

Submit the Discretionary Prequalification (PQL) Application

To clear City Council Discretionary awards for agency processing, the **Discretionary Prequalification (PQL) Application** collects basic information to verify each nonprofit organization's ability to establish or maintain a business relationship with the City. For more information about the City Council Discretionary Award Process, visit this MOCS information page: [Discretionary Award Process](#).

Only nonprofit organizations with an approved Discretionary Prequalification Application meet the procedural requirement for City Council Discretionary Award clearance.

Note: If an organization also wants to be eligible to compete for health/client service contracts in PASSPort, complete the **HHS Accelerator Prequalification Application** instead.

The Mayor's Office of Contract Services (MOCS) reviews and approves all Discretionary PQL Applications. Once approved, most nonprofits are **prequalified until their organization's annual financial statement or report expires**. Nonprofits that are exempt from filing annually with the NYS Charities Bureau will be Approved for 3 years.

Important: Nonprofits that are required to file annually with the NYS Charities Bureau must update their Discretionary Prequalification Application in PASSPort **each year** to maintain prequalified status!

[Before We Begin](#)

[Find the Discretionary Prequalification \(PQL\) List](#)

[Start a New Discretionary PQL Application](#)

[Complete the Questionnaire](#)

[Add a Required Document](#)

[Upload a Document From Your Computer](#)

[Link a Document via the Vault](#)

[Change the Start and End Dates](#)

[Avoid Common Mistakes](#)

[Questionnaire Mistakes](#)

[Required Document Mistakes](#)

[Submit PQL Application for Review](#)

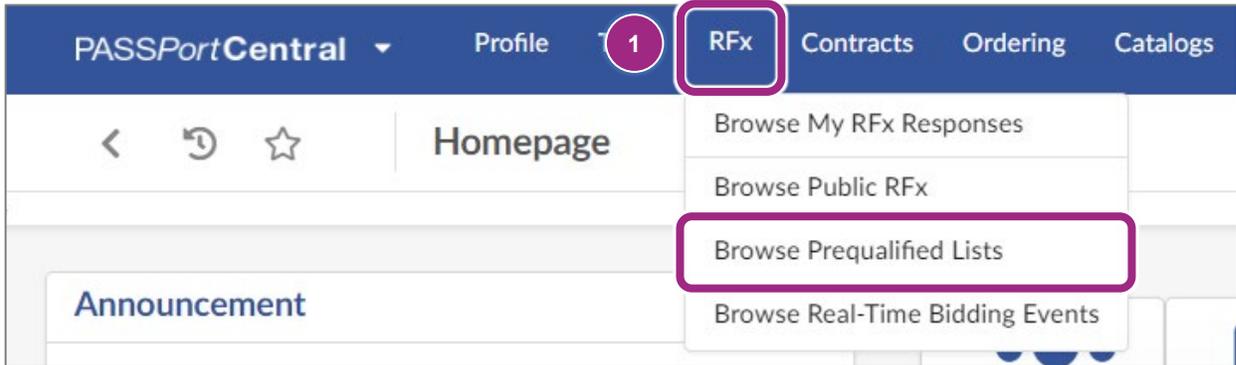
Before We Begin

The steps below can be completed by users provisioned with the roles:

- **Vendor Admin**
- **Vendor Procurement L1**
- **Vendor Procurement L2**

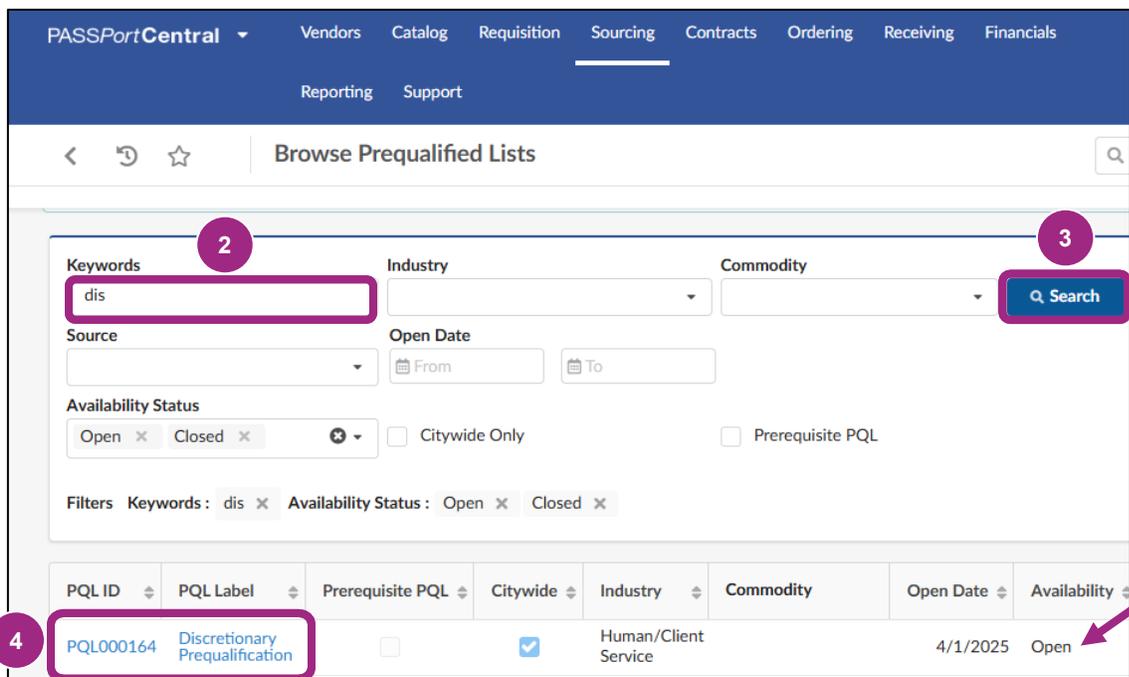
Find the Discretionary Prequalification List

1. From the PASSPort Homepage, or anywhere in PASSPort Central, click **RFx** and select **Browse Prequalified Lists** from the drop-down menu.



The Browse Prequalified Lists page displays with all open and closed prequalified lists.

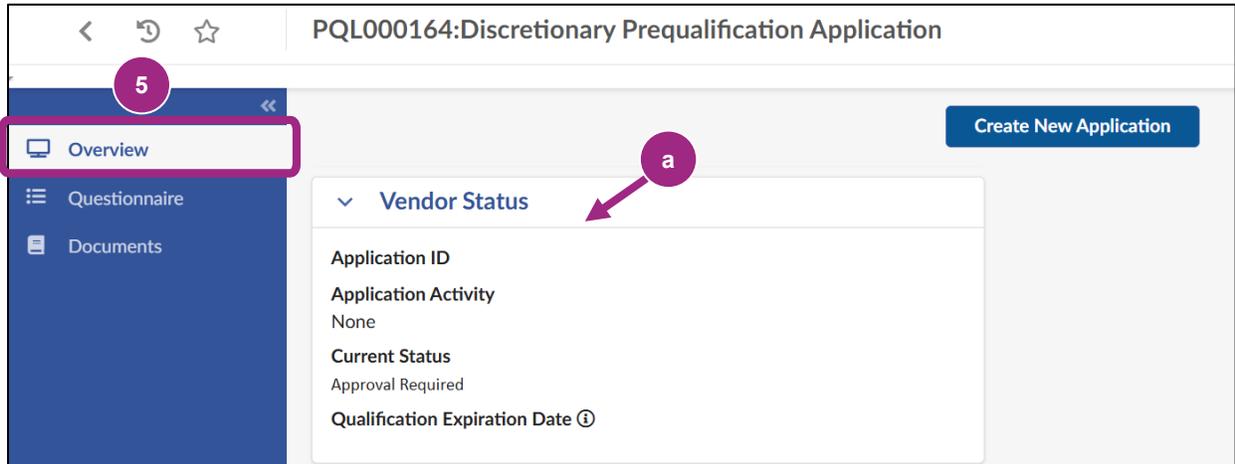
2. To search for the Discretionary Prequalification list, type “164” or “dis” (the beginning of the word discretionary) in the **Keywords** field.
3. Click the **Search** button and the list will display in the table below the search parameters.
4. Click the **PQL ID** or **PQL Label** to view the Discretionary PQL application.



5. The Discretionary PQL Application appears showing the Overview tab. The Current Status column refers to your organization’s status in relation to the PQL.

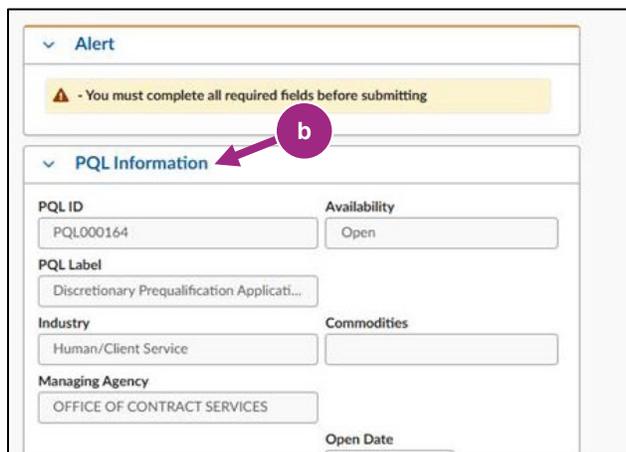
The **Overview** tab displays information related to the prequalified list and where your organization stands in relation to the list.

- a) The **PQL Information** section provides key information about the PQL, including the PQL ID, PQL Label, the Managing Agency, Industry and more.

