

Certificate of Authorization Application Instructions

Each application must include...

- Notarized **Firm Certificate of Authorization Application**: PES 3011-N (Rev. 09/2014).
- Separate notarized **Firm Affidavit of Responsibility** for each professional engineer and professional surveyor designated in responsible charge: PES 3012 (Rev. 09/2014).
- An **active Ohio Secretary of State charter or registration number** authorizing the firm to do business in the state of Ohio. In addition, if a firm is using a **doing business as (DBA)** name, an active Ohio Secretary of State charter or registration number authorizing the firm's DBA name to do business in the state of Ohio is needed.
- \$50.00 application fee, using check or money order, and made payable in U.S. funds to **Treasurer, State of Ohio**.

Applications should be mailed to:

CERTIFICATE OF AUTHORIZATION
STATE BOARD OF REGISTRATION FOR
PROFESSIONAL ENGINEERS AND SURVEYORS
50 W BROAD ST STE 1820
COLUMBUS OH 43215-5905

Important Checklist Information

- Application must be filled out completely. **All fields are required** unless otherwise indicated.
- All forms and fees must be mailed as one packet.
- Each full-time employee designated in responsible for, and responsible charge of, the professional engineering or professional surveying activities and decisions must fill out **Firm Affidavit of Responsibility** PES 3012 (Rev. 09/2014).
 - The full-time employee must be a partner, manager, member, officer or director and shall be registered in this state. Full-time, as defined in Ohio R.C. section 4733.16, means working more than 30 hours per week or working substantially all the engineering and/or surveying hours for a firm that holds a Certificate of Authorization.
 - The firm and/or its DBA must hold an active registration(s) with the Ohio Secretary of State.
 - Applications without the correct fee or with incomplete information will be returned.
 - All Certificates of Authorization expire biennially on June 30.
 - Failure to renew the Certificate of Authorization by the June 30 deadline renders the firm inactive and unauthorized to practice in the state of Ohio.
 - Firms must notify the Board within 30 days of any change of the firm's name or address.
 - Firms are responsible for notifying the Board within 30 days of any changes of partners, managers, officers, members, directors, shareholders, designated professional engineers, designated professional surveyors or change of ownership.
 - Firms that do not wish to renew their Certificate of Authorization must notify the Board in writing within 30 days.
 - A Certificate of Authorization is not the same as an individual license to practice professional engineering or professional surveying in the state of Ohio.

1. Application for (CHOOSE ONLY ONE)

Form PES 3011-N (Rev. 09/2014) may be used ONLY for a new certificate of authorization, to apply for an additional service (engineering or surveying), for adding a DBA (Doing Business As) name, for a name change (you must include previous firm name when applying for a name change), or for reinstatement (see note below) of a lapsed Certificate of Authorization. Do NOT use PES 3011-N (Rev. 09/2014) for renewal or late renewal of a Firm Certificate of Authorization. The **application fee is \$50.00**, made payable in U.S. dollars to **Treasurer, State of Ohio**. Online and credit card payment is not available. Applications including cash will be returned.

• **REINSTATEMENT NOTE:** If you are reinstating your firm's expired Certificate of Authorization, you will need to attach additional information which includes, but is not limited to, all engineering and/or surveying projects worked on while the certificate was lapsed. You will need to contact the Board directly for specific details. Board contact information is on page 2 of these instructions. Your application cannot be processed unless the Board has the additional required information.

2. Ohio Certificate of Authorization Number **REQUIRED** unless NEW COA

If your firm has been registered in Ohio, you have a Certificate of Authorization (COA) number. This 5-digit number begins with "0" and is issued by the Board. You can find the number by using our license lookup at <http://www.peps.ohio.gov/licenselookup.aspx>. The COA number is required except for a new application.

3. Previous Application

Indicate whether or not the firm has previously filed a Certificate of Authorization with the Ohio Board.

4. 90-day Temporary Permit

A 90-day temporary permit may be issued to NEW FIRMS ONLY. Indicate whether or not your firm wants a temporary 90-day permit. If a temporary permit is granted, it is only valid for 90 days from the date of issuance. Should the Board subsequently disapprove the firm's application for a Certificate of Authorization, the temporary permit terminates on the date of denial and firm will cease and desist from practicing or offering engineering and/or surveying services in the state of Ohio.

5. Professional Services Offered

Indicate professional services to be offered: engineering only, surveying only, or engineering AND surveying.

6. Registered with Ohio Secretary of State as (CHOOSE ONLY ONE)

You must be registered with the Ohio Secretary of State's (SOS) office, and have a SOS charter or registration number, **before** submitting a Certificate of Authorization application with the Board. The following contact information for the Ohio Secretary of State's office is provided as a courtesy and may be subject to change. You can contact the SOS on the web at www.sos.state.oh.us or by telephone: (877) 767-6446 U.S. toll free or (614) 466-2655 Columbus metro.

7. Firm Contact Information

All fields are required in this section unless otherwise indicated. An active Ohio Secretary of State charter or registration number authorizing the firm to do business in the state is required for each firm name; and, if used, firm DBA name. Any discrepancies between the application firm name and the Ohio Secretary of State registration will result in the application being delayed or returned. Refer to 4 above.

8. Ownership

Firm owner name and address is required for each owner of the firm. If needed, attach additional page(s) with the same information.

9. Registered Individual(s) in Responsible Charge

All professional services shall be executed by, or be under the direct supervision of, an Ohio-registered professional engineer or professional surveyor. Pursuant to Ohio R.C. section 4733.16, each corporation, limited liability company, partnership or professional association through which professional engineering or surveying services are offered or provided in Ohio, shall designate one or more directors, partners, managers, members or officers employed by the firm full time as being responsible for and in responsible charge of the professional engineering or professional surveying activities and decisions of the firm. **IMPORTANT!** Each registrant listed as in responsible charge must include an accompanying **Firm Affidavit of Responsibility PES 3012** (Rev. 09/2014). If needed, attach additional page(s) with the same information.

10. Additional Ohio P.E., P.S. Registrant(s) Employed by Firm

List registrant name, registration number and firm location address of each Ohio P.E. or Ohio P.S. whose services are employed by the firm as of the date of the application. If needed, attach additional page(s) with the same information.

11. Disciplinary Actions

Any firm disciplinary action must be reported to the Board.

12. Certificate of Authorization Denial


Indicate whether or not the firm has ever been denied a Certificate of Authorization by this or any other Board.

13. Disclosure Statement, Privacy Notice

Ohio's State Board of Registration for Professional Engineers and Surveyors is requesting disclosure of information that is necessary to accomplish our statutory purposes required by Ohio Revised Code Chapter 4733. Failure to provide required information may result in your approval being delayed or your application being returned. Subject to certain Ohio Revised Code statutory exceptions, most documents and records maintained by the state of Ohio, including those maintained by the Board, are public records under Ohio law. This means that information submitted to us from you may be subject to disclosure if there is an official public records request.

14. Notarized Affidavit

All Certificate of Authorization applications must be notarized in order to be reviewed and processed. The affidavit must include the affiant's printed name, signature, title and date signed; as well as all appropriate required notary public information. **All notarized pages must be originals.** Scans/copies are not accepted.

 **CERTIFICATE OF AUTHORIZATION**
STATE BOARD OF REGISTRATION FOR
PROFESSIONAL ENGINEERS AND SURVEYORS
50 W BROAD ST STE 1820
COLUMBUS OH 43215-5905

Questions?

EMAIL pes.board@pes.ohio.gov
(877) 644-6364 U.S. TOLL FREE
(614) 466-3651 COLUMBUS METRO

Firm Certificate of Authorization Application

DO NOT USE THIS FORM FOR RENEWAL

For firm renewal, go to www.peps.ohio.gov and download form PES 3011-L.

1. Include \$50.00 Application Fee (CHOOSE ONLY ONE) made payable in U.S. funds to **Treasurer, State of Ohio**. Online and credit card payment is not available; applications including cash will be returned.

- New Certificate of Authorization (COA)**
- Adding DBA (Doing Business As) Name**
- Name Change** PREVIOUS FIRM NAME >> _____
- Reinstatement**
- Additional Service**

NCEES CHECK

Date: _____

By: _____

2. Ohio Certificate of Authorization Number REQUIRED unless NEW firm

3. Previous Application Have you previously filed for a Certificate of Authorization with this Board? No Yes

4. NEW FIRMS ONLY >> 90-day Temporary Permit No Yes. If granted, temporary permit notice will be mailed.

5. Professional Services Offered Engineering ONLY Surveying ONLY Engineering AND Surveying

6. Registered with Ohio Secretary of State as (CHOOSE ONLY ONE)

- Corporation
- LLC
- Partnership
- Professional Association
- Other DESCRIBE >> _____

7. Firm Contact Information >> ALL FIELDS REQUIRED unless otherwise indicated

An **active** Ohio Secretary of State (SOS) charter or registration number authorizing the firm to do business in the state of Ohio is required for each firm name; **and**, if used, firm DBA name. Firm name and DBA name must match the Ohio Secretary of State's database. Please verify firm name and registration number with the Ohio Secretary of State's office before submission.

