

Operational and Financial Management Survey

General Information

Organizational Legal Name	
EIN:	
City, State associated with EIN:	
UEI (Unique Entity Identifier):	
Assistance Listing Number Associated with Funding Opportunity:	
Application Identification Number:	

Operational Management

Operational Policies- The policies identified below address some of the most critical elements for the 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.

Personnel/ Employee Handbook

Financial / Internal Controls

Sub-award and/or Service Site Monitoring and Oversight:

Timekeeping:

Travel Guidance, including purchase/travel credit card use:

Procurement:

Standards for Use of Federal Funds:

Code of Conduct/Ethics, applicable to employment/purchasing:

Document Retention:

Yes	No	N/A

Operational Training- Please indicate the training areas below that are provided to employees by the organization.

Personnel/ HR Issues:

Financial Accounting:

Risk Management:

Cyber-Security:

Fraud, Waste, and Abuse:

Yes	No

Financial Management

Are financial reports (profit and loss, budget v. actual, etc.) provided to and reviewed by leadership level staff at least quarterly?

Does the organization utilize an automated accounting system?

Can the organization's accounting system separate the receipts and payments of the organization's other activities supported by separate funding 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?

Does the organization use an automated payroll system?

Yes	No

How often does the organization post transactions to the accounting system ledger?

Daily	Weekly	Monthly	Quarterly	Annually	Other

Please indicate whether organizational leadership approval is required for any of the following financial transactions:

- Opening/Closing Bank Accounts
- Opening lines of credit
- Assigning Credit Cards
- Buying/Selling Property
- Financial Investment/Divestment

Yes	No

Has the organization issued loans to an employee or officer of the organization or forgiven/written-off any loans in the last year?

Yes	No	N/A

Please identify who is authorized to write-off any debt owed to the organization as a bad debt:

Accountant	Chief Financial Officer	CEO/Exec Director	Board Committee	Board Chair
Yes	No			

Has the organization experienced cash flow deficits at any point in the previous 2 years?

Compliance

Yes	No	N/A

- Has the organization received federal funds for similar programs or projects?
- If so, has your organization met federal program requirements for similar programs?
- Has an audit been performed on the organization's financial accounts?

Modified	Unmodified	Adverse	N/A

If so, what was the audit opinion?

Yes	No	N/A

If applicable, has the organization addressed any outstanding deficiencies identified in the most recent audit?
Please provide any clarifications or similar remarks/information in the section below (optional):

Preparer's Certification

- Preparer's Name (First, Last)
- Preparer's Title
- Preparer's Email

I certify that the above information is complete and correct to the best of my knowledge and ability
Date of certification

I certify	I do not certify.