



**This Form is mandatory. Failure to respond to all questions will deem this grant application incomplete and the applicant will be disqualified. If information is cut off in electronic format, use additional pages.**

## **ADMINISTRATIVE COMPLIANCE**

---

The Commission uses the information on this form to understand the applicant agency's internal policies and method of conducting business.

1. List all sources of agency funds.
  
  
  
  
  
  
  
  
  
  
2. List all sources of third-party funding.
  
  
  
  
  
  
  
  
  
  
3. Does the project's budget include documentation of 20% operational costs from sources other than the Commission?  
  
 YES  NO

If project income IS NOT maintained in a separate account, enter plans and timetable for doing so. If project income IS maintained in a separate account, describe how project income is identified or allocated to the project.

What actions will be taken if actual income is less than anticipated? (Explain where funds will be sought to replace deficit or which expenditures will be cut should no replacement funds be available.)

If actual income is greater than anticipated, it is desired to:

- Re-budget additional funds to expand the project.
- Return the funds to the Commission within 30 days of the end of the project period.
- Other (explain)

4. Describe the check or warrant processing system when paying employee salaries, employee travel reimbursement, vendors or contractors, to include: the titles of agency personnel involved in the process, the role of the project director and the forms used. These forms will become source documentation for accounting records.

5. Are controls used to assure that expenditures of project funds do not exceed budgeted line-item amounts?  
 YES  NO (If YES, please explain the system. If NO controls exist, explain controls to be implemented and include timetables.)

6. Is a separate project account maintained to identify expenditures of project funds (consisting of grant funds and project income)?  YES  NO

Please explain project accounting system. If a separate accountability of project expenditures is not maintained, enter plans to change present system in order to provide separate accountability and include timetables. Include explanation of accounting for in-kind applicant support.

Does the present accounting system provide current and accurate fiscal information to assure that expenditure reports will be submitted when due?  YES  NO

If the answer is "No," please explain changes to be made in the system to comply and include timetables.

Does the present accounting system provide for the project to return to the Commission on Minority Health the balance of unspent, unobligated grant funds and project income?  YES  NO

If the answer is "No," please explain changes to be made to the system to comply and include timetables.

7. Project expenditures are reported on (check one):  a cash basis  an accrual basis  a modified accrual basis.

If a modified accrual system is used, please explain system.

If an accrual or modified accrual system is used, please explain agency's system for encumbering or obligating funds. (Describe forms used, flow of paper, and authorizing authorities.)

8. Are time/activity records maintained for project personnel to account for time spent on the project?  YES  NO

If not, describe how personnel costs are allocated to the project. (Include controls to avoid charges to various Federal and State projects.)

9. Are fringe benefits for this project the same as those for other agency employees?  YES  NO (If NO, please explain.)

10. Are there any agency non-personnel costs that are shared by project and non-project activities?  YES  NO

If yes, list them and explain how they are allocated to the project. If no, go to **Question #11**.

11. (A) Does the agency have an in-house billing system when providing goods and services to the project?  
 YES  NO

If yes, explain the intra-agency billing system detailing titles of individuals involved and forms used. If no, go to **Question #12**.

(B) Does an appointed project representative periodically review charges set by central stores to assure that charges to the project do not exceed cost of goods plus a reasonable amount to cover the costs of maintaining and operating a central stores organization?  YES  NO

If yes, please explain the review procedures, review frequency and documentation of such reviews that will be made available to the Ohio Commission on Minority Health. If the answer is no, please explain changes to be made to the system for compliance and include timetables.

12. Does the project incur travel costs?  YES  NO

If yes, describe the procedure used to determine the project travel costs incurred when using agency vehicles (include most recent costs when available) and briefly describe the project accounting system for such expenses (include a description of forms or form numbers used). If no, go to **Question #13**.

If a rate has been established for reimbursing employees when using their own vehicles, is the rate the same as that allowed for other agency employees?  YES  NO

If per diem is paid to employees on travel status, enter the agency's per diem policy. Include amounts authorized for lodging, subsistence and related travel items, and describe the accounting system and forms used for expenditures. **(NOTE: The rates and amounts listed for travel and per diem cannot exceed those allowed by the agency for non-grant activities. Any rates or amounts in excess of the amount authorized by the State for Commission employees will not be approved from grant funds.)**

13. Are project funds budgeted for equipment, supplies and contracts?  YES  NO (If No, please go to **Question #14**)

If yes, please explain agency's procurement policies and procedures for equipment, supplies, and contractual goods and services. Detail provisions that: assure free competition among suppliers; prevent agency officers or personnel having a personal interest in the selection from influencing the procurement; encourages procurement from minority-owned and/or operated organizations; and that assures compliance with the Copeland "Anti-Kick-Back Act" (1B USC as supplemented in the Department of Labor Regulations 41 CFR Part 60).

14. Is the project entering into any contracts for the procurement of goods and services?  YES  NO (If No, go to **Question #15**).

If YES, do contracts meet the following conditions?

- a. Definition of a sound and complete agreement  YES  NO
- b. Administrative remedies for violations  YES  NO
- c. Termination provisions  YES  NO

15. Agencies who apply for funding at \$25,000 or above are required to have had a fiscal audit by a certified public accountant.

- a. Has the agency had a fiscal audit?  YES  NO  
If yes, please attach one (1) copy of the most recent audit with the original of this application.  
Audit management letter date: \_\_\_\_\_ (Month Day, Year)

b. Is an audit of the agency anticipated during the coming year?  YES  NO

If yes, what individual(s) or organization is scheduled to perform the audit and what is the approximate date of completion?

16. If the applicant is a non-governmental agency, does it carry adequate fidelity bond coverage as indemnification against losses resulting from the fraud or lack of integrity, honesty or fidelity of one or more employees, officers, or other persons holding a position of trust?  YES  NO

If yes, attach a copy of the bonding agreement. If no, explain actions that will be taken to comply.