



Oklahoma Unified Certification

Small Business Program

Overview and Application

The Oklahoma Department of Transportation (ODOT) is launching a Small Business Program (SBP) for the benefit and growth of those firms that may not qualify as a Disadvantaged Business Enterprise (DBE), but do qualify as a small business according to the Small Business Administration size standards. This certification is applicable to firms which bid or perform work on U.S. Department of Transportation (U.S. DOT) funded projects, and applies to all U.S. DOT recipients who are members of the Oklahoma Unified Certification Program (OUCP).

A small business is one that qualifies under the criteria and size standards in Title 13, Code of Federal Regulations, part 121 ([13 CFR 121](#)). Size standards have been established based on a firm's [North American Industry Classification System \(NAICS\)](#) code. Even if a firm meets the requirements of this section it is not eligible if it (including its affiliates) has had average annual gross receipts, as defined by SBA regulations, over the firm's previous three fiscal years, in excess of \$22.41 million. This is a cap set by the U.S. Secretary of Transportation and is adjusted based upon inflation.

A small business must be:

- An independent business, whose viability does not depend on its relationship with another firm or firms.
- Only firms organized for profit may be eligible for the Small Business Program.
- In order to participate, firms must be ready, willing, and able to perform work on U.S. DOT assisted contracts.
- Firms must be established businesses with sufficient assets and resources to perform the work of their contracts.

Each firm will be evaluated to ensure its' ability to perform a commercially useful function on U.S. DOT related contracts. Firms will be certified in specific work categories, as determined by their NAICS codes.

Certification will require submitting a brief application and supporting documentation to substantiate that the firm meets the eligibility criteria. If certified, a list of firms will be maintained in the ODOT Civil Rights Division, External Programs.

NAICS Codes

A North American Industry Classification System (NAICS) code is used by small businesses for administrative, contracting, and tax purposes. The code classifies the economic sector, industry, and country of your business, according to your economic activity.

A NAICS code consists of six digits. The first two digits indicate your economic sector, the third digit is your industry subsector, the fourth digit refers to your industry group, the fifth digit refers to your industry and the sixth digit specifies an industry that is specific to the U.S., Canada, or Mexico.

Why do I need it?

Determining Business Size

One of the first steps to participate in the OUCP SBP is to accurately determine if you can qualify as a small business under SBA size standards. The program only applies to firms which participate in U.S. DOT assisted contracts. You need to select the NAICS code(s) that best describe(s) your business and then determine if the business meets the size standards for the selected NAICS code(s). SBA size standards are stated either in **number of employees** over the past 12 months or **average annual gross receipts** over the past three years, depending on your firm's NAICS code(s). Even if your firm meets SBA criteria it still must be under the USDOT cap which is currently \$22.41 million.

The steps are simple to determine your size:

1. **Find your NAICS code.** Go to the NAICS section of the [Bureau of the Census](https://www.bureauofeconomicanalysis.com/naics/) website or click on "free code search" at www.naics.com which is the NAICS code website. Identify the NAICS code(s) that best describe(s) your business activities. Also see [Identifying Industry Codes](#) for more helpful resources.
2. **Determine your Industry's size standard** using the [Table of Small Business Size Standards](#). Match your NAICS code(s) with the appropriate size standard(s).

Application Process

Complete and submit the original signed, dated, notarized Small Business Program application along with supporting documentation. The documentation required substantiating small business size and eligibility is:

1. Three years of the firm's most current federal business income tax returns.
2. Gross receipts for three years of all affiliates or subsidiaries.



SMALL BUSINESS CERTIFICATION APPLICATION

Return completed application to the address below:

Oklahoma Department of Transportation
Civil Rights Division, External Programs
200 N.E. 21st Street, Room 1-C-5
Oklahoma City, Oklahoma 73105
(405) 521-6046 Fax: (405) 522-2136

The Oklahoma Department of Transportation's (ODOT) Small Business Program (SBP) applies to firms in Oklahoma which participate in U.S. DOT assisted contracts. This certification applies to all U.S. DOT recipients who are members of the OUCP. Businesses interested in pursuing this certification must meet the U.S. Small Business Administration (SBA) size standards and submit a completed application.

INSTRUCTIONS:

- All questions must be answered and all information requested must be submitted.
- Do not leave any space blank; enter N/A for not applicable.
- If your application is not legible, complete, signed, dated, notarized and accompanied by all required documentation, it will not be processed and will be returned.
- Please submit the original signed, dated, notarized document. Duplicated forms will not be accepted.
- For assistance, call the above number.

1. NAME AND ADDRESS (Company Name – Mailing Address – Street Address (if different) – City – State – Zip code):

Email Address _____
Telephone: (____) _____
Fax: (____) _____

2. PRIMARY OWNER (X appropriate box):

CITIZENSHIP:

- ☐ U.S. Citizen
☐ Lawfully Admitted Permanent Resident
☐ Other (explain): _____

(OPTIONAL: For Statistical Purposes Only)

- | | | |
|---|---|---------------------------------|
| <input type="checkbox"/> African-American | <input type="checkbox"/> Alaskan Native | GENDER |
| <input type="checkbox"/> Hispanic | <input type="checkbox"/> Asian American | <input type="checkbox"/> Male |
| <input type="checkbox"/> Native American | <input type="checkbox"/> Asian Pacific | <input type="checkbox"/> Female |
| <input type="checkbox"/> Non-Designated Group | | |

