New York State
Grants Gateway

New York State Grants Gateway

Vendor User Guide

Version 1.3

October 1, 2013

Table of Contents

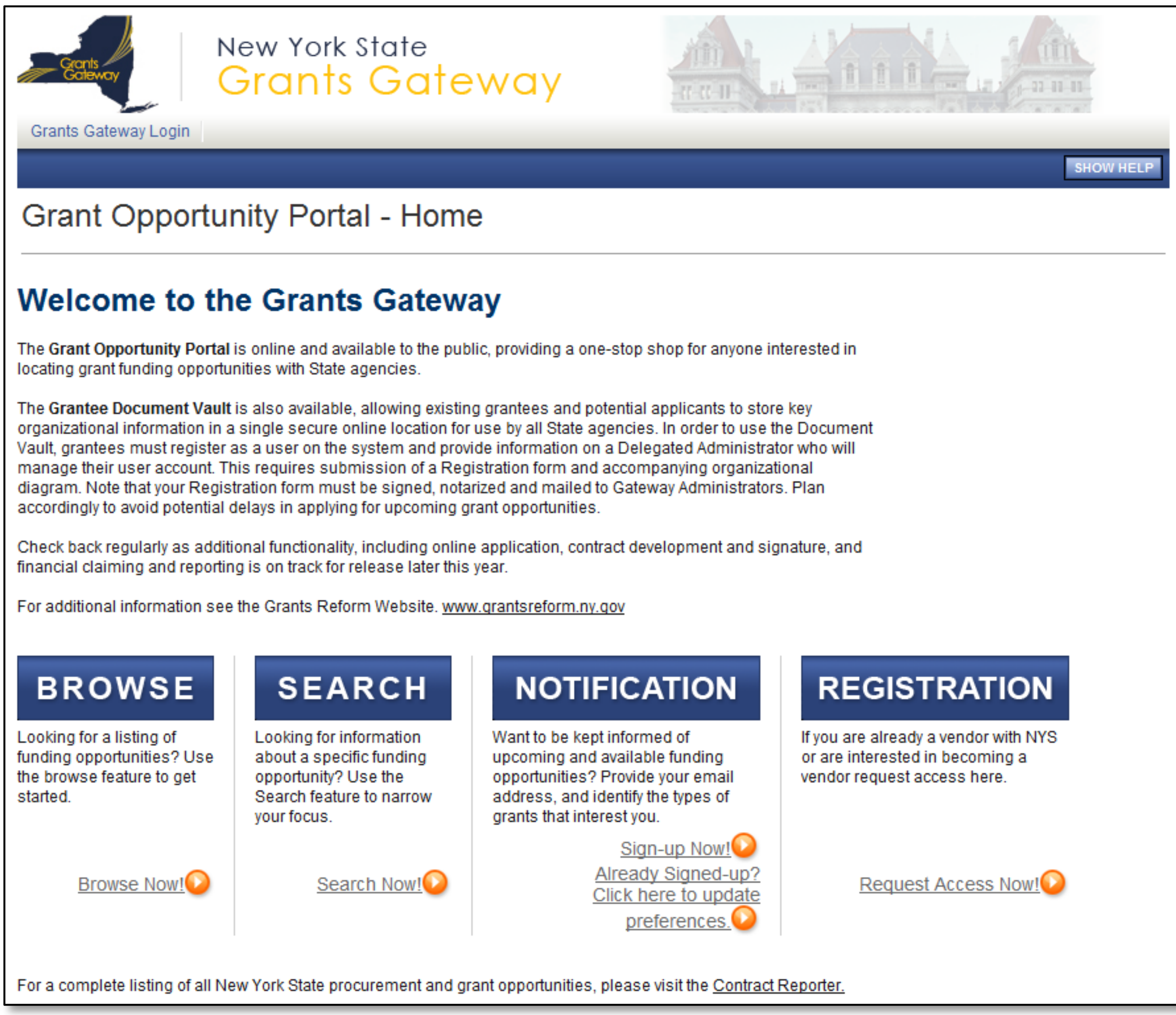
I. Grantee Orientation

Welcome to the New York State (NYS) Grants Gateway. The purpose of this section is to orient new users to all that the Gateway has to offer. It is your checklist to getting started. The following pages provide a basic overview of the functionality available within the Grants Gateway.

- **A.** Grant Opportunity Portal
- **B.** Registration
- **C.** Delegated Administration
- **D.** Grantee Profile:
    1. Organization Information
    2. Document Vault
    3. Prequalification

A. Grant Opportunity Portal

As a new user, the place you will want to start is the Grant Opportunity Portal, which is open to the public and does not require you to be a registered user. The Portal will allow you to browse, search and sign-up to receive notifications regarding State agency grant funding opportunities.



It is recommended that you experiment with the Browse and Search features. Sign-up to receive notifications of upcoming and available funding opportunities and eliminate the need to check back regularly. See **Section II. Grant Opportunity Portal Tutorial** for a full accounting of the available functionality.

B. Registration

NYS Vendors and organizations that would like to become NYS vendors must register their organization in the Gateway and establish users in the system. To start this process, from the Grant Opportunity Portal, under Registration, click "Request Access Now!" to view your options.

Grant Opportunity Portal - Request Access

Grants Gateway Users

If you have already been assigned a Grants Gateway username and password, Click here to log in.

Existing New York State Vendors

If your organization has registered with the Grants Gateway, it will have an Administrator who is responsible for managing users. You will need to contact this individual to request access to the system. If you are unsure of whether your organization has registered for the Grants Gateway or how to contact its Administrator, enter your organization's New York State SFS Vendor ID below. If you do not know your organization's Vendor ID, someone with your finance office may be able to assist you.

Verify SFS Vendor ID

All Other Vendors

If your organization has not previously done business with New York State, you will need to:

1. Download and complete the Substitute W-9 Form to obtain a NYS SFS Vendor ID.
2. Download and complete the Grants Gateway Registration Form.
3. Follow instructions on registration form.

Registration is a straightforward process. For existing NYS vendors, there is only one step. You must submit a Registration Form for Administrators identifying a Delegated Administrator responsible for managing your organization's profile and users. <u>The NYS Grants reform team will create the corresponding account and email your designee their username and password.</u>

To find out if your organization has already registered, enter its SFS Vendor ID number and search. If your organization is registered, the search result will include contact information for its delegated administrator, and you can contact this individual to request access to the system. If your organization is not registered, the search result will provide a link to the Request Form for Administrator, which you will need to complete and submit pursuant to the instructions provided.

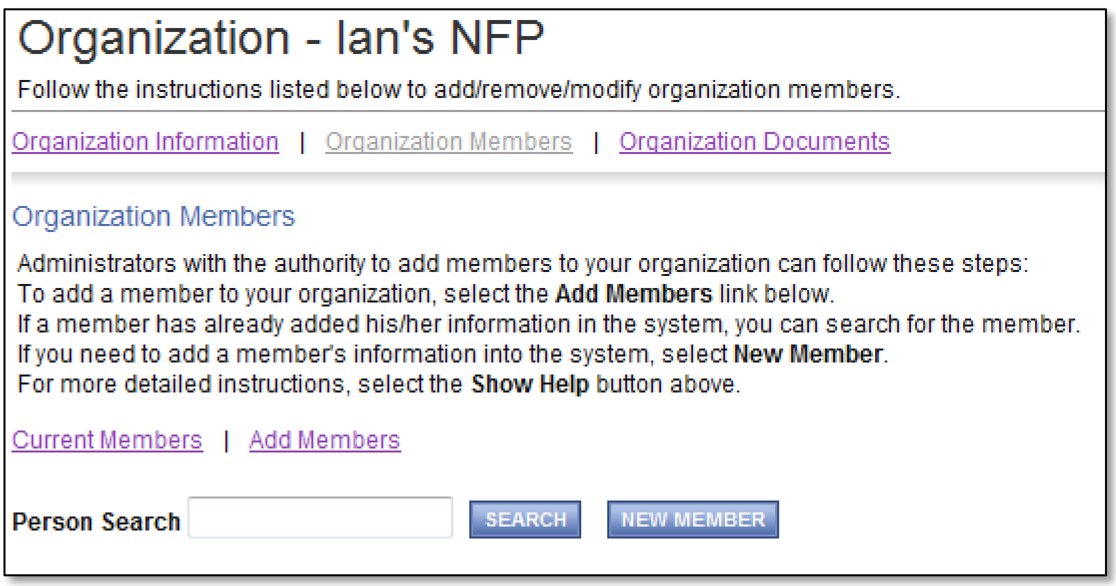
If your organization is not currently doing business with NYS, you will need to submit a Substitute W-9 Form to obtain a NYS SFS Vendor ID, in addition to the Registration Form for Administrators, in order to register.

C. Delegated Administration

Once your organization has registered, and the delegated administrator has received their username, logged-in, and updated their temporary password, they can begin to develop your organization's Gateway profile. This involves creating additional members (users) for your organization and making certain that its Document Vault is up to date.

To view your organization's current members or add new members click on the respective links. At this time, delegated administrators have the option to assign members two different system roles.

1. Delegated Administrator – This role can create additional user accounts for your organization and update its Document Vault.
2. Grantee – This role is limited to updating the Document Vault.

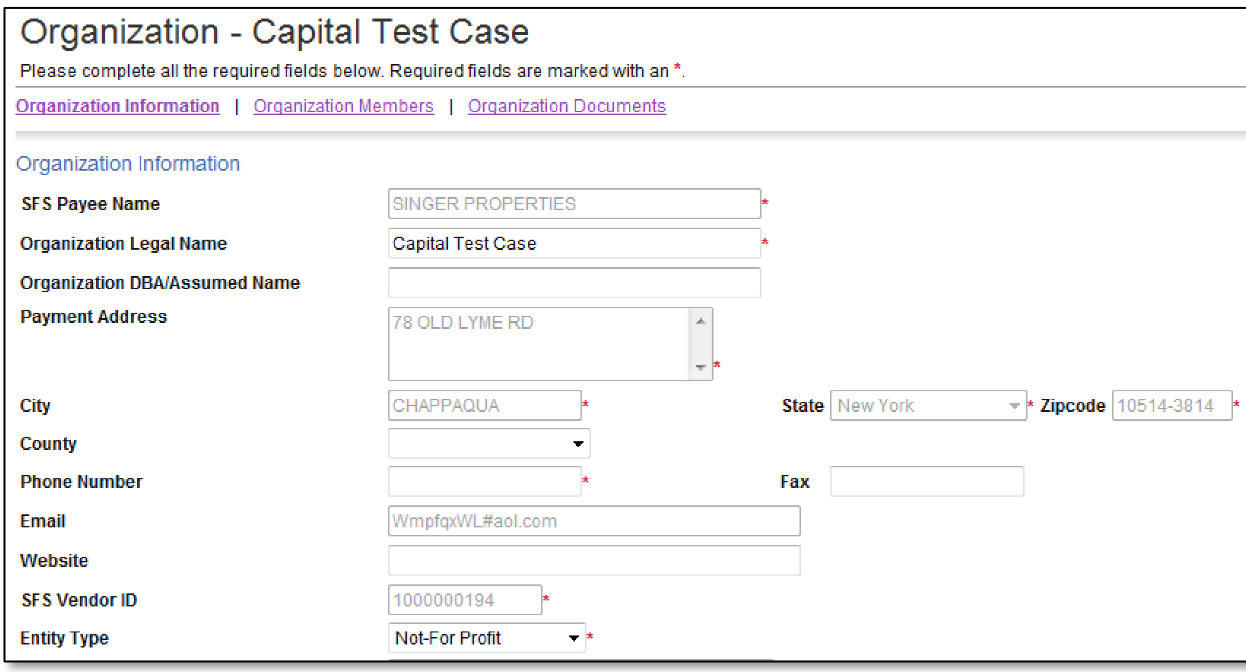


See **Section III. Delegated Administrator Tutorial** for a full accounting of the available functionality.

D. Grantee Profile

1. Organization Information Page

Before you can access the Document Vault, you must update the Organization Information page. You will note that a considerable amount of data for your organization will already be present. This page has been designed to interface with the NYS SFS to ensure that key information from that system is automatically imported into the Gateway and updated on a nightly basis. This eliminates the need to maintain the same information in two separate systems.


Organization - Capital Test Case

Please complete all the required fields below. Required fields are marked with an *.

Organization Information | Organization Members | Organization Documents

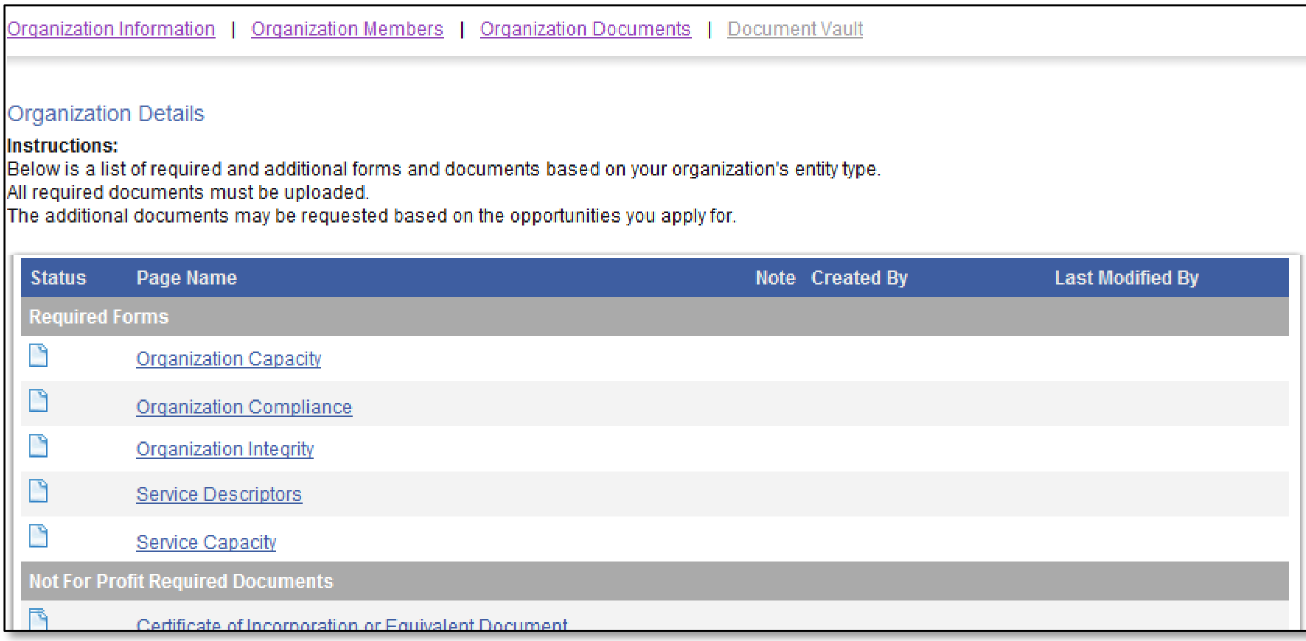
Organization Information

SFS Payee Name	SINGER PROPERTIES *
Organization Legal Name	Capital Test Case *
Organization DBA/Assumed Name	
Payment Address	78 OLD LYME RD *
City	CHAPPAQUA * State New York * Zipcode 10514-3814 *
County	
Phone Number	* Fax
Email	WmpfqxWL#aol.com
Website	
SFS Vendor ID	1000000194 *
Entity Type	Not-For Profit *

Update additional required fields and optional fields as indicated and save your updates. Note that once this has been done, on future logins, you will be able to go directly to the Document Vault.

2. Document Vault

The Document Vault is an online repository where you can store key organizational information in a single secure online location for use by all State agencies, replacing the current practice whereby you are repeatedly asked to provide the same document on a program-by-program, agency-by-agency basis.



The Required Forms and Documents displayed will vary by organization type. Begin the process of uploading those documents which are most frequently requested by the State agencies with which you do business. Once they are available in the system, if a State agency requests one of these documents they should be directed to the Grants Gateway. See **Section IV. Document Vault Tutorial** for additional information.

3. Prequalification

As part of the overall Grants Reform effort, Not-for-profit organizations will use the Document Vault as tool to complete a Prequalification Application to do business with the State. This involves uploading a series of required documents; responding to questions regarding their organization's capacity, compliance and integrity; and electronically submitting this information to the State. Once you have completed these tasks, submit your Prequalification Application for State review. See **Section IV. Document Vault Tutorial** for additional information.

II. Grant Opportunity Portal Tutorial

The Grant Opportunity Portal provides a one-stop shop for anyone interested in locating grant funding opportunities with State agencies. The following pages provide detailed information on how to use the functionality within the Grant Opportunity Portal.

A. Grant Opportunity Portal Home
B. Browse a list of Grant Opportunities
C. Search for specific Grant Opportunities
D. Download a Grant Opportunity
E. Sign-up to be notified of upcoming Grant Opportunities
F. Update Notification Preferences
G. Learn how to become a Registered User
H. Logging into the Grants Gateway

A. Grant Opportunity Portal – Home

The Grant Opportunity Portal Home page is available to the public. This page offers a variety of ways for users to locate grant funding opportunities.