OHIO SOS NO. >> **REQUIRED**

FIRM NAME >> **As registered with the Ohio Secretary of State's office**

OHIO SOS NO. >> **REQUIRED if DBA**

FIRM DBA >> **ONLY if using SOS registered fictitious name or registered trade name**

CONTACT / CONTACT EMAIL ADDRESS

FEDERAL EMPLOYER ID NUMBER

LOCATION OFFERING OHIO PROFESSIONAL SERVICES Check box if change of address

ADDRESS LINE 1 >> **DO NOT USE AGENT ADDRESS — PO Box is NOT acceptable**

TELEPHONE

ADDRESS LINE 2 >> **ONLY if needed**

COUNTY >> **ONLY if Ohio address**

CITY

STATE, ZIP CODE

MAILING ADDRESS >> ONLY IF DIFFERENT THAN ABOVE

Check box if change of address

ADDRESS LINE 1 >> **DO NOT USE AGENT ADDRESS**

TELEPHONE

ADDRESS LINE 2 >> **ONLY if needed**

COUNTY >> **ONLY if Ohio address**

CITY

STATE, ZIP CODE

8. Ownership If needed, attach additional page(s) with the same firm owner name and firm owner address information.

FIRM OWNER NAME	FIRM OWNER ADDRESS

FIRM OWNER NAME	FIRM OWNER ADDRESS

FIRM OWNER NAME	FIRM OWNER ADDRESS

FIRM OWNER NAME	FIRM OWNER ADDRESS

9. Registered Individual(s) in Responsible Charge

All professional services shall be executed by, or be under the direct supervision of, an Ohio-registered professional engineer or professional surveyor. Pursuant to Ohio R.C. section 4733.16, each corporation, limited liability company, partnership or professional association through which professional engineering or surveying services are offered or provided in Ohio, shall designate one or more directors, partners, managers, members or officers employed by the firm full time as being responsible for and in responsible charge of the professional engineering or professional surveying activities and decisions of the firm.

IMPORTANT! Each registrant listed as in responsible charge must include an accompanying **Firm Affidavit of Responsibility** (PES 3012). If needed, attach additional page(s) with the same registered individual(s) in responsible charge information.

PRINTED NAME >> Include notarized PES 3012	OHIO P.E. NO.	OHIO P.S. NO.
Indicate ALL designations that apply >> <input type="checkbox"/> Director <input type="checkbox"/> Partner <input type="checkbox"/> Manager <input type="checkbox"/> Member <input type="checkbox"/> Officer		

PRINTED NAME >> Include notarized PES 3012	OHIO P.E. NO.	OHIO P.S. NO.
Indicate ALL designations that apply >> <input type="checkbox"/> Director <input type="checkbox"/> Partner <input type="checkbox"/> Manager <input type="checkbox"/> Member <input type="checkbox"/> Officer		

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Indicate ALL designations that apply >> <input type="checkbox"/> Director <input type="checkbox"/> Partner <input type="checkbox"/> Manager <input type="checkbox"/> Member <input type="checkbox"/> Officer		

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Indicate ALL designations that apply >> <input type="checkbox"/> Director <input type="checkbox"/> Partner <input type="checkbox"/> Manager <input type="checkbox"/> Member <input type="checkbox"/> Officer		

10. Additional Ohio P.E., P.S. Registrants Employed By Firm

List registrant name, registration number(s) and firm address of each Ohio P.E. or Ohio P.S. whose services are employed by the firm as of the date of this application. If needed, attach additional page(s) with the same information.

REGISTRANT NAME		FIRM ADDRESS
OHIO P.E. NO.	OHIO P.S. NO.	

REGISTRANT NAME		FIRM ADDRESS
OHIO P.E. NO.	OHIO P.S. NO.	

REGISTRANT NAME		FIRM ADDRESS
OHIO P.E. NO.	OHIO P.S. NO.	

REGISTRANT NAME		FIRM ADDRESS
OHIO P.E. NO.	OHIO P.S. NO.	

REGISTRANT NAME		FIRM ADDRESS
OHIO P.E. NO.	OHIO P.S. NO.	

REGISTRANT NAME		FIRM ADDRESS
OHIO P.E. NO.	OHIO P.S. NO.	

REGISTRANT NAME		FIRM ADDRESS
OHIO P.E. NO.	OHIO P.S. NO.	

REGISTRANT NAME		FIRM ADDRESS
OHIO P.E. NO.	OHIO P.S. NO.	

REGISTRANT NAME		FIRM ADDRESS
OHIO P.E. NO.	OHIO P.S. NO.	

REGISTRANT NAME		FIRM ADDRESS
OHIO P.E. NO.	OHIO P.S. NO.	

11. Disciplinary Actions

Has the firm been subject to disciplinary action that has not been reported to the Ohio Board?

