APPLICANT INFORMATION AND PRE-AWARD ASSESSMENT

RFP# WIOA-YOUNG ADULT – 2-1-2021

Applicant/Organization Name: _____

Address: _____

Contact Person: _____

Phone: _____ **Email:** _____

Federal Employer Identification Number (FEIN): _____

Data Universal Numbering System (DUNS) Number (if applicable): _____

TYPE & PURPOSE OF ORGANIZATION

Individual/Sole Proprietor   **Corporation**   **Partnership**

Limited Liability Company   **Non-Profit**   **Government**

Purpose of Organization: _____

MANAGEMENT SYSTEMS

1. **Has your organization/entity had changes to key staff or positions in the past 12 months?**

Executive Management	Yes	No	Program/Operations	Yes	No
Financial	Yes	No	Other	Yes	No

   If yes, please explain:

2. **Does your organization/entity have experience managing contracts, grant funds, loans, or other types of financial assistance?**

Federal	Yes	No
State	Yes	No
Local/Foundation	Yes	No
Other	Yes	No

AUDIT REPORTS & FINDINGS

1. **Did your organization/entity expend $750,000 or more in federal grant funds in the past 24 months?**   Yes   No

2. **Does your organization/entity anticipate expending $750,000 or more in federal grant funds in the next 12 months?**   Yes   No

3. **Has your organization/entity had an audit in the last 24 months?**   Yes   No

   If yes, what type of audit? _____

   Please list any audit findings received from an external entity within the last 24 months:

PLEASE INCLUDE A COPY OF YOUR MOST RECENT AUDIT REPORT WITH YOUR PROPOSAL PACKAGE, IF AVAILABLE. IF AN AUDIT REPORT IS NOT AVAILABLE, PLEASE INSTEAD INCLUDE YOUR MOST RECENT FINANCIAL STATEMENTS.

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4. **Has your organization been monitored by a funding organization other than WorkForce Central (if applicable) in the last 24 months?**   Yes   No

   If yes, please list issues or findings identified during monitoring or reviews:

ACCOUNTING SYSTEM & FINANCIAL STABILITY

1. **Which of the following best describes your organization's/entity's accounting system?**

   Manual   Automated   Combination

2. **Does your organization's/entity's accounting system identify the receipt and expenditure of funds separately for each contract or grant?**   Yes   No

3. **Does your organization's/entity's accounting system provide for the recording of expenditures for each contract or grant by the component project and budget cost categories shown in approved budgets?**   Yes   No

4. **Does your organization/entity maintain a central filing system for grants, loans, or other types of financial assistance?**   Yes   No

5. **Does the accounting system provide for the segregation of direct and indirect expenses?**

   Yes   No

6. **Does the organization/entity have an approved indirect cost rate or cost allocation plan?**

   Yes   No

   If yes, what is the rate and who approved it? (Federal Cognizant Agency or Pass-through Entity?)

   What are the effective dates?

7. **Does your organization's/entity's accounting system include budgetary controls to preclude incurring obligations in excess of:**

   Total funds available for the contract or grant?   Yes   No

   Total funds available for a budget cost category?   Yes   No

8. **Does your organization/entity have an internal control structure that would provide reasonable assurance that the contract or grant funds, assets, and systems are safeguarded?**

   Yes   No

9. **Does your organization/entity have a system for tracking employee time and effort distributions specifically by cost objective/activity?**   Yes   No

10. **Is there any legal matter or an ongoing financial concern that may impact your organization's /entity's ability to manage and administer the contract?**   Yes   No

    If yes, please explain:

PERFORMANCE HISTORY

1. **Has your organization/entity been awarded other contracts, grants, loans, or other types of financial assistance in the past 12 months?**   Yes ____   No ____

   If yes, from what entity(s) did you receive the funding, how much was the grant, and what services did you implement as a result of the awarded funds?

Awarding Entity	Amount	Services Funded

2. **Were you successful in achieving the performance targets associated with these funding opportunities? Please select from the following:**

   Failed to meet performance targets

   Partial success meeting performance targets

   Met all performance targets

   Exceeded one or more performance targets

   Comments: