# Contents

QUICK INFORMATION – DEFINITIONS, LINKS, AND SEARCHES ................................................................. 1

**DEFINITIONS OF COMMON ACRONYMS** ............................................................................................... 1

**LINKS** ..................................................................................................................................................... 2

**EXTERNAL SEARCHES** ............................................................................................................................. 4

APPLYING FOR ACCESS ............................................................................................................................... 5

APPLYING FOR CERTIFICATION – IN-STATE FIRMS .................................................................................. 6

**BEFORE YOU BEGIN** ............................................................................................................................. 6

  Document Checklist .................................................................................................................................. 6

  Other Documents .................................................................................................................................... 8

GETTING STARTED ..................................................................................................................................... 9

REQUESTS FOR INFORMATION .................................................................................................................. 22

APPLYING FOR CERTIFICATION – INTERSTATE APPLICATIONS .................................................................... 25

ANNUAL AFFIDAVITS – MAINTAINING YOUR CERTIFICATION .................................................................... 31

  **NOTIFICATION AND DEADLINE** .......................................................................................................... 31

  SUBMISSION ........................................................................................................................................... 37

OTHER WEBSITE FUNCTIONS ..................................................................................................................... 40

  CONTINUING YOUR APPLICATION WHERE YOU LEFT OFF ................................................................... 40

  EXPORTING THE DATABASE ..................................................................................................................... 41

  ANNUAL AFFIDAVIT FORMS ...................................................................................................................... 42

  PREVIOUS AFFIDAVITS ............................................................................................................................ 43
QUICK INFORMATION – DEFINITIONS, LINKS, AND SEARCHES

DEFINITIONS OF COMMON ACRONYMS

AA: Annual Affidavit
ACDBE: Airport Concessions Disadvantaged Business Enterprise
BEO: Bureau of Equal Opportunity
CFR: Code of Federal Regulations
DBE: Disadvantaged Business Enterprise
ECMS: Engineering and Construction Management System
IA: Initial Application
LLC: Limited Liability Company
NAICS Codes: North American Industry Classification System Codes
NOC: Notice of Change
OCC: Office of Chief Counsel
PA UCP: Pennsylvania Unified Certification Program
PennDOT: Pennsylvania Department of Transportation
PNW: Personal Net Worth
SBE: Small Business Enterprise
SEPTA: Southeastern Pennsylvania Transportation Authority
UCP: Unified Certification Program

NOTE: There are five certifying agencies throughout the Commonwealth of Pennsylvania. These agencies are: Allegheny County, PennDOT, Philadelphia International Airport, Port Authority of Allegheny County, and SEPTA. Being certified with one agency certifies you with all five agencies across the entire state. THERE IS NO NEED TO APPLY WITH MULTIPLE AGENCIES!
Home: Returns you to the Home screen of the website (or the user search page if logged in).

Overview & Requirements: Takes you to the Overview & Requirements page, providing a basic overview of who may benefit from the program, who qualifies to apply, and a brief glance at the requirements of the program.

Download Certification Forms: Takes you to the Download Certification Forms page, where several files related to the PA UCP can be found:

- **DBE Initial Application Form** – To be submitted by non-certified in-state applicants. Requires original completed and notarized Affidavit of Certification (contained within) be mailed to your chosen agency for your application to be processed.
DBE PNW Statement – A completed, signed, dated, and notarized copy of this statement must be submitted along with your Initial Application Form for each socially and economically disadvantaged individual in your firm comprising 51% ownership or more.

DBE Annual Affidavit Form – A form to be completed annually on your firm’s certification anniversary date. Requires notarization, and the original must be mailed to your certification agency in its entirety.

DBE Notice of Change – A form to be submitted (along with supporting documentation) when a major change in a firm takes place within the past thirty (30) days. See sheet for details. (PLEASE NOTE: You are required by federal regulations to keep your registered agency informed of any such change within thirty (30) days of the stated change.)

Interstate Certification Affidavit – For out-of-state applicants ONLY. Must be mailed, completed and notarized, to your Pennsylvania certifying agency of choice, along with the required documentation listed on the sheet.

NAICS Code Modification Form – A form to be submitted, notarized, along with supporting documentation, to your certifying agency, when requesting a modification of your firm’s NAICS codes.

Quick Tips: A helpful at-hand walkthrough for users of how to utilize the website.

Program Brochure: A printout of the PA UCP brochure, providing basic information on the program in a printable form.

Contact Us: Provides a number of useful contacts for the PA UCP program, from IT support to the individual DBE certifying agencies within Pennsylvania, their phone numbers, and their email addresses, if applicable.

Calendar: Takes you to the Calendar page, where UCP events are listed and updated.

Certifying Agencies Bidding Opportunities Information: Provides a link to the website for the Engineering and Construction Management System (ECMS) website, where bidding opportunities can be located.
EXTERNAL SEARCHES

To begin a search for a firm, all you need is a parameter for the type of firm you are looking for. The parameters include: Firm Name, Work Description, Business Profile, Certification Number, Working County, NAICS Code(s), and Certification Agency. You may choose one or multiple parameters to search by to help narrow your results.

The Search Results page lists the Firm Name, Owner of the firm, the Work Description, Business Profile, approved NAICS Codes of a firm, the firm’s Addresses, Contact Info, Certification Number(s), and their Certifying Agency (as seen at the top of the page). You may click Firm Name or NAICS Codes to modify how the database orders the returned entries. (For example: If you wish to view the results in alphabetical order by their Firm Name, simply click Firm Name, or click it a second time to reverse the order.)
APPLYING FOR ACCESS

From the homepage, click on the bolded here in the paragraph along the top of the login box, or, alternatively, the PA-UCP Registration link under the Important Links. You will be directed to the Registration and Login page of the webpage, which will walk you through the process of acquiring a username for the PA UCP.

There are two separate processes for two different types of user accounts.

The first type of user account is for those who have a pre-existing ECMS business partner account username. To request access, simply follow the directions in the first paragraph by emailing a letter requesting the access be added to your account to pdECMDSecurity@pa.gov. A sample letter is provided in the first paragraph.

The second type of user account are for those who have not yet registered an ECMS business partner account, and simply wish to be granted access to the PA UCP webpage. A Login Request Form is provided in the second paragraph on the page, allowing you to download and fill in the form to email. Please note that this user ID will not permit you to access the ECMS database. It will only permit you to access the PA UCP website.
APPLYING FOR CERTIFICATION – IN-STATE FIRMS

BEFORE YOU BEGIN

It is important to realize that you will be required to submit documentation alongside your application. This supporting documentation is important for verifying the validity of the information you supply in your application.

Certain documents, such as the list of those provided below, are *required* documents for all firms, but this list is not by any means all-inclusive. Additional documents will be required depending on your firm’s business structure, as referenced on the following pages. To help expedite your application process, it is strongly advised that you scrutinize the application form carefully and pay careful attention to the application checklist, as well as gather your supporting documents in advance of beginning your application.

**NOTE:** The more information you provide initially, the less likely it will be required for your certifying agency to request additional information from you. This will reduce the likelihood of unnecessary delays in processing your application. If you aren’t sure if you need to provide a document, it is probably a good idea to do so!

**Document Checklist**

- **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 signatory cards.

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

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

Proof of warehouse/storage facility ownership or lease arrangements.

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).
Other Documents

The following are lists of other documentation you may be asked to provide, dependent upon your business structure. Additionally, the Office of Chief Counsel may request documents not included in this list for the purposes of verifying information provided in your application.

Other required information (if applicable – see notes) may include:

_____ 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.
1. Once you have received your login information (username and password) via email, you will be able to login to the PA UCP website.

You will be required to change your password the first time you log in before you continue. In addition, the links in the sidebar have changed to incorporate the following (in addition to the previous list):

Apply Now: Allows you to begin the initial application process.

Download Adobe Reader: Redirects you to the Adobe website, where you may download the newest version of Adobe Reader.

Change Password: Allows you to change your password. (NOTE: You will be required by the system to change your password on a regular basis to ensure the security of your account.)

Previous Affidavits: Provides a list of previously-submitted affidavits in a list format.
2. After logging in, you will be redirected to your homepage.

3. By clicking the **Apply Now** link, you may begin the application process.

4. You will be redirected to the Overview tab, where a series of questions will be presented to you to answer. (Please read and answer these questions **carefully**, as they can affect how your application is categorized!)

   ![Pennsylvania Unified Certification Program (PA UCP) Application](image)

   Please note that, based on answers provided to some of these questions, you may not be able to proceed to the application screen. These questions relate to basic program participation requirements, and if you do not meet those requirements, then you are not eligible to participate in the program.

5. Once you have clicked the **Start** button, the General Information panel will pop up.

   ![General Information Panel](image)
6. Fill in all required (denoted by yellow flags) and applicable information. You may click the **Save** button at the bottom of the page at any time to preserve your progress.

Once you have filled out all the information available to you, click the **Save & Next** button at the bottom of the page to continue to the next tab, Ownership and Control.

**NOTE:** For information on continuing your application after starting it, see the “Continuing Your Application Where You Left Off” guide in the Contents.

**NOTE TO INTERSTATE APPLICANTS!**

The following sections **DO NOT** apply to you. There is a separate application process for out-of-state firms.

For guidance on the interstate certification process, refer to the “Applying for Certification – Interstate Applications” section of this guide.
7. Click the **Add** button beneath the Ownership section to add a business owner or owners.

Fill out all information in the respective spaces, then click **Save**. Repeat this process as many times as necessary until you have listed all owners of the firm.

**NOTE:** The ownership percentage of your firm in the Ownership section **must** add up to 100%, or you cannot proceed to the next tab.

8. Once you have finished adding Owners to the Ownership section, select the Majority Owner (the firm’s most senior officer, usually) by clicking the checkbox in the leftmost side of the section.

**NOTE:** Please pay close attention to which owner you select as the majority owner of the firm. Once you have submitted your application you will not be able to change your selection.
9. Under the Control section, you will enter any Officers and/or Directors/Members. Click **Add** under the respective subsection, and enter all information.

   ![Control Section](image)

   In addition, you must disclose any Officers that perform a management or supervisory function for another business, as well as any person listed that works for another firm that has a relationship with your firm.

   **NOTE:** You must first populate your list of all Officers and/or Directors/Members before listing them as contributors to other firms.

10. Scroll down to the Inventory section of the page.

   ![Inventory Section](image)

   If you have any vehicles and/or heavy equipment, or other items of substantial value, you must list them here. Click **Add** to open the Add Inventory page.

   ![Add Inventory Page](image)

   Complete an Add Inventory page for each vehicle, heavy equipment, or item of substantial value. Once you have listed your firm’s Inventory, click **Save & Next** to advance to the next tab.

11. On the Work Location tab, you will be presented with your Desired Work Locations. Here, you can highlight where you anticipate your firm will be working, either by clicking individual counties on the map…
…or the alphabetical checklist located beneath.

NOTE: This list is not binding, and will not restrict the counties where your firm may work. You will be able to modify your Desired Work Location(s) later if you wish. You must select at least one (1) county as your Desired Work Location(s).

Once you have finished listing your Desired Work Location(s), please click Save & Next, and you will be redirected to the next tab, Review.

12. On the Review tab, you will be able to see a basic overview of your firm’s information that you entered in the previous tabs. Scroll down to the Application Information section to review the data you have entered.
Please carefully review all the information in this section for correctness and completion. If you spot an error, you may click the tab at the top of the page with the corresponding information you wish to modify.

NOTE: After proceeding, the information you have provided will be locked in, and you will not be able to modify it. PLEASE BE SURE THAT ALL INFORMATION YOU HAVE ENTERED IS CORRECT AND COMPLETE BEFORE MOVING ON!

Once you have reviewed this information in its entirety and confirmed that it is correct and complete, click the Download PDF button.

13. The following confirmation dialogue box will pop-up, asking you to confirm that you are ready to proceed.
THIS IS YOUR LAST CHANCE TO MAKE CHANGES OR CORRECTIONS TO ANY INFORMATION YOU HAVE PREVIOUSLY ENTERED!

Click Yes once you are ready to proceed.

14. You will be redirected to the Download Application page. This page will provide you with a PDF copy of your physical application for saving to your computer.

The information that you previously provided to the system will be pre-populated into the PDF file.

NOTE: YOUR APPLICATION IS NOT YET COMPLETE! Additional fields must be filled in your application for it to be completed.

Click the Save button to download your application.
Once you have saved a copy of your application to your computer, you may click the **Next** button at the bottom of the page to continue.

15. A new dialogue box will pop-up, confirming whether you have saved a copy of your application to your computer.

![Dialogue box confirming saved copy](image)

**NOTE:** If you lose your copy of your prepopulated application, IT CANNOT BE RETRIEVED. Please be sure that you have saved a copy of your application before completing the application process!

**NOTE:** If you accidentally continue without saving your application, you may download a blank copy of the Initial Application Form from the [Download Certification Forms](#) page.

**NOTE:** In addition to submitting your Initial Application Form online, you will be required to submit a completed, signed and notarized original Affidavit of Certification form to your chosen certifying agency. This form can be found on page 13 of your Initial Application Form, and will be pre-populated. **YOUR APPLICATION WILL NOT BE ACCEPTED OR PROCESSED UNTIL YOU HAVE SUBMITTED THIS FORM SIGNED, COMPLETED, AND NOTARIZED TO YOUR CERTIFYING AGENCY!**

16. After clicking **Yes**, you will be redirected to the Document Checklist page.
The Document Checklist page contains a list of all the supporting documents required to complete your application. These are supplemental documents used by the Unified Certification Program to verify the information you have supplied in your application.

In addition, at the top of the Certification Document Checklist section, you may download a copy of the Personal Net Worth (PNW) Form. Simply click **Download PNW Form** to download a pre-populated copy.

**NOTE:** You will be required to submit a completed, signed and notarized original copy of your Personal Net Worth Statement to your certifying agency, alongside a copy of your completed, signed and notarized Affidavit of Certification.

17. Once you have assembled your supporting documents and scanned them to your computer, you are ready to begin uploading your documents to the checklist.

Click the first item link, **Application**, to open the Document Management page.
18. On the Document Management page, click the **Browse**... button to bring up the Upload box. Locate your Initial Application Form file and select it for upload. Once you have selected the appropriate file, click the **Upload** button.

**NOTE:** You may upload as many separate files as you like to each individual Document Management screen. However, no individual file may exceed ten megabytes (10 MB) in size. Large files will either need to be broken down into smaller pieces or compressed.

Once you have finished uploading files to the Application document screen, click **Back** to return to the Document Checklist tab.

19. Repeat this process for each listed document type. Required documents are indicated with a yellow flag. Conditionally required documents are indicated by blue flags.

Once a document(s) has been uploaded to a document type, a green checkmark will appear next to the document type link to indicate that a document is attached.

**NOTE:** All required documents, *at a minimum*, must be accounted for in order to submit your application!
20. Once you have finished uploading all documents required and applicable to your firm’s application, the **Submit** button will be made available.

Once you have finished uploading all documents, click **Submit** to submit your application.

**NOTE:** Please be sure that you check each conditionally required item in the checklist carefully, and supply any documents that apply to your firm.

**NOTE:** Your certifying agency may deem it necessary to request additional documentation from you. Please monitor your email account carefully for any additional requests from your certifying agency. (See the Requests For Information section.)

A pop-up will appear, asking you to confirm the submission of your application. If you change your mind and wish to submit additional documentation, click **Cancel** to be returned to the Document Checklist tab.

Otherwise, click **OK** to complete your submission. You will be redirected to the Submit Confirmation page.
21. On the Confirmation Page, you will be presented with a button to download your **Affidavit of Certification**, if you have need to do so again.

Remember, if you have not done so already, you must submit this original, notarized document to your certifying agency for your application to be processed!

In addition to the Confirmation Page, you will receive an automated email confirming your submission. This email also contains an extra reminder to submit your Affidavit of certification to your certifying agency.

Dear Applicant,

This email is sent from an unmonitored account. Please direct any questions/requests to the agency email address listed in the body of this message.

The Pennsylvania Unified Certification Program has received your DBE Certification Application. You can view your application data, but you will not be allowed to make further changes at this time. Your application will remain in "Submitted" status until our office receives the original signed and notarized Affidavit of Certification document

To access the PAUCP website click [here](#).

Please mail the Affidavit of Certification to the following address within 15 days of the electronic submission of your affidavit so we can continue our review.

Your certifying agency will review your application for completeness. This can be a time-consuming process, so please bear with us while we examine your application in its entirety.
REQUESTS FOR INFORMATION

As your certifying agency reviews your paperwork, they may come across information that is incomplete or has otherwise not been supplied.

You will receive an email from your certifying agency, requesting that you supply any missing supporting documents. This is necessary before your application can be deemed complete and sent to the Office of Chief Counsel for further examination.

Dear Applicant,

The Pennsylvania Unified Certification Program (PA UCP) has reviewed your request for certification as a DBE and found it to be incomplete. In order to continue the certification process for your firm, please submit the following information:

Please provide the requested information within fifteen (15) days of this email so we can resume our review of your application. You can upload the requested information online using the Document Checklist. Once all requested documentation has been uploaded, please click the "Respond" button to notify us that the requested documentation is available for our review.

To access the PAUCP website click here

After you login upon receiving a Request For Information, you will be presented with the Request For Information (Review) link near the top of your home screen.

Clicking this link will take you directly to the Document Checklist screen. There, you will be able to upload any documentation requested by your certifying agency directly to the site.
If you have any questions regarding requested documentation, please contact your certifying agency directly by clicking the **Contact Us** link in the Important Links sidebar on the left-hand side of the screen.

Once you have completed uploading your documentation to the website, scroll to the bottom of the screen and click the **Respond** button.
You will be prompted to confirm that you have submitted all requested documentation to the site before being allowed to proceed. **PLEASE BE SURE THAT YOU HAVE UPLOADED ALL REQUESTED DOCUMENTS BEFORE RESPONDING! YOU WILL NOT BE ABLE TO SUBMIT ADDITIONAL INFORMATION AFTERWARD!**

Once you are ready, click **OK** to submit your documentation. Your certifying agency will examine the documentation you have provided to ensure that your application is deemed administratively complete. If any further information is required, you will be contacted as needed, until your application appears complete.

After your application has been deemed complete, the reviewer will verify the information in your application, and it will be passed along to the Office of Chief Counsel for further scrutiny.

**PLEASE COMPLY PROMPTLY WITH ANY REQUESTS FOR INFORMATION YOU RECEIVE! THE QUICKER YOUR INFORMATION IS RECEIVED, THE MORE SWIFTLY YOUR APPLICATION CAN BE PROCESSED! FAILURE TO COOPERATE WITH REQUESTS FOR INFORMATION IS GROUNDS FOR DENIAL!**

Additional automated emails will be sent to your inbox to keep you up-to-date on your application’s status (such as when it is under inspection, additional requests for information, etc.).

You may log in at any time to check the status of your application as well.
The interstate certification application process is a separate process from in-state certification intended specifically for firms not based in the Commonwealth of Pennsylvania. Out-of-state firms who wish to become DBE-certified in Pennsylvania MUST be DBE-certified in their home state at the time of their application.

1. Once you have received your login information (username and password) via email, you will be able to login to the PA UCP website.

You will be required to change your password the first time you log in before you continue. In addition, the links in the sidebar have changed to incorporate the following (in addition to the previous list):

Apply Now: Allows you to begin the initial application process.

Download Adobe Reader: Redirects you to the Adobe website, where you may download the newest version of Adobe Reader.

Change Password: Allows you to change your password. (NOTE: You will be required by the system to change your password on a regular basis.)

Previous Affidavits: Provides a list of previously-submitted affidavits in a list format.
2. After logging in, you will be redirected to your homepage.

![Application Page]

3. By clicking the **Apply Now** link, you may begin the application process.

4. You will be redirected to the Overview tab, where a series of questions will be presented to you to answer. (Please read and answer these questions carefully, as they can affect how your application is categorized!)

![Application Questions]

Please note that, based on answers provided to some of these questions, you may not be able to proceed to the application screen. These questions relate to basic program participation requirements, and if you do not meet those requirements, then you are not eligible to participate in the program.

5. Once you have clicked the **Start** button, the General Information panel will pop up.

![General Information Panel]
6. Fill in all required (denoted by yellow flags) and applicable information. You may click the Save button at the bottom of the page at any time to preserve your progress.

Once you have filled out all the information available to you, click the Save & Next button at the bottom of the page to continue to the next tab, Document Checklist.

NOTE: For information on continuing your application after starting it, see the “Continuing Your Application Where You Left Off” guide in the Index.

7. The Document Checklist page contains a list of all the supporting documents required to complete your application. These are supplemental documents used by the Unified Certification Program to verify the information you have supplied in your application.

NOTE: As an out-of-state DBE-certified applicant to Pennsylvania, you will be required to submit your full and complete, original home state application, along with the three most current, consecutive years of annual renewals/no change affidavits and all notice of change documentation. You must also submit any correspondence between you and your home state certifying agency concerning your application or status as a DBE firm.

Once you have assembled your documents and scanned them to your computer, you are ready to begin uploading your documents to the checklist.

Click the item link, Interstate, to open the Document Management page.
8. On the Document Management page, click the **Browse…** button to bring up the Upload box. Locate your Initial Application Form file and select it for upload. Once you have selected the appropriate file(s), click the **Upload** button.

**NOTE:** You may upload as many separate files as you like to each individual Document Management screen. However, no individual file may exceed ten megabytes (10 MB) in size. Large files will either need to be broken down into smaller pieces or compressed.

Once you have finished uploading files to the Interstate document screen, click **Back** to return to the Document Checklist tab.

9. Once a document(s) has been uploaded to the Interstate document section, a green checkmark will appear next to the document type link to indicate that a document is attached.

10. Once you have finished uploading all documents required and applicable to your firm’s application, the **Submit** button will be made available.