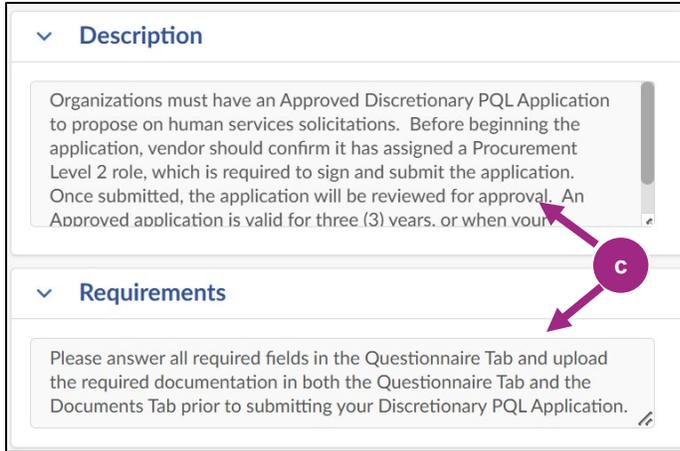


- b) The **Vendor Status** section contains information specific to your organization related to the PQL such as the Application ID (a unique identifier related to your organization’s PQL application), Application Activity status, your Current Status and the Qualification Expiration Date. Prior to starting any Discretionary Prequalification action, your organization’s Application Activity will show **None** and the Current Status will be **Approval Required**.

Note: The Qualification Expiration Date is driven by the Validity End Date of Required Documents submitted in the Documents tab. The document’s Validity End Date signifies the expiration of prequalification.



- c) The **Description** and **Requirements** sections provide a brief description of the PQL and any instructions or requirements that apply to the PQL.



Description

Organizations must have an Approved Discretionary PQL Application to propose on human services solicitations. Before beginning the application, vendor should confirm it has assigned a Procurement Level 2 role, which is required to sign and submit the application. Once submitted, the application will be reviewed for approval. An Approved application is valid for three (3) years, or when your

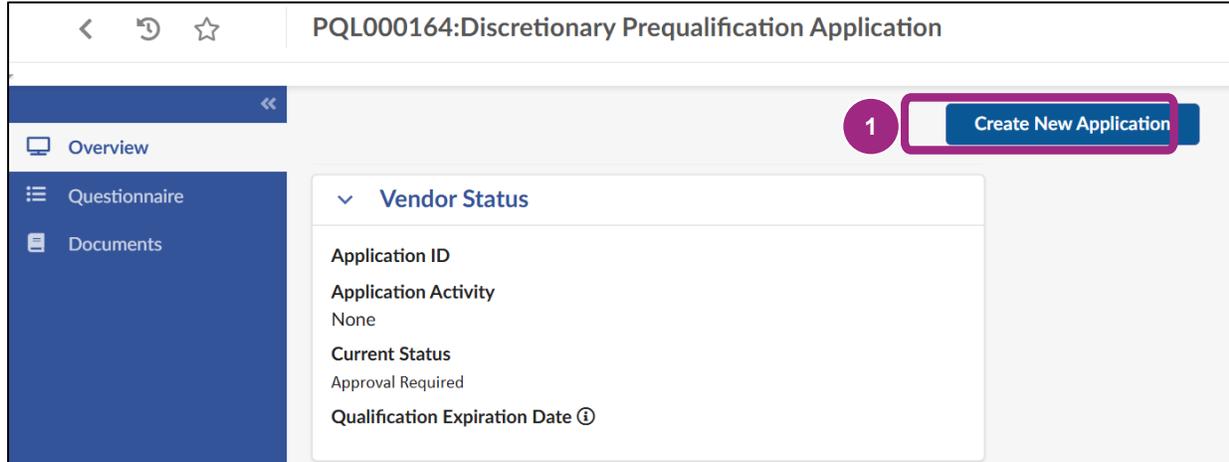
Requirements

Please answer all required fields in the Questionnaire Tab and upload the required documentation in both the Questionnaire Tab and the Documents Tab prior to submitting your Discretionary PQL Application.

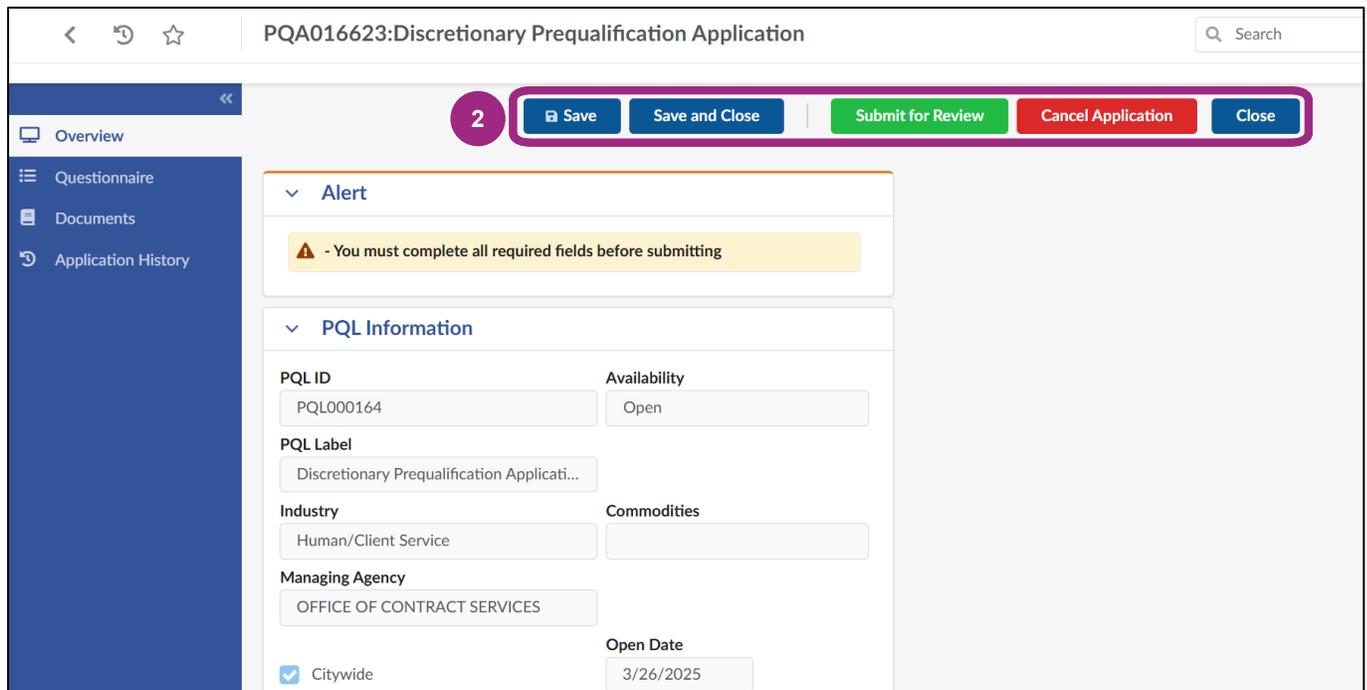
[Back to Top](#)

Start a New Discretionary PQL Application

1. In the Overview tab, click the **Create New Application** button located at the top of the page.



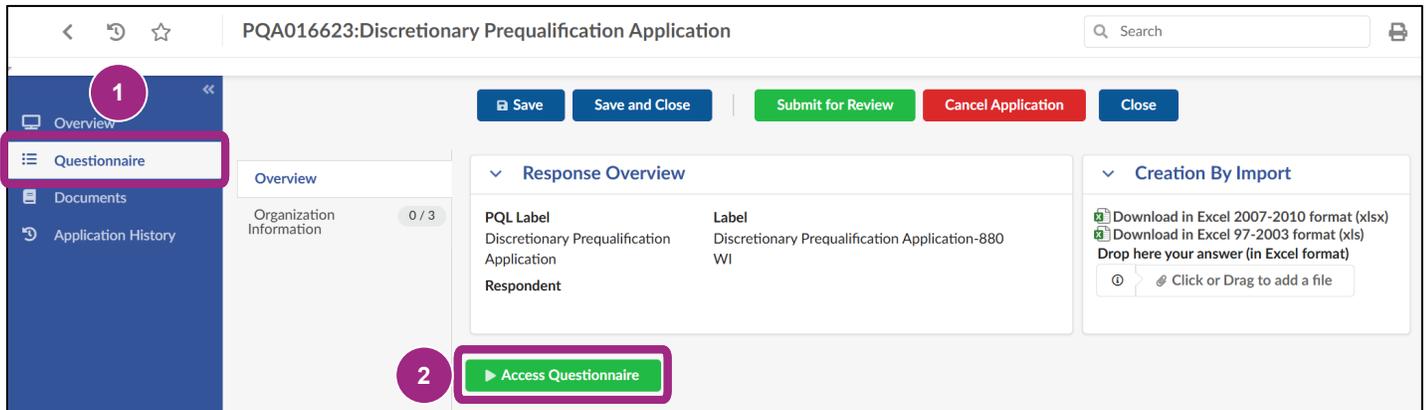
2. The page refreshes creating the **Draft** application and changes to some sections of the Overview tab and to the PQL:
 - New buttons appear at the top of the PQL: Save, Save and Close, Submit for Review, Cancel Application and Close.
 - In the **Overview** tab, a new Alert section will appear before the PQL Information section.
 - In the **Vendor Status** section, the Application ID will show the unique identifier of the application that was created, and Application Activity will update to Draft status.



[Back to Top](#)

Complete the Questionnaire

1. In the Discretionary PQL, go to the **Questionnaire** tab.
2. In the **Overview** section of the Questionnaire tab, click the green **Access Questionnaire** button to view the initial prompt in the Questionnaire's Business Information section.

