

Applicant Self-Assessment

Applicant Self-Assessment of Internal Controls and Risks

Montana Department of Agriculture will use this form to assess the risk of awarding a grant for each applicant. Answers will determine eligibility to qualify for funding and the extent to which special conditions may be applied (such as reporting frequency, site visits, etc.) should a grant be awarded.

Company/Organization Name	
Grant Project Contact	
Project Title	
Date Prepared	

Staff Qualifications

3 or more	1-3	Less than 1	Internal Control
			How many years of experience managing projects of this type does the Grant Project Contact have?
			How many years of experience does the Grant Project Contact have in working with federal grants?
Comments:			

Control Environment

Answer “yes” if activity in question applies to your organization. Each “no” answer indicates a potential weakness of internal controls. **All “no” answers require an explanation.**

Organizational Structure

Yes	N/A	No	Internal Control
			Do organizational policies exist delegating grant/financial management responsibilities among staff?
			In addition to program staff, are financial and management personnel involved in the day-to-day implementation of grant funded projects?
Comments:			

Internal Controls

Yes	N/A	No	Internal Control
			Are written personnel policies maintained?
			Are processes in place to ensure that wages charged to the grant are reviewed and based on actual time and effort?

			Are policies in place that clearly delegate authority within the organization and identify staff responsibilities?
			Are procedures in place to ensure supervisors, financial staff and managers receive adequate training on federal grant management practices?
			Is a list of authorized check signers maintained?
			Are accounting policies in place to ensure that expenses are accompanied by source documentation?
			Does your organization have a written travel policy?
			Are written procurement policies maintained and followed by your organization?
			Do policies exist to separate accounting duties, such as the preparing and signing of checks?
			Are all records, checks, and supporting documents retained according to a written policy complying with state and federal regulations?
			Are periodic (monthly, quarterly) reports of budget to actual spending prepared and reviewed by both accounting and grant staff?
			Does your accounting system track the receipt and disbursement of funds by each grant or source of funding?
			Are there policies and procedures to provide for the appropriate use of program income?
Comments:			

Allowable Activities & Costs

Yes	N/A	No	Internal Control
			Are procedures in place to ensure that all expenditures are allowable prior to the outlay of funds?
			Have personnel responsible for coding expenditures been trained on federal grant management?
			Are all grant documents made available to grant staff to ensure their ability to adequately review for the allowability of expenditures?
			Are periodic (monthly, quarterly) reviews of the status of actual to planned program performance prepared and reviewed by staff?
Comments:			

Equipment Management

This section is required only if you requested funds for Special Purpose Equipment in your proposal.

Yes	N/A	No	Internal Control
			Are fixed asset records maintained that adequately classify and identify individual items, as well as detailing their location?
			Is someone assigned responsibility to ensure that all equipment is properly maintained?
			Is insurance coverage maintained for grant purchased equipment?

Comments:	
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Matching Funds or Program Income in your proposal.

Program Income

This section is required only if you indicated Matching Funds or Program Income in your proposal.

Yes	N/A	No	Internal Control
			Are cash/check receipt policies and procedures clearly documented and communicated to personnel?
			Are there policies and procedures to provide for the appropriate use of program income?
Comments:			

Audit

Yes	N/A	No	Internal Control
			Does your organization expend \$750,000 or more during the non-Federal entity's fiscal year in Federal awards?
			Does our organization engage in audits compliant with OMB Circular a-133?
			Was your previous audit free of significant findings?
			Have audits been conducted by a CPA or Licensed Public Accountant
			Are past audit reports kept on file?
Comments:			