

SMALL BUSINESS ENTERPRISE PROGRAM

To be eligible businesses must:

- Have a principal place of business in either New York or New Jersey.
- Have operated in that specific type of business for at least three (3) years.
- Not exceed the average annualized gross revenue limitations cited below for the last three (3) fiscal years.

Average Annualized Gross Revenue Limitation and other Port Authority Pre-Requisites by Procurement Category

- Construction - \$14 million**
The Port Authority's Engineering Department must also qualify construction firms. This requires the submittal of acceptable references for completed contracts. A minimum of three acceptable references is required for each construction specialty area (not to exceed three specialties).
- Commodity - \$7 million**
The Port Authority's Procurement Department provides a five percent (5%) price preference in designated contracts to eligible Commodity firms
- Janitorial Maintenance - \$16.5 million**
- Financial Services - \$7 million**

For assistance in completing this application, please contact the Office of Business Diversity and Civil Rights at: either (212) 435-7808 or certhelp@panynj.gov

Small Business Enterprise (SBE) Certification Application

Please answer all questions. Indicate N/A where not applicable.

1. Business Name: _____ Federal EIN OR SSN _____

2. Address: _____

City: _____ County: _____ State: _____ Zip/Zip+4: _____

Phone Number: _____ Fax Number: _____

Business E-mail Address: _____ Business Website: _____

Business Owner/Title: _____ Cell Phone: _____ Email: _____

Contact Person/Title: _____ Phone Number: _____ Email: _____

3. Business Structure:

Sole Proprietorship

Partnership

Corporation

Limited Liability Company

Limited Liability Partnership

Limited Partnership

a. The above type of ownership since: _____

b. Date established: _____

c. Method of acquisition (Explain): _____

d. Date of Acquisition: Month _____ Year _____

4. Is this a Veteran Owned Business? Yes No

a. Veteran Owned Business (VOB)

b. Service Disabled Veteran Owned Business (SDVOB)

If "Yes", please provide a copy of the verification letter from the U.S. Department of Veteran Affairs, Center for Veterans Enterprise

5. Names of Officers, Owners, or Partners:

President: _____ Vice President: _____

Treasurer: _____ Secretary: _____

Owners or Partners (not listed above) _____

6. Is this firm a subsidiary of another company? Yes No

If yes, name of parent company:

(Parent Company must submit SBE application and meet SBE guidelines.)

7. List below the firm's gross receipts reported for each of the last three (3) fiscal years.
(Copies of completed federal business tax returns must be submitted to substantiate your income)

Month/Year

Year ending _____ \$ _____

Year ending _____ \$ _____

Year ending _____ \$ _____

8. Please check the industry which best describes your PRIMARY line of business:

Construction Janitorial Maintenance

Commodity (Purchasing) Financial Services

Describe principal products/commodities sold, specialties or services offered: _____

For Information Use Only

The Port Authority administers a Minority and Women-owned Business Enterprise (M/WBE) program.

Do you wish to apply for certification as a Minority or Women-owned Business Enterprise with the Port Authority?

Yes No

If "Yes", please provide the following information and obtain the application from: <http://www.panynj.gov/business-opportunities/sd-become-certified.html>

Ethnicity and gender of principal owners:

Black Native American Female

Hispanic White (Non-Hispanic) Male

Asian Other (specify) _____

Has your business ever applied for certification as an M/W/SBE, or a DBE (whether SBA 8(a), Transportation, or other) with another governmental agency, department, or authority?

Yes _____ No _____

If "Yes", provide the following:

Name of Governmental Entity	Entity Contact	Program (MBE, WBE, SBE, DBE)	Status (Pending, Certified, Decertified, Denied, On Appeal)	Date (mm/yy)

SUPPORTING DOCUMENTATION CHECKLIST

Attach copies of the following documents, as applicable. Indicate documents submitted by checking the appropriate boxes. **COPIES ONLY – NO ORIGINALS.**

1. REQUIRED FOR ALL APPLICANTS

1. Most recent three years' business federal taxes (all pages, all schedules)
2. Lease agreement or proof of ownership (deed/mortgage) for business location(s)
3. Marketing data form (attached)
<http://www.panynj.gov/business-opportunities/sd-become-certified.html>

2. REQUIRED FOR SOLE PROPRIETORSHIPS

- Business Trade Name filed with the County Clerk – if doing business under an assumed name

