Kansas State Wide Certification Program

For All Kansas Agencies, Counties, Cities, Local Agencies And Disadvantaged Business Enterprises.
KANSAS STATEWIDE CERTIFICATION PROGRAM

Unified Certification Process

Revised September 2018

Certification Agency
Kansas Department of Transportation

Certification Partner
Kansas Department of Commerce

Funding Source Agencies
Federal Highway Administration
Federal Transit Administration
Federal Aviation Administration
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Unified Certification Process Development

The Partnership

On August 11, 1994, Governor Joan Finney signed Executive Order 94-169 which created a single-source DBE certification program in Kansas (Attachment H). This program is a partnership between the Kansas Department of Transportation (KDOT) and the Kansas Department of Commerce (KDOC). It replaced all local Kansas DBE certification programs with one centralized certification and supportive service center. This Executive Order is still in effect and the joint program has been processing certifications statewide since October 1, 1994. Both KDOT and KDOC accept and process applications. All certification decisions are issued by KDOT.

The 1999 Disadvantaged Business Enterprise (DBE) requirements contained in 49 CFR Part 26 (Attachment A) include a provision for a "one-stop" certification process to be developed by each USDOT funding recipient. The regulation required that the process be defined and submitted to the Secretary of Transportation for approval within three years of publication, i.e. March 2002. Failure to develop and execute a Unified Certification Process (UCP) agreement would have resulted in a loss of USDOT funding.

KDOT identified the U.S. Department of Transportation (USDOT) funding partners, as well as the direct recipients and sub-recipient partners of the agency. A direct recipient is an agency or government unit which receives federal funds directly from a USDOT agency. A sub-recipient is an agency or government unit which receives federal funds from another Kansas entity. A Kansas Statewide Certification Program (KSCP) Partner is any direct recipient or sub-recipient of USDOT funding and the KDOC.

To reflect the new federal requirements, it was agreed to rename the existing program the Kansas Statewide Certification Program (KSCP). The USDOT direct recipient partners and sub-recipient partners joined KDOT and KDOC in the KSCP which incorporated EO 94-169 & 49 CFR Part 26. This agreement governs all DBE operations of all recipient partners and sub-recipient partners involved in projects funded by the USDOT.
The USDOT eligible direct recipient partners in Kansas include:

- Abilene Municipal
- Allen County
- Amelia Earhart
- Anthony Municipal
- Atkinson Municipal
- Atwood-Rawlins County City-County
- Augusta Municipal
- Belleville Municipal
- Blosser Municipal
- Chanute Martin Johnson
- Cheyenne County Municipal
- Cimarron Municipal
- City of Lawrence
- Clay Center Municipal
- Coffey County
- Coffeyville Municipal
- Colonel James Jabara
- Dodge City Regional
- El Dorado/Captain Jack Thomas Memorial
- Elkhart-Morton County
- Ellsworth Municipal
- Emporia Municipal
- Flint Hills Regional Transit Administration
- Forbes Field
- Fort Scott Municipal
- Freeman Field
- Garden City Regional
- Gardner Municipal
- Garnett Municipal
- Great Bend Municipal
- Hays Regional
- Herkinton Regional
- Hill City Municipal
- Hugoton Municipal
- Hutchinson Regional
- Independence Municipal
- Johnson County Executive
- Johnson County Transit
- Kansas Department of Transportation
- Kingman Airport-Clyde Cessna Field
- Lakin
- Larned-Pawnee County
- Lawrence Municipal
- Liberal Mid-America Regional
- Lt William M Milliken
- Lyons-Rice County Municipal
- Manhattan Regional
- Mark Hoard Memorial
- Marysville Municipal
- McPherson
- Meade Municipal
- Medicine Lodge
- Miami County
- Mid America Regional Council
- Moritz Memorial
- Ness City Municipal
- New Century Aircenter
- Newton-City-County
- Norton Municipal
- Oakley Municipal
- Oberlin Municipal
- Osage City Municipal
- Oswego Municipal
- Ottawa Municipal
- Philip Billard Municipal
- Phillipsburg Municipal
- Pratt Regional
- Renner Field/Goodland Municipal
- Rooks County Regional
- Russell Municipal
- Sabetha Municipal
- Salina Regional
- Satanta Municipal
- Scott City Municipal
- Shaflz Field
- Smith Center Municipal
- Stanton County Municipal
- Strother Field
- Syracuse-Hamilton County Municipal
- Topeka Metropolitan Transit Authority
- Trego Wakeeney
- Tribune Municipal
- Tri-City
- Ulysses
- Unified Government of Wyandotte County/Kansas City Kansas
- Wellington Municipal
- Wichita Area Metropolitan Planning Organization
- Wichita Dwight D Eisenhower National
- Wichita Metropolitan Transit Authority
Impact on Recipient Partners

