

MWBE CERTIFICATION CHECKLIST: Preparing to Begin the NYS MWBE Certification Application



Division of Minority
and Women's
Business Development

About the Division of Minority and Women's Business Development ("DMWBD")

New York State Executive Law Article 15-A §§ 310-317 ("Article 15-A") governs requirements for the participation of minority and women-owned business enterprises ("MWBEs") in New York State contracting. The objective of Article 15-A is to promote equality of economic opportunities for MWBEs by eliminating barriers to their participation in New York State contracting.

The DMWBD's mission is to promote equality of economic opportunities for MWBEs and to eliminate barriers to their participation in state contracting. The DMWBD supports New York State's leaders with information and resources that increase access to opportunities for minority and women-owned business enterprises throughout the State.

About the NYS MWBE Certification Application

The Division of Minority and Women's Business Development (DMWBD) is tasked with reviewing applications by businesses seeking certification as a Minority or Women-owned Businesses (MWBE). The DMWBD verifies that each firm is owned, operated, and controlled by a minority and/or woman owner. The application process and the documents requested to complete the application are necessary for this verification.

The information below includes recommendations and checklists for NYS MWBE Certification applicants. However, this list is not all encompassing of the needs and requirements to complete the application and analysis. Additional information can be found on the MWBE website: esd.ny.gov/MWBE.html

Document Checklist for all Applicants

The Checklist below includes some of the documents applicants need during the MWBE application process. Gathering these documents prior to beginning the application will speed up completing the process. The documents are used to verify all MWBE certification eligibility requirements, including ownership, operations, control, independence, and personal net worth (PNW), among others. The application has a complete list of all documents required.

Documents required from all applicants include but are not limited to:

- **Proof of citizenship and gender:** Birth records, U.S. Passports, Military Records, Green Cards.
- **Proof of capital contributions:** Cancelled checks or bank statements, purchase agreements, proof of equipment purchases.
- **Proof of business activity in NYS:** Current contracts, bids, invoices and proof of payments from clients and work in the NYS.
- **Personal and Business Taxes:** Complete copies of the most recent personal and business taxes.
- **Business Documents:** Loans and credit agreements, leases; supply agreements.
- **Professional Background:** Owner's Resumes(s), licenses, permits, certifications.

TIPS WHEN BEGINNING A NYS MWBE CERTIFICATION APPLICATION

1. Take advantage of local technical assistance providers for one-on-one assistance:
 - a. Entrepreneurial Assistance Centers:
<https://esd.ny.gov/businessprograms/eap.html>
 - b. Small Business Development Centers:
<http://nyssbdc.org/>
 - c. Procurement Technical Assistance Centers:
<http://www.aptac-us.org/>
2. Attend MWBE outreach events, including the **NYS MWBE Forum**, **NYS MWBE Regional Expos**, and **NYS MWBE Boot Camp Sessions**. Periodically visit <https://esd.ny.gov/mwbe.html> for more information.
3. Collect as much information and documents prior to beginning the MWBE Certification application. Keep in mind that additional information may be required.

Document Checklist for Sole Proprietors, Limited Liability Corporations (LLCs), and Corporations

Along with the documents all applicants must submit, including the documents listed above, there are additional documents needed for specific business types. These include, but are not limited to:

Sole-Proprietorships	LLCs	Corporations
<ul style="list-style-type: none"> • Business Certificate from the County Clerk 	<ul style="list-style-type: none"> • Articles of Organization • Operating Agreement • Application for Authority (out-of-state firms only) 	<ul style="list-style-type: none"> • Certificate of Incorporation • Corporate By-Laws • Application of Authority (out-of-state firms only)

Document Checklist for “Fast Track” Applicants

The DMWBD offers an accelerated NYS MWBE application for firms certified by a **Fast Track Partner Agency**. Visit esd.ny.gov/MWBE.html for additional information on this option.

All firms that qualify for a Fast Track application ***must*** submit the following:

- Copy of application submitted to the Fast Track Partner.
- Copy of the certification letter or certificate from the Fast Track Partner.
- Signed and notarized DMWBD Certification Application Affidavit, found in the DMWBD application.
- Personal Net Work Affidavits (Attachments A, all applicants, and B, if necessary), found in the DMWBD application.

***NOTE** - *Out of state firms are not eligible for Fast Track Applications*

NYS FAST TRACK PARTNERS:

- Joint Certification Committee of Erie County and City of Buffalo
- New York City Small Business Services
- NY & NJ Minority Supplier Development Council
- The Women President’s Educational Organization – New York Chapter only
- Port Authority of NY / NJ (MWBE Certified Firms Only)

ONE STOP ADDENDUM PARTNERS:

Qualifying new applicants can simultaneously submit up to three One Stop Addenda with the fully completed NYS MWBE certification application to the DMWBD. Addenda are available for the following MWBE Programs:

- Port Authority of New York / New Jersey
- New York City Small Business Services
- Joint Certification Committee of Erie County and City of Buffalo

In addition to the documents above, firms using DBE or Federal 8(a) Program “Fast Track” Application option must also provide the following documents when submitting a MWBE application to NYS:

Disadvantaged Business Enterprise (DBE) Firms:

- Signed New York State DBE Certified Release of Information Form.

Federal 8(a) Business Development Program Firms:

- Copy of letter showing the firm is currently part of the 8(a) Program.

Have Questions?

MWBE Hotline: (212) 803-2414

Email: MWBEcertification@esd.ny.gov

Website: esd.ny.gov/MWBE.html