

Guide to the New York State Education Department's Minority- and Women-Owned Business Enterprise (M/WBE) Program's Grant Review Process

New York State Education Department

**Created By: Aimee E. Lang** 



Expansion of New York State's M/WBE Program Until 2024

The MWBE program, designed to make New York's economy more inclusive by requiring MWBE participation in State contracts, was due to expire at the end of 2019. The reauthorization extends the program until **2024** and amends the law to make it easier for more MWBEs to participate and to give all participating businesses greater benefits. The new terms include:

- Extending the term of MWBE certification from 3 years to 5 years;
- Increasing agency and authority discretionary purchasing threshold from \$200,000 to \$500,000 without a formal competitive process;
- Increasing the Personal Net Worth cap from \$3.5 million to \$15 million to make more businesses eligible;
- Authorizing the Division of MWBE to organize outreach events, training and educational opportunities for MWBE firms across the state; and
- Establishing a Workforce Diversity Program that requires State agencies overseeing construction projects to utilize a diverse workforce; among additional new terms.

## Accessing M/WBE Forms:

Updated M/WBE forms are available upon request but are included in the RFP.

(We are currently working with IT regarding web accessibility)

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Policy, Forms, Guidelines	M/WBE Forms & Compli	ance Forms	<i>(</i> 2)		
-Vendor Responsibility Pro ਨੂੰ	• MWBE 100 Utilization Plan • MWBE 102 • EEO 100 • MWBE  PAGE UNDER  PAGE UNDER  12/17/2019 Report (1/2) (1/2)	CONSTRUCT	Last Updated: December 18, 2019		
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# The Approval Process: What Does the M/WBE Unit Assess?

- Does the M/WBE package include all of the required paperwork?
  - FS-10
  - M/WBE Cover Letter
  - Goal Calculation Worksheet
  - Utilization Plan (M/WBE 100)
  - Notice(s) of Intent to Participate (M/WBE 102)
  - Equal Employment Opportunity Staffing Plan (EEO 100)
  - Contractor's Good Faith Efforts (M/WBE 105)
  - Evidence of Good Faith Efforts
  - Request for Waiver (M/WBE 101)
- Does the Goal Calculation Worksheet align with the FS-10?
- Is the arithmetic correct?
- Are there signatures where required?
- Are the vendors NYS M/WBE certified?
- Does the Utilization Plan align with the Notice(s) of Intent?



## M/WBE Compliance Checklist (updated)

- It's a quick guide that ensures your Program Office is submitting a completed package
- Please note that we've updated this document and added "Evidence of Good Faith Efforts" as a line item
- We've also removed "original signatures required," since we accept scanned signatures for M/WBE documents

### M/WBE Compliance Checklist

M/WBE Documents Package				
Full Participation Request Partial Waiver Request Total Waiver				
	Required Documents			
Documentation	Full	Request Partial	Request	
	Participation	Waiver	Total Waiver	
M/WBE Goal Calculation Worksheet				
M/WBE Cover Letter				
M/WBE 100: Utilization Plan			N/A	
M/WBE 102: Notice of Intent to Participate			N/A	
M/WBE 105: Contractor's Good Faith Efforts	N/A			
Evidence of Good Faith Efforts (please refer to the M/WBE 105 form to distinguish what constitutes as "evidence of good faith efforts")	N/A			
M/WBE 101: Request for Waiver Form and Instructions	N/A			
EEO 100 Staffing Plan and Instructions				

### Requesting a Waiver M/WBE 105: Good Faith Efforts

PROJECT/CONTRACT#	
(Bidder/Applicant)	
(Daniel Alfantan)	
(Title)	of (Company)
	( )
Address)	(Telephone Number)
to hereby submit the following as <u>evidence</u> interprises:	g of our good faith efforts to retain certified minority- and women-owned
Copies of its solicitations of certifier esponses thereto;	d minority- and women-owned business enterprises and any
	citations were received, but a certified minority- or woman-owned the specific reasons that such enterprise was not selected;
enterprises timely published in appropri	articipation by certified minority- and women-owned business rate general circulation, trade and minority- or women-oriented and date(s) of the publication of such advertisements;
Copies of any solicitations of certifications of certifications of certified businesses;	ed minority- and/or women-owned business enterprises listed in the
agency awarding the State contract, w	-bid, pre-award, or other meetings, if any, scheduled by the State th certified minority- and women-owned business enterprises are capable of performing the State contract scope of work for the pation goals;
	steps undertaken to reasonably structure the contract scope of with, or obtaining supplies from, certified minority- and women-
7) Describe any other action undertak ninority - and women- owned business	en by the bidder to document its good faith efforts to retain certified s enterprises for this procurement.
Submit additional pages as needed.	
	Authorized Representative Signature

