Design

MINORITY BUSINESS ENTERPRISE
BLACK
773-406-8288
773-752-2975
bbary@barytech.com

BART'S OFFICE FURNITURE REPAIRS, INC.
799 CARROLLTON AVENUE
METAIRIE, LA 70005
THIBODEAUX, KATHLEEN
D09-Warehouse/Storage Facility

WHITE WOMEN BUSINESS ENTERPRISE
6/30/2015
504-484-6274
5048339998
kparris@ox.net

Baseline Supply, LLC
65 TURNBERRY DRIVE
MORROBIE TOWNSHIP, NJ 08831

WHITE WOMEN BUSINESS ENTERPRISE
3/1/2011
732-835-2080
888-208-2883
609-Supply of Fabrics, 609-Supply of Reinforcing Steel, 018-Supply of Miscellaneous Materials, 034-Supply of Geotextile Fabric baselinesupply@gmail.com

5/23/2016
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<th>Company Name</th>
<th>DBE Category</th>
<th>Certification Date</th>
<th>Address</th>
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<tr>
<td>BETATESTING &amp; INSPECTION, LLC DBA/A THE</td>
<td>Minority Business Enterprise</td>
<td>3/31/2005</td>
<td>1428 1/2 CLAIRE STREET, GRENA, LA 70093</td>
<td>504-277-2732</td>
<td><a href="mailto:kcroy@betatestingonline.com">kcroy@betatestingonline.com</a></td>
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<tr>
<td>BILLETS PARTNERS, LLC</td>
<td>Minority Business Enterprise</td>
<td>10/27/2010</td>
<td>1055 ST. CHARLES AVE., STE 220, NEW ORLEANS, LA 70120</td>
<td>504-863-5610</td>
<td><a href="mailto:gbilles@billesarchitecture.com">gbilles@billesarchitecture.com</a></td>
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<td>BLEUWATERS TRUCKING, LLC</td>
<td>Minority Business Enterprise</td>
<td>7/31/2010</td>
<td>936 WINESBERRY LANE, LAKE CHARLES, LA 70601</td>
<td>337-429-2433, 337-429-2432</td>
<td><a href="mailto:bleuwatertrucking@yahoo.com">bleuwatertrucking@yahoo.com</a></td>
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<tr>
<td>BLUE STAR RECOVERY GROUP, LLC</td>
<td>Minority Business Enterprise</td>
<td>11/1/2010</td>
<td>2416 BLACKWELL STREET, LAKE CHARLES, LA 70601-1302</td>
<td>337-502-8978</td>
<td><a href="mailto:blackstarrecoverygroup@gmail.com">blackstarrecoverygroup@gmail.com</a></td>
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<td>BLUE FLASH SEWER SERVICE, INC.</td>
<td>Minority Business Enterprise</td>
<td>8/19/2014</td>
<td>648 HICKORY AVENUE, HARKERAN, LA 70123</td>
<td>504-845-2024</td>
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<td>BLUE RIBBON PAINTING</td>
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<td>7/31/2010</td>
<td>105 SALVADOR, LAFAYETTE, LA 70507</td>
<td>337-643-2504</td>
<td><a href="mailto:blueribbonpainting@yahoo.com">blueribbonpainting@yahoo.com</a></td>
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<td>BMK MARKETING SOLUTIONS</td>
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<td>8/1/2007</td>
<td>600 WESLEYAN WAY, BEAUMONT, TX 77706</td>
<td>318-221-6252</td>
<td><a href="mailto:kcole@bmkmarketing.net">kcole@bmkmarketing.net</a></td>
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<td>126 INDUSTRIAL AVENUE, LAKE CHARLES, LA 70605</td>
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<td>BOINES CONST. &amp; EQUIPMENT CO., INC.</td>
<td>2601 NORMAN STREET</td>
<td>HARVEY, LA 70058</td>
<td>BOINES, MICHAEL</td>
<td>504-368-2173</td>
<td>5/31/1993</td>
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<td><a href="mailto:mboines@aol.com">mboines@aol.com</a></td>
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<td>Bonne Terre Landscapes</td>
<td>6221 S Claiborne Avenue Suite 423</td>
<td>New Orleans, LA 70124</td>
<td>Dav LeNoir</td>
<td>504-453-2577</td>
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<td>Bosier Foundation Drilling Company</td>
<td>1401 EAST TEXAS STREET</td>
<td>BOSSIER CITY, LA 71111</td>
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<td>228 ST. CHARLES AVENUE SUITE 133</td>
<td>NEW ORLEANS, LA 70130</td>
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<td>504-523-5700</td>
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<td><a href="mailto:gaylah@bellalouisiana.net">gaylah@bellalouisiana.net</a></td>
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<td>BR GROUP, LLC</td>
<td>P.O. BOX 1178</td>
<td>PRAIRIEVILLE, LA 70769</td>
<td>ROWAN, BERNARD</td>
<td>504-324-0945</td>
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<td>BRC &amp; ASSOCIATES, LLC</td>
<td>401 WHITNEY STREET, SUITE 205</td>
<td>GRENA, LA 70036</td>
<td>CARTER, BRYANT</td>
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<td>BRIARWOOD CONTRACTORS, INC</td>
<td>5909 RICKEY STREET</td>
<td>METAIRIE, LA 70033</td>
<td>PATRICIA, CAZABON</td>
<td>504-472-2891</td>
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<td>BRIDGES BUILDERS CONSTRUCTION GROUP, LLC</td>
<td>252 HARBOR CIRCLE</td>
<td>METAIRIE, LA 70005</td>
<td>EARIN BRIDGES</td>
<td>504-257-8008</td>
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<td><a href="mailto:EARINBRIDGES@bridgesconstruction.org">EARINBRIDGES@bridgesconstruction.org</a></td>
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<td>BRIGHT MOMENTS, LLC</td>
<td>3249 ORETHA CASTLE HAILEY BLVD</td>
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<td><a href="mailto:bill@brightmomentsla.com">bill@brightmomentsla.com</a></td>
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<td>Brookington And Associates, Inc</td>
<td>3550 HOLCOMB BRIDGE ROAD-SUITE 100</td>
<td>NOORCROSS, GA 30662</td>
<td>BROCKINGTON, SARAH</td>
<td>770-662-5824</td>
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<td><a href="mailto:andrewscar@brookington.com">andrewscar@brookington.com</a></td>
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### BROTHERHOOD WAY GENERAL CONTRACTORS, LLC
2004 ST. ANDREW STREET
NEW ORLEANS, LA 70113
PEAWEATHERSBY
BC-Building Construction

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### BROTHERS CONCRETE, DESIGN, LLC
9391 HIGHWAY ONE
SHREVEPORT, LA 71115

- NELSON, JOSPEH
- 201-Cleaning and Grubbing, 202-Removal or Relocating Structures and Obstructions, 203-Excavation and Embankment, 701-Culverts and Storm Drains, 702-Manholes, Junction Boxes, Catch Basins, and End Treatments, 703-Underdrain Systems, 706-Concrete Walks, Drives And INCIDENTAL Paving, 707-Curbs and Gutters, 726-Bedding Materials
- 10935 GOLDEN WEST DRIVE, SUITE B
- HUNT VALLEY, MD 20131
- BROWN, TIMOTHY
- C24-Computer Maintenance and Repair, C54-Marine Radar/Radio Repair
- 10935 GOLDEN WEST DRIVE, SUITE B
- HUNT VALLEY, MD 20131
- BROWN, TIMOTHY
- C24-Computer Maintenance and Repair, C54-Marine Radar/Radio Repair
- 10935 GOLDEN WEST DRIVE, SUITE B
- HUNT VALLEY, MD 20131
- BROWN, TIMOTHY
- C24-Computer Maintenance and Repair, C54-Marine Radar/Radio Repair

### BROWN'S COMMUNICATIONS, INC
9391 HIGHWAY ONE
SHREVEPORT, LA 71115

- C42-Computer Maintenance and Repair, C54-Marine Radar/Radio Repair
- 707-Curbs and Gutters, 726-Bedding Materials
- 707-Curbs and Gutters, 726-Bedding Materials
- 707-Curbs and Gutters, 726-Bedding Materials
- 707-Curbs and Gutters, 726-Bedding Materials

### BROWN'S COMMUNICATIONS, INC
9391 HIGHWAY ONE
SHREVEPORT, LA 71115

- C42-Computer Maintenance and Repair, C54-Marine Radar/Radio Repair
- 707-Curbs and Gutters, 726-Bedding Materials
- 707-Curbs and Gutters, 726-Bedding Materials
- 707-Curbs and Gutters, 726-Bedding Materials
- 707-Curbs and Gutters, 726-Bedding Materials

### BRUDD CONSTRUCTION CO., LLC
PO BOX 729
SIMMESPORT, LA 70569

- AUGUSTINE, BRAD
- 429 ELYSIAN FIELDS AVENUE
- NEW ORLEANS, LA 70122
- C19-Accounting
- 5/23/2016

### BRUNO & TEROVON, LLP
429 ELYSIAN FIELDS AVENUE
NEW ORLEANS, LA 70122

- TEROVON, ALCIDE J.
- C19-Accounting
- 5/23/2016

### BYRON J. STEWART & ASSOCIATES, APC
2360 MARINGDO STREET
NEW ORLEANS, LA 70115

- STEWART, BYRON J.
- C04-Architectural Engineering
- 7/17/1999

### C & A HAULING
2042 MORNINGSIDE DRIVE
SHREVEPORT, LA 71108

- RASCO, CHARLES ALLEN
- TRK-Trucking
- 318-249-4175
- 318-249-4175
- 318-249-4175
- 318-249-4175

### C & K UNITED SHEET METAL & MECH, INC
PO BOX 16095
EVANSVILLE, IN 47716

- COATES, JR., MAURICE
- D13-Wall Panel Installation
- 812-423-5563
- 812-423-5563
- 812-423-5563

---

5/23/2016
C. M. CONSTRUCTION GROUP, INC
9 CASCASEAU COURT
KENNER, LA 70065
MENDIETA, CARLOS RAMON
B09-Saw Cutting, G30-No Item, G90-No Icon, 510-Asphaltic Concrete Pavement Patching, Widening & Joint Repair, 705-Precoat carlos@camiddseng.com
C & R Contracting Services
501 E Law Street
Chalmette, LA 70043
Elisa Deleon
B09-Saw Cutting, TRK-Trucking, 003-Supply of Aggregates, 201-Cleaning and Grubbing, 202-Removal or Replacing Structures 904-279-3342
Surface Course, 711-RipRap, 723-Granular Materials, 725-Temporary Detour Roads and Bridges, 726-Bedding Materials, 727-Mobilization
C.WATSON GROUP, LLC
3811 NAPOLEON AVENUE
NEW ORLEANS, LA 70125
COREY WATSON
928-Supply of Electrical Equipment
C&R CONTRACTING, INC.
2315 FRANCE STREET
NEW ORLEANS, LA 70117
CYNTHIA KELLY
BC-Building Construction, D80-Building Site Preparation, D84-Steel, Stone, Stucco or Polish Concrete, 051-Supply of Ready Mix dbkeley225@gmail.com
Concrete, 052-Ready Mix Concrete Manufacturer
C. Elliot Thomas Construction Co.
1632 MILAM STREET SUITE B
SHREVEPORT, LA 71103
Thomason, C. Elliot
BC-Building Construction, 727-Mobilization
C. HARRIS COMPANIES, INC
PO BOX 871537
NEW ORLEANS, LA 70167
HARRIS, CATHY
C46-Training Development
C. J. SAM TRUCKING, LLC
315 AVANTI DRIVE
CARENCRO, LA 70520
AM, MONICA M
TRK-Trucking
C. N. HOUSEWORKS, INC
1023 MERCEDES BLVD
NEW ORLEANS, LA 70114
CUONG NGUYEN
BC-Building Construction, B01-Roofing, B03-Masonry, B04-Ceramic, B52-Commercial Painting, B77-FLORING, B80-Wall coating b99@gmail.com
Converting and Printing, B44-Residential Building Construction, B86-Precast Concrete, B80-Drywall Contractor, B80-Building Site Preparation, C39-Commercial Printing, C74-Construction Management, C81-Interior Design, 049-Paint and Insulation and Ceiling Products, 058-Interior Design Services, 064-Supply of Doors and Windows, 201-Cleaning and Grubbing, 705-Fences, 706-Concrete Walls, Driveway and Infill Paving, 707-Cutters and Cutters, 710-Flexible Fills, 711-RipRap, 712-Ravens, 715-Topsoil, 803-Sheet Toler, 804-Structural Concrete, 813-Concrete Approach Slabs
Caulfield Staffing, LLC
1515 POYDRAS ST SUITE 2270
NEW ORLEANS, LA 70112
HUTCHINSON, GEORGE
C60-TEMPORARY HELP SERVICES, 727-Mobilization
Caudill Company
PO Box 784
Roanoke, TX 76262
Kathy Caudill
F03-Metal Fabrication, G13-Supply of Metals, 807-Structural Metals
Cavin Pettaway Trucking, Inc
3087 BRADFORD
SHREVEPORT, LA 71119
Pettaway, Calvin
TRK-Trucking, 727-Mobilization
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<tr>
<td>Brown, Chuck Carr</td>
<td>504-273-2604</td>
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<td>CCBS International</td>
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<td>CFO INK, LLC</td>
<td>4040 S. CARROLLTON AVE., STE. 280 NEW ORLEANS, LA 70119 PATRICIA JONES C19-Accounting, C59-Financial Consulting, C67-Management, C80-Construction Management</td>
<td>504-270-5870</td>
<td><a href="mailto:ceabuildersllc@gmail.com">ceabuildersllc@gmail.com</a></td>
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<td>CENSUS</td>
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<td>Cercoa, LLC</td>
<td>7000 PINE LAKE, SUITE 190 SHREVEPORT, LA 71109 WILLIAMS, KERRY L.</td>
<td>504-270-5870</td>
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<tr>
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<td>CHELCO ELECTRIC, LLC</td>
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<td>504-375-5603</td>
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**Notes:**
- *[ ]* indicates minority or women-owned business enterprise.
- Addresses and contact information are provided for each company.
- The directory includes services such as construction, engineering, and consulting.

**Additional Information:**
- The document is part of the LA DOTD (Louisiana Department of Transportation and Development) Certified DBE (Disadvantaged Business Enterprise) Directory.
- The page is part of a larger directory, with page 19 of 87 indicated.

**References:**
Cinderella Cleaning
530 Ashbury Drive Suite E
Mandeville, LA 70471
Marcie Herberger
B45-Janitorial, B48-Commercial Cleaning

CIRCULAR CONSULTING, LLC
1515 POYDRAS STREET, SUITE 2215
NEW ORLEANS, LA 70112
EGANA, BRAD E., CLAIBORNE LAND A & PORTER, JR.
C74-Construction Management

Civil Design & Construction, Inc.
PO BOX 857
PORT ALLEN, LA 70767
WISTON, KARLA E.
C67-Notary

Civil Solutions Consulting Group
3313 BULLFORD AVENUE
Baton Rouge, LA 70817
COHRAN, KAHLI
C74-Construction Management

CLAIHORNE LAND & TITLE LLC
PO BOX 12316
ALEXANDRIA, LA 71315
ROBBEN, DAFINE
C28-Title Abstracts, C31-Legal Services, C67-Notary Services

CLARK CONSTRUCTION GROUP, LLC
P O BOX 26048
NEW ORLEANS, LA 70118
LEON DUPCLAY, JR.
C74-Construction Management

CLB PORTER, LLC
650 POYDRAS STREET SUITE 1400
NEW ORLEANS, LA 70130
SHAWN BARNEY
C56-Real Estate Evaluation and Consulting

CLEAN FORCE, LLC
1820 L AND A ROAD
JEFFERSON, LA 70091
GABIN, JENNIFER L.
C64-Supply of Safety Equipment, C65-Janitorial Supplies

CLEANING CONCIERGE, LLC
4118 CLEMATIS STREET
NEW ORLEANS, LA 70122
WILEY, BARRETT
B45-Janitorial Supplies, B86-Pressure Washing

CLEE'S INTERIORS, LLC
PO BOX 15104
MONROE, LA 71207
LANG, VICKI
C81-Interior Design
CLH Builders, LLC
1041 CHARIOT DRIVE
Baton Rouge, LA 70816
Hutchens, Chris
BC-Building Construction, B37-Flooring, B84-Residential Building Construction, B87-Drywall Contractor, 727-Mobilization

CLIFTON RANKIN CONSTRUCTION, LLC
786 RIVER ROAD
Patterson, MS 38666
Rankin, Clifton R.
B37-Underground Utility Lines, C50-No Item, 730-Electrical Systems, 835-C-Structural Concrete-Cast in Place Box Culverts

CMC DRYWALL, INC
4207 WILLIAMS BLVD, STE B
Kennerson, LA 70065
Murillo, Tullio R.
B32-Commercial Painting, B37-Drywall Contractor

CMC Technology Consulting
PO BOX 87381
Baton Rouge, LA 70894
Mills, Calvin Jr.
C42-Computer Maintenance and Repair, C44-Information Technology

CMS CONSULTANTS, LLC
709 AURORA AVENUE #C
Mandeville, LA 70449
Christy Melancon
BC-Building Construction, B11-Grooving, C14-Construction Management, 201-Cleaning and Grubbing, 203-Excavation and Christy@cmsconsultantsllc.net

CNC CONSTRUCTION & AIR CONDITIONING, LLC
2116 BARONNE STREET
New Orleans, LA 70113
Nguyen, Curtis
BC-Building Construction, B10-Asbestos Abatement, B03-Solar Energy Equipment Installation

COAKLEY MANAGEMENT CONSULTING LLC
3542 YOUNG STREET
New Orleans, LA 70122
Shirley A. Coakley

COASTAL & HIGHWAY EROSION CONTROL
PO BOX 875
St. Charles, LA 70069
Gerland, Arista
204-Temporary Erosion Control, 705-Fences, 714-Slab Sodding, 715-Topsoil, 716-vegetative fiber mulch, 717-Seedling, 718-antig@bellsouth.net

COASTAL PRIVATE PROTECTION SECURITY, INC
781 BEHRMAN HWY., STE 207
Gretna, LA 70056
Kim G. Phillips
635-Security Surveillance

COHESIVE, LLC
2927 BARONNE STREET
New Orleans, LA 70114
Duplessis, Randall
B03-Solar Energy Equipment Installation

COLE CONSTRUCTION COMPANY, INC.
P.O. BOX 36992
New Orleans, LA 70159
Coles, Jerry
201-Cleaning and Grubbing, 203-Excavation and Embankment, 706-Concrete Walls, Drives And Incidental Paving, 707-Curbs and Gutters, 711 -Drywall, 712-Revegetation, 803-Structural Piles, 804-Driven Piles

COLMEX CONSTRUCTION, LLC
2060 CARTER AVENUE
New Orleans, LA 70122
Angelica Rivera
BC-Building Construction, B01-Roofing, B03-Masonry, B04-Ceramic, B05-Commercial Painting, B37-Flooring, B84-Residential Building Construction, B86-Pressure Washing, G46-No Item, 808-Supply of Paints, 064-colmexcstruction@gmail.com

COMMAND CONSTRUCTION INDUSTRIES, L.L.C.
3266 N. TURNBALL
Metairie, LA 70002
Commander, Kelly

WHITE WOMEN BUSINESS ENTERPRISE

OTHER

MINORITY BUSINESS ENTERPRISE

WHITE WOMEN BUSINESS ENTERPRISE

MINORITY BUSINESS ENTERPRISE

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MINORITY BUSINESS ENTERPRISE

MINORITY BUSINESS ENTERPRISE
LA DOTD - Certified DBE Directory

MINORITY BUSINESS ENTERPRISE  8/2/2012
BLACK  13278

Commercial Design Interiors, LLC
9211 INTERLINE AVENUE, STE. 1B
BATON ROUGE, LA 70809
BURNS, TRACY
CH-Interior Design

MINORITY BUSINESS ENTERPRISE  3/1/2010
OTHER  225-928-1190

CONCERLY CORPORATION
2319 A. P. TUREAUD AVE
NEW ORLEANS, LA 70119
TAYLOR, WILLIE
BC-Building Construction, C74-Construction Management

MINORITY BUSINESS ENTERPRISE  1/3/1993
BLACK  25041

COMPLIANCE CONSULTANTS, INC.
1466 S. HARREL’S FERRY ROAD
BATON ROUGE, LA 70816
FIELD, MARY
C09-Civil Engineering, C20-Environmental Impact Assessments, C22-Environmental Engineering

MINORITY BUSINESS ENTERPRISE  1/28/2016
BLACK  504-628-2526

CONCRETE PAVERS, INC.
160 RIVERLANDS DRIVE
LAFAYETTE, LA 70508
JACK, M. KROST
BC-Building Construction, B44-Adhesives/Sealants/Lubricants, B46-Full Depth Patching of Jointed Concrete Pavement, B52-Commercial Interiors, C06-Building Site Preparation, C09-Civil Engineering, C11-Planning, C15-Intallation of Geotextile Fabric and Grout, C16-Construction of Jointed Concrete Pavement, C20-Environmental Impact Assessments, C22-Environmental Engineering

MINORITY BUSINESS ENTERPRISE  10/1/2009
BLACK  504-615-3234
504-644-4422

CONCRETE PLACEMENT, INC.
4042 CHARLMARK DRIVE
NEW ORLEANS, LA 70127
FELTON, SELIES
702-Manholes, Junction Boxes, Catch Basins, and End Treatments, 705-Concrete Walks, Drives And Incidental Paving, 707-Curbs and Gutters, 724-Pavement Patching, Widening, and Joint Repair

MINORITY BUSINESS ENTERPRISE  3/2/2006
BLACK  504-592-4000
504-520-0051
sjames@condall.com

CONDALL CONSULTING GROUP, L.L.C.
P O BOX 1391
NEW ORLEANS, LA 70185
JAMES, SUARMAINE
C20-Environmental Impact Assessments, C21-Construction Inspections, C74-Construction Management

MINORITY BUSINESS ENTERPRISE  6/3/2015
BLACK  504-608-6877
504-571-5337

CONERLY CORPORATION
7470 CHAMBERLRY DRIVE
NEW ORLEANS, LA 70128
CONERLY, JESSE
BC-Building Construction, B01-Roofing, B03-Masonry, B04-Ceramic, B05-Plumbing, B32-Commercial Planning, B77-Construction of Geotextile Fabric and Grout, FLOORING, B40-Building Site Preparation, C06-Building Site Preparation, C09-Civil Engineering, C11-Planning, C20-Environmental Impact Assessments, C22-Environmental Engineering

MINORITY BUSINESS ENTERPRISE  2/8/2017
BLACK  504-608-6877
504-571-5337

CONNICO INCORPORATED
3394 N. MOUNT JULET ROAD
MOUNT JULIET, TN 37122
GOWDER, CONNIE S.
C10-Management, C11-Planning, C37-Contract Compliance, C59-DBE Plans & Goal Preparation

WHITE WOMEN BUSINESS ENTERPRISE  9/8/2003
OTHER  615-758-1274
6157837477
cgowder@connico.com

Coast Interstate Airm Staffing, Inc.
14931 FOXHEATH DRIVE
SOUTHWEST RANCHES, FL 33331
DIANE DALMAN
C00-TEMPORARY HELP SERVICES

WHITE WOMEN BUSINESS ENTERPRISE  5/1/2010
OTHER  520-270-9923
888-457-3336
diane@coaststaffing.com

Contractor's Source, Inc.
POST OFFICE BOX 2555
CYPRUS, TX 77410-2555
Brecher, Mari Nell
B34-Supply of Geotextile Fabric and Grout, 727-Mobilization