3. REQUIRED FOR PARTNERSHIPS

- Business certificate

4. REQUIRED FOR LIMITED LIABILITY COMPANIES

- Certificate of formation/organization

5. REQUIRED FOR CORPORATIONS

- Articles of incorporation

6. REQUIRED FOR VETERANS AND SDVOBs

- A copy of the verification letter from the U.S. Department of Veteran Affairs, Center for Veterans Enterprise

7. REQUIRED FOR CONSTRUCTION

- Applicable licenses/permits

8. REQUIRED FOR ALL CONSTRUCTION FIRMS

- Construction reference sheet (attached; references must be for jobs completed during the past three years)
<http://www.panynj.gov/business-opportunities/sd-become-certified.html>

9. REQUIRED FOR JANITORIAL MAINTENANCE FIRMS

- Visit www.panynj.info/supplierdiversity for prequalification information.

ACKNOWLEDGMENTS AND VERIFICATION

FIRST, this application form, the supporting documents, and any other information provided in support of this application are considered part of the application. The making of any false statements or misrepresentations in the application may result in applicant's disqualification from certification as a Small Business Enterprise (SBE) by The Port Authority of New York and New Jersey and its subsidiaries (hereinafter referred to as the "Port Authority").

SECOND, the information contained herein is subject to the Port Authority's Freedom of Information policy amended in May 2008.

THIRD, the Port Authority may require further proof of SBE eligibility in addition to the information disclosed in this application and the applicant shall cooperate with the Port Authority in supplying the additional information. By filing this application, the applicant agrees to submit the additional proof required and acknowledges that the Port Authority may decide to deny the application if the additional proof is not submitted within 30 days after it is requested.

FOURTH, by filing this application, the applicant consents to examination of its books and records and interviews of its principal and employees by the Port Authority to determine whether the applicant is, or continues to be, an eligible SBE. The applicant acknowledges that its certification may be immediately denied or revoked if such examinations or interviews are refused or if the Port Authority determines, as a result of the examinations or interviews that the applicant does not qualify for certification as SBE.

FIFTH, by filing this application, the applicant consents to inquiries being directed by the Port Authority to the applicant's bonding companies, banking institutions, credit agencies, contractors, clients and other certifying agencies to ascertain the applicant's eligibility for certification. If the applicant fails to permit such inquiries to be made, such failure may be grounds for denying or revoking the applicant's certification.

SIXTH, the applicant agrees that it will advise the Port Authority of any change in the ownership or operational and managerial control of applicant's business after the certification application has been filed, within 30 days of such change.

SEVENTH, certification is granted for a period of five (5) years. However, the Port Authority may require submission of a new application, additional information, and examinations of the applicant's principals and employees at any time before the expiration of the five (5) year certification period. The applicant's failure to submit such material or to consent to such examinations and interviews will be grounds for immediate revocation of certification.

EIGHTH, the filing of this application, its acceptance by the Port Authority, and any subsequent certification of the applicant by the Port Authority, is not intended to and does not create any procedural or substantive rights enforceable under law by the applicant against the Port Authority, its Commissioners, officers or employees and any such certification is only intended to facilitate the identification of qualified and bona fide Small Business Enterprises.

NINTH, the Code of Ethics certification attached hereto shall be considered a part of this certification application and the applicant is advised to familiarize him/herself with the terms of the certification prior to submitting this application.

TENTH, in submitting this application, the applicant and each person signing on behalf of the applicant certifies that, to the best of their knowledge and belief, the following statements are true and correct.

A. No individual who is a current or former employee of the Port Authority or its subsidiaries (i.e., Port Authority Trans-Hudson Corporation (PATH); Newark Legal Communications Center Urban Renewal Corporation) other than those individuals identified in the space immediately below (1) owns an interest in; or (2) has involvement in a relationship with the applicant firm (a) from or as a result of which the individual has received within the past year, or is entitled to receive in any future year, more than \$1,000 or its equivalent; or (b) which has a market value in excess of \$1,000 (*list any such current or former Port Authority employee(s)).

B. No individual who is a current or former employee of the Port Authority or its subsidiaries other than those individuals identified in the space immediately below (1) holds a position in the applicant firm such as an officer, director, trustee, partner, employee or a position of management; or (2) acts as a consultant, agent or representative of the firm in any capacity (*list any such current or former Port Authority employee(s)).

*Included within the scope of this certification are the individuals identified by the applicant in response to Question 5.