- When requesting a waiver, the grantee must sign and complete an "M/WBE Contractor Good Faith Efforts Certification" form
- In addition to the M/WBE Contractor's Good Faith Efforts Certification form, grantees must also submit "evidence of good faith efforts"
  - If a grantee seeks a waiver, and only signs the Contractor's Good Faith Efforts form without providing evidence of good faith efforts, the package <u>cannot</u> be approved
- An approved waiver request does not automatically transfer to future grant years. Waiver requests are reviewed on an annual basis and updated "evidence of good faith efforts" must be submitted each year a grantee is seeking a waiver.

### 

do hereby submit the following as exidence of our good faith efforts to retain certified minority- and women-owned business

- Copies of its solicitations of certified minority-and women-owned business enterprises and any responses thereto;
- (2) If responses to the contractor's solicitations were received, but a certified minority- or woman-owned business enterprise was not selected, the specific readons that such enterprise was not selected;
- (3) Copies of any advertisements for participation by certified minority- and women-owned business enterprises timely published in appropriate general circuisity, trade and minority- or women-oriented publications, together with the listing(s) and date(s) of the publication of such advertisements;
- (4) Copies of any solicitations of certified minority- and/or women-owned business enterprises listed in the directory of certified businesses;
- (5) The dates of attendance at any pre-bid, pre-award, or other meetings, if any, scheduled by the State agency awarding the State contract, with certified minority- and women-dwned business enterprises which the State agency determined were capable of performing the State contract scope of work for the purpose of Affiling the contract participation goals;
- (6) Information describing the specific steps undertaken to reasonably structure the contract scope of work for the purpose of subcontracting with, or obtaining supplies from, certified minority- and womenowned business enterprises.
- (7) Describe any other action undertaken by the bidder to document its good faith efforts to retain cersfied minority - and women- owned business enterprises for this procurement.

Submit additional pages as needed.

M/WBE 10

Authorized Representative Signature

## Requesting a Waiver/Good Faith Efforts (cont'd.) M/WBE 105A: Contractor Unavailable

- Common examples of evidence of good faith efforts include:
  - Email exchange with vendor (not solely the initial outreach)
  - School's purchasing policy and a memo on official letterhead explaining how this policy impacts M/WBE utilization
  - RFP along with a memo on official letterhead that explains the lack of M/WBE applicants
  - "M/WBE Contractor Unavailable Certification" form (M/WBE 105A), along with email exchanges

11/40	E CONTRACTOR UNAVA	ILABLE CERTIFICATION	•	
RFP#/PROJECT NAME				
(Authorized Representative)	(Title)	(6:11-	(Applicant's Company)	_
(Authorized Representative)	(Tibe)	(Bidder	(Applicant's Company)	
		( )		
(Address)		( )	(Phone)	
certify that the following New York State Certified Minori abovementioned project/contract.	ity/Women Business Enterprises	were contacted to obtain a quo	te for work to be performed o	on the
List of date, name of M/WBE firm, telephone/e-mail addre	ess of M/WBEs contacted, type o			e requested
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DATE M/ WDE NAME	PHONE/EMAIL ITPE O	F WURK BOD	SET REASON	
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2.				
1				
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	tate Certified Minority/Women B			
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work on this project, or unable to provide a quote for the	following reasons: Please chec	appropriate reasons given by	each MBE/WBE firm contacted	accrecy
work on this project, or unable to provide a quote for theA. Did not have the capability to perform	following reasons: Please chec	k appropriate reasons given by s	each MBE/WBE firm contacted	aboves
work on this project, or unable to provide a quote for the	following reasons: Please chec	k appropriate reasons given by a	ach MBE/WBE firm contacted	. autre.,
work on this project, or unable to provide a quote for the	following reasons: Please chec	k appropriate reasons given by a	ach MBE/WBE firm contacted	Lakerey
work on this project, or unable to provide a quote for the  A. Did not have the capability to perform  B. Contract too small  C. Remote location	following reasons: <u>Please chec</u> the work	k appropriate reasons given by o	wech MBE/WBE firm contacted	ranneri
work on this project, or unable to provide a quote for the	following reasons: <u>Please chec</u> the work	appropriate reasons given by a	MBE/WBE firm contacted	Laborer
work on this project, or unable to provide a quote for the  A. Did not have the capability to perform B. Contract too small C. Remote location D. Received solicitation notices too late E. Did not want to work with this contract	following reasons: <u>Please chec</u> the work	appropriate reasons given by a	ach MBE/WBE firm contacted	. accrec,