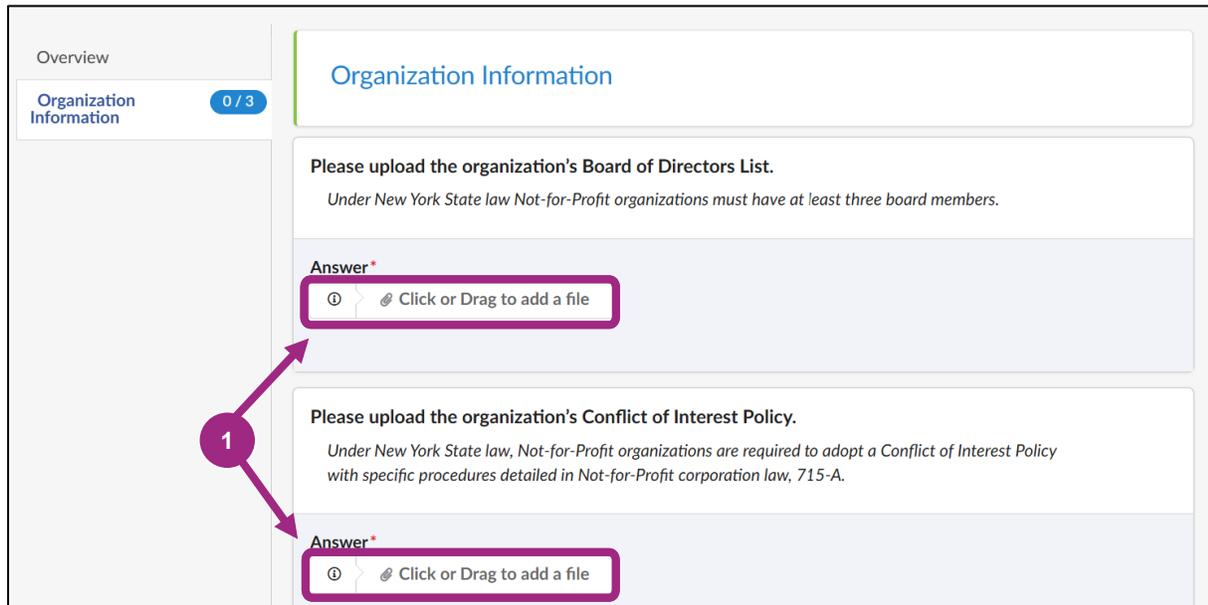


Business Information

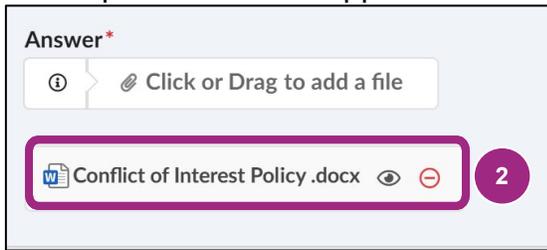
Applicants will be required to upload the current versions of key **business documents** and certify they will submit a specific Financial Statement or Report in the Documents tab.

Required business documents for nonprofit organizations in the Discretionary PQL Questionnaire:

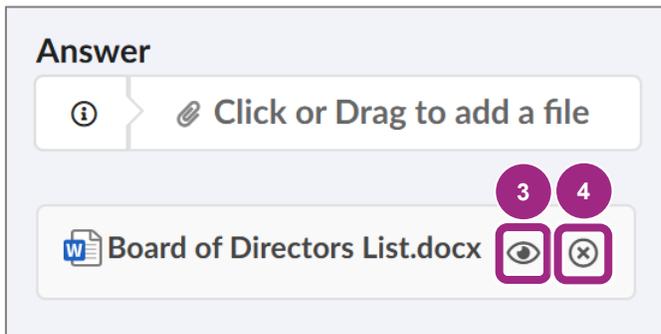
- a. **Board of Directors List** or Equivalent
 - b. **Conflict of Interest Policy and/or Board Conflict of Interest Policy**. Nonprofits are required to have this policy per the Nonprofit Revitalization Act and will certify they have and will upload the document.
1. To upload the business documents (a, b), click the **Click or Drag to add a file** button by each business document listed, locate the file on your computer and select it.



- Each uploaded file will appear beneath the Click or Drag to add a file button.



- Click the **preview** icon to the right of the file name to preview and verify the correct file was uploaded.
- If the wrong file is uploaded, click the encircled **X** to the right of the preview icon to remove it from the PQL application. Upload the correct file.



- Read the Conflict of Interest Policy instructions.
- If you do not have a policy, your application will not be approved.

Note: All nonprofit organizations must have an internal Conflict of Interest Policy (per New York State law).

Click the **Click or Drag to add a files** button to locate the policy on your local computer and select it. The document will appear below.

In the scenario above, the wrong document was uploaded and will have to be replaced with the organization's policy document as **one file**.

Note: This document cannot be deleted in the same way as the previous documents via the X icon which is unavailable here. In this case, the way to remove it and add a new policy document is to replace it via the Click or Drag to add a file button and select a new file to replace it.

- Read the instructions under the Documents Tab Certification – Filings Documents – Charities Filing or Exemption Documentation. This final prompt in the Questionnaire will be to certify that your organization, as a nonprofit, has uploaded the **most recent Charities Bureau Annual Filing, supporting documentation for a filing exemption, or a 30-day extension request** into the Documents tab of this PQL application.

At this point, go to the Document tab to [Add a Required Document](#). After adding the document, click the **Questionnaire** tab to certify you uploaded the Charities Filing or Exemption or 30-day extension request.

8. To complete the certification, click the **Answer** drop-down and select **one of eight available options** based on whether your organization is new to filing, exempt from filing, requests a 30-day extension to file a copy of the financial statement, or select the option corresponding to the organization’s annual revenue and the associated Charities Bureau requirement.

Note: Your selection determines the [financial document\(s\)](#) to be added in the Documents tab. It’s common for organizations to submit the wrong or incomplete documentation which will result in a returned application requiring revisions.

Important: To obtain a 30-day extension for either the CPA report on financial statements or the CPA Audited Financial Statements, select the appropriate option in the drop-down. You must upload a signed letter on letterhead requesting the extension along with the CHAR500 and IRS 990.

For example, if an organization is **brand new to Filing** with the Charities Bureau, they should select **I certify that the organization is new to Filing with the Charities Bureau and a CHAR500 is not yet due, and I have uploaded a copy of the filed CHAR410 in the Documents tab.**

Documents Tab Certification - Charities Filing or Exemption Documentation

To become prequalified, all nonprofits are required to submit their most recent New York State (NYS) Charities Bureau Annual Filing, including required attachments, such as IRS 990 and CPA Review/Audit as one electronic file. If your organization is exempt from filing with the NYS Charities Bureau, your organization is required to submit an Exemption Letter from NYS Charities or a letter on your business letterhead explaining why your organization is exempt and your organization’s 12-month Financial Statement. Please refer to the NYS Charities Bureau to see what is required for your organization. The HHS Prequalification requirements align with the requirements of the NYS Charities Bureau.

How to upload Filings Document or Exemption Letter:
Please visit the [Resources Library](#) on the MOCS website, find the section called **Show the City Who You Are** and read the **Submit the HHS Prequalification (PQL) Application** guide.

Filings Document Validity Start and End Dates:
In the Documents tab, nonprofits are required to add the Required Document (Annual Filing or Exemption) either by (1) uploading from their computer or (2) linking from the PASSPort Vault. The Validity **Start Date** should be the **HHS PQL application submission date**. The **End Date** should be the organization’s **next Charities Bureau Filing Due Date**. To determine the Due Date of the organization’s next annual filing, contact the NYS Charities Bureau or review the Annual Filing Schedule in the Submit the HHS Prequalification (PQL) Application guide.

Exemption Letter:
If adding an Exemption Letter, the Validity End Date for the document is three years from the HHS PQL application submission date. **Example:** If the submission date is March 4, 2025, the Validity End Date for an Exemption Letter is March 4, 2028.

Note: If the Required Document is to be **linked** from the PASSPort Vault to the PQL application, it’s required to change the Validity Start and End Dates via the PASSPort Vault **prior to linking**. Refer to the [Resources Library](#) to access the **Submit the HHS Prequalification (PQL) Application** guide for instructions to change the document’s Start and End Dates.

Important: When the document’s Validity expires, your organization’s HHS PQL Application status will change from Approved to Expired.

Using the drop-down below, please certify that your organization has added the necessary documentation in the Documents tab of this PQL application.

Answer

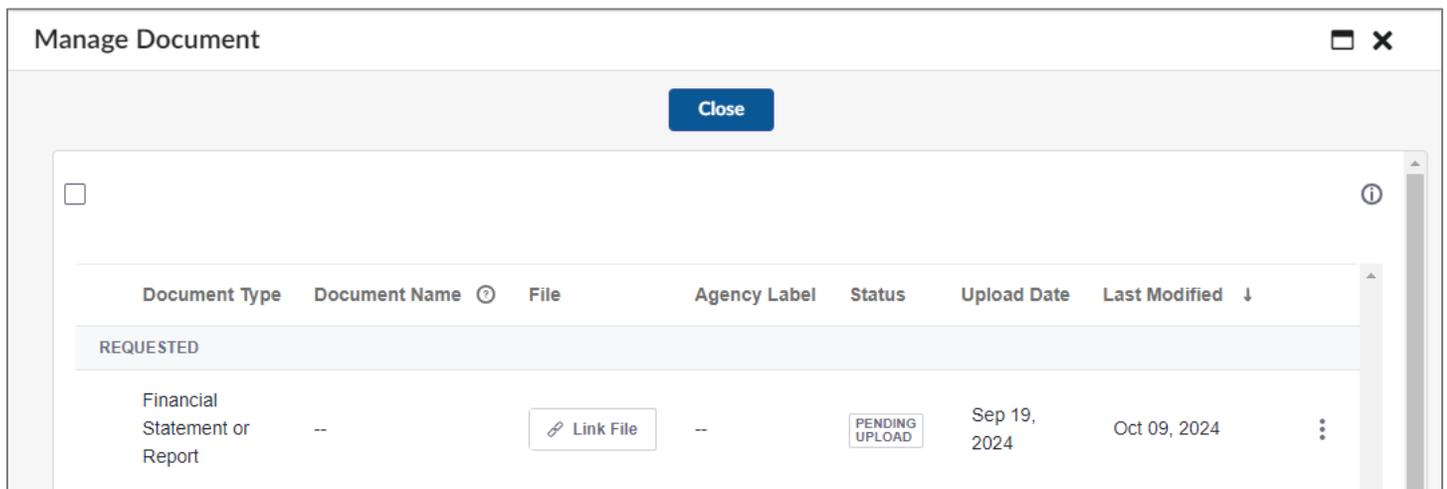
Add a Required Document

Nonprofits should first review [list of Required Documents for Nonprofit Filers](#). All required documents must be combined into one pdf for upload.