New York State
Grants Gateway

Grants Gateway Login

SHOW HELP

Grant Opportunity Portal - Home

Welcome to the Grants Gateway

The **Grant Opportunity Portal** is online and available to the public, providing a one-stop shop for anyone interested in locating grant funding opportunities with State agencies.

The **Grantee Document Vault** is also available, allowing existing grantees and potential applicants to store key organizational information in a single secure online location for use by all State agencies. In order to use the Document Vault, grantees must register as a user on the system and provide information on a Delegated Administrator who will manage their user account. This requires submission of a Registration form and accompanying organizational diagram. Note that your Registration form must be signed, notarized and mailed to Gateway Administrators. Plan accordingly to avoid potential delays in applying for upcoming grant opportunities.

Check back regularly as additional functionality, including online application, contract development and signature, and financial claiming and reporting is on track for release later this year.

For additional information see the Grants Reform Website. www.grantsreform.ny.gov

BROWSE

Looking for a listing of funding opportunities? Use the browse feature to get started.

Browse Now!

SEARCH

Looking for information about a specific funding opportunity? Use the Search feature to narrow your focus.

Search Now!

NOTIFICATION

Want to be kept informed of upcoming and available funding opportunities? Provide your email address, and identify the types of grants that interest you.

Sign-up Now!

Already Signed-up? Click here to update preferences

REGISTRATION

If you are already a vendor with NYS or are interested in becoming a vendor request access here.

Request Access Now!

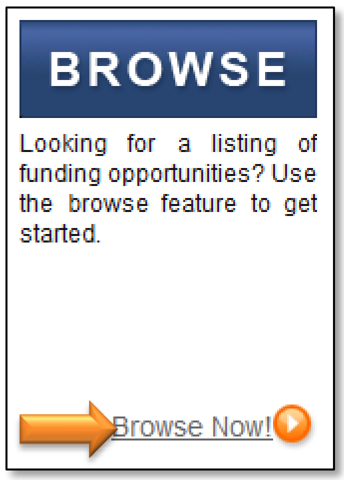
For a complete listing of all New York State procurement and grant opportunities, please visit the Contract Reporter.

B. Browse a list of Grant Opportunities

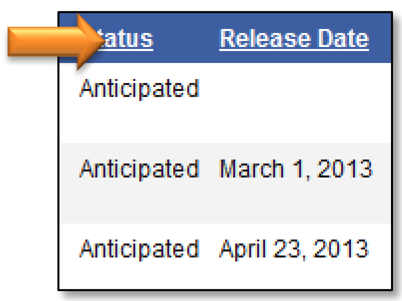
Browsing for opportunities in the Grant Opportunity Portal is a quick and easy way to see what types of available and anticipated funding opportunities have been posted by State agencies.

Browse by doing the following:

1. Click the **Browse Now!** Link on the portal home page.



2. Click on a column header link, such as **Status**, to sort the list by that column.



3. Click the **Grant Opportunity** name to view the Grant Opportunity Profile (see 4. Download a Grant Opportunity in this Section for further details).
   Note: Opportunities with a Status of “Anticipated” will not have a link.

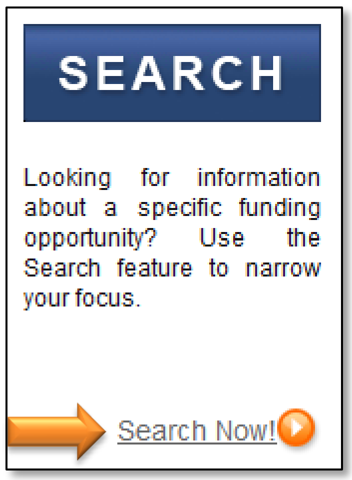
4. Click the **Browse for Opportunities** link on any page to return to the **Browse for Opportunities** page.

C. Browse a list of Grant Opportunities

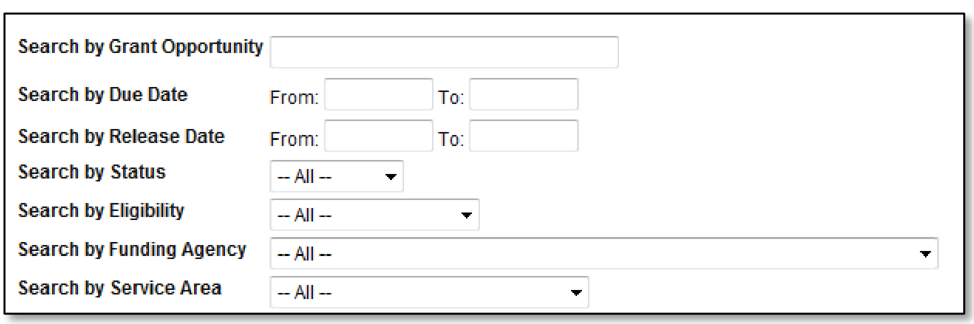
Looking for a specific Grant Opportunity or type of Grant Opportunity? Interested in what opportunities will be available in the future? Use the Grant Opportunities Portal Search functionality to locate funding opportunities.

Search by doing the following:

1. Click the **Search Now!** Link on the portal home page.



2. Enter information in the search fields to narrow your results or click directly on search to see all opportunities in the Grants Gateway.
   - NOTE: Hold the Ctrl key and click with the mouse to make multiple selections when searching by Eligibility, Funding Agency and/or Service Area.



3. Select the **SEARCH** button.

4. Click the **Grant Opportunity** name to view the Grant Opportunity Profile (see 4. Download a Grant Opportunity in this Section for further details).
   Note: Opportunities with a Status of "Anticipated" will not have a link.

5. Click the **Search for Opportunities** link on any page to return to the **Search for Opportunities** page.

D. Download a Grant Opportunity

The Grant Opportunity Portal allows grantees to download PDF versions of available Grant Opportunities. These opportunities can then be completed and submitted to the appropriate State agency.

Download a Grant Opportunity by doing the following:

1. Search or browse for an "Available" opportunity.

2. Click the **Grant Opportunity** name link to view the Grant Opportunity Profile.

Funding Agency	Grant Opportunity	Status	Release Date	Eligibility	Due Date
Department of Environmental Conservation	Technical Assistance Grant	Available	March 8, 2006	Not-For-Profit	
Governor's Traffic Safety Committee	Child Passenger Safety Incentive Grants (CPS) 2014	Available	April 22, 2013	Governmental Entity, Not-For-Profit, Tribal Organization	May 15, 2013
Governor's Traffic Safety Committee	Highway Safety Grant (HS-1) 2014	Available	April 22, 2013	Governmental Entity, Not-For-Profit, Tribal Organization	May 15, 2013

3. Select the **DOWNLOAD GRANT OPPORTUNITY** button.

4. The PDF file will open in a web browser window.

5. You can now save or print the PDF file on your computer.

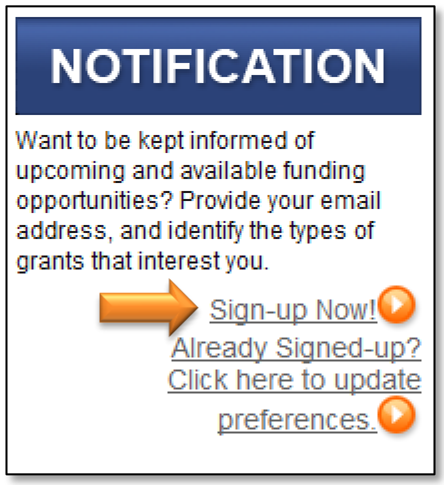
6. Print by selecting the print icon in the upper left hand corner and follow the dialogue boxes.

7. Save by selecting the "save as" and follow the dialogue boxes.

8. Be sure to read the information on the Grant Opportunity Profile page as well as the content of the PDF for information on eligibility, submission procedures and due dates.

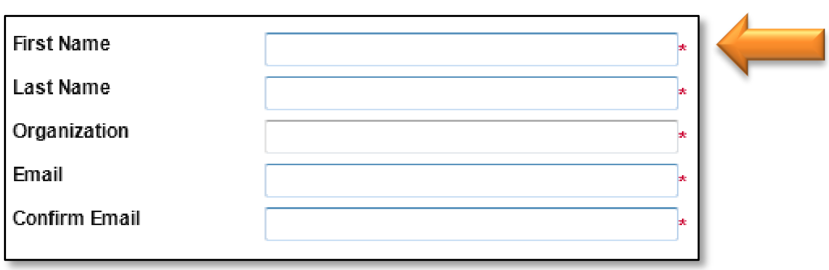
E. Sign-up to be notified of upcoming Grant Opportunities

If you sign-up for notifications the Grant Opportunity Portal can keep you automatically informed about opportunities you might be interested in. Receive notifications by doing the following:



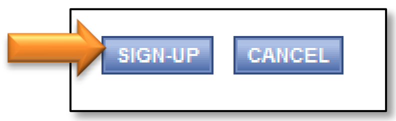
1. Click the **Sign-up Now!** Link on the portal home page.

2. Enter your information in the required fields.
   - NOTE: Required fields are marked with an *.

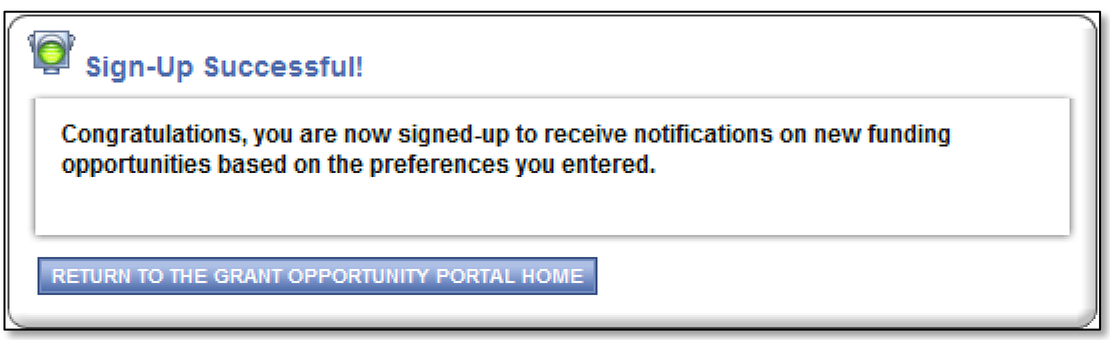


3. Click the check box next to your area or areas of preference.

4. Select the **SIGN-UP** button.



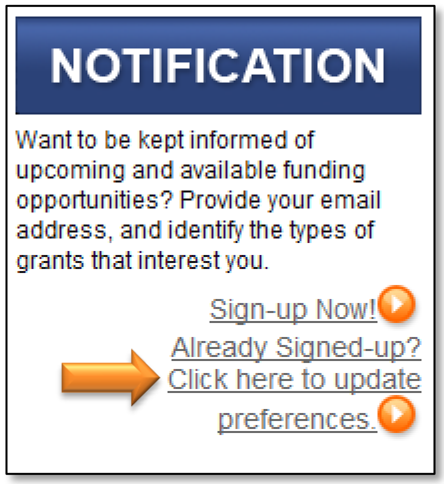
5. If your registration was completed successfully, you will see the message below on the screen. You will also receive a registration email titled “Grant Opportunity Portal Notification”.



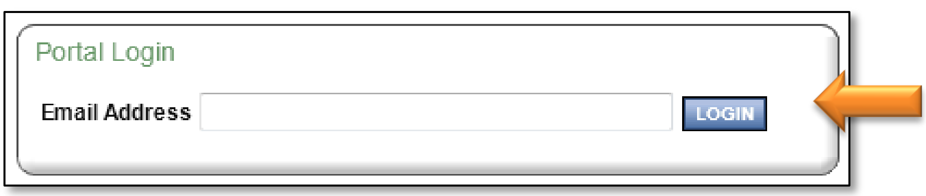
F. Update Notification Preferences

You may at some point want to add or remove preferences from your notifications. This is a simple task in the Grant Opportunity Portal.

1. Click the **Already Signed-up? Click here to update preferences.** Link on the portal home page.



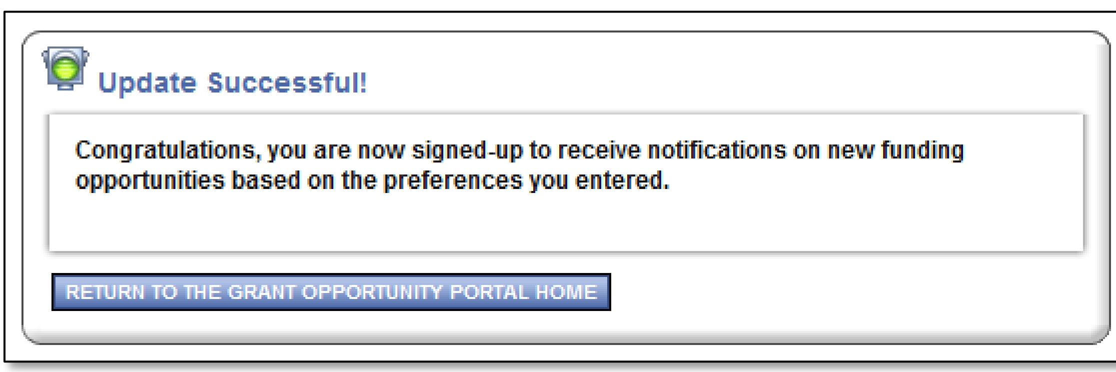
2. Enter your email address and select the **LOGIN** button.



3. Make the changes to your preferences.

4. Select the **UPDATE PREFERENCES** button.

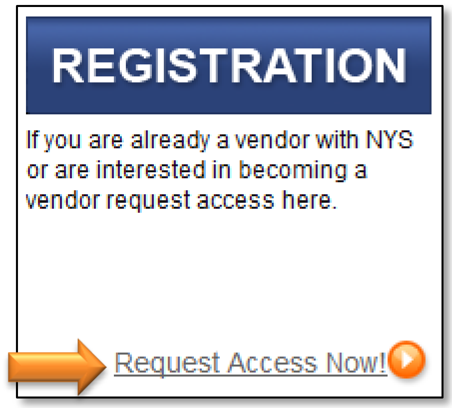
5. Next, the message below will appear on the screen.



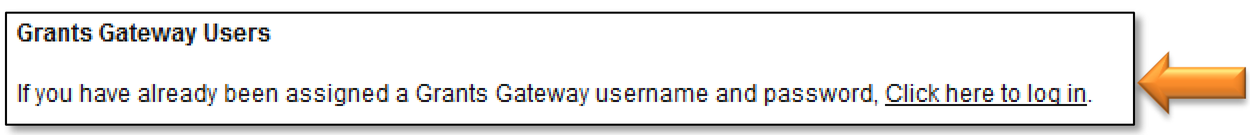
G. Learn how to become a Registered User

Have you done business previously with NYS or would you like to start doing business with NYS? The first thing you need to do is become a registered user of the Grants Gateway.

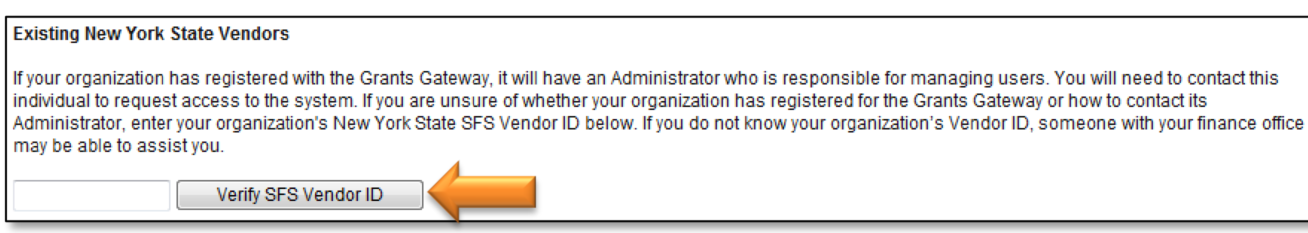
1. Click the **Request Access Now!** Link on the portal home page.



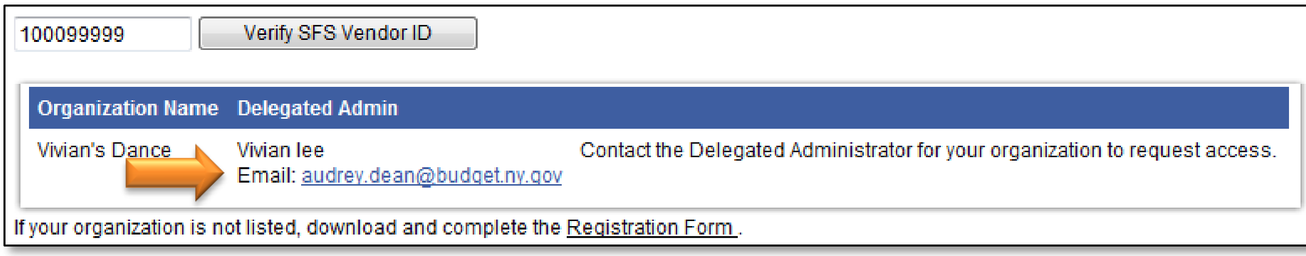
2. If you have already received a Grants Gateway username and password via email click the **Click here to login** link. See **H. Logging into the Grants Gateway** in this section for further information.



