

Michigan Department
of Transportation
4106 (06/2025)

Michigan Department of Transportation (MDOT)
SMALL BUSINESS PROGRAM
Pre-Application Checklist

Page 1 of 9

The Michigan Department of Transportation (MDOT) Small Business Program (SBP) is for firms that have the capacity and intent to perform work on MDOT transportation projects. MDOT will only consider firms for the SBP that are Small Business Enterprises (SBE) and can demonstrate that they have the capacity to perform work on MDOT construction or consulting projects as of the date of their application. Start-up firms, firms with limited experience in the field, and firms that have not received prequalification may not be considered for certification.

The following criteria is used as a tool to help your firm determine whether it should apply for certification in the MDOT SBP. **If you answer NO to any of the following questions, STOP and do not complete this application further.** Please contact the MDOT Office of Business Development (OBD) at (517) 335-1708 or at MDOT-SBP@Michigan.gov for further guidance on whether your firm should apply for certification.

Is your firm an independent business concern whose operations are not dependent on any other businesses?

YES NO

Is your firm 51% or more owned and principally controlled by an individual(s) that the sum total of the controlling owner(s) total assets (not including the applicant business) minus the sum of their liabilities is less than the \$3.41M limit for participation in the MDOT SBE?

YES NO

Is your firm a small business concern as outlined in 23 CFR Part 121 whose five-year average gross receipts, including all affiliate firms, do not exceed Small Business Administration size limits for the North American Industry Classification Codes (NAICS) in the firm's primary line of work (<https://www.sba.gov/document/support-table-size-standards>)?

YES NO

Is your firm principally located within the United States of America or its territories (US), and is it principally owned and controlled by US citizens or legal permanent residents?

YES NO

Does your firm have experience performing the kinds of work that the firm intends to perform on MDOT contracts? Typically, such experience would include performing work for at least one year, and/or the successful completion of at least one contract.

YES NO

SMALL BUSINESS PROGRAM CERTIFICATION CRITERIA AND INSTRUCTION

To participate in the Michigan Department of Transportation (MDOT) Small Business Program (SBP), participants must demonstrate, by a preponderance of documented evidence, that they are a Small Business Enterprise (SBE) and meet all of the certification criteria listed below.

A. Application and Supporting Materials:

- (1) Fill out the SBE Certification Application form in its entirety, including all applicable sections, and additional documentation MDOT does not process partial or incomplete certification applications. Partially complete applications, or applications that are missing significant documentation will be deemed not viable for processing and will be returned to the applicant.

B. Certification Procedures:

- (1) Once MDOT has determined that an application is sufficiently complete, a certification analyst will be assigned to the application for a certification review. MDOT certification analysts will review all the applicable documentation, including documentation submitted to MDOT through executed contracts, prequalification applications, and all other available materials. MDOT certification analysts may reach out to the applicant for additional documentation.
- (2) Once the MDOT certification analyst has finished a review of the documentation, they will reach out to the firm to schedule an in-person interview at a time of convenience for both parties.
- (3) MDOT analysts will conduct a compliance inspection and visit the firm's business locations and worksites and interview all owners of the firm and key personnel. MDOT will inspect the facilities, inventory, equipment, payroll, and any other factors that the analyst determines necessary to render a certification decision.
- (4) MDOT will make reasonable efforts to process SBP applications within (45) days of the receipt of a completed application.

C. Investigation Cooperation:

- (1) Firms must agree to cooperate fully with MDOT's investigation of their eligibility for certification as an MDOT SBE. MDOT will work with firms to establish reasonable expectations and deadlines for the submittal of required documentation; however, failure to adequately respond to requests for documentation or additional information may result in an application being deemed not viable for processing or a certification denial.
- (2) Applicant firms must notify MDOT in writing within 30 days of the material change of any circumstances that may affect a firm's certification eligibility. Failure to provide MDOT with written notice of a relevant material change may result in the denial or decertification/revocation of a firm's eligibility in the MDOT SBE.

- (3) If a firm participates on an MDOT contract as an SBE, the firm must strictly adhere to all requirements by the SBP special provision.
- (4) In order to remain eligible for continued participation in the MDOT SBE once certified, firms must submit to MDOT a Statement of Eligibility and Qualifications with the firm's most recent business income tax returns.