### Requesting a Waiver (M/WBE 101: Request for Waiver (Updated)

### BIDDER/APPLICANT: TELEPHONE: NAME: ADDRESS: EMAIL: CITY, STATE, ZIPCODE: FEDERAL ID NO.: RFP NO./PROJECT NO.: INSTRUCTIONS: By submitting this form and the required information, the bidder/applicant certifies that Good Faith Efforts have been taken to promote M/WBE participation pursuant to the M/WBE goals set forth under this RFP/Contract. Please see Page 2 for additional requirements and document submission instructions. BIDDER/APPLICANT IS REQUESTING (check all that apply): MBE Waiver - A waiver of the MBE goal for this procurement is WBE Waiver - A waiver of the WBE goal for this procurement is requested. ☐ Total X Partial 9.9%% ☐ Total ☐ Partial PREPARED BY (Signature): SUBMISSION OF THIS FORM CONSTITUTES THE BIDDER/APPLICANT'S ACKNOWLEDGEMENT AND AGREEMENT TO COMPLY WITH THE M/WBF REQUIREMENTS SET FORTH UNDER NYS EXECUTIVE LAW, ARTICLE 15-A, 5 NYCRR PART 143, AND THE ABOVE REFERENCED SOLICITATION. FAILURE TO SUBMIT COMPLETE AND ACCURATE INFORMATION MAY RESULT IN A FINDING OF NONCOMPLIANCE AND/OR PROPOSAL NAME OF PREPARER: FOR AUTHORIZED USE ONLY TITLE OF PREPARER: TELEPHONE WAIVER GRANTED | YES | NO EMAIL: □ TOTAL WAIVER □ PARTIAL WAIVER ☐ CONDITIONAL WAIVER COMMENTS: M/WBE 101

REQUEST FOR WAIVER FORM

When requesting a waiver, a "Request for Waiver" form also needs to be submitted. Please note that the waiver percentage is out of 30%.

### **Example:**

Discretionary = \$60,000

M/WBE Goal Percentage = 30%

M/WBE Goal Amount = \$18,000

Actual M/WBE Utilization = \$12,000

\$12,000 (M/WBE Utilization) ÷ \$18,000 (M/WBE Goal Amount) = 0.67

0.67 × 30 (M/WBE Goal Percentage) = 20.1 (M/WBE Utilization Percentage)

30% (M/WBE Goal Percentage) - 20.1% (M/WBE Utilization Percentage)

= 9.9% Waiver Request

### M/WBE 102: Notice of Intent to Participate (Updated)

	ocontractors/suppliers. The B		pplicant unless requesting a total waiver. Parts B & C of this form must be con parate M/WBE Notice of Intent to Participate form for each MBE or WBE as p	
Bidder/Applicant Na	me:		Federal ID No.:	
Address:			Phone No.:	
City		State Zip Code	E-mail:	
ignature of Authoriz	ed Representative of Bidder,	/Applicant's Firm	Print or Type Name and Title of Authorized Representative of Bidder/App	olicant's Fi
Date:				
PART B - THE UND	DERSIGNED INTENDS TO	PROVIDE SERVICES OR SUPP	LIES IN CONNECTION WITH THE ABOVE PROCUREMENT/APPLICATI	ON:
Name of M/WBE:			Federal ID No.:	
Address:			Phone No.:	
			Filolie 140.:	
			E-mail:	
City, State, Zip Coo	de		E-mail:	
City, State, Zip Coo	de		E-mail:	
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- The M/WBE Unit only accepts M/WBE certification from <u>currently</u> certified New York State firms
- We do not accept certification from:
  - New York City
  - New Jersey
  - Port Authority
  - Or any other entity outside of New York State
- We do not accept firms that have applied and/or are seeking certification – these firms will not count towards the M/WBE goal
  - On average, the NYS M/WBE certification takes two years to process. Due to the length of time it takes to become certified and the uncertainty of the outcome, we only accept firms currently certified by Empire State Development

