

Financial Grant Management Capabilities Form

NOTE: It is important that this form be completed by financial staff familiar with the Foundation's current proposal guidelines and subaward requirements.

SECTION A: PURPOSE

Since the Water Research Foundation's financial and business responsibilities include the proper discharge of the Public Trust, this form is used to provide a basis for the evaluation of the capability of your organization's systems, policies and procedures to meet the criteria outlined in the Foundation's Project Funding Agreement.

SECTION B: GENERAL INFORMATION

Please fill every blank and answer every question.

Legal Name of Your Organization:

(as it appears on your IRS Form W-9 and as it will appear on The Foundation's Project Funding Agreement)

Address:

City, State:

Zip+4:

Congressional District:

Dun & Brad#:

EIN:

Primary Location of Performance (Where Research Will Be Conducted):

Address:

City, State:

Zip+4:

Congressional District:

1. Number of employees in your organization:

Full Time

Part Time

2. Has your organization received funding directly from The Foundation within the last two years?

Yes

No

3. Organization type:

Non-Profit

Government

College/University

For Profit (Commercial)

Other (Identify)

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SECTION C: BUSINESS MANAGEMENT SYSTEMS

1. For U.S. Federal Financial Assistance, which Federal Cost Principles does your organization operate under?

2. Has your organization ever been audited under a Single Audit or Program Specific Audit?

Yes

No

If Yes: Latest FYE audit: (eg. 06/30/2020)

Name, phone and email address of person who can provide a copy of the Single Audit or URL from which the Foundation can download the Single Audit:

3. Is your organization likely to spend between \$750,000 and \$1,000,000 in U.S. Federal Assistance in its current fiscal year? Yes No or more than \$1,000,000? Yes

4. Does your organization have written Policies and Procedures to cover the following business management areas?

Personnel Policies and Procedures

Procurement Policies and Procedures

Property Policies and Procedures

Travel Policies and Procedures

5. Are time and activity distribution records (e.g. time sheets or effort reports) maintained for each employee, by project, to account for his or her total hours?

Yes

No

6. Are third party in-kind or matching funds supported with documentation?

Yes

No

7. Does your organization have a written budgetary process and controls to preclude incurring obligations in excess of the grant amount of individual cost categories?

Yes

No

8. Are purchase approval methods documented and communicated to your employees?

Yes

No

9. Are duties separated to ensure one individual (i.e., project or financial) is not controlling all aspects of a transaction/process?

Yes

No

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SECTION D: ACCOUNTING SYSTEM & FUNDS MANAGEMENT

1. Does your accounting system account for cost by individual projects?
Yes No
2. Which of the following best describes your organization's accounting system?
Manual Automated Combination
3. Does your organization undergo an annual financial statement audit?
Yes No
4. How frequently do you post to the general ledger?
Daily Weekly Monthly
5. Does your accounting system accurately and completely track receipt and disbursement of funds by each award and/or funding source? Yes No
6. Are F&A or indirect costs accumulated into cost pools for allocation to projects, contracts and awards?
Yes No
7. Are the following books of account maintained?
General Ledger
Cash Receipts Journal
Payroll Journal
Income (Sales) Journal
Purchase Journal
General Journal
8. Does your accounting system provide for the recording of actual expenditures for each award/contract by project and budget cost categories that are reflected in an approved budget? Yes No
9. List the type of documentation you can provide to support budgeting for indirect costs.
10. Are your financial staff and PI familiar with the requirements and procedures for determination of allowable costs in connection with U.S. Federal financial assistance? Yes No
11. In the preceeding fiscal year, did your organization receive 80 percent or more of your annual gross revenues from U.S. Federal procurement contracts (and subcontracts) and Federal financial assistance (and subawards) subject to the Transparency Act, as defined at 2 CFR 170.320?
Yes No
12. Does the public have access to information about the compensation of executives in your business or organization (the organization represented by the DUNS number on page 1) through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o (d)) or section 6104 of the Internal Revenue Code of 1986? Yes No

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13. Who in your organization has a working knowledge of the OMB Uniform Grants Guidance for Administrative Requirements, Cost Principles and Audit Requirements and 48 CFR 31.2?

Title:

Name:

Email:

Phone:

14. Who is responsible for confirming that your organization's PI is aware of the Uniform Grants Guidance and, if relevant, 48 CFR 31.2 for projects proposed and invoiced to The Foundation?

Title:

Name:

Email:

Phone:

15. Who should the Foundation contact regarding this form?

Title:

Name:

Email:

Phone:

Prepared by (Signature):
(click inside the text box above and insert a picture of your signature)

Date:

Printed name and title:

Email:

Phone: