

Pre-Award Risk Assessment Questionnaire

To comply with Minn. Statute 16B.981, our agency must collect and analyze certain information before we can execute a grant contract agreement. If your organization's application requests \$50,000 or more in grant funds, this form is required. Please answer the following questions and submit the required documentation. See attachments at the end for certifications indicated in Question #5. This must be submitted with your grant application.

The submission of inaccurate or misleading information may be grounds for disqualification from the grant contract agreement award and may subject an organization to suspension or debarment proceedings, as well as other remedies available to the State, by law.

Instructions: Complete the following questionnaire by placing an "X" in the "Yes" or "No" column. If you attach documentation as part of your response, note this by placing an "X" in the "Document Attached" column.

Grantee Name*: _____

Contact Name*: _____

Questions for all Grantees:

1. Please describe your organization's (a) services and (b) experience (such as skills, knowledge, available resources, processes, and leadership) with administering grants:

2. Describe how your organization will ensure that grant contract requirements are met based on services and experience.

3. Have you ever received a grant from the Department of Natural Resources before?

☐ Yes

☐ No

4. Have you ever received a grant from another state agency before?

☐ Yes

☐ No

5. Have any current principals of your organization been convicted of a felony financial crime in the last 10 years?

☐ Yes

☐ No

If Yes, please explain:

If No, complete **Exhibit A** at the end of this questionnaire to certify that no current principal of your organization has been convicted of a felony financial crime in the last 10 years **AND** insert or attach **an organizational chart or list for the principals** you are certifying in **Exhibit A**.

☐ Check here if org chart (with names) or list of principals is attached

6. Are any of your staff or board members current employees of the DNR?

☐ Yes

☐ No

7. Provide your organization's annual operating budget related to tree care below and attach an annual budget or expenditure report to support the amount provided. This should be as recent as possible and demonstrate the amount of funding you are spending on forestry related work within your community on an annual basis.

☐ Check here if annual budget or expenditure report is attached

8. Describe your organization's experience with this type of project.

- Has your organization previously done work in this specific program area? If this is a new area for your organization, what steps have you taken to build necessary capacity or expertise (e.g., partnerships, new hires, training)?

- Has your organization previously managed a grant of this size and scope? If not, what will be different about your approach or capacity for this award compared to prior grants?

9. Explain your internal controls system for tracking expenses, staff time, and contract relevant information.

Examples of internal controls include, but are not limited to: documented policies and procedures; segregation of duties such as having different staff who enter receivables versus those who post payments; using a payroll system; requiring usernames and passwords, along with appropriate levels of access to systems; supervisor review and approval of payments and timecards; and other internal controls to ensure compliance with laws and regulations to safeguard use of grant funds.

- What controls will your organization have in place to ensure expenses are direct and necessary and allocated to the correct project, activity, and account?

- Who at your organization is involved in implementing this project and those controls?

- How will you ensure that double billing does not occur and how will you correct a billing error if you submit an incorrect charge?

10. List any concerns your community has had regarding financial irregularities, fraud, waste, or abuse with grant performance.

11. Please list any grant or contract cancellations that you have had in the past 5 years. Note who the granting agency was, what the contract deliverables were, and why the contract was cancelled.

12. Choose your organization type, and then complete the appropriate section below:

- ☐ Local Unit of Government (no further questions)
- ☐ Nonprofit (proceed to question 13)

Questions for non-profit organizations:

13. Did you file a Form 990 or 990-EZ in the last fiscal year?

☐ Yes

☐ No

If Yes, **attach a copy of your most recently filed Form 990 or 990-EZ.** Skip to question 16.

If No, proceed to question 14.

14. If No to question 13, were you eligible for an exception to the filing requirement?

☐ Yes

☐ No

If Yes, **attach a copy of your IRS determination letter** and explain your exception:

If No, please explain why you didn't file:

15. If you did not file a 990 or 990-EZ in the last fiscal year, **attach the most recent set of board-reviewed (or managing group if applicable) financial statements.**

☐ Check here if financial statements are attached.

16. Did you have \$750,000 or more in revenue in the last fiscal year and were required to have an audit?

☐ Yes

☐ No

If Yes, **attach a copy of audited financial statements.**

☐ Check here if audited financial statements are attached.

17. Are you registered and in good standing with the Secretary of State?

☐ Yes

☐ No

EXHIBIT A: CERTIFICATION - NO CONVICTION OF FELONY FINANCIAL CRIME BY A PRINCIPAL

(All grantees must certify to this condition)

INSTRUCTIONS:

1. Read the statement below.
2. Sign with a wet signature or time and date stamped digital signature and type your position title.
3. Insert or attach an organizational chart or list of the principals that you are certifying.
4. Submit this document as part of your response to the pre-award risk assessment questionnaire.

16B.981 Subd. 2 (6) requires that no current principals of a grantee have been convicted of a felony financial crime in the last 10 years. A principal is defined as a public official, a board member, or staff (paid or volunteer) with the authority to access funds provided by this grant opportunity or to determine how those funds are used.

By signing here, I warrant that no current principal of my organization has been convicted of a felony financial crime in the last 10 years.

I certify that this information is true, correct, and reliable.

The submission of inaccurate or misleading information may be grounds for disqualification from the grant contract agreement award and may subject me/my organization to suspension or debarment proceedings, as well as other remedies available to the State, by law.

Signature _____ Date _____

Position Title _____