

Handout - LIHEAP Self-Assessment Tool

INTERNAL RISK MANAGEMENT ASSESSMENT TOOL				
		YES	NO	COMMENTS
PROGRAM DATA COLLECTION				
1	Does the grantee have data collection policy and procedures that includes: strategies for collecting data, the people responsible for data collection, collection frequency, and data storage procedures?	<input checked="" type="radio"/>	<input type="radio"/>	
2	Does the grantee track the number of participant?	<input type="radio"/>	<input type="radio"/>	
3	Does the grantee track the frequency of benefits received by each participant?	<input type="radio"/>	<input type="radio"/>	
4	Does the grantee track results too measure program outcomes detailed in the model plan?	<input type="radio"/>	<input type="radio"/>	
5	Does the grantee have a system to measure the outcomes detailed in the model plan?	<input type="radio"/>	<input type="radio"/>	
6	Does the grantee have specific staff responsible for tracking data?	<input type="radio"/>	<input type="radio"/>	
7	Does the grantee have a staff person assigned to collect data?	<input type="radio"/>	<input type="radio"/>	
8	Does the grantee have a staff person assigned to assess the data collected?	<input type="radio"/>	<input type="radio"/>	
9	Does the grantee have a staff person assigned to prepare reports on the data collected?	<input type="radio"/>	<input type="radio"/>	
10	Does the grantee have specific standardized information to be collected from each program participant?	<input type="radio"/>	<input type="radio"/>	
11	If personal information is collected, does the grantee secure consents prior to the collection of participant information?	<input type="radio"/>	<input type="radio"/>	
12	Does the grantee have a system for ensuring personal program participant information is kept confidential and secure?	<input type="radio"/>	<input type="radio"/>	
	Does the grantee use a computerized system to track participation in the program and other program activities?	<input type="radio"/>	<input type="radio"/>	
PROGRAM VENDORS				
1	Does the grantee have a system for managing vendors?	<input type="radio"/>	<input type="radio"/>	

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2	Does the grantee have a vendor plan that includes: identifying potential vendors, recruiting vendors, establishing a vendor agreement, and evaluating vendors?	<input type="radio"/>	<input type="radio"/>	
3	Has the grantee performed an assessment of the tribal community or territory to identify potential vendors?	<input type="radio"/>	<input type="radio"/>	
4	Does the grantee have a system for tracking activities and services provided by program vendors?	<input type="radio"/>	<input type="radio"/>	
STAFF MANAGEMENT				
1	Does the grantee have written personnel policies?	<input type="radio"/>	<input type="radio"/>	
2	Is program staff oriented on program goals, objectives, and activities, and the role they play in achieving each of the program activities?	<input type="radio"/>	<input type="radio"/>	
3	Are program staff job descriptions and responsibilities aligned with program activities detailed in the model plan?	<input type="radio"/>	<input type="radio"/>	
NON FEDERAL SHARE				
1	Does the grantee have written policies and procedures for documenting in-kind goods, services, and contributions provided to the program?	<input type="radio"/>	<input type="radio"/>	
2	Has all program staff been trained on documenting in-kind goods, services, and contributions provided to the program?	<input type="radio"/>	<input type="radio"/>	
3	Is the value of in-kind goods, services and contributions recorded in the monthly or quarterly fiscal records?	<input type="radio"/>	<input type="radio"/>	
4	Does the grantee have a system for reporting on non-federal share secured?	<input type="radio"/>	<input type="radio"/>	
FINANCIAL MANAGEMENT				
1	Does the grantee have written financial policies and procedures?	<input type="radio"/>	<input type="radio"/>	
2	Does the grantee have a computerized bookkeeping system?	<input type="radio"/>	<input type="radio"/>	
3	Are cash balances reconciled monthly?	<input type="radio"/>	<input type="radio"/>	
4	Are the financial procedures followed?	<input type="radio"/>	<input type="radio"/>	
5	Are the program funds tracked separately from other funds?	<input type="radio"/>	<input type="radio"/>	

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6	Are financial transactions recorded in a systematic way?	<input type="radio"/>	<input type="radio"/>	
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7	Is there segregation of duties between the program staff who receive the funds, records the funds, and authorizes expenditure of funds?	<input type="radio"/>	<input type="radio"/>	
8	Is there segregation between the program staff who authorize the expenditure, prepare the check, and sign the checks?	<input type="radio"/>	<input type="radio"/>	
9	Is there a review of expenditures to ensure that the costs are allowable and allocable to the program?	<input type="radio"/>	<input type="radio"/>	
10	If the organization is subject to Federal Single Audit, are all audits completed within the nine months following the close of the program year?	<input type="radio"/>	<input type="radio"/>	
11	Are financial reports prepared as required by OCS?	<input type="radio"/>	<input type="radio"/>	
PROGRAM REPORTING				
1	Are financial reports submitted to the OCS in a timely manner?	<input type="radio"/>	<input type="radio"/>	
2	Are program reports submitted to the OCS in a timely manner?	<input type="radio"/>	<input type="radio"/>	
3	Are program and financial reports submitted to tribal leadership on a periodic basis?	<input type="radio"/>	<input type="radio"/>	
4	Are program and financial reports made available to program recipients, community members and vendors on a periodic basis?	<input type="radio"/>	<input type="radio"/>	