



**Division of Minority
and Women's
Business Development**

Certification Made Easy

A “How to” Guide on the NYS MWBE Certification Application Process

A Division of Empire State Development

5/22/2020

Division of Minority & Women's Business Development



Division of Minority and Women's Business
Development

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<https://esd.ny.gov/doing-business-ny/mwbe>

Welcome!

In 2014, Governor Cuomo set a 30% MWBE utilization goal in State contracting opportunities. In fiscal year 2018-19, the utilization rate for Minority and Women-Owned Business Enterprises (MWBEs) participating in State contracts increased to 29.13% - the highest in the nation - with MWBEs winning nearly \$3 billion in State contracts!

Our Division aims to continue to meet or exceed this goal through the promotion of equality of economic opportunities for MWBEs and the elimination of barriers to their participation in New York State contracts.

This **"Certification Made Easy"** presentation is designed to aid MWBEs in how to best approach the NYS MWBE certification application process.

As always, we look forward to continuing to welcome MWBEs as a New York State certified business!

Nicole Stent
Acting Executive Director
Division of Minority and Women's Business Development



Division of Minority
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Business Development

Division of Minority and Women's Business Development (DMWBBD)

Mission: To promote equality of economic opportunities for MWBEs and to eliminate barriers to their participation in state contracts.

Key Objectives:

- ✓ Encourage and assist state agencies to award a fair share of contracts to MWBEs.
- ✓ Review applications by businesses seeking certification and maintain a directory of certified MWBEs.
- ✓ Promote the business development of MWBEs through education and outreach to NYS agencies as well as MWBEs.

For more information: <https://esd.ny.gov/doing-business-ny/mwbe>



Division of Minority
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Article 15-A of the Executive Law

- ✓ Signed into law on July 19, 1988;
- ✓ Authorized the creation of an Office (now Division) of Minority and Women's Business Development;
- ✓ Aims to promote employment and business opportunities on state contracts for minorities and women;
- ✓ Under this statute, state agencies are charged with establishing employment and business participation goals for minorities and women.

Source:

<https://esd.ny.gov/mwbe/programmandate.html>



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Why should MWBEs get Certified with New York State?



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Benefits of Getting NYS MWBE Certified

- ✓ Become part of the **NYS Directory of Certified Firms** where over **8,300+** MWBE firms are listed! (New York State Contract System: <https://ny.newnycontracts.com>)
- ✓ Access to **lending** (Bridge to Success Loan Program: <https://esd.ny.gov/bridge-success-loan-program>) and **bonding programs** (NYS Surety Bond Assistance Program: <https://esd.ny.gov/new-york-state-surety-bond-assistance-program>) specific to certified MWBE firms.
- ✓ Access to **tailored MWBE procurement and/or contracting opportunities** (New York State Contract Reporter: <https://www.nyscr.ny.gov>)
- ✓ Access to statewide **network of support and services for MWBEs**: invitations to business development workshops and events, [MWBE Training Tuesdays webinars](#), and customized technical assistance. (**DMWBD's website**: <https://esd.ny.gov/doing-business-ny/mwbe>)





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NYS MWBE Certification Application Eligibility Requirements & Getting Started

NYS MWBE 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.

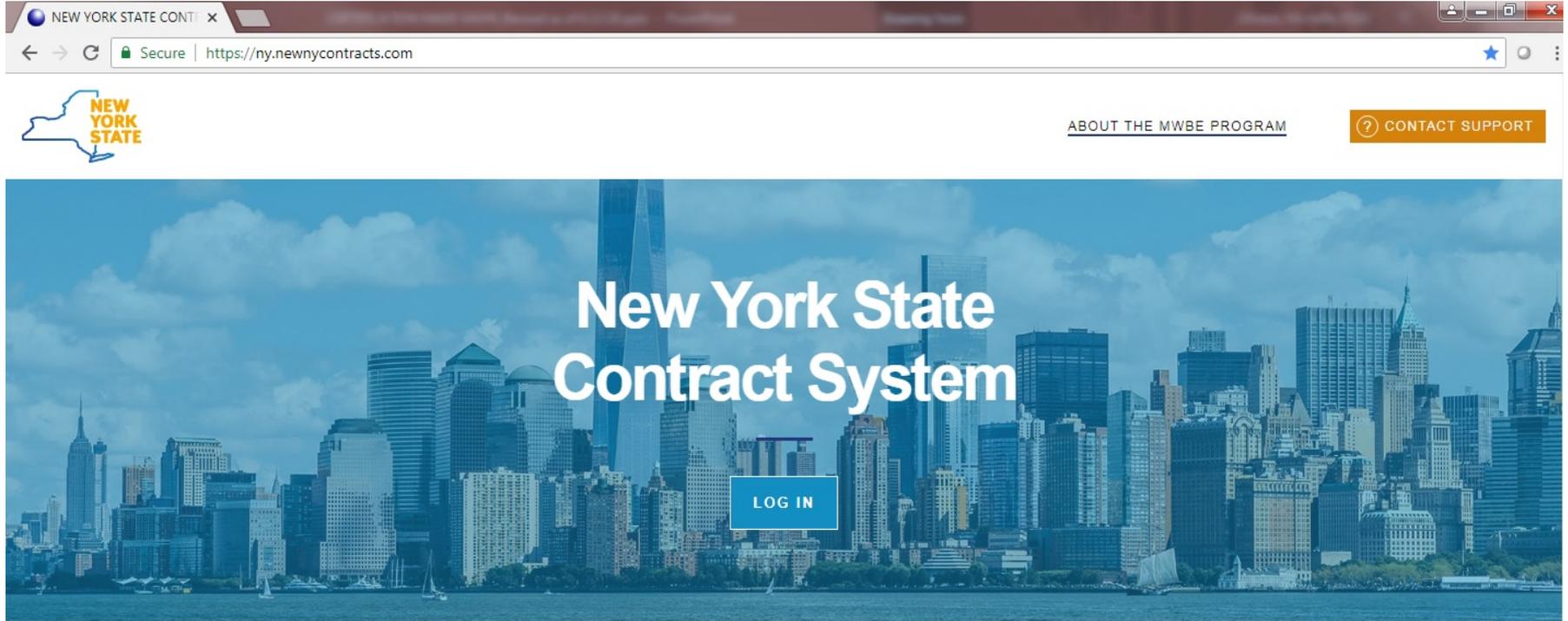


NYS MWBE Certification Requirements

- ✓ **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 \$15 million after allowable deductions. Does **not** include:
1) ownership interest in the certified MWBE firm, 2) individual's equity in his or her primary residence, & 3) up to \$750,000 of any qualified retirement savings plan.
- ✓ **Small Business Restriction:** The firm cannot exceed 300 employees (full-time or part-time).
- ✓ **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 is 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. All applicants must have the '**Authority to do Business in New York State**' from the New York State Department of State prior to submitting an application for MWBE certification.

For more information on how to become **authorized to do business in New York**, go to the [Department of State, Division of Corporations](#), call (518) 473-2492 or email: corporations@dos.state.ny.us.

Getting started...



<https://ny.newnycontracts.com/>



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New York State Contract System

LOG IN

About

New York State is working harder than ever to make this state the gateway to attract and grow Minority and Women-Owned Business Enterprises (MWBEs).

The New York State Contract System ("NYSCS") enables users to apply for NYS MWBE certification, search for NYS MWBE certified firms, and easily interact with our State agencies and authorities.

MWBE Program Information and Resources

Find additional information and resources through Empire State Development and the Division of Minority and Women's Development (DMWBD).

LEARN MORE

MWBE Certification

Apply for NYS MWBE certification or recertification in New York State, or update your vendor profile.

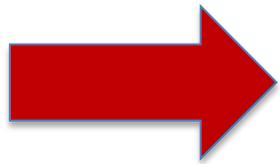
CERTIFY OR RECERTIFY WITH NEW YORK
UPDATE YOUR PROFILE

Account Access

Lookup Vendor accounts or reset user passwords

VENDOR ACCOUNT LOOKUP
FORGOT PASSWORD

System Training



NYS MWBE Certification: New Certification

New York State Contract System

Online M/WBE Certification

Welcome! Thank you for your interest in [New York State's Minority and Women's Business Enterprise \(MWBE\) Certification Program](#). MWBE certification is administered by Empire State Development's Division of Minority and Women's Business Development (DMWBD). The mission of DMWBD is to promote equality of economic opportunities for MWBEs and to eliminate barriers to their participation in State contracts.

How MWBE Certification benefits your firm:

- Your certified firm is listed in the public [Directory of Certified Minority and Women-Owned Business Enterprises](#)
- Your firm attracts new business
- Your firm can access MWBE procurement and/or contracting opportunities with NYS Agencies and Authorities.
- Your firm can access a statewide network of services and support for MWBEs: invitations for business development workshops, webinars, classes and customized technical assistance targeted to MWBEs.
- You can access lending and bonding programs created for state certified MWBEs.

For additional information on NYS MWBE Certification requirements, and for assistance, [click here](#).

If you require technical assistance while completing the application, please use our [online support form](#).

To continue, please select an option below:

Option 1 New Certification

Your firm is not currently certified with New York State and will submit a [New or Fast Track](#) application

» [Create Account](#)

Option 2 Recertification or Vendor Profile Update

Your firm is currently certified and you would like to update your profile or submit a recertification application.

If you know your username and password for this system: » [Login](#)

If you need to lookup your account: » [Lookup Account](#)

After logging in to your account, click the **Apply for Certification** link on the right side of the page or select **View > My Certifications** from the left menu.

Need Help?

[Download the user manual](#)

[Sign up for a Training Class](#)

If you wish to become certified as a Disadvantaged Business Enterprise (DBE) in the State of New York, [go to the NYSUCP Certification portal](#).



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Complete a Vendor Profile – Public Profile Set-up

- ✓ Why is a Vendor Profile important?
 - Acts as an electronic business card
 - Accessible to primes, other firms and state agencies/authorities
 - 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.





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NYS MWBE Certification Application Process

Submit NEW MWBE Certification Application

- Home
 - View »
 - Search »
 - Message »
 - Settings »
 - Help & Support »
 - Logoff
- Show All Hide All

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.](#)

[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.](#)

(New York City Small Business Services, New York City School Construction Authority, 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., The Women's President Educational Organization, Erie County & City of Buffalo Joint Certification Committee)

[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.](#)

NYS MWBE Certification: New ...

Step 1

Step 2

Return to Certification List

Certification Application- Company Profile

Certification Application: Main Summary Help & Tools

[Main](#) | [Documents](#) | [Signature](#) | [Submit](#) | [Utilities](#) | [CertList](#)

Certification Made Easy Application status: **Incomplete**
Application Type: **New Application** Application started: **4/7/2014**
Application Number: **1559035**

Fill in each of the sections noted below by clicking the Process buttons. You can complete the sections in any order, and the system will save your information as you go. Once all sections have been completed, the application will be complete and you will be able to sign and submit.

The Contact Person noted below is the only user authorized to access this application. If someone else needs access, change the contact by clicking the drop down menu or grant them access on the Utilities tab.

Need Help?
[Download Part 2 of the user manual](#)
[Sign up for a Training Class](#)

State of New York

Home
View »
Search »
Message »
Settings »
Help & Support »
Logout
[Show All](#) [Hide All](#)

Logged on as:
Harlan Pruden,
Certification Made Easy

Application Information

Application Type	New Application
Certifying Agency	New York State
Business Name	Certification Made Easy
Current Status	Incomplete
Application Number	1559035
Date for Deletion	7/6/2014 Extend
Contact Person	Harlan Pruden Add user not on list

