

# 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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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: