

## **Section 7: Pre-Award Risk Assessment**

### **Instruction Page**

Answer all questions and comment on your answers. If you have to submit supporting documents, please verify the dates are correct, dollar amounts, the most current policies are submitted, and correct agency information are provided. Pre-Award Risk Assessments are governed by 2 CFR Part 200.

### **Financial Stability**

1. An example of changes to key staff could be Executive Director, Program Supervisor, and Fiscal Manager to name few.
2. Give a percentage and support your answer.
3. If yes, what federal agency and what is the plan to re-pay fund?
4. If yes, when and if no, why?
5. Yes or no. Explain your answer.
6. If yes, explain your answer with correct date of submission and the response of the filing.

### **Management System**

1. If yes, what grant and since when?
2. If yes, explain the previous system and name the new system why it was chosen.
3. Explain your system to track staff time to award.
4. Send internal controls policies.
5. Give example of performance activity report.
6. Explain the indirect cost system in the organization.
7. If yes, explain how federal cost principles are used in organization.
8. If yes, provide accounting/financial management manual.

### **History of Performance**

1. If yes, list all funding.
2. If yes, list all funding with dollar amount.
3. If no, explain time and circumstance.
4. Provide documentation of a successful completion of an award.
5. If yes, list the funders and reasons for the withdrawal or withholding of funds.

### **Audit Reports and Findings**

1. If yes, list federal funds and dollar amount.
2. If yes, list other awards applied for in last 12 months.
3. If yes, list auditors and dates of audit in last 3 years.
4. If yes, list audit finding for the auditor list above.
5. If yes, send report.
6. If yes, send corrective action plan.
7. If yes, tab section in audit report.

### **Applicants Ability to Implement Requirements**

1. If no, explain why this wouldn't apply to your organization.
2. Describe plan to meet statutory requirements.
3. Explain staff position and the capability to perform contract compliance.
4. If yes, explain circumstances.

**Submit the most current documentation.**

**Submit all requested documentation.**

<b>Financial Stability</b>	<b>Yes</b>	<b>No</b>	<b>NA</b>	<b>Comments (Explanation of answer/response)</b>
1. Has the organization had changes to key staff or positions in the past twelve (12) months?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<a href="#">Click here to enter text.</a>
2. What is the percentage of economic dependence on government grants?				<a href="#">Click here to enter text.</a>
3. Does the organization owe any funds to the Federal Government?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<a href="#">Click here to enter text.</a>
4. Has the organization been granted tax exempt status by the IRS?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<a href="#">Click here to enter text.</a>
5. Does agency have reserve funds?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<a href="#">Click here to enter text.</a>
6. Has the organization filed bankruptcy in the last ten (10) years?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<a href="#">Click here to enter text.</a>

<b>Management System</b>	<b>Yes</b>	<b>No</b>	<b>NA</b>	<b>Comments</b>
1. Does the accounting system provide for the recording of actual grant/contract costs according to categories of your approved budget, and provide for complete disclosure?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<a href="#">Click here to enter text.</a>
2. Has your organization had changes to business systems in the past twelve (12) months?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<a href="#">Click here to enter text.</a>
3. Is there a time and effort tracking system in place to adequately record staff hours worked against awards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<a href="#">Click here to enter text.</a>
4. Describe the internal controls that are in place to ensure compliance to contract requirements.				<a href="#">Click here to enter text.</a>
5. Does management produce reports to assess status of performance activity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<a href="#">Click here to enter text.</a>
6. Are indirect costs accumulated into cost pools for allocation to projects, contracts and grants?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<a href="#">Click here to enter text.</a>
7. Is your organization familiar with Federal cost principles (2 CFR 200)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<a href="#">Click here to enter text.</a>
8. Does your organization have an accounting/financial management manual?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<a href="#">Click here to enter text.</a>

<b>History of Performance</b>	<b>Yes</b>	<b>No</b>	<b>NA</b>	<b>Comments</b>
1. Does your organization have experience managing grant funds, loans or other types of financial assistance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<a href="#">Click here to enter text.</a>
2. Has the organization been awarded federal funds within the last three (3) years? If applicable, list the awarding agencies, pass-through entities and the dollar value of award(s).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<a href="#">Click here to enter text.</a>
3. Were required reports by awarding agency submitted on time?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<a href="#">Click here to enter text.</a>
4. Is there documentation of successful completion and meeting terms of the award requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<a href="#">Click here to enter text.</a>
5. Have funders withdrawn or withheld funds for any reason in the last three (3) years?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<a href="#">Click here to enter text.</a>

<b>Audit Reports and Findings</b>	<b>Yes</b>	<b>No</b>	<b>NA</b>	<b>Comments</b>
1. Did your organization expend \$750,000 or more in federal funds in any one of the fiscal years for the past three (3) years?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<a href="#">Click here to enter text.</a>
2. Does your organization anticipate expending \$750,000 or more in federal grant funds in the next twelve (12) months?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<a href="#">Click here to enter text.</a>
3. Has your organization had any type of independent audit within the last three years? Please submit a copy.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<a href="#">Click here to enter text.</a>
4. List any audit findings received from the external auditing entity within the last three years.				<a href="#">Click here to enter text.</a>
5. Did your organization have any monitoring visits by grantors or funders in the last three years? If applicable, please submit a copy of the report(s)/letter(s).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<a href="#">Click here to enter text.</a>
6. Has the agency submitted corrective actions plans to resolve audit findings within the last three (3) years?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<a href="#">Click here to enter text.</a>
7. Has an audit indicated any questioned or unallowable costs within the last three (3) years?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<a href="#">Click here to enter text.</a>

Applicants Ability to Implement Requirements	Yes	No	NA	Comments
1. Is the organization familiar with procedures for the determination and allowance of costs in connection with federal grants and contracts in accordance with the OMB Uniform Guidance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
2. What is the organization's plan to implement statutory requirements of the award?				Click here to enter text.
3. Does the organization have the resources of staff and funding to meet the performance requirements of the award?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
4. Has the agency been suspended or debarred within the last twelve (12) months?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.

Please submit the most current documentation				Comments
1. Audit				Click here to enter text.
2. Audit Management Letter				Click here to enter text.
3. IRS Form 990 or applicable Tax Return				Click here to enter text.
4. Agency Financial Statement				Click here to enter text.
5. Personnel Manual				Click here to enter text.
6. Accounting/Financial Management Manual				Click here to enter text.
7. Other Funder Monitoring Reports and Certifications				Click here to enter text.

Prepared by:

Prepared for:

(Organization)

Date Prepared: