



<b>4. Negotiated Indirect Cost Rate: Does your organization have a federally approved indirect rate?</b>		
Yes	No	URL: _____
If yes, please provide a copy of your current agreement or the URL. If no, a de minimis rate of 10% of MTDC will be used in accordance with 2 CFR 200.414; or, the maximum allowable percentage of administrative expenses according to the funding source.		
<b>5. Fringe Benefit rate: Does your organization have a fringe benefit rate?</b>		
Yes	No	URL: _____
If yes, please provide a copy of your current fringe benefit rate memorandum or provide the URL.		
<b>6. Has your organization received in the past, subawards or subgrants which are similar to, or the same as, the currently proposed subaward? (2 CFR 200.331)</b>		
Yes	No	
If yes, subrecipient hereby agrees to provide further documentation upon request.		
<b>7. Does your organization have on-going direct Federal awards where you receive funds directly from an awarding agency? (2 CFR 200.331)</b>		
Yes	No	
If yes, is the awarding agency currently monitoring subrecipient activity?		
Yes	No	
If yes, please describe:		
<b>8. Please certify that policies and/or procedures exist that address the following:</b>		
Pay Rates and Benefits	Conflict of Interest	Purchasing
Time and Attendance	Travel	Equipment & Inventory
Leave		
By signing this document, subrecipient certifies that policies and/or procedures shown above are in place. If not, then subrecipient agrees to abide by the State's policies and/or procedures.		
<b>9. Is Government property inventory maintained that identifies purchase date, cost, vendor, description, serial number, location, and ultimate disposition data?</b>		
Yes	No	N/A

10. Has any new system been recently put in place or has there been any change to the existing system (e.g., accounting, information, management, etc.)? (2 CFR 200.331)

Yes

No

If yes, please explain:

11. Does your organization have any new personnel (e.g., key personnel, financial management, grants management, IT management, or other staff serving in a grants administration role)? (2 CFR 200.331)

Yes

No

If yes, please explain:

12. Has your organization in your preceding fiscal year expended any federal funds in either direct or indirect Federal awards?

Yes

No

If yes, please indicate the expenditure amount:

13. Have annual financial statements been audited by an independent audit firm? If yes, provide a copy of the statements for your most current fiscal year.

Yes

No

14. Does your organization adhere to Subpart E Cost Principles of 2 CFR 200 under the proposed subaward?

Yes

No

N/A

15. Does your organization have a financial management system that provides records that can identify the source and application of funds for award-supported activities?

Yes

No

16. Does the financial system provide for the control and accountability of project funds, property, and other assets?

Yes

No

17. Are duties separated so that no one individual has complete authority over an entire financial transaction?

Yes

No

If no, please explain below:

18. Does your organization have controls to prevent expenditure of funds in excess of approved, budgeted amounts?

Yes

No

If no, please explain below:

19. Are all disbursements properly documented with evidence of receipt of goods or performance?

Yes

No

If no, please explain below:

20. Are all bank accounts reconciled monthly?

Yes

No

If no, please explain below:

21. Are payroll charges checked against program budgets?

Yes

No

If no, please explain below:

22. What system does your organization use to control paid time, especially time charged to sponsored agreements?

23. Does your organization have procedures which provide assurance that consistent treatment is applied in the distribution of charges to all sponsored agreements, grants and contracts?

Yes No

If no, please explain below:

24. Does your organization have a formal policy of nondiscrimination and a formal system for complying with Federal civil rights requirements?

Yes No

If no, please explain below:

25. Describe your organization's procedures to ensure that costs deemed unallowable, per Federal guidelines (2 CFR 200), are excluded from the amount charged to a grant?

26. Does your organization follow purchasing procedures to ensure procurement at competitive prices?

Yes No

If no, please explain below:

27. Are detailed records of individual capital assets kept and periodically balanced with the general ledger accounts?

Yes

No

If no, please explain below:

28. How does your organization ensure that all cost transfers are legitimate and appropriate?

Authorized Representative Approval

By signing below, the authorized representative certifies, to the best of subrecipient's knowledge, all information submitted on this form, or attached for submission is accurate and complete.

Signature \_\_\_\_\_ Date: \_\_\_\_\_

Printed Name & Title \_\_\_\_\_

For Official Use Only:

Risk Level Determination: \_\_\_\_\_ Lower      \_\_\_\_\_ Medium      \_\_\_\_\_ Higher

Notes: \_\_\_\_\_  
\_\_\_\_\_

Approved: \_\_\_\_\_ Date: \_\_\_\_\_