Signature

_____/_____/_____
Date

CODE OF ETHICS CERTIFICATION

In signing and submitting the annexed Certification Application, each applicant and each person signing on behalf of any applicant certifies that they have not made any offers or agreements or given or agreed to give anything of value or taken any other action with respect to any employee or former employee of The Port Authority of New York and New Jersey or any of its subsidiaries (hereinafter referred to as "the Authority") or any immediate family member of either which would constitute a breach of ethical standards under the Code of Ethics and Financial Disclosure revised April 11, 1996 (a copy of which is available upon request to the Office of Business & Job Opportunity), nor do they have any knowledge of any act on the part of such employee or former employee relating either directly or indirectly to the applicant which constitutes a breach of the ethical standards set forth in said Code.

As used herein "anything of value" shall include but not be limited to any (a) favors, such as meals, entertainment, transportation (other than that contemplated by any Authority contract), etc., which might tend to obligate the Authority employee to the Contractor and (b) gift, gratuity, money, goods, equipment, services, lodging, discounts not available to the general public, offers or promises of employment, loans or the cancellation thereof, preferential treatment or business opportunity. Such term shall not include compensation contemplated by any Authority contract.

The foregoing certification shall be deemed to have been made by the applicant as follows: If the applicant is a corporation, such certification shall be deemed to have been made not only with respect to the applicant itself, but also with respect to each director and officer, as well as, to the best of the certifier's knowledge and belief, each stockholder with an ownership interest in excess of 10%; if the applicant is a partnership, such certification shall be deemed to have been made not only with respect to the applicant itself, but also with respect to each partner. Moreover, the foregoing certification, if made by a corporate applicant, shall be deemed to have been authorized by the Board of Directors of the applicant, and such authorization shall be deemed to include the signing and submission of the bid and the inclusion therein of such certification as the act and deed of the corporation.

In any case where the applicant cannot make the foregoing certification, the applicant shall so state and shall furnish with the application a signed statement which sets forth in detail the reasons thereof.

The foregoing certification or signed statement shall be deemed to have been made by the applicant with full knowledge that it would become part of the records of the Authority and that the Authority will rely on its truth and accuracy in granting certification.

Applicants are advised that knowingly providing a false certification or statement pursuant hereto may be the basis for prosecution for offering a false instrument for filing (see e.g., New York Penal Law, Section 175.30 et. Seq.). Applicants are also advised that the inability to make such certification will not in and of itself disqualify an applicant, and that in each instance the Authority will evaluate the reasons therefore provided by the applicant.

VERIFICATION

STATE OF _____

COUNTY OF _____

(A) For Sole Proprietorships, Partnerships, and Limited Liability Partnerships

(Name) _____, being duly sworn, states that he or she is the owner of (or a Partner in) the entity filing the foregoing application and that the statements and representations made in the application are true to his or her own knowledge.

Signature Date

(B) For Corporations and Limited Liability Companies

_____, being duly sworn, states that he or she is the
Name of Corporate Officer

_____ of _____
Title of Corporate Officer Name of Corporation

the entity filing the foregoing application, that he or she has read the application and knows its contents, that the statements and representations made in the application are true to his or her knowledge and that the application is filed at the direction of the Board of Directors of the Corporation.

Corporate Seal _____ Signature Date

Sworn to before me this

_____ day of _____, 20_____

Notary Public

Mail to: The Port Authority of New York and New Jersey
Office of Business and Civil Rights/Certification Unit
233 Park Avenue South, 4th Floor
New York, NY 10003

NOTE: Applicant must also sign page 4

MARKETING DATA FORM

The information presented on this form will be used to help market the goods/services that your company provides. If the Port Authority certifies your firm, we will add this information to our on-line directory of minority and women-owned businesses. Other certifying agencies, Port Authority tenants and prime contractors utilize the directory and may contact you for possible contract opportunities.