To add the Required Document(s) in the Documents tab, follow the steps below to upload your document from your computer or link to it from the PASSPort Vault.

1. Click the **Documents** tab in the left navigation to view the Required Documents section. The Required Documents table displays with the Document Type, its Document Label and the Status which is currently **Pending Upload**.
2. Click the **Manage Documents** button to edit the Required Document in this PQL application.
3. The Manage Document window opens. Here you will be able to **link to an existing file in the Vault** or **upload a file from your computer** to the application.

Important: You must upload all required documents in a combined PDF as certified in the questionnaire.



Important: Before proceeding, please note that the document's **Validity** (Start and End Dates) must meet the criteria specified in the final prompt of the Questionnaire.

The **Start Date** must be the date of Discretionary PQL application submission.

The **End Date** must be:

- a) **For NYS Charities filers:** Enter the [deadline for the next filing year, or 30 days for an extension request](#).
- b) **For Nonprofits exempt from Charities filings:** Enter the date 3 years out from Discretionary PQL submission (Start Date).

Adding a required document can be done in one of two ways:

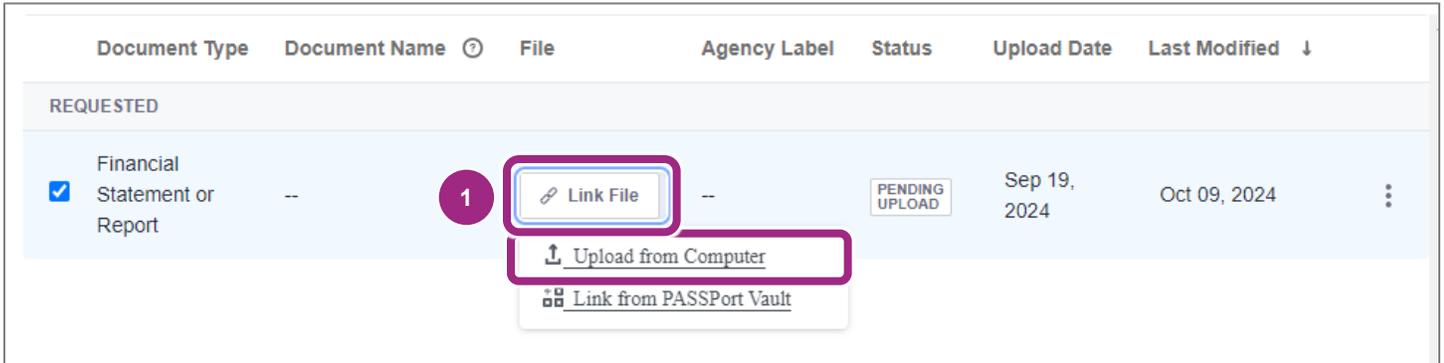
Option 1: [Upload a Document From Your Computer](#) (set Validity Dates upon upload) or

Option 2: [Link a document via the Vault](#) (change / verify Validity Date via Vault prior to linking).

Option 1: Upload a Document From Your Computer

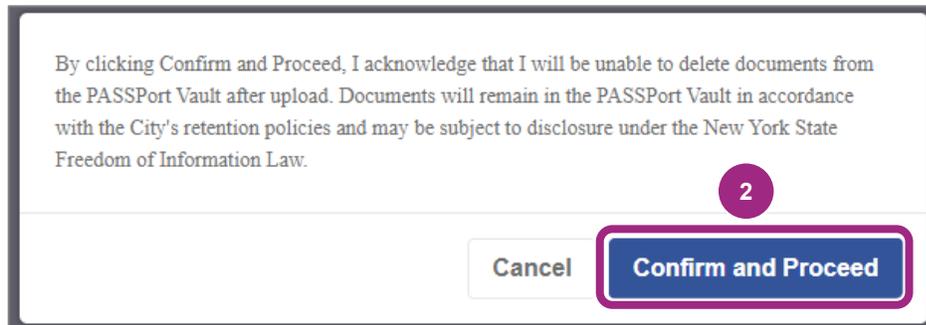
Choose this option if you need to **upload** the document from your computer. Follow the instructions below to attach it to your PQL application.

1. Click the **Link File** button, then select **Upload from Computer** from the drop-down menu.



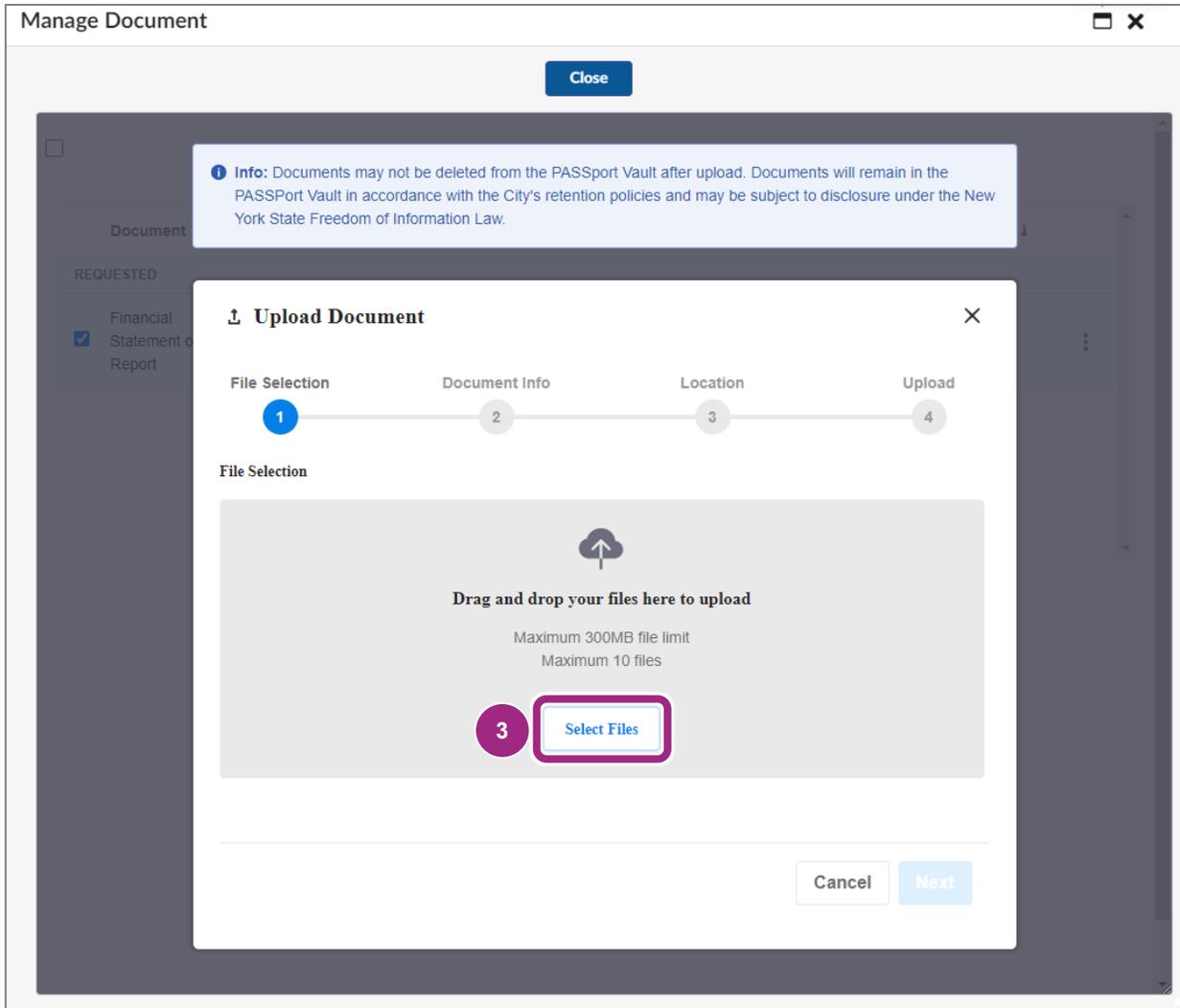
A window with a message appears. Confirm you understand that any files uploaded to the Vault cannot be deleted after upload in accordance with City record retention policies and may be subject to FOIL.

