Certification Made Easy

A “How to” Guide on the New York State MWBE Certification Application
Welcome!

In fiscal year 2013-14, the State of New York’s Division of Minority and Women’s Business Development set a new record for MWBE utilization in state contracting - over 25% of all State spending - representing a total of nearly $2 billion in contracts to certified MWBEs! Recently, Governor Cuomo set a goal of 30% utilization, the highest in the United States, designed to continue this momentum. This Division aims to meet or exceed this goal, through the continued promotion of equality of economic opportunities for MWBEs and the elimination of barriers to their participation in New York State contracts.

The first step to be considered for these MWBE procurement opportunities with the State of New York is to submit a **NEW Application**.

“Certification Made Easy” is designed to help minority and/or women-owned businesses with the online certification process. There are navigation buttons on the bottom right hand-side on each slide to make it easier to access each section. Our staff are also available to assist with questions on navigation or certification.

We look forward to welcoming you as a New York State MWBE certified business!

Lourdes Zapata
Executive Director
Division of Minority & Women’s Business Development
Benefits of the NYS MWBE Certification

• Listed on the NYS Statewide MWBE Certification Directory.

• Access to MWBE procurement and/or contracting opportunities with NYS Agencies and Authorities.

• Receive customized alerts for upcoming procurement opportunities. (NYS Contract Reporter)

• Access to statewide network of services and support for MWBEs: invitations for business development workshops, webinars, classes and customized technical assistance.

• Access to lending and bonding programs exclusively for certified MWBEs.
Eligibility Requirements

Under Article 15-A of the Executive Law, any for-profit firm that is at least fifty-one percent (51%) owned, operated and controlled by citizens or permanent resident aliens who are either a woman and/or minority is eligible for certification.

List of minority groups who are eligible for certification:

- Black persons having origins from any of the Black African racial groups.
- Hispanic persons of Mexican, Puerto Rican, Dominican, Cuban, Central or South American descent of either Native American or Latin American origin, regardless of race.
- Asian-Pacific persons having origins from the Far East, Southeast Asia or the Pacific Islands.
- Asian-Indian subcontinent persons having origins from the Indian subcontinent.
- Native American persons having origins in any of the original peoples of North America.
An MWBE applicant must successfully demonstrate the following:

- **Ownership, Operation and Control**: All firms seeking MBE, WBE or MWBE certification must be independently owned, operated and controlled by minority and/or women members. The ownership must be real, substantial and continuing, and the minority and/or women members must exercise the authority to independently control the day-to-day business decisions.

- **Personal Net Worth (PNW) Restriction**: Each minority or woman owner upon whom certification is based, cannot have a personal net worth exceeding $3.5 million after allowable deductions.

- **Small Business Restriction**: The firm cannot exceed 300 employees.

- **Independent, Active and In Business One Year**: The firm must operate independently of other firms, must demonstrate business activity and, generally, the business is required to be in operation for at least one year.

- **Out of State Applicants**: Firm to be currently certified as a MWBE in their home state, should a similar process exists, and before applying for MWBE certification firm must be registered and authorized to conduct business in the state of New York and have a presence in New York.
Getting started....

New York State Contract System
ny.newnycontracts.com
3 Interrelated **BUT NOT** Interconnected Accounts

Three (3) Accounts/Profiles
(Each requiring its own separate ACTION)

- New York State Contract System Vendor Profile
- New York State Contract System Certification Application
- New York State Contract Reporter
Accessing NYSCS - ny.newnycontracts.com

Click on “Apply for Certification”
Accessing NYSCS - ny.newnycontracts.com

Creating a Vendor Profile – Option 1
Create Account

Once all information is entered you will see a summary of your business information. Check the box that says “I would like to create an account in this system” and click “Next”
Making the most of a Vendor Profile

• Why is a Vendor Profile important?
  – Acts as an electronic business card
  – Accessible to other firms and state agencies
  – May lead to potential business opportunities

• Be sure to keep business information current!

• Any business can have a Vendor Profile regardless of certification status.