MINORITY BUSINESS ENTERPRISE  1/1/2006
HISPANIC  281-304-6812
832-408-7551

COOLEY'S TRUCKING
3919 MEGWETHER ROAD
SHREVEPORT, LA 71109
MINORITY BUSINESS ENTERPRISE  5/3/2010
BLACK  318-762-7881

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<td>15444 Leverde Avenue</td>
<td>Baton Rouge, LA 70817</td>
<td>504-495-5599, 225-421-1118</td>
<td><a href="mailto:treycorbin999@gmail.com">treycorbin999@gmail.com</a></td>
<td>B32-Maintenance Mowing, B45-Janitorial Services, 719-Landscaping</td>
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<td>TRK-Trucking</td>
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<td>CORDEIRO, LLC</td>
<td>26 Hickman Street, Suite D</td>
<td>Kenner, LA 70862</td>
<td><a href="mailto:info@cordeiroconcrete.com">info@cordeiroconcrete.com</a></td>
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<td>COUNTER TECHNOLOGY, INC.</td>
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<td>Germantown, MD 20876</td>
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<td>Crawford Consulting Services, Inc</td>
<td>239 Highland Avenue, East Pittsburgh, PA 15112</td>
<td>Pittsburgh, PA 15221</td>
<td>412-823-0400, 412-823-2004</td>
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<tr>
<td>CREATIVE INSURANCE CONCEPTS, INC.</td>
<td>8012 Midlothian Turnpike, Suite 202</td>
<td>Chesterfield, VA 23235</td>
<td>804-674-8330, 804-674-8332</td>
<td><a href="mailto:cjreynolds@creativeic.com">cjreynolds@creativeic.com</a></td>
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<td>CREATIVE MANAGEMENT RESOURCES, INC.</td>
<td>10715 Morrison Rd</td>
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<td>New Orleans, LA 70129</td>
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<td>CRESCENT RESOURCES, LLC DBA CRESCENT *</td>
<td>659 Poydras Street, Suite 2317</td>
<td>New Orleans, LA 70130</td>
<td>504-302-0950, 504-303-4333</td>
<td><a href="mailto:erhodes@x-rhodes.com">erhodes@x-rhodes.com</a></td>
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<tr>
<td>CROSS RHODES REPROGRAPHICS, INC</td>
<td>68467 Highway 59, Suite 1</td>
<td>Mandeville, LA 70443</td>
<td>985-273-3200, 985-273-3201</td>
<td><a href="mailto:wrogers@constructionworkers.com">wrogers@constructionworkers.com</a></td>
<td>Minority Business Enterprise Black</td>
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<tr>
<td>CSW Funding LLC</td>
<td>2741 Lemon Grove Ave, #202</td>
<td>Lemon Grove, CA 91945</td>
<td>619-303-6890, 619-303-6891</td>
<td><a href="mailto:wrogers@constructionworkers.com">wrogers@constructionworkers.com</a></td>
<td>Minority Business Enterprise Black</td>
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<tr>
<td>Crawford Consulting Services, Inc</td>
<td>239 Highland Avenue, East Pittsburgh, PA 15112</td>
<td>Pittsburgh, PA 15221</td>
<td>412-823-0400, 412-823-2004</td>
<td><a href="mailto:lschroeder@crawfordconsultingservices.com">lschroeder@crawfordconsultingservices.com</a></td>
<td>Minority Business Enterprise Other</td>
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<tr>
<td>CREATIVE INSURANCE CONCEPTS, INC.</td>
<td>8012 Midlothian Turnpike, Suite 202</td>
<td>Chesterfield, VA 23235</td>
<td>804-674-8330, 804-674-8332</td>
<td><a href="mailto:cjreynolds@creativeic.com">cjreynolds@creativeic.com</a></td>
<td>Minority Business Enterprise Black</td>
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<tr>
<td>CREATIVE MANAGEMENT RESOURCES, INC.</td>
<td>10715 Morrison Rd</td>
<td>New Orleans, LA 70127</td>
<td>504-450-4719, 225-533-3899</td>
<td><a href="mailto:grabb@cmoll.com">grabb@cmoll.com</a></td>
<td>Minority Business Enterprise Black</td>
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<tr>
<td>CREATIVE VISION RESOURCES, LLC</td>
<td>11441 Almonaster Ave</td>
<td>New Orleans, LA 70129</td>
<td>504-344-9713, 504-344-9773</td>
<td><a href="mailto:leonard@cresres.com">leonard@cresres.com</a></td>
<td>Minority Business Enterprise Black</td>
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<tr>
<td>CRESCENT RESOURCES, LLC DBA CRESCENT *</td>
<td>659 Poydras Street, Suite 2317</td>
<td>New Orleans, LA 70130</td>
<td>504-302-0950, 504-303-4333</td>
<td><a href="mailto:erhodes@x-rhodes.com">erhodes@x-rhodes.com</a></td>
<td>Minority Business Enterprise Hispanic</td>
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<tr>
<td>CROSS RHODES REPROGRAPHICS, INC</td>
<td>68467 Highway 59, Suite 1</td>
<td>Mandeville, LA 70443</td>
<td>985-273-3200, 985-273-3201</td>
<td><a href="mailto:wrogers@constructionworkers.com">wrogers@constructionworkers.com</a></td>
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<td><a href="mailto:wrogers@constructionworkers.com">wrogers@constructionworkers.com</a></td>
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</table>
Curtis Wright Builders
2773 Standard Oil Road
Shreveport, LA 71108

Wright, Curtis
BC-Construction, B01-Remodeling, B77-FLOORING, B80-Wall Covering and Painting, B84-Residential Building Construction, B87-Drywall Contractor, B93-Wood Framing

Cuzan Services, LLC
PO Box 481
Belle Chase, LA 70037

John Hughes
B8-Commercial Painting, B87-Hazardous Waste Removal, B89-Wall Covering and Painting, B94-John@CuzanServices.com

Cygnent, Inc.
731 Napoleon Avenue
New Orleans, LA 70115

Claus W. Curtis
C15-Research Surveys, C17-General Public Relations

D & L Landscaping
330 South Elm
Haughton, LA 71037

Isom, David
714-Slab Sodding, 715-Topsoil, 716-Vegetative Fiber Mulch, 717-Seeding, 719-Landscaping, 722-Mobilization

D. Clark Harris, Inc.
325 Baru Road
Fayetteville, GA 30214

Harris, Dorothy
C10-Management, C11-Planning, C18-Community Involvement, C19-Construction Management

D. Evans Electric, LLC
121 Cypress Grove Ct.
New Orleans, LA 70131

Daryl Evans
710-Electrical Wiring, 720-Structural Concrete, 730-Electrical, 739-Hydro-Seeding

D. Honor Construction, LLC
383 Highlandia Drive
Baton Rouge, LA 70810

Dwayne H. B. Dwayne
BC-Construction, BC-Masonry, B04-Ceramic, B12-Maintenance Mowing, B36-Landscape Paving and Modular Retaining Retaining as Cherrie@honore.com
Walls, 340-Structural Masonry, 541-Plumbing, 542-Commercial Painting, 577-FLOORING, 890-Wall Covering and Painting, 891-Joint Cleaning and Sealing, 891-Structural Shores, 798-Concrete, 999-Wood Framing, 999-Parking Lot, 999-Structural Steel, 999-Construction Layout Design, 201-Cleaning and Grubbing, 202-Removal of Retaining Structures and Obstructions, 203-Cleaning and Grubbing, 701-Culverts and Storm Drains, 704-Drainage, 706-Cement, Drives And Incidental Paving, 707-Curbs and Gutters, 710-Driveway, 711-Driveway, 712-Revetments, 713-Temporary Signs, Barricades, Barriers and Pavement Markings, 715-Topsoil, 724-Pavement Patching, Widening, and Joint Repair, 802-Structural Excavation and Backfill, 803-Steel Pile, 804-Driven Pile, 805-Structural Concrete, 806-Reinforcement, 807-Structural Metals

D. T. Read Steel Co., Inc.
1751 West Road
Chesapeake, VA 23323-6400

Dwight T. Read
301-One Place Stabilized Concrete Base Course, 403-Stabilized Concrete Base Course, 504-Asphaltic Concrete Pavement Patching, dtrude@drreadsteel.com

D.J.S. Janitorial Services, L.L.C.
P.O. Box 2294
Kenner, LA 70063

Jeanne A. Darlin
D45-Janitorial Services

Dl Lawn and Landscape Services
21 Foster Drive
Deville, LA 71328

MINORITY BUSINESS ENTERPRISE
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<th>Company Name</th>
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<th>Address</th>
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<tr>
<td>Dale Stockstill &amp; Associates</td>
<td><a href="mailto:dautoe@gmail.com">dautoe@gmail.com</a></td>
<td>832-Maintenance Mowing, 719-Landscaping</td>
<td>401-Asphaltic Concrete Mixtures, 502-Supplementary Asphaltic Concrete Mixtures, 503-Asphaltic Concrete Equipment and Processes, 601-Portland Cement Concrete Pavement, 701-Culverts and Storm Drains, 702-Monohole, Junction Boxes, Catch Basins, and End Treatments, 703-Underdrain Systems, 706-Concrete Walls, Drives And Incidental Paving, 707-Curb and Gutters, 708-Via -Structural Concrete-Precast Box Culverts and Headwalls, 805-C-Structural Concrete-Cast In Place Block Paving, 808-Sand Grid Flooring, 813-C-Excavation and Grading, 824-Steel Reinforcement</td>
<td>1/31/2011</td>
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<tr>
<td>Davis Equipment Management</td>
<td>dbrown@d babrownassociates.com</td>
<td>601 Laurus Street</td>
<td>225-266-8180</td>
<td>813-Maintenance Mowing, 719-Landscaping</td>
<td>11/11/2011</td>
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<tr>
<td>Davis Equipment Management</td>
<td>dbrown@d babrownassociates.com</td>
<td>601 Laurus Street</td>
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<tr>
<td>DeCuir, Clark &amp; Adams, LLP</td>
<td>372 North Blvd, Baton Rouge, LA 70802</td>
<td>Architectural Engineering</td>
<td>BLACK</td>
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<td>DEL VALLE SERVICES, LLC</td>
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<td>DEL TECH AIR, LLC</td>
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<td>Building Systems</td>
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<td>Delta Services</td>
<td>5750 N SAM HOUSTON PKWY SUITE 501, HOUSTON, TX 77032</td>
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<td>DE LTHA CORPORATION</td>
<td>3520 GEN. DEGUARDE DRIVE, SUITE 506, NEW ORLEANS, LA 70114</td>
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<td>DESIGN OFFICE, LLC</td>
<td>3308 TULANE AVESTE 324, NEW ORLEANS, LA 70119</td>
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<td>DESTINY CONSTRUCTION COMPANY, LLC</td>
<td>338 CHAD B BAKER STREET, RESERVE, LA 70134</td>
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<tr>
<td>DESTINY'S CLOSET LL, LLC</td>
<td>4700 CHALMERS DRIVE, NEW ORLEANS, LA 70127</td>
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<td>DET Trucking Services, LLC</td>
<td>3857 CONOVER LANE, HARVEY, LA 70058</td>
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<td>Detailed Painting &amp; Drywall LLC</td>
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<td>DEVCOM, LLC</td>
<td>2068 CERRITAS VIA, HARVEY, LA 70058</td>
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<tr>
<th>Company Name</th>
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<tr>
<td>Diamond Logistics, LLC</td>
<td>2624 Touro St, NEW ORLEANS, LA 70119</td>
<td>Depau, Rosa</td>
<td>504-355-1557</td>
<td><a href="mailto:diamondlogistics@la.gov">diamondlogistics@la.gov</a></td>
<td>MINORITY ENTERPRISE</td>
<td>2/1/2013</td>
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<tr>
<td>DIEDONNE ENTERPRISES, INC.</td>
<td>3809 RIVER OAKS ROAD SOUTH, HARRAHAN, LA 70123</td>
<td>Brottn, Rica</td>
<td>504-304-7933</td>
<td><a href="mailto:diedonnetrina522@yahoo.com">diedonnetrina522@yahoo.com</a></td>
<td>WHITE WOMEN BUSINESS ENTERPRISE</td>
<td>1/1/2007</td>
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<tr>
<td>DILLON BROS READY MIX CONCRETE</td>
<td>11100 ALMONSTER AVENUE, NEW ORLEANS, LA 70127</td>
<td>Dilllon, Larry</td>
<td>504-241-2066</td>
<td><a href="mailto:godff@zest.com">godff@zest.com</a></td>
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<tr>
<td>Dirrie Technology &amp; Consulting</td>
<td>700 University Ave/Ruberia Hall Suite 120, Meaux, LA 71209</td>
<td>Joshu Jones</td>
<td>504-242-6263</td>
<td><a href="mailto:godff@la.gov">godff@la.gov</a></td>
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<td>DIOTCLEAN MOBILE DETAIL, LLC</td>
<td>3311 TALLWOOD DRIVE, BOUTON ROUGE, LA 70805</td>
<td>Williams, Harold</td>
<td>225-406-6923</td>
<td><a href="mailto:harold@lawn.com">harold@lawn.com</a></td>
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<tr>
<td>DISASTER RECOVERY TEAM, LLC</td>
<td>736 MOKINGBIRD LANE, ST TOME, LA 70847</td>
<td>Derrick McCray</td>
<td>225-372-8105</td>
<td><a href="mailto:drwine@windfeelproperties.com">drwine@windfeelproperties.com</a></td>
<td>MINORITY BUSINESS ENTERPRISE</td>
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<tr>
<td>DISCOUNT REALTY LLC DBA WINDFEEL PROP*</td>
<td>603 SAINT JOSEPH STREET, NEW ORLEANS, LA 70130</td>
<td>William, Harold</td>
<td>504-283-0249</td>
<td><a href="mailto:drwine@windfeelproperties.com">drwine@windfeelproperties.com</a></td>
<td>MINORITY BUSINESS ENTERPRISE</td>
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<tr>
<td>DISPOSAL SERVICES, INC.</td>
<td>1107 S HARDY ST, NEW ORLEANS, LA 70127</td>
<td>Ralph, Tyrone Jr</td>
<td>504-821-2001</td>
<td><a href="mailto:timph@disposalservicesinc.net">timph@disposalservicesinc.net</a></td>
<td>MINORITY BUSINESS ENTERPRISE</td>
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<tr>
<td>DIVERSE BUILDING ENTERPRISE, LLC</td>
<td>3350 RIDGE LAKE DRIVE, SUITE 200, METAIRIE, LA 70002</td>
<td>Viada, Maria E.</td>
<td>504-495-396</td>
<td><a href="mailto:viada@disposalservicesinc.net">viada@disposalservicesinc.net</a></td>
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<td>10/29/2010</td>
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<tr>
<td>Division 16, LLC</td>
<td>PO BOX 3941, GUAYNABO, PR 00970</td>
<td>Rodriguez, Carien</td>
<td>504-202-9181</td>
<td><a href="mailto:cruzal@division16pr.com">cruzal@division16pr.com</a></td>
<td>MINORITY BUSINESS ENTERPRISE</td>
<td>10/1/2014</td>
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<tr>
<td>DLA TRUCKING, LLC</td>
<td>1540 WESTMINSTER, MARFA, LA</td>
<td>Addison, Devin</td>
<td>504-321-1705</td>
<td><a href="mailto:dlatrucking40@gmail.com">dlatrucking40@gmail.com</a></td>
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<td>2/23/2016</td>
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<tr>
<td>DLANDstudio</td>
<td>137 Clinton Street, BROOKLYN, NY 11201</td>
<td>C88, Architectural</td>
<td>718-644-0244</td>
<td><a href="mailto:c88@landstudio.com">c88@landstudio.com</a></td>
<td>WHITE WOMEN BUSINESS ENTERPRISE</td>
<td>10/5/2015</td>
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<tr>
<td>DRAINAGE MATERIALS COMPANY, INC.</td>
<td>137 Clinton Street, BROOKLYN, NY 11201</td>
<td>C88, Architectural</td>
<td>504-821-2001</td>
<td><a href="mailto:timph@disposalservicesinc.net">timph@disposalservicesinc.net</a></td>
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<td>Derrick McCray</td>
<td>225-372-8105</td>
<td><a href="mailto:drwine@windfeelproperties.com">drwine@windfeelproperties.com</a></td>
<td>MINORITY BUSINESS ENTERPRISE</td>
<td>11/2/2007</td>
</tr>
<tr>
<td>DISPARTMENT OF TRANSPORTATION AND DEVELOPMENT</td>
<td>3809 RIVER OAKS ROAD SOUTH, HARRAHAN, LA 70123</td>
<td>Brottn, Rica</td>
<td>504-304-7933</td>
<td><a href="mailto:diedonnetrina522@yahoo.com">diedonnetrina522@yahoo.com</a></td>
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<td>DIRECTIONS TECHNOLOGY, INC.</td>
<td>700 University Ave/Ruberia Hall Suite 120, Meaux, LA 71209</td>
<td>Joshu Jones</td>
<td>504-242-6263</td>
<td><a href="mailto:godff@la.gov">godff@la.gov</a></td>
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<td><a href="mailto:cruzal@division16pr.com">cruzal@division16pr.com</a></td>
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<td>504-321-1705</td>
<td><a href="mailto:dlatrucking40@gmail.com">dlatrucking40@gmail.com</a></td>
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<td>718-644-0244</td>
<td><a href="mailto:c88@landstudio.com">c88@landstudio.com</a></td>
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# LA DOTD - Certified DBE Directory

**SEAN LAURENT AND NEIL METOYER**  
BC-Building Construction  
sean@dynamicnola.com

## Contractor Address

<table>
<thead>
<tr>
<th>Contractor Name</th>
<th>Address</th>
<th>City, State Zip</th>
<th>Owner</th>
<th>Type</th>
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<tr>
<td>E-Z LOPEZ PAINTING &amp; DRYWALL, LLC</td>
<td>705 N PIERCE AVENUE</td>
<td>METAIRIE, LA 70003</td>
<td>LOPEZ, ZAIRA</td>
<td>504-884-2039</td>
<td>MINORITY BUSINESS ENTERPRISE</td>
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<td>504-947-3392</td>
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<tr>
<td>E-1 ELECTRIC, LLC</td>
<td>1440 N. DORGEBOS STREET</td>
<td>NEW ORLEANS, LA 70119</td>
<td>LAWRENCE, RUSHEN</td>
<td>504-947-3393</td>
<td>MINORITY BUSINESS ENTERPRISE</td>
<td>BLACK</td>
<td>504-947-3394</td>
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<tr>
<td>E.A. BIGGS &amp; ASSOCIATES, INC.</td>
<td>1260 ENGINEERS ROAD</td>
<td>BELLE CHASSE, LA 70337</td>
<td>SMITH, PAM</td>
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<td>EquaGENESIS</td>
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<td>SARASOTA, Fl. 34234</td>
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Visit [this link](http://wwwapps.dotd.la.gov/engineering/lettings/subsdbed/dbhq20160511.aspx) for more information.
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5/23/2016
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<td>303-629-3457</td>
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<td>FIELDS PROFESSIONAL SERVICES</td>
<td>7814 Seville Court, Baton Rouge, LA 70829</td>
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<td>Finch Constructors, Inc.</td>
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<td>FIRST IMPRESSION CONSTRUCTION LLC</td>
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<td>FLOWSTREAM MANAGEMENT</td>
<td>260 N. Farmerville #2, Ruston, LA 71270</td>
<td>318-265-2599</td>
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<td>G.D. Swing</td>
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<td>G.E.N.T.'S ENTERPRISES LLC</td>
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<td>4330 VICTORIA DRIVE, BATON ROUGE, LA 70812</td>
<td>225-774-7481</td>
<td><a href="mailto:evelynbraud1@yahoo.com">evelynbraud1@yahoo.com</a></td>
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<td>G.C.E. ENTERPRISES LLC</td>
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<td>GAC SERVICES, LLC</td>
<td>ASIAN OR PACIFIC ISLANDER</td>
<td>2621 JUDITH STREET, METAIRIE, LA 70003</td>
<td>504-884-7805</td>
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<td>1240 WASHINGTON AVENUE, NEW ORLEANS, LA 70130</td>
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<td>GALLAGHER SECURITY, INC.</td>
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<td>781 BEHRMAN HIGHWAY #101, TERRYTOWN, LA 70003</td>
<td>504-903-1912</td>
<td><a href="mailto:gil2secure@bellsouth.net">gil2secure@bellsouth.net</a></td>
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<td>GALLARDO ADVERTISING AGENCY, LLC</td>
<td>HISPANIC</td>
<td>19300 N 3RD STREET, COVINGTON, LA 70433</td>
<td>985-903-3596</td>
<td><a href="mailto:rorygallardo@bellsouth.net">rorygallardo@bellsouth.net</a></td>
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<td>GARDEN DOCTORS, LLC</td>
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<td>106 JASMINE CT, BELLE CHASSE, LA 70353</td>
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<td>Garrett ECV</td>
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<td>2659 Livingston Road, JACKSON, MS 39213</td>
<td>601-896-0084</td>
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<td>Gartek Engineering</td>
<td>HISPANIC</td>
<td>7210 WE 39 TERRECE, MIAMI, FL</td>
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<td>Gator's Contracting &amp; Trucking</td>
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<td>3594 Hwy 316, GREY, LA 70359</td>
<td>985-262-0286</td>
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<td>Gidi Associates, LLC</td>
<td>OTHER</td>
<td>1450 ANNUNCIATION ST #220, NEW ORLEANS, LA 70130-5003</td>
<td>504-235-8107</td>
<td><a href="mailto:gidiassociate3@gmail.com">gidiassociate3@gmail.com</a></td>
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GEAUX DATA, LLC
215 REPUBLIC AVE 83108
LAFAYETTE, LA 70508
LOCKE, ANNA
C33-Traffic Counting and Data Collection

GEAUX DATA, LLC
215 REPUBLIC AVE 83108
LAFAYETTE, LA 70508
LOCKE, ANNA
C33-Traffic Counting and Data Collection

GENDUSA ENTERPRISES, INC.
18 COMMERCE COURT
HARAHAN, LA 70123
GENDUSA, JULIE L.

