



Pre-award Assessment and Plan

The Minnesota Department of Health (MDH) conducts pre-award assessments of all grant recipients prior to award of funds in accordance with federal (2 CFR 200.208 and 2 CFR 200.332), state (OGM Policy 08-06 and OGM Policy 08-13), and agency policies. These reviews allow MDH to better understand the capacity of applicants/recipients and identify opportunities for technical assistance to those that receive grant funds. This process is one way in which MDH exhibits diligence as a grantor, aptitude as a partner, and helps to ensure successful programs.

This form must be kept by the MDH grant program per the [MDH Retention Schedule](#).

Overview	Information
Applicant/Recipient Name	
MDH Grant Program Name	
Division/Section	
Date Pre-award Assessment Completed	
Assessment Conducted By	

Part 1: Assessment

Question 1	Yes	No
Verify the applicant/recipient is not currently debarred or suspended by both the federal government and the Minnesota Department of Administration. Is the applicant/recipient listed in the results of either search?	☐ Yes	☐ No

Instructions: Visit SAM.gov (federal System for Award Management) to see if the applicant/recipient has an active exclusion indicating they are either suspended or debarred. Visit the Minnesota's Office of State Procurement's <https://mn.gov/admin/osp/government/suspended-debarred/> to see if the applicant/recipient is listed as being suspended or debarred.

You must document each search and keep the results in the award file. Documentation may include a screen shot or print out of the screen and it must include the date/time you printed the screen. If the applicant/recipient is listed on either site, MDH cannot under any circumstances issue a grant. Contact the Grants Office if you have any questions.

PRE-AWARD ASSESSMENT AND PLAN

Question 2	Yes	No
Based on the Due Diligence Review point total, will technical assistance to the organization be provided and/or special conditions to the grant agreement be added? Due Diligence Review Point Total: <i>If 0-9 points, check "No". If 10+ points, check "Yes".</i>	☐ Yes	☐ No

Instructions: Visit [Grants Central](#) to see if a current Due Diligence Review is available to answer this question. You will know if the review is current if the "Date Due Diligence Expires" has not passed. If a review is not current, or does not exist, then you must contact the applicant/recipient and conduct the review. To see the pre-award requirements related to applicant type, visit the [Pre-Award Applicant Review Guidance](#).

Question 3	Yes	No
Upon review of applicant/recipient's past performance, experience with the same or similar grants, and staffing levels, will technical assistance to the applicant/recipient be provided and/or special conditions to the grant agreement be added?	☐ Yes	☐ No

Instructions: At a minimum, when evaluating the applicant/recipient's past performance and experience with the same or similar grants, the following factors must be considered: management of prior grant awards, timeliness of submitting reports, meeting grant program outcomes, complying with previous grant term and conditions, prior monitoring findings. You can find this information in the Outgoing Grants Database on [Grants Central](#). The Outgoing Grants Database is only displaying grant closeout evaluations from the last five calendar years, you may want to reach out to other programs in the agency to collect past performance information.

At a minimum, when evaluating the staffing levels of an applicant/recipient, you should know the answers to the following questions. You might know this information based on previous experience with the grantee, or perhaps the information was provided in the grant application.

Are any positions that would work with this grant in a financial, programmatic or oversight capacity currently vacant?

Are any employees that would work with this grant in a financial, programmatic or oversight capacity, new to their position within the past twelve months?

Question 4	Yes	No
Did the applicant/recipient check "YES" for the question in Section 7, "Financial crimes certification"?	☐ Yes	☐ No

Instructions: If the applicant/recipient indicates that any of its principles including public officials, board members, or staff (paid or volunteer), who will have the authority to access funds provided by this grant opportunity or to determine how those funds are used, have been convicted of a felony financial crime(s) within the last ten years, **MDH Program staff must contact the Grants Office for further instruction on how to proceed.**

Part 2: Plan

IF THE ANSWER WAS "YES" TO EITHER QUESTION 2 OR 3 IN PART 1: ASSESSMENT, COMPLETE PART 2: PLAN.

PRE-AWARD ASSESSMENT AND PLAN

Part 2 helps document MDH compliance with the federal uniform guidance. Part 2 also helps MDH track any technical assistance provided to a grantee and/or special conditions added to their grant agreement, which allows MDH to be a more conscientious grantor and a more supportive partner, regardless of funding source.

Part 2: Plan

The following technical assistance will be provided and/or special condition(s) will be added:

The technical assistance to be provided and/or special condition(s) to be added will address the following concern(s):

The time frame for concluding the technical assistance and/or removing the special condition(s), if the concern or condition has been addressed, will be: