Organizational Risk Self-Assessment

DBH assesses the risk of applicants and grantees. This Organizational Risk Self-Assessment tool will assist in this process. This form is to be completed by the Executive Director, Board Chairperson or a delegate knowledgeable of the organization's current and past capabilities, performance and risks.

A final risk assessment by DBH will assign a rating (high, medium or low risk) in order to develop a risk-based monitoring plan for your grant(s).

Please answer the questions as best as you can. Do not leave blanks. Any "NA" (Not Applicable) response will require an explanation on this form.

Submission Type:	☐ New Application	☐ Grantee Update

Date of Completion:

Applicant Organization

Legal Name	Other Organization Name / "DBA"

EIN	UEI

Type of Organization	
Choose an item:	**If other:**

Organization Head/Authorized Representative:

Name	Title	Email	Telephone

Person Completing this Self-Assessment

Name	Title	Email	Telephone

Internal Controls	Yes	No	NA
The organization maintains an active Board of Directors as the governing body and to whom administrative, operations and program managers are responsible for reporting.	☐	☐	☐
The roles of the Board and Executive Director (Agency Head) are appropriately differentiated.	☐	☐	☐
The Board sets expectations and qualifications of the Executive Director which are clear and written.	☐	☐	☐
The organization's operating chart is up-to-date and aligns with the employee roster, their program or service location, function and supervision.	☐	☐	☐
Written policies and standard operating procedures active (up-to-date) for the following areas:	☐	☐	☐
▪ Human Resources/Personnel Management/Employee Assistance	☐	☐	☐
▪ Personnel Time and Effort Certification	☐	☐	☐
▪ Sub/contractor Acquisition	☐	☐	☐
▪ Cyber security and/or IT policy	☐	☐	☐
▪ Sexual Harassment and Human Trafficking	☐	☐	☐
▪ Language Access	☐	☐	☐
***Explanation: (NA)**			

Cash Management	Yes	No	NA*
The organization follows accounting practices with conform to generally-accepted standards and follows funder-specified accounting rules.	☐	☐	☐
The organization's accounting system has the capacity to segregate grant funds from other funding sources.	☐	☐	☐
Financial systems for the organization or major service unit have had technical problems negatively impacting efficiency, accuracy of data and time management.	☐	☐	☐
Organization has never received grant funding from any District of Columbia government agency.	☐	☐	☐
25% or more of DBH funds issued to the organization were returned unspent during the prior year funding.	☐	☐	☐
25% of more of any non-DBH funds issued to the organization were returned unspent during the prior year funding.	☐	☐	☐
Was the organization severely delinquent (3 or more times) in submitting scheduled invoices or payment reimbursement requests?	☐	☐	☐
***Explanation: (NA)**			

Audit Results	Yes	No	NA*
An independent audit or review of the organization's financial condition has been conducted annually for the past three years.	☐	☐	☐
A single annual audit report, required for an entity receiving $1M or more of federal funding in its prior fiscal year was uploaded to the Federal Audit Clearinghouse on time for the prior year audit.	☐	☐	☐
If applicable, the organization had no findings on the single annual audit in its prior fiscal year.	☐	☐	☐
The organization had one or more findings on the single annual audit in its prior fiscal year.	☐	☐	☐
The organization has an open corrective action plan for any prior years' finding.	☐	☐	☐
The most recent financial statements report that the organization has a positive net worth (fund balance or net assets).	☐	☐	☐
Has the organization experienced any significant cash flow problems in the past two years?	☐	☐	☐
Does the organization have cash reserves equal to three months operating expenses?	☐	☐	☐
***Explanation:**			

Performance Management	Yes	No	NA*
Received an assessment in the past 1 to 2 years from a DBH-funded grant of poor, non-compliant or not progressing	☐	☐	☐
Met all targeted objectives and deliverables of a DBH-funded grant program in the past 1 to 2 years	☐	☐	☐
Received an assessment in the past 1 to 2 years from a non-DBH grant of poor, non-compliant or not progressing	☐	☐	☐
Met all targeted objectives and deliverables of a non-DBH-funded grant program in the past 1 to 2 years	☐	☐	☐
In the past year, for any DBH or DC Government grant, have you requested a no-cost or cost-extension due to an incomplete project?	☐	☐	☐
***Explanation:**			

Mandatory Disclosures	Yes	No	NA*
As required by 2 CFR part 200.113 of the Uniform Guidance, DBH must require a non-federal entity or an applicant for a federal award to disclose in a timely manner, whenever, in connection with the Federal award (including any activities or subawards thereunder), credible evidence of the commission of a violation of Federal criminal law involving fraud, conflict of interest, bribery, or gratuity violations found in Title 18 of the United States Code or violation of the civil False Claims Act (31 U.S.C. 3729-3733). The disclosure must be made in writing to the Department of Health and Human Services, the D.C. Office of the Inspector General, and DBH.			
Do you have any disclosures violating Federal criminal law involving fraud, conflict of interest, bribery, or gratuity violation found in Title 18 of the United States Code or violation of the civil False Claims Act (31 U.S.C. 3729-3733).	☐	☐	☐
***Explanation:**			

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Signature, Authorized Representative