2. Read the message and click the **Confirm and Proceed** button to continue.

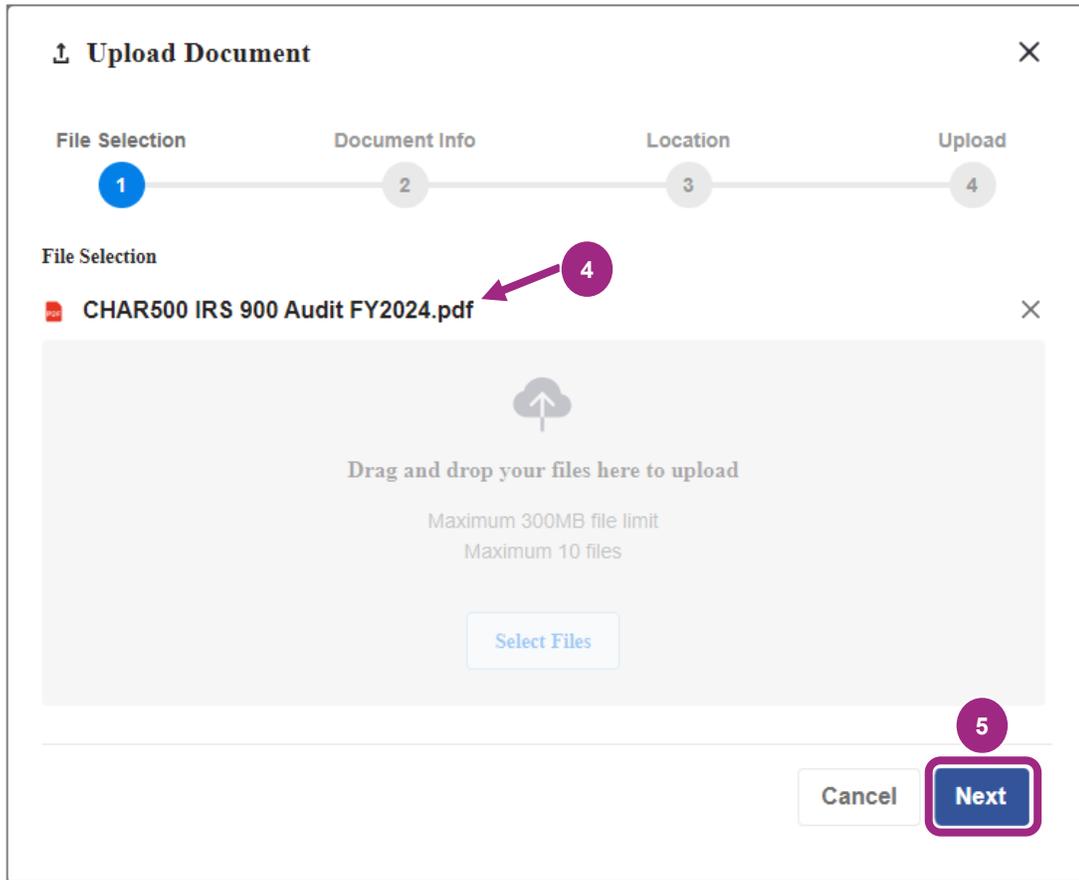


The Upload Document window displays.

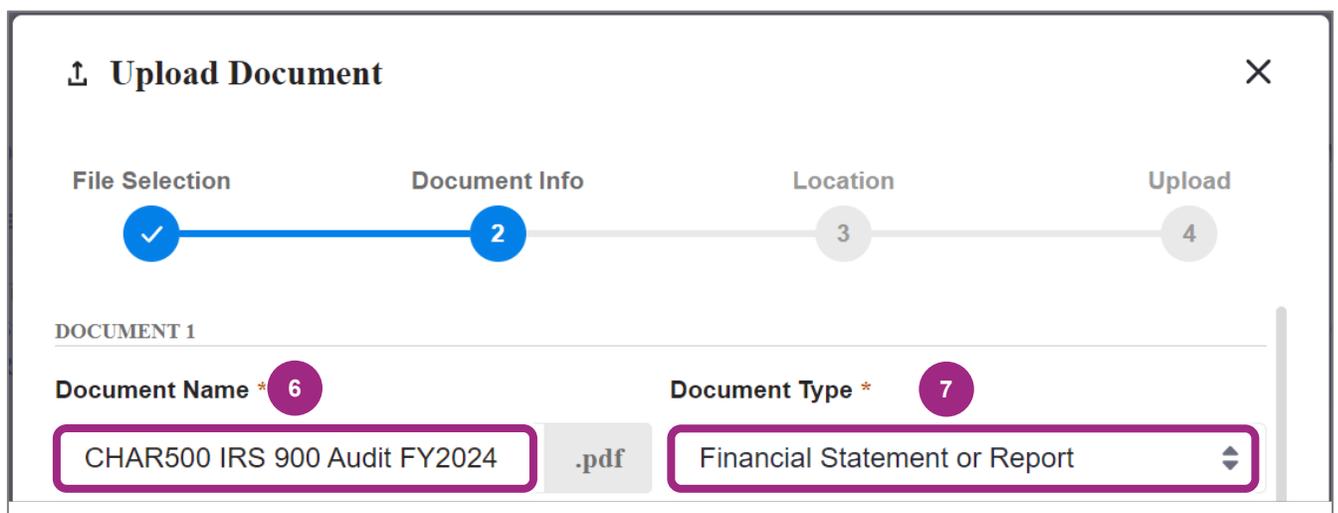
3. Click the **Select Files** button to find and select the document on your computer.



4. After a file is selected from your computer, the name will display in the File Selection section. If the wrong file was selected, click the **X** to the right of the file listed and repeat step 3.
5. Click the **Next** button to continue to the next Upload Document screen, Document Info.



6. Optional: In Document Info, edit the **Document Name** by typing a new name in the text field.
7. Click the **Document Type** drop-down and select **Financial Statement or Report** from the list.



8. Select the **Start Date** which will be the day of Discretionary PQL application submission.
9. Select the **End Date**.
 - Nonprofits should select their **next annual [NYS Charities Bureau filing Due Date](#)**.
 - Nonprofits **exempt** from submitting annual Charities Bureau filings should choose the date 3 years from the application submission date.
 - Nonprofit requests for 30-day extension should choose 30-days from application submission date.
10. Optional: Add tags and a description to help you and your colleagues find this document in the Vault.
Tip: Refer to the [Upload Files to the Vault](#) guide for more information on tags.
11. Click the **Next** button and proceed to the Location step.

The screenshot shows a form with the following elements:

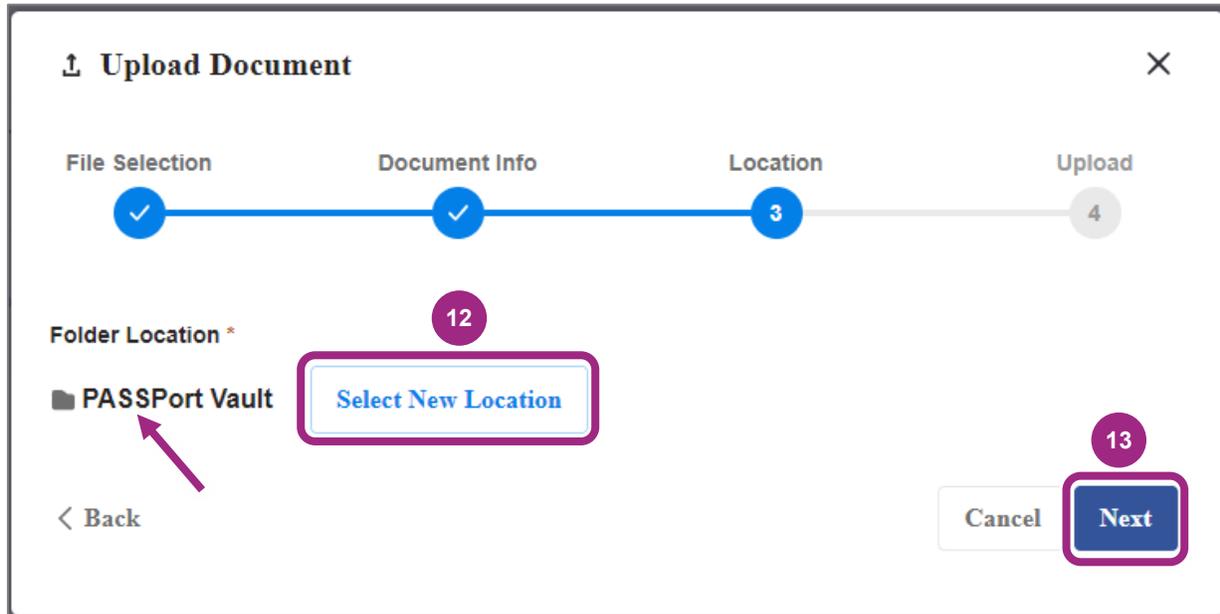
- Start Date ***: A date input field containing "10-10-2024" with a calendar icon. A purple circle with the number "8" is positioned above it.
- End Date ***: A date input field containing "05-15-2025" with a calendar icon. A purple circle with the number "9" is positioned above it.
- Tags**: A text input field with the placeholder text "Use a comma to enter tags".
- Description**: A larger text input field with a character count of "0/255 Characters". A purple circle with the number "10" is positioned to its left.
- Navigation**: At the bottom left is a "< Back" link. At the bottom right are "Cancel" and "Next" buttons. A purple circle with the number "11" is positioned above the "Next" button.

12. In Location, review the Folder Location which defaults to the main PASSPort Vault folder.

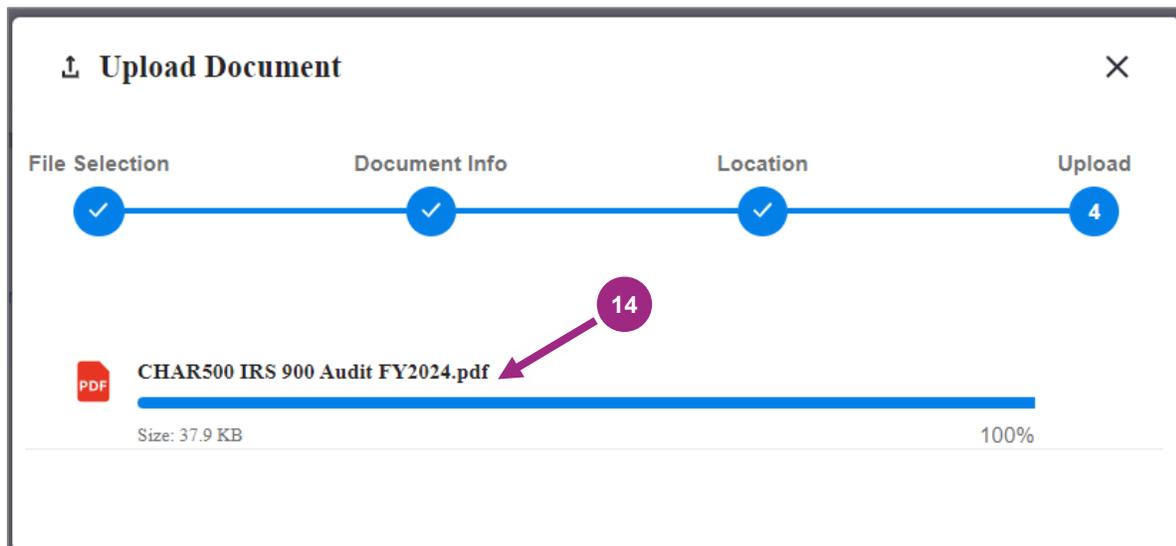
Optional: To change the destination folder, click the **Select New Location** button and choose the new location.

