

Monitoring and Updating Your Organization’s Prequalification Status

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Introduction

Once your organization becomes prequalified in the NYS Grants Gateway system, you will need to monitor the status of your document vault to ensure that your organization remains eligible to apply for grant opportunities. Because required documents, e.g. IRS990, Audit, and CHAR500, expire on a yearly basis, your organization's document vault needs to be updated annually. It is strongly recommended that you update required documents proactively. This document describes the benefits of doing so and, in contrast, the risks associated with allowing them to expire. Thereafter, it provides step-by-step instruction on the process.

The Benefits of Being Proactive

Your organization will receive emails 30, 20, and 10 days prior to the expiration of required documents notifying you that action is necessary. If you proactively open your Document Vault to update required documents prior to expiration your document vault will be placed in *Document Vault Prequalified Open* status. Your organization will remain eligible to apply for grants while in this status. Once you have updated and submitted your document vault, your document vault status will change to *Document Vault Prequalified /In Review*. Likewise this is a prequalified status and you are eligible to apply for grants.

The Consequences of Waiting Too Long

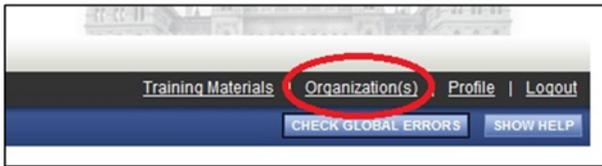
If you allow one or more required documents to expire, your document vault will be automatically move to *Document Vault Expired* status. Your organization is not eligible to apply for grants in this status. Once you have updated and submitted your document vault, your status will change to *Document Vault In Review*. Likewise, this is not a prequalified status and you are not eligible to apply for grants. Your organization will receive emails 1, 5, 15, 30, and 60 days following the expiration of one or more required documents to ensure you are aware that action is necessary.

1. Determine Your Organization's Document Vault Status

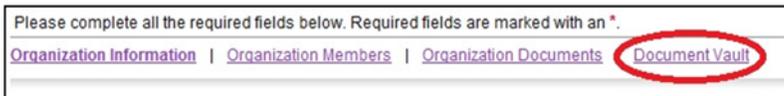
1.1. Log into the Grants Gateway system.

1.1.1. Only a user with the role of Grantee Delegated Administrator or Grantee can access the Document Vault.

1.2. Click on the Organization(s) link in the black navigation bar.



1.3. Click on the Document Vault link in the organization navigation bar.



1.4. Your organization's Document Vault status will display in the Current Status field.

1.4.1. If your Document Vault is Prequalified follow the steps below to open it.



My Organization Information

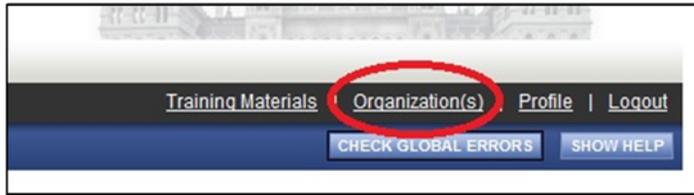
Please complete all required forms below.

[Details](#)

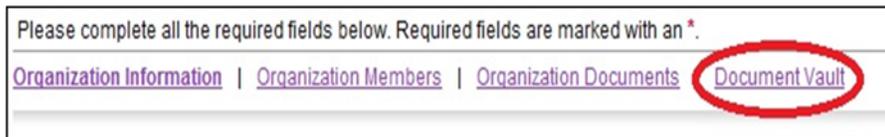
Info	Document Type	Organization	Role	Current Status	Period Date / Date Due
	Document Vault	Your Organization Name	Grantee	Document Vault Prequalified	N/A - N/A N/A

2. Open Your Document Vault (Document Vault Prequalified Open)

2.1. Click on the Organization(s) link in the black navigation bar.



2.2. Click on the Document Vault link in the organization navigation bar.



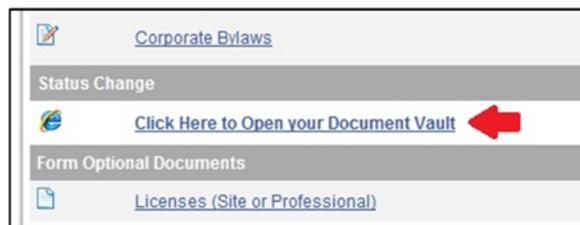
2.3. Your organization's Document Vault status will display in the Current Status field.



A screenshot of a table titled 'My Organization Information'. The table has a blue header row and a white body row. The header row contains the following columns: 'Info', 'Document Type', 'Organization', 'Role', 'Current Status', and 'Period Date / Date Due'. The body row contains the following data: 'Document Vault', 'Your Organization Name', 'Grantee', 'Document Vault Prequalified', and 'N/A - N/A / N/A'. The 'Current Status' column header is circled in red.

Info	Document Type	Organization	Role	Current Status	Period Date / Date Due
	Document Vault	Your Organization Name	Grantee	Document Vault Prequalified	N/A - N/A / N/A

2.4. Open the Document Vault by scrolling down and clicking the link in the Status Change section.



2.5. Click the [DOCUMENT VAULT PREQUALIFIED OPEN] button and follow the prompts to open your Document Vault.

Possible Statuses

DOCUMENT VAULT PREQUALIFIED OPEN

The grantee is currently Prequalified, but has Opened the Document Vault to update critical documents prior to expiration.

DOCUMENT VAULT PREQUALIFIED OPEN

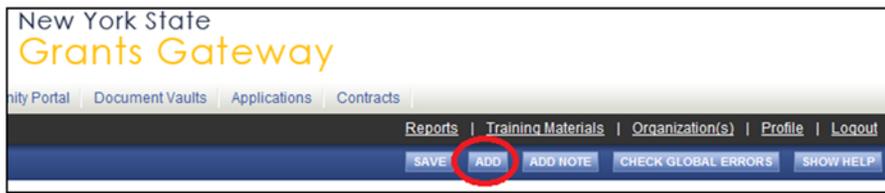
2.6. Once the Document Vault has been put in the *Prequalified Open* status, you can update and save your new forms.

3. Update Expired or Expiring Documents

3.1. Update the IRS 990 Forms

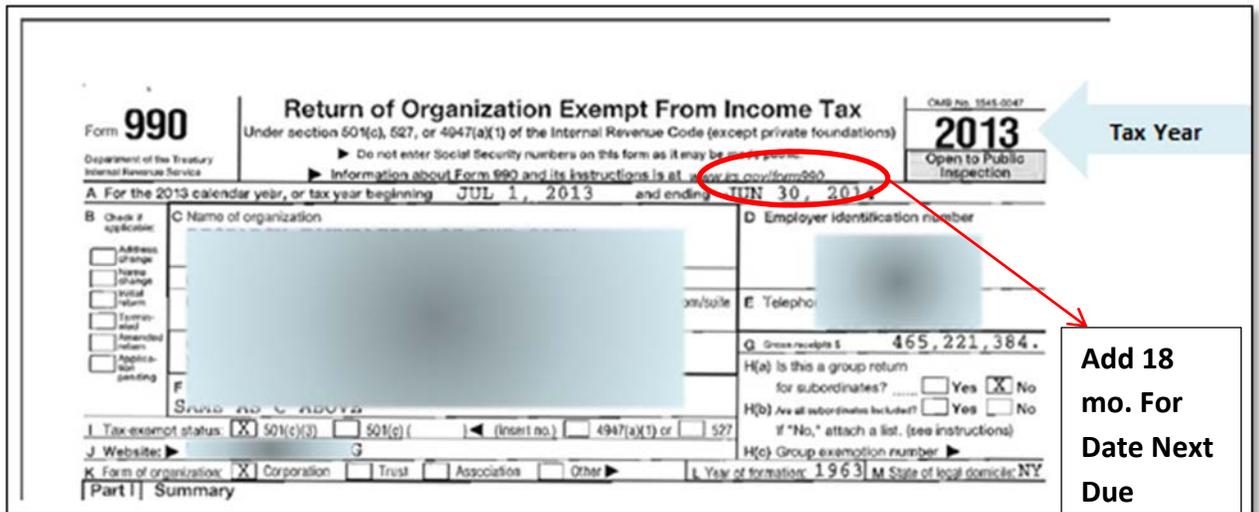
3.1.1. From the main Document Vault screen, click on the link for the IRS 990 section.

3.1.2. Click the [ADD] button, only once, from the blue navigation ribbon at the top of the screen to add a new screen. NOTE: Previous documents cannot be deleted or altered.



3.1.3. Attach the upload using the [Browse...] button and then fill out the Last Filing Date, Tax Year, Date next 990 is Due and Fiscal Year End Date fields.

