

South Carolina Forestry Commission Subrecipient Risk Assessment Questionnaire

South Carolina Forestry Commission (SCFC) is asking for your cooperation in completing the following Subrecipient Risk Assessment Questionnaire in order to comply with the [2 CFR 200.331](#), which requires SCFC to evaluate each subrecipient's risk of noncompliance with Federal statutes, regulations, and the terms and conditions of the subaward. SCFC will review the following:

- (1) Your organization's prior experience with the same or similar awards or subawards;
- (2) The results of previous audits, including indicating if your organization receives a Single Audit in accordance with Subpart F—Audit Requirements, and the extent to which the same or similar awards subaward has been audited as a major program;
- (3) Whether your organization has new personnel or new or substantially changed systems; and
- (4) The extent and results of Federal awarding agency monitoring (e.g., if your organization also receives Federal awards directly from a Federal awarding agency).

Information collected through this assessment will allow SCFC to evaluate the need to incorporate special terms and conditions in the subrecipient agreement in accordance with [2 CFR 200.207](#). This assessment will also will inform further risk evaluation and technical assistance activities by SCFC.

Please complete and return the completed questionnaire to Frances Waite at fwaite@scfc.gov.

Date Completed: _____

Organization Name: _____

Subrecipient Agreement #(s): _____

Contact Name: _____

Contact Phone#: _____

Contact Email Address: _____

1. Quality of management systems and ability to meet the management standards

1.1. Do you have written policies and procedures that guide program delivery on the topics of:

- a. Quality assurance Yes No
- b. Outcome tracking and reporting mechanisms Yes No
- c. Relevant documentation of services/goods delivered Yes No
- d. Staff performance management policies and procedures Yes No
- e. Personnel policies and procedures that include conflict of interest statements Yes No
- f. Complaint/grievance resolution policies and procedures Yes No
- g. Governing body policies and procedures that include conflict of interest statements Yes No
- h. Safeguarding funds, property and other assets against loss from unauthorized use or disposition Yes No
- i. Management of grant term extensions, where applicable Yes No

1.2. Do you have internal controls that govern program delivery for:

- a. Quality assurance reporting Yes No
- b. Appropriate (to industry) supervision of staff Yes No
- c. Unit costs analysis and management Yes No
- d. Accreditation/licensing compliance program Yes No Not Applicable

1.3. Does the organization have written standards of conduct covering real or perceived conflict of interest related to actions of employees engaged in the selection, award or administration of contracts supported by grant awards? Yes No

1.4. How many years of experience does the project leader have managing the scope of services required under this program?

- More than five years
- One to five years
- Less than one year

1.5. Does the organization have a time and effort reporting system that:

- a. Records all time worked, including time not charged to awards? Yes No
- b. Is signed-off by the employee and a supervisor? Yes No
- c. Includes a [methodology compliant with 2 CFR 200.430](#)? Yes No

1.6. Does the organization have controls for invoicing grants paid based on a rate or unit of service?

- Yes No

1.7. Does the organization apply the same standard for match requirements as it does for expenses?

- Yes No Not Applicable - We have not been subject to match requirements

1.8. To what extent are you able to produce periodic grant status reports to inform stakeholders about program outcomes?

- Reports are an established part of grant management procedures
- We're developing reports as part of grant management procedures
- Not currently have established reports as part of grant management

2. History of performance (The applicant's record in managing grant awards, if it is a prior recipient of awards, including timeliness of compliance with applicable reporting requirements, conformance to the terms and conditions of previous awards, and if applicable, the extent to which any previously awarded amounts will be expended prior to future awards)

2.1. How many years of experience does your organization have with grants of comparable scope and/or capacity?

- One to five years
- One to five years
- Less than one year
- No experience GO TO QUESTION 4.1

2.2. If your organization has experience with grants of comparable scope and/or capacity, provide a brief description of similar project goals and outcomes; specify the applicable year:

2.3. During your last two fiscal years, how frequently has your organization submitted project performance reports on time?