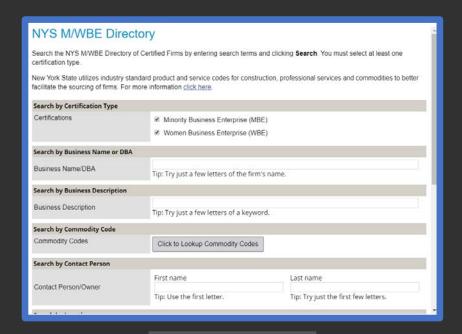
The University of the State of New York THE STATE EDUCATION DEPARTMENT (see instructions for mailing address)	PROPOSED AMENDMENT FOR A FEDERAL OR STATE PROJECT FS-10-A (03/15)		
Agency Name and Address			
		Amend	
		AIIICIIG	
	County		
Agency Code:	Amendment #		
Project #:			
Contract #:			
Contact Person:	Tel.#: 752.10.4 Per		
E-Mail Address:	FS-10-A Page	e 2	
INSTR	TIONS EXPLANATION		
	SUBTOTAL (Provide same detail as required in	SUBTOTAL SUBTOTAL INCREASE DECREASE	
<ul> <li>Submit the original and two copies directly to the same S NOT submit this form to Grants Finance.</li> </ul>	Education Department office where budget FS-10 Budget		
Enter whole dollar amounts only.	15 Professional Salaries		
<ul> <li>This form need only be submitted for budget changes that re-</li> </ul>	prior approval as follows:		
<ul> <li>Personnel positions, number and type</li> <li>Equipment items having a unit value of \$5,000 or n</li> </ul>	16 Support Staff Salaries		
<ul> <li>Minor remodeling</li> <li>Any increase in a budget subtotal (professional st \$1,000, whichever is greater</li> <li>Any increase in the total budget amount.</li> </ul>	40 morPurchasedos, transl. etc.) by more than 10 percent or Services		
Amendment # at top of this page must be completed.     Do not use the FS-10-A for requesting a project extensi	45 Supplies & Materials		
CHIEF ADMINISTR:  By signing this report, I certify to the best of my knowled and the expenditures, disbursements, and cash receipts	046'S CTravel ICATION and bel Expenses report to true, complete, and accurate, for the numbers and color-map set from in the terms.		
and conditions of the Federal (or State) award. I am aw omission of any material fact, may subject me to crimina false claims, or otherwise. (U.S. Code Title 18, Section	80 an an take of tillous, or fraudulent information, or the 80 or a Employee a penalties for fraud, false statements, or and Benefits actions 3729-3730 and 3801-3812).		
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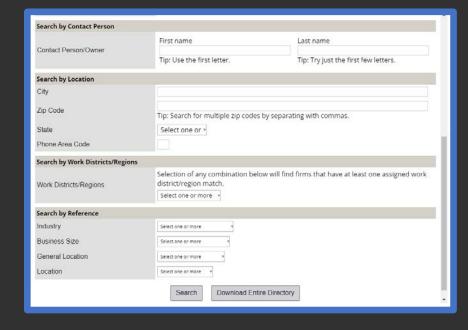
### Amendments (FS-10-A)

- Submit an amendment to your Program Office for M/WBE review when there are changes to the M/WBE goal amount
- All amendments require the following:
  - An <u>updated Goal Calculation Worksheet</u>
    - Aligns with the "Proposed Amended Total," not "Net Increase or Decrease"
  - An updated and <u>cohesive Utilization Plan</u>
    - For instance, if a grantee is adding an M/WBE firm, they shouldn't submit a Utilization Plan with only the additional vendor. Instead, they need to submit a Utilization Plan listing <u>all</u> vendors being utilized during the grant year.
  - Notice of Intent for any M/WBE vendors that are added to the Utilization Plan