3. PRIMARY OWNER (Name – Title – Telephone – Fax):

4. BUSINESS STRUCTURE: Date Established _____
☐ Sole Proprietorship ☐ Corporation
☐ Limited Liability Partnership ☐ Partnership
☐ Limited Liability Corporation

5. OWNERSHIP (Provide information for all owners). For Additional space, attach a continuation sheet in the format below:

Name (First, MI, Last)	Title	% of Ownership
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_____	_____	_____
_____	_____	_____
_____	_____	_____

6. GROSS RECEIPTS AND EMPLOYMENT LEVELS: Beginning with the most recent year in which the business filed a federal income tax return with the Internal Revenue Service (IRS) and going back three previous years, provide the gross receipts figures as they were reported on the federal income tax returns. Also, provide the total number of employees that were reported at least once on the business federal and state employer's quarterly reports for each of the respective tax filing reporting periods. Attach copies of three years of the firm's most current federal income tax returns.

GROSS RECEIPTS	# EMPLOYEES	TAX FILING YEAR	GROSS RECEIPTS	# EMPLOYEES	TAX FILING YEAR
(1) _____	_____	_____	(3) _____	_____	_____
(2) _____	_____	_____	(4) _____	_____	_____

Business size will be determined by the Business Activity and Service listed on your firm's tax return, Schedule C or Schedule K.

7. DOES YOUR COMPANY OWN MAJOR EQUIPMENT?

☐ YES ☐ NO

DOES YOUR COMPANY HAVE LEASED EQUIPMENT?

☐ YES ☐ NO

List owned/leased equipment on separate sheet, by type and Quantity.

8. PAYEE IDENTIFICATION NUMBER: List the Federal Identification Number assigned to the business for tax filing purposes.

9. List Any Affiliates or Subsidiaries:

10. LIST FIRM'S NAICS CODE(S):

11. LIST THE THREE (3) LARGEST CONTRACTS THAT YOUR FIRM HAS RECEIVED:

<u>CONTRACT</u>	<u>AMOUNT</u>	<u>CONTACT PERSON</u>	<u>PHONE NUMBER</u>	<u>TYPE OF WORK</u>	<u>DATE</u>

12. NATURE OF BUSINESS: Check the type of work your business performs. Should your firm's type not be listed below, indicate service provided and percent of dollar value.

- ☐ **Asphalt** - includes seal coats and surface treatments, limestone rock asphalt, cold- mix asphaltic concrete pavement, hot mix asphaltic concrete pavement, milling, etc.
- ☐ **Concrete Paving and Incidentals** - includes jointed concrete pavement and continuously reinforced concrete pavement.
- ☐ **Earthwork, Base and Subbase** - includes preparing ROW, clearing, removing old concrete, roadway and channel excavation, embankments, subbase courses, base courses, etc.
- ☐ **Fencing** - includes wire, chain link and metal beam guard fence, metal bridge railing, etc.
- ☐ **Hauling** - includes hauling of base material, gravel, sand, hot mix, etc.
- ☐ **Illumination** - includes placement of conduit and wire, poles, roadway and bridge lights, airfield lighting, etc.
- ☐ **Landscaping** - includes roadside planting, erosion control, sodding, seeding, etc., along roadway or airfield pavements.
- ☐ **Major Structures** - includes structural excavation, drill shafts, piling, concrete for columns, bents, abutments, slabs, structural steel, rebar, etc.
- ☐ **Material Suppliers** - suppliers of construction materials kept in inventory for public sale (60% credit). Manufacturers and suppliers (100% credit).
- ☐ **Minor Structures and Miscellaneous Concrete** - includes CGM and RC pipe, inlets, manholes, sewers, box culverts, sidewalks, driveways, riprap, curb and gutter, concrete bridge railing, concrete median barrier, etc.
- ☐ **Painting** - includes painting of structural steel and concrete structures.
- ☐ **Professional Services** - includes engineers, architects, surveyors, accountants, planners, inspection services, research, translation, etc.
- ☐ **Rest Areas** - includes steel, masonry or wood fabrication and erection, electrical wiring, plumbing, etc.
- ☐ **Traffic Control Devices** - includes traffic signals, signs, barricades, pavement markers, buttons, edge lines, striping, for roadway or airfield, etc.
- ☐ **Underground and Utility Work** - includes PVC pipe, underground conduit, utility telephone lines, water lines, etc.
- ☐ **Transit or Other** specify: _____

AFFIDAVIT OF ELIGIBILITY

This form must be signed and notarized for each owner

I, _____ (full name printed), swear or affirm under penalty of law that I am _____ (title) of applicant firm _____ (firm name) that I have read and understood all of the questions in this application and that all of the foregoing information and statements submitted in this application and its attachments and supporting documents are true and correct to the best of my knowledge, and that all responses to the questions are full and complete, omitting no material information. The responses include all material information necessary to fully and accurately identify and explain the operations, capabilities and pertinent history of the named firm as well as the ownership, control, and affiliations thereof.

A material or false statement or omission made in connection with this application is sufficient cause for denial of certification, revocation of a prior approval, initiation of suspension or debarment proceedings, and may subject the person and/or entity making the false statement to any and all civil and criminal penalties available pursuant to applicable Federal and State law.

Printed Name of Majority Small Business Owner(s)

Signature of Majority Small Business Owner(s)

Printed Name of Majority Small Business Owner(s)

Signature of Majority Small Business Owner(s)

Subscribed and sworn to me the undersigned notary public on this _____ day of _____, _____, at _____
(city and state)

(seal)

My Commission Expires

Notary Public

My Commission Number