Sections and Documentation

Section	Actions	Status
Company Profile	Process	Incomplete: 1 completed of 16 required; 0 completed of 8 optional
Ownership Information for Sole Proprietorship	Process	Incomplete: 0 completed of 1 required; 0 completed of 0 optional
Commodities and Services	Process	Incomplete: 0 completed of 4 required; 0 completed of 0 optional
Business Operations	Process	Incomplete: 0 completed of 6 required; 0 completed of 0 optional
Company's Assets & Liabilities	Process	Incomplete: 0 completed of 7 required; 0 completed of 0 optional
Affiliations	Process	Incomplete: 0 completed of 11 required; 0 completed of 0 optional
Outside Consultants	Process	Incomplete: 0 completed of 2 required; 0 completed of 0 optional
Other Certifications	Process	Incomplete: 0 completed of 1 required; 0 completed of 0 optional
Document List	Process	Incomplete: 0 attached of 13 mandatory; 0 attached of 15 required

Signature and Submittal

Section	Actions	Status
Signature	Sign	
Submittal	Submit	

[Delete Application](#)

Company Profile –
Click “Process”
and begin

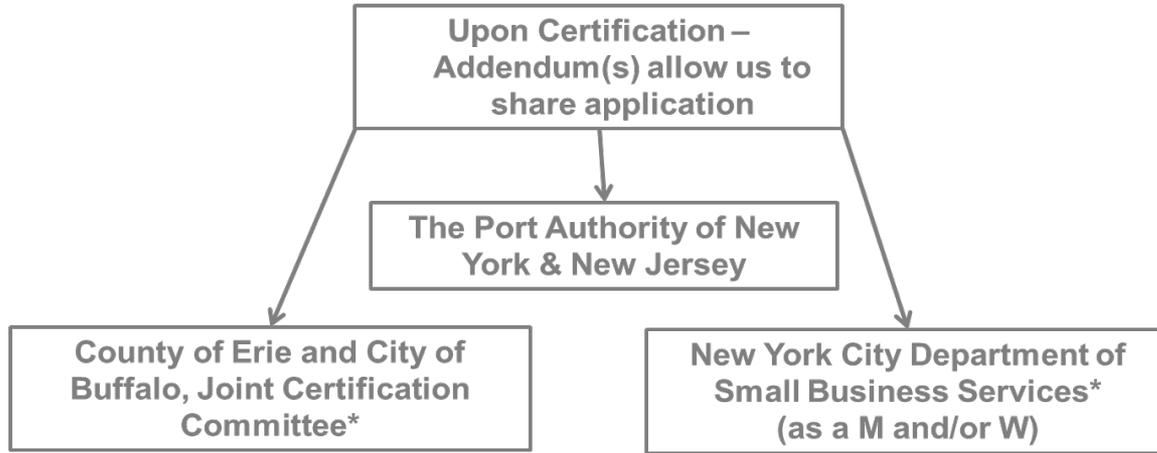


Mandatory Documents

Proof of Citizenship and Gender: Birth records; U.S. passports, Military Records; Green cards	Sole Proprietorships: Assumed Name Certificate from the County Clerk; Most recent year of business taxes
Proof of Business Activity: Current contracts and bids for clients and work in the NYS market area.	
Business Documents: Certificate of Authority to Do Business in New York State from the New York State Department of State; leases; deeds.	Partnership and LLCs: Assumed Name Certificate from the County Clerk; Operating/Partnership Agreement; IRS Form 1065 with the Schedule K-1 Tax Form
Personal and Business Taxes: Complete copies of the most recent year of personal and business taxes.	
Professional Background: Owner's resume(s), professional licensure, permits, certifications.	Corporations: Shareholders' Agreements and Corporate By-Laws; IRS Forms 1120 and 1125-A; IRS W-2 Forms; IRS Form 1065 with the Schedule K-1 Tax Form

Note: To facilitate and expedite the processing of applications, the New York State Tax & Finance Agency and the Department of Labor will be required to share records with DMWBD.

Addendums: “One Stop” Certification Application



Note: Addendums are for New York based firms only except regarding The Port Authority of New York and New Jersey, in which case New Jersey based firms will be accepted.

FAST TRACK Applications

- ✓ **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
 - The Port Authority of New York & New Jersey (**NJ based companies also eligible*)
 - New York & New Jersey Minority Supplier Development Council, Inc. (**NJ based companies also eligible*)
 - Women President's Educational Organization (Women's Business Enterprise National Council – NY Chapter)
- ✓ **Certified as a Disadvantaged Business Entity (DBE)** 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 a FAST TRACK Application.



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FAST TRACK Applications – Documentation

NYS MWBE Fast Track Application	Disadvantaged Business Enterprise (DBE)	Federal 8(a) Business Development Program
Copy of application submitted to Fast Track partner;	All documents <i>(except PNW information)</i> listed under 'NYS MWBE Fast Track' application plus:	All documents <i>(except PNW information)</i> listed under 'NYS MWBE Fast Track' application plus:
Copy of the Certification Letter from the Fast Track partner	Signed New York State DBE Certified Release of Information Form	Certificate of Authority to Do Business in NYS from the NYS Department of State <i>(with the exception of Sole Proprietorships and General Partnerships)</i>
Signed and notarized DMWBD Certification Application Affidavit, found in the DMWBD application	Certificate of Authority to Do Business in NYS from the NYS Department of State <i>(with the exception of Sole Proprietorships and General Partnerships)</i>	
Personal Net Worth (PNW) Affidavits (Attachment A, all applicants, and B, if necessary), found in the DMWBD application		

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



Division of Minority and Women's Business Development

Submitting your Application

Certification Application: Submit Application [Help & Tools](#)

Main | Documents | Signature | **Submit** | Utilities | Cert List

Certification Made Easy Application status: **Complete & Signed, Pending Submittal** > [Submit Application](#)
Application Type: **New Application** Application started: 4/7/2014
Application Number: 1559035

State of New York

Submit Your Application OR **View Your Application**

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.

Submit Application **View and Print Application** **Edit Your Application** **Edit Application**

Review, and Print Application

Edit Application

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

Logged on as: Harlan Pruden, Certification Made Easy

Viewing the Status of an Application

Browser address bar: <https://ny.newnycontracts.com/FrontPage/VendorMain.asp?XID=573>

Vendor Profile: Certifications

Business Name: **Certification Made Easy**

Main | General Info | Public Profile | Users | Commodity Codes | Contacts | Employees

Certifications | Workforce Composition/EEO | Questionnaires

Apply for Certification | Request Missing Certification

Current Certifications

No current certifications

Applications

Status	Application Number	App Type	Organization	Dates	Contact	Actions
Complete, Pending Signature	1559035	New Application	New York State	Started: 4/7/2014	Harlan Pruden	Process

Click "Process"

State of New York

- Home
- View »
- Search »
- Message »
- Settings »
- Help & Support »
- Logoff
- Show All Hide All

Logged on as:
Harlan Pruden,
Certification Made
Easy



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Extending The Deadline

The screenshot shows the MWBE Certification Application system interface. At the top left is the State of New York logo and navigation menu. The main content area is titled 'Certification Application' and shows application details for 'New Application' with number '1559035'. The 'Date for Deletion' is '7/6/2014' with an '(Extend)' link. A 'Need Help?' box contains links for 'Download Part 2 of the user manual', 'Sign up for a Training class', and 'Training class'. A confirmation dialog box is open, asking 'Extend the date for deletion by one week?' with 'OK' and 'Cancel' buttons. The 'OK' button is highlighted with a red box, and a red arrow points from it to the 'Extend' link in the application details. Below the application details is a table of sections and documentation, and a 'Signature and Submittal' section with 'Sign' and 'Submit' buttons.

Application Information

Application Type	New Application
Certifying Agency	New York State
Business Name	Certification Made Easy
Current Status	Incomplete
Application Number	1559035
Date for Deletion	7/6/2014 (Extend)
Contact Person	Harlan Pruden (Add user not on list)

Sections and Documentation

Section	Actions	Status
Company Profile	Process	Incomplete: 1 completed of 16 required; 0 completed of 8 optional
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Business Operations	Process	Incomplete: 0 completed of 6 required; 0 completed of 0 optional
Company's Assets & Liabilities	Process	Incomplete: 0 completed of 7 required; 0 completed of 0 optional
Affiliations	Process	Incomplete: 0 completed of 11 required; 0 completed of 0 optional
Outside Consultants	Process	Incomplete: 0 completed of 2 required; 0 completed of 0 optional
Other Certifications	Process	Incomplete: 0 completed of 1 required; 0 completed of 0 optional
Document List	Process	Incomplete: 0 attached of 13 mandatory; 0 attached of 15 required

Signature and Submittal

Section	Actions	Status
Signature	Sign	
Submittal	Submit	

Firms can click on the **'Extend'** button if more than 90 days are needed to complete the application process.

Please note that clicking **'Extend'** is **not** indefinite and can be done a **maximum** of 12 times.

Kindly contact
MWBECertification@esd.ny.gov
or call (212)803-2414 **if more time is needed.**



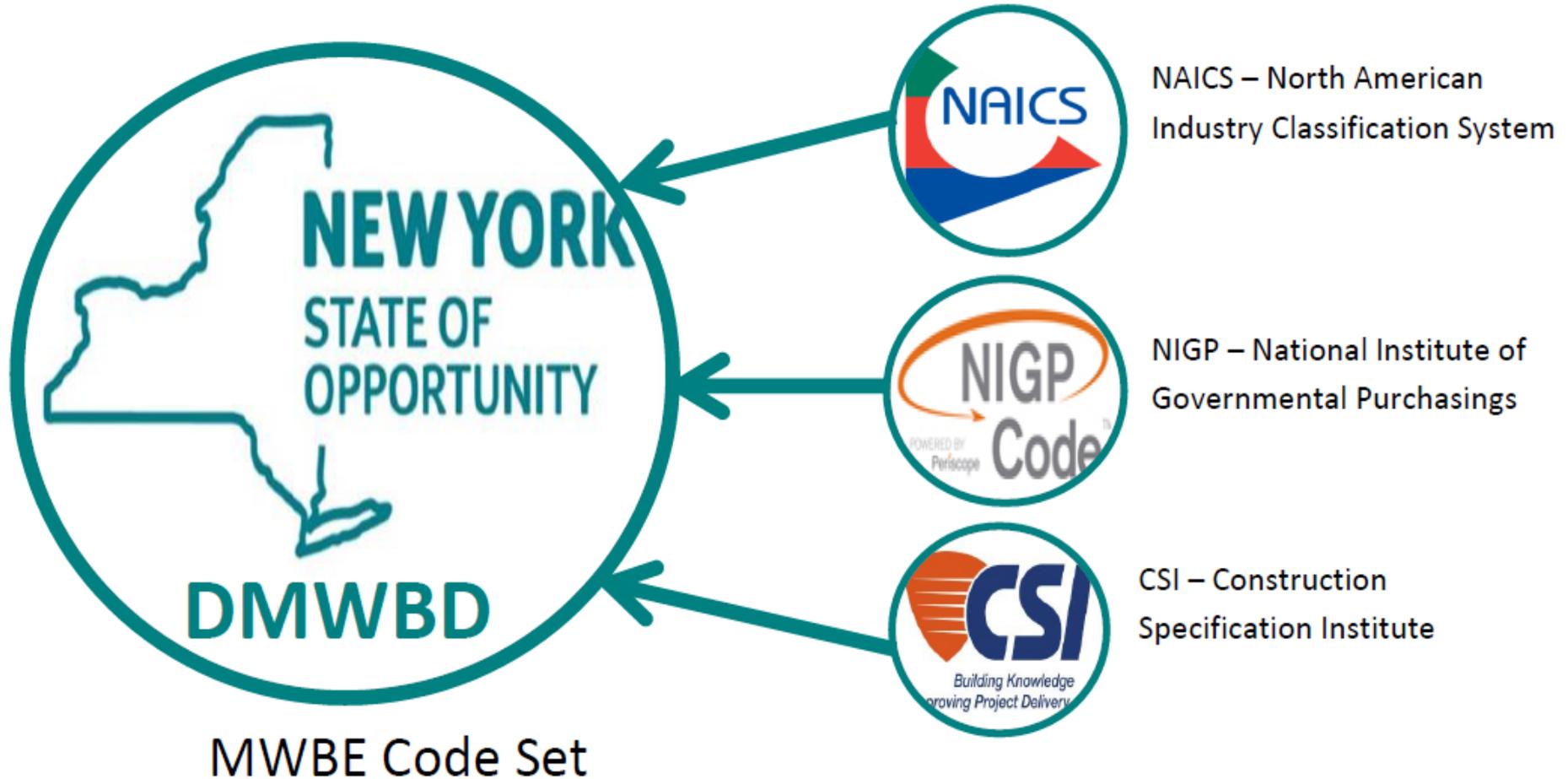
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Commodity Codes

MWBE CODE SET



DMWBD CODE ASSIGNMENTS

I. Product & Service codes: Certified firms may receive a combination of codes from 1 to 3 different product code sets that apply to their specific output.

- NIGP for product and/or services
- CSI for building construction
- NYS DOT for heavy and civil engineering construction

II. Industry code: Certified firms will receive relevant NAICS industry codes that apply

INDUSTRY vs PRODUCT codes

NAICS -- NORTH AMERICAN INDUSTRY CLASSIFICATION SYSTEM

NAICS = INDUSTRY CODE

NAICS  PRODUCT CODE

Little Known Facts About Certification

- **Waiver of One Year in Business eligibility requirement:**
 - Decided on a case by case basis & must be requested in writing
 - To obtain the waiver, please contact – MWBECertification@esd.ny.gov or call (212)803-2414.

- **Expedite Form:** Firms with a pending NYS contract as a prime contractor or sub-contractor may have the state agency request an expedited review of their application. ***(Only NYS agencies and authorities can submit the Expedite Form.)***
 - Regarding any questions about the Expedite Form, please contact: MWBECertification@esd.ny.gov or call (212)803-2414.

Common Documentation Shortfalls

- ✓ Personal Net Worth Statement blank or incomplete (even if negative)
- ✓ Licenses, if required to conduct business
- ✓ 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.
- ✓ Signed Contracts & Proof of Payment
 - ❑ Contracts should be signed & reflect scope of work.
 - ❑ Invoices and proof of payment must be submitted.
- ✓ Business vehicle registrations



**Division of Minority
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Recertification Applications

Recertification Applications

Helpful Tips for MWBEs:

- MWBEs must submit their Recertification application **EVERY 5 years** with New York State;
- Submission of Recertification applications can begin **3 months PRIOR TO** their Renewal Date;
- **They will REMAIN certified and listed in our NYS Directory of Certified Firms** during the recertification application review process;
- MWBEs can always check their certification profile by logging into their account on the New York State Contract System: <https://ny.newnycontracts.com> for the status of their application or call our Help Desk at (212)803-2414.



Mandatory Documents – Recertification Applications

Mandatory Documents

Recertification Application Notarization , provided by our Division	Copies of all licenses, permits, certifications, and/or accreditations utilized by firm to conduct business, including those held by individuals
Personal and Business Taxes: Complete copies of the most recent year of personal and business taxes.	Copy of DBA Registration if company has added or changed name since last certification date
Personal Net Worth Affidavit , Attachment A for each minority or woman upon which certification is based	Out of State firms, provide one (1) of the following: a) Invoices and proof of payment for goods and services provided in NYS, b) NYS payroll records, or c) proof of payment for NYS Taxes or authority to do business in NYS
	Add Commodities Supplier Codes (e.g., lines of credit and shipping agreements with third party shipping companies, all vehicle registrations, largest signed contracts and/or agreements in the last 2 years, etc.)
	Add Services (e.g., copies of invoices showing payments received, copies of licenses or permits, most recently signed contracts and/or agreements with a description of scope of services, etc.)
	Additional documents not listed above (e.g., office lease agreement, etc.)

Contact us

For Certification Inquiries:

212-803-2414

MWBEcertification@esd.ny.gov

(Monday thru Friday, 9:00AM – 5:00PM EST)

Division of Minority and Women's Business Development

<https://esd.ny.gov/doing-business-ny/mwbe>