3.1.4. Date Next 990 Is Due: This is the date by which you must file your next IRS990. For a straightforward form without any extensions, this is 18 months after the end-date of the fiscal year you are filing.

A screenshot of the IRS Form 990, Return of Organization Exempt From Income Tax, for the year 2013. The form is titled 'Return of Organization Exempt From Income Tax' and includes the text 'Under section 501(c), 527, or 4047(a)(1) of the Internal Revenue Code (except private foundations)'. The tax year is 2013, and the period covered is from July 1, 2013, to June 30, 2014. A red circle highlights the 'For the 2013 calendar year, or tax year beginning JUL 1, 2013 and ending JUN 30, 2014' field. A red arrow points from this field to a callout box that says 'Add 18 mo. For Date Next Due'. The form also includes fields for the organization's name, address, telephone, and employer identification number.

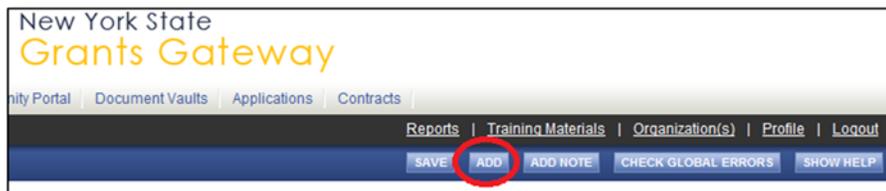
Example: Fiscal year end date is June 30, 2014. The date the next form 990 is due is December 31, 2015.

3.1.5 Click [SAVE] to save your updated IRS990.

3.2. Update the Audit Review and Findings Section: Grantees are required to upload their most recent audit or financial statement. In most cases, the document will cover the tax period of the forms uploaded for the IRS 990.

3.2.1. Scroll down and click on the Audit/Reviews and Findings section.

3.2.2. Click the [ADD] button, only once, from the blue navigation ribbon at the top of the screen to add a new screen. NOTE: Previous documents cannot be deleted or altered.



3.2.3. Attach the upload using the [Browse...] button and then fill out the Date Completed, Tax Year, Date Next Audit is Due and Fiscal Year End Date fields.

A screenshot of the upload form in the Grants Gateway system. At the top, there is a text instruction: "Not-for-profits must upload their most recent CPA Review, Independent Audit, or A133 Audit and any material findings. If an organization does not have any of these, they will be instructed to upload a document with their budgets for the current and most recent fiscal year." Below this, there is an "Upload" label followed by a text input field and a "Browse..." button. Underneath, there are four input fields arranged in two rows. The first row contains "Date Completed" and "Tax Year". The second row contains "Date next Audit is Due" and "Fiscal Year End Date". Each of these four input fields has a red asterisk to its right, indicating they are required fields.

3.2.4. Date Next Audit is Due: This should match the date the next IRS 990 is due. Extensions for filing IRS 990 are also acceptable for the Audit/Review and should be uploaded to this section, and the extended due-date indicated.

3.2.5. Click [SAVE] to save your updated Audit Form.

3.3. Update the CHAR500 Forms

3.3.1. Scroll down the screen to click the CHAR 500 section.

3.3.2. Click the [ADD] button, only once, from the blue navigation ribbon at the top of the screen to add a new screen. NOTE: Previous documents cannot be deleted or altered.

3.3.3. Attach the upload using the [Browse...] button and then fill out the Date Filed and Date next Filing is Due fields.

3.3.4. Date next Filing is Due: This is the date by which you must file your next CHAR500. As the Charities Bureau no longer requires written or emailed requests for extension to file, please input a Date Next Due 23 months and 15 days (the length of time for regular filing, plus two 90-day extensions) in the future.

CHAR500
NYS Annual Filing for Charitable Organizations
www.CharitiesNYS.com

Send with fee and attachments to:
NYS Office of the Attorney General
Charities Bureau Registration Section
120 Broadway
New York, NY 10271

2013
Open to Public Inspection

Tax Year

1. General Information
For Fiscal Year Beginning (mm/dd/yyyy) 07/01/2013 and Ending (mm/dd/yyyy) 06/30/2014

Check if Applicable:
 Address Change
 Name Change
 Initial Filing
 Final Filing
 Amended Filing
 Reg ID Pending

Employer Identification Number (EIN):
N
T
Email:

Check your organization's registration category:
 7A only EPTL only DUAL (7A & EPTL) EXEMPT

Find your registration category in the Charities Registry at www.CharitiesNYS.com

Add 23 mo. 15 days for Date Next

3.3.5. Click [SAVE] to save your new CHAR500 form.

3.4. Filing Extensions

3.4.1. If you have requested extension to file from the IRS, we accept extension documentation in place of both the 990 and the Audit Review/Findings.

