Applicant Operational and Financial Management Survey

This survey is intended to collect information about the capacity of applicants to manage federal grant funds. Per <u>2 CFR</u> <u>§200.205</u>, the Corporation for National and Community Service must evaluate the degree of risk posed by an applicant. Information from the survey will be used to assess an organization's operational and financial management capabilities prior to receiving a federal award. Completion of this survey is required but is independent from the competitive grant process. Responding organizations are advised to ensure that the person or persons preparing this form are those responsible for, and with sufficient knowledge of, the organization's operational and financial management functions. The information provided will be used to support future monitoring activities, should the applicant receive federal funds from CNCS. In completing this form, each question requires a response. Please include the completed form within the application materials that are submitted to the Corporation for National and Community Service. Refer to the applicable Notice of Funding Opportunity for instructions on how to submit all application materials.

Public reporting burden -- Estimated time to complete this form, including time for reviewing instructions and gathering and providing the information needed to complete the form is 2 hours. Send comments regarding this burden or the content of this form to: Corporation for National and Community Service, Office of Grants Management, 250 E Street, SW, Washington, DC 20525. CNCS informs the potential persons who are to respond to this collection of information that such persons are not required to respond to the collection of information unless it displays a currently valid OMB control number on this page of the form (see 5 CFR 1320.5(b)(2)(1)).

General Information		
Organization Legal Name	[Organization Legal Name]	
EIN	[EIN]	
City, State Associated with EIN	[City, State Associated with EIN]	
DUNS Number	[DUNS Number]	
CFDA Number Associated with Funding Opportunity	[CFDA Number Associated with Application]	
Operational Management		
The policies identified below address some of the most critical elements for administration of a federal grant. As a recipient of federal funds, organizations are required to have a full complement of programmatic, financial, and administrative policies, as well as internal controls in place, as applicable. Policies and procedures should be reviewed and refined, as applicable, at least once every two years. Should the applicant receive federal funding from CNCS, full copies of the policies and procedures may be requested for monitoring purposes.		
No): Personnel/Employee Handbook	[P&P: Personnel/Employee Handbook]	
Financial/Internal Controls	[P&P: Financial/Internal Controls]	
Sub-award Monitoring and Oversight	[P&P: Sub-award Monitoring and Oversight]	
Timekeeping	[P&P: Timekeeping]	
Travel Guidance, including purchase/travel credit card use	[P&P: Travel Guidance, Credit Card Use]	
Procurement	[P&P: Procurement]	
Standards for Use of Federal Funds	[P&P: Standards for Use of Federal Funds]	
Code(s) of Conduct/Ethics, applicable to employment/purchasing	[P&P: Code of Conduct/Ethics]	
Document Retention	[P&P: Document Retention]	
Please indicate the training areas below that are provided to employees by the organization (select Yes or No)		
Personnel/HR Issues	[Training: Personnel/HR Issues]	
Financial Accounting	[Training: Financial/Accounting]	
Risk Management	[Training: Risk Management]	
Cyber-security	[Training: Cyber-security]	
Fraud, Waste, and Abuse	[Training: Fraud, Waste and Abuse]	
Financial Management		
Are financial reports (profit and loss, budget vs. actual, etc.) provided to and reviewed by leadership level staff, at least quarterly?	[Financial: Reports Reviewed Quarterly]	
Does the organization utilize an automated accounting system?	[Financial: Automated Accounting System]	
Can the organization's accounting system separate the receipts and payments	[Financial: Ability to Separate Multi-Funding	

of a federal grant from the receipts and payments of the organization's other
activities supported by separate funding streams?Streams]Can the organization's accounting system summarize expenditures from a
federal grant according to different budget categories such as salaries, rent,
supplies, and equipment?[Financial: Ability to Summarize Budget
Categories per Grant]

How often does the organization post transactions to the accounting system	[Financial: Frequency of Transaction Posting]
ledger(s)?	
Does the organization use an automated payroll system?	[Financial: Automated Payroll System]
Please indicate whether organizational leadership approval is required for any Yes or No):	.
Opening/Closing Bank Accounts	[Financial: Leadership Approval
	Opening/Closing Bank Accounts]
Opening Lines of Credit	[Financial: Leadership Approval Opening Lines
	of Credit]
Assigning Credit Cards	[Financial: Leadership Approval Assigning
	Credit Cards]
Buying/Selling Property	[Financial: Leadership Approval Buying/Selling
	Property]
Financial Investment/Divestment	[Financial: Leadership Approval Financial
	Investment/Divestment]
Has the organization issued loans to an employee or officer of the	[Financial: Loans to Employees/Debt Write
organization or forgiven/written-off any loans or debts in the last year?	Offs]
Please identify who is authorized to write-off any debt owed to the organization as a bad debt.	[Financial: Staff Authorized to Write-off Debt
Has the organization experienced cash flow deficits an any point in the	[Financial: Cash Flow Deficit]
previous 2 years?	[mancial: cash now bencit]
Compliance	
Has the organization received federal funds for similar programs or projects?	[Compliance: Recipient of Similar Federal
	Funding]
If so, has your organization met federal program requirements for similar	[Compliance: Met Requirements for Similar
programs?	Program]
Has an audit been performed on the organization's financial accounts?	[Compliance: Audit Performed on Financial
·	Accounts]
If so, what was the audit opinion?	[Compliance: Audit Opinion]
If applicable, has the organization addressed any outstanding deficiencies	[Compliance: Outstanding Audit Deficiencies
identified in the most recent audit?	Addressed]
Please provide any clarifications or similar remarks/information in the section b	elow (optional):
[Preparer Comments]	
Preparer's Certification	
Preparer's Name (First, Last)	[Preparer Name]
Preparer's Position Title	[Preparer Position Title]
I certify that the above information is complete and correct to the best of my	[Preparer Certification]
knowledge and ability. Date of Certification	

Privacy Statement -- In compliance with the Privacy Act of 1974, the following information is provided: The collection of this information is authorized by the provisions of the National and Community Service Act of 1990, by the National and Community Service Trust Act of 1993, and the Serve America Act of 2009. The primary purpose of the information is to determine if appropriate systems are in place to manage federal grant funds or, if not, to identify training and technical assistance a grantee may need to develop or enhance appropriate systems. Completion of this survey is required as an element of CNCS' pre-award risk assessment process. The information provided will be maintained and treated confidentially. However, appropriate federal, state, and local law enforcement entities may request and obtain this information under certain circumstances. Otherwise, the information provided will not be disclosed without express written permission.