



**ALASKA UNIFIED CERTIFICATION PROGRAM (Alaska UCP)
Disadvantaged Business Enterprise (DBE)**

**Alaska Native Corporation (ANC) Application Checklist
For ANCs that are Applying under the Special Rules 49 CFR 26.63(c)(2)(i)**

Please provide the following:

- Page 7 of the Uniform Certification Application
- Current Business Information (see page 3 of this checklist)
- By-laws and amendments of the underlying ANC (Parent Company)
- Operating Agreement & Amendments (LLC Subsidiary)
- Corporate Organizational Chart
- Appendix A and B [Required for On-site Representative(s)]
- Work Category Checklist
- Copy of Professional License (if applicable)

Proof of Small Business Administration (SBA) 8(a) Certification, or one of the following:

1. Documentation that the ANC firm has been certified by the SBA as a Small Disadvantaged Business (SDB) within three years of the date it self-certifies as an SDB
2. Documentation that the ANC firm has received certification from another Federal procuring agency that it qualifies as an SDB
3. Documentation that the ANC firm has submitted an application for SDB certification to a Federal procuring agency and has not received a negative determination regarding that application
4. Correspondence from the SBA, pursuant to 13 CFR 121.1001(b)(6), that the ANC firm meets the SBA's applicable size standard for participation in the SBA SDB program
5. Correspondence from the SBA, pursuant to 13 CFR 121.1001(b)(7), that the ANC firm meets the SBA's applicable size standard for participation in the SBA SDB program

49 CFR 26.63(c)(2)(i)
General certification rules

(2) Alaska Native Corporations (ANCs).

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

(A) 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;

(B) 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

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

(ii) As a certifier to whom an ANC-related entity applies for certification, a certifier must not use the Uniform Certified Application. The certifier must obtain from the firm documentation sufficient to demonstrate that the entity meets the requirements of paragraph (c)(2)(i) of this section. The certifier must also obtain sufficient information about the firm to allow the certifier to administer its program (e.g., information that would appear in a UCP directory).

(iii) If an ANC-related firm does not meet all the conditions of paragraph (c)(2)(i) of this section, then it must meet the requirements of paragraph (c)(1) of this section in order to be certified.

[89 FR 24969, Apr. 9, 2024]

Questions and Answers on Certification of Alaska Native Corporations (ANC)

September 2016

Must Unified Certification Program (UCP) recipients that are certifying agencies accept for DBE certification firms owned by an Alaska Native Corporation's (ANC) that have self-certified as a small disadvantaged business (SDB)?

- Yes, self-certification by ANC owned firms that are reviewed and accepted by the Small Business Administration (SBA) complies fully with and meets the statutory mandate of the US Department of Transportation Disadvantaged Business Enterprise (DBE) program for ANCs.
- Pursuant 43 U.S.C. 1626(e)(4)(C), DOT regulations require that an ANC meeting all of the following requirements must be certified as a DBE:
 - (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 represent 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.

How do UCP recipients that are certifying agencies determine that an ANC firm is certified by the SBA?

- An ANC firm is considered certified by the SBA if the certifying agency finds that the ANC firm meets the requirements of (i) and (ii) above, and the certifying agency finds that it satisfies any one of the following factors:
 1. The ANC firm provides documentation that it is a current participant in the SBA's 8(a) Business Development program;
 2. The ANC firm provides documentation that it has been certified by SBA as a SDB within three years of the date it self-certifies as an SDB;
 3. The ANC firm provides documentation that it has received certification from another Federal procuring agency that it qualifies as an SDB;

4. The ANC firm provides documentation that it has submitted an application for SDB certification to a Federal procuring agency and has not received a negative determination regarding that application;
5. The certifying agency has received correspondence from the SBA, pursuant to 13 CFR 121.1001(b)(6), that the ANC firm meets the SBA's applicable size standard for participation in the SBA SDB program; **or**
6. The ANC firm provides correspondence from the SBA, pursuant to 13 CFR 121.1001(b)(7), that the ANC firm meets the SBA's applicable size standard for participation in the SBA SDB program.