3.4.2. Following the instructions above, provide either IRS approval of your filing extension, or IRS form 8868, page 1 or 2, as appropriate.

3.4.3. Enter your Date Next Due as the actual date reflected on the form uploaded:

Important information about your December 31, 2013 Form 990

We approved your Form 8868, Application for Extension of Time To File an Exempt Organization Return

We approved the Form 8868 for your
December 31, 2013 Form 990.
Your new due date is November 15, 2014.

What you need to do

File your December 31, 2013 Form 990 by November 15, 2014. We encourage you to use electronic filing—the fastest and easiest way to file.

Visit www.irs.gov/charities to learn about approved e-file providers, what types of returns can be filed electronically, and whether you are required to file electronically.

151 With the dates and times of an individual's extension to file:

4 I request an additional 3-month extension of time until 11/15/14.

5 For calendar year 2013, or other tax year beginning _____ and ending _____.

6 If the tax year entered in line 5 is for less than 12 months, check reason: Initial return Final return
 Change in accounting period

7 State in detail why you need the extension
Additional time is requested to gather information to prepare a complete and accurate return.

Date Next
Due

3.4.4. The NYS Charities Bureau no longer issues approval or acknowledgement of extension. However, if you must extend your CHAR500 due-date, the Gateway requires a document upload. You may provide this document to substantiate your extension:

<http://www.charitiesnys.com/pdfs/extensiongranted.pdf>

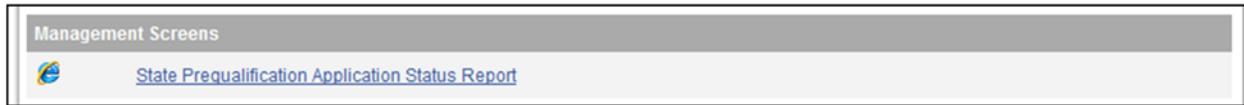
4. Submit Your Document Vault for Review

- 4.1. Click the Document Vault link at the top of the sections to return to the main Document Vault page.
- 4.2. Scroll down to the Status Change section and click the Click Here to Submit Document Vault link in the middle of the page. Follow the prompts and the status of your Document Vault should change to *Document Vault In Review*.
 - 4.2.1. You will receive a system-generated email informing you that your Document Vault has been successfully submitted.
 - 4.2.2. The state agency assigned to review your Document Vault will advise you if there are any unresolved issues.
 - 4.2.3. Once prequalified you will also receive a system generated email informing you of the new status.

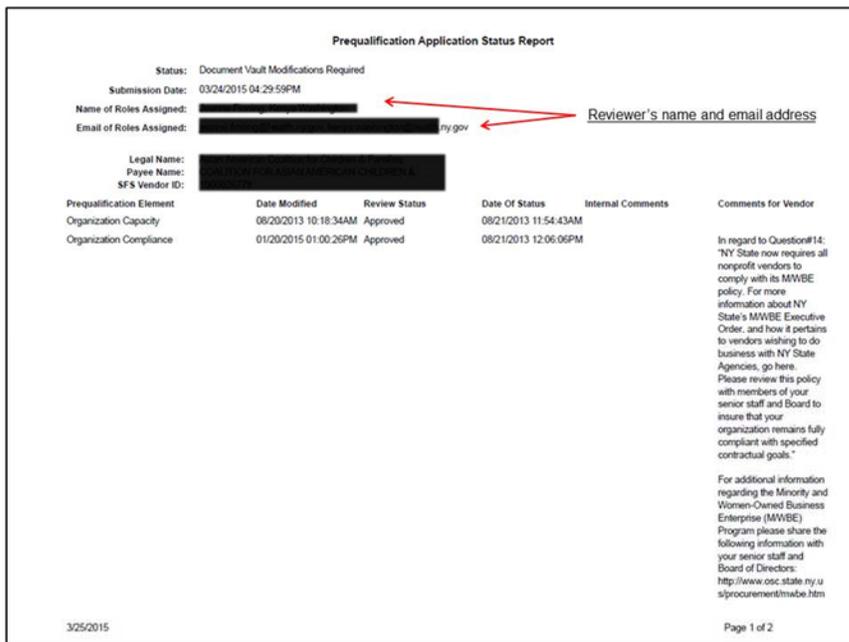


5. State Prequalification Application Status Report

The State Prequalification Application Status Report will show you the current status of your Document Vault, as well as any comments or notes that were added by the state reviewers.