### New York State M/WBE Directory

- By visiting the New York State Contract System
   (https://ny.newnycontracts.com/), and selecting
   "SEARCH THE DIRECTORY," grantees can search for
   New York State certified M/WBE vendors that align
   with their needs.
- The New York State M/WBE Directory is also a great way for grantees to confirm a vendor is NYS M/WBE certified. Simply "Search by Business Name," and if the vendor is certified, they will appear in the search results.
  - Grantees can also email: <u>MWBEcertification@esd.ny.gov</u> to confirm a vendor's certification status

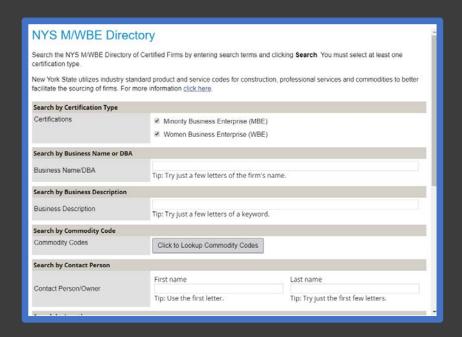


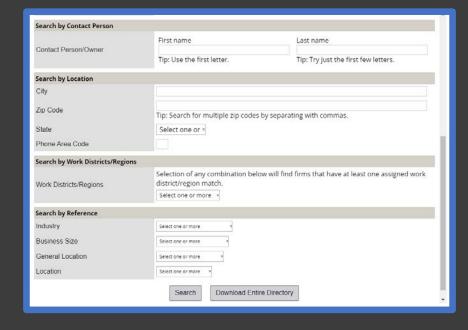


### New York State M/WBE Directory: Search Tools

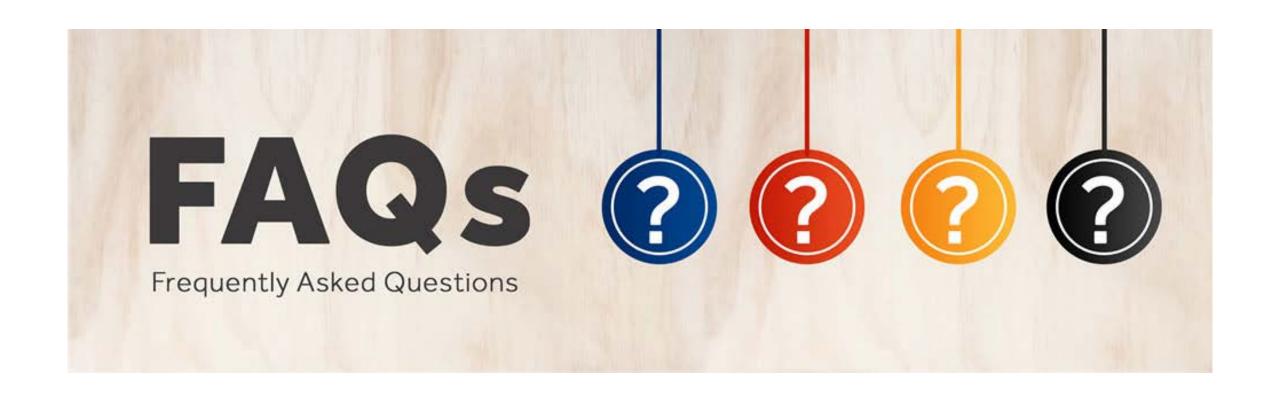
- Grantees can search for M/WBE vendors by:
  - Certification: Minority Business Enterprise or Women Business Enterprise
  - Business Name/DBA
  - Business Description (it's best to use a keyword)
  - Commodity Codes
    - NAICS (North American Industry Classification System)
    - NIGP (National Institute of Governmental Purchasing)
      - Commodity codes can also be searched by using a keyword(s)
  - Contact Person
  - Location
  - Work Districts/Regions

If a grantee is experiencing a difficult time identifying M/WBE vendors, they can always email MWBEgrants@nysed.gov, and we will pull vendor lists for them based on their needs.









### **General Housekeeping**

### How do I print this guide?

File → Print → Print Settings → Pure Black and White

### What is the difference between MWBEgrants@nysed.gov and MWBE@nysed.gov?

<u>MWBEgrants@nysed.gov</u> is a general mailbox that is open to the public and program offices. Program offices, and grantees alike, can send general inquiries to this email address. Moreover, grantees submit their quarterly compliance reports to this email address.

