

Monitoring and Updating Your Organization’s Prequalification Status

Contents

Introduction	1
1. Determine Your Organization’s Document Vault Status	2
2. Open Your Document Vault (Document Vault Prequalified Open).....	3
3. Update Expired or Expiring Documents	5
4. Submit Your Document Vault for Review	9
5. State Prequalification Application Status Report.....	10
6. Document Vault Modifications Required	11
7. Helpful Links	12

Introduction

Once your organization becomes prequalified in the NYS Grants Gateway, you will need to monitor the status of your document vault to ensure that your organization remains eligible to apply for grants. 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

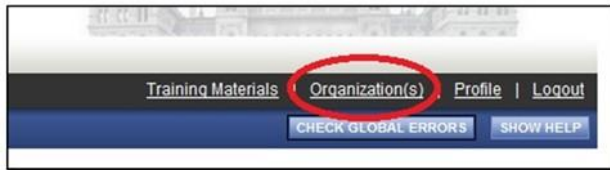
If you allow one or more required documents to expire, your document vault will be automatically move to *Document Vault Expired* status. Your organization is not eligible to apply for grants in this status. Once you have updated and submitted your document vault, your status will change to *Document Vault In Review*. Likewise, this is not a prequalified status and you are not eligible to apply for grants. Your organization will receive emails whenever one or more required documents expires to ensure you are aware that action is necessary. Emails will be received at the initial loss of prequalification as well as 15, 30, and 60 days thereafter.

1. Determine Your Organization's Document Vault Status

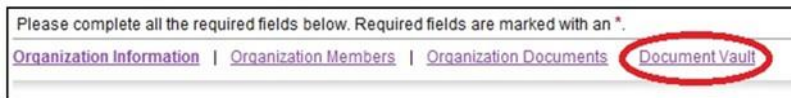
1.1. Log into the Grants Gateway system.

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.



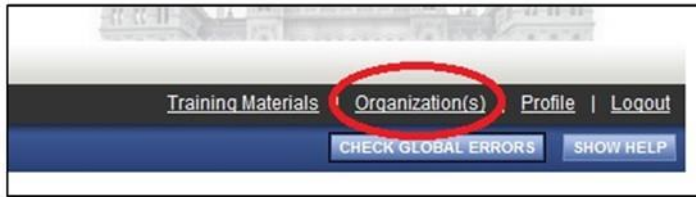
My Organization Information
Please complete all required forms below.

[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.



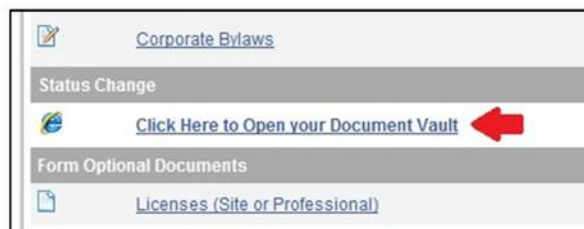
2.2. . Click on the Document Vault link in the organization navigation bar.



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



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

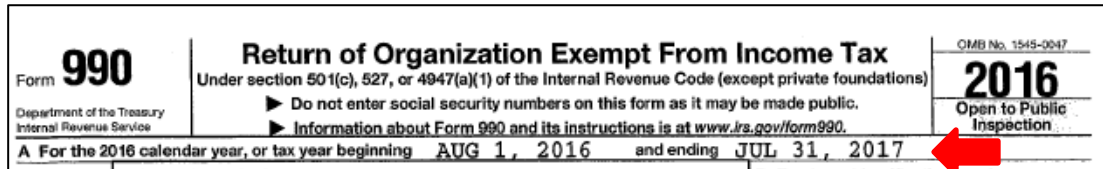
3.1. Update the IRS 990 Forms

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 Tax Year Begin and Tax Year End date fields. The system will automatically populate the Date Next 990 Due field.



3.1.4. Click [SAVE] to save your updated IRS 990.

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 Tax Year Begin and Tax Year End date fields. The system will automatically populate the Date Next Audit Due field.

3.2.4. 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 Tax Year Begin and Tax Year End date fields. The system will automatically populate the Date Next Filing Due field.

