

SUBRECIPIENT ANNUAL RISK QUESTIONNAIRE

North Dakota Department of Transportation, Executive Office
SFN 62653 (8-2025)

Subrecipient	UEI
Please return completed questionnaire to	Return by

Per 2 CFR 200.332(c), pass-through entities are required to evaluate each subrecipient's fraud risk and risk of noncompliance with a subaward to determine the appropriate subrecipient monitoring.

Instructions: Answer each question to the best of your knowledge. The answers are based on your last fiscal year only. This questionnaire is to be completed by the chief administrative officer, chief financial officer, or equivalent.

Policies:	Yes	No	N/A
1. Have your policy manuals been reviewed in the last year and updated as needed? <i>Grant related manual(s) with policies on accounting, procurement, employees, IT security, conflict of interest, and code of conduct.</i>			
2. Did the organization reassess their potential risks and revise mitigating controls if needed? <i>If the organization identified new or increased risks, were actions to reduce those risks taken?</i>			
3. Is ongoing fraud awareness training carried out? <i>Training may be conducted through employee meetings, webinars, conferences, etc.</i>			
4. Did all employees commit in writing to abide by a statement of ethical behavior? <i>Do employee files include the annual code of conduct acknowledgment signed by each employee?</i>			
5. Have cybersecurity controls per 2 CFR 200.303(e) been implemented and tested? <i>Cybersecurity controls safeguard systems against both accidental and deliberate threats. They include firewalls, anti-virus software, data encryption, and employee training. Regular testing ensures they remain effective and up to date.</i>			

Financial:	Yes	No	N/A
6. What percentage of your organization's funding came from federal grants? <i>Estimate the percentage of federal grants funding and select the appropriate range.</i>			
7. Has your organization had any disallowed costs? <i>This includes any federal funding, not just funding from NDDOT.</i>			
8. Has your organization had any difficulty meeting cost sharing (matching) requirements?			
9. Has your organization passed through federal funds to subrecipients or contractors?			
10. Did your organization engage in any related party transactions for your grants? <i>Related party transactions may occur when an employee is related to another employee or to a vendor and there is a risk that the transaction is in the employee's self interest rather than the organization's interest.</i>			
11. Are all records related to grant activities identifiable and easily accessible? <i>Records must sufficiently identify the amount, source, and expenditure of federal funds for federal awards. The records must be able to be tied back to a specific subaward and include supporting documentation.</i>			
12. Does your organization receive funding directly from the federal government?			
13. Is management aware of any material instances of fraud, illegal acts, or violations of grant agreement requirements? <i>Subrecipients are required to report matters related to integrity and performance. Subrecipients must also report any commission of fraud in connection with a federal award, if credible evidence exists (2 CFR 200.113).</i>			

Experience:	Yes	No	N/A
14. Has your organization successfully managed other federal funds? <i>Did your organization complete all performance requirements and expend funds in compliance with federal requirements?</i>			
15. Have key employees participated in any grant management training? <i>Training areas may include 2 CFR 200 requirements, procurement, cost allowability, single audit, etc.</i>			
16. Have the same key grant management staff been in place all year? <i>Changes in key staffing may impact the effectiveness of grant and subrecipient compliance. The key staff responsible for compliance include your financial staff. Key staff responsible for performance may include administrators or program managers.</i>			
17. Do you have an adequate number of staff to manage the grant resources effectively? <i>The duties of authorization/approval, recordkeeping, and custody of assets should be separate.</i>			

Audit:	Yes	No	N/A
18. Was your organization subject to the Single Audit requirement based on the current threshold? <i>a. If no, has your organization had an independent audit, review, or NDDOT audit? (If you answered yes to question 18a, submit most recent audit or review report.) b. If an audit or review was conducted, were there any findings?</i>			

Certification:
I certify to the best of my knowledge and belief that the information provided herein is true, complete, and accurate. I am aware that the provision of false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil, or administrative consequences including, but not limited to violations of U.S. Code Title 18, Sections 2, 1001, 1343 and Title 31, Sections 3729-3730 and 3801-3812.

Signature	Title
Printed Name	Date