Business Name: _____

Phone: _____

Business Email address: _____

Contact Person: _____

Contact Phone: _____

Contact Email Address: _____

As a marketing tool, in approximately 30 words or less, and in complete sentences, describe the services that your firm provides:

4 a) Preferred Contract Size Range: Minimum = \$ _____
Maximum = \$ _____
b) Annual Contract Capacity: = \$ _____

5 Union affiliation. Check one:
_____ Non-Union Shop
_____ Union Shop – Enter local(s): _____

6. Number of Full-time Personnel:
_____ Permanent Office Staff _____ Permanent Field Staff

7. Current Bonding Limits, if applicable
a) Surety Company Name: _____
b) Single Bonding Limit: \$ _____
c) Aggregate Bonding Limit: \$ _____

8. a) What percentage of last year's gross sales was earned performing prime work versus subcontracting work?
_____ % Prime Contracts _____ % Sub Contracts

b) List approximate Gross Sales for last year in each major service/category your firm provided (Minimum – 1, Maximum – 3):

Service/Category 1: _____ \$ _____
Service/Category 2: _____ \$ _____
Service/Category 3: _____ \$ _____

CONSTRUCTION REFERENCE SHEET

INSTRUCTIONS: Please fill in all requested information. VERIFICATION AND EVALUATION OF CONSTRUCTION CONTRACTOR'S REFERENCES WILL BE PERFORMED BY THE PORT AUTHORITY'S ENGINEERING DEPARTMENT. Four different company references are required for each specialty code (see att. #). A separate contractor reference sheet is required for each specialty code. Note: THE SAME REFERENCES ARE PERMITTED FOR DIFFERENT SPECIALTIES.

Please feel free to make as many copies of this form as needed to submit your references.

Contractor: _____ Specialty Code: _____

Address: _____

Contact: _____ Telephone No.: _____

REFERENCE NO. 1

Name of Company: _____

Address: _____

Contact: _____ Telephone No.: _____

Scope of work performed: _____

Date Work Completed: _____ Amount of Contract: \$ _____

REFERENCE NO. 2

Name of Company: _____

Address: _____

Contact: _____ Telephone No.: _____

Scope of work performed: _____

Date Work Completed: _____ Amount of Contract: \$ _____

REFERENCE NO. 3

Name of Company: _____

Address: _____

Contact: _____ Telephone No.: _____

Scope of work performed: _____

Date Work Completed: _____ Amount of Contract: \$ _____

REFERENCE NO. 4

Name of Company: _____

Address: _____

Contact: _____ Telephone No.: _____

Scope of work performed: _____

Date Work Completed: _____ Amount of Contract: \$ _____

**ALL CATEGORIES
M/WBE & SBE LISTINGS***

Air Duct Cleaning	15.000	Misc. Metals	05.001
Alarms	16.001	Modular Building	02.314
Asbestos Removal	02.450	Pavement Striping	02.153
Asphalt Cleaning	02.153	Pavers	02.153
Asphalt Paving	02.153	Paving & Utilities	02.150
Borings	02.250	Pile Driving	02.251
Caulking	02.300	Pipe & Catch Basin Cleaning	02.154
Ceilings	02.300	Pipe Insulation	15.050
Concrete	03.000	Power Cleaning	03.003
Corrosion Control	03.003	Railroad Construction	02.400
Curtain Wall	02.300	Rigging	02.252
Demolition	02.000	Roofing	07.000
Electrical	16.000	Sandblasting	03.003
Electronics	16.001	Sawcutting	02.200
Elevator Installation	16.000	Scaffolding	02.252
Fencing & Guardrails	02.050	Sealcoating	02.153
Fiber Optics	16.001	Security-Detention Cells	02.300
Fireproofing	02.304	Sheet Metal	15.000
Floor Covering	02.300	Sign Erection	02.312
Flooring	02.300	Site Work	02.151
G.C.-Bldg.	02.300	Solid Waste Disposal	02.600
G.C.-Heavy	02.250	Steel Erection	05.000
Glazing	02.310	Steel Fabrication	05.003
Hazardous Material Disposal	02.600	Stonework	02.308
Hazardous Material Removal	02.600	Storefronts	02.307
Highway Safety Equipment	02.200	Structural Steel/Bridge Painting	02.300
HVAC Controls	15.000	Surveying	02.100
Inspection & Testing	-----	Tile & Terrazzo	02.308
Insulation	02.300	Toll Booths	02.313
Interior Renovations	02.300	Traffic Signs	02.312
Janitorial Services	-----	Trucking	02.151
Landscaping	02.100	Underground Storage Tanks	02.500
Loading Bridges	-----	Underwater Inspection	02.351
Locksmith	02.300	Waste Clean-Up	02.600
Marine Construction	02.350	Waterproofing	02.309
Masonry	02.305	Welding	05.000
Mechanical	15.000/15.050	Well Drilling	02.251
Milling	02.152		

(*Inclusive Corresponding Category
Numbers from Contracts Division)