Tip: Refer to the [Vault Best Practices](#) guide on organizing documents and folders.

13. Click the **Next** button to proceed to the final Upload step.



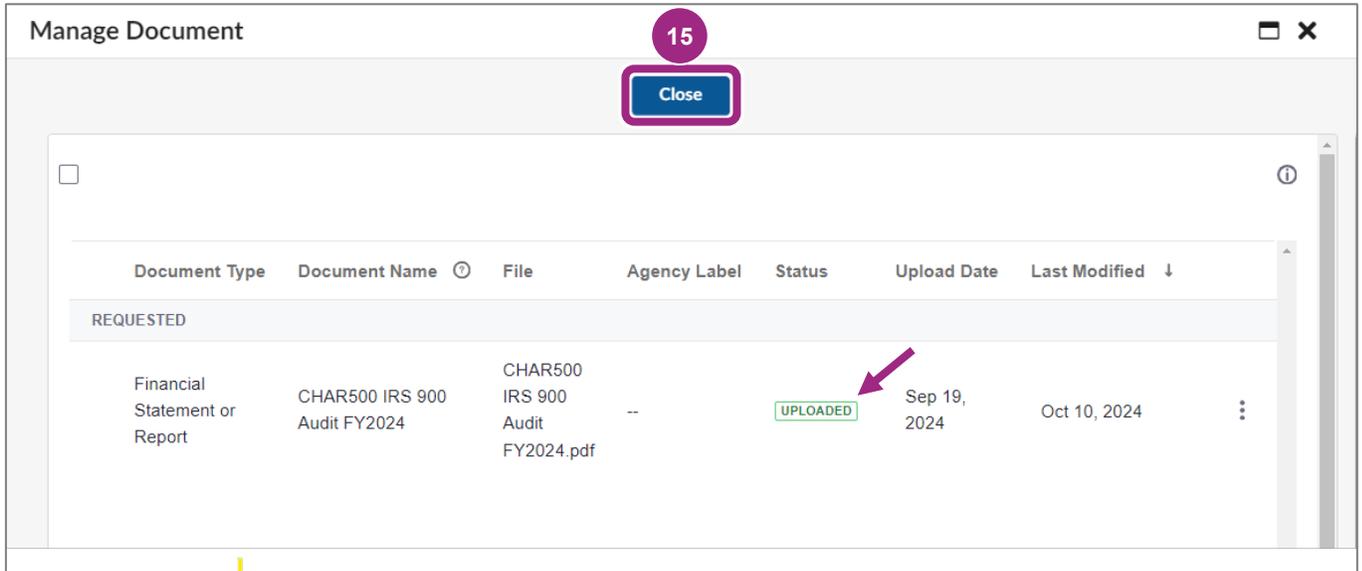
14. In Upload, you should see your PDF and filename with a progress meter below as it is uploading. After a successful upload, you will see the progress meter show 100%.



Tip: If your log in session times out or if the PDF doesn't upload as expected, be sure to completely log off PASSPort and close your web browser, then try again.

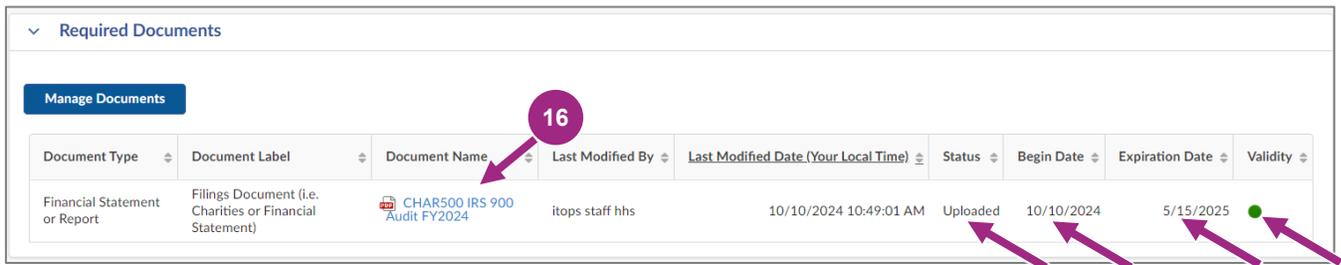
After upload, you are returned to the Manage Documents window.

15. Review and confirm the correct file is uploaded, then click the **Close** button at the top of the window to return to the Documents tab.



16. In Required Documents, confirm the Document Name shows the uploaded file with the file icon in the table.

Note: The Start and End Dates appear in the table as the Begin and Expiration Dates. When the document expires, the Validity updates from green to red.



At this point, you can complete the final prompt in the Questionnaire and then [submit your Discretionary PQL application to MOCS for review.](#)

[Back to Top](#)

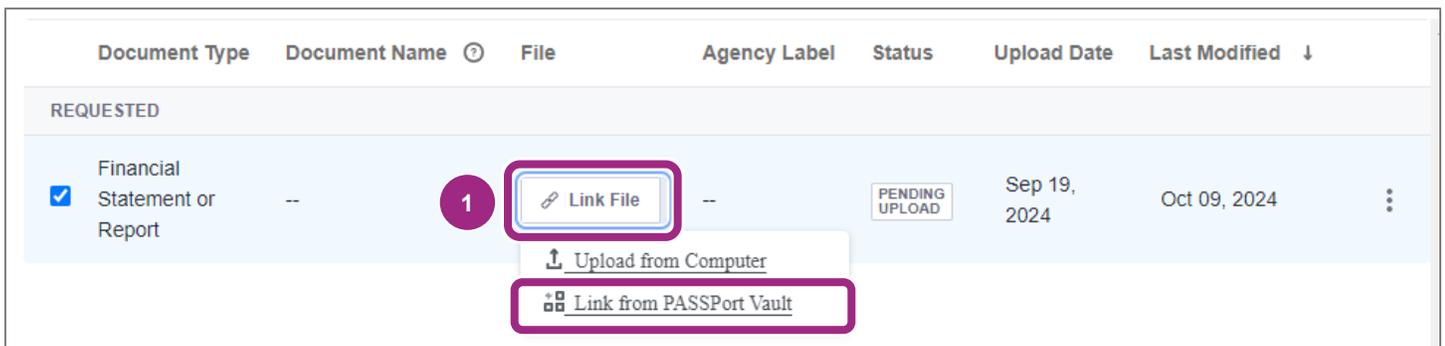
Option 2: Link a Document Via the Vault

Choose this option when you have the latest Financial Statement or Report already in your organization's PASSPort Vault and have confirmed the Validity (**Start and End Dates**) meet the requirements for Discretionary PQL submission (listed above).

Important: Changes to a document's Validity must be made in the Vault **before** linking the document to the application. If the document in the Vault **does not have the proper Validity**, follow the steps in the [Change Document Start and End Dates section of this guide](#).

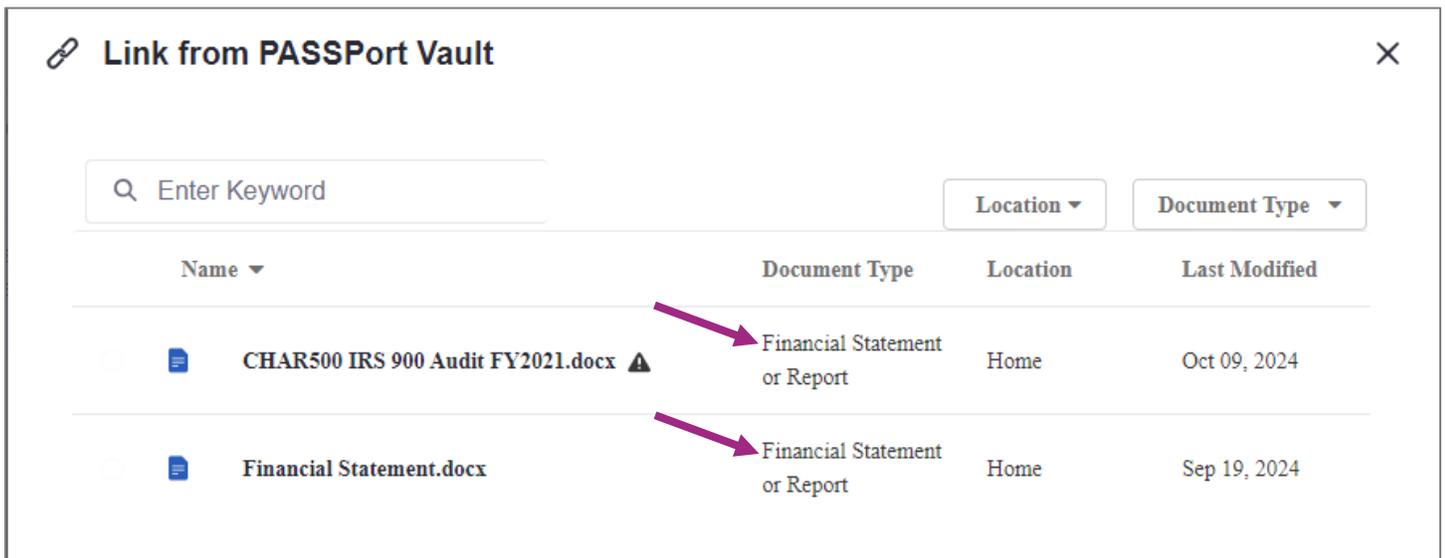
Follow the instructions below to link the [required document](#) to your PQL Application.

