

PART 1.

Programmatic and Financial Management Capacity

Programmatic and Financial Management Capacity addresses the applicant's ability to successfully administer the ESG program.

All applicants are to complete PART 1 by answering applicable questions below.

Applicant Name	
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PROGRAMMATIC MANAGEMENT CAPACITY

The following questions will assess the applicant's ability to organizationally manage the ESG program effectively.

1. Please list the name, title and years of grant management experience of those individuals who will be working directly with the ESG program.

2. Is there an up-to-date organizational chart that defines the areas of responsibility for those involved/to be involved with the administration of the ESG program including position description and the line of reporting? **(If yes, please attach to the completed application submission.)**

YES NO

3. Please list other grant funding sources administered by the applicant's agency in addition to ESG and include program details. *(Such as CoC, CSBG, CDBG, DHHR, DV, SSVF, permanent supportive housing, recovery, etc.)*

Organizational Experience

4. How many years of experience does your organization have managing any type of grant funds? _____

5. How many years of experience does your organization have managing **Federal** grant funds either as a subrecipient or recipient? _____

6. How many years of experience does your organization have managing grant funds administered by WV Community Advancement and Development? _____

7. How many years has your organization operated the ESG program? _____

8. How many years has your ESG program manager been in the position? _____

9. How many years has your most tenured ESG case manager worked in the ESG program? _____

10. How many years has your organization operated the following ESG funded programs?
Street Outreach: _____
Emergency Shelter: _____
Rapid Re-housing: _____
Homelessness Prevention: _____
HMIS/DV Comparable Database: _____

Internal Control Environment

11. Does your organization have the following written policies?

• Conflict of Interest:	YES	NO
• Whistleblower:	YES	NO
• Code of Ethics/Integrity:	YES	NO

12. Is your organization's Board of Directors (or equivalent) involved in the following review and/or evaluation of:

• Executive director (or equivalent)?	YES	NO
• Management compensation?	YES	NO
• Periodic financial statements?	YES	NO
• Periodic programmatic accomplishments?	YES	NO

Risk Assessment and Monitoring

13. Does your organization have a formal or informal process to identify external risks?
YES NO (If yes, please explain.)

14. Does your organization have a formal or informal process to identify internal risks?
YES NO (If yes, please explain.)

15. Does your organization have a formal or informal process for identifying potential areas of noncompliance with grant agreements, program guidance and applicable Federal regulations?
YES NO (If yes, please explain.)

16. Does your organization have a formal process for tracking all audit and monitoring findings through to resolution? And is the progress towards resolution communicated to the Board of Directors (or equivalent)?
YES NO (If yes, please explain.)

17. Does your organization have an internal control function?
YES NO (If yes, please explain.)

18. Do processes exist to internally monitor grant compliance throughout the grant performance award period?
YES NO (If yes, please explain.)

FINANCIAL MANAGEMENT CAPACITY

The following questions will assess the applicant's ability to fiscally manage the ESG program effectively.

19. Did the applicant agency complete an A-133 audit review during the previous fiscal year? **(If yes, please attach a copy of the applicant's most recent agency audit review to the completed application submission.)**

YES NO

20. Did your organization carry over funds past the original grant performance period within the past three years resulting in a grant extension or recapture of funds?

YES NO (If yes, please explain why.)

21. Does your organization anticipate carrying over funds for the PY2019 ESG program year (July 1, 2019 – September 30, 2020)?

YES

NO

(If yes, please explain why.)

Tax-Exempt Status

22. What is the applicant's active Federal Employee Identification Number (FEIN)?

- *All private nonprofit organizations must document their status as a 501(c)(3) tax-exempt entity.*
- *Expired advance rulings from the IRS are not acceptable.*
- *Local nonprofit affiliates of a state or national nonprofit may submit documentation if agency is a subsidiary of a parent organization. Local nonprofit affiliates must provide a copy of the page listing your agency as part of the larger organization in the documents filed with the IRS.*
- *Verification/documentation of tax-exempt status will be requested at the time of award notice.*

(Please include proof of status as an attachment for review.)

SAM Registration

23. Does the applicant have an active SAM registration? YES NO

- *Verification documentation of active SAM registration must be provided at the time of award notice.*
- *More information can be found at www.sam.gov*

24. Does the applicant have a federally approved indirect cost rate?

YES NO If yes, what is the approved rate? _____

25. **Total ESG Program Budget:** List the total estimated funds requested for the applicant's ESG program proposal.

ESG COMPONENT	Amount
Street Outreach	
Emergency Shelter	
Rapid Re-housing	
Homelessness Prevention	
HMIS/DV Shelter Comparable Database	
Administration	
TOTAL ESG Funds Requested	

WVCAD Use Only:

(Information provided by WVCAD)

Has staff capacity demonstrated an inability to administer the ESG program in the previous program year? YES NO

Has WVCAD received any citizen or participant complaints on behalf of the applicant in the previous program year? YES NO

During the past program year has there been one or more key staff vacancies in the administration of the ESG programs? YES NO

Has the applicant had funding recaptured for reallocation in the past three years? YES NO

Did the applicant receive a grant funding extension for the previous year? YES NO

Number of budget adjustments made by applicant during PY2019: _____

Number of monitoring findings the applicant received during PY2019: _____

Number of monitoring findings that are currently unresolved: _____

Does the applicant submit monthly invoicing on time each month? YES NO

Does the applicant expend funds in a satisfactory/timely manner? YES NO