GENERATIONS TRANSPORT, LLC
PO BOX 3142
Baton Rouge, LA 70821
DICKERSON, CYNTHIA
TRK-Tracking

GENTILELY DEVERS REMOVAL, INC.
3824 BRIANT DRIVE
MARRERO, LA 70072-6946
MARK A. DENIS
881-Solid Waste Disposal, TRK-Tracking

GEOCELL ENGINEERING, INC.
1077 RODNEY DRIVE
BATON ROUGE, LA 70808
TAVERA, EDUARDO

GHERA & ASSOCIATES, LLC
3241 HEISSMER AVENUE
METAIRIE, LA 70002
GIRAU, SEIGRIO J.
G49-Geotechnical Engineering C09-Civil Engineering C22-Environmental Engineering

GLADYS F. SMITH REAL ESTATE CO.
309 SOUTH 1ST STREET
MONROE, LA 71201
SMITH, GLADYS F.
C61-Real Estate Sales

GLENDO PREWITT CONTRACTOR, INC
729 ENERGY CENTER BLVD., STE 504
TUSCALOOSA, AL 35473
PREWITT, GLENDO
BC-Building Construction, B84-Residential Building Construction

GLOBAL CLEANING SERVICES, LLC
P O BOX 59144
NEW ORLEANS, LA 70158-8914
BADDIO, PATRICE
BC-Building Construction, B95-Wood Framing, 202-Removal or Relocating Structures and Obstructions

GLOBAL COMMERCE & SERVICES, LLC
2439 MANHATTAN BLVD., STE 500
HARVEY, LA 70058
SMITH, JOANNE
C16-Computer Analysis

GLOBAL CONVEYOR INSTALLATION, INC.
3900 BOWFIN TRAIL
KISSIMMEE, FL 34746
HENRY, BRANDON E
C05-Airport Equipment Installation and Maintenance

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<td>Global Parking Systems, LLC</td>
<td>Minority Business Enterprise</td>
<td>6600 Plaza Drive, Suite 307, New Orleans, LA 70127</td>
<td>Ronald Burns, Airport Shuttle Bus</td>
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<td>210 Titus Lane, Pineville, SC 29468</td>
<td>David Middleton, Consulting Services</td>
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<td>Golden Holley James, LLP</td>
<td>Minority Business Enterprise</td>
<td>1800 Martin Luther King, Jr Blvd, Savannah, GA 31415</td>
<td>James R. Burns, Airport Shuttle Bus</td>
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<td>106 Bic Street, Belle Chasse, LA 70033</td>
<td>Roger Greco, Groco</td>
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<td>Greco Construction</td>
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<td>P.O. Box 608, Belle Chasse, LA 70032</td>
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<td>Green Innovations Enterprises</td>
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<td>8210 Southdowns Drive, Shreveport, LA 71107</td>
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<td>Green Tiger Painting</td>
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<td>2490 Delta Street, Baton Rouge, LA 70808</td>
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<td>Greenbelt Protection Service, LLC</td>
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<td>1955 Lake Forest Blvd Ste B, New Orleans, LA 70127</td>
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SHEPARD P. GREEN, JR  
C28-Security Systems, C35-Security Surveillance  
504-252-9451  
hr@greenehrsecurity.com  
5/22/2015

Greenhart Group  
3810 Octavia Street  
New Orleans, LA 70125  
Mindy Airhart  
C04-Broker Fees - Miscellaneous  

GRIDLINE SERVICES, LLC  
426 RUTHERFORD DRIVE  
COVINGTON, LA 70433  
JULIE BOUDREAU  
BC-Building Construction, C16-Management, C74-Construction Management  

GRIFFITH SOLUTIONS, LLC  
P.O. BOX 247  
SEVERNA PARK, MD 21146  
JI. GRIFFITH, NANCY  
C16-Computer Analysis  

GRIBKO, LLC  
410 NORTH MICHIGAN AVENUE, SUITE 40  
CHICAGO, IL 60611  
GRIBKO, CHERYL  
C47-Public Relations  

GROWTH DEVELOPMENT MARKETING, INC.  
101 W. MISSIN BLVD #110-303  
POMONA, CA 91766  
GATES, GREG  
C73-Broker Fees for Construction Materials  

GT & Associates Of Texas, Inc.  
POST OFFICE BOX 4243  
BATON ROUGE, LA 70821-2423  
Gupta, Smita  
C84-3cheduling, C02-Mechanical Engineering, C03-Drafting, C05-Structural Engineering, C06-Land Surveying, C09-Civil Engineering, C18-Management, C17-Supportive Services, C21-Construction Inspections  

GULF SOUTH ENGINEERING & TESTING, INC.  
2201 ABERDEEN STREET  
KENNER, LA 70062  
GREENUP, RODNEY  
B63-Construction Material Testing, C01-Environmental Engineering  

GULF SOUTH RESEARCH CORPORATION  
884 GISH ROAD  
BATON ROUGE, LA 70820  
KNAUS, SUNA ADAM  
C22-Environmental Engineering  

GULF SOUTH SERVICE SOLUTIONS, LLC  
101 GAIL DRIVE  
LA PLACE, LA 70658  
WOLVERTON, NORMA  
B32-Maintenance Mowing, C03-Courier Messenger Services  

GULF STATES CONSTRUCTORS, LLC  
P.O. BOX 792  
METAIRIE, LA 70004  
VILLANUEVA, IGNACIO  
B51-Directional Drilling, 728-Jacked or Bored Pipe, 804-Driven Piles  

GULF TO GULF BRIDGE ENGINEERING  
302 ACADEMY DRIVE  
METAIRIE, LA 70003  
BANAHMAD, SUHAD  
C09-Structural Engineering, C09-Civil Engineering, C74-Construction Management  

Guten, Inc.  
P.O. BOX 80645  
BATON ROUGE, LA 70889-0645  
Gutierrez, Humberto  

GWJ CONSTRUCTION AND SUPPLIES, LLC  
6711 SHERWOOD DRIVE  
NEW ORLEANS, LA 70128  

5/23/2016
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<td>GLAPION-DAYS, LYDIA</td>
<td>C11-Planning, C36-Marketing, C47-Public Relations</td>
<td><a href="mailto:lgd@idealconnectionsllc.com">lgd@idealconnectionsllc.com</a></td>
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<td>IMDC, INC.</td>
<td>1060 MAITLAND CENTER COMMONS, SUITE</td>
<td>MUNDY, GREGORY</td>
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<td>INFINITY ENGINEERING CONSULTANTS, LLC</td>
<td>P.O. BOX 79745, NEW ORLEANS, LA 70179-2745</td>
<td>CHAUVIN, RAOUL III, P.E</td>
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<td>INNOVATIVE ARCHITECTURAL PLANNERS</td>
<td>2740 AIRPORT DR, SUITE 300, COLUMBUS, OH 43219</td>
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<td>INNOVATIVE SALES AND CONSULTING OF AMER*</td>
<td>125 N. THIARD STREET, COVINGTON, LA 70433</td>
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<td>INSURANCE DESIGN &amp; PLACEMENT, INC.</td>
<td>1615 POYDRAS STREET, SUITE 900, NEW ORLEANS, LA 70112</td>
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<td>INTEC OF LOUISIANA</td>
<td>5351 (CROSSOVER ROAD, INDEPENDENCE, LA 70443</td>
<td>PALANAPPAN, ELLAPPAYAN A</td>
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<td>INTEGRATED MANAGEMENT SERVICES, PA D/B/A*</td>
<td>400 POYDRAS ST., STE. 1335, NEW ORLEANS, LA 70130</td>
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<td>INTEGRATED MANAGEMENT SOLUTIONS, LLC</td>
<td>4300 S 4-H SERVICE ROAD SUITE 101, METAIRIE, LA 70002</td>
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<td>BC-Building Construction, B01-Roofing, B17-FLOORING, B84-Residential Building Construction, B87-Drywall Contractor</td>
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MINORITY BUSINESS ENTERPRISE:

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WHITE WOMEN BUSINESS ENTERPRISE:

- OTHER

WEB SITE:


5/23/2016
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<td>J &amp; T's Trucking</td>
<td>302 South 12th Street</td>
<td>Monroe, LA 71201</td>
<td>Tandy L Barnes Sr</td>
<td>TRK-Tracking</td>
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<td>J &amp; K CONCRETE PUMPING, LLC</td>
<td>P.O. BOX 222</td>
<td>RESERVE, LA 70759</td>
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J TERRANCE CONSTRUCTION, LLC
705 BLACK LAKE BLVD
SHREVEPORT, LA 71101

MINORITY BUSINESS ENTERPRISE
1/30/2013
817-358-7317

J&A SPECIALTY DISTRIBUTORS
442 BLACK WATTS, LA 71105

MINORITY BUSINESS ENTERPRISE
9/10/2014
318-861-7100
318-861-2500
terrie@specalityinc.com

J & H Contractors Unlimited
3947 I-10 W 182 E
Morgan City, LA

MINORITY BUSINESS ENTERPRISE
2/2/2016
985-226-4405
985-872-7561
willerjohnsonmr@yahoo.com

J. BROWN CONSTRUCTION, LLC
202 CITRUS ROAD
RIVER HIDE, LA 70123

MINORITY WOMEN BUSINESS
3/4/2016
985-200-8094

J.A. MANNING CONSTRUCTION CO., INC
46220 US HWY 231
GRENADA, AL 36731

MINORITY BUSINESS ENTERPRISE
8/31/2010
205-594-3305
205-594-3552

J.A. WATTS, INC
940 WEST ADAMS STREET, SUITE 400
CHICAGO, IL 60607

WHITE WOMEN BUSINESS ENTERPRISE
8/12/2017
312-997-3120
3129973726
jevatts@jwincorporated.com

J.E.S. CONSTRUCTION, INC
PO BOX 442
EDOARD, LA 70949

MINORITY BUSINESS ENTERPRISE
1/11/2004
985-497-4433
985-497-2854

J.E.S., Inc
736 NAPOLEON AVENUE
NEW ORLEANS, LA 70115

WHITE WOMEN BUSINESS ENTERPRISE
10/1/2009
504-301-1402
504-373-5104

J.J. LEVEE ENTERPRISE, INC
330 MARSHAL STREET, STE 934
SHREVEPORT, LA 71101

MINORITY BUSINESS ENTERPRISE
4/1/2003
318-222-3750
318-222-3758
liz@jesincorporated.com

Jackson & Fontenot Const. Co., Inc
2070 BAY OAKS DRIVE
MORRIL, LA 71233

MINORITY BUSINESS ENTERPRISE
11/30/2013
318-345-1742
318-345-1746

Jackson & Tull
2705 Blairstown Road NE
Washington, DC 20015

MINORITY BUSINESS ENTERPRISE
2/22/2016
202-233-5510

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<td>JADE'S CONCRETE AND TRUCKING SERVICES</td>
<td>230 RIVERVIEW DRIVE SAINT ROSE, LA 70871</td>
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<td>JAT Consulting Services, INC.</td>
<td>130 SHILOH ROAD, N.W., SUITE 1430 KENNESAW, GA 30144-</td>
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<td>JAT Trucking</td>
<td>PO Box 453 Getman, LA 70734</td>
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<td>JAZFAM Associates, INC.</td>
<td>104 CALTERWOOD ROAD AMSTERDAM, NY 12010</td>
<td>718-843-7243, <a href="mailto:jazfamin@iazfam.com">jazfamin@iazfam.com</a></td>
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<td>JB Communication, LLC</td>
<td>1651 PRINCETON STREET NEW ORLEANS, LA 70123-1003-1</td>
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<td>JC Cheek Contractors, Inc.</td>
<td>PO BOX 1138 KOSCIUSKO, MS 30090</td>
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<td>JC Machine Works</td>
<td>700 NW 32 Court Miami, FL 33142-6</td>
<td>305-634-5224, 305-634-5280 <a href="mailto:manny@jcmachineshop.com">manny@jcmachineshop.com</a></td>
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<td>JC Supply &amp; Manufacturing</td>
<td>1612 S CUCAMONGA AVENUE ONTARIO, CA 91761</td>
<td>707-733-1733, <a href="mailto:connie@jcsupply.us">connie@jcsupply.us</a></td>
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<td>JD James, Inc Oba Nature Bridges</td>
<td>1396 SEVEN BRIDGES ROAD MONTEREAL, FL 32344-9</td>
<td>850-997-8385, 850-385-3493 <a href="mailto:aprl@natbendarbridges.com">aprl@natbendarbridges.com</a></td>
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<td>JD's Rebar &amp; Construction Inc.</td>
<td>334 RAPIDES AVENUE ALEXANDRIA, LA 71301-7</td>
<td>318-561-2977, 318-561-7542 <a href="mailto:harleyjohn@hotmail.com">harleyjohn@hotmail.com</a></td>
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<td>JDC Secure Solutions, LLC</td>
<td>70 BERNICE DRIVE LULING, LA 70707-8</td>
<td>504-427-9723, 504-704-5343 <a href="mailto:jmdiehl@jdcsecure.com">jmdiehl@jdcsecure.com</a></td>
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<td><a href="http://www.jordimint@aol.com">www.jordimint@aol.com</a></td>
<td><a href="mailto:jordan@sbcglobal.net">jordan@sbcglobal.net</a></td>
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<td>JLE CONTRACTORS, LLC</td>
<td>1620 MONROE STREET</td>
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<td><a href="http://www.jlecontractors@att.net">www.jlecontractors@att.net</a></td>
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<td>JONES BROTHERS ENTERPRISE, INC.</td>
<td>1314 LAVON ROAD</td>
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<td>JOHN HEIMS TRUCK AND TRANS., LLC</td>
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<td>Karma Contractors, LLC</td>
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<td>318-588-1197</td>
<td><a href="mailto:reshma@karmacollectors.com">reshma@karmacollectors.com</a></td>
<td><a href="http://www.karmacollectors.com">www.karmacollectors.com</a></td>
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<td>KB Environmental Sciences, Inc.</td>
<td>9500 Koger Boulevard Suite 211, St. Petersburg, FL 33702</td>
<td>727-578-2344</td>
<td><a href="mailto:kbenh@kbenv.com">kbenh@kbenv.com</a></td>
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<td>130 Irion Road, Opelousas, LA 70570</td>
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<td>Kendrick &amp; Kendrick Construction</td>
<td>11670 Fountain Drive Suite 200, Maple Grove, MN 55369</td>
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<td><a href="mailto:kendrick@kenallinc.com">kendrick@kenallinc.com</a></td>
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<td>KEYWEL TECHNOLOGIES, LLC</td>
<td>854-LABORATORY AND CHEMICAL ANALYSIS TECHNOLOGY</td>
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<td>KIRK LASTRAPES CONSTRUCTION CO., LLC</td>
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<td>KITTERLIN CREEK NURSERY</td>
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<td>KLL, INC.</td>
<td>318-602-6996, 504-245-8932</td>
<td><a href="mailto:kerry@kskplumbingllc.com">kerry@kskplumbingllc.com</a></td>
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<td>KMAK Business Service, Inc</td>
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<td>KNIGHTEN CONSTRUCTION, LLC</td>
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<td><a href="mailto:kerry@kskplumbingllc.com">kerry@kskplumbingllc.com</a></td>
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<td>KSK PLUMBING &amp; MECHANICAL, LLC</td>
<td>504-266-2122, 504-267-5761</td>
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<tr>
<td>L-FORCE MANAGEMENT GROUP, INC DBA NOAH W Po Box 871223 NEW ORLEANS, LA 70187-1223 NOAH WAYNE LEWIS C23-Insurance Management</td>
<td>MINORITY BUSINESS ENTERPRISE BLACK 504-751-1138 504-751-1105 <a href="mailto:noah@noahlewisinsurance.com">noah@noahlewisinsurance.com</a></td>
<td>3/1/2014 60991</td>
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<tr>
<td>L. White Companies LLC 5287 Canfield RoadPO Box 3406 Sl. Francisco, LA 70775 White Jr, Leonard C C17-Supportive Services, C43-Business Process Analysis, C57-DBE Plans &amp; Goal Preparation</td>
<td>MINORITY BUSINESS ENTERPRISE BLACK 504-382-4004 504-949-5805 lewsam <a href="mailto:ENTERPRISES@yahoo.com">ENTERPRISES@yahoo.com</a></td>
<td>8/1/2012 337-494-6900 337-436-4606 <a href="mailto:gary@lakecitytrucking.com">gary@lakecitytrucking.com</a></td>
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<td>323 LAFAYETTE ST</td>
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**MINORITY BUSINESS ENTERPRISE**

- Subcontinental Asian
- Black
- Hispanic
- Women

**Certified DBE Directory Page**

- 5/23/2016
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<td>365 Canal Street, Suite 1155</td>
<td>New Orleans, LA 70130</td>
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<td>Law Office of Randy Dukes, LLC</td>
<td>1106 Poydras Street, Suite 2900</td>
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<td><a href="mailto:rd@dukeslawoffice.com">rd@dukeslawoffice.com</a></td>
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<td><a href="mailto:legetteconstruction@yahoo.com">legetteconstruction@yahoo.com</a></td>
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<td>Lehenard Painting &amp; Maintenance</td>
<td>7338 Breved Avenue</td>
<td>New Orleans, LA 70127</td>
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LEONARD, GEORGE
B45-Janitorial Services, B48-Commercial Cleaning, B52-Commercial Painting, 811-Painting and Protective Coatings
LUTZ, FL 33549
SAUNDERS, LESLIE
C23-Insurance Management
geoleonard3@yahoo.com

LEWIS, PAUL
212 KIM RUSH ROAD
MARKSVILLE, LA 71351-4956
PAUL LEWIS
lewtechps@msn.com

LEWIS, SAM
401 CHEF MENETEUR BOULEVARD
NEW ORLEANS, LA 70126
Tension Lewis
BC-Building Construction, B63-Construction Material Testing, 028-Supply of Electrical Equipment, 055-Electrical Supplies

WHITE WOMEN BUSINESS ENTERPRISE
9/5/2012

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<td>MINORITY BUSINESS ENTERPRISE</td>
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5/23/2016
MANNING, RAYMOND
C04-Architectural Engineering, C11-Planning

504-122201
wmanning@manningarchitects.com

MARCELIN ENGINEERING, LLC.
938 LAFAYETTE ST., STE 406
NEW ORLEANS, LA 70113
SUNDATA MARCELIN
CSL-Construction Layout Design, C02-Mechanical Engineering, C09-Civil Engineering, C22-Environmental Engineering

MINORITY BUSINESS ENTERPRISE
BLACK
504-597-5795
504-286-1473
sundate@marcelinengineering.com

Marina Johnson Construction
419 North Main Street
Poplarville, MS 39470
Marcia Johnson
B80-Wall Covering and Painting, B87-Drywall Contractor

MINORITY BUSINESS ENTERPRISE
BLACK
504-975-5795
504-286-1473
sundiata@marcelinengineering.com

MARIAN'S MEDICAL SUPPLIES, LLC
11447 FLORIDA BLVD
BATON ROUGE, LA 70815

COLLINS, ANTWANETTE
090-Medical Supplies

MINORITY BUSINESS ENTERPRISE
BLACK
225-454-6852
225-615-8277
mariansi@att.net

MARK DOYLE CONSTRUCTION, LLC
2377 VANCLEVE ROAD
BOSSIER CITY, LA 71111
DOYLE, MARK
201-Clearing and Grubbing, 202-Removal or Relocating Structures and Obstructions, 203-Excavation and Embankment, 204-Temporary Erosion Control, 701-Culverts and Storm Drains, 706-Concrete Walks, Drives And Incidental Paving, 707-Curbs and Gutters, 726-Bedding Materials

MINORITY BUSINESS ENTERPRISE
BLACK
318-218-5638
DOYLE, MARK
318-746-2955

MARK'S ELECTRIC
11457 George McCoy
Amite, LA 70422
Mark Batiste
BC-Building Construction, 201-Clearing and Grubbing, 202-Removal or Relocating Structures and Obstructions, 730-Electrical Systems

MINORITY BUSINESS ENTERPRISE
BLACK
985-969-2688
985-748-6107
markselectric@att.net

MARRION GRAY MEDIA, INC
838 NORTH BOUILLARD
BATON ROUGE, LA 70802
Gray, Rannah
C47-Public Relations

MINORITY BUSINESS ENTERPRISE
HISPANIC
225-381-3036
rannah@marrilliongray.com

MARRERO COUVILLON & ASSOCIATES, LLC
4354 S. SHERWOOD FOREST BLVD., SUITE 100
BATON ROUGE, LA 70816
MARRERO, HUGO
C02-Mechanical Engineering, C07-Electrical Engineering

MINORITY BUSINESS ENTERPRISE
HISPANIC
225-608-9249
225-24688244
hmarrero@gwta-his.com

Marshall & Company, Pile
8402 PARKBROOK LANE
KNOXVILLE, TN 37919
MARSHALL, LAURA
C16-Architectural Services

MINORITY BUSINESS ENTERPRISE
WOMEN
MARSHALL, LAURA
225-381-3036
marshall-co@bellalaw.net

MARTHA C. PENA D/A MARQUEZ SERVICES
122 PICKET STREET
ST. ROSE, LA 70087
PENA, MARTHA CECILIA
C06-Marketing

MINORITY BUSINESS ENTERPRISE
WOMEN
PENA, MARTHA CECILIA
504-460-1704
marquezserv@gmail.com

MARTIN INSURANCE AGENCY, INC
4700 OREIGNS AVE
NEW ORLEANS, LA 70119
GEMELLE M. LINZY
C02-Insurance Management

MINORITY BUSINESS ENTERPRISE
HISPANIC
504-488-6133
504-482-3514
gemellem@martinagency.com

MARTINEZ CORPORATION
8011 34TH AVE SOUTH, STE C47
MINNEAPOLIS, MN 55425
MARTINEZ, ANTHONY
C06-Aerial Mapping Topographic

MINORITY BUSINESS ENTERPRISE
HISPANIC
651-686-8424
651-686-8389
john@mtzgeo.com

Mary A. Lynch
5719 OVERTIDGE DRIVE
ARLINGTON, TX 76017-1139
LYNCH, MARY A
C10-Management, C30-Airport Planning and Design, C36-Marketing, 727-Mobilization

MINORITY BUSINESS ENTERPRISE
WOMEN
LYNCH, MARY A
817-478-3308
marylynch316@aol.com

MASON TRUCK SERVICE
7230 WESTHAVEN ROAD
NEW ORLEANS, LA 70126
MASON, SHALOAHM P.
TRK-Trucking, 003-Supply of Aggregates

MINORITY BUSINESS ENTERPRISE
BLACK
504-415-3979
501-391-9675
shalohm76@gmail.com
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<td>3520 General DeGaulle, Suite 3010</td>
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<td>4451 Bluebonnet Boulevard, Ste E</td>
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<td>Mauricio and Sons Plumbing, LLC</td>
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<td>1747 Fort Grant Dr.</td>
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<td><a href="mailto:vwmss@mayvaengineering.com">vwmss@mayvaengineering.com</a></td>
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<td>Max Cooling &amp; Heating, LLC</td>
<td>2130 N. Johnson Street</td>
<td>New Orleans, LA 70116</td>
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<td>C12-Heating &amp; Air Conditioning Supplies</td>
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<td><a href="mailto:Mark@maxcooling.net">Mark@maxcooling.net</a></td>
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<td>MB Design Consultants</td>
<td>8841 Bluebonnet, Suite A</td>
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<td><a href="mailto:mbdesignconsultants@gmail.com">mbdesignconsultants@gmail.com</a></td>
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<td>366 Eden Isles Blvd.</td>
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<td>Paul L. L.L.C.</td>
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<td><a href="mailto:mcrconstructionllc@gmail.com">mcrconstructionllc@gmail.com</a></td>
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<td>1732 Dallas Drive</td>
<td>Baton Rouge, LA 70806</td>
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<td>Kenner, LA 70065</td>
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<td>Holly Mella</td>
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<td><a href="mailto:hollymella@gmail.com">hollymella@gmail.com</a></td>
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<td>Metro Electric and Maintenance, Inc.</td>
<td>PO Box 5021</td>
<td>Lafayette, LA 70502-5021</td>
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<td><a href="mailto:charliester@bellsouth.net">charliester@bellsouth.net</a></td>
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<td>Metro Service Group Inc.</td>
<td>9641 Old Gentilly Road</td>
<td>New Orleans, LA 70127</td>
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<td>B33-Maintenance Mowing, B38-Solid Waste Disposal, B89-Street Sweeping, TRK-Tree Cutting, 201-Clearing and Grubbing, 292-Removal of Retaining and Embankment, 701-Curbs and Storm Drains, 706-Concrete Walks, Doors &amp; Incidental Paving, 707-Curb &amp; Gutters, 727-Mobilization</td>
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<td><a href="mailto:metro@metronoise.com">metro@metronoise.com</a></td>
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<td>Metro-Source, LLC</td>
<td>1240 N Claiborne Ave</td>
<td>New Orleans, LA 70116</td>
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<td>MORINE TRUCKING &amp; CONSTRUCTION, INC</td>
<td>PO BOX 141</td>
<td>MINORITY BUSINESS ENTERPRISE</td>
<td>BLACK</td>
<td>337-351-0748</td>
<td>866-878-0743</td>
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<td>337-351-0748</td>
<td>866-878-0743</td>
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<td>POST OFFICE BOX 112</td>
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<td>MS ENGINEERING AND DEVELOPMENT</td>
<td>7040 Fairway Drive</td>
<td>WHITE WOMEN BUSINESS ENTERPRISE</td>
<td>OTHER</td>
<td>228-265-4726</td>
<td>228-255-3360</td>
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<td>Diamondhead, MS 39525</td>
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<td>KAREN SITES</td>
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<td>MSP GLOBAL SOLUTIONS, LLC</td>
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<td>NEW ORLEANS, LA 70124</td>
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<td>NATION SERVICES COMPANY, INC</td>
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<td>NATIONAL DEVELOPMENT ADVISORS &amp; STRATEGIST</td>
<td>935 GRAVIER STREET, SUITE 1028</td>
<td>WHITE WOMEN BUSINESS ENTERPRISE</td>
<td>OTHER</td>
<td>400-379-1424</td>
<td><a href="mailto:marlenedialnds@gmail.com">marlenedialnds@gmail.com</a></td>
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<td>NATIONAL INSURANCE CONSULTANTS, INC, DIA</td>
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<td>NEAR FUTURE LLC</td>
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<td><a href="mailto:spwarren3@gmail.com">spwarren3@gmail.com</a></td>
<td>972-392-1955, 972-392-3776</td>
<td><a href="mailto:twins@nearfuture.biz">twins@nearfuture.biz</a></td>
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<td>Nelson Equipment</td>
<td>201-Clearing and Grubbing, 202-Removal or Relocating Structures and Obstructions, 203-Evacuation and Embankment, 204-Temporary Erosion Control, 701-Culverts and Storm Drains, 702-Mahcines, Junction Boxes, Catch Basins, and End Treatments, 705-Fences, 706-Concrete Walls, Drives And Incidental Paving, 707-Curbs and Gutters, 710-Flowable Fill, 714-Slab Sodding, 726-Bedding Materials, 727-Mobilization</td>
<td>Nelson, Wilbert</td>
<td>504-356-8095</td>
<td><a href="mailto:neerenenterprise85@aol.com">neerenenterprise85@aol.com</a></td>
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<tr>
<td>NESTOR HOUGHTON, INC. D/B/A HOUGHTON ENTERPRISE</td>
<td>C07-Electrical Engineering, C09-Civil Engineering, C20-Environmental Impact Assessments, C74-Construction Management</td>
<td>NESTOR HOUGHTON</td>
<td>985-590-8707, 985-3878599</td>
<td><a href="mailto:njh7899@gmail.com">njh7899@gmail.com</a></td>
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<td>NEW LIMITS ENTERPRISE, LLC</td>
<td>P.O. BOX 641707, KENNER, LA 70064</td>
<td>KELLY, ROBIN S</td>
<td>504-251-3788, 504-393-1210</td>
<td><a href="mailto:econpassiv@gmail.com">econpassiv@gmail.com</a></td>
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<td>NEW ORLEANS CAR SERVICE, LLC</td>
<td>CUBELETTE, VALIANT, C14-Transportation Planning</td>
<td>NEW ORLEANS CAR SERVICE, LLC</td>
<td>504-255-2422</td>
<td><a href="mailto:neworleanscarservice@bellsouth.net">neworleanscarservice@bellsouth.net</a></td>
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<td>HIGHLAND ENTERPRISE, INC</td>
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<td>337-704-9559, 337-704-9552</td>
<td><a href="mailto:accounting@callplus.net">accounting@callplus.net</a></td>
<td>8/31/2005</td>
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<td>Newhouse &amp; Associates</td>
<td>14152 Jamie Drive, Hamilton, IN 4603</td>
<td>NEWORLEANS TELEPORT, INC</td>
<td>504-356-1788, 504-393-1210</td>
<td><a href="mailto:econpassiv@gmail.com">econpassiv@gmail.com</a></td>
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<td>NICK'S JANITORIAL SERVICE</td>
<td>4011 GABRIEL CIRCLE, SHREVEPORT, LA 71109</td>
<td>NICK'S JANITORIAL SERVICE</td>
<td>318-208-3231, 318-636-6481</td>
<td><a href="mailto:jefflarryl@gmail.com">jefflarryl@gmail.com</a></td>
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<td>Nicosi Janitorial</td>
<td>385 York Street, Metairie, LA 70003</td>
<td>Nicosi Janitorial</td>
<td>504-905-4694</td>
<td><a href="mailto:nicosijanitorial@yahoo.com">nicosijanitorial@yahoo.com</a></td>
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<td>NOLA STEEL FABRICATION &amp; ERECTION, LLC</td>
<td>P. O. BOX 91</td>
<td>WESTWEGO, LA 70096</td>
<td>KAREN L. WILLIAMS</td>
<td>093-Metal Fabrication, C06-TEMPORARY HELP SERVICES, 009-Supply of Reinforcing Steel, 012-Supply of Bridge Railings and Barriers, 040-Steel Fabricator, 704-Guardrails, 806-Reinforcement, 807-Structural Metals</td>
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<td>504-264-7459</td>
<td>5/11/2014</td>
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<td>NOLAND &amp; WONG</td>
<td>8316 KILLWOOD AVENUE</td>
<td>BATON ROUGE, LA 70806</td>
<td>BENNY NESBITT</td>
<td>076-Curbs, 036-Marketing, 008-Stain, Score, 027-Supply of Electrical Equipment, 055-Electrical Supplies, 040-Steel Fabricator, 704-Guardrails, 806-Reinforcement, 807-Structural Metals</td>
<td>ENTERPRISE</td>
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<td><a href="mailto:nolandwong@nolmar.com">nolandwong@nolmar.com</a></td>
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<td>NOLMAR CORPORATION</td>
<td>2165 D'MENNECOURT ST</td>
<td>NEW ORLEANS, LA 70119</td>
<td>MARSHALL-WALLACE, ROBIN</td>
<td>003-Supply of Joint Materials for Pavement and Structures, 008-Supply of Paint, 011-Supply of Concrete Curing Materials, 040-Steel Fabricator, 704-Guardrails, 806-Reinforcement, 807-Structural Metals</td>
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ODUM SERVICES, L.P.
6533 HARRIS LAKE RD
MARSHALL, TX 75672

COOLMAN, GREG
202-Removal or Relocating Structures and Obstructions, 704-Guardrails, 705-Fences, 708-Right-of-Way Monuments, 729-Traffic Control

Signs and Devices

Ohmega Engineering
1756 Silver Street
Jacksonville, FL 32206

C79-Electrical Engineering

OLI, Inc.
8380 Dunwoody Place, Suite 205
Sandy Springs, GA 30338
Rogers Bernet
B80-Scheduling, C17-Supportive Services, C74-Construction Management

ONE ON ONE COPY AND SIGN CENTER, INC.
6681 OWENS BLVD
NEW ORLEANS, LA 70122

WINCHESTER, TODD
CE9-Commercial Printing, C12-Printing of Promotional Items

One Stop Environmental, LLC
4800 DIVISION AVE
BIRMINGHAM, AL 35222
Reiley, Shannon
2428 Riley, Sharon
8300 Sandy Springs, GA 30350

OPTIMUM MANAGEMENT & CONSULTING GROUP, L.L.C.
2439 MANHATTAN BLVD, STE 502
HARVEY, LA 70058

CAROL SMITH

Outreach Process Partners, Inc
2212 Riva Road, Suite P-1
ANNAPOLIS, MD 21401
Roper, Shannon Janie
B72-ADVERTISING AGENCIES, C15-Research Surveys, C17-Supportive Services, C18-System Design, C25-Computer System janice@cpp-inc.com
Architecture, C36-Marketing, C44-Information Technology, C45-Business Process Analysis, C47-Public Relations

OVERTIME IRONWORK & FENCING, LLC
3428 RUE NOTRE DAME
GRETN A, LA 70056

ONESILK, SHERMAN
C59-Non-Emergency Patient Transport

OVERTIME IRONWORK & FENCING, LLC
3428 RUE NOTRE DAME
GRETN A, LA 70056

OVERTIME IRONWORK & FENCING, LLC
3428 RUE NOTRE DAME
GRETN A, LA 70056

PAUL NOBLE AND ASSOCIATES INC
PO BOX 11733
COLUMBIA, SC 29111

NOBLE, PATRICK J
C10-Management, C11-Planning, C47-Public Relations

P. STRADA, LLC
3900 CAUSEWAY BLVD, SUITE 1200
METAIRIE, LA 70002
MANUEL, PATRICE W.
C24-Telecommunications, C46-Training, Development

PACO GROUP, INC.
110 WILLIAMS ST, 12TH FLOOR
NEW YORK, NY 10038
RODRIGO, FRANK
C10-Management, C21-Construction Inspections, C74-Construction Management

PAINT PRO DEPOT
3120 PARIS AVENUE
NEW ORLEANS, LA 70119
HARDY, ERIC
008-Supply of Paints

PALMISANO TRUCKING, INC.
1129 N. SIDNEY STREET
METAIRIE, LA 70003
PALMISANO, JILL
TRK-Trucking

PAITEN ENERGY ENTERPRISES, INC.
3437 S. MAIN STREET
LOS ANGELES, CA 90007
PATTEN, EZEKIEL
B57-Fuel Oil Transportation, C46-Supply of Oil & Petroleum Products

PAITEN ENERGY ENTERPRISES, INC.
3437 S. MAIN STREET
LOS ANGELES, CA 90007
PATTEN, EZEKIEL
B57-Fuel Oil Transportation, C46-Supply of Oil & Petroleum Products

PBG ENTERPRISES, LLC
3601 MEADOWDALE DRIVE
SLIDELL, LA 70458
CRUZ, RAFAEL WILSON
BC-Building Construction, C74-Construction Management, 201-Clearing and Grubbing, 203-Excavation and Embankment, 706-willie@pannsconstruction.com
Concrete Walks, Drives And Incidental Paving, 727-Mobilization

Peak Mountain Technology
3133 Citrus Blvd
Hattiesburg, MS 72413
Darryl Hall
C16-Computer Analysis, C18-System Design, C44-Network Security Services, C44-Information Technology

PEREZ, A PROFESSIONAL CORPORATION
317 BURGUNDY STREET, STE 3
NEW ORLEANS, LA 70112
O'BRYNE, ANGELA

PEREZ, A PROFESSIONAL CORPORATION
317 BURGUNDY STREET, STE 3
NEW ORLEANS, LA 70112
O'BRYNE, ANGELA

PERSICO COMPANIES, INC.
3409 CAPTAIN CADE ROAD
BROUSARD, LA 70518
PEREZ, ANGELA
B59-Building Site Preparation, TRK-Trucking, 603-Supply of Aggregates, 201-Clearing and Grubbing, 202-Removal or Relocating Structures or Obstructions, 203-Excavation and Embankment, 715-Topsoil, 727-Mobilization, 739-Hydro-Seeding

Class 11, 701-Culverts and Storm Drains, 706-Concrete Walks, Drives And Incidental perfectfinish2008@yahoo.com
Paving, 707-Curb and Gutters

PHARIS BRICKS, INC.
PO BOX 69
BLANCHARD, LA 71009-9009
MISHER, SHERRY PHARR
TRK-Trucking, 201-Clearing and Grubbing, 202-Removal or Relocating Structures and Obstructions, 203-Excavation and Embankment, 701-Williams@phoenixconstructorsllc.com

PERLLE CONSTRUCTION MATERIALS, LLC
6333 CATHEDRAL STREET
NEW ORLEANS, LA 70124
MEGAN FUZELIER
C74-Construction Management

PHENIX GLOBAL ENG. & CONST., INC.
2901 INDEPENDENCE ST. SUITE 110
METAIRIE, LA 70036
LO, YUCHAO
C35-Structural Engineering, C09-Civil Engineering, C10-Management, C21-Construction Inspections

PIONEER CONSTRUCTION & MAINTENANCE
PO BOX 1277
NAPOLEONVILLE, LA 70470
B BAGGAGE EDWARD, SR.
811-Painting and Protective Coatings

PIZZANI ENTERPRISES, INC.
8135 BALTER STREET
METAIRIE, LA 70003
MURRATO MARIE
891-Plastering and Stucco, D13-Wall and Ceiling Coverings

Plain Dealing Trucking Co., Inc.
PO BOX 72903
BOSSIER CITY, LA 71172-2693
Harris, L. J.
TRK-Trucking, 082-Supply of Asphaltic Materials and Additives, 727-Mobilization

Plan B Solutions
606 Jefferson Street
Lafayette, LA 70501
Alexis arrows-McNeil
C78-Broker Fees For Temporary Staffing, C10-Temporary Help Services, 201-Clearing and Grubbing, 202-Removal or Relocating Structures and Obstructions, 203-Excavation and Embankment, 401-Aggregates Surface Course, 701-lenixplanbsolutions@gmail.com
Culverts and Storm Drains, 706-Concrete Walks, Drives And Incidental Paving, 727-Mobilization

POINT MANAGEMENT GROUP, LLC
3042 BAY SHORE LANE
SEFFNOLK, VA 23435
POINT, T. WENDEL
C10-Management, C17-Supportive Services, C36-Marketing, C45-Business Process Analysis

PONTCHARTRAIN METALS & SALVAGE
766 S PETERS ST #315
NEW ORLEANS, LA 70130
HORNBACK, CARLOS J.
913-Supply of Metals

PONTCHARTRAIN PARTNERS, LLC
650 JOY DIAS STREET, SUITE 2345
NEW ORLEANS, LA 70130
JARQUIN, TIMOTHY
BC-Building Construction, C74-Construction Management
PORTER DEVELOPMENT UNLIMITED, LLC
8004 DEBORE DRIVE
NEW ORLEANS, LA 70126
PORTER, TROY D.
BC-Building Construction, TRK-Tracking

POTT'S DISTRIBUTING, INC.
PO BOX 179
COLUMBIA, LA 71418-0179
POTTS, MABLE
TRK-Tracking, 004-Supply of Masonry Units, 014-Supply of Tense and Guardrail, 014-Supply of Timber and Timber 318-649-6133
Preservatives, 032-Supply of Surf Tretament, 034-Supply of Geotextile Fabric and Geotextile
Adhesives/Lubricants/Sealants, 064-Supply of Doors and Windows, 075-Supply of PVC Sewer and Drain Pipe, 076-Supply of Polyethylene Pipe Less than 15" diameter

Power Tracking
80493 Trailroad Lane
Cordova, TN 38016
Cherylita Johnson
TRK-Tracking

PRECISION TASK GROUP
9631 WESTHEIMER, SUITE 803
HOUSTON, TX 77042
VILLARREAL-MACEDONIO
C19-System Design, C32-Computer Maintenance and Repair, C60-TEMPORARY HELP SERVICES

PREMIERE CONSULTING GROUP
503 POTOMAC VALLEY DRIVE
FORT WASHINGTON, MD 20744
TURNER, ALVIN AALIM
B64-Electronic Toll Collection Systems, C91-Monitoring

PREMIERE DESIGN SOLUTIONS, INC.
150 OAKLAND AVENUESUITE 215
ROCK HILL, SC 29730
JURADO, LUIS
C74-Construction Management

PRIDE WATERPROOFING, LLC
P.O. BOX 7792
METAIRIE, LA 70010
PERRIE-JACKSON, DONNA M.
B72-Maintenance Mowing, B52-Commercial

Prime Focus
918 Fox River Drive
DePere, WI 54115
C11-Placing, C36-Marketing

Pre Placement USA
932 Gravier Street, Suite 6884
New Orleans, LA 70112
Will Bryant
C78-BROKER FEES FOR TEMPORARY STAFFING

Pro-West & Associates
829 STATI 371 NW
WALKER, MN 56484
Therese, Annette
C59-Aerial Mapping/Preconstruction

PROFESSIONAL SAFETY & TRAINING SERVICES
38 SHERLING AVENUE
JEFFERSON, LA 70121
DECKER, DENISE
C46-Training Development, C49-Human Resources Consulting

PROGRESSIVE CONSTRUCTION CO., LLC
PO BOX 11591
ALEXANDRIA, LA 71315-1594
URBINA, TODD
B46-Full Depth Patching of Jointed Concrete Pavement, TRK-Tracking, 201-Cleaning and Grinding, 202-Removal or Relocating<br>


5/23/2016
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<td>QUALITY SUPPORT SERVICES, INC</td>
<td>1315 POYDRAS STREET, SUITE 1140</td>
<td>NEW ORLEANS, LA 70112</td>
<td>MCCALL, TERRY</td>
<td>2702-Erosion Control, 2703-Structural Concrete, 2704-Structural Concrete, 2705-Structural Concrete, 2706-Structural Concrete, 2707-Structural Concrete</td>
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<td>504-301-1655</td>
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<td>QUANTUM RESOURCE INVESTIG, LLC</td>
<td>15388 Florida Blvd</td>
<td>BATON ROUGE, LA 70819</td>
<td>202-Excavation and Backfill, 204-Removal or Relocating Structures and Obstructions, 205-Concrete Approach Slabs, 210-Mobilization, 212-Structural Concrete, 213-Structural Concrete, 214-Revetments, 215-Structural Concrete, 216-Structural Concrete, 217-Structural Concrete, 218-Structural Concrete, 219-Structural Concrete, 220-Treated Timber, 222-Structural Concrete, 223-Structural Concrete, 224-Structural Concrete, 225-Structural Concrete, 226-Revetments, 227-Structural Concrete, 228-Structural Concrete, 229-Structural Concrete, 230-Struc</td>
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<td>13800 ALBA DRIVE</td>
<td>BAKER, LA 70714</td>
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8/1/2007

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<td>R &amp; G BUSINESS ENTERPRISES, LLC</td>
<td>4 CREAMERY BROOK ROAD EAST GRANBY, CT 06060</td>
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<td>R &amp; S COMMERCIAL SERVICES, LP</td>
<td>3062 PLANO ROAD DALLAS, TX 75238</td>
<td>813-926-2962</td>
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<td>R. K. CONSTRUCTION, INC</td>
<td>2817 DEBORAH DR MONROE, LA 71211</td>
<td>318-267-6256</td>
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<td>R. W. BLOCK CONSULTING, INC</td>
<td>871 OUTER ROAD, SUITE B OLANDO, FL 32814</td>
<td>407-897-5354</td>
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<td>RAHMAN AND ASSOCIATES, INC</td>
<td>3645 WILLIAMS BOULEVARD SUITE 208 KENNER, LA 70065</td>
<td>504-469-9966</td>
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<td>RAKS FIRE SPRINKLER, LLC</td>
<td>215 MOBILE STREET HATTIESBURG, MS 35401</td>
<td>601-261-0820</td>
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<td>REAL ESTATE CONSULTANTS, LLC</td>
<td>329 OAKLAND PLACE BOSSIER CITY, LA 71112</td>
<td>318-793-0580</td>
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<td>REED EXTERMINATING CO., INC</td>
<td>PO BOX 5734 GREENVILLE, MS 38791</td>
<td>662-252-2147</td>
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<td>REGENCY ENTERPRISES SERVICES, LLC</td>
<td>416 CHERRYBARK SLIDELL, LA 70450</td>
<td>318-348-4300</td>
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<td>REHABERS, INC</td>
<td>7210 ARBOR DRIVE LAFAYETTE, LA 70503</td>
<td>337-568-5551</td>
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<td>Reliable Traffic Data Services</td>
<td>2146 Rosswell Road, Suite 108-707</td>
<td>Hari Omer</td>
<td>770-578-4138, 770-578-8199</td>
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<td>RENAISSANCE CONSTRUCTION GROUP, LLC</td>
<td>PO Box 298, Destrehan, LA 70047</td>
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<td>318-518-4434</td>
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<td>Restoration Contracting Services</td>
<td>PO Box 4295, Shreveport, LA 71134</td>
<td>Rickey L Coleman</td>
<td>318-582-8255, 318-244-9799</td>
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<td>REZ THREADS, INC.</td>
<td>PO Box 640, Siren, WI 54872</td>
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<td>RICARDS PAPER &amp; CHEMICAL COMPANY</td>
<td>810 N. Broad Street, New Orleans, LA 70110</td>
<td>Charles Charles</td>
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<td>RICHARDS DISPOSAL, INC.</td>
<td>11609 Old Gentilly Rd, New Orleans, LA 70129</td>
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<td>Right Of Way Acquisition Group, LLC</td>
<td>1924 Albert Street, Alexandria, LA 71301</td>
<td>Delores Brewer</td>
<td>318-623-8872, 318-673-2361</td>
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<tr>
<td>RILEY PAVING COMPANY</td>
<td>PO Box 52, Hamburg, AR 71646-6521</td>
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<tr>
<td>RIVER CITY FIRE PROTECTION, INC.</td>
<td>2911 Williamson Way, Shreveport, LA 71118</td>
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<tr>
<td>River City Railroad</td>
<td>1759 Glenview Avenue, Memphis, TN 38114</td>
<td>Clarence Harris</td>
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<tr>
<td>RIVER PARISH APPRAISERS, INC.</td>
<td>1274 N. Burnsides, Suite 2, Gonzales, LA 70737</td>
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<tr>
<td>RNM-MCQUEEN CONTRACTING, INC.</td>
<td>80 Ramsey McQueen Rd, Collins, MS 39028</td>
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**Notes:**
- **MINORITY BUSINESS ENTERPRISE**
- **ASIAN OR PACIFIC ISLANDER**
- **NATIVE AMERICAN**
- **WHITE WOMEN BUSINESS ENTERPRISE**
- **BLACK**
- **WHITE**
- **WOMEN**
- **OTHER**
- **WHITE WOMEN BUSINESS ENTERPRISE**
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<tr>
<td>R1 Controls, LLC</td>
<td>1405 GILL STREET</td>
<td>617-771-6167, 781-932-3359</td>
<td>Electrical</td>
<td>Certified DBE Directory</td>
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<tr>
<td>R1H INVESTMENTS, LLC.</td>
<td>1055 Chaucer Street</td>
<td>504-628-4039, 504-628-4048</td>
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<tr>
<td>ROBERTSON WEALTH ADVISORS</td>
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<td>ROCK ENTERPRISES CONSTRUCTION, LLC</td>
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<td>RODGERS &amp; RODGERS ENTERPRISE, LLC</td>
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<td>ROYAL ENGINEERS &amp; CONSULTANTS, LLC</td>
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<td>S. HOLT CONSTRUCTION, LLC</td>
<td>1429 THIRD STREET</td>
<td>ALEXANDRIA, LA 71301</td>
<td>HOLT, SHMALI S</td>
<td>BC-Building Construction, B84-Residential Building Construction</td>
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<td>S. Lewis Contractor, LLC</td>
<td>3441 Hwy I</td>
<td>Marksville, LA 71351</td>
<td>Shantell Lewis Barton</td>
<td>706-Concrete Walks, Drives And Incidental Paving, 906-Reinforcement</td>
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<td>SAFeway Security Agency, Inc</td>
<td>16001 LAKE FOREST BLVD, STE 508</td>
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<td>KENDALL, J WASHINGTON</td>
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<td>6749 NORTH PARK CIRCLE</td>
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<td>SANDERS, CLARENCE</td>
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<td>SAVANT CONSULTING</td>
<td>72 SANTA CATRINA</td>
<td>RSM, CA 92648</td>
<td>JONES, PAUL</td>
<td>C16-Computer Analysis, C18-System Design, C25-Computer System Architecture, C44-Information Technology</td>
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<td>SBI</td>
<td>3282 Hwy R2</td>
<td>Sonoita, AZ 85637</td>
<td>Deborah Echeverria-Fain</td>
<td>203-Excavation and Embankment, 301-Base Course - Class I, 303-In-Place Stabilized Cement Base Course, 365-Subgrade Layer, 520-455-9984</td>
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<td>Shreveport, LA 71107</td>
<td>Courtney Richard</td>
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NAAMAN C. STEWART
TRK-Trucking

SCROOGINS CONSULTING, L.L.C.
3224 MIDWAY AVE
SHREVEPORT, LA 71109

SCROOGINS, TYA
C10-Management, C46-Training Development

SEASONS CLEANING SERVICE
4520 MONKHOUSE DRIVE
SHREVEPORT, LA 71109

SEACAM TECHNOLOGIES, INC. D/B/A STI
62 ROSEDOWN DRIVE
DESTREHAN, LA 70047

SECUR ADVISORS
10505 CHERRY LAKE COURT
BATON ROUGE, LA 70810

SECURANCE, LLC
6922 W. LINEBAUGH AVENUESUITE 101
TAMPA, FL 33625

Separation Systems Consultants Inc
1244 BARROW ST.
Houma, LA 70360

SERV-U COMPUTERS, LLC
6211 5TH AVENUE
MARRERO, LA 70072

Service International of SWLA
3530 Hocker Road
Iowa, LA 70647

SHJ Contracting
6969 Titan Avenue, Suite F
Baton Rouge, LA 70806
Samona Gaudet
B45-Janitorial Services

SGI Enterprises
4052 PLANK ROAD
BATON ROUGE, LA 70803
JOHNSON, SHANNON B
C23-Insurance Management, C72-Mobilization

Shamburger Lawns
4115 Meadow Lane
Bossier City, LA 71111
Jackie Shamburger
B32-Maintenance Mowing, B14-Topsoil, B15-Landscaping, B19-Hydro-Seeding, jackieshamburger@gmail.com
B94-Water Distribution Systems

Shark Supply
2823 A Mills Road
Lafayette, LA 70507
Sherrice Marks
C64-Broker Fees - Miscellaneous

Sharp and Clean
203 Million Estates
Youngsville, LA 70592
B45-Janitorial Services

MINORITY BUSINESS ENTERPRISE
WOMEN BUSINESS 6/29/2015
BLACK
337-504-8545
sherrie@sharksupplyllc.com

MINORITY BUSINESS ENTERPRISE
WOMEN BUSINESS 6/29/2015
BLACK
337-303-8628
shaljlclean@yahoo.com

MINORITY BUSINESS ENTERPRISE
WOMEN BUSINESS 8/10/2004
BLACK
318-653-5326
ny@scrogginsconsulting.com