What should certifying agencies advise potential ANC DBE program applicants who intend to apply for certification based on a SDB self-certification?

- For ANC firms that self-certify under the SBA's SDB program, certifying agencies should advise ANC firms to first obtain a determination from the SBA, pursuant to 13 CFR 121.1001(b)(7), that the firm meets the applicable size standard from the SDB program before applying for DBE certification.
- ANC firms may also request that the certifying agency seek a size determination from the SBA pursuant to 13 CFR 121.1001(b)(6) as part of its DBE application.

How does a certifying agency's request to SBA to review an ANC's SDB self-certification affect the period of time to review the ANC's DBE application?

- Under DOT regulations, a certifying agency must make a determination on the application within 90-days of receiving all information necessary to make a determination. As such, in cases where the ANC firm requests that the certifying agency obtain a size determination from the SBA, the certifying agency's 90-day period of time will not begin until it receives such determination from the SBA.

The Acting 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.



IF YOU ARE ALREADY CERTIFIED AS A DBE/ACDBE, YOU DO NOT HAVE TO COMPLETE THIS APPLICATION FOR OTHER STATES. REFER TO § 26.85 OF 49 CFR PART 26 FOR DETAILS ABOUT THE INTERSTATE CERTIFICATION PROCESS.

Section 1: CERTIFICATION INFORMATION

A. Basic Contact Information:

My firm is applying for certification as _____ DBE ___ ACDBE

(1) Contact person's name 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 (No P.O. Box): _____ City: _____ County/Parish: _____ State: _____ Zip: _____

B. Prior/Other Certifications and Applications

(10) 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 sheets if necessary. This description may be used in states' online databases and directories of certified firms. _____

(2) NAICS Codes for this line of work include: _____

(3) This firm was established on: _____

(4) Is the firm "for profit"? ___ Yes Federal Tax ID# _____ **NO STOP! If the firm is NOT for-profit, then the firm does NOT qualify for this program and should not fill out this application.**

CURRENT BUSINESS INFORMATION

FIRM NAME: _____

PHYSICAL ADDRESS: _____

MAILING ADDRESS: _____

BUSINESS PHONE: _____ FAX _____ CELL _____

BUSINESS EMAIL ADDRESS: _____

BUSINESS WEBSITE ADDRESS: _____

BUSINESS CONTACT PERSON: _____

HAS THE OWNERSHIP OF YOUR BUSINESS CHANGED? YES NO

(If so, please provide supporting documentation)

HAS THE BUSINESS STRUCTURE CHANGED? (i.e., Changed from a Sole Proprietor to a LLC)

YES NO *(If so, please provide supporting documentation)*

HAS THE MANAGEMENT OF YOUR BUSINESS CHANGED? YES NO

(If so, please provide supporting documentation)

EMPLOYER IDENTIFICATION NUMBER (EIN) _____

AASHTOWare VENDOR ID: _____

(if none, please register here: <https://iris-vss.alaska.gov/>)

FOR BIDDING OPPORTUNITIES PLEASE REGISTER YOUR BUSINESS

<http://www.dot.state.ak.us/procurement/index.shtml>

WHICH AREA OF THE STATE DO YOU WISH TO PROVIDE YOUR SERVICES?

Northern Region Central Region Southcoast Region

WHAT IS YOUR FIRM'S BONDING LIMIT? _____

(Please provide supporting documentation)

Signature of Business Owner

Date

DESCRIBE THE CHANGES TO YOUR BUSINESS OWNERSHIP:

DESCRIBE THE CHANGES TO YOUR BUSINESS STRUCTURE:

DESCRIBE THE CHANGES TO YOUR BUSINESS MANAGEMENT:

Firm Name: _____

APPENDIX A MANAGEMENT RESPONSIBILITIES

Date Submitted _____

Please complete one form for each person who has any authority in any area of responsibility listed below. Make copies as needed.

Name Title On-Site Representative YES NO

All fields must be completed.

Number of hours per week working for this DBE firm hours. Number of hours per week working for any other firm as an employee hours.

AREA OF RESPONSIBILITY	Frequency of Involvement: A-Always O-Often S-Seldom N-Never (Select One)	Final Authority without consulting others (Select One)	Years of experience with this responsibility	*Percentage of work hours spent in this responsibility
Setting policy on scope of business	<input type="radio"/> A <input type="radio"/> O <input type="radio"/> S <input type="radio"/> N	<input type="radio"/> Yes <input type="radio"/> No	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>
Signing payroll and business checks	<input type="radio"/> A <input type="radio"/> O <input type="radio"/> S <input type="radio"/> N	<input type="radio"/> Yes <input type="radio"/> No	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>
Signing loans and contracts	<input type="radio"/> A <input type="radio"/> O <input type="radio"/> S <input type="radio"/> N	<input type="radio"/> Yes <input type="radio"/> No	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>
Financial decisions; Investments; Loans	<input type="radio"/> A <input type="radio"/> O <input type="radio"/> S <input type="radio"/> N	<input type="radio"/> Yes <input type="radio"/> No	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>
Office/business management (bookkeeping, payroll, insurance, etc.)	<input type="radio"/> A <input type="radio"/> O <input type="radio"/> S <input type="radio"/> N	<input type="radio"/> Yes <input type="radio"/> No	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>
Marketing, sales, bid solicitation	<input type="radio"/> A <input type="radio"/> O <input type="radio"/> S <input type="radio"/> N	<input type="radio"/> Yes <input type="radio"/> No	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>
Estimating, contract negotiations	<input type="radio"/> A <input type="radio"/> O <input type="radio"/> S <input type="radio"/> N	<input type="radio"/> Yes <input type="radio"/> No	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>
Major purchase decision, i.e., equipment	<input type="radio"/> A <input type="radio"/> O <input type="radio"/> S <input type="radio"/> N	<input type="radio"/> Yes <input type="radio"/> No	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>
Hire/fire management personnel, including field supervisors	<input type="radio"/> A <input type="radio"/> O <input type="radio"/> S <input type="radio"/> N	<input type="radio"/> Yes <input type="radio"/> No	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>
Supervision of field operations	<input type="radio"/> A <input type="radio"/> O <input type="radio"/> S <input type="radio"/> N	<input type="radio"/> Yes <input type="radio"/> No	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>
Performing field operations	<input type="radio"/> A <input type="radio"/> O <input type="radio"/> S <input type="radio"/> N	<input type="radio"/> Yes <input type="radio"/> No	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>
On-site Representative	<input type="radio"/> A <input type="radio"/> O <input type="radio"/> S <input type="radio"/> N	<input type="radio"/> Yes <input type="radio"/> No	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>

***COLUMN TOTAL MUST EQUAL 100%**

Please Select One: Female Male

Please Select One: African American Asian Indian American Caucasian
 Alaska Native Asian Pacific American Hispanic American
 American Indian Other _____

Firm Name: _____

APPENDIX B EMPLOYMENT HISTORY

1. Employee's Name: _____

2. Special Qualifications: _____

a. Professional licenses held: _____

b. Professional/technical certificates held: _____

c. Union/professional associations' membership: _____

d. Education/technical training: _____

School	Dates	#Credit Hours	Area of Study	Degree (Y/N)

3. Current Position with applicant firm:

a. Title _____

b. Date employment started: _____

c. Supervisor _____

d. Salary/compensation _____

e. Number of persons supervised _____

f. Type of employees supervised _____

g. Duties and responsibilities _____

4. Are you currently employed with any firm other than the applicant firm?

a. Firm _____

b. Location _____

c. Type of business _____

d. Dates Employed *From* _____ *To* _____

e. Hours per week _____

f. Title _____

g. Supervisor _____

h. Salary/compensation _____

e. Number of persons supervised _____

f. Type of employees supervised _____

g. Duties and responsibilities _____

Firm Name: _____

5. Previous employment prior to that with applicant firm:

a. Most recent previous employment

- | | |
|---------------------------------------|--|
| 1. Firm _____ | 2. Location _____ |
| 3. Type of business _____ | 4. Dates <i>From</i> _____ <i>To</i> _____
Employed _____ |
| 5. Hours per week _____ | 6. Title _____ |
| 7. Supervisor _____ | 8. Salary/compensation _____ |
| 9. Number of persons supervised _____ | 10. Type of employees supervised _____ |
| 11. Duties and responsibilities _____ | |

