



Pre-Award Questionnaire and List of Required Documents for OCED Fixed Amount Awards

PART I - Pre-Award Questionnaire

Purpose

Recipients of Office of Clean Energy Demonstrations (OCED) fixed amount awards must use awarded funds prudently and in compliance with Federal statutes, regulations, and award terms and conditions. Although this is not a cost-reimbursable award, the Federal financial assistance regulations are still generally applicable. Your organization must establish policies and written procedures for managing a Federal fixed amount award. These policies and written procedures should:

- Establish and maintain effective internal control over all Federal funds, property and other assets.
- Provide adequate evaluation and monitoring of your organization's compliance with all applicable regulations and award terms and conditions in accordance with [2 CFR § 200.303](#).
- Establish procedures for your organization to minimize the time between the transfer of funds from the United States Treasury or the pass-through entity and their use for program purposes, in accordance with [2 CFR § 200.305\(b\)](#).
- Be consistent with State, local, and tribal laws and regulations and the Federal procurement standards, for the acquisition of property or services required under a Federal award or subaward in accordance with [2 CFR Part 200 Subpart D - Procurement Standards](#). OCED published guidance on the Federal procurement standards to help selectees manage their OCED Award. Please see the guidance on Federal procurement standards available on [OCED's General Negotiations Guidance](#) page.
- Ensure that disclosure of financial results is accurate, current and complete for each Federal award or program in accordance with the reporting requirements in [2 CFR §§ 200.328-200.329](#).
- Document how the organization will certify in writing to OCED at the end of the Federal award that the project or activity was completed or the level of effort was expended in accordance with [2 CFR § 200.201\(b\)\(4\)](#).

This template is provided as a convenient method of gathering information from proposed recipient organizations that is required to continue the review process for potential OCED financial assistance awards. The use of the template is not required, but the data elements within the template are required to be provided to OCED.

Section A: General

Legal Name of Organization: _____

Street Address: _____

City: _____ State: _____ Zip Code: _____

Representative Name: _____ Phone: _____

Title: _____ Email: _____

Month/Year Established: _____ Unique Entity Identifier: _____ Number Of Employees: _____

Brief description of organization's services or product:

Type of Organization (select all that apply):

State/Local Government or Agency

Educational Institution

Consortia

Indian or Tribal Government

Non-Profit

Unincorporated Consortia

Hospital/Health Care Facility

For-Profit (Commercial)

If you are an educational institution, please list your accrediting body: _____

Section B: Audit History Reference(s): 2 CFR Part 200 or 2 CFR Part 910, Subpart F

1. Did your organization expend more than \$1,000,000 in Federal grant funds within the last fiscal year?

Yes No

2. If yes, was a Single Audit or Compliance Audit performed in accordance with 2 CFR Part 200 or 2 CFR Part 910?

a. Yes No

b. Audit Date (MM/YYYY): _____ c. Name of Auditing Firm: _____

d. Were any of the following identified?

Material weaknesses	Yes	No
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Non-compliance issues	Yes	No
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Significant deficiencies	Yes	No
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Findings and questioned costs under Federal programs	Yes	No
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If so, please explain (additional space for response is provided in Section D, if needed):

Section C: Financial Statements Reference(s): 2 CFR § 200.510

1. Does your organization maintain audited financial statements?

Yes No

2. If yes, when was the last financial statement audit conducted?

a. Fiscal Year Ending Date: _____

b. Audit Date (MM/YYYY): _____

c. Name of Auditing Firm: _____

d. Audit Opinion: _____

i. Did the audit opinion state that financial statements presented fairly, in all material respects, the financial position of the organization?

Yes No

ii. If no, please explain (additional space for response is provided in Section D, if needed):

Yes No

3. If audited financial statements are not maintained, are unaudited (compiled) financial statements prepared in accordance with Generally Accepted Accounting Principles (GAAP)?

Yes No

Section D: Additional Information

Use this space for any additional information (please indicate section if a continuation of a response). Additional sheets may be attached if necessary.

Section E: Applicant Certification

I certify that the statements I have made on this form and all attachments thereto are true, accurate and complete to the best of my knowledge. I understand that the willful provision of false information or concealing a material fact in this representation is a criminal offense under Title 18 U.S.C. Section 1001, False Statements, as well as Title 18 U.S.C. Section 287, False Claims, and may be punishable by fine and/or imprisonment under applicable law.

