

GRANT MANAGEMENT
GUIDE

DEPARTMENTAL SURVEY TEMPLATES



**PREPAREDNESS FOR THE
NEW GRANT REGULATIONS
(2 CFR PART 200)**

- PROGRAM OFFICES
- HUMAN RESOURCES
- ACCOUNTING/FINANCE
- PROCUREMENT

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Program Office Survey Questions

Performance Measurements:

- Do current or past awards include performance measurements?
- How do you communicate the ways performance will be measured by your funding agency to program staff and others?
- How do you monitor activities under Federal awards to assure performance expectations are being achieved for each program, function or activity?

Risk Assessment:

- Do Federal funds pass-through to subrecipients for any of your awards?
- If so, are you familiar with the new risk assessment requirements that must be done prior to awarding work?
- Will you have a risk assessment framework for your subrecipients in place by Dec. 26, 2014?

Internal Controls:

- What internal controls are in place to mitigate risks of waste, fraud, and abuse of Federal funding?
- What internal controls are in place to safeguard against any inappropriate alteration of records?
- What internal controls are in place to ensure compliance with Federal statutes, regulations, and the terms and conditions of the award that could have a direct and material effect on a Federal program?
- How do you safeguard protected personally identifiable information as well as any information designated as sensitive from accidental or deliberate disclosure?

Cost Principles

- What is your process for program staff to review spending on the Federal award for allowability of costs?
- Will reference materials, training resources and forms be updated to reflect the new Cost Principles in Sub Part E of 2CFR Part 200?

Time and Effort Reporting

- How do you provide reasonable assurance that the charges for time and effort reporting are accurate, allowable, and properly allocated?
- Describe how do direct employees know what activity/code (such as a federal award) to charge their time to.

Well-trained Workforce

- How do new staff members receive training on the requirements and restrictions for grant management of Federal awards?

Departmental Readiness Survey-Implementation of New Grant Regulations 2 CFR Part 200
(This survey is designed as a starting point for implementation, but is NOT an all-inclusive list of the changes in the new uniform guidance.)

- How will current staff members be trained on the new requirements contained in 2 CFR Part 200 Administrative Requirements and Cost Principles?
- What is your process to keep staff up-to-date on changes to grant guidance and the terms and conditions of specific Federal awards?

Other:

Human Resources Survey Questions

Support Women in STEM Fields:

- Does your organization currently have a family leave policy included in your Employee Handbook?
- Is the organization considering a documented travel policy for all entity travel that allows for temporary dependent care in circumstances that are:
 - Above and beyond regular dependent care and directly results from travel to conferences and are a direct result of the individual's travel for the Federal award and are only temporary during the travel period
- Do your policies for conference spending support costs for identifying locally available dependent care resources?

Conflict of Interest Policies:

- Does your employee handbook include a standards of conduct which covers conflicts of interest including:
 - The performance of its employees engaged in the selection, award and administration of contracts include a stipulation that no employee, officer, or agent can participate in the selection, award, or administration of a contract supported by a Federal award if they have a real or apparent conflict of interest.
 - The officers, employees, and agents of the non-Federal entity must neither solicit nor accept gratuities, favors, or anything of monetary value from contractors or parties to subcontracts.
 - A standards for situations in which the financial interest is not substantial or the gift is an unsolicited item of nominal value.
 - Provision for disciplinary actions for violations of such standards

Internal Controls:

- What internal controls are in place to mitigate risks of waste, fraud, and abuse of Federal funding?
- What internal controls are in place to safeguard against any inappropriate alteration of records?
- How do you safeguard protected personally identifiable information as well as any information designated as sensitive from accidental or deliberate disclosure?

Disclosure Requirements

- What is your process to monitor for conflicts of interest, violations of law and gratuity violations potentially affecting the Federal award?
- What is your process to notify the funding agency for mandatory disclosures of conflicts of interest, violations of law and gratuity violations potentially affecting the Federal award?

Monitoring

What is your process to evaluate and monitor compliance with statute, regulations and the terms and conditions of Federal awards include contract provisions such as the Davis-Bacon Act?

What is your process for taking prompt action when instances of noncompliance are identified?

