

Dave Farley's

PRE-AWARD RISK ASSESSMENT

**Online Training
February 1, 2018**

(Slides at thegrantdoctors.com)

Financial stability

- **Application response:**
 - **Organization's history of financial solvency**
 - **Fund development efforts**
 - **Board's involvement with fundraising**
 - **Organization's funding mix**
 - **Program sustainability success**
- **Documentation examples:**
 - **Financial statements**
 - **Annual reports**
 - **Annual audits**
 - **Service contracts**

Quality of management systems

- **Application response:**
 - **Current policies, procedures, controls and how they're aligned with Uniform Guidance standards**
 - **Organizational leadership, program management and finance staff experience**
- **Documentation examples:**
 - **Organizational and grant management policies and procedures**
 - **Key staff resumes**

History of performance

- **Application response:**
 - **Past federal grant experience**
 - **Past state, local and private grant experience**
 - **Grant management experience**
 - **Results of federal monitoring visits (if applicable)**
 - **Track record of spending federal funds**
 - **Outcomes of past federal grants (or non-federal grants)**
 - **Timely submission of closeout reports**
- **Documentation examples:**
 - **Past Annual Performance Reports (APRs)**
 - **Program evaluation reports**
 - **Monitoring visit reports**
 - **Closeout reports**

Reports and findings from audits

- **Application response:**
 - **Results of annual audits**
- **Documentation examples:**
 - **Most recent independent audit**

Ability to implement

- **Application response:**
 - **Restate portions from Management Systems and History of Performance sections**
- **Documentation examples:**
 - **Organizational and grant management policies and procedures manuals**
 - **Key staff resumes**
 - **Past Annual Performance Reports (APRs)**
 - **Monitoring visit reports**
 - **Closeout reports**
 - **Program evaluation reports**

Conditions for high-risk grantees

- **Reimbursement instead of advance payments**
- **Withholding authority to proceed to next phase of a project until proof of performance is given**
- **Additional or more detailed financial reports**
- **Additional project monitoring**
- **Required technical or management assistance**
- **Additional prior approval requirements**

“Please clap.”

Acknowledgment

- **Many thanks to @tom_peters for the influence he unknowingly contributed to these slides:**
 - **Bold colors**
 - **BIG fonts**
 - **Lack of uniformity.**
- **Same = boring. That's why we adopted his style.**

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