1. Click the **Link File** button, then select **Link from PASSPort Vault** from the drop-down menu.



The Link from PASSPort Vault window appears.

2. The documents available for linking from the PASSPort Vault will only include documents classified by the document type **Financial Statement or Report**. The image below shows there are only 2 documents in the Vault with this document type.



3. Move your mouse over the document you want to link. A radio button will appear to the left of the document's icon and Name. Click the radio button to select the document.

Tip: The radio button displays only when the mouse moves over **the area to the left of the file icon**. Once it becomes visible it can be clicked.

Name	Document Type	Location	Last Modified
CHAR500 IRS 900 Audit FY2021.docx ⚠	Financial Statement or Report	Home	Oct 09, 2024
Financial Statement.docx	Financial Statement or Report	Home	Sep 19, 2024

4. Click the **Select** button located to the bottom right of the same window.



The page refreshes and returns to the main Manage Document window.

5. Review and verify the Document Name, File (displaying file name and extension) and new Status (now Uploaded).

Document Type	Document Name	File	Agency Label	Status	Upload Date	Last Modified
REQUESTED						
Financial Statement or Report	Financial Statement	Financial Statement.docx	--	UPLOADED	Sep 19, 2024	Oct 10, 2024

At this point, you can complete the final prompt in the Questionnaire and then [submit your Discretionary PQL application to MOCS for review](#).

[Back to Top](#)

Change the Document Start and End Dates

If you already uploaded the required document to your PASSPort Vault, but the Validity dates are not correct, before linking you must change the Start and End Dates (also referred to as Validity) of the Financial Statement or Report.

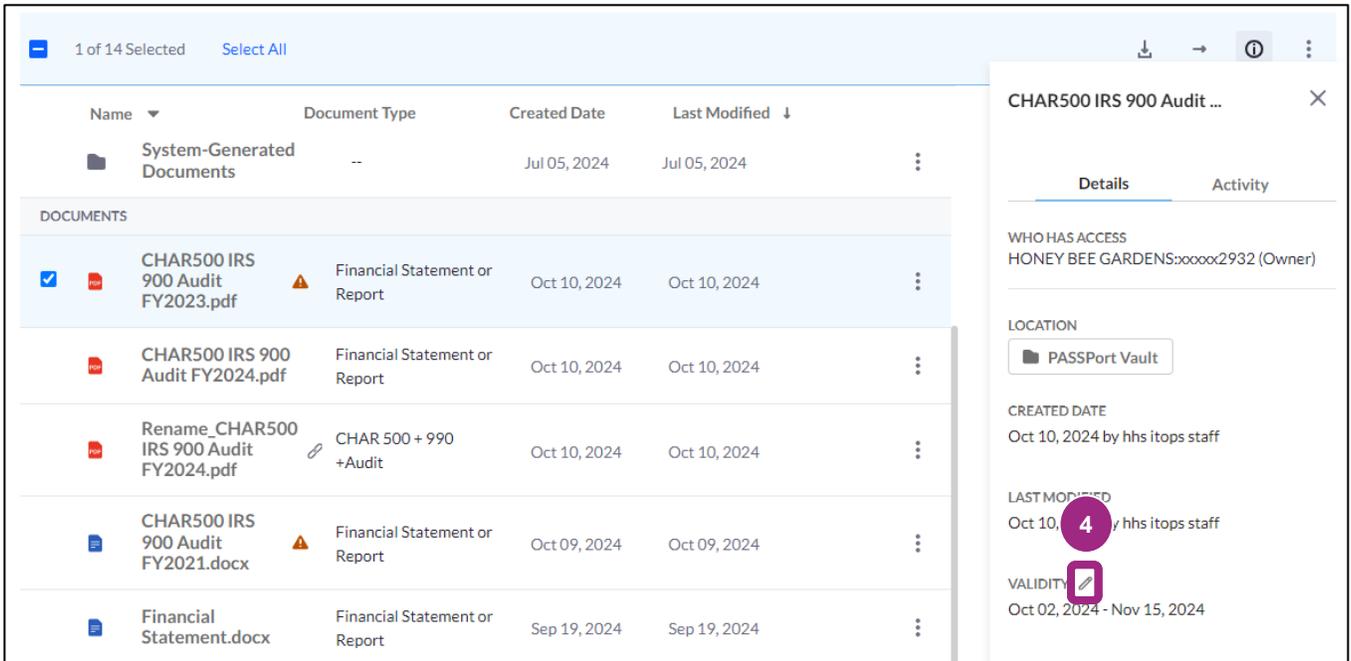
Follow the steps below to change the dates:

1. Go to the PASSPort Vault. For guidance, see the [Access the PASSPort Vault](#) guide.
2. Find the document in your organization's Vault. Need help finding that document? See the [Search the Vault](#) guide.
3. Click the **ellipsis** (3 vertical dots) on the right to view the drop-down menu, then select **View Details**.

<input checked="" type="checkbox"/>	 CHAR500 IRS 900 Audit FY2023.pdf 	Financial Statement or Report	Oct 10, 2024	Oct 10, 2024	<div style="border: 1px solid #ccc; padding: 5px;"><div style="border: 1px solid #ccc; border-radius: 50%; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center; margin-bottom: 5px;">3</div><div style="border: 1px solid #ccc; border-radius: 50%; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center; margin-bottom: 5px;">⋮</div><div style="border: 1px solid #ccc; border-radius: 5px; padding: 2px; margin-bottom: 5px;"> View Details</div><div style="border: 1px solid #ccc; border-radius: 5px; padding: 2px; margin-bottom: 5px;"> Download</div><div style="border: 1px solid #ccc; border-radius: 5px; padding: 2px; margin-bottom: 5px;"> Send</div><div style="border: 1px solid #ccc; border-radius: 5px; padding: 2px; margin-bottom: 5px;"> Preview</div><div style="border: 1px solid #ccc; border-radius: 5px; padding: 2px; margin-bottom: 5px;"> Rename</div><div style="border: 1px solid #ccc; border-radius: 5px; padding: 2px; margin-bottom: 5px;"> Move</div><div style="border: 1px solid #ccc; border-radius: 5px; padding: 2px; margin-bottom: 5px;"> Add to Favorites</div><div style="border: 1px solid #ccc; border-radius: 5px; padding: 2px;"> Archive</div></div>
	CHAR500 IRS 900 Audit FY2024.pdf	Financial Statement or Report	Oct 10, 2024	Oct 10, 2024	
	Rename_CHAR500 IRS 900 Audit FY2024.pdf 	CHAR 500 + 990 +Audit	Oct 10, 2024	Oct 10, 2024	
	CHAR500 IRS 900 Audit FY2021.docx 	Financial Statement or Report	Oct 09, 2024	Oct 09, 2024	
	Financial Statement.docx	Financial Statement or Report	Sep 19, 2024	Sep 19, 2024	
	Subcontractor Agreement - HBG - August 2024.pdf 	Subcontractor Agreement	Aug 05, 2024	Aug 05, 2024	

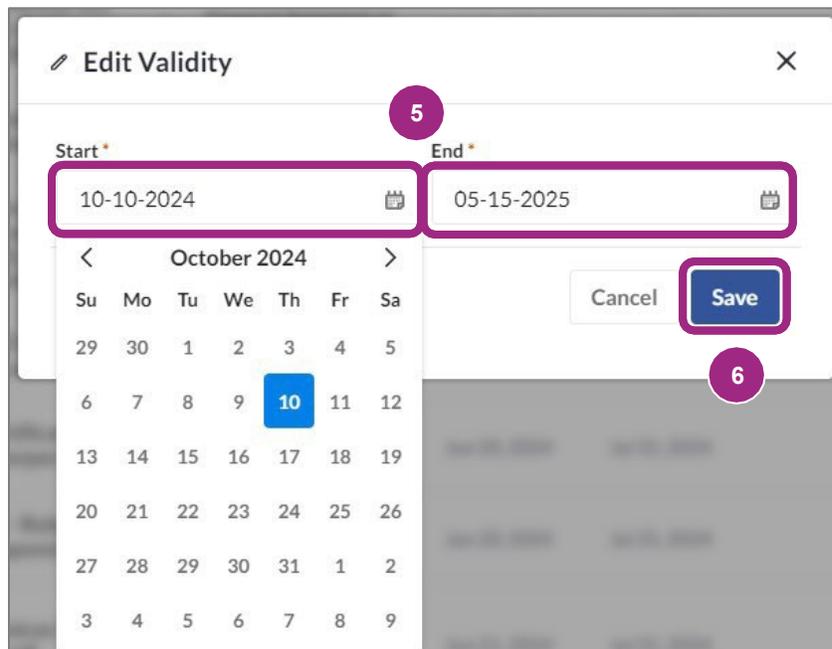
The Details panel appears on the right of the screen.

- The Details tab displays as default. Locate the Validity and click the **pencil** icon next to it. View the [annual filing schedule](#) to determine the correct Start and End Dates to enter in the Validity.



The Edit Validity pop-up window opens.

- Change the Validity dates by clicking the **Start** and **End** date fields.
- Click the **Save** button and return to the folder in the Vault where the document is located.



- Repeat step 3 to view and confirm the Validity dates have changed.
- At this point, you can link the document back to the PQL application by following the instructions to [Link a Document Via the Vault](#) earlier in this guide.