MWBE@nysed.gov is for procurements and is open to the public.

### **M/WBE Vendors**

### What are examples of services provided by M/WBE vendors?

There are over 8,000 M/WBE vendors that provide an array of services. If a grantee is having a difficult time identifying vendors to meet their M/WBE goal, please refer them directly to <a href="MWBEgrants@nysed.gov">MWBEgrants@nysed.gov</a>. Below are only a few examples of services provided by M/WBEs:

- Accountants and bookkeepers
- Books (from children's to college-level to teacher resources)
- Catering and food service
- Childcare
- Computers/tablets/hardware/software
- College access programs
- Custodial services
- Diversity consultants
- Education consultants (from Universal Pre-K to STEM to teacher effectiveness/curriculum development)
- English Language Learners programs
- Furniture

- Hygienic products
- IT consultants
- Medical supplies
- Office, school, and art supplies
- Playground developers
- Printing
- Professional development services
- Promotional items (or personalized items)
- Snacks (and breakroom supplies)
- STEM supplies
- Travel (includes travel agencies and chartering vehicles)
- Tutors (online and in-person)

### M/WBE Vendors

### What if the vendor is undergoing the certification process? Will their utilization apply to the M/WBE goal?

Due to the length of time it takes to become certified and the uncertainty of the outcome, we only accept firms that are currently certified by Empire State Development. Thus, their utilization will not apply to the M/WBE goal.

### If a vendor is New York City certified, does that mean they are New York State certified too?

No, New York City certification is not the same as New York State certification. We do not accept New York City certification (or M/WBE certifications from other entities). We only accept New York State certification.

Governor Cuomo's office is working on creating a shared portal, so that vendors seeking certification will be able to apply for multiple certifications at once.

### **Notices of Intent**

### For every year of the grant term, a grantee is utilizing the same vendor. Do they need to submit a Notice of Intent with an original signature from that vendor, every year?

No, once a grantee submits a Notice of Intent during the grant term, with an original signature, they illustrate to us that they've established a relationship with the M/WBE vendor. Thereafter, when submitting an M/WBE package, the grantee can submit a historical Notice of Intent, along with an updated Utilization Plan.

### **Partial Waivers**

### When a grantee receives a partial waiver, does it automatically apply to future years of the grant term?

No, a partial waiver approval is only issued for the grant year that it is requested and approve for.

### Why doesn't a waiver extend into future years of the grant?

The reason a partial waiver does not extend into future years of the grant is because the M/WBE database is constantly updated. While a vendor may not be available to meet the needs of a grantee one year, there is a chance that a vendor is available during future years of the grant.

### **Amendments**

### When is an amendment required?

Submit an amendment to your program office for M/WBE review when there are changes to the M/WBE goal amount.

### What needs to be submitted along with an amendment?

An amendment always requires an FS-10-A, updated Goal Calculation Worksheet, updated and cohesive Utilization Plan, and Notices of Intent if the grantee is adding new vendors.

If an amendment has a net increase or decrease, we require an amendment package for the "Proposed Amended Total," not the "Net Increase or Decrease."

### **Good Faith Efforts**

### Is it sufficient to send a memo as evidence of Good Faith Efforts?

It is only sufficient to send a memo as "evidence of good faith efforts" when describing a policy, such as a school's transportation policy. It is not sufficient to submit a memo as evidence of good faith efforts if there are areas of opportunity and the grantee is stating, "we were unable to locate an M/WBE for abc" or "we contacted XYZ M/WBE vendor, but they never responded." For both of these examples, grantees must show evidence that they contacted vendors (e.g. email exchange).

Furthermore, Article 15A is a legal requirement for all New York State contracts; therefore, all grantees must adhere to the requirements of the law. If an M/WBE vendor is significantly more expensive than a non-M/WBE vendor, the M/WBE Unit must see evidence of good faith efforts, such as a price comparison between the M/WBE vendor and the non-M/WBE vendor, to process a waiver. It is not sufficient to simply state "M/WBE prices are too high," without providing any evidence that the grantee contacted M/WBE vendors.