D. Certification Eligibility:

- (1) The business must be a for-profit principally located within the United States.
- (2) The applicant firm must be 51% or more owned and principally controlled by US citizens or legal permanent US residents.
- (3) The applicant firm's five-year average gross receipts, including affiliates, cannot exceed the current size standards for participation in the Small Business Administration (SBA) Small Business Program outlined in 13 CFR Part 121 in any of the North American Industry Classification System (NAICS) codes awarded.
- (4) MDOT will only certify firms that have demonstrated experience performing work within NAICS codes that are directly related to the kinds of work MDOT regularly utilizes on contracts. MDOT will not issue SBE certifications to aspirational businesses, business plans, or start-up firms who have not performed any work at the time of application.
- (5) Applicants must establish that they are fully independently owned and operated. MDOT will closely review a firms' personnel, management, financials, business relationships, and agreements – whether written or otherwise – to determine whether there is good cause to believe the firm may not be independent of other firms that have a vested interest in MDOT contracts.
- (6) Applicants must be 51% or more owned by individuals who can demonstrate that the sum total of their personal assets minus the sum total of their overall liabilities (an individual's personal total equity) does not exceed \$3.41M. The calculation will not include the value of the assets that are owned by the applicant firm

Section 1: CERTIFICATION INFORMATION**Basic Contact Information:**

Legal business name. It must match the wording provided in the business profile registered with the Michigan Department of Licensing and Regulatory Affairs Corporations Division (LARA)			
Other business names (must have a "Doing Business As" filed in LARA)			
Phone Number		Other Phone Number	
Fax Number			
Street Address (not PO Box) *		City	State
Zip Code			
* Please provide MDOT with the address where your firm primarily conducts its business activities, even if it's a home office or temporary location. This address cannot be a PO Box.			
Mailing Address *		City	State
Zip Code			
Federal Employer Identification Number (FEIN)			

Section 2: BUSINESS INFORMATION**Business Description:**

Please provide a detailed overview of your firm's main business activities, including descriptions of any additional services or activities offered. Feel free to attach additional sheets to this page if necessary			
North American Industry Classification System Codes (NAICS) use this list to determine which codes apply to the applicant firm and list them below:			
Date that this business was established			
Type of Legal Business Structure:			
Sole Proprietorship	S – Corporation	Limited Liability Company	
Limited Liability Partnership	C – Corporation	Other (describe):	
Number of employees and contracted workers			
Full-time:	Part-Time:	Seasonal:	Total Employees:
Number of annual contracted employees (1099 workers):			

MDOT Prequalification:

Is the firm currently prequalified with MDOT? YES NO

Please provide the MDOT prequalification codes held by the firm as of this application date:

Specify the firm's gross receipts for the last five years for the applicant firm **and all affiliates*** (firms are required to submit corresponding business income tax returns to verify these figures as additional documents). The gross receipts figure can typically be found on the first page of a firm's business income tax filings, or on the firm's Schedule C if the firm files under the owners' personal income tax returns (1040).

* MDOT uses the Small Business Administration definitions of affiliation outlined in 23 CFR Part 121 which states: *Concerns and entities are affiliates of each other when one controls or has the power to control the other, or a third party or parties controls or has the power to control both. It does not matter whether control is exercised, so long as the power to control exists.* **Note:** firms do not need to be engaged in business activity with the applicant firm, nor do they have to be in a related industry to qualify as an affiliate.

Year	Gross Receipts of Applicant Firm	Gross Receipts of ALL Affiliate Firm
Year	Gross Receipts of Applicant Firm	Gross Receipts of ALL Affiliate Firm
Year	Gross Receipts of Applicant Firm	Gross Receipts of ALL Affiliate Firm
Year	Gross Receipts of Applicant Firm	Gross Receipts of ALL Affiliate Firm
Year	Gross Receipts of Applicant Firm	Gross Receipts of ALL Affiliate Firm

Section 3: OWNER INFORMATION

Majority owner information - for individuals whose ownership is essential for certification. (attach additional pages if needed).

Full name		Title	
Home Address (cannot be PO Box)	City	State	Zip Code

Demographics:

a. Gender: Female Male Other:

b. Group Membership (Check all that apply):

Asian (not including sub-continent Asian)

Black

Latino/Latina

Native American

Native Hawaiian or Pacific Islander

Sub-Continent Asian

White

Other:

Residency Status: US Citizen Lawfully Admitted Permanent US Resident		
Number of years as owner	Percentage owned %	Class of stock (if applicable)
Date you bought or started the firm:		
How did you buy the firm?		
<p>Started the business myself</p> <p>Purchased interest from:</p> <p>Received it as a gift</p> <p>Inherited it from:</p> <p>Other:</p>		

Other Owner Information:

In the space provided, please list all the other owners of the firm.

NAME	TITLE	DATE ACQUIRED	INVESTMENT (\$USD)

Section 4: BUSINESS OPERATIONS**Officers and Board of Directors:**

	NAME	TITLE	DATE APPOINTED
Officers of the Company (President, VP, Secretary, Managing Member, Investors, etc.)			
Board of Directors			

Equipment and Vehicles:

In the space below, list every significant piece of equipment owned by the company. Include all equipment that is now under exclusive lease and that the company or its owners individually own, use, and plan to utilize on MDOT contracts. (use additional sheets if necessary).

Only include significant equipment (trucks, loaders, back-hoes etc.). Do not include hand tools, or office equipment:

MAKE AND MODEL	OWNED OR LEASED	STORAGE LOCATION

Real Estate:

In the space below, list every location where the firm conducts business. Be sure to include all office locations including in-home offices, and all locations where equipment and inventory are stored including rental spaces (use additional sheets if necessary).