[Back to Top](#)

Avoid Common Mistakes in Discretionary PQL Applications

Review the guidance below to **avoid common mistakes** many vendors make and work towards getting your organization's prequalification approved from the initial submission.

Questionnaire Mistakes

1. **Incomplete** Certificate of Incorporation (COI) or [Equivalent](#)
 - Be sure to provide a copy of the **complete document** issued by New York State (or state it was incorporated in) including amendments addressing name change, foreign entity registration (also known as the Application of Authority with NYS), etc.
 - Name on Required Document such as Certificate of Incorporation or equivalent **must match** Legal Name in PASSPort.
2. **Incomplete and Outdated** Board of Directors List
 - Be sure to provide the most **current version** including board members' **current** place of employment (if applicable).
 - **Important:** To be in compliance with NYS law and NYC contracts, the board chair, board secretary, and board treasurer **cannot** be employed by the organization.
3. **Policies Adopted by a Different** Organization
 - Be sure to provide the **organization's internal** [Conflict of Interest Policy, as adopted by the board of directors](#).

Required Documents Mistakes

1. **Incorrect Start** and/or **End Date** of Financial Statement or Report.
 - Be sure to enter the date of Discretionary PQL Application submission as the Start Date.
 - Nonprofits (annual filers) must determine the End Date by checking the [Charities Bureau Filing Schedule](#) for the deadline of their next filing year.
 - Nonprofits (exempt) must enter the date **3 years** from submission as the End Date.
Note: The End Date determines the expiration of Discretionary PQL Application.
2. **Dates do not align or are incorrect** within the Charities Filing (CHAR500, 990, and Audit).
 - Be sure all combined documents are for the same filing period.
 - Be sure to submit a **complete copy** of the documents submitted to the Charities Bureau.
3. **Date missing** next to signature in Charities Filing (CHAR500).
 - Be sure to submit a **complete copy** of the documents submitted to the Charities Bureau.

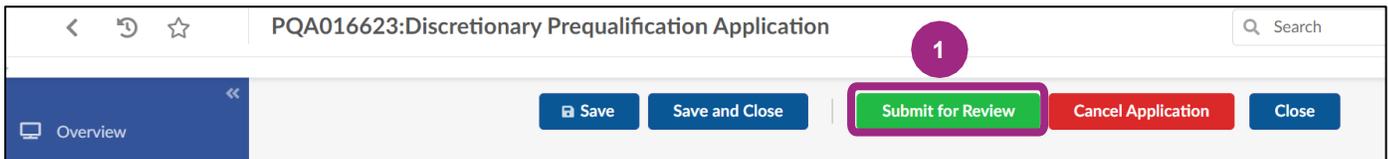
[Back to Top](#)

Submit Discretionary PQL Application to MOCS for Review

After completing the Questionnaire and the Documents tabs, submit the Discretionary PQL Application to your colleagues (with a Vendor Procurement L2 or Vendor Admin role) who will then submit it to MOCS for review.

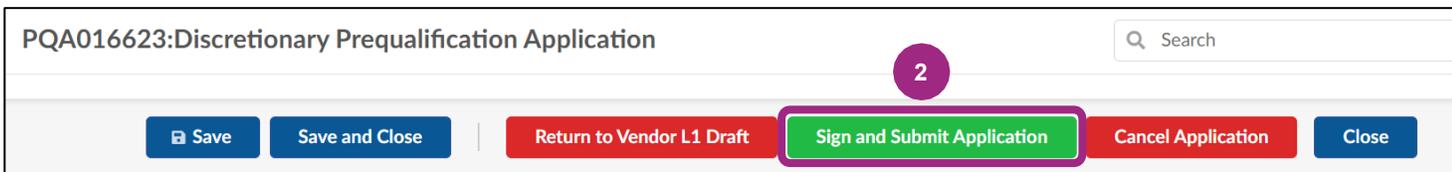
Note: Not all organizations will require 2 individuals (levels) to complete and submit their Discretionary PQL Application. It's common for organizations to have a user with only the Vendor Procurement L2 or Vendor Admin role complete and submit the application to MOCS without the assistance of a colleague with the Vendor Procurement L1 role.

1. In the Discretionary PQL Application, click the **Submit for Review** button.



2. Click the **Sign and Submit Application** button to proceed to the Electronic Signature.
Important: To make any changes to the PQL application **before signing and submitting**, click the **Return to Vendor L1 Draft** button.

Note: Only users with a Vendor Procurement L2 or Vendor Admin role may complete this and subsequent steps.



3. Read the statement and click the **I Certify All of the Above** checkbox.

ELECTRONIC SIGNATURE

Save Save and Close Close

By submission of this Prequalified List Application ("Application"), I hereby certify:

1. I am an authorized representative of the submitting entity;
2. All contents of this submission are accurate;
3. I have read and reviewed all documents and information contained within the Application, including any instructions and terms and conditions.

I certify all of the above ⓘ

Cancel

The window refreshes and the Sign button appears to the left of the Cancel button.

4. Click the green **Sign** button.

ELECTRONIC SIGNATURE

Save Save and Close Close

By submission of this Prequalified List Application ("Application"), I hereby certify:

1. I am an authorized representative of the submitting entity;
2. All contents of this submission are accurate;
3. I have read and reviewed all documents and information contained within the Application, including any instructions and terms and conditions.

I certify all of the above ⓘ

Sign Cancel

5. The Discretionary PQL application is now In Review with MOCS. **Note the message** above the PQL Information section in the Overview tab:

This application is currently In Review. To make any changes, please contact the Managing Agency to return this application.

In the case of the Discretionary PQL, the managing Agency is [MOCS](#).

6. In the Vendor Status section, the Application Activity updates to **In Review**. You will be notified by email when a decision is made, or if the application is returned for revisions, you will receive a list of questions that need to be addressed.

If your organization's Discretionary PQL Application is Approved by MOCS, the Current Status will reflect Approved.

[Back to Top](#)

Appendix

Required Documents for Nonprofit Filers

Required Filings Documents by NYS Charities Bureau & HHS Prequalification							
Type of Nonprofit Organization	CHAR410	CHAR500	IRS 990 Form	CPA Reviewed Report	CPA Audited Financial Statements	12-Month Financial Statement	Exemption or Request Letter (on letterhead)
New to Filing with NYS Charities Bureau (within the last year)	Yes						
Revenue is \$25K & under		Yes					
Revenue is over \$25K to \$250K		Yes	Yes				
Revenue is over \$250K to \$1M		Yes	Yes	Yes			
Revenue is over \$1M		Yes	Yes		Yes		
Exempt from Filing w/ Charities Bureau (determined by the Charities Bureau)						Yes	Yes
Requested 30-Day Extension to File		Yes	Yes				Yes

[Back to Top](#)

Validity End Dates for Annual Filers and Other Organizations

Nonprofit Validity End Dates by Annual Filing Deadlines				Other Validity End Dates	
Filing Period Schedule		Filing Deadline + 1 Year = Validity End Date		Exempt Nonprofits	For Profits
Your Filing Period	Last Day of Filing Period	For 7A or DUAL Registrants	For EPTL Registrants		
February 1 - January 31	January 31	December 15 (same year)	January 31 (next year)	3 years from PQL application submission date.	
March 1 - February 28	February 28	January 15 (next year)	February 28 (next year)		
April 1 - March 31	March 31	February 15 (next year)	March 31 (next year)		
May 1 - April 30	April 30	March 15 (next year)	April 30 (next year)		
June 1 - May 31	May 31	April 15 (next year)	May 31 (next year)		
July 1 - June 30	June 30	May 15 (next year)	June 30 (next year)		
August 1 - July 31	July 31	June 15 (next year)	July 31 (next year)		
September 1 - August 31	August 31	July 15 (next year)	August 31 (next year)		
October 1 - September 30	September 30	August 15 (next year)	September 30 (next year)		
November 1 - October 31	October 31	September 15 (next year)	October 31 (next year)		
December 1 - November 30	November 30	October 15 (next year)	November 30 (next year)		
January 1 - December 31	December 31	November 15 (next year)	December 31 (next year)		

Filing Nonprofits: Take note whether your organization is a **7A or Dual** vs. **EPTL** registrant. Deadlines vary based on this category. The Validity **End Date** is the next year’s filing deadline.

Example: Filing period = July 1, 2023 – June 30, 2024. With this filing period:

A **7A or Dual** registrant’s deadline is **May 15, 2025**. The next filing year’s deadline is May 15, 2026.

An **EPTL** registrant’s deadline is **June 30, 2025**. The next filing year’s deadline is June 30, 2026.

[Back to Top](#)

Certificate of Incorporation: List of Equivalents and other Required Documents

Note: All necessary Certificate of Incorporation (COI) or equivalent documents must be submitted as a combined PDF (one file).

Certificate of Incorporation (COI), Equivalents and Other Required Documents									
COI + Equivalents							Documents by Scenario		
Type of Organization	Certificate of Incorporation or Formation	Provisional Charter	Absolute Charter	Articles of Association	Articles of Organization	County Clerk Certificate	Certificate of Amendment(s)	Application of Authority (issued by NYS)	Certificate of Assumed Name (DBA)
Corporation (Inc.) For Profit or Nonprofit	Required						Required for name change		Required w/ Doing Business As
Limited Liability Company (LLC)					Required		Required for name change		Required w/ Doing Business As
Foreign Organizations Formed Outside New York State (NYS)	Required						Required for name change	Required for all Foreign Entities	Required w/ Doing Business As
Sole Proprietorship						Required	Required for name change		Required w/ Doing Business As
Educational Institution Chartered under NYS Dept of Education (library, museum, etc.)		Either Provisional (time limited) or Absolute is Required					Required for name change		Required w/ Doing Business As
Foundations (private)				Required			Required for name change		Required w/ Doing Business As

[Back to Top](#)