MINORITY BUSINESS ENTERPRISE
WOMEN BUSINESS 7/31/2013
BLACK
337-631-4716
seasonscleaningservicesllc@gmail.com

WHITE WOMEN BUSINESS ENTERPRISE
OTHER
504-388-8601
9857525666
mediastanley@gmail.com

MINORITY BUSINESS ENTERPRISE
WOMEN BUSINESS 8/10/2004
BLACK
318-635-5326
337-631-4716
seasonscleaningservicesllc@gmail.com

WHITE WOMEN BUSINESS ENTERPRISE
OTHER
985-876-4080
985-876-4088

MINORITY BUSINESS ENTERPRISE
HISPANIC
337-884-8662
shaloonll@aol.com

MINORITY BUSINESS ENTERPRISE
WOMEN BUSINESS 11/1/2015
BLACK
225-281-1919
225-355-5396
flowersinsurance@att.net

MINORITY BUSINESS ENTERPRISE
WOMEN BUSINESS 11/1/2015
BLACK
225-315-2207
225-281-1919
sgcontractingllc@grnail.com

MINORITY BUSINESS ENTERPRISE
WOMEN BUSINESS 12/15/2015
BLACK
337-504-8545
sherrie@sharksupplyllc.com

WHITE WOMEN BUSINESS ENTERPRISE
OTHER
318-658-9985
318-658-9985
jackieshamburger@gmail.com

WHITE WOMEN BUSINESS ENTERPRISE
OTHER
318-588-9085
337-504-8545
sherrie@sharksupplyllc.com

985-652-2829
somservicellc@hotmail.com

5/23/2016
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**Shaw Development**

3918 Milton Street
Shreveport, LA 71109

**Sherman & Associates**

202 RUS PACANNIER #1
CARENCRO, LA 70520

**Sierra Infosys, Inc.**

6001 SAVY DR
HOUSTON, TX 77036

**Simmons & Simmons General Contractor LLC**

2701 ORCHID STREET
NEW ORLEANS, LA 70119

**Simplex Construction Supplies, Inc.**

5020 WEST 5FW SERVICE DRIVE
BLAINE, MN 55434


5/23/2016
LA DOTD - Certified DBE Directory


SIMS PRESSURE WASHING, LLC
120 DELELY STREET
NEW ORLEANS, LA 70117
SHAUN SIMS
B86-Pressure Washing

SITETRACK SUPPLIES, INC
4020 SEVEN HICKORIES ROAD
DOVER, DE 19994
COXER, PETER D
TRK-Tracking, 712-Temporary Signs, Barricades, Barriers and Pavement Markings

SKYE'S JANITORIAL
7001 Lawrence Road, Apt. 150
New Orleans, LA 70126
Fallon Evans
B86-Janitorial Services

SLADE LAND USE ENVIR & TRANS PLAN
1500 FIRST AVENUE NUNIT 54
BIRMINGHAM, AL 35203
SLADE, L'TRYCE
C20-Environmental Impact Assessments

SNLCOQ, LLC
PO BOX 126
BARKSDALE AFF, LA 71110
COLLINS, APRIL
B62-Event Planning, C17-Supportive Services, C80-TEMPORARY HELP SERVICES

SOFTWARE & SCANNING SERVICES
PO BOX 641617
KENNER, LA 70065
KLEIN, SUZANNE Q
C16-Computer Analysis, C18-System Design, C99-Aerial Mapping Topographic

SOIL AND FOUNDATION ENGINEERING & CONSULTANTS, LLC
2 FAIRFIELD COURT
METARIE, LA 70004
GHOSE-HAJRA, MALAY
C01-Geotechnical Engineering, C05-Structural Engineering, C09-Civil Engineering, C20-Environmental Impact Assessments

SOIL ENGINEERING SERVICES, LLC
1103 POYDRAS STREET, SUITE 2601
NEW ORLEANS, LA 70113
AREAL, WILFIE
C01-Geotechnical Engineering, C06-Land Surveying, C09-Civil Engineering, C10-Management, C20-Environmental Impact Assessments

SOLID BORDER, INC
1806 TURNMILL STREET
SAN ANTONIO, TX 78248
BARRY, KAYE DEL
C42-Computer Maintenance and Repair

Solid Ground Innovations
4242 Government Street, Suite 201
Baton Rouge, LA 70806
C36-Marketing, C46-Training Development, D16-Grant Research, Writing and Administration

Solid Network Solutions, LLC
326 BRANDON BOULEVARD
FREEHOLD, NJ 07728
CURCIO, MARIA
C16-Computer Analysis, C18-System Design, C25-Computer System Architecture, C41-Network Security Services

Soil Planning, LLC
52 SPANISH FORT BLVD
NEW ORLEANS, LA 70124
SOLL, ELLIN
C14-Transportation Planning

MINORITY BUSINESS ENTERPRISE
BLACK
504-826-0474
504-253-9582
shaun.sims38@yahoo.com
6/21/2011

MINORITY BUSINESS ENTERPRISE
NATIVE AMERICAN
302-672-7011
302-672-7177
peter@siteworksafety.com
11/30/2013

MINORITY BUSINESS ENTERPRISE
WOMEN BUSINESS
1/16/2015

MINORITY BUSINESS ENTERPRISE
BLACK
205-413-4685
800-618-8602
lsade@sladellc.com
7/31/2014

MINORITY BUSINESS ENTERPRISE
BLACK
318-918-0032
318-686-8682
info@snacontracting.com
5/22/2015

MINORITY BUSINESS ENTERPRISE
BLACK
504-331-2729
WOMEN BUSINESS
11/16/2015

MINORITY BUSINESS ENTERPRISE
BLACK
504-887-2900
504-910-9777
info@s-s-s.com
10/1/2013

MINORITY BUSINESS ENTERPRISE
SUBCONTINENTAL ASIAN
504-324-1523
888-315-5747
soilandfoundation@solengrs.com
8/20/2012

MINORITY BUSINESS ENTERPRISE
BLACK
318-734-9616
800-618-8602
info@snacontracting.com
5/22/2016

MINORITY BUSINESS ENTERPRISE
BLACK
504-522-4575
504-522-4576
1/17/2012

MINORITY BUSINESS ENTERPRISE
BLACK
210-492-8125
800-887-9974
kaye@solidborder.com
12/18/2013

MINORITY BUSINESS ENTERPRISE
WOMEN BUSINESS
2/1/2013

MINORITY BUSINESS ENTERPRISE
BLACK
225-330-4924
225-361-0075
sevetri@sgicares.com
4/29/2015

MINORITY BUSINESS ENTERPRISE
WOMEN BUSINESS
2/1/2003

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WOMEN BUSINESS
9/1/2014

MINORITY BUSINESS ENTERPRISE
WOMEN BUSINESS
9/1/2010

5/23/2016
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<td>Solutions A.E.</td>
<td>236 Autumn Avenue, Athens, GA 30030</td>
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<td><a href="mailto:solutionsae@yahoo.com">solutionsae@yahoo.com</a></td>
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<tr>
<td>SOUTH POINT MANAGEMENT, LLC</td>
<td>321 Rayon Road, St. Bernard, LA 70095</td>
<td>504-522-3180</td>
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<td><a href="mailto:cassandra.johnson@spartanconstruction.com">cassandra.johnson@spartanconstruction.com</a></td>
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<td>5591 Peachtree Road, Chamblee, GA 30341</td>
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<td>404-867-2626</td>
<td><a href="mailto:southern_contractors@bellsouth.net">southern_contractors@bellsouth.net</a></td>
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<td>321 Rayon Road, St. Bernard, LA 70095</td>
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<tr>
<td>EAST MEETING GROUP</td>
<td>221 E Martin Avenue, Suite 301, Alexandria, LA 71301</td>
<td>504-304-8198</td>
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<td>CINDY MCKEON</td>
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<td>504-324-1100</td>
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<td>STEWART, LLC</td>
<td>5 CLAIRMONT LANE</td>
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<td>5 CLAIRMONT LANE</td>
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<td>770-964-9564</td>
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<td>5 CLAIRMONT LANE</td>
<td>JOYCE STEWART</td>
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**Certified DBE Directory**

[Link to DOTD Certified DBE Directory](http://wwwapps.dotd.la.gov/engineering/lettings/subsdbed/dbhq20160511.aspx)
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<td>MAURICE ROBICHAUX</td>
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<td>3301 ELYSIAN AVENUE NEW ORLEANS, LA 70122</td>
<td>HISPANIC</td>
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<tr>
<td></td>
<td>1100 POYDRAS STREETSTE 2900 NEW ORLEANS, LA 70163</td>
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<td>3800 DEERCREEK LANE HARVEY, LA 70058</td>
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<td>611 KINGSTOWN PLACE</td>
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<td><a href="mailto:terrydouglas828@gmail.com">terrydouglas828@gmail.com</a></td>
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<td>T. LUTCHER TRUCKING</td>
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<tr>
<td>LA PLACE, LA 70068</td>
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<td><a href="mailto:troy.douglas828@gmail.com">troy.douglas828@gmail.com</a></td>
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<td>9310 Stonebriar Circle</td>
<td>318-687-3137</td>
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<td>Shreveport, LA 71115</td>
<td>KAREN MCCOY</td>
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<td>6766 HWY 29</td>
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<td>ALEXANDRIA, LA 71315</td>
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<td>TRK-Trucking, 201-Cleaning and Grubbing, 202-Removal or Relocating Structures and Obstructions, 203-Excavation and <a href="mailto:trudy.tarver@tarverland.com">trudy.tarver@tarverland.com</a> Endembankment, 713-Temporary Signs, Bumpers and Pavement Markings, 727-Mobilization</td>
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TATE SERVICES, INC.
PO BOX 791389
NEW ORLEANS, LA 70179
TATE, CARL
BC-Concrete Walks, Driveways and Incidental Paving, 727-Curbs and Gutters, 730-Telephone Systems

TCN D/B/A EXECUTONE SYSTEMS CO. OF LA.
1016 HARIMAW COURT EAST
METAIRIE, LA 70001
LABICH, PATRICIA H.
C70-Telephone Systems

TATE DISTRIBUTING INC.
PO BOX 791389
NEW ORLEANS, LA 70179
TATE, CARL
BC-Heating & Air Conditioner Supplies

TEI Construction & Eng. Inc.
1825 MARKET CENTER BLVD #600
DALLAS, TX 75207
FULLER, LG
C70-Management, C71-Planning

TELECOMMUNICATIONS DEVELOPMENT CORPORATION
1919 13TH ST., NW
WASHINGTON, DC 20009
WOODY, JAMES
C77-Supply of Data Processing Equipment

TG Consulting Group, LLC
660 Jefferson Street, Suite 405
LAFAYETTE, LA 70501
GUIDRY, VICTORIA
C71-Supportive Services, C74-Business Process Analysis

THADDEUS VALLELY TRUCKING CO., INC.
37430 PARKWOOD AVENUE
PIRRAIEVILLE, LA 70099
VALLELY, TIFFANY
C77-Broker Fees for Trucking, TRK-Trucking

THE ADVENT GROUP
18942 WILDLIFE WAY DRIVE
BATON ROUGE, LA 70817
SAINI, SHRUTI
C74-Management, C74-Communication Management

THE CRESCENT CITY REBUILD, LLC
13 NAVIGATION CT
NEW ORLEANS, LA 70131
JEFFERY THOMAS
BC-Building Construction, B63-Masonry, B64-Residential Building Construction, B67-Drywall Contractor

THE ESTOPINAL GROUP
501 BASIN STREET SUITE B
NEW ORLEANS, LA 70112
DENISE ESTOPINAL
C74-Public Relations

THE GALLA GROUP, LLC
19300 N. THIRD STREET
COVINGTON, LA 70433
GALLARDO, GERARDO
BC-Building Construction

THE HACKETT GROUP
650 POYDRAS STREET, SUITE 1400
NEW ORLEANS, LA 70130
ANTHRIM, TONI HACKETT
C58-Real Estate Evaluation and Consulting, C59-Financial Consulting

THE HALE GROUP, LLC
549 COFFEE STREET
MANDEVILLE, LA 70448

MINORITY BUSINESS ENTERPRISE
6/30/2002
BLACK
504-822-1103
504-822-7603
sleve@execappr.com

WHITE WOMEN BUSINESS ENTERPRISE
6/15/2015
OTHER
504-838-8060
5048234723
angelle@executonesystems.com

MINORITY BUSINESS ENTERPRISE
1/31/2006
BLACK
504-822-7630
tatedistributinginc@ymail.com

MINORITY BUSINESS ENTERPRISE
6/1/2013
WHITE WOMEN BUSINESS ENTERPRISE
318-419-0972
wehrner55@gmail.com

MINORITY BUSINESS ENTERPRISE
3/28/2009
BLACK
202-234-9410
2022340770
jwoodyard@telcomdc.com

MINORITY BUSINESS ENTERPRISE
4/1/2004
WHITE WOMEN BUSINESS ENTERPRISE
337-260-7259
tes@tg-consulting.us

MINORITY BUSINESS ENTERPRISE
10/31/2009
BLACK
225-673-9424
225-677-9624
jwoodyard@telcomdc.com

MINORITY BUSINESS ENTERPRISE
6/30/2013
BLACK
832-767-8917
877-330-7784
shruti@theadventgroupllc.com

MINORITY BUSINESS ENTERPRISE
8/30/2008
WHITE WOMEN BUSINESS ENTERPRISE
504-269-9233
504-269-9232
denise@estopinalgroup.com

MINORITY BUSINESS ENTERPRISE
10/13/2015
HISPANIC
985-893-5596
rorygallardo@lagniapp.com

MINORITY BUSINESS ENTERPRISE
10/3/2014
WHITE WOMEN BUSINESS ENTERPRISE
504-452-8233
504-269-9232
denise@estopinalgroup.com

MINORITY BUSINESS ENTERPRISE
3/10/2014
BLACK
504-521-6114
5042660283
toni@hackett-group.com

MINORITY BUSINESS ENTERPRISE
7/31/2014
ASIAN OR PACIFIC ISLANDER
225-354-5140
225-673-9842
shruti@theadventgroupllc.com

MINORITY BUSINESS ENTERPRISE
3/10/2014
HISPANIC
504-628-6300
jwoodyard@telcomdc.com

MINORITY BUSINESS ENTERPRISE
4/8/2008
WHITE WOMEN BUSINESS ENTERPRISE
504-628-6300
jwoodyard@telcomdc.com

MINORITY BUSINESS ENTERPRISE
10/13/2015
WHITE WOMEN BUSINESS ENTERPRISE
504-628-6300
jwoodyard@telcomdc.com


5/23/2016
HALE, DENISE
CIO-Management, C11-Planning

THE KEITH GROUP, LLC
3055 WOODGLYNN DRIVE
BATON ROUGE, LA 70814
KEITH, GREGORY
B52-Commercial Painting, B11-Painting and Protective Coatings

THE KENNEDY FINANCIAL GROUP
935 GRAVIER STREET SUITE 200
NEW ORLEANS, LA 70112
CHARLES KENNEDY, JR.
C23-Insurance Management, C59-Financial Consulting

The Lakvold Group, LLC
4520 JAMESTOWN AVENUE SUITE 1
BATON ROUGE, LA 70808
Lakvold, Angela L.
C27-Real Estate Appraisals

THE LUSTER GROUP, LLC
PO BOX 3052
BATON ROUGE, LA 70821
LUSTER, KOURTNI
C03-Management, C74-Construction Management, TRK-Tracking

THE MEDICAL ADVANTAGE, INC. D/B/A BAYOU*
P.O. BOX 19345
NEW ORLEANS, LA 70179
HIGHTOWER, PATRICIA
C59-Financial Consulting, C61-Real Estate Sales

THE PRALINE CONNECTION, INC.
542 FRENCHMAN STREET
NEW ORLEANS, LA 70116
MOORE, CURTIS
C07-Caterers

THE PRUITT GROUP, LLC
2435 DRUSILLA LAND, SUITE C
BATON ROUGE, LA 70809
PRUITT, LAKEISHA
C19-Accounting, C78-Broker Fees For Temporary Staffing

THE SUN GROUP INC
820 W. INDIANTOWN ROAD
JUPITER, FL 33458
SUN, VALERIE
C04-Architectural Engineering

The Thomas Brothers Group
1414 Woodstone Drive
Parishville, LA 70769
Connie Thomas
C44-Information Technology

THE VILLA VASO GROUP
7111 BARRINGTON DRIVE
NEW ORLEANS, LA 70128
VILLA VASO, CORINNE
C20-Environmental Impact Assessments, C48-Community Involvement

THE WALTERS GROUP, LLC
4640 FRANCISCO VERRETTE DR
NEW ORLEANS, LA 70126
PATRICIA WALTERS
BC-Building Construction, B05-Plumbing, B84-Residential Building Construction, 730-Electrical Systems, 811-Painting and Protective Coatings

THE WEBSTER GROUP, INC.
1907 POYDRAS STREET
NEW ORLEANS, LA 70112
WEBSTER, KYSHUN
C19-Management, C15-Research Surveys, C45-Business Process Analysis

THOMPSON REAL ESTATE CONSULTANTS, LLC
2223 ST. CHARLES AVENUE, SUITE 469
NEW ORLEANS, LA 70130
THOMPSON, MICHELLE L.
C09-Aerial Mapping Topographic, 012-Supply of Aerial Mapping and Surveys
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<td>591 HIGHWAY 22 W, MADISONVILLE, LA 70447</td>
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<td><a href="mailto:jtoole@tooledesign.com">jtoole@tooledesign.com</a></td>
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<td>141 1-36 SERVICE ROAD, ST. ROSE, LA 70087</td>
<td>304-712-7922</td>
<td><a href="mailto:dltp@bellsouth.net">dltp@bellsouth.net</a></td>
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<td>Terra Resources, LLC</td>
<td>3/10 ST. ANDREW STE #1, NEW ORLEANS, LA 70130</td>
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<td><a href="mailto:sarahmack@tierraresourcesllc.com">sarahmack@tierraresourcesllc.com</a></td>
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<td>TI Mechanical Air Conditioning, 3385 AIRWAYS BLVD. #209, MEMPHIS,</td>
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<td>TLC Engineering, Inc.</td>
<td>9204 WESTGLEN DRIVE, HOUSTON, TX 77063</td>
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<td><a href="mailto:teddyfields@cableone.net">teddyfields@cableone.net</a></td>
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<td>TOMQ, INC. (THI MOORE (GROUP))</td>
<td>301 ST. CHARLES AVENUE, SUITE 114, NEW ORLEANS, LA 70170</td>
<td>504-3-209-2555</td>
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<td>1411 OLD HIGHWAY 69, GULFPORT, MS 39503</td>
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<td>1720 PARKER STREET, BATON ROUGE, LA 70808</td>
<td>225-241-3574</td>
<td><a href="mailto:trev@trecgis.com">trev@trecgis.com</a></td>
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<td>CAPITAL STATION PMB 12551, COLUMBIA, SC 29211</td>
<td>803-252-9773</td>
<td><a href="mailto:sarahmack@tierraresourcesllc.com">sarahmack@tierraresourcesllc.com</a></td>
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<td>PO BOX 520878, LONGWOOD, FL 32752-0187</td>
<td>407-227-6032</td>
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<td>contact@<a href="mailto:14@yahoo.com">14@yahoo.com</a></td>
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### LA DOTD - Certified DBE Directory


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<td>ULTIMATE TECHNICAL SOLUTIONS, INC</td>
<td>651 LEXON CT</td>
<td>BAY VILLAGE, AR 71605</td>
<td>ST. ETIENNE, DAVID B.</td>
<td>C16-Computer Analysis, C43-Computer Maintenance and Repair</td>
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<td>504-943-2795</td>
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<td>UNITED STATES HEALTH &amp; ENVIRONMENTAL LI*</td>
<td>336 CANAL STREET, SUITE 2760</td>
<td>NEW ORLEANS, LA 70130</td>
<td>DODD, TRACEY</td>
<td>C03-Environmental Remediation</td>
<td>MINORITY BUSINESS ENTERPRISE</td>
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<td>225-284-1604</td>
<td>504-561-6560</td>
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<tr>
<td>Unique Trucking Services</td>
<td>11839 Florida Blvd</td>
<td>Baton Rouge, LA 70815</td>
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<td>NEW ORLEANS, LA 70127</td>
<td>JORDAN, PSYTHIA F.</td>
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<td>UNIVERSAL SAFETY CONSULTANT &amp; SERVICES</td>
<td>1419 ST. BERNARD AVENUE</td>
<td>NEW ORLEANS, LA 70116</td>
<td>BOBBIE WHITE</td>
<td>B32-Maintenance Mowing, C08-Landscape Architecture, TRK-Trucking</td>
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<td>BLACK</td>
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<td>504-324-3833</td>
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<td>UNLIMITED LAWN CARE</td>
<td>3801 GRANT AVENUE</td>
<td>NEW ORLEANS, LA 70128</td>
<td>WILLIE GRIEGO</td>
<td>B32-Maintenance Mowing, C08-Landscape Architecture, TRK-Trucking</td>
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<td>URBAN FOCUS LOUISIANA, LLC</td>
<td>8518 OAK STREET</td>
<td>NEW ORLEANS, LA 70118</td>
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<td>C11-Planning, C50-Real Estate Evaluation and Consulting</td>
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<td>URBAN SYSTEMS ASSOCIATES, INC.</td>
<td>400 N. PETERS STREET, STE 200</td>
<td>NEW ORLEANS, LA 70130</td>
<td>ALLISON CATARELLA-MICHEL</td>
<td>C03-Drafting, C09-Civil Engineering, C11-Planning, C14-Transportation Planning, C21-Construction Inspections, C33-Traffic</td>
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5/23/2016
### US Essential Supply and Services

V Technologies
133 ATWELL DRIVE
STATESVILLE, NC 28677
DOBBER, VICKY L.
C26-Security Systems

### V. KEELER & ASSOCIATES, INC.

P.O. BOX 3424
NEW ORLEANS, LA 70126
KEELER, VERNES
TRK-Trucking, 003-Supply of Aggregates, 201-Clearing and Grubbing, 202-Removal or Relocating Structures and Obstructions, 203-Excavation and Embankment, 301-Base Course - Class I, 302-Base Course - Class II, 401-Aggregates Surface Course, 504-Asphalt Tack Coat, 505-Asphalt Prime Coat

### V. KEELER & ASSOCIATES, L.L.C.

P.O. BOX 3424
NEW ORLEANS, LA 70126
KEELER, VERNES
TRK-Trucking, 003-Supply of Aggregates, 201-Clearing and Grubbing, 202-Removal or Relocating Structures and Obstructions, 203-Excavation and Embankment, 301-Base Course - Class I, 302-Base Course - Class II, 401-Aggregates Surface Course, 504-Asphalt Tack Coat, 505-Asphalt Prime Coat

### VALLEY III LUMINATORS

PO BOX 3001
FEDERAL WAY, WA 98093-3001
VALLEY, POLLY
036-Supply of Airfield Reflective Markers, Signs & Lights

### VANDERBERG CONSTRUCTION

629 CROCKETT STREET
SHREVEPORT, LA 71101
VANDERBERG, DORRETT
BC-Building Construction

### VERIUS PROPERTY GROUP, LLC

99 LAKE LYNN DRIVE
NEW ORLEANS, LA 70038
ANDRE LEWIS
BC-Building Construction, B89-Building Site Preparation, C05-Structural Engineering, C65-Real Estate Evaluation and Consulting, mmerideth@veriusproperty.com
C61-Real Estate Sales

### VETERANS CONSTRUCTION, LLC

P.O. BOX 1447
LAPLACE, LA 70069
ALP. JACKSON, II
BC-Building Construction, B01-Roofing, B11-Civil/Geovilling, B87-Drywall Contractor, B89-Building Site Preparation, 003-Aggregates, 005-Structural Engineering, 048-Site Work, C10-Asphalt Prime Coat, C19-Engineering, C29-PRIME

### VGR CPA, LLC

1335 N. GAYOSO ST.
NEW ORLEANS, LA 70119
VICTOR ROBINSON
C19-Accounting

### Virtuous Executive Services, LLC

2399 HAMPTON DRIVE
HARVEY, LA 70058

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### LA DOTD - Certified DBE Directory