No Yes If **YES**, provide a written statement, signed and dated, explaining the incident(s) and attach statement(s) and supporting documentation to this application. Documentation should include, but is not limited to, court and police records.

12. Certificate of Authorization Denial

Has the firm ever been denied a Certificate of Authorization by this or any other Board?

No Yes If **YES**, provide a written statement, signed and dated, explaining the denial(s) and attach statement(s) and supporting documentation to this application.

13. Disclosure Statement, Privacy Notice

Ohio's State Board of Registration for Professional Engineers and Surveyors is requesting disclosure of information that is necessary to accomplish our statutory purpose required by Ohio R.C. Chapter 4733. Failure to provide required information may result in your application approval being delayed or your application being returned.

Subject to certain Ohio Revised Code statutory exceptions, most documents and records maintained by the state of Ohio, including those maintained by the Board, are public records under Ohio law. This means that information submitted to us from you may be subject to disclosure if there is an official public records request.

14. Notarized Affidavit

Important! State, county, registrant and notary names, signatures and dates must be completed or application will be returned. Signatures, dates and notary seal must be original. Scanned signatures and copies are **not** accepted.

STATE OF _____ COUNTY OF _____ } ss.

AFFIANT

I, _____ [PRINTED NAME], being duly sworn, or affirmed, depose and say that I am duly authorized to prepare this application for a Certificate of Authorization and attest, to the best of my knowledge and belief, that the information contained herein is true.

AFFIANT SIGNATURE _____ PRINTED AFFIANT TITLE _____ DATE SIGNED _____

NOTARY

Subscribed and sworn, or affirmed, to me this

_____ day of _____, _____.

Witness my hand and seal hereon.

NOTARY SIGNATURE _____ MY COMMISSION EXPIRES _____



Deliver your completed **Certification of Authorization Application** with affidavit(s) and fee to:

Ohio CERTIFICATE OF AUTHORIZATION
STATE BOARD OF REGISTRATION FOR
PROFESSIONAL ENGINEERS AND SURVEYORS
50 W BROAD ST STE 1820
COLUMBUS OH 43215-5905

Questions?
EMAIL pes.board@pes.ohio.gov
(877) 644-6364 U.S. TOLL FREE
(614) 466-3651 COLUMBUS METRO

Firm Affidavit of Responsibility

Complete a separate **Firm Affidavit of Responsibility** for each Ohio professional engineer or professional surveyor who is designated in responsible charge. Affidavits of responsibility must accompany all Certificate of Authorization applications.

1. Certificate of Authorization (COA) Number

<< **REQUIRED UNLESS NEW FIRM** >> 5-DIGIT NUMBER BEGINNING WITH "0"

2. Firm Name

FIRM NAME >> **MUST BE SAME NAME** AS ON CERTIFICATE OF AUTHORIZATION APPLICATION

3. Ohio Registrant Designated in Responsible Charge

OHIO P.E., P.S. OR DUAL (P.E. **AND** P.S.) REGISTRANT DESIGNATED IN RESPONSIBLE CHARGE

OHIO P.E. NO.

OHIO P.S. NO.

4. Notarized Affidavit

Important! State, county, registrant and notary names, signatures and dates must be completed or application will be returned. Signatures, dates and notary seal must be original. Scanned signatures and copies are **not** accepted.

STATE OF

COUNTY OF

} ss.

AFFIANT

I, _____ [REGISTRANT PRINTED NAME], being the duly sworn, or affirmed, affiant; state that I am a registered professional engineer and/or a registered professional surveyor in the state of Ohio as indicated above; that I am a full-time employee of the above-named firm; that I am in responsible charge for and in responsible charge of the professional engineering or professional surveying activities and decisions of this firm; and that I meet the requirements pursuant to Ohio Revised Code Chapter 4733 for such designation. **In addition, I understand that if a Temporary Certificate of Authorization Permit is granted, it is only valid for 90 days from the date of issuance.** Should the Board disapprove the firm's application for a Certificate of Authorization, the temporary permit shall terminate on the date of denial and the firm will cease and desist from practicing or offering engineering and/or surveying services in the state of Ohio.

REGISTRANT SIGNATURE

DATE SIGNED

NOTARY

Subscribed and sworn, or affirmed, to me this

_____ day of _____, _____.

Witness my hand and seal hereon.

NOTARY SIGNATURE

MY COMMISSION EXPIRES



Deliver your completed **Firm Affidavit of Responsibility** to:

Ohio CERTIFICATE OF AUTHORIZATION
STATE BOARD OF REGISTRATION FOR
PROFESSIONAL ENGINEERS AND SURVEYORS
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