b. Most recent previous employment

- | | |
|---------------------------------------|--|
| 1. Firm _____ | 2. Location _____ |
| 3. Type of business _____ | 4. Dates <i>From</i> _____ <i>To</i> _____
Employed _____ |
| 5. Hours per week _____ | 6. Title _____ |
| 7. Supervisor _____ | 8. Salary/compensation _____ |
| 9. Number of persons supervised _____ | 10. Type of employees supervised _____ |
| 11. Duties and responsibilities _____ | |

c. Most recent previous employment

- | | |
|---------------------------------------|--|
| 1. Firm _____ | 2. Location _____ |
| 3. Type of business _____ | 4. Dates <i>From</i> _____ <i>To</i> _____
Employed _____ |
| 5. Hours per week _____ | 6. Title _____ |
| 7. Supervisor _____ | 8. Salary/compensation _____ |
| 9. Number of persons supervised _____ | 10. Type of employees supervised _____ |
| 11. Duties and responsibilities _____ | |

ALASKA UNIFIED CERTIFICATION PROGRAM (AUCP)
Disadvantaged Business Enterprise (DBE)
Airport Concession Disadvantaged Business Enterprise (ACDBE)

Work Category Checklist

For each work category selected, please provide the following:

- Work Category List WC-1 and WC-2
- Alaska Unified Certification Program (AUCP) NAICS Code
- Appendix A and B [Required for On-site Representative(s)]
- Copy of two (2) contracts
- Copy of Professional License (if applicable)
- Qualification statement (work history, training, license, etc.)

The DBE owner(s) must provide detailed description and supporting documentation that accurately reflect the type(s) of work which he/she can control.

WORK CATEGORY LIST

Firm Name: _____

CONSTRUCTION

- Aggregate Base and Surface Course
- Asphalt Paving – Bike Paths
- Asphalt Paving – Parking Lots / Patching / Crack Repair
- Asphalt Paving – Roadways
- Asphalt Paving – Grooving / Rotomilling
- Bridges – Painting / Sandblasting / Sealants
- Camp Facilities
- Campground / Roadside / Trail Appurtenances
- Carpentry – Finish
- Carpentry – Rough / Framing
- Clearing / Grubbing
- Concrete – Cast - In - Place
- Concrete – Curb / Gutter / Sidewalk
- Concrete – Cutting / Coring / Sawing
- Concrete – Finishing / Special Coatings
- Concrete – Foundations / Slabs
- Concrete – Masonry / Stonework
- Concrete – Paving
- Demolition of Structures
- Earthwork – Blasting
- Earthwork – Excavation & Embankment / Site Work
- Earthwork – Site Work
- Electrical – Airport Lighting
- Electrical – Buildings
- Electrical – Highway Signals & Illumination
- Electrical – Overhead / Underground Power
- Armor Mat
- Erosion, Sediment, & Pollution Control
- Exterior Buildings – Painting / Sandblasting / Sealants
- Exterior Buildings – Roofing
- Fencing
- Flooring
- Glass / Glazing
- Guardrail
- Hazardous Material Removal / Remediation
- Hydroseeding
- Interior Finishing – Insulation
- Interior Finishing – Paint / Wallpaper / Tile
- Interior Finishing – Sheetrock / Drywall – Tape / Texture
- Landscaping
- Marine Docks
- Mechanical – HVAC
- Metal Buildings Erection
- Piledriving
- Plumbing
- Rip Rap
- Standard Highway Signs (Permanent Installation)
- Steel Erection – Bridges
- Steel Erection – Buildings
- Steel - Reinforcing / Installation
- Surveying Licensed