All KSCP partners are required to sign the UCP agreement. DBE certifications issued by the Statewide UCP will be binding on all direct and sub-direct recipients.

The UCP will not establish, recommend, or alter any partner's overall DBE Program, other than to supplement an approved program, DBE goal or goal methodology. DBE goal development, administration, monitoring and reporting remains the sole responsibility of the partner with a USDOT approved DBE Program in accordance with 49 CFR Part 26 and is subject to any oversight requirements of the lead agency. Any partner that elects not to establish a DBE program as set forth in the regulation will be required to adopt and implement the lead agency's program. The lead partner in Kansas is the funding partner for the majority of the recipient's USDOT federal funds or KDOT.

Communication

Sharing information on any matter related to the operation of the UCP is a core element of the process. All KSCP partners agree to, and shall continue to, communicate openly amongst each other. Communication may take the form of, but is not limited to, telephone conversations, conference calls, meetings, correspondence, electronic transmittals and/or discussion databases.

If any KSCP partner is in receipt of information that is necessary or critical to determining DBE eligibility, the KSCP partner shall notify and submit the appropriate information to KDOT. Each KSCP partner shall be notified of all status changes affecting certification by KDOT. All KSCP partners shall be notified of all certification and denial actions of each KSCP partner.

Reciprocity

The KSCP partners may elect to enter into an informal agreement with USPs in other states or regions. All reciprocity agreements must be approved by the Kansas Department of Transportation, Office of Civil Rights Compliance.
Agreement Process

The KSCP became fully operational on April 1, 2002 and provides "one-stop shopping" to applicants for DBE certification in Kansas. All certifications by the KSCP will be made prior to a firm being utilized to meet a DBE goal.

All KSCP partners must sign and comply with the UCP agreement. Failure to sign the agreement may result in the loss of federal funds. Once the partners have finalized and executed the agreement all subrecipients of any of the direct recipients will receive a signed copy of the agreement. The agreement is binding on all subrecipients.

The KSCP will follow all certification procedures and standards of 49 CFR Part 26 and fully cooperate with oversight, review & monitoring of the activities of DOT and its operating administrations. In addition, KSCP shall implement DOT directives and guidance concerning certification matters and commit sufficient resources and expertise to carry out the requirements of 49 CFR Part 26.

The KSCP shall make all certification decisions on behalf of all DOT recipients in Kansas with respect to participation in the DBE program. The certification decisions shall be binding on all KSCP partners.

Process Review

The certification partners agreed to the name "Kansas Statewide Certification Program" or KSCP. Program members developed an application letter, approval or denial notification correspondence and certificates for newly certified DBE partners. The letterhead and certificate include the logos of the various funding sources and the certification partners as well as contact information (Attachments B, C, D & G). A copy of the federal application is also included.

Data Requirements

A directory of certified DBE vendors is updated on-line daily and is available on the KDOT website at https://kdotapp.ksdot.org/dbecontractorlist.

