

M/WBE Training Guide Outline

The purpose of the Beverly Gray M/WBE Training Guide is the following:

- Outline the M/WBE certification assistance workflow from initial client intake to submission.
- Outline the required documents and define the purpose of each supporting document in the M/WBE Application.
- Provide samples of each required document.

Section	Description
1. Certification Assistance Service Delivery Workflow	Flowchart outlining process from initial client contact to submission of the application.
2. List of Required M/WBE Supporting Documents	M/WBE Checklist that defines the purpose and significance of each supporting document.
3. Glossary & Sample Templates	Sample templates that will satisfy M/WBE requirements (can be distributed).

**County of Erie/City of Buffalo Joint
Certification Assistance Service Delivery Workflow**



	1. Client Intake	2. Review	3. Follow Up	4. Submission
Timing	0-7 days	1-2 hours	2 weeks	0-7 days
Method	By Phone or In person	In Person	In person	Mail
Activities	<ul style="list-style-type: none"> Determine the client's eligibility for the M/WBE Certification. Determine whether or not the client completed an application. If not, provide the client with a copy of the application. If the client has a completed application, schedule an appointment. 	<ul style="list-style-type: none"> Conduct review of the completed application and supporting documents. Use Checklist to determine any missing documents. Provide client with a list outlining the missing documentation (if any). 	<ul style="list-style-type: none"> Send reminder emails to client requesting for additional documentation. Client may email additional documentation or, Schedule another in person meeting to collect any documents that requires signatures and notaries. 	<ul style="list-style-type: none"> Gather all documentation, along with signatures and notaries, and mail in the complete application with supporting documents. Keep checklist for reference.
End Products	<ul style="list-style-type: none"> Schedule an appointment. 	<ul style="list-style-type: none"> Semi Completed Checklist Send list of missing documentation to client. 	<ul style="list-style-type: none"> Completed Checklist Completed Application 	<ul style="list-style-type: none"> Mailing Receipt

M/WBE Supporting Documents & Descriptions

Objective: The list of M/WBE supporting documents are required for all business types. The significance of each document is outlined below.

M/WBE DOCUMENTATION REQUIREMENTS CHECKLIST:

No.	Document Description
1.	Resumes of all principles, partners, officers, and/or key employees of the firm for each person/identified/listed in the following questions: Determines experience and capacity in industry. Lists key responsibilities of key partners and employees.
2.	Bank signature card, bank resolution, or letter from the bank identifying persons authorized to conduct transactions, level of authority and limitations, if any Determines key personnel for business and their authorizations.
3.	Current Financial Statement. (Balance Sheet and Profit & Loss Statement.) Determines business activity. Eligibility requirement – Company should be operating for a year.
4.	Most recent two years' Federal, State, and City tax returns including all schedules (e.g. Schedule K-1), where applicable. Determines business activity. Used to show shareholder breakdown (Schedule K)
5.	Proof of sources of capitalization/investments. Determines business activity. Proof of company expenses.
6.	Proof of ethnicity Determines eligibility for certification.
7.	Proof of US Citizenship Determines eligibility for certification.
8.	Proof of permanent resident alien status Determines eligibility for certification.
9.	Lease Agreements per questions 20 and 21. Determines business activity. Location may be used for compliance audits.
10.	All third party agreements including, equipment rental, purchase agreements, management service agreements, etc. Determines business activity. Used to show that company is consuming services.
11.	Any employment agreements. Employment Agreement is an agreement the applicant would have with their employees. Include if applicable.
12.	Vehicle registration(s). Provides proof of registration for business vehicles.
13.	Any certification, decertification or denial of certification documentation. If applicable. Include certification for partner agencies.
14.	Written request for exemption from disclosure regarding trade secrets. Only include if applicable.
15.	If Out-of-state firm, the Authority to Do Business In New York State. Determines eligibility for certification.

Objective: Only submit documents based on the business' legal entity structure.

REQUIRED FOR A SOLE PROPRIETORSHIP:

No.	Document Description
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1.	Copy of Certificate Trade Name or Business Trade Name filed with County Clerk
	Legal documents required for business. Used to determine eligibility for certification.

REQUIRED FOR PARTNERSHIP AND A JOINT VENTURE PARTNERSHIP:

No.	Document Description
1.	Business Certificate
	Legal document required for business.
2.	Partnership Agreement
	Legal document required for business.
3.	Buy-Out Rights
	Legal document required for business.

REQUIRED FOR A CORPORATION:

No.	Document Description
1.	Articles of Incorporation, including date approved by State
	Legal document required for business.
2.	Corporation by-laws
	Legal document required for business.
3.	Minutes of first corporate organizational meeting and amendments
	Legal document required for business.
4.	Copies of all issued stock certificates, front and back, as well as, next unissued certificate
	Legal document required for business.
5.	Copy of stock ledger
	Legal document required for business.
6.	If applicable, furnish copies of agreements relating to:
	Legal document required for business.

REQUIRED FOR ALL LLC/LLPs:

No.	Document Description
1.	Certificate of Registration
	Legal document required for business.
2.	Articles of Organization
	Legal document required for business.
3.	Operating Agreement
	Legal document required for business.

Glossary & Sample Templates

For samples of the documents below, please refer to the Appendix Folder.

Document Name	Document Description
Business Certificate	Used by Sole Proprietorships, businesses are required to conduct activities under their legal name. This certificate is called a 'certificate of assumed name,' also known as a 'doing business as (d/b/a) certificate.'
Certificate of Registration	Also known as State Filing Receipt

LLC Articles of Organization	Describes the fundamental identifying and operating characteristics of the LLC
Articles of Incorporation	A set of formal documents filed with a government body to legally document the creation of a corporation. Articles of incorporation must contain pertinent information such as the firm's name, street address, agent for service of process, and the amount and type of stock to be issued.
Corporation By-Laws	Corporate bylaws define a corporation's purpose, how it will operate, and the duties and responsibilities of the people who own and manage it. They also let you specify shareholder ownership rights, select officers and directors, plan annual meetings, and establish how to remove officers or directors.
LLC Organization Agreement	An LLC Operating Agreement is a 10-20 page contract document which sets up guidelines and rules for an LLC.
Buy-Out Rights	A buy-sell agreement, also known as a buyout agreement, is a legally binding agreement between co-owners of a business that governs the situation if a co-owner dies or is otherwise forced to leave the business, or chooses to leave the business.
Stock Certificates	A stock certificate is the physical piece of paper representing ownership in a company. Stock certificates will include information such as the number of shares owned, the date, an identification number, usually a corporate seal, and signatures.
Stock Ledger	The stock ledger is where the corporation keeps an accurate record of all stock transactions and is usually part of a corporate records book or kit. The stock ledger is also referred to as the "stock transfer ledger," or a "corporate stock ledger."
Minutes of Board Meeting	The minutes from a board meeting are the permanent record of that meeting. They provide information about when the meeting occurred and what action was taken during it.
Certificate of Authority	A foreign business corporation may apply for authority to do business in the State of New York by filing an Application for Authority