CONSTRUCTION (continued)

- Surveying Unlicensed
- Telecommunications – Line Voltage
- Telecommunications – Low Voltage
- Traffic Markings – Methylmethacrylate
- Traffic Markings – Painted
- Traffic Markings – Thermoplastic
- Traffic Maintenance
- Transportation – Aircraft
- Transportation – Barge
- Transportation Truck – Broker (5% Credit)
- Transportation Truck (100% Credit)
- Underground – Petroleum / Oil / Lubricant
- Underground – Sewer / Water Line Installation

CONSULTANTS

- Architect
- Business Service
- Civil Engineer
- Construction Administration – Office Engineering Services
- Construction Administration – Inspection Services
- Construction Administration – Materials Testing
- Cost Estimations
- Drafting / Blueprint / Reprographic Services
- Electrical Engineer
- Economic Analysis
- Environmental
- Geotechnical Engineer
- Graphics
- Hazardous Materials Investigation / Remediation
- Hazardous Materials Testing
- Interior Design
- Landscape Architect
- Landscape Planning & Design
- Computerized Maintenance Management Systems
- Mechanical Engineer
- Permitting
- Mapping
- Photogrammetry
- Public Involvement
- Row – Acquisition & Negotiation
- Row – Appraiser
- Project Management / Administration
- SWPPP (Storm Water Pollution Prevention Plan)
- Transportation Planning

OTHER

- Other – Non-Construction Consultant _____
- Other – Non-Construction Contractor _____
- Other – Non-Construction Supplier _____

WORK CATEGORY LIST

Firm Name: _____

MARINE VESSELS

- Cash Register Systems
- Commercial Equipment
- Communication Systems
- Computer Systems
- Deck Coverings
- Electrical Systems
- Elevators
- Fire Safety Systems
- Flooring
- Furnishings
- Hazardous Materials Removal / Remediation
- Hazardous Materials Testing
- Hydraulics
- Insulation
- Interior Design
- Marine Engineer
- Mechanical Systems
- Naval Architect
- Painting
- Public Announcement Systems
- Refrigeration Equipment
- Special Coatings

CONCESSIONS

- Advertising
- Apparel & Accessory Stores
- Automotive Parking Lots
- Automotive Rental Agencies
- Automotive Services
- Banks
- Barber Shops or Beauty Shops
- Book Stores
- Camera & Photographic Supply Stores
- Coin – Operated Lockers
- Drinking Places (Alcoholic Beverages)
- Drug & Proprietary Stores
- Eating Place
- Florists
- Food Stores
- General Merchandise Stores
- Gift, Novelty & Souvenir Shops
- Home Furniture, Furnishings & Equipment Store
- Insurance Machines
- Jewelry Stores
- Liquor Stores
- Luggage Cart Rentals
- Luggage & Leather Goods Stores
- Miscellaneous Retail Stores

CONCESSIONS (continued)

- New Dealers & News Stands
- Pay Telephones
- Personal Services
- Tobacco Stores & Stands
- Travel Agencies
- Vending Machines

SUPPLIERS

- Aggregates
- Asphalt
- Barricades / Devices
- Coatings / Sealants
- Concrete – Precast
- Concrete – Ready Mix
- Corrugated Pipe / Accessories
- Doors / Windows
- Electrical
- Equipment Rental
- Rip Rap / Erosion Control Materials
- Explosives
- Fencing
- Geotextile Materials
- Guardrail
- Insulation
- Iron Products
- Landscaping
- Wood Products
- Masonry
- Mechanical
- Metal Buildings
- Millwork
- Pavement Markings - Thermoplastic / Paint
- Plumbing
- Roofing
- Siding
- Signs – Permanent / Temporary
- Steel
- Telecommunications: Fiber Optics / Controls / Electronics
- Traffic Signals and Lighting