- Always
- Reported late up to three times
- Reported late four or more times
- Not applicable – not a requirement of awards previously received

2.4. Have there been any significant changes in your organization in the last fiscal year related to:

- a. Leadership change(s) Yes No
- b. Significant program / grant initiative(s) Yes No
- c. Structural changes Yes No
- d. Fiscal changes Yes No
- e. Statutory or regulatory requirements Yes No
- f. Other Yes No

2.5. Provide a brief explanation for all "YES" responses to question 2.4.

2.6. Do you obtain prior written approval from the funding agency when:

- a. The scope or objective of the program changes Yes No
- b. Key personnel specified in the application change Yes No
- c. The approved project director disengages for more than 3 months or reduces 25% of time devoted to the project Yes No

Question is not applicable because organization has not been subject to these requirements

2.6.1 Does your agency have a written Policy and Procedure in place that details when prior approvals are necessary, the procedure that should be followed, and responsible individuals? Yes No

2.7. Does your organization have performance measurements that tie to financial data? Yes No

3. Reports and findings from audits performed under Subpart F—Audit Requirements of this part or the reports and findings of any other available audit

3.1. During the last two fiscal years, has your organization been out of compliance with *programmatic* terms and conditions of awards?

- Organization has not been audited; Go to Question 3.6
- No occurrences of non-compliance; Go to Question 3.6
- One to three occurrences of non-compliance
- Four or more occurrences of non-compliance

3.2. If your organization had at least one occurrence of non-compliance with programmatic terms and conditions, summarize each occurrence.

3.3. Have corrective actions been implemented within the specified timeframe? Yes No

3.4. Provide explanation for any corrective actions that were not implemented within the timeframe specified and for any corrective actions that remain open.

3.5. Have there been conflict of interest-related findings within the last two fiscal years? Yes No

- a. If no, go to question 3.6.
- b. If yes, specify the conflict of interest-related finding and your response to the finding.

3.5.1 Has your organization been subject to conditional or additional prior approval requirements due to program issues? Yes No

3.5.2

- a. If no, to go question 4.1.
- b. If yes, specify the terms of the special condition and if the special condition is still applicable.

4. The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on awardees.

4.1. To what extent does your organization have policies to ensure programmatic expenses are reasonable, necessary and prudent (allowable)?

- Policies are implemented and followed
- Policies are not fully implemented
- The organization does not have policies in place to ensure expenses are allowable

4.2 To what extent does your organization have policies to ensure programmatic activities are allowable?

- Policies are implemented and followed
- Policies are not fully implemented
- The organization does not have policies in place to ensure expenses are allowable

4.3 To what extent is your organization able to comply with all statutory requirements of this program?

- Fully able to comply with all statutory requirements
- With the following exception(s), the organization is able to comply:

4.4 Has the organization been out of compliance with any statutory, regulatory or other requirements of grant funding within the last two fiscal years? Yes No

If YES, provide explanation.

5. Agency-specific Questions

5.1. Federal Grant Administration Capability: Please answer as accurately as possible.

- A. Does your accounting system allow for tracking of expenditures to a specific funding source or grant?
 Yes No
- B. Does your accounting system allow for tracking of expenditures to a particular budget line item in your grant (e.g. Fringe, Contract, Supplies, etc.)?
 Yes No
- C. Do employees who work on grant-funded projects record actual time spent on each grant?
 Yes No
- D. Does your organization have a written travel policy for employees?
 Yes No
- E. Does your organization have a written procurement policy?
- F. Yes No
- G. [OPTIONAL] Provide additional explanation for answers in section

Certification Section - I certify that the responses provided on this Subrecipient Risk Assessment Questionnaire are true and accurate and that all occurrence of non-compliance with any requirements addressed through this questionnaire have been disclosed.

Authorized Signature

Date

Name (Printed)

Title