Organizational Control Environment Questionnaire

For Grants to Non-US Organizations
with Simplified and / or Fixed Amount Awards anticipated to be under
$150,000

RTI International uses this questionnaire to verify applicant has the capacity or potential capacity to adequately perform in accordance with the principles established by the US Government and other donors to ensure that its accounting, record keeping and overall financial management systems meet applicable standards and to determine if the applicant’s system of internal controls is reasonable in the applicable cost principles.

Legal name of applicant organization: ________________________________

Name and title of individual completing this questionnaire: ________________________________

Signature of Individual Completing: ________________________________

DUNS Number ________________________________

A. General Information

1. Type of Organization: (Check either NGO or HG)

☐ Nongovernmental (NGO)
☐ Governmental (or host government [HG] institution)*

*An HG institution or a subdivision of it is an organization that functions as a governing body and in which the host government owns at least a 50 percent share or receives at least 50 percent of its financial support from the host government. Examples of HG entities are ministries, or local or state governments or agencies.

(Check one below)

☐ Non-Profit
☐ Educational
☐ For-Profit
☐ Other ________________________________

2. Is your organization incorporated or legally registered?

☐ Yes
☐ No

3. City and country of incorporation or legal registration: ________________________________

4. Date of incorporation or legal registration: ________________________________
5. Is your organization required to pay taxes on revenue/income, or is it exempt from such taxes?

☐ Required to pay taxes on revenue/income
☐ Exempt from taxes on revenue/income

6. Please list the number of employees of your organization:

_____ Full-time employees
_____ Part-time employees or Volunteers

7. Has your organization received funding from any agency of the U.S. Government (e.g. USAID, CDC, OFDA) in the last 3 years?

☐ Yes
☐ No

If yes, please identify the source and specify the amount(s) received from each source, by year below:

_______________________________________________
_______________________________________________
_______________________________________________

8. What is your organization’s fiscal year?

_______________________________________________

9. Do you anticipate expending $750,000 or more in funds received directly or indirectly from the U.S. Agency for International Development during your fiscal year?

☐ Yes
☐ No

B. Indirect/Overhead Rates

1. Does your organization have a Negotiated Indirect Rate Agreement (NICRA) with the U.S. Government?

☐ Yes
☐ No

If YES, please attach a copy to this Questionnaire and go to the next section.

v. October 2018
If NO, does your organization plan to recover administrative costs or overheads (rent, utilities, phone costs etc.) charge an indirect or overhead rate to the budget of the grant agreement?

☐ Yes
☐ No

If YES, please describe how your organization recovers administrative or overheads costs.

2. Has the indirect rate been audited?

☐ Yes
☐ No

If YES, please provide a copy of an audit report with the audited indirect rate and an explanation of the indirect rate costs.

3. Is the indirect rate charged equally to all funders of your organization?

☐ Yes
☐ No

If NO, Please explain.

C. Financial Management

1. Is your accounting system [ ] manual or [ ] automated? If automated, what accounting software program are you using? Specify.

2. Do you have documented policies and procedures for processing financial transactions in accordance with laws, regulations, or management policy? If you answer yes, you also agree to make these documents available for inspection.

☐ Yes
☐ No
3. Is your accounting system capable of accurate, current, and complete reporting of the utilization of grant funds for all types of costs (including but not limited to labor, travel, materials, and equipment)?

☐ Yes
☐ No

4. Do you use a documented chart of accounts containing a description of each account and are journal entries prepared, reviewed, compared with supporting details where necessary, and approved each accounting period?

☐ Yes
☐ No

5. Is your accounting system capable of tracking and documenting separately the utilization (see above) of grant funds by source?

☐ Yes
☐ No

6. Are the liquid assets (cash) of your organization kept in an interest-bearing bank account?

☐ Yes
☐ No

7. What is the name of your organization’s bank?  ________________________________

**D. Personnel:**

1. Does your organization utilize an electronic timesheets system in accordance with United States Government regulations?

☐ Yes
☐ No

2. Does your organization have a timekeeping policy requiring employees to submit timesheets at least once a month?

☐ Yes
☐ No

If the answers to the prior questions have been negative, please explain how do you record the hours worked for the assign project/activity?
E. Procurement and Property Management System

1. Does your organization have a documented procurement procedures or policy?
   - Yes
   - No

2. Do you always solicit quotations from vendors before making a purchase over the local currency equivalent of $3,000?
   - Yes
   - No

3. Do you have a property management manual?
   - Yes
   - No