Counting and Data Collection, C43-Computer Assisted Drafting, C74-Construction Management, C96-Traffic and Transportation Engineering, D25-Public Transportation

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**http://wwwapps.dotd.la.gov/engineering/lettings/subsdbed/dbhq20160511.aspx**

5/23/2016
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<td>WATERLINE, LLC</td>
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<td>NEW ORLEANS, LA 70118</td>
<td>SCHMITT, EUGENE</td>
<td>210-831-8591</td>
<td><a href="mailto:eugeneschmitt@gmail.com">eugeneschmitt@gmail.com</a></td>
</tr>
<tr>
<td>WAYNE JAMES &amp; ASSOCIATES, LLC</td>
<td>2903 LEPAGE STREET</td>
<td>NEW ORLEANS, LA 70119</td>
<td>SCHMITT, EUGENE</td>
<td>504-236-3508</td>
<td><a href="mailto:waynejames@ymail.com">waynejames@ymail.com</a></td>
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<tr>
<td>WAYNE PLEASANT LAND CLR AND DVLPT</td>
<td>PO BOX 81</td>
<td>MARKTHAVILLE, LA 71450</td>
<td>WAYNE PLEASANT LAND CLR AND DVLPT</td>
<td>504-496-1181</td>
<td>work@<a href="mailto:j230@yahoo.com">j230@yahoo.com</a></td>
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<td>WC2 Consultants</td>
<td>16615 Crepenoyte Drive</td>
<td>BATON ROUGE, LA 70817</td>
<td>Willie Johnson</td>
<td>504-655-8850</td>
<td><a href="mailto:amanda@weirenv.com">amanda@weirenv.com</a></td>
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<tr>
<td>WEIR ENVIRONMENTAL, LLC</td>
<td>5732 SALTEN STREET SUITE B</td>
<td>JEFFERSON, LA 70123</td>
<td>AMANDA WEIR</td>
<td>225-806-5691</td>
<td><a href="mailto:kcuhcj3@gmail.com">kcuhcj3@gmail.com</a></td>
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<tr>
<td>WENLIGHT FIBER OPTIC SERVICES</td>
<td>1709 WENDY CIRCLE</td>
<td>BIRMINGHAM, AL 35225</td>
<td>WAYNE PLEASANT LAND CLR AND DVLPT</td>
<td>504-496-1181</td>
<td>work@<a href="mailto:j230@yahoo.com">j230@yahoo.com</a></td>
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<tr>
<td>WESTCO TRUCKING AND CONT, LLC</td>
<td>9723 HIGHWAY 165</td>
<td>POLLOCK, LA 71467</td>
<td>WESTBROOK, TERRY</td>
<td>985-496-1181</td>
<td>work@<a href="mailto:j230@yahoo.com">j230@yahoo.com</a></td>
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<tr>
<td>WILBORN INVESTMENTS, LLC D/B/A ACE VEND</td>
<td>5910 MILNE BLVD</td>
<td>NEW ORLEANS, LA 70124</td>
<td>WILLIAMS, MICHAEL</td>
<td>231-867-5502</td>
<td><a href="mailto:williamsgroup39@yahoo.com">williamsgroup39@yahoo.com</a></td>
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<tr>
<td>WILLIAMS CLEANING WIZARDS</td>
<td>PO BOX 454</td>
<td>MAURICE, LA 70555</td>
<td>WILLIAMS, TERRY</td>
<td>888-217-6654</td>
<td><a href="mailto:williamsgroup39@yahoo.com">williamsgroup39@yahoo.com</a></td>
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<td>WILLIAMS GROUP, LLC</td>
<td>9070 HWY 39</td>
<td>BOLIGEE, AL 35443</td>
<td>WILSON, CHARLES J</td>
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<td><a href="mailto:williamsgroup39@yahoo.com">williamsgroup39@yahoo.com</a></td>
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<td>WILSON ELECTRICAL CONTRACTOR</td>
<td>P.O. BOX 26494</td>
<td>NEW ORLEANS, LA 70186</td>
<td>WILSON, TYRONE</td>
<td>504-628-6370</td>
<td><a href="mailto:work0130@yahoo.com">work0130@yahoo.com</a></td>
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<td>WILSON ENVIRONMENTAL SERVICES, LLC</td>
<td>1501 PRESSBURN STREET</td>
<td>NEW ORLEANS, LA 70122</td>
<td>WILSON, CHARLES J</td>
<td>225-866-354</td>
<td><a href="mailto:kulehj30@yahoo.com">kulehj30@yahoo.com</a></td>
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<td>WIMBLEY CONSTRUCTION, LLC</td>
<td>PO BOX 29453</td>
<td>SHREVEPORT, LA 71149</td>
<td>WILSON, TYRONE</td>
<td>504-628-6370</td>
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<td>Workzone</td>
<td>5306 HWY 56, CHALMETTE, LA 70034</td>
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ATTACHMENT 5

Overall Goal Calculations and Appendices
2016-2018 DBE Goal
for
Hammond Northshore Regional Airport

Name of Recipient: City of Hammond, LA - Hammond Northshore Regional Airport

Goal Period: FY 2016-2018 (October 1, 2015-September 30, 2018). Note: No DOT-assisted contracts are anticipated at the Hammond Airport in FY 2017 and FY2018. Therefore the goal calculations for the 2016 project, below, will be applied to the entire three year period.

DOT-assisted contract amount: $5,179,480.

DBE Goal: 11.0%

Total dollar amount to be expended on DBEs: $569,742.80

Number and Type of project for this Period: One Project: Rehabilitate Runway 18/36 and 13/31 Intersection. Amount: $5,179,480.

Market Area: After careful research of the historical bidding practices and responses to requests for professional services, the Hammond Northshore Regional Airport has determined that its market area is made up of the following Parishes/Counties: Caldwell, East Baton Rouge, Jefferson, Lafayette, Plaquemines, and Tangipahoa Parishes in Louisiana and Harrison County in Mississippi.

The analysis prepared in determining this included a review of the responses to advertised opportunities over the last several years. Immediate past projects entailed runway and taxiway repair/construction, airfield drainage and control tower construction spanning a period of 2000 to 2013. Please see Appendix 1 for a full listing of all of the villages/towns/cities in the anticipated market area.

Method: In accordance with the current FAA and DOT guidance, the Airport is utilizing a two-step process in setting its FY 2016-2018 goals. The first step examines the relative availability of DBE firms in the established Market Area and the second step allows for adjustments to the relative availability based on:

- Information from available Disparity Studies
- Information gained from research and outreach with:
  - Organizations servicing or representing DBEs,
  - Federal, State and local agencies that procure services,
  - Agencies charged with enforcing Civil Rights Law
  - State and local agencies responsible for minority/women's affairs
- Historical accomplishments of the Airport's DBE program
Relative Availability: Since the 2016 project will include runway demolition, construction and painting/marking, the following documents the relative availability for each of these trades and will be used in the overall calculation of relative availability for the FY 2016-2018 goals.

The following is a summary of the method used to calculate this goal:

Step 1: The method used to calculate the relative availability of DBEs for Step 1 in this process is 26.45(c)(4), which states that The Airport may use the goal of another DOT recipient in the same, or substantially similar, market that has set an overall goal in compliance with this rule. Accordingly, The Airport used the 9.19% goal of the Baton Rouge Airport (BTR) in Baton Rouge, LA as our Step 1 relative availability figure. The Baton Rouge Airport is approximately 40 miles from the Hammond Airport and expects to draw bids from the same relative geographic area.

Step 2: This step is intended to adjust the “base figure” percentage from Step 1 so that it reflects as accurately as possible the DBE participation the Airport would expect in the absence of discrimination.

First, the airport searched out the availability of information from disparity studies. This yielded no documentation of any disparity studies for the area over the course of the last seven years. To document this fact, the Airport first performed an internet search which yielded two databases of disparity studies – both of which are maintained by the DOT Office of Small and Disadvantaged Business Utilization:

- Disparity Studies Performed Since 1998 and found at http://osdbuTheAirportb.dot.gov/disparity/

Finding no available pertinent data at either of these sites, the Airport contacted the following entities and was unable to document any other documentation of disparity studies performed for the region:

- The Louisiana Small Business Development Center at Southeastern Louisiana University in Hammond, LA.

Finally, in accordance with the public participation requirements of 49 CFR 26, the Airport published the announcement at Appendix 2, announcing a public meeting to solicit input on goal setting efforts. This public notice was advertised in the local newspaper (The Daily Star), posted to the City of Hammond’s The website, and either faxed or emailed to the entities listed in Appendix 3.
The meeting was relatively well attended, but no one was able to offer any suggestions to influence the goal setting process. Please refer to Appendix 3 for a list of attendees and a synopsis of their comments.

Since none of these sources were able to provide the Airport with any available disparity study information and with the lack of any disparity study being performed in the region, the Airport must then look to historical performance and DBE goal accomplishment under previous federal grants for similar types of construction. The Airport reviewed its historical DBE participation achievement in order to ensure the goal's reasonableness.

The below table shows all federally funded projects at the Airport from 2000 to the present.

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<td>13.7%</td>
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<td>2004</td>
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<td>2003</td>
<td>13.47</td>
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<td>Professional Services and Fencing</td>
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<td>2002</td>
<td>16.95</td>
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<td>2001</td>
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<td>2000</td>
<td>23.1</td>
<td>31.2%</td>
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The average DBE accomplishment rate of all (nine) projects is 16.4%;

$$31.2 + 25.8 + 7.5 + 0.0 + 18.3 + 3.0 + 9.4 + 8.3 + 44 = 147.50 = 16.4\%.$$

This is significantly higher than the median, or middle, value of all projects at 9.4%; 0.0, 3.0, 7.5, 8.3, 9.4 (median), 18.3, 25.8, 31.2, 44.

Further, if the Airport averages the median value of 9.4% with our Step 1 amount from the BTR's DBE goal of 9.19% (our relative availability figure) The Airport end up with an average of 9.3%, which is not only less than the national aspirational goal of 10%, but less than the Airport’s past performance indicates is reasonably attainable.

Therefore, in order to achieve a more meaningful result, the Airport took the median value of the past nine projects: 9.4%;

and averaged this with the average of the past nine projects: 16.4%;
9.4 + 16.4 = 25.8 = 12.9%,
\[ \frac{12.9}{2} \]

thus giving a heavier weighting factor to our overall DBE success rate.

The Airport then took this new 12.9% average and averaged it with the relative availability figure from Step 1 to get a more reasonable and accurate adjusted DBE goal for the years 2016-2018;

\[ \frac{12.9 + 9.19}{2} = 11.045. \]

Thus, 11.0 % is the Airport’s adjusted overall DBE Goal for 2016-2018.

**Breakout of Estimated Race Neutral (RN) and Race Conscious (RC) Participation:**

The Airport will meet the maximum feasible portion of its overall goal by using RN means of facilitating DBE participation. Whenever possible, the Airport will use some or all of the following RN means to increase DBE participation:

- Arranging solicitations and times for the presentation of bids, quantities, specifications, and delivery schedules in ways that facilitate participation by DBEs and by making contracts more accessible to DBEs.
- Providing assistance in overcoming limitations such as inability to obtain bonding or financing (e.g., by such means as simplifying the bonding process, reducing bonding requirements, eliminating the impact of surety costs from bids, and providing services to help DBEs obtain bonding and financing);
- Hosting information and communications programs on contracting procedures and specific contract opportunities (ensuring the inclusion of DBEs, and other small businesses, on recipient mailing lists for bidders; ensuring the dissemination to bidders on prime contracts of lists of potential subcontractors; and providing information in languages other than English, where appropriate); and,
- Ensuring distribution of a DBE directory, through print and electronic means, to the widest feasible universe of potential prime contractors.

Based on DBE performance history, the Airport anticipates being able to meet its entire goal through RN means. In the event that a shortfall is projected, the Airport will establish contract goals, as necessary. If the Airport does establish contract goals, the Airport understands the following:

- The Airport may use contract goals only on those DOT-assisted contracts that have subcontracting possibilities.
- The Airport is not required to set a contract goal on every DOT-assisted contract.
- The Airport is not required to set each contract goal at the same percentage level as the overall goal. The goal for a specific contract may be higher or lower
than that percentage level of the overall goal, depending on such factors as the type of work involved, the location of the work, and the availability of DBEs for the work of the particular contract. However, over the period covered by the overall goal, the Airport must set contract goals so that they will cumulatively result in meeting any portion of the overall goal the Airport does not project being able to meet through the use of race-neutral means.

- Operating administration approval of each contract goal is not necessarily required. However, operating administrations may review and approve or disapprove any contract goal the Airport establishes.
- The Airport’s contract goals must provide for participation by all certified DBEs and must not be subdivided into group specific goals.
- To ensure that the Airport’s DBE program continues to be narrowly tailored to overcome the effects of discrimination, The Airport must adjust its use of contract goals as follows:
  o If the approved projection estimates that the Airport can meet its entire overall goal for a given year through race-neutral means, The Airport must implement its program without setting contract goals during that year, unless it becomes necessary in order meet overall goal.
  o If, during the course of any year in which the Airport is using contract goals, the Airport determines that it will exceed its overall goal, the Airport must reduce or eliminate the use of contract goals to the extent necessary to ensure that the use of contract goals does not result in exceeding the overall goal.
  o If the Airport determines that it will fall short of its overall goal, then the Airport must make appropriate modifications in its use of race-neutral and/or race-conscious measures to allow it to meet the overall goal.
  o If the DBE participation the Airport has obtained by race-neutral means alone meets or exceeds its overall goals for two consecutive years, the Airport is not required to make a projection of the amount of its goal the Airport can meet using such means in the next year. The Airport does not set contract goals on any contracts in the next year. The Airport will continue using only race-neutral means to meet its overall goals unless and until the Airport does not meet its overall goal for a year.
  o If the Airport obtains DBE participation that exceeds its overall goal in two consecutive years through the use of contract goals (i.e., not through the use of race-neutral means alone), the Airport must reduce its use of contract goals proportionately in the following year.
- In any year in which the Airport projects meeting part of its goal through race-neutral means and the remainder through contract goals, the Airport must maintain data separately on DBE achievements in those contracts with and without contract goals, respectively. The Airport must report this data to the concerned operating administration as provided in §26.11.
Consultation

The Airport encourages the participation of Disadvantaged Business Enterprises in its Development Program. In an effort to reach the available DBE community, seek out public input into the goal setting process, and to ensure wide distribution of the information contained in this document, the Airport makes copies of its DBE Program and Annual Goals Setting Document available to the local chapter of the Associated General Contractors, local architects and engineers, prospective bidders, and other interested parties.

In order to encourage participation by Certified DBE firms, the Airport:
- Provides prospective bidders with information on the State of Louisiana’s certified list of DBE contractors.
- Contacts the State of Louisiana to ascertain the availability of DBE contractors in the Market Area and work on ways to encourage participation.
- As documented in Appendix 3 to Attachment 5, to comply with Code of Federal Regulations Title 49, Part 26, Section 26.45(g)(1)(i), held a public meeting on May 4, 2016, to:
  - Reach out to minority, women’s and general contractor groups to discuss opportunities for DBEs;
  - Discuss the process to become a certified-DBE;
  - Address issues that contractors face with the DBE certification process;
  - Present the proposed DBE Goal for FY 2016-2018, and
  - Discuss proposed construction projects that are planned at the airport during this period.

Finally, once the Airport’s DBE goals were fully calculated, the Airport published the announcement at Appendix 4 on the City of Hammond’s website and in the following publications:
- The Daily Star Newspaper, 725 S. Morrison, Hammond, LA 70401; Phone – 985-254-7827
- The Louisiana Weekly (Minority Focused), PO Box 8628, New Orleans, LA 70182; Phone – 504-282-3705
- The Daily Journal of Commerce (Statewide Circulation Trade Journal), 111 Veterans Blvd., Suite 1440, Metairie, LA 70005; Phone – 504-834-9292

Additionally, The Airport faxed or emailed the announcement to the same list of organizations and businesses, listed in Appendix 3, to whom The Airport had sent the initial notice of public participation. The comment period is currently running until June 24, 2016. To date no comments have been received. Any comments received between the submission date of this document and the comment end date will be forwarded to the FAA Civil Rights Office and may result in an amendment to this document.
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(Appendix 1 to Attachment 5
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PUBLIC NOTICE
CITY OF HAMMOND

Invitation for Public Participation
in Setting the DBE Goals of Hammond Northshore Regional Airport

Hammond Northshore Regional Airport, City of Hammond, Tangipahoa, Louisiana, intends to apply for FY16-18 Federal Airport Improvement funds. To apply for these funds, the Airport must update its Disadvantaged Business Enterprise (DBE) Program setting reasonable goals for DBE participation. In establishing these goals, the Airport must, according to federal requirements (i.e. 49 CFR 26.45(g)(1)), "provide for public participation" through "consultation with minority, women's and general contractor groups, community organizations, and other officials or organizations which could be expected to have information concerning the availability of disadvantaged and non-disadvantaged businesses, the effects of discrimination on opportunities for DBEs, and [the Airport's] efforts to establish a level playing field for the participation of DBEs."

Accordingly, the Airport Director invites public participation from anyone who could assist the Airport Director, the Airport, or the City in establishing a level playing field for the participation of DBEs in Airport construction projects to a goal setting meeting, to be held from 2–3 p.m. Wednesday, May 4, 2016 at the Hammond City Council Chambers, 312 East Charles Street in Hammond, Louisiana (70401).
Appendix 3 to Attachment 5

2016-2018 DBE Goal Setting Meeting
For
Hammond Northshore Regional Airport
May 4, 2016, 2-3 P.M.

The announcement at Appendix 2 was advertised in the local newspaper, posted on the City of Hammond’s website and either emailed or faxed to the following:

- Community Organizations
  - Louisiana Small Business Development Center at Southeastern Louisiana University
  - Hammond Area Economic and Industrial Development District/Hammond Downtown Development District
  - Tangipahoa Parish Economic Development Foundation
  - New Orleans Regional Planning Commission
  - Louisiana State Chamber of Commerce
  - Hammond Chamber of Commerce
  - Louisiana Association of Business and Industry
  - Louisiana Economic Development Office
  - Economic Development Offices of all Parishes/Counties in the Anticipated Market Area.
  - South Louisiana Economic Development Council
  - Small Business Association – Louisiana District Office, New Orleans
  - Louisiana Minority Business Council
  - Louisiana Associated General Contractors

- General Contractors
  - Integrated Pro Services, Belle Chase LA
  - Phillips and Jordan, Lafayette, LA
  - Byron E. Talbot Contractors, Robert, LA (Bid winner, 2010 project)
  - C.E.C., Inc., Lafayette, LA

- DBE Contractors
  - DANCO, Belle Chase, LA
  - Spartan Construction, Biloxi, MS (Bid winner, 2013 Control Tower Project)
  - Mack’s Trucking, Kentwood, LA
  - First Millennium, Lafayette, LA
  - McElwee Bros, Independence, LA
Attendees:

David L. Lobue, Director, Hammond Northshore Regional Airport (COH DBELO)
Beth Yokum, Assistant, Hammond Northshore Regional Airport
Stacey Neal, Director, Tangipahoa Economic Development Foundation
Melody Woodworth, Director, Hammond Area Economic and Industrial Development District/Hammond Downtown Development District
Melissa Bordelon, CEO, Hammond Chamber of Commerce
Shauna Seals, Interested Citizen
William Wainwright, Contractor
Fred D. McCarter III, DBE Owner/Operator, Mack’s Trucking, Independence, LA

Comments:

- Shauna Seals stated that prior to seeing our notice in the paper, she knew nothing of the DBE process. She asked many general questions designed to help her understand the process better. She stated her desire to help get the word out to the minority community.
- Fred McCarter thanked us for the opportunity, but stated that he would likely not be bidding on this project due to his company already being overbooked for the remainder of the year.
Sign in Sheet

1. Name: Shauna Seals
   Address: 610 Range Rd, Hammond, LA 70403
   Phone: 504-874-2175
   Email: sjseals@yahoo.com

2. Name: Melody Woodward
   Address: 1514 Martens Dr, Hammond, LA 70401
   Phone: 985-351-5111
   Email: maw@h.e.irdd.org

3. Name: William Wardwell
   Address:
   Phone: 985-380-3204
   Email: william@wardwell.inc.com

4. Name: Stacey Neal
   Address: 1514 Martens Drive, Hammond, LA 70401
   Phone: 985-549-3170
   Email: sneal@tangiphoe.org

5. Name: Melissa Bordelon
   Address: PO Box 1458, Hammond, LA 70404
   Phone: 985-345-1457
   Email: melissa.bordelon@hammondchamber.org
<table>
<thead>
<tr>
<th>Name</th>
<th>Address</th>
<th>Phone</th>
<th>Email</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fred D. McCartney III</td>
<td>19133 Cutrer Road</td>
<td>965-228-2697</td>
<td><a href="mailto:fdorrcarter@gmail.com">fdorrcarter@gmail.com</a></td>
</tr>
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<td>Name</td>
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Appendix 4 to Attachment 5

PUBLIC NOTICE
CITY OF HAMMOND

Request for Comments
on the Proposed DBE Goal of Hammond Northshore Regional Airport

Hammond Northshore Regional Airport, City of Hammond, Tangipahoa, Louisiana, proposes a FY16-18 Disadvantaged Business Enterprise (DBE) goal of 11% for airport construction projects. Summarized below, this proposed goal—and the methods by which it was determined—will be available for public review from 8:00 a.m. - 5:00 p.m. Monday-Friday at the Hammond Northshore Regional Airport Terminal Building, 600 Judge Leon Ford Drive in Hammond, Louisiana (70401), until June 9, 2016. Written comments will be accepted until June 24, 2016 and should be addressed to both of the following and reference “Hammond Northshore Regional Airport FY16-18 DBE Goal:”

David Lobue
Airport Director/DBELO
Hammond Northshore Regional Airport
600 Judge Leon Ford Dr
Hammond LA 70401-9689

Federal Aviation Administration
Civil Rights Staff, AWP-9
Hammond Northshore Regional Airport
600 Judge Leon Ford Dr
PO Box 92007
Los Angeles CA 90009-2007

The Airport’s FY16-18 DBE goal is summarized as follows:

49 CFR Part 26.45(g)(1): Public Participation & Consultation

<table>
<thead>
<tr>
<th>Name of Recipient:</th>
<th>Hammond Northshore Regional Airport, City of Hammond, Tangipahoa, Louisiana</th>
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<tbody>
<tr>
<td>Goal Period:</td>
<td>FY16-18 (October 1, 2015-September 30, 2018)</td>
</tr>
<tr>
<td>DBE Goal:</td>
<td>11% *</td>
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<tr>
<td>Market Area:</td>
<td>Caldwell, East Baton Rouge, Jefferson, Lafayette, Plaquemines, and Tangipahoa Parishes in Louisiana and Harrison County in Mississippi (as determined by Bidder's List from previous projects)</td>
</tr>
<tr>
<td>Number/Type of Projects:</td>
<td>1 Project: Runway 18-36/13-31 Intersection Rehabilitation</td>
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* This figure was mathematically calculated using information from the following sources: LaDOTD DBE Roster, U.S. Census Bureau County Business Patterns, U.S. Census Bureau North American Industry Classification System (NAICS), and previous federally-funded projects at the Airport.
Appendix A to Part 26—Guidance Concerning Good Faith Efforts

I. When, as a recipient, you establish a contract goal on a DOT-assisted contract, a bidder must, in order to be responsible and/or responsive, make good faith efforts to meet the goal. The bidder can meet this requirement in either of two ways. First, the bidder can meet the goal, documenting commitments for participation by DBE firms sufficient for this purpose. Second, even if it doesn't meet the goal, the bidder can document adequate good faith efforts. This means that the bidder must show that it took all necessary and reasonable steps to achieve a DBE goal or other requirement of this part which, by their scope, intensity, and appropriateness to the objective, could reasonably be expected to obtain sufficient DBE participation, even if they were not fully successful.