• The Vendor Profile is not the same as the certification application.
3 Interrelated **BUT NOT** Interconnected Accounts

Three (3) Accounts/Profiles
(Each requiring its own separate ACTION)

- New York State Contract System Vendor Profile
- New York State Contract System Certification Application
- New York State Contract Reporter
Three Clicks To Launch New Application

Certification Application: Available Applications

New York State MWBE Certification Program

Welcome to the online certification application for New York State! You can electronically apply for the following certifications:

• New MWBE applicants
• Fast Track certifications for firms already hold a DBE, 8(a) or certain other MWBE certifications
• Recertification for current NYS certified MWBEs

To find out if you qualify, click below:

View Qualifications for New York State MWBE Certification

If you do not meet the qualifications, DO NOT CONTINUE. For guidance, please call (212) 803-2414 between the hours of 9:00 am and 5:00 pm Eastern Standard Time or email MWBEcertification@esd.ny.gov.

If you do qualify, please continue to the next section and click the option that fits your situation.

Select an Option

- You have been revoked, denied, or instructed to submit a new application.
- You would like to update your certification profile or report a change.
- Your firm has been or is currently certified by New York State.

Your firm has never been certified by New York State.

Return to Certification List
Three Clicks To Launch New Application

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You would like to update your certification profile or report a change.

Your firm has been or is currently certified by New York State.

Your firm has never been certified by New York State.

Your firm is based in New York State and is currently certified as an MBE and/or WBE by one or the entities listed below:


Your firm is certified as a Disadvantaged Business Enterprise (DBE) in the U.S. DOT program from anywhere in the country.

Your firm is certified as a Federal 8(a) Disadvantaged Business with U.S. Small Business Administration.

Your firm is not certified by any of the New York agencies listed above, is not a DBE and is not Federal 8(a) firm.

Return to Certification List

“FAST TRACK” if firm has any of the listed certifications
Three Clicks To Launch New Application

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- You would like to update your certification profile or report a change.
- Your firm has been or is currently certified by New York State.
- Your firm has never been certified by New York State.
- Your firm is based in New York State and is currently certified as an MBE and/or WBE by one of the entities listed below:
- Your firm is certified as a Disadvantaged Business Enterprise (DBE) in the U.S. DOT program from anywhere in the country.
- Your firm is certified as a Federal 8(a) Disadvantaged Business with U.S. Small Business Administration.
- Your firm is not certified by any of the New York agencies listed above, is not a DBE, and is not Federal 8(a) firm.

Submit a new MWBE application.

3rd Click – “NEW APPLICATION”
FAST TRACK Application

- New York State based firms certified by:
  - County of Erie and City of Buffalo, Joint Certification Committee *
  - New York City Department of Small Business Services* (as a M and/or W)
  - The Port Authority of New York & New Jersey
  - New York & New Jersey Minority Supplier Development Council, Inc.
  - Upstate New York Regional Minority Purchasing Council, Inc.
  - Women President’s Education Organization

- Certified as a Disadvantaged Business Entity with any Federally funded transportation agency in the U.S.

- Certified as Federal 8(a) Disadvantaged Business with U.S. Small Business Administration

The above certifications must be current and have more than three (3) remaining months before expiration to be eligible for FAST TRACK Application.

*Note: Participating certification program may have geographic restrictions.
Pre-Screening Check List
Document List - Mandatory & Required

Document list will vary depending on business structure & application type

Print or Save the list of mandatory & required documents

Download, Print and Complete these documents

Certification Application

In addition to completing an application form, you will be required to submit supporting documents with your application. These documents can be submitted in electronic or hardcopy format, but must be all of the same format (e.g., all electronic or all hardcopy). Applications and documentation submitted electronically are reviewed faster. Processing of applications submitted with hardcopy documentation cannot begin until the documents are received by the organization.

Mandatory documents must be submitted with your application; there are no exceptions. Required documents must be submitted if applicable to the type of your firm and nature of its work. If you have any questions, please contact us before starting.

Review the items below before beginning the process to ensure you are able to and are comfortable providing the required information. If you are unable or unwilling to provide the Mandatory documents, do not proceed. Failure to submit the attachments without an explanation will result in a delay in processing and your firm could ultimately be denied certified.

This document list will continue to be available after you start the certification application (click the Documents tab). You can also print the list to your printer or as a PDF file.