NAICS Codes

The certification partners agree to certify all firms in compliance with 49 CFR Part 26 including designating specific work types. The partners agree to use the NAICS codes for those designations. All certified firms will be informed of the specific codes and a short narrative description of that designation.
Any firm may request modification and/or additions to their approved NAICS codes by making a written request to the certification partner. That request must include the equipment and work experience indicating the firm’s ability to perform the work type. In addition, the firm must submit documentation of past contracts on which the firm has performed the specific type of work being requested. (Attachment E)

**Agency Compliance**

The certification partners agree there are many agency-specific issues related to their agency’s certification processes. The primary areas of concern are:

a. Political Influence or Interference in Certification Decisions
b. Incomplete or Inadequate Definition of Processes
c. Non-Compliance with 49 CFR Part 26
d. Quality of Decisions

For the UCF to succeed and the partners to maintain the level of trust needed to effectively comply with the UCP requirements it is necessary to implement minimum requirements for compliance, as well as a process for dealing with any agency that is found to be in non-compliance. The specific minimum requirements are:

1. All decisions related to certification must be made in compliance with 49 CFR Part 26. This requires the political independence to make decisions based upon the specific eligibility requirements.
2. All appeals or hearings must be decided by a third party who was not involved in the determination or was a direct or indirect supervisor of the party involved in the decision.
3. Outside entities such as construction boards or other politically mandated organizations cannot be involved in the certification determination, investigations of 3rd party challenges, or any administrative reconsideration.
4. Each KSCP partner must have an approved program in place that clearly defines the role of the administrative staff. In addition, each partner must have clearly defined processes and procedures related to administration of the program, applications and certification decisions.
5. Any KSCP partner with a DBE program administered in conjunction with an MBE/WBW program of another entity must have the procedures and policies for the DBE program clearly defined and separated. This includes eligibility requirements, data tracking, and removal/denial of certification.
6. All partners agree that there is no “emergency” certification, nor is there a provision within 49 CFR Part 26 for “conditional” certification. The eligibility requirements are to be determined with the factors present at the time of application and the decision is to be made in compliance with Part 26.
Training

All KSCP partners recognize the need for continued training for staff members as well as recipients and agency management personnel. The KSCP will seek the assistance of the LSDOT, FTA, FHWA, FAA and any other agency to provide guidance and training. The KSCP will also embark upon ongoing in-service opportunities to continue to update the partners as well as the staff members. Many of these opportunities may be in conjunction with other UCPs, states, or entities.

Supportive Services

The KSCP partners recognize the need for improved technical and business supportive services. It was agreed that the efforts of all the agencies could be combined to provide additional and meaningful training and support to all the certified firms. The partners will develop a communication effort to ensure that all agencies are notified of the upcoming training and given an opportunity to assist in the training and development activities.

Implementation

Seeing that Kansas has had a sole source DBE program since 1994, the transition to the KSCP was completed as soon as approval was received from the USDOT on March 30, 2004.
DBE Program Policy Statement

The Kansas Department of Transportation (KDOT) has established a Disadvantaged Business Enterprise (DBE) Program in accordance with 49 Code of Federal Regulations Part 26. KDOT has received federal financial assistance from the U.S. Department of Transportation (USDOT) and, as a condition of receiving this assistance, KDOT has signed an assurance that it will comply with 49 CFR Part 25. Further, KDOT has participated in the establishment of, and fully supports, the Kansas State Certification Program as the required unified certification program in Kansas.

It is the policy and commitment of KDOT that disadvantaged businesses, as defined in 49 CFR Part 26, shall have a level playing field to participate in the performance of contracts financed in whole, or in part, with federal funds.

Through the use of KSCP DBE certification procedures, KDOT will ensure that only fully eligible firms are permitted to participate in the narrowly tailored DBE program. KDOT will remove barriers to the participation of these eligible firms. KDOT will assist in the development of eligible firms to make them competitive both within and outside of the DBE Program.

The Secretary of Transportation for KDOT maintains overall responsibility for the administration of the DBE Program. To carry out these responsibilities the Secretary has designated a DBE liaison officer in the Office of Civil Rights Compliance. Implementation of the DBE Program is accorded the same priority as compliance with all other legal obligation incurred with USDOT funds.

Every three years KDOT shall submit to the Federal Highway Administration (FHWA) it's overall goal for the participation of DBE firms. In addition, at the end of each FHWA fiscal year, KDOT will analyze DBE participation to assure the goal is being met.

This Policy will be circulated throughout KDOT; notification will be published in the Kansas Register and made known to certified DBEs, DBE organizations, non-minority businesses, community and contractor organizations.