Once you have finished uploading all documents, click **Submit** to submit your application.

**NOTE:** Your certifying agency may deem it necessary to request additional documentation from you. Please monitor your email account carefully for any additional requests from your certifying agency. (See the **Requests For Information** section.)
A pop-up will appear, asking you to confirm the submission of your application. If you change your mind and wish to submit additional documentation, click **Cancel** to be returned to the Document Checklist tab.

Otherwise, click **OK** to complete your submission. You will be redirected to the Submit Confirmation page. In addition, an email will be sent to the email address you supplied, confirming receipt of your application.

11. On the submission confirmation page, you will be presented with a checklist for all documentation and steps to complete your application. PLEASE READ THIS LIST CAREFULLY! You will not be able to download your Interstate Certification Affidavit without completing this list!
12. Once you have completed the checklist and confirmed that you have complied with all requirements, you may click the Affidavit of Certification button to download the Interstate Certification Affidavit.

You are required to download, print, and fill out this form, then return the original notarized document to your desired Pennsylvania certifying agency. (For a list of addresses, click the Contact Us link in the Important Links sidebar to the left-hand side of the page.)

YOUR APPLICATION WILL NOT BE ACCEPTED OR PROCESSED UNTIL YOU HAVE SUBMITTED THIS FORM SIGNED, COMPLETED, AND NOTARIZED TO YOUR CERTIFYING AGENCY!
ANNUAL AFFIDAVITS – MAINTAINING YOUR CERTIFICATION

NOTIFICATION AND DEADLINE

Once a year, you are required to submit an annual affidavit for your firm’s certification to remain valid. This affidavit is used by your certifying agency to help evaluate your firm’s eligibility to continue participating in the program. All firms are required to submit an annual affidavit at the same time every year, and it is a firm’s responsibility to keep track of their anniversary date, and to submit their affidavit on or before that date!

1. Every year, thirty (30) days prior to your anniversary date, you will receive a notification via email that your annual affidavit is coming due. Before these thirty days expire, you will be required to submit your annual affidavit.

To begin your annual affidavit process, log into the website.

Once you have logged in, click the Start Annual Affidavit button.

You will be redirected to a page containing a series of questions. (Depending on how you answer these questions, additional question may appear that must be answered.)

Once you have completed answering these questions, click the Save & Next button to be redirected to the General Information tab.
2. Examine and update any information on the General Information tab that has changed. (Pay particular attention to your firm’s email address and physical/mailing addresses, as these fields are how we will contact you for information requests or to supply you with notifications.) If we cannot contact you because your information is not up-to-date, **you may be found to be in non-compliance, and LOSE YOUR CERTIFICATION**.

**IT IS YOUR RESPONSIBILITY TO KEEP YOUR FIRM’S INFORMATION UP-TO-DATE AND TO NOTIFY YOUR CERTIFICATION AGENCY OF ANY CHANGES TO THE INFORMATION FOUND IN THESE TABS WITHIN THIRTY (30) DAYS OF THE CHANGE. FAILURE TO KEEP YOUR INFORMATION UP-TO-DATE IS GROUNDS FOR DECERTIFICATION!**

Once you have ensured that all information in the General Information tab is up-to-date, scroll down to the bottom of the screen and click **Save & Next**.

Once you have completed updating all your other information tabs, you will be redirected to the Documents Checklist tab.

3. The Document Checklist page contains a list of all the supporting documents required to complete your affidavit. These are supplemental documents used by the Unified Certification Program to verify the information you have supplied in your affidavit.
For any information that has changed on the previous tabs that is listed on this checklist (such as real estate, stocks and/or ledgers, number of trucks your firm owns, etc.), you must upload supporting documentation to the relevant section to demonstrate these changes.

4. Once you have assembled your supporting documents and scanned them to your computer, you are ready to begin uploading your documents to the checklist. Click the first item link, **Business Tax Returns**, to be redirected to the Document Management screen.

5. On the Document Management page, click the **Browse...** button to bring up the Upload box. Locate your scanned federal business taxes and select them for upload. Once you have selected the appropriate file, click the **Upload** button.
NOTE: You may upload as many separate files as you like to each individual Document Management screen. However, no individual file may exceed ten megabytes (10 MB) in size. Large files will either need to be broken down into smaller pieces or compressed.

Once you have finished uploading files to the Business Tax Returns document screen, click **Back** to return to the Document Checklist tab.

6. Repeat this process for each listed required and applicable document type. Required documents are indicated with a yellow flag. Conditionally required documents are indicated by blue flags.