Prepared by

Name, please print: _____

Title: _____

Signature: _____

Date: _____

PART II - Pre-Award List of Required Documents

Purpose

This is a list of required documents you must submit to OCED. File naming and submission instructions are included below. OCED will review your submitted portfolio of documents to assess your organization's policies and procedures for the management of Federal funds.

Acceptance of a Federal award creates a legal duty on the part of the recipient to use Federal funds prudently and in compliance with Federal statutes, regulations, and the terms and conditions of the award. Recipients are required to have financial management and accounting systems that meet the requirements of [2 CFR §200, Subpart D](#) – Post Award Federal Requirements – Standards for Financial Management and Internal Controls.

All documents listed below are required unless not applicable to your organization. Provide a brief explanation for any item that is not applicable. For certain items listed below, OCED provides a general description. The description is intended to clarify the request and its applicability. It is not a delineation of Federal requirements.

Check boxes are meant to assist your organization in assembling the correct portfolio of documents. This document does not need to be included in the submission.

THE DOCUMENTS LISTED BELOW SHOULD BE SUBMITTED VIA BOX. THERE ARE INSTRUCTIONS ON HOW TO UPLOAD DOCUMENTS TO BOX IN YOUR SELECTION LETTER.

1 Financial Statements:

Provide a copy of your organization's two most recent financial statement audit reports.

..... **OR**

If your organization does not maintain audited financial statements, provide a copy of the two most recent fiscal year unaudited financial statements. In addition, provide the tax returns for the two most recent tax years.

Our organization provided the following:

Financial statement audit reports for the two most recently completed audited fiscal years, **or**
The naming convention for each file should be: "1. Audit Report - FYXX". Label each fiscal year accordingly.

Unaudited financial statements for the two most recently completed fiscal years and the corresponding tax returns.
*The naming convention for each unaudited financial statement file should be: "1. Unaudited Financials - FYXX".
The naming convention for each tax return file should be: "1a. Tax Return - FYXX". Label each fiscal year accordingly.*

2 Single Audit or Independent Compliance Audit:

Provide a copy of your organization's most recently issued Single Audit Report for an audit conducted in accordance with federal regulations [2 CFR §200 Subpart F](#).

..... **OR**

Provide a copy of your organization's most recently issued Compliance Audit Report.

..... **OR**

If your organization has never received a Single Audit or a Compliance Audit per federal regulations, this is not applicable to your organization.

Our organization provided the following:

Our most recently issued Single Audit Report, [or](#)
The naming convention for the file provided should be "2. Single Audit - FYXX".

Our most recently issued Compliance Audit Report, [or](#)
The naming convention for the file provided should be "2. Compliance Audit - FYXX".

Our organization has not had a Single Audit or a Compliance Audit.

3 Current or Recent Federal Awards:

Provide a listing of your organization's current Federal awards (grants, contracts, and cooperative agreements), if your organization has current Federal funding. The list must include the name of the agency, award number, amount, and title of the project.

..... **OR**

If your organization does not have current Federal funding, but has managed Federal funds in the past, provide a listing of your organization's prior Federal awards (grants, contracts, and cooperative agreements). The list must include the name of the agency, award number, amount, and title of the project.

..... **OR**

If your organization has never received Federal funding, this is not applicable to your organization.

Our organization provided the following:

Our organization has active Federal awards; we are providing a listing of our current Federal awards, [or](#)
The naming convention for the file provided should be "5. Current Federal Awards".

Our organization has no active Federal awards; we are providing a list of previously held Federal awards, [or](#)
The naming convention for the file provided should be "5. Prior Federal Awards".

Our organization has never received Federal funding, and this is not applicable to our organization.

4 Procurement:

A recipient organization must have and use documented procurement procedures, consistent with state, local, and tribal laws and regulations for the acquisition of property or services required under a Federal award or subaward. An adequate policy should ensure your organization has documented procedures that meet the standards of [2 CFR §200 Subpart D Procurement Standards](#).

Which of the following options most accurately describes your organization's procurement system?:

- We have formal written procurement policies and procedures and follow them consistently, or
- We have procurement procedures and follow them consistently, but they are not formally documented in a manual, or
- We do not have procurement policies or procedures in place and need assistance.

**Note: No documents are requested as part of this item.*