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| **General Information** |  |
| 1. Does your organization have its financial statements reviewed by an independent public accounting firm? ***(Provide a link to your Website or enclose a copy of the most recent financial statements for your organization, audited or unaudited.)***
 | □ Yes □ No |
| 1. Are duties separated so that no one individual has complete authority over an entire financial transaction?
 | □ Yes □ No |
| 1. Does your organization have controls to prevent expenditure of funds in excess of approved, budgeted amounts?

***If yes, how long have they been in place?* □ *< 3 years* □ *> 3 years*** | □ Yes □ No |
| 1. Other than financial statements, has any aspect of your organization’s activities been audited within the last 2 years by a governmental agency or independent public accountant?

***(Provide a copy of any recent external audit report.)******If yes, explain:*** | □ Yes □ No |
| **Cash Management** |  |
| 1. Are all disbursements properly documented with evidence of receipt of goods or performance of services?
 | □ Yes □ No |
| 1. Are all bank accounts reconciled monthly?
 | □ Yes □ No |
| **Payroll** |  |
| 1. Do you have written policy that addresses pay rates, benefits, time and attendance, and leave?
 | □ Yes □ No |
| 1. Are payroll charges checked against program budgets?
 | □ Yes □ No |
| 1. Does your organization use a system to control paid time, especially time charged to sponsored agreements? ***If yes, what system and provide a brief explanation:***
 | □ Yes □ No |
| **Procurement of Goods and Services** |  |
| 1. Are written procedures to ensure procurement of goods and services at competitive prices? ***If yes, attach written procedures or provide a link to the website:***
 | □ Yes □ No |
| 1. Is there a system of authorization and approval of capital equipment? ***If yes, explain:***
 | □ Yes □ No |
| 1. Is there a system of authorization and approval of travel? ***If yes, explain:***
 | □ Yes □ No |

**Exhibit 1**

**New Mexico Institute of Mining and Technology**

**Subrecipient Pre-Award Status Questionnaire For: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

 **Organization/Company Name**

***Instructions***: This form is to be completed by an authorized business official of organizations that may be entering into a Subrecipient relationship with NMIMT. Return your response (including required attachments at the end of this form) by either E-mail or fax to the NMIMT Principal Investigator or his/her designee.

**Signature of Person Completing this form: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Name & Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Phone & Email: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

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| **Property Management** |  |
| 1. Are detailed records of individual capital assets kept and annually balanced with the general ledger accounts?
 | □ Yes □ No |
| 1. Are there procedures for authorizing and accounting for the disposal of property and equipment?
 | □ Yes □ No |
| 1. Are detailed property records checked by physical inventory at least annually?
 | □ Yes □ No |
| 1. Does your organization have a policy concerning capitalization and depreciation?

***If yes, provide a copy of policy or link to the website:*** | □ Yes □ No |
| **Cost Transfers** |  |
| 1. Does the organization ensure that all cost transfers are legitimate and appropriate?

***If yes, explain:*** | □ Yes □ No |
| **Indirect Costs** |  |
| 1. Does the organization have an indirect cost allocation plan or a negotiated indirect cost rate? ***If yes, provide a copy of any negotiated indirect cost rate agreement or link to the website***:
 | □ Yes □ No |
| **Cost Sharing** |  |
| 1. How does the organization determine that it has met cost sharing goals? ***Explain***:
 | □ Yes □ No |
| **Compliance** |  |
| 1. Does your organization have a written policy of nondiscrimination and a system for complying with Federal civil rights requirements?
 | □ Yes □ No |
| 1. Does your organization have a written policy that addresses conflict of interest?
 | □ Yes □ No |
| 1. Does the organization have procedures that provide assurance that consistent treatment is applied in the distribution of costs to all grants, contracts and cooperative agreements? ***If yes, explain***:
 | □ Yes □ No |
| 1. Does your organization have a system for subrecipient monitoring? ***If yes, explain***:
 | □ Yes □ No |
| 1. Does your organization have a cash forecasting process which will minimize the time elapsed between the disbursement of funds and the requesting of funds?
 | □ Yes □ No |
| 1. Has your organization received grants, contracts or cooperative agreements from NMIMT?

***If yes, list on a separate page awards of similar scope and nature within the past 5 years (include award title, amount, project period, and NMIMT Principal Investigator).*** | □ Yes □ No |
| **Attachments (Unless Website has been provided above)** |  |
| 1. Report of Financial Statements, Audited or Unaudited
 | □ Yes □ No |
| 1. External Review or Audited Report of Recent Financial Statements
 | □ Yes □ No |
| 1. Indirect Cost Rate Agreement
 | □ Yes □ No |
| 1. List of Awards from NMIMT
 | □ Yes □ No |