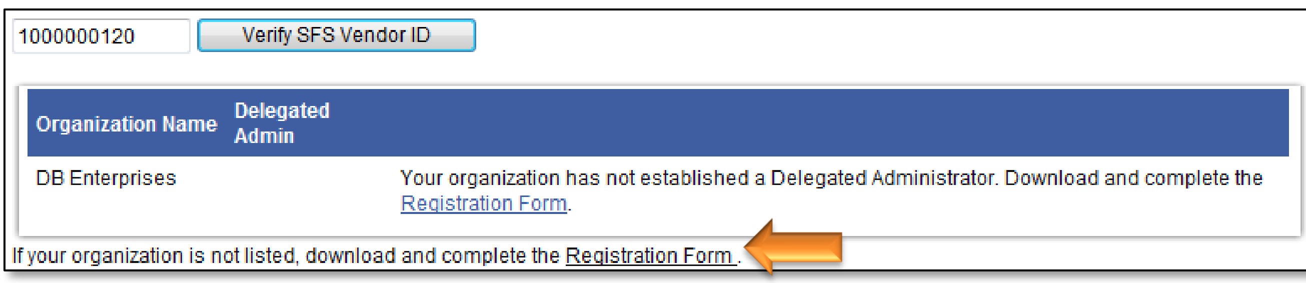
3. If your organization currently or previously has had a contract with NYS then the organization may be registered with the Grants Gateway. To find out enter your organization's 10 digit SFS Vendor ID and select the **Verify SFS Vendor ID** button. If you don't know your SFS Vendor ID, check with your finance office.



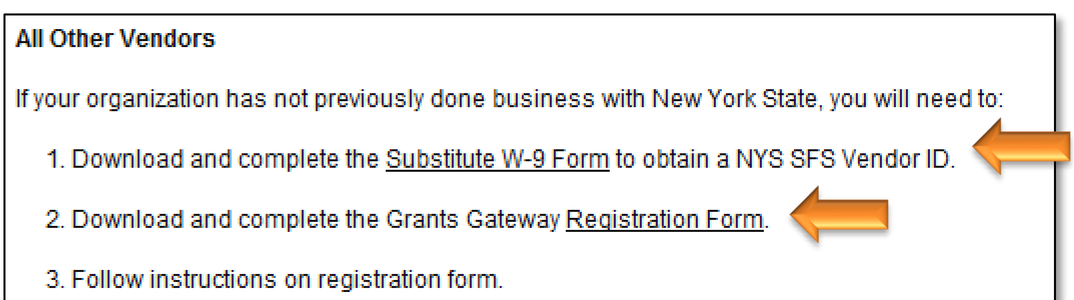
If your organization has registered you will see your Organization Name and the name and email address of the person who has been assigned as the Grantee Delegated Administrator. Click on the **Email** link to contact the Grantee Delegated Administrator and request that they give you access to the Grants Gateway.



If your Organization Name is listed, but the Grantee Delegated Administrator is not then you should click on the **Registration Form** link. Download and complete the Registration Form following the instructions included with the form.



4. If your organization has not done business with NYS click on the **Substitute W-9 Form** and **Registration Form** links. Download and complete both forms, follow the instructions included with the Registration Form.



Once your registration has been processed the individuals that were identified as Delegated Administrators will receive two emails, one with their username and one with their password. See **H. Logging into the Grants Gateway** in this section for further information.

H. Logging into the Grants Gateway

1. To log in to the Grants Gateway click the **<u>Grants Gateway Login</u>** link on the Grant Opportunity Portal Home page.

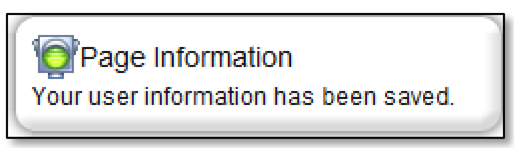
Enter your Username and Password on the front page of the Grants Gateway and click the **LOGIN** button.

2. The first time you login to the Grants Gateway you will be prompted to change your password.

3. Enter your new Password. Enter your new Password a second time in the Confirm Password box to ensure that you have entered it correctly. Your new Password must consist of at least 8 characters/numbers. You must include at least 1 capital letter and at least 1 number.

4. Click the **SAVE** button on the menu tab.

5. You will get a"Page Information" confirmation after the save is complete.



III. Delegated Administrator Tutorial

The Delegated Administrator Tutorial provides a definition of the Roles within the system currently available for Grantees. It also provides detailed instructions for adding, modifying and inactivating users.

A. Grantee Roles
B. Creating User Accounts
C. Modifying User Accounts
D. Inactivating User Accounts

A. Grantee Roles

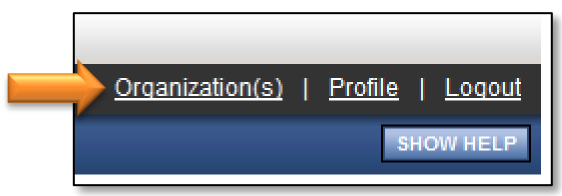
Currently there are two Grantee Roles defined within the Grants Gateway system:

1. **Grantee Delegated Administrator** – Delegated Administrators are responsible for maintaining all aspects of user accounts for their organization. In addition, they have the ability to complete forms, upload documents, and answer organizational information questions in the Document Vault (see **Section IV. Document Vault Tutorial** for additional information).
2. **Grantee** – Users assigned to this role are able to complete forms, upload documents, and answer organizational information questions in the Document Vault.
   - **Note** – More grantee roles will be made available as additional functionality is rolled out.

B. Creating User Accounts

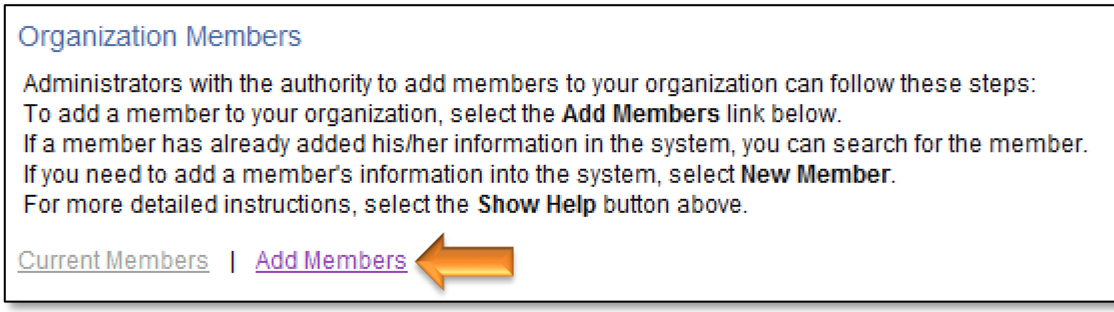
Note: It is advisable that you develop a process within your organization for requesting and authorizing access to the Grants Gateway. You may want to develop a form for this purpose that contains an official signoff process. The method you choose for authenticating users being given access to the system is up to your organization, but it is strongly recommended that you have some type of written approval process.

1. Click the **<u>Organization(s)</u>** link on the home page.

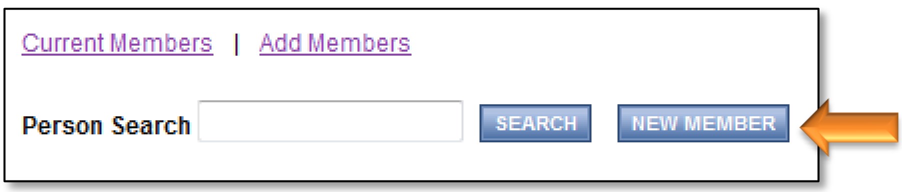


2. Click on the **<u>Organization Members</u>** link.

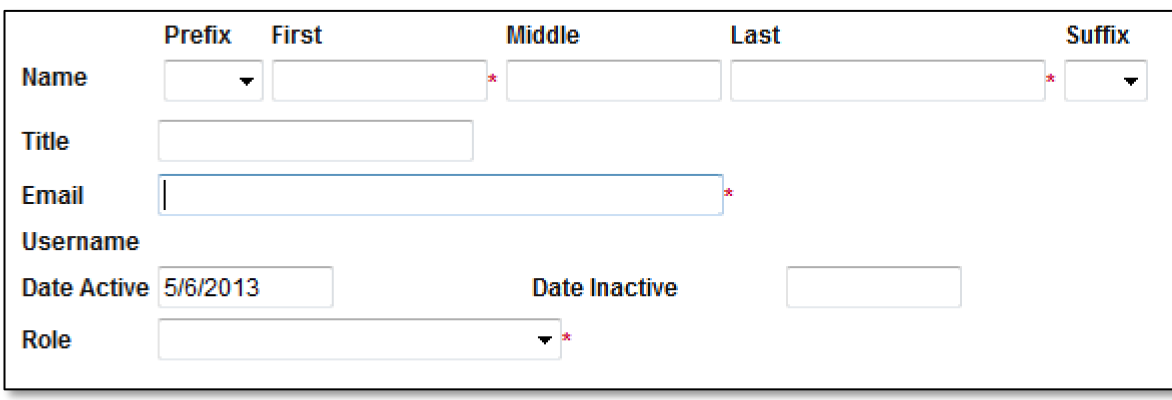
3. Click the **Add Members** link.



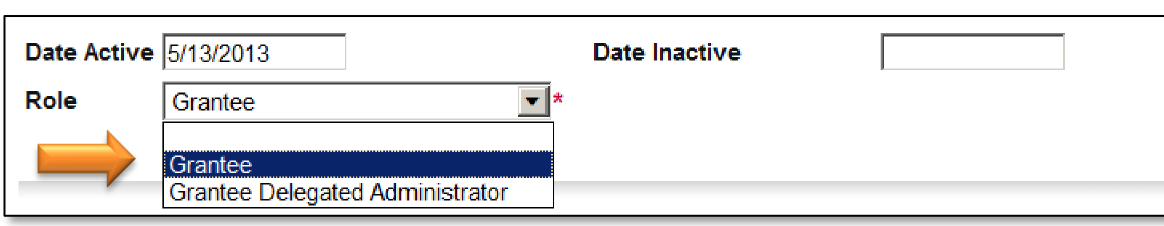
4. Select the **NEW MEMBER** button.



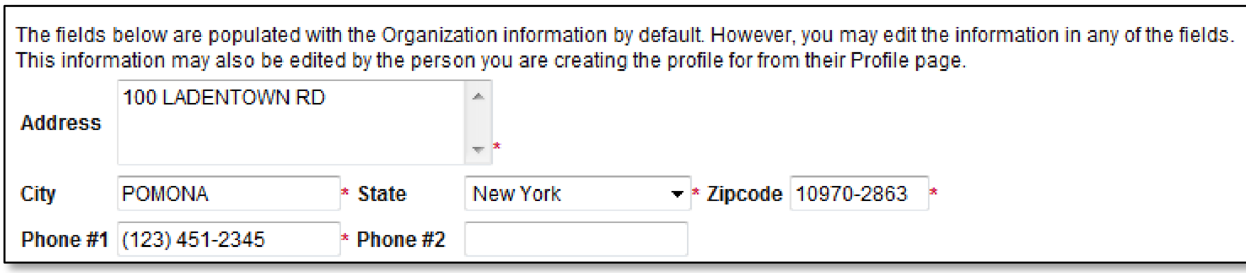
5. Complete all required fields on the page.



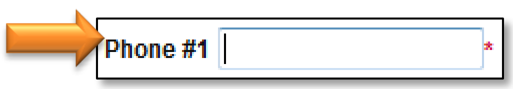
6. Select the appropriate role for the user you are adding.



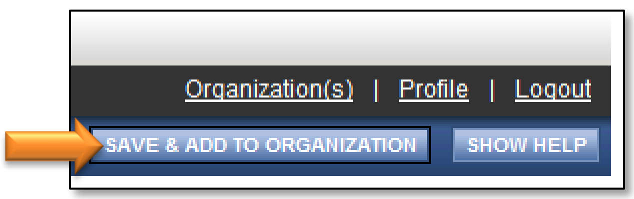
7. Notice the contact information below. The address information will be “pre-populated” with the organization information. This information can be changed here or by the user in their Profile.



8. The phone number of the new user is a required field.



9. Select the **SAVE & ADD TO ORGANIZATION** button to complete the process.

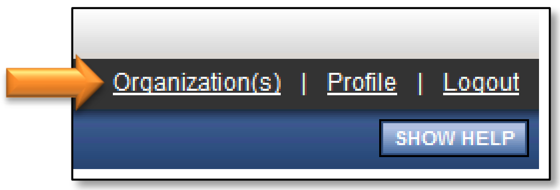


10. The new user will receive two separate emails from the Grants Gateway: One email will contain the username and the other will contain the password.

C. Modifying User Accounts

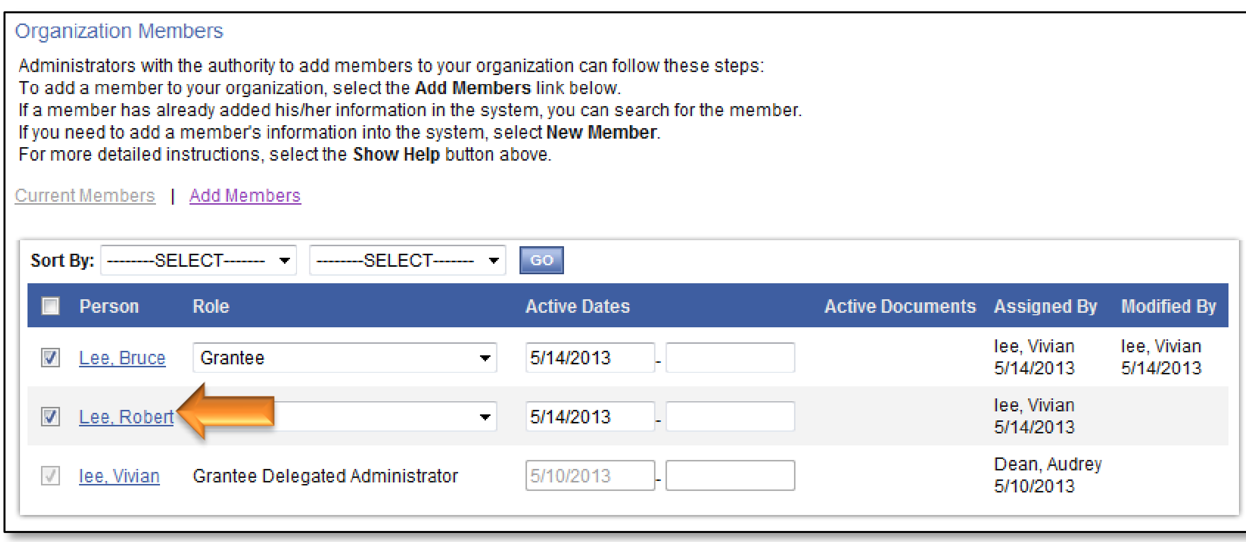
Note: All users in the system are able to update their profile information with the exception of their role. The Delegated Administrator is responsible for updating user roles when necessary. In addition, it is recommended that you do a periodic review of user accounts to ensure that the information within the system is accurate.

1. Click the **Organization(s)** link on the home page.



2. Click on the **Organization Members** link.

3. Current users (members) for the organization will be displayed. Click on the **user's name** link in the Person column.

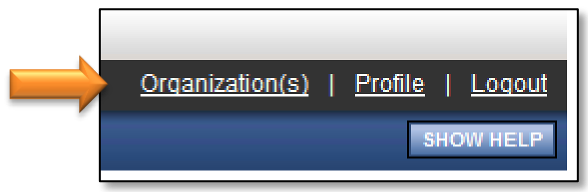


4. Modify the user's information as appropriate and click the **SAVE** button.

D. Inactivating User Accounts

Inactivating user accounts is a critical part of the Delegated Administrator's responsibilities. It is imperative that any individual that leaves the employ of your organization be inactivated in the Grants Gateway as quickly as possible. The Grants Gateway is an Internet based system which means that any active user can access the system anytime from any computer. Until a user is inactivated they can enter the system and potentially delete and/or change your organization's information.

