

**United States Institute of Peace**

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**Pre -Award Assessment**

USIP conducts a survey to assess whether a partner organization can manage the award and comply with its requirements and applicable regulations.

*Instructions*: A designated representative of a partner’s organization must complete and sign the following questionnaire and include necessary attachments, as required.

**PART I. General Information**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Organization Name: | |  | | | |
| Type of Organization: | | University  For Profit  Non-profit  Other \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | |
| Employer Identification Number:  *(US organizations only*) | | | | DUNS #:  (*If registered in SAM*) | |
| Address: | | | Telephone #: | | |
| Fax Number: | | |
| Website: | | |
| Authorized Representative: | Name: | | | | Telephone #: |
| Title: | | | | Email Address: |

**PART II. Internal Controls**

1. Identify the key personnel responsible for performing the following duties:

|  |  |  |  |
| --- | --- | --- | --- |
| **Responsibilities** | **Name** | **Position Title** | **Note** |
| Performing cash and bank reconciliation |  |  |  |
| Preparing financial reports |  |  |  |
| Signing checks\* |  |  |  |
| Approving expenses |  |  |  |
| Tracking and keeping financial documentation including invoices and receipts |  |  |  |
| Maintaining accounting records |  |  |  |

\**Note: Good internal controls suggest two signatures on checks.*

1. Does your organization’s financial controls segregate responsibilities so that no single individual has complete authority over an entire transaction?  Yes  No
2. Are personnel charges supported by timesheet reports and signed by employee and supervisor?

Yes  No. If not, can the partner maintain timesheet to fulfill USIP requirements?  Yes  No

1. Do you keep inventory records for equipment?  Yes  No. If yes, how often do you conduct physical inventory count? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
2. Are procurement records appropriately maintained relative to each type of procurement?  Yes  No

**PART III. Policies and Procedures**

1. Does your organization have written policies and procedures on the following?
2. Accounting and Financial  Yes  No
3. Procurment  Yes  No
4. Property Management  Yes  No
5. Human Resources  Yes  No
6. Code Conduct and Ethics  Yes  No
7. Travel  Yes  No

**PART IV. Financial Management System**

1. What basis of financial reporting does your organization use?  Cash basis  Accrual basis
2. As part of the financial management systems, does your organization maintain the following?
3. General Ledger  Yes  No
4. Chart of Accounts  Yes  No
5. Cash Receipt Journal  Yes  No
6. Cash Disbursement Journal  Yes  No
7. General Journal  Yes  No
8. Computerized Accounting System  Yes  No
9. Briefly describe your organization’s accounting system in the space provided below.
10. Does your accounting system produce the following financial reports?
11. Income statement  Yes  No
12. Balance Sheet  Yes  No
13. Accounts payable and receivable  Yes  No
14. List of fixed assets  Yes  No
15. Does your organization’s accounting system have the capacity to do the following:
16. Track receipts, payments and expenditures from various donor sources and project activities?  Yes  No
17. Summarize expenditures according to budget line items such as salaries, supplies, travel, etc.?  Yes  No

**PART V. Banking and Audits**

1. Does your organization have audits performed by either an independent audit firm or a Certified Public Accountant?  Yes  No. If yes,
2. provide the name and contact information of the audit firm or accountant.

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1. what type of audit was performed?  Financial  A-133/Single  Other \_\_\_\_\_\_\_\_\_
2. how often are audits performed?  Quarterly  Semi-annually  Annually  Other \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
3. Does your organization have a bank account registered under its name?  Yes  No

If not, how is cash kept safely? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**PART VI. Human Resources**

1. Does your organization have written job descriptions?  Yes  No
2. Do you issue an employment letter or contract which includes the employee’s salary, terms of contract, etc.?  Yes  No
3. Does your organization keep timesheets or other attendance records for each paid employee that tracks actual hours worked?  Yes  No
4. Has your organization implemented payroll system that regularly disperses salary to employees?  Yes  No

**PART VII. Attachments**

Attach the following documents to this questionnaire, as applicable.

Certificate of Incorporation and/or active license (Certificate of Good Standing)

Evidence for tax status

Copy of recent audited financial statement

If your organization does not have a recent audit, a “Balance sheet” and “Revenue and Expense” statement for prior fiscal year.

Written policies and procedures checked in PART III of this questionnaire

**Certification**

|  |  |
| --- | --- |
| I certify that the information included in and attached to this questionnaire is accurate and complete. I understand that false or intentionally misleading certification may result in actions up to termination of the resulting award. I further understand that USIP reserves the right to request further documentation and/or inspect the organization’s financial records and books, procedures, or other documents related to the resulting award and its administration. | |
| Name: | Title: |
| Signature: | Date: |