- 5.1. Click on your Document Vault.
- 5.2. Scroll to the Management Screens section at the bottom.
- 5.3. Click on State Prequalification Application Status Report.
- 5.4. The system will ask you to view or save the PDF of the report.
- 5.5. Review the report, taking note of the Comments for Vendor field.
 - 5.5.1. Keep the report open on your desktop or print it to refer to as you work through edits to your Required Forms or Required Documents, as necessary.
- 5.6. Address any issues brought up in the comments sections.



Prequalification Application Status Report

Status: Document Vault Modifications Required
Submission Date: 03/24/2015 04:29:59PM
Name of Roles Assigned: [Redacted]
Email of Roles Assigned: [Redacted]@ny.gov
Legal Name: [Redacted]
Payee Name: [Redacted]
SFS Vendor ID: [Redacted]

Reviewer's name and email address

Prequalification Element	Date Modified	Review Status	Date Of Status	Internal Comments	Comments for Vendor
Organization Capacity	08/20/2013 10:18:34AM	Approved	08/21/2013 11:54:43AM		
Organization Compliance	01/20/2015 01:00:26PM	Approved	08/21/2013 12:06:06PM		In regard to Question#14: "NY State now requires all nonprofit vendors to comply with its MWBE policy. For more information about NY State's MWBE Executive Order, and how it pertains to vendors wishing to do business with NY State Agencies, go here. Please review this policy with members of your senior staff and Board to insure that your organization remains fully compliant with specified contractual goals."

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Note that the reviewer's name and email address can be found on this report, so that you can contact them if you have additional questions.

6. Document Vault Modifications Required

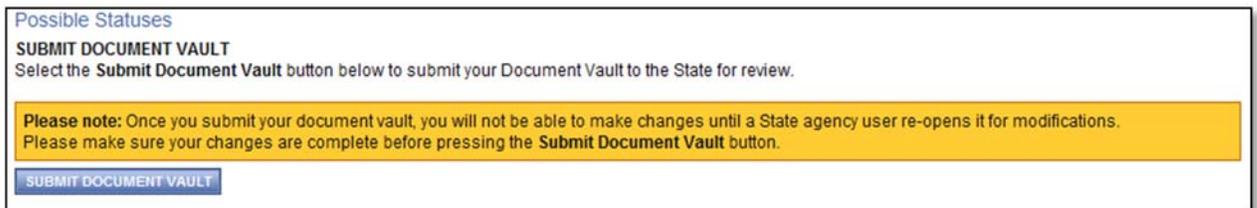
When your Document Vault status is *Document Vault Modifications Required*, this means that a NY State agency reviewer has identified one or more issues that need to be addressed. A reviewer may require changes to any of the Required Forms (the questions you answered) or Required Documents (uploads). This guide will help you determine how to address these requests. Note that Modifications Required is not a Prequalified status, so it is in your organization's best interest to respond to the request for modifications promptly. Once you have made changes and re-submitted your Document Vault, it will move to the status of *Document Vault In Review*. Likewise, this is not a Prequalified status.

- 6.1. Address any errors and omissions. If the modifications require uploading new documents, update those documents as described above.



- 6.2. Once you identify and address the modifications that were requested by the reviewer, scroll to the Status Change section of your Document Vault and click the Status Change Options button.

- 6.3. Click the [SUBMIT DOCUMENT VAULT] button.



- 6.4. You will be required to accept two certifications in order to submit your Document Vault. If you do not click I agree, your Document Vault will not be submitted.

7. Helpful Links

Technical assistance: helpdesk@agatesoftware.com

NYS Grants Reform: grantsreform@its.ny.gov

NYS Grants Reform Website: www.grantsreform.ny.gov

NYS Grants Gateway: <https://grantsgateway.ny.gov>

IRS 990 Extensions (form 8868): <http://www.irs.gov/pub/irs-pdf/f8868.pdf>

NYS Charities Bureau: <http://www.charitiesnys.com/home.jsp>