1. Click the **Organization(s)** link on the home page.



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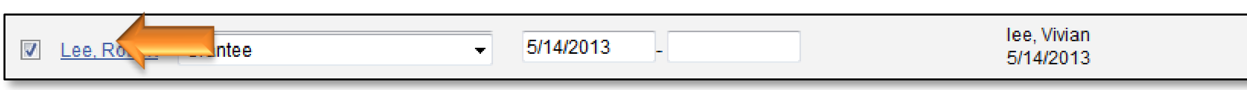
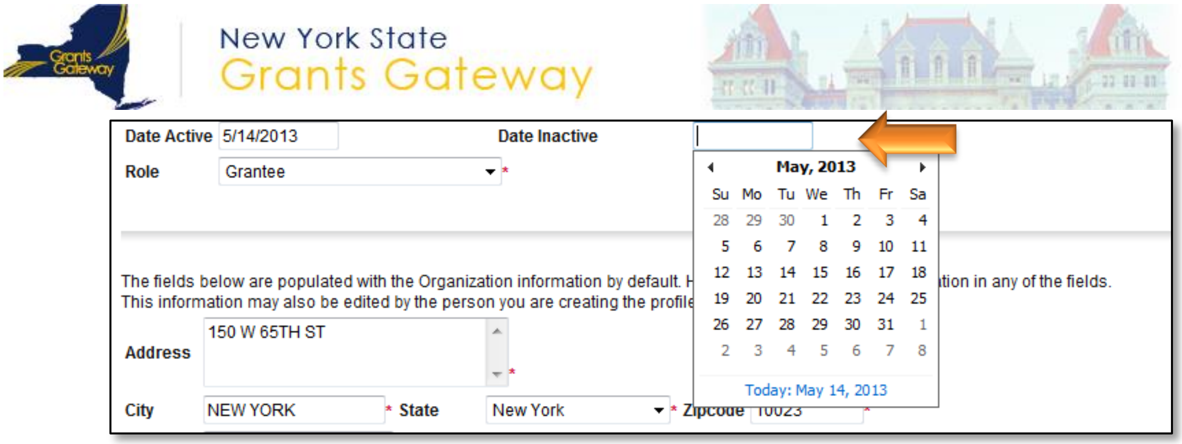


4. Inactivate the user by selecting (or entering) a Date Inactive and click the **SAVE** button.


New York State
Grants Gateway
Date Active 5/14/2013
Date Inactive
Role Grantee
May, 2013
Today: May 14, 2013
The fields below are populated with the Organization information by default.
This information may also be edited by the person you are creating the profile
ation in any of the fields.
Address 150 W 65TH ST
City NEW YORK
State New York
Zipcode 10023

IV. Document Vault Tutorial

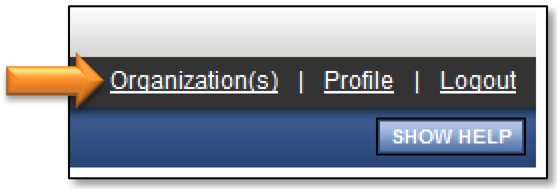
The Document Vault Tutorial provides detailed information on populating your document vault and, if necessary submitting it to be reviewed for prequalification. Note: at this time prequalification is only required for not-for profit organizations.

A. Grantee Organization Information
B. Document Vault
C. Prequalification

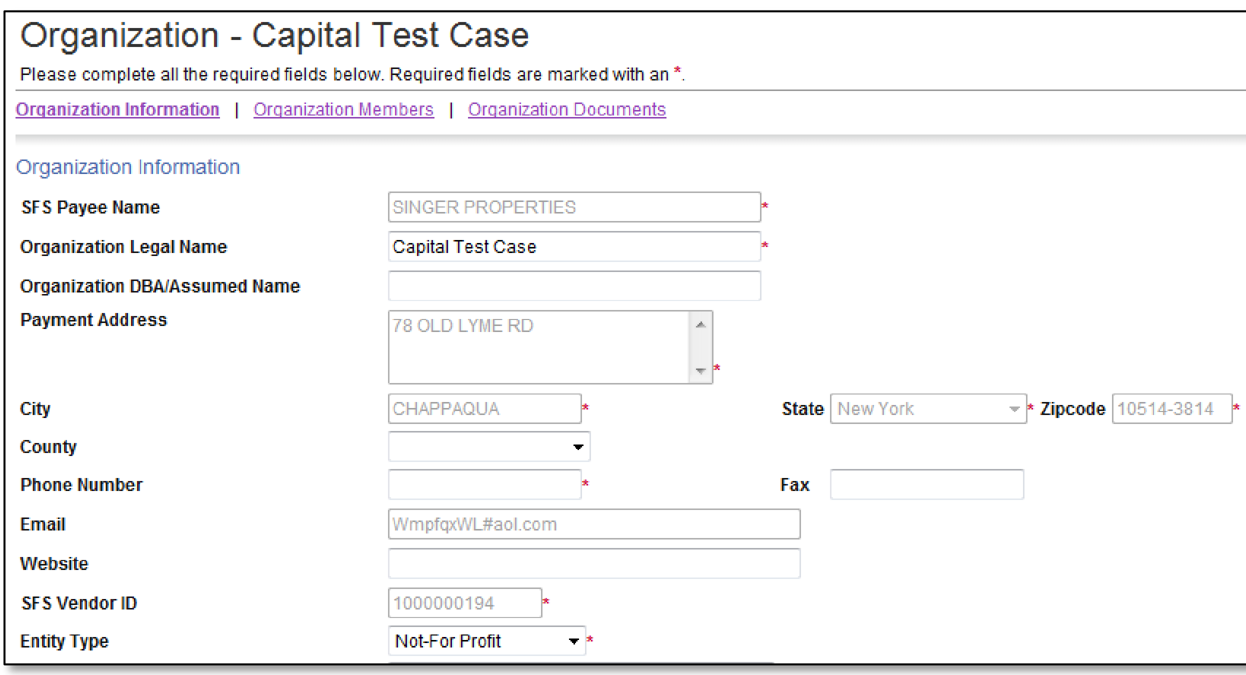
A. Grantee Organization Information

Before you can populate your Document Vault you must complete your Grantee Organization Information.

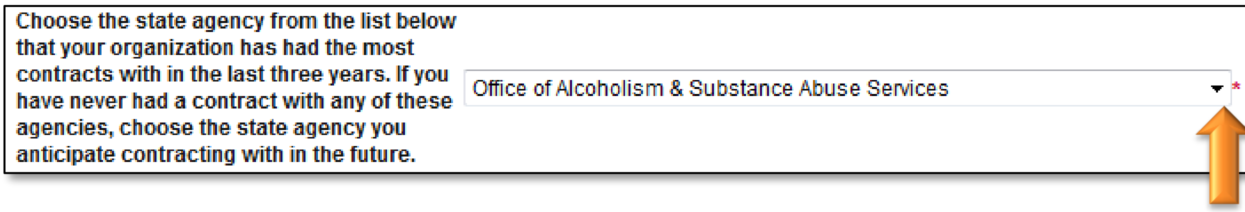
1. Click the **Organization(s)** link on the home page.



2. On the Organization Information page there are a number of data elements that are pulled in from the Statewide Financial System (SFS). These data elements are grayed out and cannot be updated in the Grants Gateway. If this information is inaccurate you must change it in SFS and it will be imported into the Grants Gateway the following day. Complete all of the required fields (indicated by *).



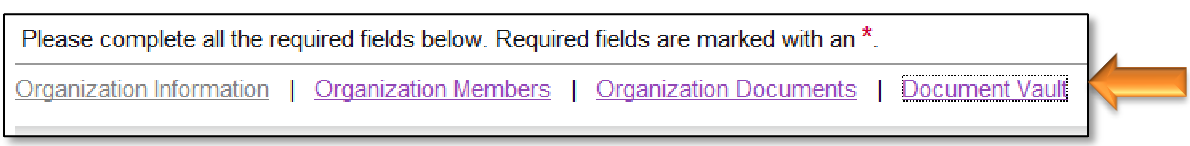
You will be asked to select the agency that your organization has done the most business with (greatest number of contracts) in the last 3 years. If your organization has not had a contract with a State agency select the one you anticipate contracting with.



3. Click the **SAVE** button.

4. When the information is captured correctly, you will get the "Green Light" to move forward.

5. Once you have selected the agency the Document Vault tab will be available on the menu bar. Click the Document Vault link to being the process of submitting information for State agency review.



B. Document Vault

Welcome to the Document Vault. In this section, each organization type has a unique set of forms and data sets it can populate. For the example, the “Non-Profit” organization type was used. This type has the most required forms of the list. (All organization types have a list of “Form Optional Documents” which can house any additional information you would like to upload).

1. Click each “Required Forms” link and populate all required fields.

Status	Page Name	Note	Created By	Last Modified By
Required Forms				
	Organization Capacity			
	Organization Compliance			
	Organization Integrity			
	Service Descriptors			
	Service Capacity			

2. Populate all required information.

- NOTE: Required fields are marked with an *.

ORGANIZATION CAPACITY

1. Does organization have a system whereby one staff person is authorized to receive money and someone else is authorized to disburse money?*

   Yes No

2. Does the organization have an automated payroll system?*

   Yes No

3. Does your organization use an electronic system for accounting?*

   Yes No

3. Click the **SAVE** button after each document is completed.

4. After confirming that your document has been saved (Created By) scroll to the bottom of the screen and click the next document in the section.

Navigation Links

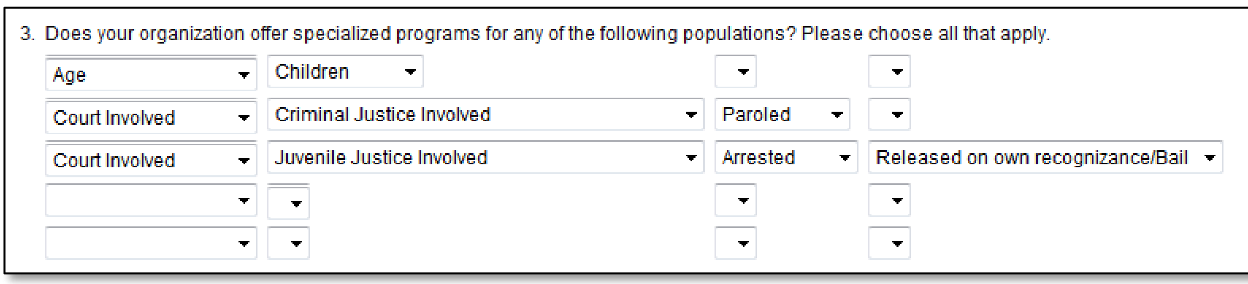
Status	Page Name	Note	Created By	Last Modified By
	Organization Capacity		DelegatedAdministrator, Grantee 5/7/2013 1:39:55 PM	
	Organization Compliance			
	Organization Integrity			
	Service Descriptors			
	Service Capacity			

5. Repeat this process until each of the “Required Forms” is completed and saved.

Navigation Links

Status	Page Name	Note	Created By	Last Modified By
	Organization Capacity		DelegatedAdministrator, Grantee 5/7/2013 1:39:55 PM	
	Organization Compliance		DelegatedAdministrator, Grantee 5/7/2013 1:45:33 PM	
	Organization Integrity		DelegatedAdministrator, Grantee 5/7/2013 1:46:13 PM	
	Service Descriptors		DelegatedAdministrator, Grantee 5/7/2013 1:46:41 PM	
	Service Capacity		DelegatedAdministrator, Grantee 5/7/2013 1:49:24 PM	DelegatedAdministrator, Grantee 5/7/2013 1:49:36 PM

6. When you are filling out the Service Descriptors form, please use the instructions below for Question #3.
    a. Work left to right when selecting items in the dropdowns. In the example below on the first line you would select Age and then Children.
    b. When you choose an item from the first dropdown (level 1) the second dropdown (level 2) will be populated with the appropriate associated values. This will continue until all pertinent selections have been populated.
    c. Note that not all items will have corresponding selections for the third and fourth levels. For example, in the first line below there are no corresponding values for levels 3 and 4.


3. Does your organization offer specialized programs for any of the following populations? Please choose all that apply.

Age	Children		
Court Involved	Criminal Justice Involved	Paroled	
Court Involved	Juvenile Justice Involved	Arrested	Released on own recognizance/Bail

7. When you are filling out the Service Capacity form, please use the instructions below.

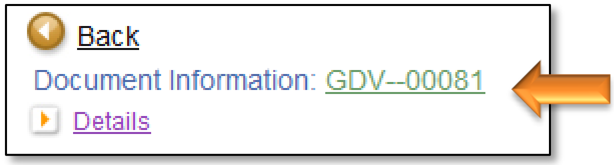
If you choose **yes** to question number 1:

Choose one existing or previous contract you have had with a State agency for the service area you chose, and answer the following questions:

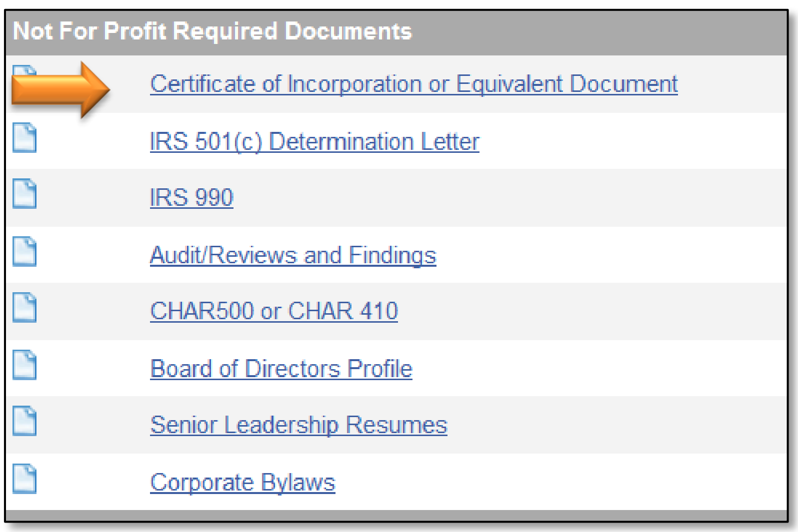
a. Enter existing Contract/Grant ID number: Use State agency generated Contract ID
b. Type: Enter the type of grant (Member Item, Competitive, Non-competitive)
c. Funding Agency: Enter the State agency that held your contract
d. Funding Source Type: Enter Funding Source (State, Federal, or Unknown)
e. Funder Reference Name: Name of contact at the State agency that worked on your grant
f. Funding Reference Title: Title of the funding reference
g. Funding Reference Email: Email address of the funding reference
h. Program Name/Description: Name or short description of the project funded
i. Contract Start Date: Date the contract began
j. Contract End Date: Date the contract ended

k. Total Contract Amount: Dollar amount of the contract

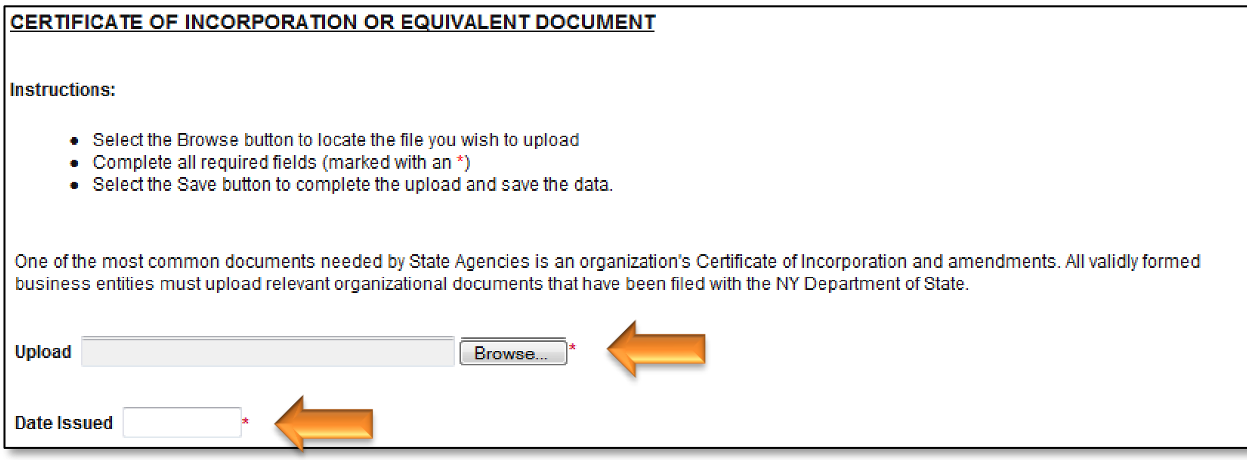
8. To return to the Grantee Document Vault document list, click the "Document Information" link at the top of the screen.



9. Repeat the process for the "Not-For-Profit Required Documents." Please note that some items may require multiple parts (i.e. senior leadership resumes may include more than one resume). In that case, please create one PDF with all of the required resumes and upload that.



Each of the “Required Document” upload pages gives you the ability to select the document you want to upload by using the Browse button. Select the correct document and enter any required information (as indicated by *).


CERTIFICATE OF INCORPORATION OR EQUIVALENT DOCUMENT

Instructions:

- Select the Browse button to locate the file you wish to upload
- Complete all required fields (marked with an *)
- Select the Save button to complete the upload and save the data.

One of the most common documents needed by State Agencies is an organization's Certificate of Incorporation and amendments. All validly formed business entities must upload relevant organizational documents that have been filed with the NY Department of State.

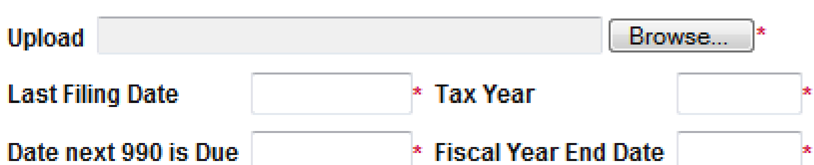
Upload Browse... *

Date Issued *

Click the **SAVE** button after each document is populated. After each “save”, scroll to the bottom of the page and click on the next document in the Required Documents sub-section.

Specific Documents and dates to enter

IRS 990 – you are to upload your most recently filed IRS 990. When you upload this document, you are asked to complete a number of fields:


Upload Browse... *

Last Filing Date * Tax Year *

Date next 990 is Due * Fiscal Year End Date *

Last filing date: This is the date that you filed your form. You can find it by looking next to the signature:

Part II **Signature Block**

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge [redacted] it is true, correct, and co[redacted] on all information of which preparer has any knowledge.

Sign Here	[redacted] Signature of officer			Date DEC 21, 2011	
	[redacted] Type or print name and title				
Paid Preparer Use Only	Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
	Firm's name ▶			Firm's EIN ▶	
	Firm's address ▶			Phone no.	

May the IRS discuss this return with the preparer shown above? (see instructions) . . . . ☐ Yes ☐ No

Tax Year: This is the tax year you are filing for. You can find it by looking at the top of your form:

Form **990** **Return of Organization Exempt From Income Tax** OMB [redacted] 0047

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except black lung benefit trust or private foundation)

2010 **Open to Public Inspection**

Department of the Treasury Internal Revenue Service

▶ The organization may have to use a copy of this return to satisfy state reporting requirements.

A For the 2010 calendar year, or tax year beginning JUNE 1, 2010, and ending MAY 31, 20 11

B Check if applicable:	C Name of organization [redacted]	D Employer identification number [redacted]
☑ Address change	Doing Business As	
☐ Name change	Number and street (or P.O. box if mail is not delivered to street address) [redacted] Room/suite	E T[redacted]
☐ Initial return		
☐ Terminated	City [redacted]	G Gross receipts $

Fiscal Year End Date: This is the day and month of your fiscal year end date. For example, if your fiscal year runs 7/1 – 6/30, you would enter 06/30 as your fiscal year end date.

Date next 990 is due: This is the date that you need to have your next form filed by. For a straightforward form without any extensions, we are asking you to input the date of 18 months after the fiscal year end date of the fiscal year form uploaded. We have created a chart to help you determine these dates:

Tax Year	Fiscal Yr. End Date	Date Next Filing is Due	With 3 month extension	With 6 month extension
2010	6/30/2011	12/31/2012	3/31/2013	6/30/2013
2010	7/31/2011	1/31/2013	4/30/2013	7/31/2013
2010	8/31/2011	2/28/2013	5/31/2013	8/31/2013
2010	9/30/2011	3/31/2013	6/30/2013	9/30/2013
2010	10/31/2011	4/30/2013	7/31/2013	10/31/2013
2010	11/30/2011	5/31/2013	8/31/2013	11/30/2013
2011	12/31/2011	6/30/2013	9/30/2013	12/31/2013
2011	1/31/2012	7/31/2013	10/31/2013	1/31/2014
2011	2/28/2012	8/31/2013	11/30/2013	2/28/2014
2011	3/31/2012	9/30/2013	12/31/2013	3/31/2014
2011	4/30/2012	10/31/2013	1/31/2014	4/30/2014
2011	5/31/2012	11/30/2013	2/28/2014	5/31/2014
2011	6/30/2012	12/31/2013	3/31/2014	6/30/2014
2011	7/31/2012	1/31/2014	4/30/2014	7/31/2014
2011	8/31/2012	2/28/2014	5/31/2014	8/31/2014
2011	9/30/2012	3/31/2014	6/30/2014	9/30/2014
2011	10/31/2012	4/30/2014	7/31/2014	10/31/2014
2011	11/30/2012	5/31/2014	8/31/2014	11/30/2014
2012	12/31/2012	6/30/2014	9/30/2014	12/31/2014
2012	1/31/2013	7/31/2014	10/31/2014	1/31/2015
2012	2/28/2013	8/31/2014	11/30/2014	2/28/2015
2012	3/31/2013	9/30/2014	12/31/2014	3/31/2015
2012	4/30/2013	10/31/2014	1/31/2015	4/30/2015
2012	5/31/2013	11/30/2014	2/28/2015	5/31/2015
2012	6/30/2013	12/31/2014	3/31/2015	6/30/2015
2012	7/31/2013	1/31/2015	4/30/2015	7/31/2015
2012	8/31/2013	2/28/2015	5/31/2015	8/31/2015
2012	9/31/2013	3/31/2015	6/30/2015	9/30/2015
2012	10/31/2013	4/30/2015	7/31/2015	10/31/2015
2012	11/31/2013	5/31/2015	8/31/2015	11/30/2015
2013	12/31/2013	6/30/2015	9/30/2015	12/31/2015
2013	1/31/2014	7/31/2015	10/31/2015	1/31/2016
2013	2/28/2014	8/31/2015	11/30/2015	2/29/2016
2013	3/31/2014	9/30/2015	12/31/2015	3/31/2016
2013	4/30/2014	10/31/2015	1/31/2016	4/30/2016

Example: Fiscal year end date is May 31, 2011. The date the next form 990 is due is November 30, 2012.

If there is an extension of 3 months (as evidenced by your inclusion of the completed 8868 Form with your upload), you would add 3 months to the due date, making it February 28, 2013.

Form **8868**
(Rev. January 2013)
Department of the Treasury
Internal Revenue Service

Application for Extension of Time To File an Exempt Organization Return

▶ **File a separate application for each return.**

OMB No. 1545-1709

• If you are filing for an **Automatic 3-Month Extension, complete only Part I** and check this box . . . . ▶ ☐
• If you are filing for an **Additional (Not Automatic) 3-Month Extension, complete only Part II** (on page 2 of this form).
Do not complete Part II unless you have already been granted an automatic 3-month extension on a previously filed Form 8868.

Electronic filing (*e-file*). You can electronically file Form 8868 if you need a 3-month automatic extension of time to file (6 months for a corporation required to file Form 990-T), or an additional (not automatic) 3-month extension of time. You can electronically file Form 8868 to request an extension of time to file any of the forms listed in Part I or Part II with the exception of Form 8870, Information Return for Transfers Associated With Certain Personal Benefit Contracts, which must be sent to the IRS in paper format (see instructions). For more details on the electronic filing of this form, visit *www.irs.gov/efile* and click on *e-file for Charities & Nonprofits.*

Part I **Automatic 3-Month Extension of Time.** Only submit original (no copies needed).

A corporation required to file Form 990-T and requesting an automatic 6-month extension—check this box and complete Part I only . . . . ▶ ☐

All other corporations (including 1120-C filers), partnerships, REMICs, and trusts must use Form 7004 to request an extension of time to file income tax returns.

		Enter filer's identifying number, see instructions
Type or print	Name of exempt organization or other filer, see instructions.	Employer identification number (EIN) or
File by the due date for filing your return. See instructions.	Number, street, and room or suite no. If a P.O. box, see instructions.	Social security number (SSN)
	City, town or post office, state, and ZIP code. For a foreign address, see instructions.	

Enter the Return code for the return that this application is for (file a separate application for each return) . . . .

If there is an extension of 6 months (as evidenced by your inclusion of an approved letter from the IRS granting you this with your upload), you would add 6 months to the original due date. The letter granting the extension will also state the updated due date.

New York State Grants Gateway

AU 67 201212 670 1341 K 93404-130-03323-3 A0153472 211A
201320 013964 10543 IRS USE ONLY 133008872 TE 3

Department of the Treasury
Internal Revenue Service
Ogden UT 84201

For assistance, call:
1-877-829-5500
FAX 801-620-5670

Notice N[redacted]
Date: [redacted]

Taxpaye[redacted]
Tax Form: 990
Tax Period: December 31, 2012

016726.190145.0041.001 1 AT 0.384 373

[redacted]

016726

APPLICATION FOR EXTENSION OF TI TO FILE AN EXEMPT ORGANIZATION RETU PROVED

New Due Date

We received and approved your Form 8868, for Extension of Time to File an Exempt Organization Return, for the return (form) a period identified above. Your extended due date to file your return is **August 15, 2013.**

When it's time to file your Form 990, 990-EZ, 990-PF or 1120-POL, you should consider filing electronically. Electronic filing is the fastest, easiest and most accurate way to file your return. For more information, visit the Charities and Nonprofit web at www.irs.gov/eo. This site will provide information about:

- The type of returns that can be filed electronically,
- approved e-File providers, and
- if you are required to file electronically.

1.) CHAR500 0r CHAR 410– you are to upload your most recently filed CHAR500. When you upload this document, you are asked to complete a number of fields:

CHAR500 OR CHAR410

Instructions:

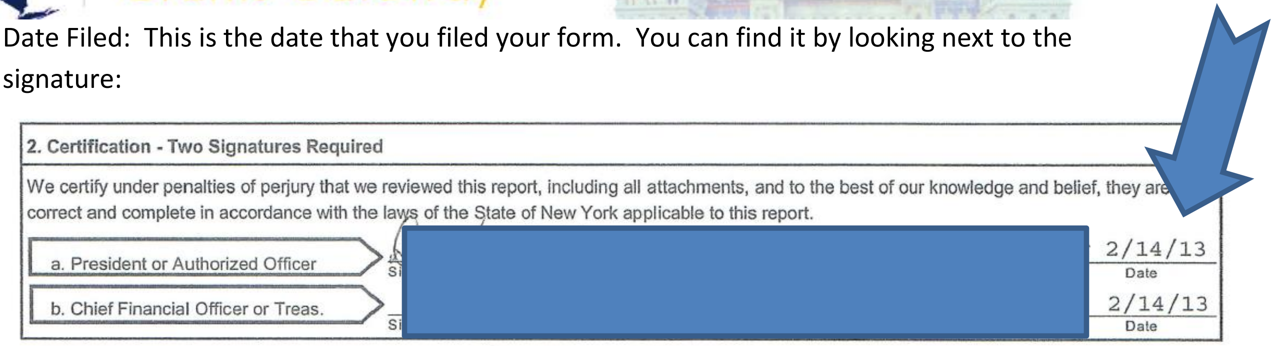
- Select the Browse button to locate the file you wish to upload
- Complete all required fields (marked with an *)
- Select the Save button to complete the upload and save the data.

Not-for-profits must upload their most recent Annual Filing for Charitable Organizations (CHAR500) or Exemption Documentation from the NYS Charities Bureau. If an organization has not yet filed its first CHAR500, it will be instructed to upload their Registration Statement for Charitable Organizations (CHAR410).

Upload [ ] Browse... *

Date Filed [ ] * **Date next Filing is Due** [ ] *

Date Filed: This is the date that you filed your form. You can find it by looking next to the signature:



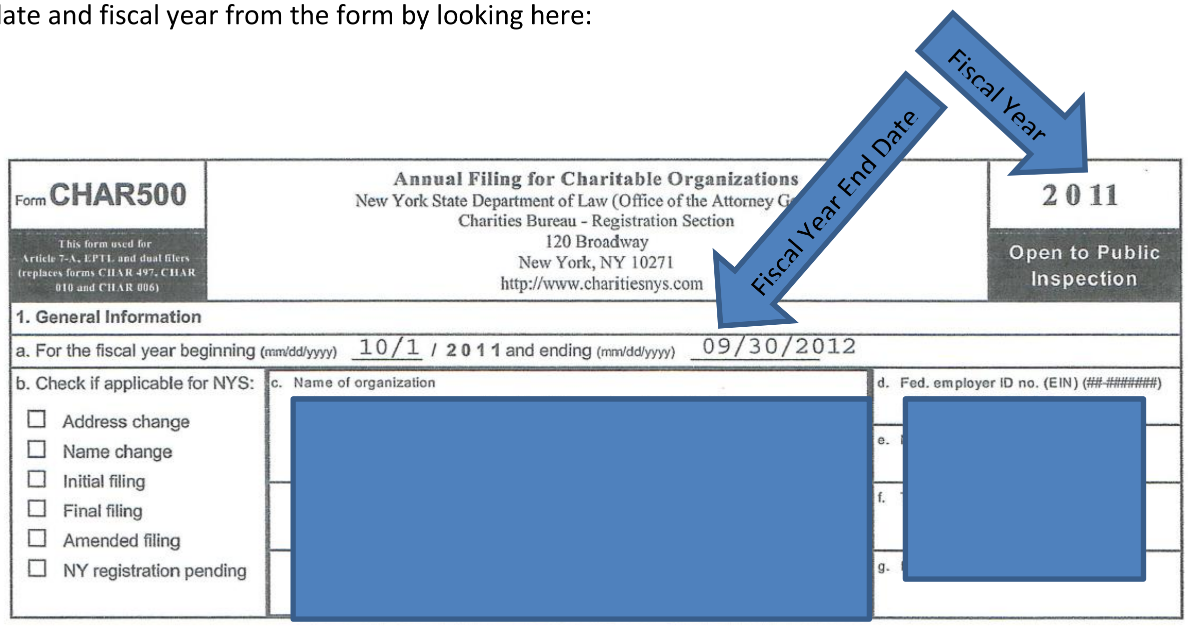
2. Certification - Two Signatures Required

We certify under penalties of perjury that we reviewed this report, including all attachments, and to the best of our knowledge and belief, they are correct and complete in accordance with the laws of the State of New York applicable to this report.

a. President or Authorized Officer [redacted] 2/14/13 Date

b. Chief Financial Officer or Treas. [redacted] 2/14/13 Date

Date next filing is due: This is the date that you need to have your next CHAR 500 filed by. For a straightforward form without any extensions, we are asking you to input the date of 18 months after the fiscal year end date of the fiscal year form uploaded. You can tell the fiscal year end date and fiscal year from the form by looking here:



Form CHAR500

This form used for Article 7-A, EPTL and dual filers (replaces forms CHAR 497, CHAR 010 and CHAR 006)

Annual Filing for Charitable Organizations
New York State Department of Law (Office of the Attorney G
Charities Bureau - Registration Section
120 Broadway
New York, NY 10271
http://www.charitiesnys.com

2011

Open to Public Inspection

1. General Information

a. For the fiscal year beginning (mm/dd/yyyy) 10/1 / 2011 and ending (mm/dd/yyyy) 09/30/2012

b. Check if applicable for NYS:
- ☐ Address change
- ☐ Name change
- ☐ Initial filing
- ☐ Final filing
- ☐ Amended filing
- ☐ NY registration pending

c. Name of organization [redacted]

d. Fed. employer ID no. (EIN) (##-#######) [redacted]

In the above example: The fiscal year is 2011 and the fiscal year end date is 9/30/12. The next CHAR500 (for fiscal year 2012) is due in our system 18 months after 9/30/12: 3/31/14.

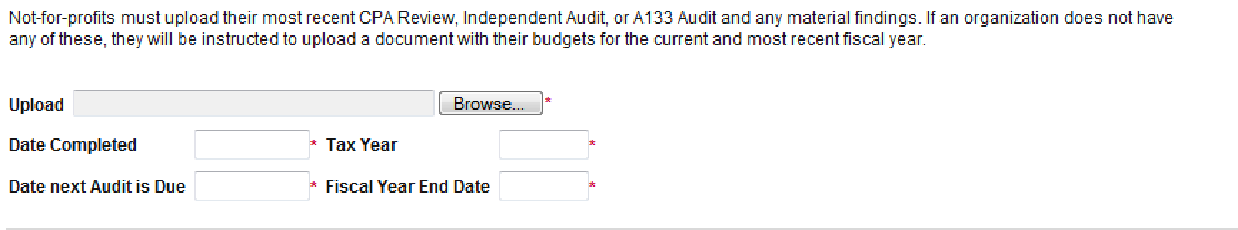
The Charities Bureau accepts the form 8868 for the 990 as an extension for the CHAR500 as well. Therefore, if there was an extension, you will follow the same information as listed for the Form 990 extension:

If there is an extension of 3 months (as evidenced by your inclusion of the completed 8868 Form with your upload - see number 1 for example of Form 8868), you would add 3 months to the due date, making it 6/30/14.

If there is an extension of 6 months (as evidenced by your inclusion of an approved letter from the IRS granting you this with your upload – see number 1 for example), you would add 6 months to the due date, making it 9/30/14.

If you are exempt from filing a CHAR500, please upload the exemption documentation, and enter a far out date as the date next filing is due (1/1/2040).

2.) Audit Reviews/Findings – you are to upload your most recent audit or financials. In most cases, the document will cover the tax period of the forms uploaded for the CHAR500 and the IRS 990. When you upload this document, you are asked to complete a number of fields:


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.

Upload [ ] Browse... *

Date Completed [ ] * Tax Year [ ] *

Date next Audit is Due [ ] * Fiscal Year End Date [ ] *

Date Completed: This is the date the Audit/Review was completed.

Tax Year: This should match the tax year of the IRS 990 you uploaded.

Fiscal Year End Date: This is the day and month of your fiscal year end date. For example, if your fiscal year runs 7/1 – 6/30, you would enter 06/30 as your fiscal year end date.

Date next audit is due: This should match the date the next IRS 990 is due

10. You can also add “Optional Documents.” Be sure to follow the same procedure as the previous sections.
    a. Populate all required fields.
    b. Click the **SAVE** button after each document is populated.
    c. Scroll down and click the next document you wish to include.

Form Optional Documents
Licenses (Site or Professional)
Certificate of Assumed Name or DBA
Certificate of Insurance - Disability
Certificate of Insurance - Workman's Compensation
Certificate of Insurance - Unemployment
Policies and Procedures
Annual Report

11. Return to the Document Vault main page by clicking the "**GDV-0000"** link at the top.

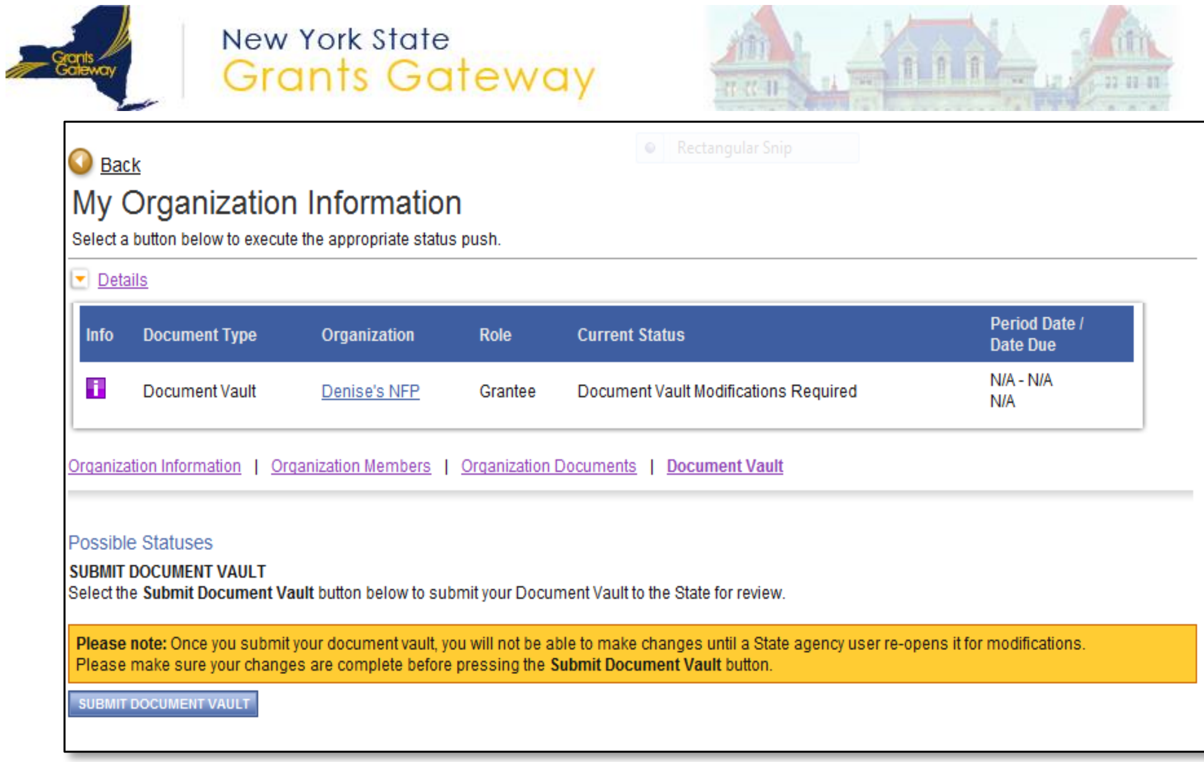
C. Prequalification

Not-for-profit organizations will use the Document Vault as tool to complete a Prequalification Application to do business with the State. Once you have completed populating your Document Vault, if your organization is a not-for-profit you must submit your Prequalification Application for State review.

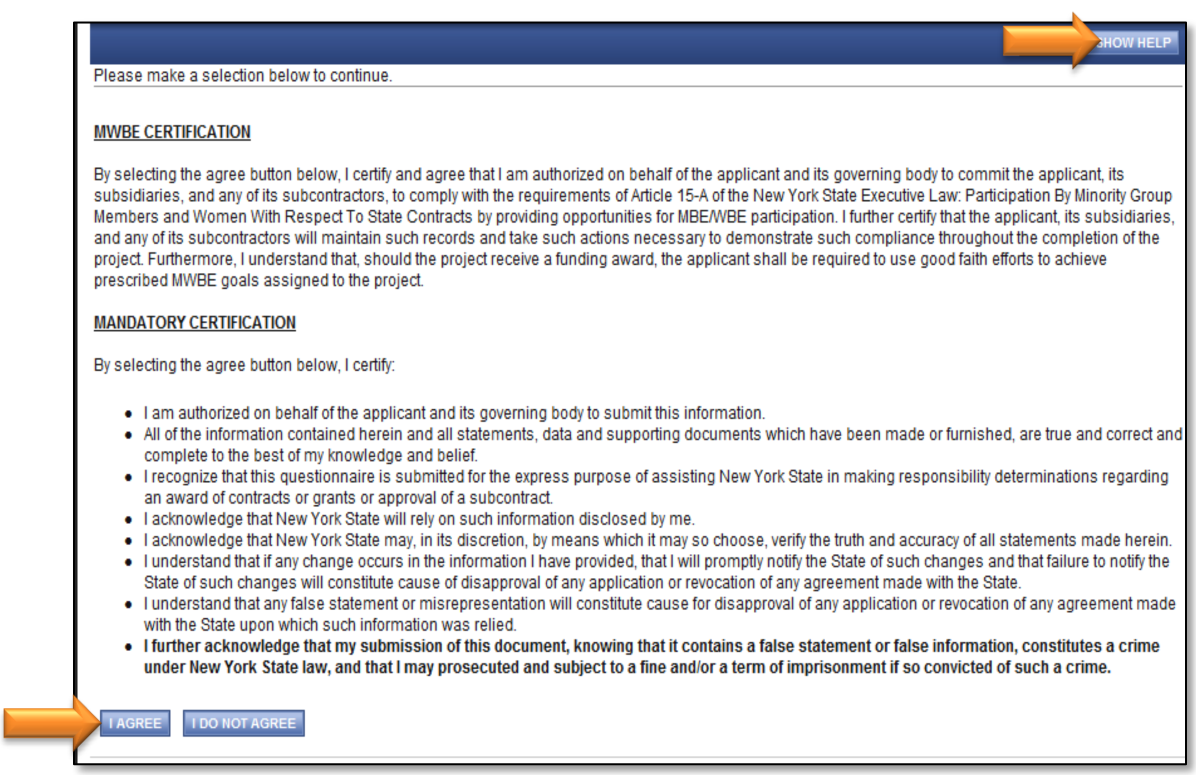
1. On the Document Vault main page click the **Click Here to Submit your Document Vault** link.

Status Change
Click Here to Submit your Document Vault

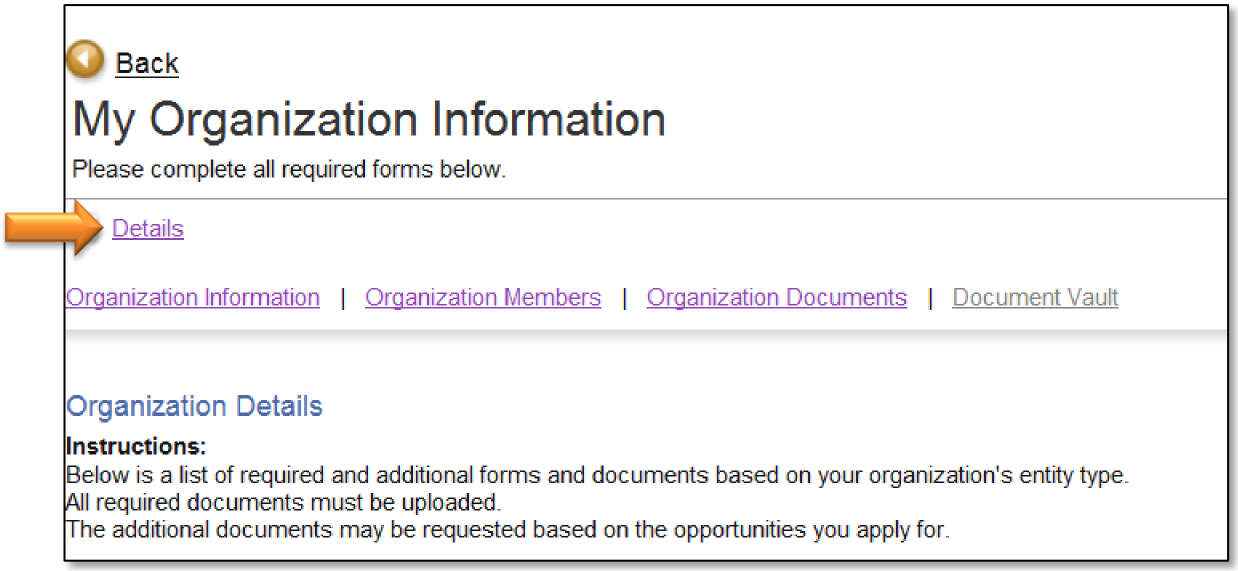
2. Click on the button to submit your Document Vault.



3. You will be asked to attest to two certifications in order to submit. Click on “I agree.” (If you click on “I do not agree,” your document vault will not be submitted).

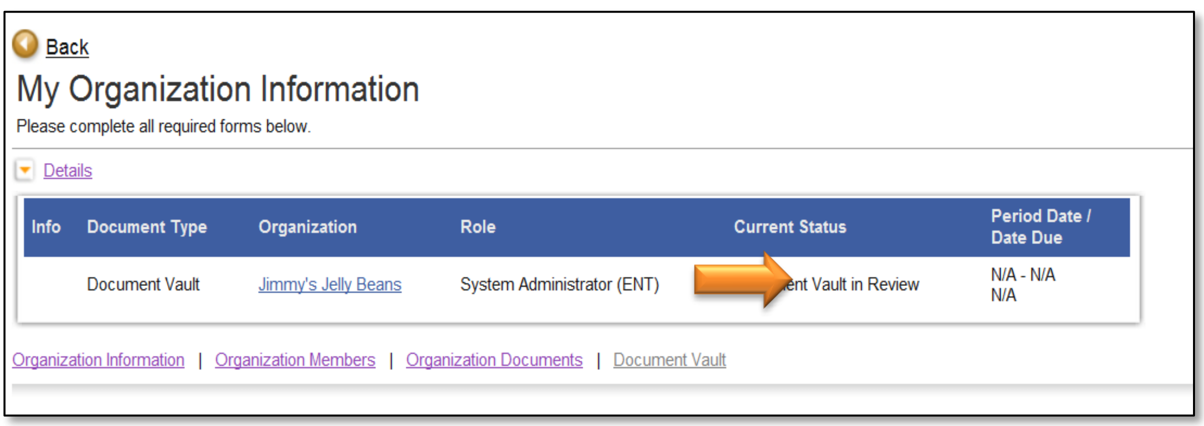


4. You can then confirm it has been submitted by clicking on the expand Details button on your Document Vault.



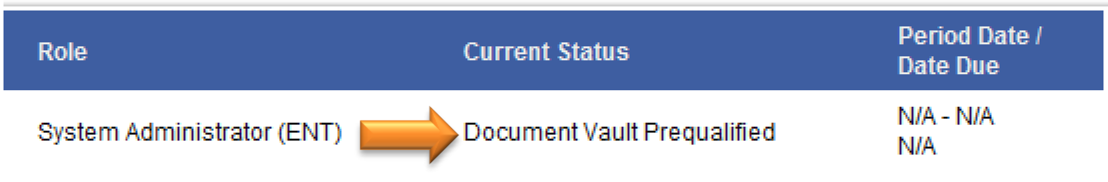
Once you submit your Document Vault you will not be able to make any changes to it until a State agency user has reviewed it and reopened it for you.

Once the Document Vault has been submitted the Grantee Delegate Admin and/or Grantee that submitted the Document Vault will receive an email indicating that the Document Vault has been submitted. Within the Grants Portal, a system generated message will also be delivered to the Grants Gateway Inbox.

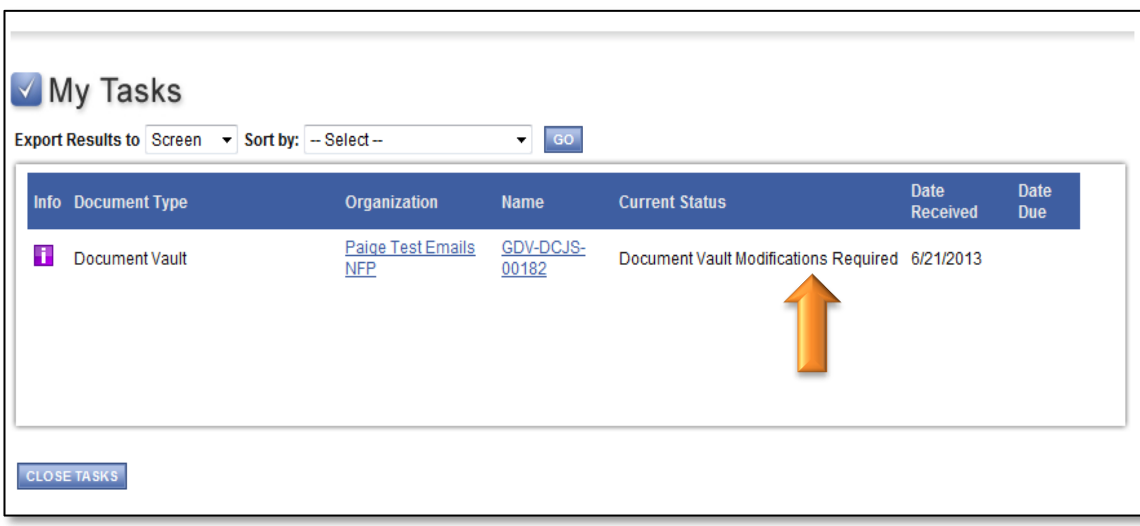


5. Once a Prequalification Specialist from a State agency reviews your Prequalification file, the Document Vault status will change. You can check back to see the status at any time.

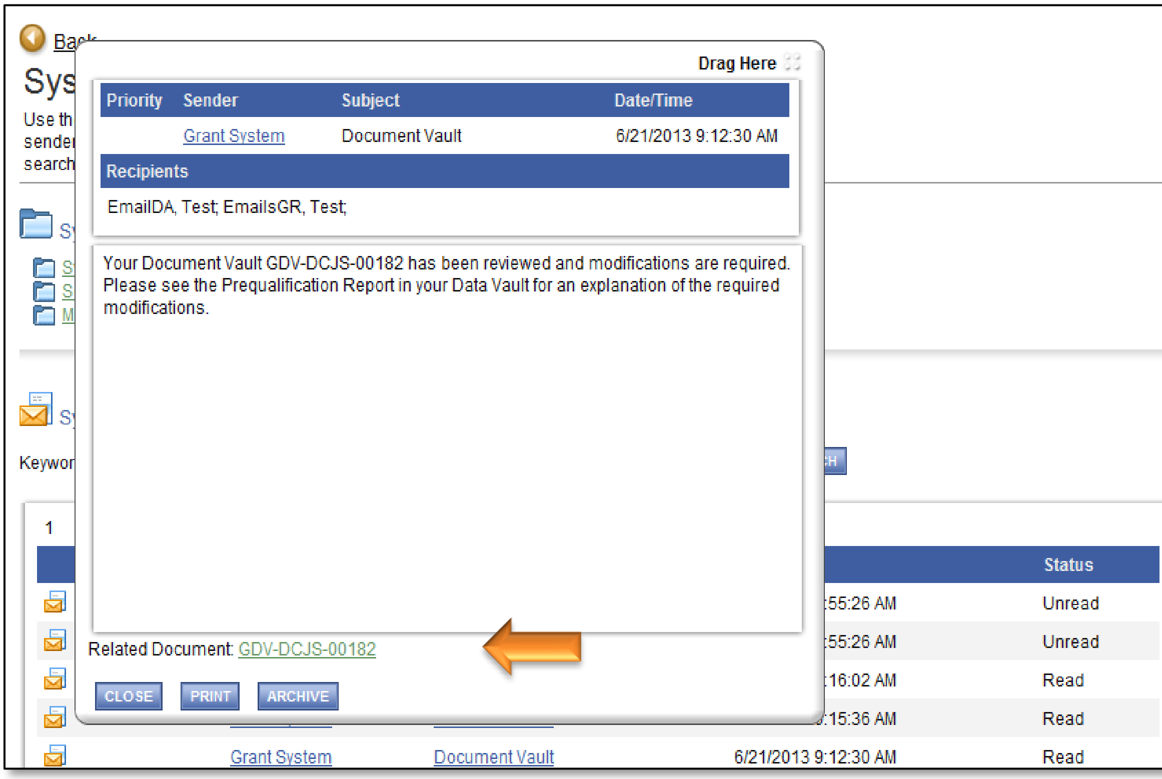
a. Current Status – Document Vault Prequalified. Your Prequalification Application has been accepted and no further action is required.



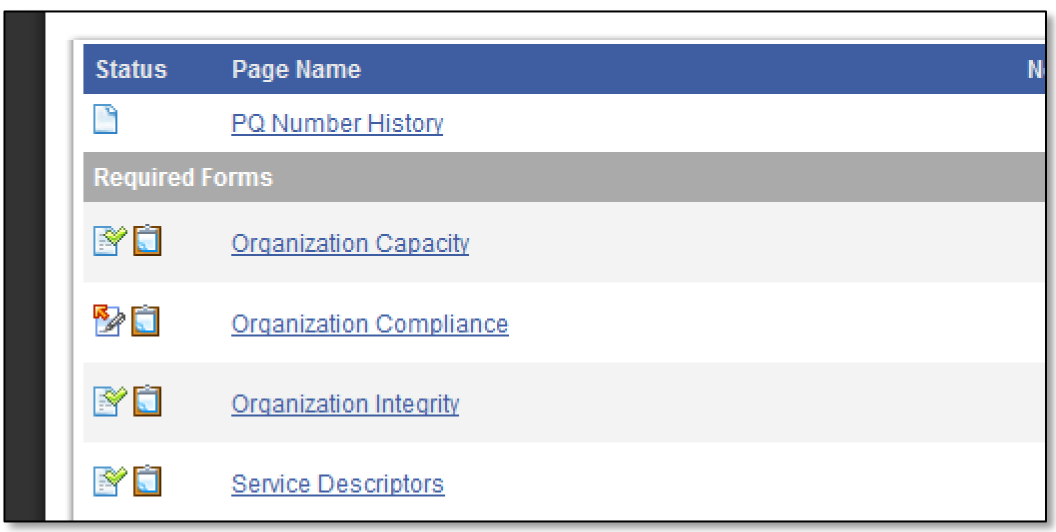
b. Current Status – Document Vault Modifications Required. You will receive an email from the Gateway if your Document Vault needs modifications. You will also receive a system generated message in the Grants Portal Inbox.



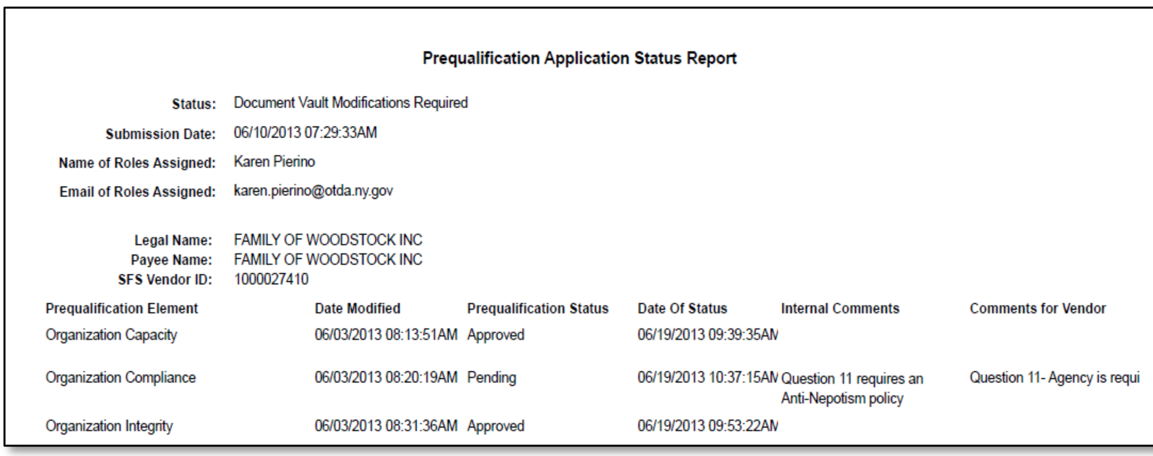
6. To retrieve the Document Vault for modifications click on Home, My Tasks and the link for Document Vault.



7. As the State agency reviews the Document Vault they will add questions or comments for the particular section of the Document Vault that requires further information or clarification. This will be indicated by an orange arrow in the first status column of the Document Vault.



8. When a Document Vault is returned to a Grantee in Modification Required Status, run the Application Status Report to determine what action is required.



Prequalification Application Status Report

Status: Document Vault Modifications Required
Submission Date: 06/10/2013 07:29:33AM
Name of Roles Assigned: Karen Pierino
Email of Roles Assigned: karen.pierino@otda.ny.gov

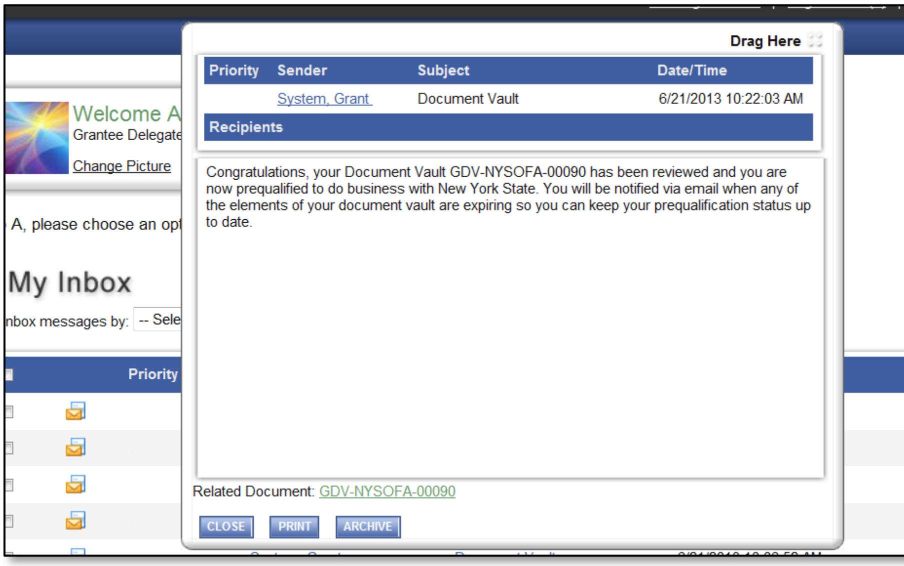
Legal Name: FAMILY OF WOODSTOCK INC
Payee Name: FAMILY OF WOODSTOCK INC
SFS Vendor ID: 1000027410

Prequalification Element	Date Modified	Prequalification Status	Date Of Status	Internal Comments	Comments for Vendor
Organization Capacity	06/03/2013 08:13:51AM	Approved	06/19/2013 09:39:35AM		
Organization Compliance	06/03/2013 08:20:19AM	Pending	06/19/2013 10:37:15AM	Question 11 requires an Anti-Nepotism policy	Question 11- Agency is requi
Organization Integrity	06/03/2013 08:31:36AM	Approved	06/19/2013 09:53:22AM		

9. Unless otherwise instructed by the State agency you should make the necessary corrections where indicated on the Prequalification Status Report , then follow the instructions for submitting a Document Vault as outlined above in Section 3 Submitting a Document Vault.

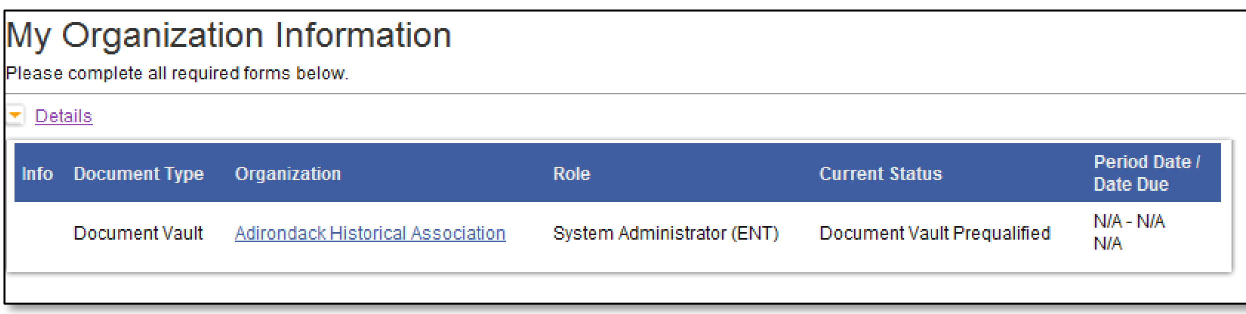
   Once the corrected Document Vault has been resubmitted the State agency will complete its review. When the Vault in its entirety is considered acceptable, the reviewer will change the status to Document Vault Prequalified.

   The Grantee Delegated Admin will receive a system generated email in your Grants Gateway Mailbox indicating the Prequalified Status and will also receive a system generated message in the system Inbox.

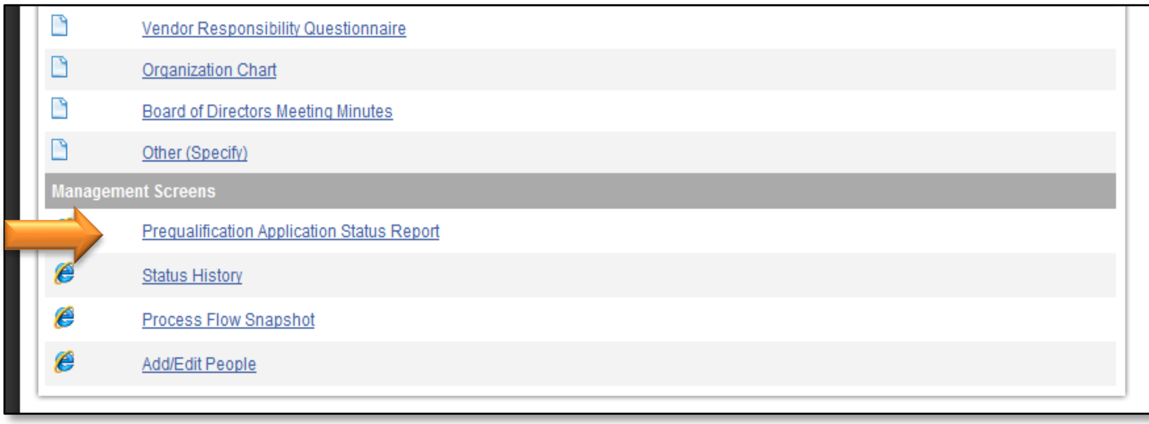


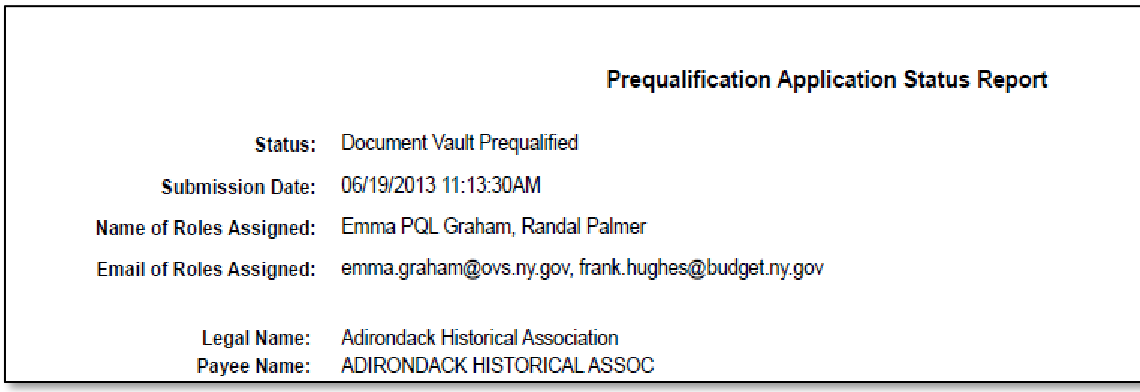
Your Task box will no longer be available, which also is an indication that no further work on the Document Vault Is required.

10. To view the final Prequalification Status Report. click on the Organization(s) link, then click on Document Vault on the next screen
Notice that the status has changed to Document Vault Prequalified.



To view the final Prequalification Status Report Scroll to the bottom of the Document Vault page and select Prequalification Status Report.
View the results of the report to confirm that the agency has approved the Document Vault.





Prequalification Application Status Report

Status:	Document Vault Prequalified
Submission Date:	06/19/2013 11:13:30AM
Name of Roles Assigned:	Emma PQL Graham, Randal Palmer
Email of Roles Assigned:	emma.graham@ovs.ny.gov, frank.hughes@budget.ny.gov
Legal Name:	Adirondack Historical Association
Payee Name:	ADIRONDACK HISTORICAL ASSOC

You should print this report for your files.

The Document Vault Submission and Approval process is now complete.

Required Documents Expiration

New York State requires Grantees to annually update the organizations IRS 990 Tax Form, the Audit Review and Findings and the CHAR 500 (Charities Registration Form) in the Grants Gateway to remain Prequalified and eligible for state grant awards.

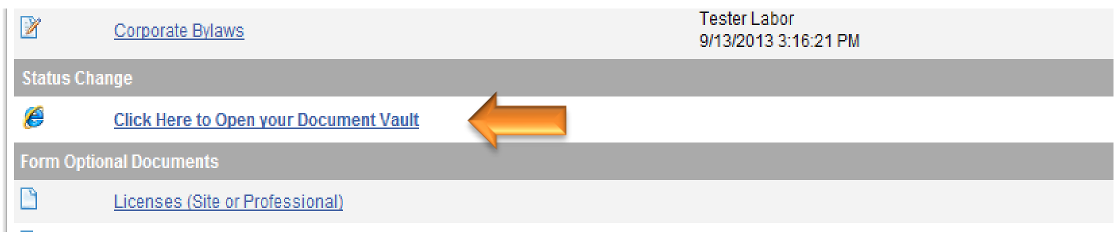
The Grants Gateway will send a system generated email to each Grantee Delegated Administrator for your organization 30 days in advance of the expiration of one of the Required Documents.

Upon receiving this email, the Grantee should obtain all of the documents that require updating, only the IRS 990, Audit Review and Findings and the CHAR 500 Charities Registration Form require annual updating.

The Grantee does not have to wait the intervening 30 days to upload the Documents. To open the Document Vault for updating simply log into the Grants Gateway and click the Organization link in top blue navigation ribbon and then click the Document Vault link to open the main Document Vault page.

Please note that while your organization's Document Vault is in Open status you are not considered Prequalified and are not eligible for state grant awards.

From the main Document Vault page use the Click Here to Open Document Vault link. This will change the status to Open and the Grantee can upload the new documents by clicking the appropriate section from the Main Document Vault page

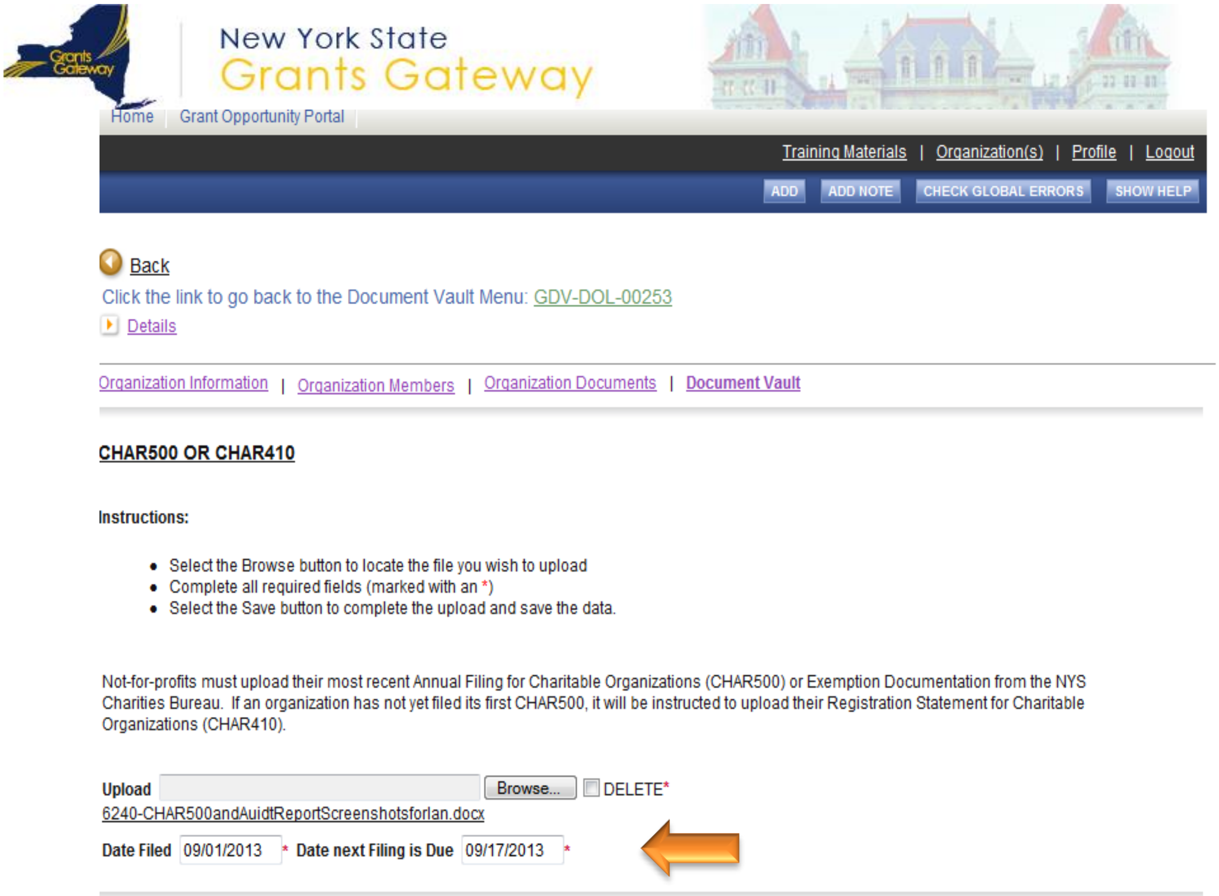


Next, click on the link for the IRS 990, Audit Review and Findings or the CHAR 500. While each section will need to be updated the process is the same for each section.

The Grants Gateway uses the filed Date Next Filing is Due to trigger the Document Vault to change from its current status to Document Vault Open. Once the Document Vault is in Open Status the Grantee must upload the most current documents or the appropriate extension from either the IRS or the New York State Attorney General to maintain Prequalified Status.

From the main Document Vault Page click the link for each of the documents that require updating. You will see that current document is uploaded and the Date Next Filing is Due is nearing expiration of has expired.

In the example below the CHAR 500 would expire on 9/17/2013 which will prompt the Grants Gateway to change the status of the Document Vault to Open.


New York State
Grants Gateway

Home | Grant Opportunity Portal

Training Materials | Organization(s) | Profile | Logout

ADD | ADD NOTE | CHECK GLOBAL ERRORS | SHOW HELP

Back

Click the link to go back to the Document Vault Menu: GDV-DOL-00253

Details

Organization Information | Organization Members | Organization Documents | Document Vault

CHAR500 OR CHAR410

Instructions:

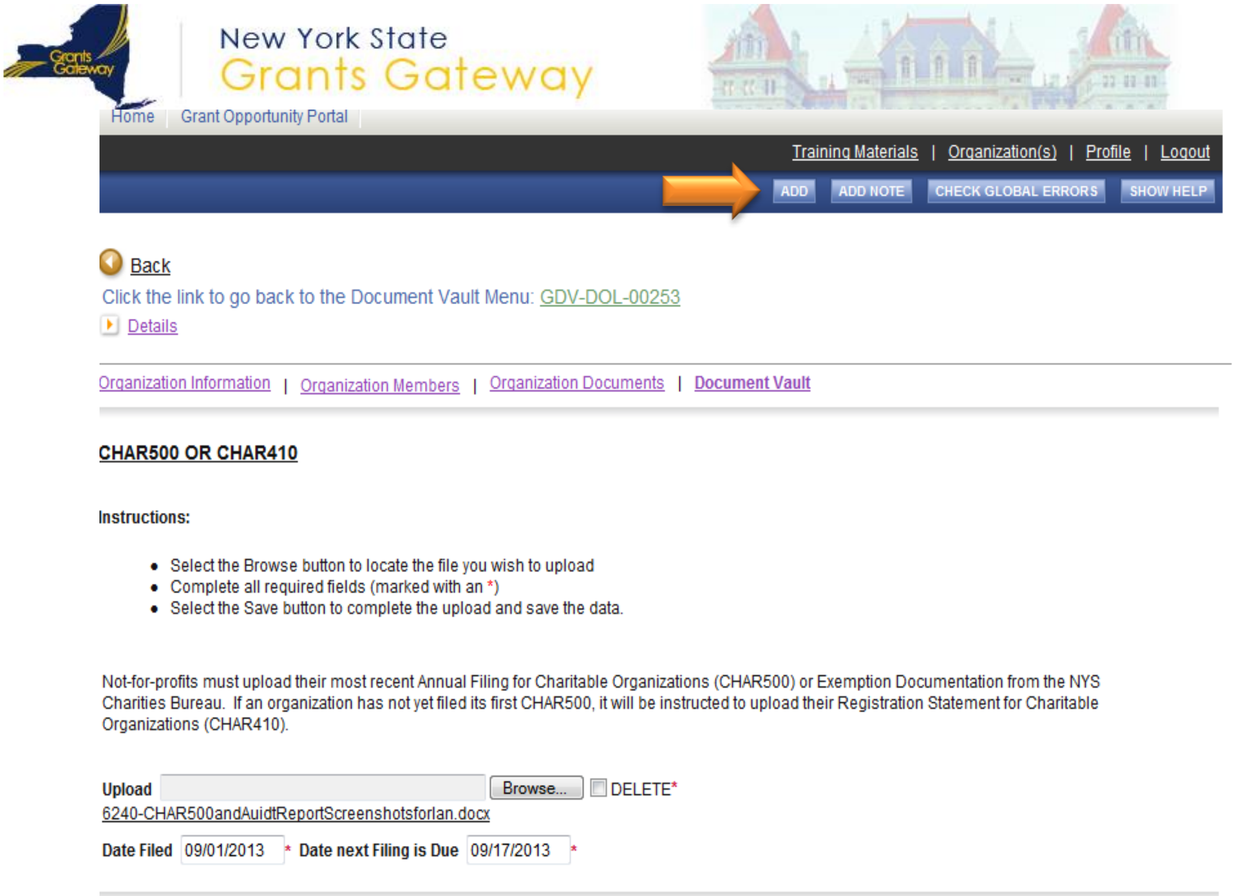
- Select the Browse button to locate the file you wish to upload
- Complete all required fields (marked with an *)
- Select the Save button to complete the upload and save the data.

Not-for-profits must upload their most recent Annual Filing for Charitable Organizations (CHAR500) or Exemption Documentation from the NYS Charities Bureau. If an organization has not yet filed its first CHAR500, it will be instructed to upload their Registration Statement for Charitable Organizations (CHAR410).

Upload Browse... DELETE*
6240-CHAR500andAuidtReportScreenshotsforIan.docx

Date Filed 09/01/2013 * **Date next Filing is Due** 09/17/2013 *

Next, in each of the three sections select the ADD button from the top navigation ribbon to open a new screen that allows you to enter new dates as outlined in the accompanying chart and to upload the newest, most current form. (IRS 990, Audit Review and Findings, and CHAR 500 Charities Registration Form).


New York State
Grants Gateway
Home | Grant Opportunity Portal
Training Materials | Organization(s) | Profile | Logout
ADD | ADD NOTE | CHECK GLOBAL ERRORS | SHOW HELP

Back
Click the link to go back to the Document Vault Menu: GDV-DOL-00253
Details

Organization Information | Organization Members | Organization Documents | Document Vault

CHAR500 OR CHAR410

Instructions:

- Select the Browse button to locate the file you wish to upload
- Complete all required fields (marked with an *)
- Select the Save button to complete the upload and save the data.

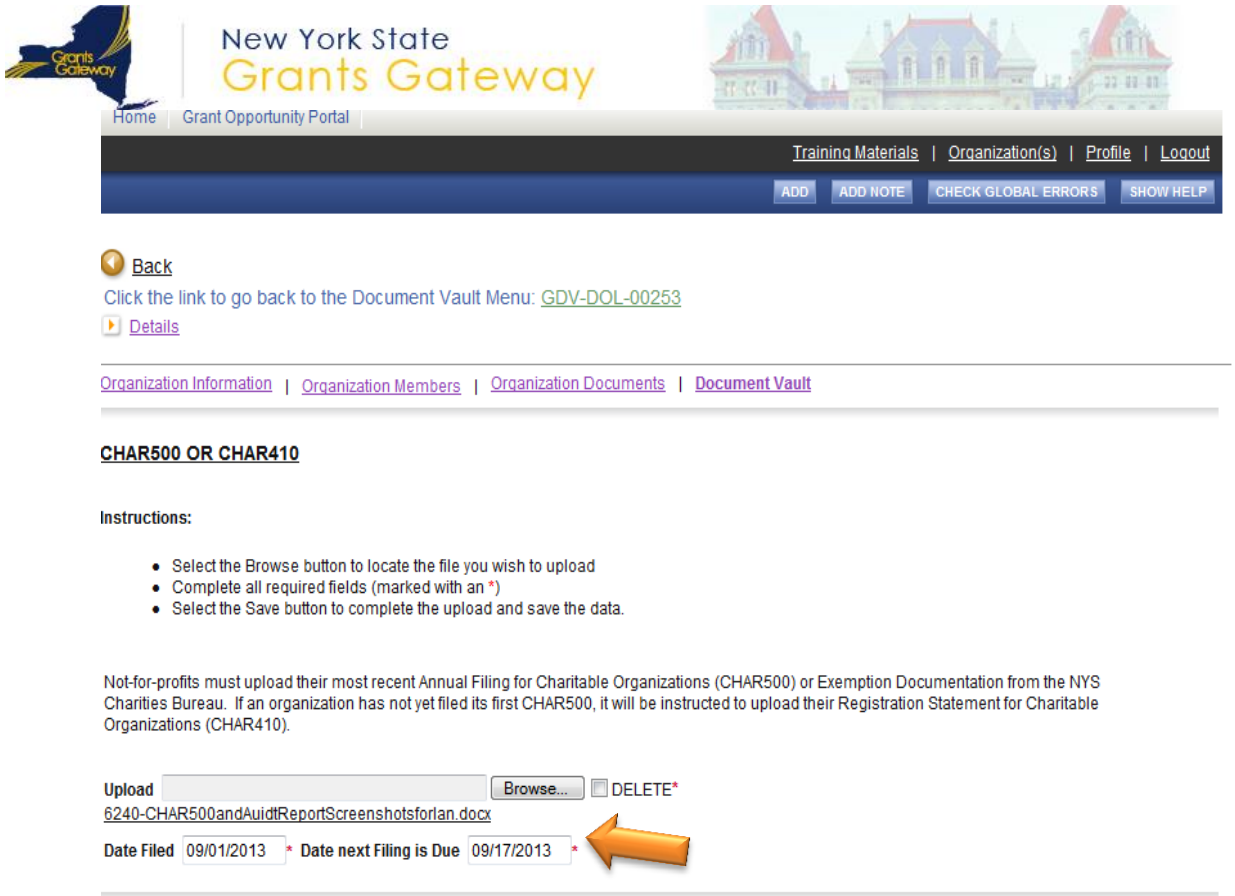
Not-for-profits must upload their most recent Annual Filing for Charitable Organizations (CHAR500) or Exemption Documentation from the NYS Charities Bureau. If an organization has not yet filed its first CHAR500, it will be instructed to upload their Registration Statement for Charitable Organizations (CHAR410).

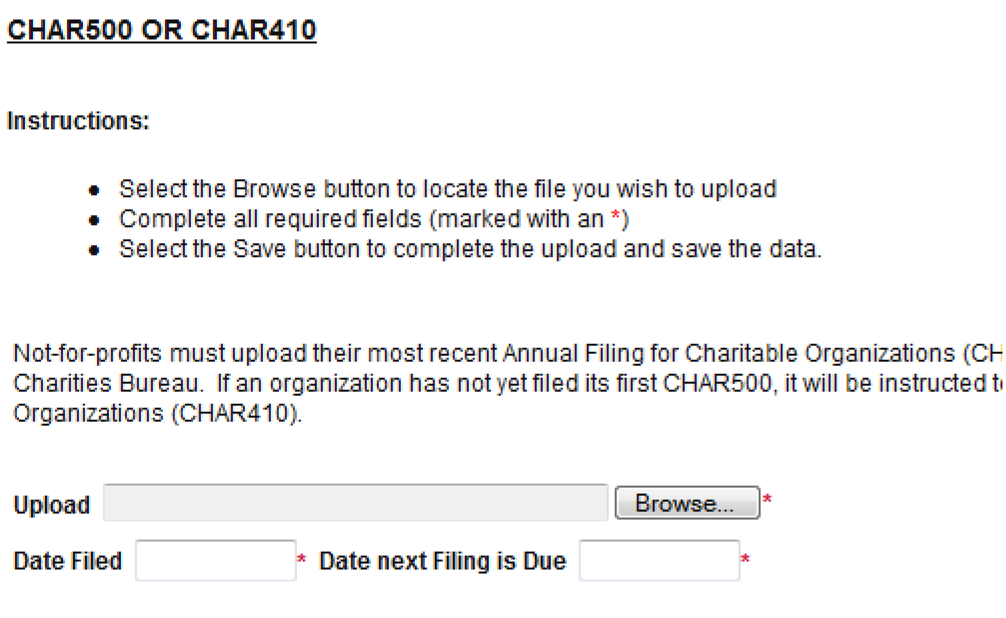
Upload Browse... DELETE*
6240-CHAR500andAuidtReportScreenshotsforlan.docx

Date Filed 09/01/2013 * **Date next Filing is Due** 09/17/2013 *

When entering the dates next due on the main face page of the section please use the dates listed in the chart below so that the dates for all Required Documents are consistent and to avoid additional work to meet Prequalification standards.

Tax Year	Fiscal Yr. End Date	Date Next Filing is Due	With 3 month extension	With 6 month extension
2010	6/30/2011	12/31/2012	3/31/2013	6/30/2013
2010	7/31/2011	1/31/2013	4/30/2013	7/31/2013
2010	8/31/2011	2/28/2013	5/31/2013	8/31/2013
2010	9/30/2011	3/31/2013	6/30/2013	9/30/2013
2010	10/31/2011	4/30/2013	7/31/2013	10/31/2013
2010	11/30/2011	5/31/2013	8/31/2013	11/30/2013
2011	12/31/2011	6/30/2013	9/30/2013	12/31/2013
2011	1/31/2012	7/31/2013	10/31/2013	1/31/2014
2011	2/28/2012	8/31/2013	11/30/2013	2/28/2014
2011	3/31/2012	9/30/2013	12/31/2013	3/31/2014
2011	4/30/2012	10/31/2013	1/31/2014	4/30/2014
2011	5/31/2012	11/30/2013	2/28/2014	5/31/2014
2011	6/30/2012	12/31/2013	3/31/2014	6/30/2014
2011	7/31/2012	1/31/2014	4/30/2014	7/31/2014
2011	8/31/2012	2/28/2014	5/31/2014	8/31/2014
2011	9/30/2012	3/31/2014	6/30/2014	9/30/2014
2011	10/31/2012	4/30/2014	7/31/2014	10/31/2014
2011	11/30/2012	5/31/2014	8/31/2014	11/30/2014
2012	12/31/2012	6/30/2014	9/30/2014	12/31/2014
2012	1/31/2013	7/31/2014	10/31/2014	1/31/2015
2012	2/28/2013	8/31/2014	11/30/2014	2/28/2015
2012	3/31/2013	9/30/2014	12/31/2014	3/31/2015
2012	4/30/2013	10/31/2014	1/31/2015	4/30/2015
2012	5/31/2013	11/30/2014	2/28/2015	5/31/2015
2012	6/30/2013	12/31/2014	3/31/2015	6/30/2015
2012	7/31/2013	1/31/2015	4/30/2015	7/31/2015
2012	8/31/2013	2/28/2015	5/31/2015	8/31/2015
2012	9/31/2013	3/31/2015	6/30/2015	9/30/2015
2012	10/31/2013	4/30/2015	7/31/2015	10/31/2015
2012	11/31/2013	5/31/2015	8/31/2015	11/30/2015
2013	12/31/2013	6/30/2015	9/30/2015	12/31/2015
2013	1/31/2014	7/31/2015	10/31/2015	1/31/2016
2013	2/28/2014	8/31/2015	11/30/2015	2/29/2016
2013	3/31/2014	9/30/2015	12/31/2015	3/31/2016
2013	4/30/2014	10/31/2015	1/31/2016	4/30/2016





Once the Grantee has completed the uploading process for the three updated documents the next step is to submit the Document Vault to the State for review.

To submit a Document Vaults navigate to the main Document Vault page and use the Click here to Submit Document Vault link. Just like when you first submitted the Document Vault you will be asked to agree to an attestation before submitting the Document Vault.

You will then receive a system generated email indicating that your Document Vault has been submitted successfully.

The Document Vault will be assigned to a State Prequalification Specialist for review and approval of the new documents.

This completes the annual uploading of the IRS 990, Audit Review and Findings, and the CHAR 500 Charities Registration Form.