

TEXAS SPACE COMMISSION (TSC)
Space Exploration and Aeronautics Research Fund (SEARF)
GRANTEE RISK ASSESSMENT SURVEY

Grantee:

Project Name:

TSC Award#:

ELIGIBILITY TO CONDUCT BUSINESS WITH THE STATE

1. Is the organization currently suspended or debarred or have they been suspended or debarred in the past? Yes No
If yes, please explain.

2. Is the organization an eligible business entity in the state of Texas? (i.e., meets any of the following criteria) Yes No
 - a. Maintains employees in the state of Texas
 - b. Has a fixed place of business in the state of Texas
 - c. Provides any service in the state of TexasIf no, please explain.

LEGAL ASSESSMENT

3. Is the organization currently the subject of any pending litigation? Yes No
If yes, please explain.

4. Has the organization had any lawsuit filed against it within the last five (5) years? Yes No
If yes, please explain.

5. Does the organization have any violations of criminal law involving fraud, bribery, or gratuity violations?
Yes No
If yes, please explain.

6. Does the organization have any potential or existing claims against the state of Texas or any agency of the state of Texas? Yes No
If yes, please explain.
7. Has the organization had a contract terminated or been denied the renewal of any contract for non-compliance with policies or regulations of any state or federally funded program within the past 5 years? Yes No
If yes, please explain.
8. Has the organization filed bankruptcy in the last 10 years? Yes No
If yes, please explain.
9. Has any employee or named member on the project team been investigated, charged, or prosecuted by U.S. authorities in connection with foreign agent activities? Yes No
If yes, please explain.

GENERAL ASSESSMENT

10. How many years has the organization been in existence?
Fewer than 2 years
2-5 years
6-10 years
11-14 years
15 years or more
11. Years of experience the organization has managing state/federal/local/private grant funds?
Less than 1 year of experience
1-4 years of experience
5-7 years of experience
8-10 years of experience
More than 10 years of experience
12. Over the years of experience by the organization to manage state/federal/local/private grant funds, what is the total amount of dollars that were managed?
\$0-\$1M
\$1M-\$5M
\$5-\$10M
More than \$10M

13. Have there been any significant changes in the organization in the last year related to:

- | | | |
|---|-----|----|
| • Leadership change(s) | Yes | No |
| • Significant program/grant initiative(s) | Yes | No |
| • Structural change(s) | Yes | No |
| • Fiscal change(s) | Yes | No |
| • Statutory or regulatory requirement(s) | Yes | No |
| • Other | Yes | No |

Provide a brief explanation for all yes responses.

AUDIT ASSESSMENT

14. Did the organization expend more than \$1,000,000 in grant funds from any source within the last year? Yes No

If yes, was a Single Audit or Compliance Audit performed in accordance with [Title 2 Code of Federal Regulations \(CFR\) Part 200](#) or [2 CFR Part 910, Subpart F](#)? Yes No

Were any of the following identified?

- | | | |
|--|-----|----|
| • Material weaknesses | Yes | No |
| • Non-compliance issues | Yes | No |
| • Significant deficiencies | Yes | No |
| • Findings and questioned costs under federal programs | Yes | No |

Provide a brief explanation for all yes responses.

15. If the organization is not subject to the audit requirements of 2 CFR Part 200, Subpart F, have financial statements been audited, reviewed, or compiled by an independent Certified Public Accountant within the past two years? Yes No

INTERNAL CONTROLS ASSESSMENT

16. Does the organization have written accounting policies and procedures? Yes No

If yes, do established accounting policies and procedures address the following?

- | | | |
|--|-----|----|
| • Determination of allowability of costs (i.e., necessity, reasonableness, and allocability) | Yes | No |
| • Identification, segregation, and recording of unallowable costs | Yes | No |
| • General accounting practices and procedures | Yes | No |

17. Does the organization's structure provide adequate segregation of duties in the following areas?
- No single employee or person has complete control of accounting transactions and oversight of the daily functions of grant project; and in a position that generates a conflict of interest. Yes No
 - Posting and approval of journal entries (including correcting entries) to the accounting system. Yes No
 - Cash management, including cash drawdowns and requests for reimbursement. Yes No
 - Review and approval of expenditures and procurements. Yes No
 - Review and approval of financial, performance, and other required reports. Yes No
18. Does the organization have systems, policies, and procedures for tracking and approving hours worked by employees, contractors, and volunteers? Yes No
19. Does the organization have personnel policies and procedures that include conflict of interest statements? Yes No
20. Does the organization have a records retention policy that complies with applicable state guidelines? Yes No
21. Does the organization have a documented procurement policy that is compliant with state of Texas regulations? Yes No

ACCOUNTING SYSTEM ASSESSMENT

22. Does the accounting system separate the receipts and payments of a grant from the receipts and payments of the organization's other activities? Yes No
23. Does the accounting system summarize expenditures from a grant according to different budget categories (e.g., salaries, rent, supplies, equipment)? Yes No
24. Does the accounting system provide for the recording of actual costs compared to budgeted costs for each budget line item? Yes No

PROGRAMMATIC ASSESSMENT

25. How many years of experience does the project staff have in managing the project to which the grant relates?
- Less than 1 year of experience
 - 1-2 years of experience
 - 3-5 years of experience
 - 6-9 years of experience
 - More than 10 years of experience

26. Does the organization have policies to ensure programmatic expenses are allocable to the project, reasonable, necessary, and prudent (i.e., allowable)? Yes No
27. Does the organization have policies to ensure programmatic activities are allowable?
Yes No
28. Does the project budget include purchases of real property, equipment, or supplies for this grant? Yes No