Well-trained Workforce

- How do new staff members receive training on the employee requirements for conflicts of interest, time and effort reporting and other requirements for working with Federal awards?
- How will current staff members be trained on the new requirements contained in 2 CFR Part 200 Administrative Requirements and Cost Principles?
- What is your process to support a well-trained workforce through employee development?

Other:

Procurement Survey Questions

Contract Provisions

- What is your process to update your contract provisions to comply with the new uniform grant guidance and terms and conditions on new awards and funding increments?

Monitoring and Reporting

- What is your process to evaluate and monitor compliance with statute, regulations and the terms and conditions of Federal awards include contract provisions?
- What is your process for taking action when instances of noncompliance are identified?
- How do assure that all necessary affirmative steps are taken to include minority businesses, women's business enterprises, and labor surplus area firms in procurements when possible?
- If you are a pass-through entity, how will you comply with the new risk assessment requirements that must be done prior to awarding work?

Internal Controls

- What internal controls are in place to mitigate risks of waste, fraud, and abuse of Federal funding?
- What internal controls are in place to safeguard against any inappropriate alteration of records?
- What are ways that you demonstrate compliance with Federal statutes, regulations, and the terms and conditions of the Federal award?

Written Policies and Procedures

- What is your process to update your written procurement policies and procedures to reference the requirements in the new 2CFR Part 200 Administrative Requirements and Cost Principles?

Disclosures

- What is your process to monitor for conflicts of interest, violations of law and gratuity violations potentially affecting the Federal award?
- What is your process to notify the funding agency for mandatory disclosures of conflicts of interest, violations of law and gratuity violations potentially affecting the Federal award?

Well-trained Workforce

- How do new staff members receive training on the employee requirements for conflicts of interest, compliance with award terms and conditions and Federal procurement requirements?
- How will current staff members be trained on the new requirements contained in 2 CFR Part 200 Administrative Requirements and Cost Principles?

Departmental Readiness Survey-Implementation of New Grant Regulations 2 CFR Part 200
(This survey is designed as a starting point for implementation, but is NOT an all-inclusive list of the changes in the new uniform guidance.)

- What is your process to keep staff up-to-date on changes to grant guidance and the terms and conditions of specific Federal awards?

Other:

Finance/Accounting Survey Questions

Cost Principles

- What is your process for reviewing program spending on the Federal award for allowability of costs under the new Cost Principles?
- Will reference materials, training resources and forms be updated to reflect the new Cost Principles in Sub Part E of 2CFR Part 200?

Audit Resolution

- How do you ensure that prompt action is taken when instances of noncompliance are identified in audit findings?
- Do you have areas of noncompliance that have occurred in multiple years?
- If so, what is your process for finally resolving old areas of noncompliance?

Written Policies and Procedures

- What is your process to update your written procurement policies and procedures to reference the requirements in the new 2CFR Part 200 Administrative Requirements and Cost Principles?

Internal Controls

- What internal controls are in place to mitigate risks of waste, fraud, and abuse of Federal funding?
- What internal controls are in place to provide reasonable assurance regarding the reliability of reporting for internal and external use; and compliance with applicable laws and regulations?
- What internal controls are in place to safeguard against any inappropriate alteration of records?
- What internal controls are in place to ensure compliance with Federal statutes, regulations, and the terms and conditions of the award that could have a direct and material effect on a Federal program?
- How do you safeguard protected personally identifiable information as well as any information designated as sensitive from accidental or deliberate disclosure?
- What is your process to maintain accountability over assets and ensure that funds, property, and other assets are safeguarded against loss from unauthorized use or disposition?

Certification of Costs

- Have you identified an official who is authorized to legally bind the non-Federal entity to review and complete the required certifications which must be included with the annual and final fiscal reports or vouchers requesting payment under the agreements?
- Have you reviewed the certification statement with them including the potential penalties for any false, fictitious, or fraudulent information, or the omission of any material fact?

Well-trained Workforce

- How do new staff members receive training on the employee requirements for conflicts of interest, time and effort reporting and other requirements for working with Federal awards?
- How will current staff members be trained on the new requirements contained in 2 CFR Part 200 Administrative Requirements and Cost Principles?
- What is your process to keep staff up-to-date on changes to grant guidance and what costs are allowable to charge the Federal award?