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

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.

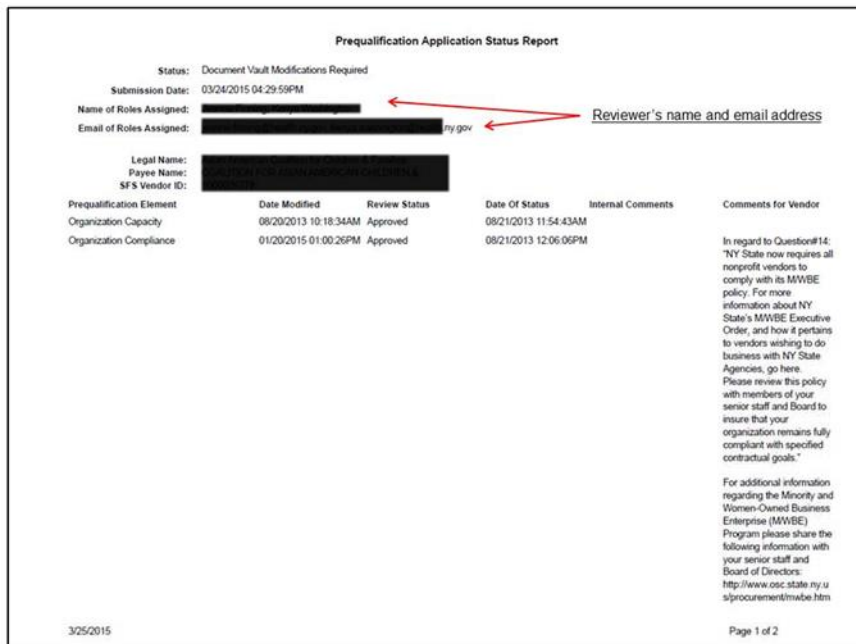


5. State Prequalification Application Status Report

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.

A screenshot of a "Prequalification Application Status Report". At the top, it says "Status: Document Vault Modifications Required" and "Submission Date: 03/24/2015 04:29:59PM". Below this, there are fields for "Name of Roles Assigned", "Email of Roles Assigned", "Legal Name", "Payee Name", and "SFS Vendor ID", all of which are redacted with black boxes. A red arrow points from the text "Reviewer's name and email address" to the redacted email field. Below these fields is a table with columns: "Prequalification Element", "Date Modified", "Review Status", "Date Of Status", "Internal Comments", and "Comments for Vendor".

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."

For additional information regarding the Minority and Women-Owned Business Enterprise (MWBE) Program please share the following information with your senior staff and Board of Directors: <http://www.osc.state.ny.us/sprocurement/mwbe.htm>

3/25/2015 Page 1 of 2

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

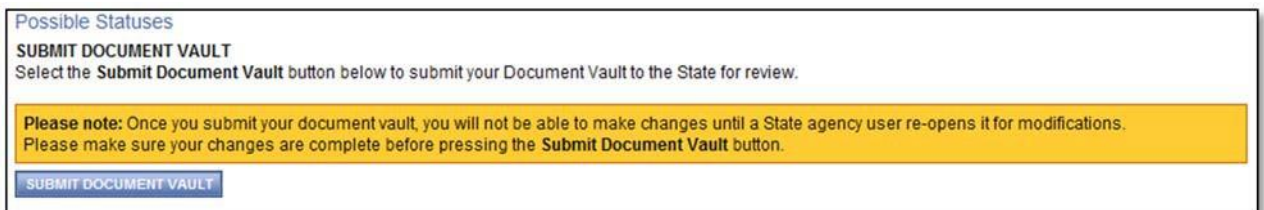
When your Document Vault status is *Document Vault Modifications Required*, this means that a NY State agency reviewer has identified one or more issues that need to be addressed. A reviewer may require changes to any of the Required Forms (the questions you answered) or Required Documents (uploads). 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

NYS Grants Reform: grantsreform@its.ny.gov

Technical assistance: helpdesk@agatesoftware.com

NYS Grants Reform Website: <https://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>