Richard Carlson
Secretary of Transportation

Date: 9-7-18
ATTACHMENT A

49 CFR Part 26
§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.

KANSAS STATEWIDE CERTIFICATION PROGRAM

Thank you for your interest in being certified as a disadvantaged business with the State of Kansas. The Kansas Statewide Certification Program (KSCP) is a joint effort between the Department of Transportation, Office of Civil Rights Compliance, and the Department of Commerce, Office of Minority and Women Business Development.

To be certified as a Disadvantaged Business Enterprise (DBE) an applicant must meet the following criteria:

1. The disadvantaged owner must be a citizen of the United States or have been lawfully admitted as a permanent U.S. resident.
2. The applicant firm must meet USDOT size standards and be an independent and viable for-profit business.
3. Fifty-one percent of the business must be owned and controlled by a socially and economically disadvantaged person. To be regarded as economically disadvantaged, an individual must have a personal net worth that does not exceed $1.32 million.

To properly evaluate eligibility, the firm must provide a current financial statement and the most recent three years tax return for both the company and the majority owner(s).

A completed, signed and notarized USDOT Uniform Certification Application should be submitted with all required supporting documentation. A list of required documentation is included with the application. It is important that each question is answered completely or, if not applicable, designated “N/A.” If required information is not provided, a written explanation must be included. Upon receipt of the application and all supporting documents, the applicant will be contacted concerning an on-site interview.

If the applicant business is located out-of-state, and the company is certified through their home state, a copy of the certification must be submitted with the application.* Our office will secure a copy of the most recent on-site report from the home state certifying agency. A completed application, and supporting documents, are required for all out-of-state applicants’ initial certification. In lieu of completing a new application, we will accept a copy of the application package submitted to the home state if all information is current and correct. A telephone interview may be deemed necessary after receipt and review of the home-state on-site report.

Notification of acceptance or denial will be mailed to the applicant. If accepted, the certification is valid until the firm graduates the program or is removed for non-compliance. Annual updates are required, and every three years new on-site interviews will be conducted. Certified businesses are listed in a directory that is available on the Department of Transportation website at www.ksdot.org/divadmin/civilrights/. Please be advised that certification does not guarantee additional business or contracts.

MAIL COMPLETED APPLICATION AND REQUIRED DOCUMENTATION TO:

CONSTRUCTION RELATED FIRMS
Kansas Department of Transportation
Office of Contract Compliance
700 SW Harrison Street, 3rd Floor West
Topeka, KS 66603-3754
785-296-7940

NON-CONSTRUCTION RELATED FIRMS
Kansas Department of Commerce
Office of Minority & Women Development
100 SW Jackson, Suite 100
Topeka, KS 66612-1354
785-296-5298

*In some instances, a business may not be certified in their home-state and such information should be provided when the application is submitted.
DATE

Name
Company
Address
City, ST Zip

Dear

The Kansas Statewide Certification Program (KSCP) is pleased to notify you that your firm has met the requirements for certification as a bona fide «Type» in accordance with KSCP policies and procedures, and Title 49 Part 26 of the Code of the Federal Regulations. Your firm will be listed with the following work type(s). If you wish to expand your scope of business, you must make a written request to the KSCP for review and determination.

NAICS Code/Work Type(s):

Attached is the KSCP DBE certificate that reflects the effective date of your certification. To maintain your certification with the KSCP, you must submit an annual update. Notification will be sent to you at least 30 days prior to the renewal date of your certification. It is your responsibility to ensure that your certification is kept up to date by submitting the required documentation as necessary.

If there is any change in the ownership or control of your firm, you must notify the certifying agency immediately. Failure to report any of these changes to this office or violation of the rules of the DBE Program may result in the revocation of your certification or other possible legal actions as set forth by Title 49 Part 26 of the Code of Federal Regulations.

Your firm’s name will appear in the KSCP DBE directory. This directory is distributed to all KSCP joint agencies, outside agencies, developers, general contractors, and suppliers. The directory can also be accessed via the internet at: www.ksdot.org.

Sincerely,

Doria Watson
Civil Rights Administrator
Attachment
REQUEST FOR NAICS CODE MODIFICATION

Be advised that your request to add NAICS codes is subject to review.

