

MODOT DBE INTERSTATE CERTIFICATION CHECKLIST

Applicant Firm from State A must provide the following information:

- ☐ **Complete copy of application form, all supporting documents, and any other information that was submitted to State A or any other State related to firm's certification.**

Includes, but is not limited to:

- Original application with all supporting documentation submitted to State A
- Affidavits of no change
- Any notices of change that have been submitted to State A
- Any correspondence with State A's UCP or any other recipient concerning the firm's application or status as a DBE firm.

- ☐ **Notices or correspondence from states other than State A relating to status as a DBE applicant or DBE certification in those states.**

Examples:

- Certification denials
- Decertification actions

- ☐ **Disclosure of any DOT certification appeals with copy of the letter of appeal and DOT's response.**

- ☐ **An affidavit sworn by the firm's owners or an unsworn declaration executed under penalty of perjury of the laws of the United States.**

Affidavit must adhere to the following:

- a. Affidavit must affirm that firm has submitted all the information required by 49 CFR 26.85(c) and the information is complete and, in the case of the information required by 26.85 (c)(1), is an identical copy of the information submitted to State A.
- b. If the on-site report from State A supporting firm's DBE certification in State A is more than three years old, as of the date of firm's application to State B the affidavit also affirms that the facts in the on-site report remain true and correct.

For questions or to submit an application:

Phone: (573)526-2978
Email: DBE@modot.mo.gov
Fax: (573)526-0558
1617 Missouri Blvd. PO Box 270
Jefferson City, MO 65102



Our mission is to provide a world-class transportation system that is safe, innovative, reliable and dedicated to a prosperous Missouri.

www.modot.org

UNIFORM CERTIFICATION APPLICATION SUPPORTING DOCUMENTS CHECKLIST



In order to complete your application for DBE or ACDBE certification, you must attach copies of all of the following REQUIRED documents. A failure to supply any information requested by the UCP may result in your firm denied DBE/ACDBE certification.

Required Documents for All Applicants

- ☐ 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 who the applicant firm relies upon to satisfy the Regulation's 51% ownership requirement.
- ☐ 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 decertification's, 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 director's 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)

Optional Documents to Be Provided on Request

The certifying agency to which you are applying may require the submission of the following documents. If requested to provide these document, you must supply them with your application or at the on-site visit.

- ☐ Proof of citizenship
- ☐ Insurance agreements for each truck owned or operated by your firm
- ☐ Audited financial statements (if available)
- ☐ 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