II. In any situation in which you have established a contract goal, part 26 requires you to use the good faith efforts mechanism of this part. As a recipient, it is up to you to make a fair and reasonable judgment whether a bidder that did not meet the goal made adequate good faith efforts. It is important for you to consider the quality, quantity, and intensity of the different kinds of efforts that the bidder has made. The efforts employed by the bidder should be those that one could reasonably expect a bidder to take if the bidder were actively and aggressively trying to obtain DBE participation sufficient to meet the DBE contract goal. Mere pro forma efforts are not good faith efforts to meet the DBE contract requirements. We emphasize, however, that your determination concerning the sufficiency of the firm's good faith efforts is a judgment call: meeting quantitative formulas is not required.

III. The Department also strongly cautions you against requiring that a bidder meet a contract goal (i.e., obtain a specified amount of DBE participation) in order to be awarded a contract, even though the bidder makes an adequate good faith efforts showing. This rule specifically prohibits you from ignoring bona fide good faith efforts.

IV. The following is a list of types of actions which you should consider as part of the bidder's good faith efforts to obtain DBE participation. It is not intended to be a mandatory checklist, nor is it intended to be exclusive or exhaustive. Other factors or types of efforts may be relevant in appropriate cases.

A. Soliciting through all reasonable and available means (e.g. attendance at pre-bid meetings, advertising and/or written notices) the interest of all certified DBEs who have the capability to perform the work of the contract. The bidder must solicit this interest within sufficient time to allow the DBEs to respond to the solicitation. The bidder must determine with certainty if the DBEs are interested by taking appropriate steps to follow up initial solicitations.

B. Selecting portions of the work to be performed by DBEs in order to increase the likelihood that the DBE goals will be achieved. This includes, where appropriate, breaking out contract work items into economically feasible units to facilitate DBE participation, even when the prime contractor might otherwise prefer to perform these work items with its own forces.

C. Providing interested DBEs with adequate information about the plans, specifications, and requirements of the contract in a timely manner to assist them in responding to a solicitation.
D. (1) Negotiating in good faith with interested DBEs. It is the bidder’s responsibility to make a portion of the work available to DBE subcontractors and suppliers and to select those portions of the work or material needs consistent with the available DBE subcontractors and suppliers, so as to facilitate DBE participation. Evidence of such negotiation includes the names, addresses, and telephone numbers of DBEs that were considered; a description of the information provided regarding the plans and specifications for the work selected for subcontracting; and evidence as to why additional agreements could not be reached for DBEs to perform the work.

(2) A bidder using good business judgment would consider a number of factors in negotiating with subcontractors, including DBE subcontractors, and would take a firm’s price and capabilities as well as contract goals into consideration. However, the fact that there may be some additional costs involved in finding and using DBEs is not in itself sufficient reason for a bidder’s failure to meet the contract DBE goal, as long as such costs are reasonable. Also, the ability or desire of a prime contractor to perform the work of a contract with its own organization does not relieve the bidder of the responsibility to make good faith efforts. Prime contractors are not, however, required to accept higher quotes from DBEs if the price difference is excessive or unreasonable.

E. Not rejecting DBEs as being unqualified without sound reasons based on a thorough investigation of their capabilities. The contractor’s standing within its industry, membership in specific groups, organizations, or associations and political or social affiliations (for example union vs. non-union employee status) are not legitimate causes for the rejection or non-solicitation of bids in the contractor’s efforts to meet the project goal.

F. Making efforts to assist interested DBEs in obtaining bonding, lines of credit, or insurance as required by the recipient or contractor.

G. Making efforts to assist interested DBEs in obtaining necessary equipment, supplies, materials, or related assistance or services.

H. Effectively using the services of available minority/women community organizations; minority/women contractors’ groups; local, state, and Federal minority/women business assistance offices; and other organizations as allowed on a case-by-case basis to provide assistance in the recruitment and placement of DBEs.

V. In determining whether a bidder has made good faith efforts, you may take into account the performance of other bidders in meeting the contract. For example, when the apparent successful bidder fails to meet the contract goal, but others meet it, you may reasonably raise the question of whether, with additional reasonable efforts, the apparent successful bidder could have met the goal. If the apparent successful bidder fails to meet the goal, but meets or exceeds the average DBE participation obtained by other bidders, you may view this, in conjunction with other factors, as evidence of the apparent successful bidder having made good faith efforts.
ATTACHMENT 7

DBE Monitoring and Enforcement Mechanisms
ATTACHMENT 7

DBE Monitoring and Enforcement Mechanisms

The City of Hammond, LA has available several remedies to enforce the DBE requirements contained in its contracts, including, but not limited to, the following:

1. Breach of contract action, pursuant to the terms of the contract;
2. Breach of contract action, pursuant to state law – Louisiana Revised Statute 39:1673;
3. All criminal penalties provided under state law (Louisiana Revised Statute Title 49)

In addition, the Federal government has available several enforcement mechanisms that it may apply to firms participating in the DBE problem, including, but not limited to, the following:

1. Suspension or debarment proceedings pursuant to 49 CFR Part 26
2. Enforcement action pursuant to 49 CFR Part 31
3. Prosecution pursuant to 18 USC 1001.
ATTACHMENT 8

DBE Certification Application Form
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 ($52.47 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?
   The DBE and ACDBE Programs require that all U.S. Department of Transportation (DOT) recipients of federal assistance participate in a statewide Unified Certification Program (UCP). 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 for DOT grantees, 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—https://www.civilrights.dot.gov/ (This site provides useful links to the rules and regulations governing the DBE/ACDBE program, questions and answers, and other pertinent information)

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 destroyed. 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 CFR §26.5 and the Airport Concession Disadvantaged Business Enterprise Program as defined in 49 CFR §23.3. You may review DOT’s complete Privacy Act Statement in the Federal Register published on April 11, 2000 (65 FR 15477).

Under 49 C.F.R. §26.107, dated February 2, 1999 and January 29, 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 CFR Parts 180 and 1200. Nonprocurement Suspension and Debarment actions are governed under 49 C.F.R. Part 31, Program Fraud and Civil Remedies, and/or referred 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

NOTE: 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 address, 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/UCP members. Also provide the names of state/UCP members that conducted the review.
(11) Indicate whether your firm or any of the persons listed has ever been denied certification as a DBE, SDB, or Small Disadvantaged Business (SDB) firm, or state and local MBE/WBE firm. Indicate if the firm has ever been de-certified 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/service first (attach additional sheets if necessary). This description may be used in our UCP online directory if you are certified as a DBE.

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:

(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 firm and this owner’s function/title held in that firm.

(3) (a) Check the appropriate box that indicates whether this owner owns or works for any other firm(s) that has any 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 she 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 control the functions listed for the business. Submit resumes for each owner and non-owner identified below. State the name of the individual, title, rate, 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

Banking Information. State the name, City and State of your firm’s bank. In the space provided, identify the persons able to sign checks on this account. Provide bank authorization and signature cards.

Bonding Information. State your firm’s bonding limits (in dollars), specifying both the 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 from whom it was transferred, the person or firm to whom 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 bond 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 project, 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.

AIRPORT CONCESSION (ACDBE) APPLICANTS

Identify the concession space, address and location at the airport, the value of the property or lease, and fees/lease payments paid to the airport. Provide information concerning any other airport concession businesses the applicant firm or any affiliate owns and/or operates, including name, location, type of concession, and start date of the concession enterprise.

AFFIDAVIT & SIGNATURE

The Affidavit of Certification must accompany your application for certification. 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: CERTIFICATION INFORMATION

A. Basic Contact Information

(1) Contact person and Title: ____________________________ (2) Legal name of firm: ____________________________

(3) Phone #: (___) _____ - ____ (4) Other Phone #: (___) _____ - ____ (5) Fax #: (___) _____ - ____

(6) E-mail: __________________________________________ (7) Firm Websites: ________________________________

(8) Street address of firm (No P.O. Box): ____________________________ City: __________ County/Parish: __________ State: __________ Zip: __________

(9) Mailing address of firm (if different): ____________________________ City: __________ County/Parish: __________ State: __________ Zip: __________

B. Prior/Other Certifications and Applications

(10) Is your firm currently certified for any of the following U.S. DOT programs?  
☐ DBE  ☐ ACDBE  Names of certifying agencies: ____________________________

☐ If you are certified in your home state as a DBE/ACDBE, you do not have to complete this application for other states.  
Ask your state UCP about the interstate certification process.

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

Date _____ / _____ / _____ State/UCP Member: ____________________________ Date _____ / _____ / _____ State/UCP Member: ____________________________

(11) Indicate whether the firm or any persons listed in this application have ever been:

(a) Denied certification or decertified as a DBE, ACDBE, 8(a), SDB, MBE/WBE firm?  ☐ Yes ☐ No
(b) Withdrawn an application for these programs, or debarred or suspended or otherwise had bidding privileges denied or restricted by any state or local agency, or Federal entity?  ☐ Yes ☐ No

If yes, explain the nature of the action. (If you appealed the decision to DOT or another agency, attach a copy of the decision, ____________

Section 2: GENERAL INFORMATION

A. Business Profile: (1) Give a concise description of the firm’s primary activities and the product(s) or service(s) it provides. If your company offers more than one product/service, list the primary product or service first. Please use additional paper if necessary. This description may be used in our database and the UCP online directory if you are certified as a DBE or ACDBE.

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________

(2) Applicable NAICS Codes for this line of work include:

(3) This firm was established on _____ / _____ / _______  (4) I/We have owned this firm since: _____ / _____ / _______

(5) Method of acquisition (Check all that apply):

☐ Started new business  ☐ Bought existing business  ☐ Inherited business  ☐ Secured concession

☐ Merger or consolidation  ☐ Other (explain) ____________________________

U.S. DOT Uniform DBE / ACDBE Certification Application • Page 5 of 15
(6) Is your firm “for profit”?  □ Yes □ No
   STOP! If your firm is NOT for-profit, then you do NOT qualify for this program and should not fill out this application.

(7) Type of Legal Business Structure: (check all that apply):
   □ Sole Proprietorship  □ Limited Liability Partnership
   □ Partnership  □ Corporation
   □ Limited Liability Company  □ Joint Venture (Identify all JV partners)
   □ Applying as an ACDBE  □ Other, Describe

(8) Number of employees: Full-time _______  Part-time _______  Seasonal _______  Total _______
   (Provide a list of employees, their job titles, and dates of employment, to your application.)

(9) Specify the firm’s gross receipts for the last 3 years. (Submit complete copies of the firm’s Federal tax returns for each year. If there are affiliates or subsidiaries of the applicant firm or owners, you must submit complete copies of these firms’ Federal tax returns).

<table>
<thead>
<tr>
<th>Year</th>
<th>Gross Receipts of Applicant Firm $</th>
<th>Gross Receipts of Affiliate Firms $</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td></td>
<td></td>
<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

B. Relationships and Dealings with Other Businesses

(1) Is your firm co-located at any of its business locations, or does it share a telephone number, P.O. Box, office or storage space, yard, warehouse, facilities, equipment, inventory, financing, office staff, and/or employees with any other business, organization, or entity?  □ Yes □ No
   If Yes, 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. Also detail the items shared.

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

(2) Has any other firm had an ownership interest in your firm at present or at any time in the past?
   □ Yes □ No  If Yes, explain ________________________________

(3) At present, or at any time in the past, has your firm:
   (a) Ever existed under different ownership, a different type of ownership, or a different name?  □ Yes □ No
   (b) Existed as a subsidiary of any other firm?  □ Yes □ No
   (c) Existed as a partnership in which one or more of the partners are/were other firms?  □ Yes □ No
   (d) Owned any percentage of any other firm?  □ Yes □ No
   (e) Had any subsidiaries?  □ Yes □ No
   (f) Served as a subcontractor with another firm constituting more than 25% of your firm’s receipts?  □ Yes □ No

(If you answered “Yes” to any of the questions in (2) and/or (3)(a)-(f), you may be asked to provide further details and explain whether the arrangement continues.)
Section 3: MAJORITY OWNER INFORMATION

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

(1) Full Name: ____________________________  (2) Title: ____________________________  (3) Home Phone #: ____________________________

(4) Home Address (Street and Number): ____________________________  City: ____________________________  State: ____________________________  Zip: ____________________________

(5) Gender: □ Male  □ Female

(6) Ethnic group membership (Check all that apply):

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

(7) U.S. Citizenship:

□ U.S. Citizen  □ Lawfully Admitted Permanent Resident

(8) Number of years as owner: ____________________________  (9) Percentage owned: ____________________________  %

Class of stock owned: ____________________________  Date acquired: ____________________________

(10) Initial investment to acquire ownership

<table>
<thead>
<tr>
<th>Type</th>
<th>Dollar Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash</td>
<td>$</td>
</tr>
<tr>
<td>Real Estate</td>
<td>$</td>
</tr>
<tr>
<td>Equipment</td>
<td>$</td>
</tr>
<tr>
<td>Other</td>
<td>$</td>
</tr>
</tbody>
</table>

Describe how you acquired your business:

□ Started business myself  □ It was a gift from: ____________________________

□ I bought it from: ____________________________  □ I inherited it from: ____________________________

□ Other ____________________________

(Attach documentation substantiating your investment)

B. 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? □ Yes  □ No

If Yes, identify: Name of Business: ____________________________  Function/Title: ____________________________

(3)(a) Does this owner 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

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 10 hours per week? If yes, identify this activity:

____________________________________________________________________________________

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

(b) Has any trust been created for the benefit of this disadvantaged owner(s)? □ Yes  □ No

(If Yes, you may be asked to provide a copy of the trust instrument).

(5) Do any of your immediate family members, managers, or employees own, manage, or are associated with another company? □ Yes  □ No  If Yes, provide their name, relationship, company, type of business, and indicate whether they own or manage the company: (Please attach extra sheets, if needed):

____________________________________________________________________________________
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: ________________________________ 3) Home Phone #: ________________________________

4) Home Address (Street and Number): ________________________________

City: ________________________________ State: ________________________________ Zip: ________________________________

5) Gender: □ Male □ Female

6) Ethnic group membership (Check all that apply)

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

7) U.S. Citizenship:

□ U.S. Citizen □ Lawfully Admitted Permanent Resident

8) Number of years as owner: ________________________________

9) Percentage owned: ________________________________

Class of stock owned: ________________________________ Date acquired: ________________________________

10) Initial investment to acquire ownership interest in firm:

<table>
<thead>
<tr>
<th>Type</th>
<th>Dollar Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash</td>
<td>$</td>
</tr>
<tr>
<td>Real Estate</td>
<td>$</td>
</tr>
<tr>
<td>Equipment</td>
<td>$</td>
</tr>
<tr>
<td>Other</td>
<td>$</td>
</tr>
</tbody>
</table>

Describe how you acquired your business:

□ Started business myself

□ It was a gift from: ________________________________

□ I bought it from: ________________________________

□ I inherited it from: ________________________________

□ Other ________________________________

(Attach documentation substantiating your investment)

B. 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? □ Yes □ No

If Yes, identify: Name of Business: ________________________________ Function/Title: ________________________________

(3)(a) Does this owner 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

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 10 hours per week? If yes, identify this activity:

____________________________________________________________________________________

____________________________________________________________________________________

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

(b) Has any trust been created for the benefit of this disadvantaged owner(s)? □ Yes □ No

If Yes, you may be asked to provide a copy of the trust instrument.

(5) Do any of your immediate family members, managers, or employees own, manage, or are associated with another company? □ Yes □ No

If Yes, provide their name, relationship, company, type of business, and indicate whether they own or manage: (Please attach extra sheets, if needed): ________________________________

U.S. DOT Uniform DBE/ACDBE Certification Application • Page 8 of 14
Section 4: CONTROL

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

<table>
<thead>
<tr>
<th>(1) Officers of the Company</th>
<th>Name</th>
<th>Title</th>
<th>Date Appointed</th>
<th>Ethnicity</th>
<th>Gender</th>
</tr>
</thead>
<tbody>
<tr>
<td>(a)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(b)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>(c)</td>
<td></td>
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<td></td>
</tr>
<tr>
<td>(d)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(2) Board of Directors</th>
<th>Name</th>
<th>Title</th>
<th>Date Appointed</th>
<th>Ethnicity</th>
<th>Gender</th>
</tr>
</thead>
<tbody>
<tr>
<td>(a)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(b)</td>
<td></td>
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<tr>
<td>(c)</td>
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<td></td>
</tr>
<tr>
<td>(d)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(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:

<table>
<thead>
<tr>
<th>Person</th>
<th>Title</th>
<th>Business</th>
<th>Function</th>
</tr>
</thead>
</table>

(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:

<table>
<thead>
<tr>
<th>Firm Name</th>
<th>Person</th>
<th>Nature of Business Relationship</th>
</tr>
</thead>
</table>

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

1. (Identify your firm’s management personnel who control your firm in the following areas (Attach separate sheets as needed).)

<table>
<thead>
<tr>
<th>A = Always</th>
<th>F = Frequently</th>
<th>S = Seldom</th>
<th>N = Never</th>
<th>Majority Owner (51% or more)</th>
<th>Minority Owner (49% or less)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sets policy for company direction/scpe of operations</td>
<td>A</td>
<td>F</td>
<td>S</td>
<td>N</td>
<td>A</td>
</tr>
<tr>
<td>Bidding and estimating</td>
<td>A</td>
<td>F</td>
<td>S</td>
<td>N</td>
<td></td>
</tr>
<tr>
<td>Major purchasing decisions</td>
<td>A</td>
<td>F</td>
<td>S</td>
<td>N</td>
<td></td>
</tr>
<tr>
<td>Marketing and sales</td>
<td>A</td>
<td>F</td>
<td>S</td>
<td>N</td>
<td></td>
</tr>
<tr>
<td>Supervises field operations</td>
<td>A</td>
<td>F</td>
<td>S</td>
<td>N</td>
<td></td>
</tr>
<tr>
<td>Attend bid opening and lettings</td>
<td>A</td>
<td>F</td>
<td>S</td>
<td>N</td>
<td></td>
</tr>
<tr>
<td>Perform office management (billing, accounts receivable/payable, etc.)</td>
<td>A</td>
<td>F</td>
<td>S</td>
<td>N</td>
<td></td>
</tr>
<tr>
<td>Hires and fires management staff</td>
<td>A</td>
<td>F</td>
<td>S</td>
<td>N</td>
<td></td>
</tr>
<tr>
<td>Hire and fire field staff or crew</td>
<td>A</td>
<td>F</td>
<td>S</td>
<td>N</td>
<td></td>
</tr>
<tr>
<td>Designates profits spending or investment</td>
<td>A</td>
<td>F</td>
<td>S</td>
<td>N</td>
<td></td>
</tr>
<tr>
<td>Obligates business by contract/credit</td>
<td>A</td>
<td>F</td>
<td>S</td>
<td>N</td>
<td></td>
</tr>
<tr>
<td>Purchase equipment</td>
<td>A</td>
<td>F</td>
<td>S</td>
<td>N</td>
<td></td>
</tr>
<tr>
<td>Signs business checks</td>
<td>A</td>
<td>F</td>
<td>S</td>
<td>N</td>
<td></td>
</tr>
</tbody>
</table>
2. Complete for all Officers, Directors, Managers, and Key Personnel who control the following functions for the firm. (Attach separate sheets as needed).

<table>
<thead>
<tr>
<th>Function Description</th>
<th>Always</th>
<th>Frequently</th>
<th>Seldom</th>
<th>Never</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sets policy for company direction/scope of operations</td>
<td>A</td>
<td>F</td>
<td>S</td>
<td>N</td>
</tr>
<tr>
<td>Bidding and estimating</td>
<td>A</td>
<td>F</td>
<td>S</td>
<td>N</td>
</tr>
<tr>
<td>Major purchasing decisions</td>
<td>A</td>
<td>F</td>
<td>S</td>
<td>N</td>
</tr>
<tr>
<td>Marketing and sales</td>
<td>A</td>
<td>F</td>
<td>S</td>
<td>N</td>
</tr>
<tr>
<td>Supervises field operations</td>
<td>A</td>
<td>F</td>
<td>S</td>
<td>N</td>
</tr>
<tr>
<td>Attend bid opening and lettings</td>
<td>A</td>
<td>F</td>
<td>S</td>
<td>N</td>
</tr>
<tr>
<td>Perform office management (billing, accounts receivable/payable, etc.)</td>
<td>A</td>
<td>F</td>
<td>S</td>
<td>N</td>
</tr>
<tr>
<td>Hire and fires management staff</td>
<td>A</td>
<td>F</td>
<td>S</td>
<td>N</td>
</tr>
<tr>
<td>Hire and fire field staff or crew</td>
<td>A</td>
<td>F</td>
<td>S</td>
<td>N</td>
</tr>
<tr>
<td>Designates profits spending or investment</td>
<td>A</td>
<td>F</td>
<td>S</td>
<td>N</td>
</tr>
<tr>
<td>Obligates business by contract/credit</td>
<td>A</td>
<td>F</td>
<td>S</td>
<td>N</td>
</tr>
<tr>
<td>Purchase equipment</td>
<td>A</td>
<td>F</td>
<td>S</td>
<td>N</td>
</tr>
<tr>
<td>Signs business checks</td>
<td>A</td>
<td>F</td>
<td>S</td>
<td>N</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Make and Model</th>
<th>Current Value</th>
<th>Owned or Leased by Firm or Owner?</th>
<th>Used as collateral?</th>
<th>Where is item stored?</th>
</tr>
</thead>
<tbody>
<tr>
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</tbody>
</table>

2. Office Space

<table>
<thead>
<tr>
<th>Street Address</th>
<th>Owned or Leased by Firm or Owner?</th>
<th>Current Value of Property or Lease</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td></td>
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</tbody>
</table>

U.S. DOT Uniform DBE/ACDBE Certification Application • Page 10 of 14
3. Storage Space *(Provide signed lease agreements for the properties listed)*

<table>
<thead>
<tr>
<th>Street Address</th>
<th>Owned or Leased by Firm or Owner?</th>
<th>Current Value of Property or Lease</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

D. Does your firm rely on any other firm for management functions or employee payroll? □ Yes □ No

E. Financial/Banking Information *(Provide bank authorization and signature cards)*

<table>
<thead>
<tr>
<th>Name of bank:</th>
<th>City and State:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The following individuals are able to sign checks on this account:

<table>
<thead>
<tr>
<th>Name of bank:</th>
<th>City and State:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tr>
</tbody>
</table>

The following individuals are able to sign checks on this account:

F. Bonding Information: If you have bonding capacity, identify the firm's bonding aggregate and project limits:

*Aggregate limit $*  
*Project limit $*

G. Identify all sources, amounts, and purposes of money loaned to your firm including from financial institutions. Identify whether you the owner and any other person or firm loaned money to the applicant DBE/ACDBE. Include the names of any persons or firms guaranteeing the loan, if other than the listed owner. *(Provide copies of signed loan agreements and security agreements)*

<table>
<thead>
<tr>
<th>Name of Source</th>
<th>Address of Source</th>
<th>Name of Person Guaranteeing the Loan</th>
<th>Original Amount</th>
<th>Current Balance</th>
<th>Purpose of Loan</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

H. List all contributions or transfers of assets to/from your firm and to/from any of its owners or another individual over the past two years *(Attach additional sheets if needed)*:

<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>
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I. List current licenses/permits held by any owner and/or employee of your firm *(e.g. contractor, engineer, architect, etc.)* *(Attach additional sheets if needed)*:

<table>
<thead>
<tr>
<th>Name of License/Permit Holder</th>
<th>Type of License/Permit</th>
<th>Expiration Date</th>
<th>State</th>
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</tbody>
</table>
I. List the three largest contracts completed by your firm in the past three years, if any:

<table>
<thead>
<tr>
<th>Name of Owner/Contractor</th>
<th>Name/Location of Project</th>
<th>Type of Work Performed</th>
<th>Dollar Value of Contract</th>
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</table>

J. List the three largest active jobs on which your firm is currently working:

<table>
<thead>
<tr>
<th>Name of Prime Contractor and Project Number</th>
<th>Location of Project</th>
<th>Type of Work</th>
<th>Project Start Date</th>
<th>Anticipated Completion Date</th>
<th>Dollar Value of Contract</th>
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**AIRPORT CONCESSION (ACDBE) APPLICANTS ONLY MUST COMPLETE THIS SECTION**

Identify the following information concerning the ACDBE applicant firm:

<table>
<thead>
<tr>
<th>Concession Space</th>
<th>Address / Location at Airport</th>
<th>Value of Property or Lease</th>
<th>Fees/Lease Payments Paid to the Airport</th>
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<tbody>
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</table>

Provide information concerning any other airport concession businesses the applicant firm or any affiliate owns and/or operates, including name, location, type of concession, and start date of concession:

<table>
<thead>
<tr>
<th>Name of Concession</th>
<th>Location</th>
<th>Type of Concession</th>
<th>Start Date of Concession</th>
</tr>
</thead>
<tbody>
<tr>
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</table>
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.