Copies of the documents listed below are required and must be submitted with the Request Form. If you do not have any of the necessary information, provide a written statement explaining why. If additional NAICS codes are being sought, the applicant owner of the firm must complete and sign the Request Form and submit it with the following documents. The applicant owner must also demonstrate control with respect to the code(s) being requested.

If a state or federal license is required to sell a product or perform a service, provide a current copy of the required license held by the applicant owner.

Required Document Checklist for All Requests

☐ Brief explanation of how the firm qualifies for each requested code,
☐ List of equipment used to perform the requested service(s), including specialized software,
☐ Copies of contracts, purchase orders, bids, proposals, or invoices verifying the performance of the requested service(s),
☐ Copies of special license(s) pertaining to the requested service(s).

If you are requesting codes in the following categories, additional required documents are:

Supplier Firms:
☐ Current list of inventories,
☐ Proof and description of warehouse/storage facilities,
☐ Vendor agreements or copies of invoices from vendors for products that are retailed.

Wholesale/Broker Firms:
☐ Wholesale/Distributor agreements,
☐ Copies of invoices from vendors for products being wholesale.

Trucking Firms:
☐ Kansas permit for each truck owned and/or operated by the firm,
☐ Commercial Driver's License (CDL) for all drivers,
☐ Insurance Agreements for each truck owned and/or operated by the firm,
☐ Title(s) and registration certificate(s) for each truck owned and/or operated by the firm.

Include the documentation with a completed NAICS Code Modification Request Form and email the information to kdot.CivilRights@ks.gov.
**NAICS CODE MODIFICATION REQUEST FORM**

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<th>Firm's Name:</th>
<th>Applicant Owner's Name:</th>
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Please **ADD** the following NAICS code(s) to our certification. Our firm is providing the services and/or products covered by these codes, as demonstrated by the provided documentation. (Attach additional sheets if needed.)

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Please **REMOVE** the following NAICS code(s) from our certification.

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*I hereby make the above request and affirm the information I am providing is true and correct. I understand Requests for NAICS Code Modifications are subject to review by the Kansas Department of Commerce.*

Applicant's Signature/Title

Date
EXECUTIVE ORDER NO. 94-169
DESIGNATING A SINGLE SOURCE CERTIFICATION
OF DISADVANTAGED BUSINESS ENTERPRISES (DBE)

WHEREAS, the revised 49 Code of Federal Regulations to be published in 1994 mandated each state to designate a uniform certification program accepted and utilized by all U.S. Department of Transportation federal aid recipients in the State; and

WHEREAS, the 13 Code of Federal Regulations applies to all disadvantaged businesses and is similar to the 49 CFR certification process; and

WHEREAS, a single source certification would reduce costs and time for businesses owned by minorities and women; and

WHEREAS, a single source certification would eliminate the need for duplicate applications to several government agencies; and

WHEREAS, other governmental agencies utilizing federal funds require a list of certified minority and women owned businesses; and

WHEREAS, private industry requires certified DBE's for their affirmative action programs; and

WHEREAS, the Kansas Department of Transportation and the Kansas Department of Commerce and Housing have jointly taken the lead in providing service and support to minority and women owned businesses; and

WHEREAS, the Kansas Department of Transportation has had an established certification program and process since 1979 with a fully trained staff.

NOW THEREFORE, pursuant to the authority vested in me as Governor of the State of Kansas, I hereby declare that on and after August 1, 1994, the Kansas Department of Transportation to be the single source certifying agency for the State of Kansas for minority and women owned businesses for any governmental agencies or private companies utilizing federal funds.
1. This will be a cooperative effort with the Kansas Department of Commerce and Housing assisting in several aspects of the process.

2. All decisions to certify a minority or woman owned business will be made by the staff of the Kansas Department of Transportation.

3. All appeals of decisions will be heard by an inter-agency review committee.

4. Support services to minority and women owned businesses will be a joint effort by the Kansas Department of Commerce and Housing, the Kansas Department of Transportation and other agencies where appropriate.

This document shall be filed with the Secretary of State as Executive Order No. 94-169 and shall become effective on or after August 1, 1994.

THE GOVERNOR'S OFFICE

By the Governor

Date: 8-11-94

Secretary of State

Assistant Secretary of State

BILL GRAVES
SECRETARY OF STATE