Mandatory Documents

All mandatory documents must be provided with the application. Failure to submit a mandatory document will result in a delay in processing and/or could result in denial.

For proof of U.S. Citizenship: Birth Certificate, U.S. Passport, Naturalization Certificate, etc. For proof of permanent resident alien status: permanent resident “green” card. Show home address and telephone number, all education, training, and employment history with dates. Provide proof of ownership of the space or home (with a Deed or mortgage agreement) or proof of agreement made for rent to exchange for the space the business occupies. If you do not have a formal lease, provide a statement that you do not have a lease or agreement. If you pay rent but do not have a current lease, in lieu of a lease or agreement, provide 6 months of rent payments in the

Download, Print and Complete these documents
Document List - Mandatory & Required

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Document List - Mandatory & Required

Addendums “One-Stop” Certification Application
“One-Stop” Certification Application (only available to New Applicants)

- Upon Certification – Addendum(s) allow us to share application
- The Port Authority of New York & New Jersey
  - County of Erie and City of Buffalo, Joint Certification Committee*
  - New York City Department of Small Business Services* (as a M and/or W)

*Note: Participating certification program have geographic restrictions.
Certification Application - Main Summary

In 90 days, if the application is not submitted – it will be deleted. This deadline can also be EXTENDED!

Applications are DELETED on the date listed and cannot be recovered.
Extending The Deadline

Click “OK” to EXTEND the deadline by ONE WEEK. This can be done as many times as you like!
Certification Application - Company Profile

Company Profile – Click “Process” and begin
Company Profile

Fill in the required information. When completed, click “Save & Return” to return to the MAIN SUMMARY page.

Notes what is completed and what is incomplete.
Company Profile Completed

Green Check Mark – Section Completed!

Attaching & Uploading Documents
Supporting Documents - Electronic or Paper

Submitting Electronic/Fax documents will result in a FASTER processing of applications.

Mailed hardcopy documents will result in SLOWER processing of applications.
Selecting Electronic/Fax Format

Select “OK” for Electronic/Fax Format Submission
Select "Attach"
“Choose File” is the same process as attaching a file to an email.
**Faxing Documents**

**Certification Application: Document List**

- **State of New York**
- **Note:** Some documents are required due to the nature of your firm. Failure to submit the attachments without an explanation as to why any such attachment was not provided will result in a delay in processing and could result in denial.

**Instructions for attaching files:** Click here to show

- **Note:** This application allows faxing of documents to the system. To use this option, click the ‘Attach All Docs Via Fax’ button below or any individual fax link to display and print a fax cover page. Additional instructions will be included in the cover page.

All copies of contracts, agreements, and other documents requiring a signature to be valid must be submitted in their signed form.

Please note that as a condition of your application for certification, you are required to maintain in your office the original documents provided. New York State will review these original documents, including the signed and notarized certification affidavit, during the site visit, if applicable. Furthermore, New York State reserves the right to inspect in person and/or request original documents by mail of any supporting document at any time during the term of certification.

**Status**

- **Document List Status:** Incomplete: 0 attached of 13 mandatory, 0 attached of 24 required.

- **Document Format:** Electronic documents only. This document checkbox is used to securely and confidentially attach electronic files to the application.

**Mandatory Documents**

- **Document Name:** Certification Application Notarization (New Application)
  - **Download:** Download, print, sign, notarize and provide.
  - **Description:** Affiliate with your application.

- **Document Name:** Personal Not Worth Affidavit, Attachment A for each minority or women owned which certification is based
  - **Download:** Download, print, correct, sign, date, and notarize the provided form.

- **Document Name:** Current year Business Financial Statements: Including Year-To-Date Balance Sheet and Profit & Loss Statement
  - **Download:** Copies submitted must be true and correct copies of the original business tax returns as submitted to the IRS and any other applicable entities.

- **Document Name:** Most recent two (2) years of Federal and State PERSONAL Tax returns: Including all schedules, W2a, statements and amendments for each minority or women owned which certification is based
  - **Download:** Copies submitted must be true and correct copies of the original personal tax returns as submitted to the IRS and any other applicable entities.

- **Document Name:** Bank signature card or letter from bank identifying persons authorized to conduct transactions, need of

**Select “Fax”**
Each time “Fax” is selected, a new fax coversheet will be generated. Applicant must place coversheet on corresponding document.
“Lock-In” Required Documents

Step 1 – After all required documents have been attached, faxed or “Marked as Not Applicable”, select “LOCK IN” to complete this section.

Step 2 - Select “OK”
Return to Main Page

Click on MAIN tab or the RETURN button to go back to main application page.
Taking a Break from Your Application
Returning to My Application
ny.newnycontracts.com
Returning to Application - 1st Page

Select “Continue”
Returning to Application- 2nd Page

Click this hyperlink
Returning to Application-3rd Page

Click “Process”
CONGRATULATIONS!!!
All that is left is to sign & submit your application

Click “Sign”
Signing Application

Certificate Application: Sign Application

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to submit this application for certification on behalf of the applicant firm, and (2) warrants that all documents, information, and statements contained in, attached to, or included with this application are true, accurate and complete as of the date furnished to the State. Submission of this form constitutes making the oath associated with notarization.

You authorize the State of New York or appointed designee to verify the accuracy of the statements contained within your application and supporting documentation to determine whether your firm meets the eligibility standards of the certification program.

* required entry

Electronic Signature

Signature *
(type your full, legal name)

Your Title *
Director

Your Organization *
Certification Made Easy

Today's Date *
4/7/2014 (mm/dd/yyyy)

By electronically signing this certification application, I hereby attest that the information contained herein and attached in electronic format is accurate and correctly represents the business, its owners, and its management.

Fill in your Name
Disclosure statement
Sign Application
Submit Application

Certification Application: Submit Application

Submit Your Application

State of New York

If you are ready to submit your application, check the box below and click Submit Application. Once submitted, the application cannot be edited.

By submitting this certification application, I acknowledge individually, and on behalf of the applicant business, the policies, rules, and requirements of the program.

View Your Application

Edit Your Application

NOTE: After firm clicks “Submit Application” - application goes through intake process to check for completeness before it is “RECEIVED” by the Division of Minority & Women’s Business Development

Review, and Print Application

Edit Application

When application is SUBMITTED – no changes can be made to the application
Common Documentation Shortfalls

- No proof of capital contribution
  - Equipment (purchase receipts)
  - Capital (Initial bank statements, copy of check/money order)
  - Expertise (resume reflecting experience/role in business)
- Financial Statement (Accountant not needed!)
- Current signed lease/deed
  - Home based businesses are not exempt from this requirement.
  - Suppliers need to provide proof of warehouse location and an inventory list.
Common Documentation Shortfalls

• Corporate documents necessary (specific to business structure)
• Proof of race/ethnicity
  – Providing birth/death certificates of parents/grandparents if necessary
• Personal Net Worth Statement
  – Must be filled out even if negative
• Business vehicle registrations
• Certificate of Publication
  – Specific to LLCs
  – Even Out of State firms must get a C.O.P
3 Interrelated *BUT NOT* Interconnected Accounts

Three (3) Accounts/Profiles
(Each requiring its own separate ACTION)

- New York State Contract System *(updating)* Vendor Profile
- New York State Contract System Certification Application
- New York State Contract Reporter
NYS Contract System Vendor Profile

Select “Profile Setup”
NYS Contract System Vendor Profile

Fill in the required information. When completed, click “Save” to return to the MAIN SUMMARY page.
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  (Each requiring its own separate ACTION)

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- New York State Contract Reporter
NYS Contract Reporter

www.nyscr.ny.gov
Utilizing the NYS Contract Reporter

• Create a FREE username/password
• Primes/ NYS Agencies & Authorities advertise opportunities on the NYSCR
• Search for Procurement Opportunities
  – Contract size, location, agency, industry, etc.
• Receive customize alerts based on preferences
• Join the NYS Business Registry for FREE
Avoiding Common Application Pitfalls

• Do not mail documents before submitting your application.
• Scan and label documents according to the document list!
• When uploading electronically- attach the correct documents for each sections.
• Sign and notarize where applicable.
• Respond in a timely manner to requests for information/documentation.
• If your business requires a license, submit a copy of the license.
Additional Assistance

MWBE HELP DESK
212.803.2414 or 855.373.4692
MWBEcertification@esd.ny.gov