

# Applicant Operational and Financial Management Survey 8-

OMB Control Number 3045-0102 Expiration: 09/30/2024

This survey is intended to collect information about the capacity of applicants to manage federal grant funds. Per 2 CFR §200.206, AmeriCorps must evaluate the degree of risk posed by an applicant. Information from the survey will be used to assess an organization's operational and financial management capabilities prior to receiving a federal award. Completion of this survey is required but is independent from the competitive grant process. Responding organizations are advised to ensure that the person or persons preparing this form are those responsible for, and with sufficient knowledge of, the organization's operational and financial management functions. The information provided may be used to support future monitoring activities, should the applicant receive federal funds from AmeriCorps. In completing this form, each question requires a response. Refer to the applicable Notice of Funding Opportunity for instructions on how to submit all application materials.

\* Required

Public reporting burden -- Estimated time to complete this form, including time for reviewing instructions and gathering and providing the information needed to complete the form is 2 hours. Send comments regarding this burden or the content of this form to: AmeriCorps, Office of Grants Administration, 250 E Street, SW, Washington, DC 20525. AmeriCorps informs the potential persons who are to respond to this collection of information that such persons are not required to respond to the collection of information unless it displays a currently valid OMB control number on this page of the form (see 5 CFR 1320.5(b) (2) (1) ).

NOTE: An organization must complete a separate Operational and Financial Management Survey form for each application it submits under the applicable Notice of Funding Opportunity.

Privacy Statement -- In compliance with the Privacy Act of 1974, the following information is provided: The collection of this information is authorized by the provisions of the National and Community Service Act of 1990, by the National and Community Service Trust Act of 1993, and the Serve America Act of 2009. The primary purpose of the information is to determine if appropriate systems are in place to manage federal grant funds or, if not, to identify training and technical assistance a grantee may need to develop or enhance appropriate systems. Completion of this survey is required as an element of CNCS' pre-award risk assessment process. The information provided will be maintained and treated confidentially. However, appropriate federal, state, and local law enforcement entities may request and obtain this information under certain circumstances. Otherwise, the information provided will not be disclosed without express written permission.



All applicants regardless of funding level are required to submit an Applicant Operational and Financial Management Survey.

Forms must be submitted via PDF to OSC at oregon.serves@hecc.oregon.gov. OSC staff will review the survey and submit to OFMS electronically on the sub applicant's behalf.

# **General Information**

## 1. Organization Legal Name: \*

## 2. EIN \*

3. City, State Associated with EIN \*

4. **UEI** (Unique Entity Identifier) \*

5. Assistance Listing Number Associated with Funding Opportunity \*

# 6. Application Identification Number \*

# **Operational Management**

The policies identified below address some of the most critical elements for 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. Should the applicant receive federal funding from AmeriCorps, full copies of the policies and procedures may be requested for monitoring purposes.

## 7. Personnel/Employee Handbook \*

Yes

## 8. Financial/Internal Controls \*



) No

## 9. Sub-award and/or Service Site Monitoring and Oversight \*



## 10. Timekeeping \*

Yes

🔵 No

## 11. Travel Guidance, including purchase/travel credit card use \*

Yes

#### 12. Procurement \*



#### 13. Standards for Use of Federal Funds \*



) No

# 14. Code(s) of Conduct/Ethics, applicable to employment/purchasing \*

) Yes

) No

#### 15. Document Retention \*

Yes

) No

# **Operational Management**

Please indicate the training areas below that are provided to employees by the organization (select Yes or No)

#### 16. Personnel/HR Issues \*



) No

## 17. Financial Accounting \*



) No

#### 18. Risk Management \*



🔵 No

#### 19. Cyber-security \*

) Yes

) No

#### 20. Fraud, Waste, and Abuse \*



# **Financial Management**

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



22. Does the organization utilize an automated accounting system? \*

$\bigcirc$	Yes
$\bigcirc$	No

23. Can the organization's accounting system separate the receipts and payments of a federal grant from the receipts and payments of the organization's other activities supported by separate funding streams? \*



24. Can the organization's accounting system summarize expenditures from a federal grant according to different budget categories such as salaries, rent, supplies, and equipment? \*



25. How often does the organization post transactions to the accounting system ledger(s)? \*

$\bigcirc$	Daily
$\bigcirc$	Weekly
$\bigcirc$	Monthly
$\bigcirc$	Quarterly
$\bigcirc$	Annually
$\bigcirc$	Other

# 26. Does the organization use an automated payroll system? \*

$\bigcirc$	Yes
$\bigcirc$	No

# **Financial Management**

Please indicate whether organizational leadership approval is required for any of the following financial transactions (select Yes or No):

27. Opening/Closing Bank Accounts \*



## 28. Opening Lines of Credit \*



#### 29. Assigning Credit Cards \*



) No

## 30. Buying/Selling Property \*



#### 31. Financial Investment/Divestment \*

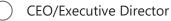
$\bigcirc$	Yes
$\bigcirc$	No
$\bigcirc$	N/A

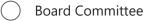
32. Has the organization issued loans to an employee or officer of the organization or forgiven/written-off any loans or debts in the last year? \*

$\bigcirc$	Yes	
$\bigcirc$	No	
$\bigcirc$	N/A	

33. Please identify who is authorized to write-off any debt owed to the organization as a bad debt. \*







) Board Chair

34. Has the organization experienced cash flow deficits an any point in the previous 2 years? \*



# Compliance

35. Has the organization received federal funds for similar programs or projects? \*



36. If so, has your organization met federal program requirements for similar programs? \*

$\bigcirc$	Yes
$\bigcirc$	No
$\bigcirc$	N/A

37. Has an audit been performed on the organization's financial accounts? \*



) No

#### 38. If so, what was the audit opinion?

Modified
Unmodified
Adverse
N/A

- 39. If applicable, has the organization addressed any outstanding deficiencies identified in the most recent audit? \*
  - YesNoN/A
- 40. Please provide any clarifications or similar remarks/information in the section below (optional):

# **Preparer's Certification**

41. Preparer's Name (First, Last) \*

#### 42. Preparer's Email \*

43. Preparer's Position Title \*

- 44. I certify that the above information is complete and correct to the best of my knowledge and ability. \*
  - I Certify
  - I Do Not Certify
- 45. Date of Certification \*