

Prequalification Required Documents

One portion of the prequalification process includes vendors uploading a set of required documents. Below you will find a list of required documents. The corresponding document instructions and explanations are also listed below.

1	Certificate of Incorporation or equivalent document
2	IRS 501(c) determination letter
3	IRS 990
4	Audit/Reviews and Findings
5	CHAR500 or CHAR410
6	Board of Directors Profile
7	Senior Leadership Resumes
8	Corporate Bylaws

Required Document Instructions and Explanations

1	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.
2	Not-for-profits must upload their IRS 501(c) determination letter.
3	Not-for-profits must upload their most recent IRS 990. If organizations are in a situation where they have not yet filed their initial IRS 990, they will be asked to upload a statement documenting the date the organization was established and the date when the first filing is due. If you believe your organization is exempt from filing an annual IRS 990, you must file proof of exemption.
4	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, it will be instructed to upload a document with its budgets for the current and most recent fiscal year.
5	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).
6	Not-for-profits must upload a board of directors profile. A sample profile template can be found at www.GrantsReform.gov . This document should include board member names and affiliations, a list of the board committees and chairs, and a list of board officers.
7	Not-for-profits must upload the resumes or CVs of their Senior Leadership team. The positions included should be Chief Executive Officer, Chief Operating Officer, Chief Financial Officer, Executive Director, President, or other high ranking officials. Individuals should upload their own resume or CV.
8	Not-for-profits must upload a proper and complete copy of corporate bylaws that have been formally adopted by agency Board

Prequalification Questions

One portion of the prequalification process includes vendors answering a set of questions designed to provide State agencies with the information needed to make informed prequalification determinations. Below is the list of questions for not-for-profit organizations.

	Question	Answer Choices (if applicable)
1	Does your 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 your organization have an automated payroll system?	Yes/No
3	Does your organization use an electronic system for accounting?	Yes/No
4	Does the senior staff team meet on a regular and consistent basis?	Yes/No
5	Does your organization conduct regular, annual performance evaluations for staff?	Yes/No
6	Does your organization create professional development plans for the staff in conjunction with staff performance reviews?	Yes/No
7	Are staff members required to participate in training annually?	Yes/No
8	Identify the Information technology and telecommunications systems utilized by your organization.	Telephone, internet, email account, mobile device, facsimile, none
	Compliance Questions	
9	Last year, did a quorum of the board of directors meet in compliance with the organization's bylaws?	Yes/No
10	Does your board of directors take minutes of all meetings and maintain records of such meetings consistent with its bylaws?	Yes/No
11	Is the frequency with which your board meets consistent with the mandate in your organization's bylaws?	Yes/No
12	Is your board's committee structure and the number of times each committee met during the past fiscal year consistent with the organization's bylaws?	Yes/No
13	Indicate all of the items the board of directors reviews and/or approves.	Annual operating budget, policies and procedures, executive performance and compensation, fundraising plan, internal controls, fiscal controls, annual audit, Form 990, program operations and performance outcomes, other

Prequalification Questions

14	Does your board review financial statements on a regular and consistent basis? If yes, how often do they review such statements?	Yes/No and if yes, how often (Monthly, Quarterly, Annually, Other)
15	Does your organization reconcile bank statements on a monthly basis? If not, how often are bank statements reconciled?	Yes/No and if no, how often (Monthly, Quarterly, Annually, Other)
16	State whether your organization has separated its fiscal and legal functions.	Yes/No
16A	Identify those individuals with contract signature authorization	Text Box
16B	Identify those individuals with fiscal signature authorization	Text Box
17	Provide and upload all licenses, accreditations and permits required for your business	Link to additional Documents
18	Does your senior management team formally review your organization's overall performance data on a frequent and consistent basis? If so, how frequently is performance data reviewed? If not, what is your organization's practice?	Yes/No and if yes dropdown to how often (Monthly, Quarterly, Annually, Other). If no, provide explanation.
19	Which of the following policies and procedures does your organization have in place?	See choices to the left. Choose all that apply.
	· CEO Compensation policy	
	· Anti-nepotism policy	
	· Staff code of conduct	
	· Document retention policy	
	· Board of Directors Conflict of Interest Policy	
	· Conflict of Interest Policy	
	· Continuity of Operations Plan	
	· Diversity Policy	
	· Emergency Preparedness Policy	
	· Whistleblower Policy	
	· Security Policy	
	· Succession/Transition Plan	
	· Fiscal/Internal Controls Policy	
	· Personnel Recruitment/Screening/Hiring Policy	
	· Personnel Retention and Retention Plan	
	· Supervision and Performance Evaluation Policy	
	· None of the Above	
20	Does your organization have a written and posted Equal Employment Opportunity (EEO) policy?	Yes/No

Prequalification Questions

21	Upload your Certificate of Assumed Name or DBA, if applicable	Link to additional Documents
22	Does your organization have a written MWBE policy with respect to its work with outside contractors, subcontractors, partners, and/or consultants?	Yes/No
	Integrity Questions - Please answer each question. Any yes answer needs to be fully explained in comment box.	
23	Within the past five years, have you or any of your affiliates been suspended or debarred from any contracting process or been disqualified on any government procurement?	Yes/No
24	Within the past five years, have you or any of your affiliates been subject to a denial or revocation of a government prequalification?	Yes/No
25	Within the past five years, have you or any of your affiliates been denied a contract or had a bid rejected based upon a finding of non-responsibility by a government entity?	Yes/No
26	Within the past five years, have your or any of your affiliates been suspended, cancelled or terminated for cause on any contract?	Yes/No
27	Within the past five years, have you or any of your affiliates had a revocation, suspension, or disbarment of any business or professional permit and/or license?	Yes/No
28	Within the past five years, have you or any of your affiliates been the subject of an investigation, whether open or closed, by any government entity for a civil or criminal violation?	Yes/No
29	Within the past five years have you or any of your affiliates been the subject of an indictment, grant of immunity, judgment or conviction (including entering into a plea bargain) for conduct constituting a crime?	Yes/No
30	Within the past five years, has any individual previously identified, any other key employees not previously identified or any individual having the authority to sign, execute, or approve bids, proposals, contracts or supporting documentation with New York State been subject to an investigation, whether open or closed, by any government entity for a civil or criminal violation for any business related conduct?	Yes/No

Prequalification Questions

31	Within the past five years, has any individual previously identified, any other key employees not previously identified or any individual having the authority to sign, execute, or approve bids, proposals, contracts or supporting documentation with New York State been subject to an indictment, grant of immunity, judgment, or conviction of any business related conduct constituting a crime including, but not limited to, fraud, extortion, bribery, racketeering, price fixing, bid collusion or any crime related to truthfulness?	Yes/No
32	Within the past five years, have you or any of your affiliates received any formal unsatisfactory performance assessment(s) from any government entity on any contract?	Yes/No
33	During the past three years have you failed to file any returns, including, if applicable, federal Form 990, with any Federal, State or Local government entity?	Yes/No
34	During the past three years have you failed to file returns or pay New York State Unemployment Insurance? If yes, indicate the years you failed to file/pay the insurance and the current status of the liability.	Yes/No
35	During the past three years, have you failed to file documentation requested by any New York State agency, public authority or other quasi-state entity, with the Attorney General of the State of New York, or with any other local, State or federal entity that has made a formal request for information? If yes, indicate the years you failed to file the requested information and the current status of the matter.	Yes/No