1. **Pre-Award Risk Questionnaire (In-Kind Grants)**

**Assessment Form**

**In-Kind Grant**

**USDA Trade Safe (TraSa) Project**

The pre-award risk questionnaire should be filled out by a qualified member of your organization’s finance team, signed by the chief financial officer, and returned to IESC. This risk assessment helps IESC understand the level of financial risk involved in purchasing equipment, property and/or services on behalf of a grantee.

If you have any questions, please contact: Insert email address

|  |
| --- |
| **Contact and General Information** |

|  |  |
| --- | --- |
| **Legal Name of Organization** |  |
| **Mailing Address** |  |
| **Contact Person** |  |
| **Contact Title** |  |
| **Phone** |  |
| **Email** |  |
| **Date Filled Out** |  |
| **Organization Type** | Not-For-Profit For Profit Educational (Public)  Educational (Private) Quasi -Governmental  Faith-Based Other |
| **U.S. Organizations only**  **Does organization have 501(c)(3) status?** | Yes  No |
| **Incorporated/Registered** | Year:      Location: |
| **Number of HQ Employees** | Full-time:      Part-Time: |
| **Fiscal Year** | From: [Month/Day] To: [Month/Day] |
| **TraSa Project and Total programed amount of equipment, property, and/or services that IESC will purchase on behalf of your organization** |  |
| **Financial Information** | Last Completed Fiscal Year  Revenues:  Expenses:  Assets:  Liabilities:  Please attach most recent annual audit. |
| **Signature:** | Title: |

|  |
| --- |
| **Management and Administrative Capacity** |

1. **Management Structure**: Describe the organizational management structure and attach an organizational chart, if available. Include the titles and names of all executive management positions (executive director, chief financial officer, chief operations officer, etc.)

|  |
| --- |
|  |

1. **USDA Experience**: Has the organization previously received any donated equipment, property or services from U.S. Government funded programs? If so, list the items and/or services received in the last three years (or include as an attachment).

|  |  |  |  |
| --- | --- | --- | --- |
| USDA or U.S. Agency Name | Equipment | Date | Value of Equipment, Property and/or Services (at time of donation) |

1. **Property Management**: How will equipment or other property be maintained and recorded? Do you have a property or inventory management policy? Explain below (and attach your policy if applicable). Please also list the positions and qualifications of program employees who will have responsibility for 1) receiving the property, recording it, maintaining it and inventorying it.

|  |
| --- |
|  |

|  |
| --- |
| **Accounting System, Internal Controls and Safeguards** |

Internal controls are procedures to ensure that: (1) financial transactions are approved by an authorized individual and are consistent with laws, regulations and the organization’s policies; (2) assets are maintained safely and controlled; and (3) accounting records are complete, accurate and are maintained on a consistent basis. Please complete the following questions concerning your internal controls.

1. Does your organization have:
2. An Accounting Policy that details segregation of duties? (If yes, please attach the policy)  Yes  No
3. An Accounting system that separate the receipts and payments of an award from the receipts and payments of other activities?  Yes  No
4. An Accounting system that can record and separate the receipts and payments of an award from the receipts and payments of other activities?  Yes  No
5. An accounting system that can record and summarize payments by budget category and by program?

Yes  No Explain.

For public educational institutions and quasi-governmental organizations: Does your institution or organization use the Government of Dominican Republic’s or other public financial management system?

Yes  No

Will your organization maintain accounting records for donated property for at least three years after the final financial report is submitted?  Yes  No

Does your organization have “Standards of Conduct” policy that addresses conflict of interest, whistle blower protection, and business ethics? (If yes, please attach the policy)

Yes  No

Does your organization maintain records for vehicles, equipment, and other fixed assets in an asset inventory schedule?  Yes  No If yes, how often are they checked?

Does your organization maintain general liability insurance to safeguard organizational assets?  Yes  No

*[To be filled out by IESC/USDA TraSa Project Grants Manager]*

|  |
| --- |
| **Conclusions and Recommendations** |

Based on the pre-award analysis, should IESC purchase property on behalf of the Grant Applicant? Please check the one that applies:

|  |  |
| --- | --- |
|  | Yes, no changes recommended in the grantee’s management and financial systems |
|  | Yes, with the changes recommended below to the applicant’s management and financial systems and procedures. (Examples: Require grantee to purchase appropriate insurance, require grantee to develop a fixed asset policy, etc.) |
|  | No; not recommended for the reasons indicated here: |

**Reviewed by:**

**Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

1. **IESC Grantee Risk Assessment Matrix (In-Kind Grants)**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Risk Factors** | **Low Risk** | **Medium Risk** | **High Risk** | **(Enter Applicant’s Name here)** |
| Applicant Organization Location | U.S. Based entity | Foreign based entity in the developed world (OECD) | Foreign based entity in developing world | L M H  Notes: |
| Maturity of Organization | More than 10 years old | Between 2-9 years old | Less than 2 years old | L M H  Notes: |
| Prior Experience with federally funded in kind property or services | Managed in kind property/services worth over $25,000 (annually) for last 3 years | Managed in kind property/services worth between $10,000-$24,999 (annually) for last 3 years | Managed in kind property/services worth less than $10,000 (annually) for the last 3 years | L M H  Notes: |
| Total Amount of Grant | Under $ 100,000 | Over $ 100,000 and under $ 250,000 | Over $ 250,000 | L M H  Notes: |
| Internal Controls: (Segregation of duties) | Strong segregation of duties whereby different people perform each function | Weak segregation of duties whereby two people perform these functions | Weak segregation whereby 1 person performs these functions | L M H  Notes: |
| Internal Controls: (Segregation of funds with use of robust accounting software) | Possesses robust accounting software and can show segregation of funds | Does not segregate funds but possesses an accounting software program that would enable segregation of funds | No accounting software and/or cannot segregate funds | L M H  Notes: |
| Policies and Procedures for standard of conduct and inventory management | Well developed and written Policies and Procedures | Spotty evidence of each Policy and Procedure | Little to no written Policies and Procedures | L M H  Notes: |
| Transparency Int’l [Corruption Perception Index](http://www.transparency.org/cpi2015) | Score of 70 or higher | Score of 40-69 | Score of less than 40 | L M H  Notes: |
| Other Risk Considerations (list other factors found with the organization) | Notes: | | | |
| Composite Rank | L M H  Notes: | | | |

**Filled out by:**

**Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**