



New York State requires that all not-for-profit organizations seeking grant funding from the State prequalify in the Statewide Financial System (SFS) unless explicitly exempted by the Division of the Budget. The prequalification process allows the State to deem an organization qualified prior to allowing them to compete for a grant and potentially receive a State contract. Organizations must receive approved prequalification status prior to grant application and execution of contracts. New York State reserves up to 5-10 business days from the receipt of a complete prequalification application to conduct its review after which a determination of Prequalified or Not Prequalified will be made.

Due to the length of time this process could take to complete, it is advised that organizations submit their Prequalification Application as soon as possible. **Please note that approved prequalification status does not guarantee award of a contract.** If an organization submits a grant application without successfully completing the prequalification process by the application due date and time, the grant application will be disqualified. An organization that is required to prequalify will not be able to submit a grant application in the SFS unless they have received approved prequalification status.

**Required Documents**

Not-for-profit organizations must upload the following documents in SFS. These documents will be evaluated as part of the prequalification process.

1. Certificate of Incorporation or equivalent document
2. Certificate of Assumed Name or DBA, if applicable
3. IRS 501(c) determination letter
4. Board of Directors Profile
5. Senior Leadership Resumes
6. Corporate Bylaws
7. Organization Chart
8. IRS 990
9. Financial Statement/Audit
10. CHAR500 or CHAR410

**Required Questions**

Not-for-profit organizations must answer the following questions designed to provide State agencies with the information needed to make informed prequalification determinations.

Integrity Questions		Answer Choices
1) Within the past five years, have you, the organization, and/or any organization affiliate:		
a	been suspended or debarred from any contracting process or been disqualified on any government procurement? If yes, identify the government entity/owner(s) involved, project(s), contract number(s), relevant dates and any remedial or corrective action(s) taken and the current status of the issue(s).	Yes/No and if Yes provide explanation
b	been subject to a denial or revocation of a government prequalification? If yes, identify the government entity/owner(s) involved, project(s), contract number(s), relevant dates and any remedial or corrective action(s) taken and the current status of the issue(s).	Yes/No and if Yes provide explanation
c	been denied a contract or had a bid rejected based upon a finding of non-responsibility by a government entity? If yes, provide a brief description of the circumstances of such incident(s) and any remedial or corrective action(s) taken and the current status of the issue(s).	Yes/No and if Yes provide explanation
d	been suspended, cancelled or terminated for cause on any contract? If yes, identify the government entity/owner(s) involved, project(s), contract number(s), relevant dates and any remedial or corrective action(s) taken and the current status of the issue(s).	Yes/No and if Yes provide explanation
2) Within the past five years, have you, the organization, any organization affiliate, and/or any organization employee:		



a	had a revocation, suspension, or disbarment of any business or professional permit and/or license? If yes, provide a brief description of the circumstances of such incident(s) and any remedial or corrective action(s) taken and the current status of the issue(s).	Yes/No and if Yes provide explanation
b	been the subject of an indictment, grant of immunity, judgment or conviction (including entering into a plea bargain) for conduct constituting a felony level crime? If yes, provide a brief description of the circumstances of such incident(s) and any remedial or corrective action(s) taken and the current status of the issue(s).	Yes/No and if Yes provide explanation
c	been subject to an investigation, whether open or closed, by any government entity for a civil or criminal violation for any business-related conduct? If yes, provide a brief description of the circumstances of such incident(s) and any remedial or corrective action(s) taken and the current status of the issue(s).	Yes/No and if Yes provide explanation
d	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? If yes, provide a brief description of the circumstances of such incident(s) and any remedial or corrective action(s) taken and the current status of the issue(s).	Yes/No and if Yes provide explanation
3)	Within the past five years, have you, the organization, any organization affiliate, and/or any organization employee received any formal unsatisfactory performance assessment(s) from any government entity on any contract? If yes, provide a brief description of the circumstances of such incident(s) and any remedial or corrective action(s) taken and the current status of the issue(s).	Yes/No and if Yes provide explanation
4)	During the past five years, have you, the organization, and/or any organization affiliate failed to file any required returns, including, if applicable, federal Form 990, with any Federal, State or Local government entity? If yes, provide a brief description of the circumstances of such failure(s) to file and any remedial or corrective action(s) taken and the current status of the issue(s).	Yes/No and if Yes provide explanation
5)	During the past five years, have you, the organization, and/or any organization affiliate failed to file required returns or pay New York State Unemployment Insurance when required to do so? If yes, indicate the years you failed to file/pay the insurance and the current status of the liability.	Yes/No and if Yes provide explanation
6)	During the past five years, have you, the organization, and/or any organization affiliate 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 and if Yes provide explanation
<b>Capacity Questions</b>		<b>Answer Choices</b>
7)	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
8)	Does the senior staff team meet on a regular and consistent basis (formally or informally)?	Yes/No
9)	Does your organization have an automated payroll system?	Yes/No
10)	Does your organization use an electronic system for accounting?	Yes/No
<b>Compliance Questions</b>		<b>Answer Choices</b>
11)	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?
12)	Does your organization reconcile bank statements less often than once per month? If yes, how frequently are such reconciliations done?	Yes/No and if Yes, how often?
13)	Has your organization separated its fiscal and legal functions? Please explain.	Yes/No and description
14)	Does your organization have all the following policies in place? · Anti-nepotism policy · Staff code of conduct · Board of Directors Conflict of Interest Policy · Conflict of Interest Policy	Yes/No



<ul style="list-style-type: none"> <li>· Diversity Policy</li> <li>· Fiscal/Internal Controls Policy</li> </ul>	
15) Does your organization have a written and posted Equal Employment Opportunity (EEO) policy? If your organization is not subject to the EEO posted policy requirement, please choose N/A.	Yes/No/N/A
16) Last year, did a quorum of the board of directors meet in compliance with the organization's bylaws?	Yes/No
17) Does your board of directors take minutes of all meetings and maintain records of such meetings consistent with its bylaws?	Yes/No
18) Indicate all of the items the board of directors reviews and/or approves. If your board reviews some but not all of these items, please explain.	Examples: 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

**MANDATORY CERTIFICATION**

By selecting "Yes" below, I certify:

- I am authorized on behalf of the applicant and/or its governing body to submit this information.
- All of the information contained herein and all statements, data and supporting documents which have been made or furnished, are true and correct and complete to the best of my knowledge and belief.
- I recognize that this questionnaire is submitted for the express purpose of assisting New York State in making responsibility determinations regarding an award of contracts or grants or approval of a subcontract.
- I acknowledge that New York State will rely on such information disclosed by me.
- I acknowledge that New York State may, in its discretion, by means which it may so choose, verify the truth and accuracy of all statements made herein.
- I understand that if any change occurs in the information I have provided, that I will promptly notify the State of such changes and that failure to notify the State of such changes will constitute cause of disapproval of any application or revocation of any agreement made with the State.
- I understand that any false statement or misrepresentation will constitute cause for disapproval of any application or revocation of any agreement made with the State upon which such information was relied.
- **I further acknowledge that my submission of this document, knowing that it contains a false statement or false information, constitutes a crime under New York State law, and that. I may prosecuted and subject to a fine and/or a term of imprisonment if so convicted of such a crime.**

Yes

No

**By selecting "Yes", I certify: I am authorized on behalf of the applicant and/or its governing body to submit this information.**