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

I have read and understood all of the questions in this application and that all of the following 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 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 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 contractor 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

U.S. DOT Uniform DBE/ACDBE Certification Application • Page 13 of 14
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 comprising 51% or more of the ownership percentage of the applicant firm.
- Personal Federal tax returns for the past 3 years, if applicable, for each disadvantaged owner.
- 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).
- 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, insurance cards for each vehicle.
- Title(s), registration certificate(s), and U.S. DOT numbers for each truck owned or operated by your firm.
- 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 decertifications, if applicable; and any U.S. DOT appeal decisions on these actions.
- Bank authorization and signature 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.

**Partnership or Joint Venture**

- 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 directors meetings.

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

- Proof of citizenship.
- Insurance agreements for each truck owned or operated by your firm.
- Audited financial statements (if available).
- Personal Federal Tax returns for the past 3 years, if applicable, for other disadvantaged owners of the firm.
- 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).

**Suppliers**

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

U.S. DOT Uniform DBE/ACDBE Certification Application • Page 14 of 14
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 ACDBE, whose ownership and control are relied upon for DBE certification must complete this form. Each person signing this form is subject to the United Certification Program (UCP) recipient to make inquiries as necessary to verify the accuracy of the statements 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. Return form to appropriate UCP certifying member, not U.S. DOT.

<table>
<thead>
<tr>
<th>Name</th>
<th>Business Phone</th>
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<tbody>
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<table>
<thead>
<tr>
<th>Residence Address (As reported to the IRS)</th>
<th>City, State and Zip Code</th>
</tr>
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<tbody>
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<table>
<thead>
<tr>
<th>Business Name of Applicant Firm</th>
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<tbody>
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<table>
<thead>
<tr>
<th>Spouse's Full Name (Marital Status: Single, Married, Divorced, Union)</th>
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### ASSETS

<table>
<thead>
<tr>
<th>ASSETS</th>
<th>(Omit Cents)</th>
<th>LIABILITIES</th>
<th>(Omit Cents)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash and Cash Equivalents</td>
<td>$</td>
<td>Loan on Life Insurance (Complete Section 5)</td>
<td>$</td>
</tr>
<tr>
<td>Retirement Accounts (IRAs, 401(k)s, 403(b)s, Pensions, etc.) (Report full value minus tax and interest penalties that would apply if assets were distributed today) (Complete Section 3)</td>
<td>$</td>
<td>Mortgages on Real Estate Excluding Primary Residence Debt (Complete Section 4)</td>
<td>$</td>
</tr>
<tr>
<td>Brokerage, Investment Accounts</td>
<td>$</td>
<td>Notes, Obligations on Personal Property (Complete Section 6)</td>
<td>$</td>
</tr>
<tr>
<td>Assets Held in Trust</td>
<td>$</td>
<td>Notes &amp; Accounts Payable to Banks and Others (Complete Section 2)</td>
<td>$</td>
</tr>
<tr>
<td>Loans to Shareholders &amp; Other Receivables (Complete section 6)</td>
<td>$</td>
<td>Other Liabilities (Complete Section 8)</td>
<td>$</td>
</tr>
<tr>
<td>Real Estate Excluding Primary Residence (Complete Section 4)</td>
<td>$</td>
<td>Unpaid Taxes (Complete Section 6)</td>
<td>$</td>
</tr>
<tr>
<td>Life Insurance (Cash Surrender Value Only) (Complete Section 5)</td>
<td>$</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other Personal Property and Assets (Complete Section 6)</td>
<td>$</td>
<td></td>
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<tr>
<td>Business Interests Other Than the Applicant Firm (Complete Section 7)</td>
<td>$</td>
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<tr>
<td>Total Assets</td>
<td>$</td>
<td>Total Liabilities</td>
<td>$</td>
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</tbody>
</table>

**NET WORTH**

Section 2. Notes Payable to Banks and Others

<table>
<thead>
<tr>
<th>Name of Noteholder(s)</th>
<th>Original Balance</th>
<th>Current Balance</th>
<th>Payment Amount</th>
<th>Frequency (monthly, etc.)</th>
<th>How Secured or Endorsed Type of Collateral</th>
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U.S. DOT Personal Net Worth Statement for DBE/ACDBE Program Eligibility • Page 1 of 5
### Section 3. Brokerage and Custodial Accounts, Stocks, Bonds, Retirement Accounts

<table>
<thead>
<tr>
<th>Name of Security / Brokerage Account / Retirement Account</th>
<th>Cost</th>
<th>Market Value Quotation/Exchange</th>
<th>Date of Quotation/Exchange</th>
<th>Total Value</th>
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### Section 4. Real Estate Owned (Including Primary Residence, Investment Properties, Personal Property Leased or Rented for Business Purposes, Farm Properties, or any Other Income Producing Property)

<table>
<thead>
<tr>
<th>Type of Property</th>
<th>Primary Residence</th>
<th>Property B</th>
<th>Property C</th>
</tr>
</thead>
<tbody>
<tr>
<td>Address</td>
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#### Date Acquired and Method of Acquisition (purchase, inherit, divorce, gift, etc.)

#### Names on Deed

#### Purchase Price

#### Present Market Value

#### Source of Market Valuation

#### Name of all Mortgage Holders

#### Mortgage Acc. # and balance (as of date of form)

#### Equity line of credit balance

#### Amount of Payment Per Month/Year (Specify)

### Section 5. Life Insurance Held (Give face amount and cash surrender value of policies, name of insurance company and beneficiaries)

<table>
<thead>
<tr>
<th>Insurance Company</th>
<th>Face Value</th>
<th>Cash Surrender Amount</th>
<th>Beneficiaries</th>
<th>Loan on Policy Information</th>
</tr>
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</table>

U.S. DOT Personal Net Worth Statement for DBE/ACDBE Program Eligibility • Page 2 of 5
### Section 6. Other Personal Property and Assets (Use attachments as necessary)

<table>
<thead>
<tr>
<th>Type of Property or Asset</th>
<th>Total Present Value</th>
<th>Amount of Liability (Balance)</th>
<th>Is this asset insured?</th>
<th>Lien or Note amount and Terms of Payment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Automobiles and Vehicles (including recreation vehicles, motorcycles, boats, etc.) Include personally owned vehicles that are leased or rented to businesses or other individuals.</td>
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<tr>
<td>Household Goods / Jewelry</td>
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<tr>
<td>Other (List)</td>
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<tr>
<td>Accounts and Notes Receivables</td>
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</tbody>
</table>

### Section 7. Value of Other Business Investments, Other Businesses Owned (excluding applicant firm)
- Sole Proprietorships
- General Partnerships
- Joint Ventures
- Limited Liability Companies
- Closely-held and Public Traded Corporations

### Section 8. Other Liabilities and Unpaid Taxes (describe)

### Section 9. Transfer of Assets: Have you within 2 years of this personal net worth statement, transferred assets to a spouse, domestic partner, relative, or entity in which you have an ownership or beneficial interest including a trust? Yes ☐ No ☐ If yes, describe.

I declare under penalty of perjury that the information provided in this personal net worth statement and supporting documents is complete, true and correct. I certify that no assets have been transferred to any beneficiary for less than fair market value in the last two years. 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 this personal net worth statement, and I authorize such agency to contact any entity named in the application or this personal financial statement, including the names of financial 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 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.

**NOTARY CERTIFICATE:**
(Insert applicable state acknowledgment, affirmation, or oath)

Signature of DBE/ACDBE Owner: __________________________ Date: __________

In collecting the information requested by this form, the Department of Transportation complies with Federal Freedom of Information and Privacy Act (5 U.S.C. 552 and 552a) provisions. 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 Disadvantaged Business Enterprise (DBE) Program or Airport Concessionaire DBE Programs as defined in 49 C.F.R. Parts 23 and 26. You may review DOT's complete Privacy Act Statement in the Federal Register published on April 11, 2000 (65 FR 15477).
General Instructions for Completing the
Personal Net Worth Statement
for DBE/ACDBE Program Eligibility

Please do not make adjustments to your figures pursuant to U.S. DOT regulations 49 C.F.R. Parts 23 and 26. The agency that you apply to will use the information provided on your completed Personal Net Worth (PNW) Statement to determine whether you meet the economic disadvantage requirements of 49 C.F.R. Parts 23 and 26. If there are discrepancies or questions regarding your form, it may be returned to you to correct and complete again.

An individual’s personal net worth according to 49 C.F.R. Parts 23 and 26 includes only his or her own share of assets held separately, jointly, or as community property with the individual’s spouse and excludes the following:

- Individual’s ownership interest in the applicant firm;
- Individual’s equity in his or her primary residence;
- Tax and interest penalties that would accrue if retirement savings or investments (e.g., pension plans, Individual Retirement Accounts, 401(k) accounts, etc.) were distributed at the present time.

Indicate on the form, if any items are jointly owned. If the personal net worth of the majority owner(s) of the firm exceeds $1,32 million, as defined by 49 C.F.R. Parts 23 and 26, the firm is not eligible for DBE or ACDBE certification. If the personal net worth of the majority owner(s) exceeds the $1,32 million cap at any time after your firm is certified, the firm is no longer eligible for certification. Should that occur, it is your responsibility to contact your certifying agency in writing to advise that your firm no longer qualifies as a DBE or ACDBE. You must fill out all line items on the Personal Net Worth Statement.

If necessary, use additional sheets of paper to report all information and details. If you have any questions about completing this form, please contact one of the UCP certifying agencies.

Assets

All assets must be reported at their current fair market value as of the date of your statement. Assessor’s assessed value for real estate, for example, is not acceptable. Assets held in a trust should be included.

Cash and Cash Equivalents: On page 1, enter the total amount of cash or cash equivalents in bank accounts, including checking, savings, money market, certificates of deposit held domestic or foreign. Provide copies of the bank statements.

Retirement Accounts, IRA, 401Ks, 403Bs, Pensions: On page 1, enter the full value minus tax and interest penalties that would apply if assets were distributed as of the date of the form. Describe the number of shares, name of securities, cost market value, date of quotation, and total value in section 3 on page 2.

Brokerage and Custodial Accounts, Stocks, Bonds, Retirement Accounts: Report total value on page 1, and on page 2, section 3, enter the name of the security, brokerage account, retirement account, etc.; the cost, market value of the asset; the date of quotation; and total value as of the date of the PNW statement.

Assets Held in Trust: Enter the total value of the assets held in trust on page 1, and provide the names of beneficiaries and trustees, and other information in Section 6 on page 3.

Loans to Shareholders and Other Receivables Not Listed: Enter amounts loaned to you from your firm, from any other business entity in which you hold an ownership interest, and other receivables not listed above. Complete Section 6 on page 3.

Real Estate: The total value of real estate excluding your primary residence should be listed on page 1. In Section 4 on page 2, list your primary residence in column 1, including the address, method of acquisition, date of acquisition, names of deeds, purchase price, present fair market value, source of market valuation, names of all mortgage holders, mortgage account number and balance, equity line of credit balance, and amount of payment. List this information for all real estate held. Please ensure that this section contains all real estate owned, including rental properties, vacation properties, commercial properties, personal property leased or rented for business purposes, farm properties and any other income producing properties, etc. Attach additional sheets if needed.

Life Insurance: On page 1, enter the cash surrender value of this asset. In section 5 on page 2, enter the name of the insurance company, the face value of the policy, cash surrender value, beneficiary names, and loans on the policy.

Other Personal Property and Assets: Enter the total value of personal property and assets you own on page 1. Personal property includes motor vehicles, boats, trailers, jewelry, furniture, household goods, collectibles, clothing, and personally owned vehicles that are leased or rented to businesses or other individuals. In section 6 on page 3, list these assets and enter the present value, the balance of any liabilities, whether the asset is insured, and lien or note information and terms of payments. For accounts and notes receivable, enter the total value of all monies owed to you personally, if any. This should include shareholder loans to the applicant firm, if those exist. If the asset is insured, you may be asked to provide a copy of the policy. You may also be asked to provide a copy of any liens or notes on the property.

Other Business Interests Other than Applicant Firm: On page 1, enter the total value of your other business investments (excluding the applicant firm). In section 7 on page 3, enter information concerning the businesses you...
hold an ownership interest in, such as sole proprietorships, partnerships, joint ventures, corporations, or limited liability corporations (other than the applicant firm). Do not reduce the value of these entries by any loans from the outside firm to the DBE/ACDBE applicant business.

**Liabilities**

**Mortgages on Real Estate:** Enter the total balance on all mortgages payable on real estate on page 1.

**Loans on Life Insurance:** Enter the total value of all loans due on life insurance policies on page 1, and complete section 5 on page 2.

**Notes & Accounts Payable to Bank and Others:** On page 1, section 2, enter details concerning any liability, including name of noteholders, original and current balances, payment terms, and security/collateral information. The entries should include automobile installment accounts. This should not, however, include any mortgage balances as this information is captured in section 4. Do not include loans for your business or mortgages for your properties in this section. You may be asked to submit a copy of note/security agreement, and the most recent account statement.

**Other Liabilities:** On page 1, enter the total value due on all other liabilities not listed in the previous entries. In section 3, page 3, report the name of the individual obligated, names of co-signers, description of the liability, the name of the entity owed, the date of the obligation, payment amounts and terms. Note: Do not include contingent liabilities in this section. Contingent liabilities are liabilities that belong to you only if an event(s) should occur. For example, if you have co-signed on a relative's loan, but you are not responsible for the debt until your relative defaults, that is a contingent liability. Contingent liabilities do not count toward your net worth until they become actual liabilities.

**Unpaid Taxes:** Enter the total amount of all taxes that are currently due, but are unpaid on page 1, and complete section 8 on page 3. Contingent tax liabilities or anticipated taxes for current year should not be included. Describe in detail the name of the individual obligated, names of co-signers, the type of unpaid tax, to whom the tax is payable, due date, amount, and to what property, if any, the tax lien attaches. If none, state "NONE." You must include documentation, such as tax liens, to support the amounts.

**Transfers of Assets:**

Transfers of Assets: If you checked the box indicating yes on page 3 in this category, provide details on all asset transfers (within 2 years of the date of this personal net worth statement) to a spouse, domestic partner, relative, or entity in which you have an ownership or beneficial interest including a trust. Include a description of the asset, names of individuals on the deed, title, note or other instrument indicating ownership rights, the names of individuals receiving the assets and their relation to the transferor; the date of the transfer; and the value or consideration received. Submit documentation requested on the form related to the transfer.

**Affidavit**

Be sure to sign and date the statement. The Personal Net Worth Statement must be notarized.
LOUISIANA UNIFIED CERTIFICATION PROGRAM AGREEMENT

We, the undersigned U.S. Department of Transportation (USDOT) recipients, do hereby agree to participate in a Louisiana Unified Certification Program (LAUCP), as required by 49 CFR Part 26.81. This Agreement includes all USDOT recipients and subrecipients in the State of Louisiana which award contracts that total over $250,000.00.

The State of Louisiana has developed a Unified Certification Plan containing the definitions, requirements, process, and forms which will be used by the Certifying Agencies identified below. This manual is attached as Exhibit A, and becomes a part of this Agreement.

The Louisiana Department of Transportation and Development (LADOTD), the Louis Armstrong New Orleans International Airport, Orleans Levee District, and New Orleans Regional Transit Authority have been identified as agencies authorized to provide certification services in the State of Louisiana. These agencies will be responsible for certifying firms whose primary place of business is located in the following regions:

Region 1 - The Louisiana Department of Transportation and Development may certify any firm doing business in the State of Louisiana. Further, the LADOTD has entered into agreements with certain USDOT recipients within the state to handle issues relative to Disadvantaged Business Enterprise (DBE) certification. All current and future recipients that receive funds from USDOT shall be required to accept and be bound by the LAUCP. All agreements are attached as Exhibit B. LADOTD shall not certify firms whose primary line of work falls under the concessionaire category. Concessionaire firms will be referred to the certifying agency which is located nearest to their primary place of business.

Region 2 - The Louis Armstrong New Orleans International Airport through the New Orleans Aviation Board, Orleans Levee District through its Board of Commissioners and the New Orleans Regional Transit Authority will certify firms that have their principal place of business in Region 2 as shown on the attached map identified as Exhibit C.

The LAUCP makes the following representations:

1. The LAUCP agrees to follow all certification procedures and standards of 49 CFR Part 26, Subpart E on the same basis as recipients. Further, it will cooperate fully with oversight, review and monitoring activities of USDOT and its operating administrations. All obligations of recipients with respect to certification and non-discrimination will be carried out by the LAUCP.
2. All direct recipients of USDOT funds in Louisiana have signed this agreement, and will accept DBE certification decisions rendered by any of the aforementioned agencies.

3. LAUCP requires all certifications to be pre-certifications in that certifications will be made final before the due date for bids or offers on a contract on which a firm seeks to participate as a DBE.

4. Sufficient resources and expertise will be made available to allow LAUCP to carry out the responsibilities contained herein. Each Certifying Agency will bear its individual and joint costs in a fair and equitable manner. Each Certifying Agency will continue to bear its own costs, such as site visits, travel expenses and administrative costs. The LADOTD will bear the cost of creating the LAUCP's web site.

   a. LAUCP has developed an implementation schedule ensuring that the UCP is fully operational no later than 18 months following the approval of the agreement by the Secretary. LAUCP will meet on a monthly basis to ensure a seamless integration of the program. A Program Evaluation Review Technique (Pert) chart is attached as Exhibit D.

   - Create Standardized Form Letters
   - Notification to Recipients re process
   - Final Design of Software
   - Purchase and Installation of Hardware
   - Integrate directory databases
   - Site visit to Certifying Agencies for systems inspection, training and technical assistance
   - Evaluation and Report of Systems (12 month)

5. A firm that does not have its principal place of business in Louisiana may apply to be certified with any of the Certifying Agencies, as long as the firm has obtained DBE certification from its home state UCP. Any application received from a firm that is not certified in its home state will be sent back to the applicant for certification and site visit by their home state UCP.

6. The participants in Louisiana’s Unified Certification Program (LAUCP) have agreed that the LADOTD will be responsible for maintaining one centralized directory, which shall be Internet based. This directory will be in place and operating within 180 days from the date of USDOT approval of our plan. The directory shall be printed and issued monthly on a date to be
set by the Executive Committee. The LAUCP will maintain a unified DBE directory listing all firms certified by LAUCP (including those from other states certified under these regulations), the information required by 49 CFR §26.31. The LAUCP will make the directory available to the public electronically, on the Internet, as well as in print. The electronic version of the directory shall be updated by including additions, deletions, and other changes as soon as they are made.

One database will be established that will tie all four agencies together. The LADOTD will bear the cost for the main server for the system. Each Certifying Agency will be responsible for purchasing its own hardware. The LAUCP will be responsible for the development of the software. The cost of the software will be developed and paid for jointly. Each Certifying Agency will update all information on the files that it processes although LADOTD will be responsible for hosting the information.

Access/Security levels are as follows:

- Level 1 - Each certifying agency will be able to access its files for updates and posting of real time information, and will be able to access all files for status review.
- Level 2 - Each recipient will be able to access for status review.
- Level 3 - Any user will be able to access the unified directory that will have real time updates of certification status.

Program Features:

- Daily updates for recipients
- Newsletter/Resource information for the general public
- Upcoming Projects
- Contracts Awarded/ News postings
- Links to recipient web pages

Centralized information will be posted and maintained by LADOTD. Individual file information such as annual updates, site visit reports, recertifications, and decertifications will be posted and maintained by each Certifying Agency. Each Certifying Agency shall have full access to the certification file of any applicant or certified firm within the program. Decisions will be communicated to applicants and recipients within fourteen calendar days via U. S. mail. Decisions regarding decertifications and denials will be sent via certified mail.
The LAUCP membership is defined as one member from each USDOT recipient in the State of Louisiana. The LAUCP shall have an Executive Committee, comprised of one representative from each Certifying Agency and two members at large from two separate, non-certifying agencies, to be elected by a majority of the membership present and voting. The Executive Committee shall meet quarterly or when circumstances warrant a special meeting beginning upon program approval.

The Executive Committee shall ensure uniformity among the Certifying Agencies and shall make recommendations for amendments/revisions to the LAUCP Agreement or any associated documents or materials related to the Program. Other committees may be appointed as deemed necessary by the Executive Committee.

The Executive Committee shall:

- Create and amend operational standards for each Certifying Agency
- Monitor and evaluate performance levels for each Certifying Agency on at least a semi-annual basis. Any Certifying Agency that does not comply with corrective action recommended by the Executive Committee shall be subject to removal as a Certifying Agency. Removal as a Certifying Agency shall not affect the recipient's standing as a member of the LAUCP.
- Monitor the development and implementation of the certification directory database including software and hardware.
- Develop LAUCP membership fee structure, if any
- Resolve decisions relative to decertifications and denials of recertifications
- Shall be responsible for initial consolidation of DBE registries until fully operational
- Resolve dispute resolutions of certification

All parties signed herein agree to be bound by this Agreement and the attached Plan and Process Manual. All parties agree that this document shall be valid and binding when executed in multiple counterparts. Each counterpart, when considered collectively with the others, shall constitute the entire agreement between the parties. Subrecipients will be committed to follow the decisions of the LAUCP. Specific language will be included in future subgrant agreements.

Signing as Deputy Secretary of the LA DEPT. OF TRANSPORTATION + DEVELOPMENT

(Date)
ATTACHMENT 10

Small Business Development Plan
Section 26.39 Fostering Small Business Participation

The Hammond Northshore Regional Airport has developed a race and gender neutral nondiscriminatory Small Business Enterprise program in accordance with the requirements of 49 CFR 26. The SBE program shall be administered by the Airport's DBE Liaison Officer. The DBELO will have direct, independent access to the Mayor of the City of Hammond, the local government entity/agency under which the Airport falls.

Small Business Participation Plan

The Airport has established a SBE Participation Plan to ensure that contracting and procurement policies, procedures, and practices support equity and parity in the economic opportunity the Airport generates through federal and non-federal spending. The DBELO is charged with the task of making business opportunity more available to small, minority, and women-owned businesses through race and gender neutral programmatic activity.

The primary functions of the DBELO, with respect to SBE participation, include outreach, advocacy, business assistance, and compliance as detailed below.

- **Outreach**
  - Serve as an outreach facilitator by connecting the Airport with industry groups, civic organizations, non-profits, small business assistance organizations, and/or professional associations;
  - Forge partnerships with regional or industry groups to assist with the dissemination of information on opportunities at the Airport;
  - Ensure easy and direct access to information for SBEs through the COH's website and other electronic and print media;
  - Issue Requests for Information (RFIs) to obtain general information about suppliers and small business service providers to inform goal setting, set-aside thresholds, and SBE utilization;
  - Maintain a registry of certified SBEs; and
  - Conduct educational outreach sessions.

- **Advocacy**
  - Establish and facilitate a Small Business Advisory Council, a committee of community and industry stakeholders;
  - Utilize the Small Business Advisory Council to inform SBE goals that balance supply, demand, and community expectations with project needs;
- Analyze current Census County Business Pattern and Louisiana Unified Certification Program data to estimate realistic opportunities for SBE participation; and
  - Conduct research on local market conditions to inform SBE goal setting.

- Business Assistance
  - Work with local banking and financial institutions to develop programs that support small business participation at the Airport; and
  - Work with local small business development agencies to develop programs that support increased SBE participation.

- Compliance
  - Ensure nondiscrimination and facilitating the development and maintenance of a contracting environment in which small businesses can compete fairly;
  - Develop tools for the Airport to access and utilize SBEs for competitions and small purchases for both federal and non-federal spending;
  - Set SBE goals that accurately reflect the local market;
  - Establish SBE competition thresholds and determine projects for SBE completion based on the capacity of the local market; and
  - Monitor and report SBE compliance to inform continuous improvement of the program.

The DBELO is also responsible for coordinating and administering all other aspects of SBE participation in Airport contracts, both federally and non-federally funded.

The DBELO is

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