Once a document(s) has been uploaded to a document type, a green checkmark will appear next to the document type link to indicate that a document is attached.

NOTE: All required documents, *at a minimum*, must be accounted for in order submit your affidavit! (Your certifying agency may request additional documentation from you.)

7. Once you have finished uploading all documents required and applicable to your firm’s affidavit, the **Submit** button will be made available.

Once you have finished uploading all documents, click **Submit** to submit your affidavit.

NOTE: Please be sure that you check each conditionally required item in the checklist carefully, and supply any documents that apply to your firm.
NOTE: Your certifying agency may deem it necessary to request additional documentation from you. Please monitor your email account carefully for any additional requests from your certifying agency. (See the Submission section.)

A pop-up will appear, asking you to confirm the submission of your affidavit. If you change your mind and wish to submit additional documentation, click Cancel to be returned to the Document Checklist tab.

Otherwise, click OK to complete your submission. You will be redirected to the Submit Confirmation page.

8. On the Confirmation Page, you will be presented with a button to download your Affidavit of Certification, if you have need to do so again.

Remember, if you have not done so already, you must submit this original, notarized document to your certifying agency for your affidavit to be processed!

In addition to the Confirmation Page, you will receive an automated email confirming your submission. This email also contains an extra reminder to submit your Affidavit of certification to your certifying agency.
Dear Applicant,

This email is sent from an unmonitored account. Please direct any questions/requests to the agency email address listed in the body of this message.

The Pennsylvania Unified Certification Program has received your DBE Certification Application. You can view your application data, but you will not be allowed to make further changes at this time. Your application will remain in “Submitted” status until our office receives the original signed and notarized Affidavit of Certification document.

To access the PAUCP website click here.

Please mail the Affidavit of Certification to the following address within 15 days of the electronic submission of your affidavit so we can continue our review.

Your certifying agency will review your affidavit for completeness. This can be a time-consuming process, so please bear with us while we examine your affidavit in its entirety.
SUBMISSION

Once you have submitted your annual affidavit, your certifying agency will examine the information provided. You have thirty (30) days from your anniversary date to begin your affidavit.

If you have not completed your affidavit within the first fifteen days of your notification, you will receive a second notification at fifteen (15) days from your anniversary date.

In addition, you will receive a notification one (1) day after your anniversary date, telling you that your affidavit is overdue.

IF YOU DO NOT COMPLETE YOUR ANNUAL AFFIDAVIT WITHIN FIFTEEN DAYS AFTER YOUR ANNIVERSARY DATE, YOUR FIRM WILL BE DECERTIFIED!

As your certifying agency reviews your affidavit and the supporting documents, they may come across information that is incomplete or has otherwise not been supplied.

You will receive an email from your certifying agency, requesting that you supply any missing supporting documents. This is necessary before your affidavit can be deemed complete and sent to the Office of Chief Counsel for further examination.

Dear Participant,

The Pennsylvania Unified Certification Program (PA UCP) has reviewed your DBE Annual Affidavit and found it to be incomplete. In order to continue the review process for your firm, please submit the following information: **THIS IS ONLY A TEST** Please provide the requested information within fifteen (15) days of this email so we can resume our review of your annual affidavit. You can upload the requested information online using the Document Checklist. Once all requested documentation has been uploaded, please click the "Respond" button to notify us that the requested documentation is available for our review.

To access the PAUCP website click [here](#)

P.O. Box 3251
Harrisburg, PA 17105-3251
Phone: 717-787-5891
Fax: 717-772-4026
Email: pendotucpinfo@pa.gov

After you login upon receiving a Request For Information, you will be presented with the Request For Information (Review) link near the top of your home screen.
Clicking this link will take you directly to the Document Checklist screen. There, you will be able to upload any documentation requested by your certifying agency directly to the site.

