

Alaska Sustainable Salmon Fund
FEDERAL GRANT MANAGEMENT CAPABILITIES SURVEY

*Required for each entity requesting AKSSF funding (except State of Alaska agencies,
federal agencies, and the University of Alaska)*

This form and supporting documents provide a basis to evaluate the capability of your organization's management systems, internal controls, and federal grant management skills and experience. It must be completed by financial staff familiar with the current AKSSF subaward agreement, federal regulations, and your organization's business and financial management systems. Please complete every blank, answer every question, and provide the required documents. Unanswered questions will lead to lower ratings. ADF&G reserves the right to reject proposals from entities that are deemed as having insufficient federal grant management capabilities (e.g., weak or inadequate internal controls, insufficient business or financial management systems, lack of skills and experience managing federal funds, prior audit findings). If any entity proposed for funding in the budget is rejected on these grounds, the entire proposal is rejected.

Technical Assistance Workshop

AKSSF contracted a federal grants expert to provide a technical assistance workshop in September 2011. This two day workshop provided guidance related to internal controls and business/financial management systems. Content from this workshop, including video and sample policies/procedures, is available on our website. Access to the material is restricted, so please contact Debbie Maas (debbie.maas@alaska.gov; 907-465-6134) to request login credentials.

Required Documents:

In addition to completing the form on the following pages, you must provide audit and/or financial documents as described below in order to receive a complete score:

If your organization has received an Office of Management and Budget (OMB) circular A-133 single audit, program-specific audit, or Federal Office of Inspector General (OIG) audit in the last five years, provide the following documents for the most recent audit:

- Single audit (or OIG report) if not available on the Federal Audit Clearinghouse
- Letter to the board
- Current balance sheet

If your organization has not been audited under an OMB circular A-133 single audit, program-specific audit, or OIG audit in the last five years, provide the following documents for the current and prior fiscal years, as applicable:

- Current balance sheet
- Any available financial compilations, audits, or reports by a Certified Public Accountant

Failure to provide these documents may lead to unsatisfactory ratings for risk factors (and subsequent disqualification) that are assessed based upon the missing information. AKSSF reserves the right to utilize all publicly available information (e.g., Federal Audit Clearinghouse database, IRS Form 990) whether documents are provided by the applicant or not.

Legal Name of Applicant Organization: _____

Address: _____

City, State, Zip: _____

Dun & Bradstreet Number: _____

EIN: _____

AKSSF Federal Grant Management Capabilities Survey Form

1. How many full time equivalent (FTE) employees does your organization employ? _____

2. Select your organization type:

	Non-profit	Government
	Quasi-state	College/University
	Commercial (For-profit)	
	Other (identify): _____	

3. Did your organization receive a federal single audit or program-specific audit in the last five years?

No

Yes If yes, please answer the questions below; if no, please proceed to question 4.

A. What was the end date of the last fiscal year audited (e.g., 12/31/17): _____

B. What type of opinion did the auditor provide on the most recent audit report?

Unqualified Qualified Adverse Disclaimer

C. If the opinion was anything other than “Unqualified,” please describe the deficiencies identified by the auditor and any actions that have been taken to correct them (if any) in explanatory language. Examples of deficiencies may include inadequate disclosure, inappropriate accounting principles, unreasonable accounting estimates, or other departures from generally accepted accounting principles.

D. Did your auditor report on any of the following:

• Significant deficiencies over financial reporting? Yes No

If yes, what was done to correct them?

- Material weaknesses over financial reporting? Yes No

If yes, what was done to correct them?

- Significant deficiencies over compliance? Yes No

If yes, what was done to correct them?

- Material weaknesses over compliance? Yes No

If yes, what was done to correct them?

- Material non-compliance reported? Yes No

If yes, what was done to correct them?

E. Were any explanatory paragraphs, such as going concern, included in the auditor's report?

Yes No

If yes, please describe them and what was done to correct them:

4. How much federal revenue did you expend in your last completed fiscal year?

5. Do you expect an increase or decrease in federal expenditures in this fiscal year?

Increase Decrease

6. Is your organization likely to spend more than \$750,000 in federal funds in its current fiscal year?

Yes No

7. Does your organization have a current federally negotiated indirect cost rate agreement?

Yes No

8. Provide the citation for the revised federal grant regulations that came into effect for federal grants awarded on or after December 26, 2014 (e.g., 22 CFR 401):

9. Does your organization have written policies and procedures, consistent with federal regulations at 2 CFR 200, to cover the following business management areas?

Personnel	Yes	No
Procurement	Yes	No
Property	Yes	No
Travel	Yes	No

10. If employees work on multiple projects, are salaries and wages documented to accurately reflect the work performed for each project?

Yes No

11. Does your organization have a written budgetary process and controls to preclude incurring obligations in excess of the grant amount and individual cost categories?

Yes No

12. Are procurement policies clearly communicated to employees?

Yes No

13. Are duties separated to ensure one individual (i.e., program or financial) is not controlling all aspects of a transaction/process?

Yes No

14. Does your accounting system accurately and completely track receipt and disbursement of funds by each federal award/other funding source?

Yes No

15. Does your accounting system provide for the recording of actual expenditures for each federal award by project and budget cost categories?

Yes No

16. Does your organization have written procedures for determining the allowability of costs in accordance with federal cost principals?

Yes No

17. Does your organization have the financial resources to absorb unallowable or disallowed project costs (e.g., if a federal auditor disallowed \$20,000 of expenses after they had been reimbursed by AKSSF, would your organization have sufficient discretionary funds to repay \$20,000 to ADF&G so they could repay the federal government)?

Yes No

18. Provide the title and CFDA number of five of the federal grants your organization has received and managed in the last three years (or list all if less than five):

1. Title: _____ CFDA: _____

2. Title: _____ CFDA: _____

3. Title: _____ CFDA: _____

4. Title: _____ CFDA: _____

5. Title: _____ CFDA: _____

19. What is the threshold of federal expenditures in a fiscal year that will trigger a single audit requirement for fiscal years beginning in calendar year 2018?

20. Who in your organization is responsible for ensuring compliance with applicable federal uniform administrative requirements and cost principles? (If more than one person is responsible, please list each one.)

Name: _____

Title: _____

Email: _____

Phone: _____

21. How familiar is this person (or persons) with the following federal compliance areas?

Activities allowed or unallowed	None	Somewhat	Very Familiar
Allowable costs/cost principles	None	Somewhat	Very Familiar
Cash management	None	Somewhat	Very Familiar
Equipment and real property management	None	Somewhat	Very Familiar
Matching/cost sharing	None	Somewhat	Very Familiar
Period of availability of federal funds	None	Somewhat	Very Familiar
Procurement	None	Somewhat	Very Familiar
Debarment and suspension	None	Somewhat	Very Familiar
Reporting	None	Somewhat	Very Familiar

22. Describe staff experience with federal grants and what federal grants training staff has completed in the last two years:

23. Who should AKSSF (or its designee) contact regarding this form?

Title: _____

Name: _____

Email: _____

Phone: _____

Prepared by (Signature): _____ Date: _____

Printed name and title: _____

Telephone _____

Email: _____