PRINCIPAL FUNCTION OF THIS LOCATION (OFFICE, YARD, ETC.)	ADDRESS (STREET ADDRESS, CITY, STATE, ZIP)	OWNED OR LEASED?

Financial:

Company debts and loans: in the space below, please list all of the debts that the company currently owes, including financial institution name, name of the loan guarantor, original loan amount and current balance, and the purpose of the loan (note: this includes any finance agreements made for the acquisition of significant construction equipment, vehicles, and property). Be sure to include any loans made by owners/officers of the company to the firm. MDOT may request copies of loan agreements if needed.

NAME OF THE SOURCE	NAME OF THE GUARANTOR	ORIGINAL AMOUNT	CURRENT BALANCE	PURPOSE OF THE LOAN

Section 5: INDIVIDUAL TOTAL NET EQUITY

As of date:

This form is to be completed by all individuals for whom certification is based. Attach additional pages if necessary. Please ensure the numbers provided below accurately represent the applicant owners' equity; do not provide rough estimates. MDOT investigators must conduct due diligence regarding this form and the information contained within it, and they may ask for documentation that verifies the values listed below. (bank statements, mortgage statements etc.).

* DO NOT INCLUDE the value of your ownership interest in the firm seeking certification, or any assets that are owned by the firm seeking certification.

Name			
Address, City, State, and Zip Code			
ASSETS	(OMIT CENTS)	LIABILITIES	(OMIT CENTS)
Cash and Cash Equivalents (checking and savings accounts, CDs etc.)		Mortgages on Real Estate	
Investment Accounts and Individual Securities		Other Liabilities over \$100k	
Value of Your Ownership Interest in Real Estate,			
Personal Property and Other Assets (over \$100,000)			
Ownership in Other Businesses			
Life Insurance (Cash Surrender Value)			
Assets Held in Trust			
Total Assets:		Total Liabilities:	

Individual Total Net Equity:

This form must be completed by the majority of owners of the firm on which certification is based. This statement may be signed with an ink pen, or digital signature software, and submitted to MDOT digitally. Attach additional pages to this document as necessary.

I have read and understood all the questions and instructions in this application. I confirm that the information provided by MDOT is correct to the best of my knowledge.

requests for more documents and information, participate in interviews about my firm's eligibility, and allow MDOT to review my firm's financial records, current and past worksites, offices, payroll, equipment, legal agreements, and any other relevant documents. MDOT may also interview key personnel if needed for the investigation.

I agree to notify MDOT in writing within 30 days of any important changes that could affect my firm's eligibility as an SBE. These changes may include, but are not limited to, selling part or all of the firm, adding or removing owners, changing the majority ownership, losing or reducing prequalification, being disbarred or suspended from MDOT contracts.

[illegible]

Section 7: SUPPORTING DOCUMENTATION CHECKLIST

The following forms are required for all applicants of the MDOT SBP. Failure to submit any documentation listed below may result in your firm's application being deemed "ineligible" for processing and will be returned to the applicant. If your firm cannot reasonably produce any of the documentation listed below (i.e. newer firms may not have five years of business income tax returns), submit a statement signed by the owner.

REQUIRED FOR ALL APPLICANTS:

- Resume from the principal owner of the firm. Resumes must include the name and dates of the owner's previous experience and their roles in those firms.
 - Personal federal income tax returns, including all schedules and statements for each individual by which certification is based for the most recent* 3-year period.
 - Federal business income tax returns, including all schedules and statements for the applicant firm for the most recent* 5-year period.
 - Federal business income tax returns, including all schedules and statements for each affiliate** firm for the most recent* 5-year period.
 - Copies of professional licensures, builder's licensures, and all other licensures required to perform the kind of work the firm seeks certification in (trucking firms must include all CDL drivers' licensures)
 - Proof of legal use of all real estate and property (deed/mortgage agreements for owned property, lease/rental agreement for leased).
 - Documented proof of transfer of ownership interest and all supporting documentation, appendixes, and additional documentation.
 - Copy of the firm's most recent prequalification decision letter(s) where applicable.
- PARTNERSHIPS, LIMITED LIABILITY CORPORATIONS (LLC), AND CORPORATIONS**
- Copy of the firm's governing documentation, including operating agreements, partnership agreements, and corporate by-laws.
 - All corporate stock certifications, membership interest transfer documentation, corporate stock/membership ledgers, or other legal documentation detailing ownership interest and transfers.
- TRUCKING FIRMS**
- Titles, registration, and proof of insurance for each commercial vehicle to be used on MDOT contracts.
- SUPPLIER FIRMS**
- Current list of the firm's inventory, including materials, quantities, and the unit of measurements for those quantities.

** Firms may submit valid business and personal income tax return extensions as long as they are not expired at the point of certification application in lieu of returns from the most recent taxable period. However, firms must submit the necessary number of complete and consecutive tax returns in order to begin processing their certification application.*

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