<table>
<thead>
<tr>
<th>Flags</th>
<th>Document Type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>✅</td>
<td>Business Tax Returns</td>
<td>Complete federal business tax returns for the past three years (or for the life of firm, if less than three years old); a new business must provide a current balance sheet. For annual filers, provide only the most recent business tax return.</td>
</tr>
<tr>
<td>✅</td>
<td>Application</td>
<td>The completed application downloaded from the 'Review' page.</td>
</tr>
<tr>
<td>✅</td>
<td>Personal Net Worth</td>
<td>Completed, signed, dated and notarized Personal Net Worth statement for each socially and economically disadvantaged owner comprising 51% ownership or more of the applicant’s firm. For annual filers, any firm owners of change in ownership require a complete, signed, dated, and notarized Personal Net Worth statement.</td>
</tr>
<tr>
<td>✅</td>
<td>Personal Tax Returns</td>
<td>Complete Federal personal tax returns for the past three years for each owner claiming economic disadvantage.</td>
</tr>
<tr>
<td>✅</td>
<td>Balance Sheets</td>
<td>Year-end balance sheets and income statements for the past three years (or life of firm, if less than three years); a new business must provide a current balance sheet. (Schedule K is not acceptable per Federal regulations.)</td>
</tr>
<tr>
<td>✅</td>
<td>Resumes</td>
<td>Work experience resumes (include place of ownership/employment with corresponding dates), for all owners and officers of your firm.</td>
</tr>
</tbody>
</table>

If you have any questions regarding requested documentation, please contact your certifying agency directly by clicking the **Contact Us** link in the Important Links sidebar on the left-hand side of the screen.

Once you have completed uploading your documentation to the website, scroll to the bottom of the screen and click the **Respond** button.

You will be prompted to confirm that you have submitted all requested documentation to the site before being allowed to proceed. **PLEASE BE SURE THAT YOU HAVE UPLOADED ALL REQUESTED DOCUMENTS BEFORE RESPONDING! YOU WILL NOT BE ABLE TO SUBMIT ADDITIONAL INFORMATION AFTERWARD!**
Once you are ready, click **OK** to submit your documentation. Your certifying agency will examine the documentation you have provided to ensure that your affidavit is deemed administratively complete. If any further information is required, you will be contacted as needed, until your affidavit appears complete.

After your affidavit has been deemed complete, the reviewer will verify the information in your affidavit.

**PLEASE COMPLY PROMPTLY WITH ANY REQUESTS FOR INFORMATION YOU RECEIVE! THE QUICKER YOUR INFORMATION IS RECEIVED, THE MORE SWIFTLY YOUR AFFIDAVIT CAN BE PROCESSED! FAILURE TO COOPERATE WITH REQUESTS FOR INFORMATION IS GROUNDS FOR DENIAL!**

Additional automated emails will be sent to your inbox to keep you up-to-date on your affidavit’s status (such as when it is under inspection, additional requests for information, etc.).

You may log in at any time to check the status of your affidavit as well.
OTHER WEBSITE FUNCTIONS

CONTINUING YOUR APPLICATION WHERE YOU LEFT OFF

To save your application in draft form, you must, at minimum, complete the General Information page of your application. If, thereafter, you must pause your application and continue where you left off, simply log back in, click the link for your application (Draft, Locked, etc.) and you will be redirected to an overview screen.

Using the tabs along the top or the links near the bottom, you will be able to continue where you last left off. (You may switch between tabs at any time using the green tabs along the top. Please be sure to Save your work before switching tabs.)
EXPORTING THE DATABASE

If you wish to export the entire database to an Excel file, simply click the **Search** button.

After the Search Results page loads, scroll to the bottom of the results and click the **Export All** link at the bottom of the page.

**NOTE:** If you wish to search for specific types of businesses (e.g. you are searching for firms with specific NAICS Codes or that fit a specific business profile), input the parameters you wish to search by, then click **Search.** Once the Search Results page loads, scroll to the bottom of the results and click the **CSV** link instead.
If you encounter difficulty with using the website for any reason, you are still able to submit your annual affidavit via mail. To do so, you will need to download the Annual Affidavit form from our website.

This form can also be found under the **Download Certification Forms** section of the website as a PDF (DBE Annual Affidavit Form), and can be filled out electronically and printed.

**NOTE:** Your Annual Affidavit form must be completed, notarized, and the original submitted to your certifying agency via mail.

In addition, you will be required to submit your firm’s latest federal business tax return (usually, the one from the previous year), along with any other supporting documentation regarding any possible changes you indicate on the Annual Affidavit form. (For example, if you mark there have been any changes in ownership, you would have to submit copies of all voided and new stock certificates, an updated stock transfer ledger, meeting minutes regarding the ownership change, Personal Net Worth statements for any new owners, etc.)

Once you have gathered all this information, you need only mail it to your certifying agency. Click the **Contact Us** link to view a list of contact details for each agency.
PREVIOUS AFFIDAVITS

To view a list of previous submissions you have made to this site, simply log in to the website, and click the Previous Affidavits link under the Support Functions section on the left-hand side of the page.

This page will display information regarding any submissions made by/on behalf of your firm, and will display who made those changes.
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