Government Readiness Checklist

McAllister Compliance Group

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GOVERNMENT READINESS CHECKLIST

Can Your Organization Withstand an Audit, Contract Review, Grant Application, Monitoring Visit, or Accreditation Survey?

Organizations often focus on delivering services, growing programs, and pursuing funding opportunities. However, many organizations discover too late that success also requires strong operational infrastructure, organized documentation, and clearly defined processes.

This Government Readiness Checklist is designed to help organizations assess their preparedness for government contracts, grants, audits, monitoring reviews, accreditation surveys, and other oversight activities.

This checklist is for general readiness and planning purposes only. It is not legal advice and does not replace legal, financial, cybersecurity, procurement, or industry-specific regulatory guidance.

ORGANIZATIONAL INFORMATION

Organization Name: ______________________________

Completed By: ______________________________

Title: ______________________________

Date: ______________________________

SECTION 1: ORGANIZATIONAL FOUNDATION

Legal Structure

☐ Organization is legally established

☐ Articles of Organization/Incorporation are maintained

☐ Operating Agreement or Bylaws are current

☐ EIN has been obtained

☐ Required business licenses are active

☐ Annual filings are current

☐ Organization is in Good Standing

☐ Ownership or governance structure is documented

Governance

☐ Board of Directors information is maintained (if applicable)

☐ Board meeting minutes are maintained

☐ Organizational chart is current

☐ Leadership roles and responsibilities are documented

SECTION 2: GOVERNMENT REGISTRATION READINESS

Federal Registration

☐ SAM.gov registration is active, if pursuing federal prime contracts or applicable funding opportunities.

☐ Unique Entity Identifier (UEI) obtained

☐ CAGE Code assigned (if applicable)

☐ SBA profile completed

☐ NAICS codes identified

☐ Federal registration information is current

State Registration

☐ State procurement registration completed, if pursuing state or local opportunities.

☐ State vendor profiles established

☐ Business registration information is current

☐ Required or applicable certifications have been obtained or tracked.

SECTION 3: FINANCIAL READINESS

Financial Management

☐ Business bank account established

☐ Accounting system implemented

☐ Financial records are current

☐ Budget has been developed

☐ Expenses are documented

☐ Internal financial controls are established

☐ Financial responsibilities are assigned

Financial Documentation

☐ Profit and Loss Statement available

☐ Balance Sheet available

☐ Cash Flow information available

☐ Tax filings are current

☐ Supporting financial records can be produced upon request

SECTION 4: POLICIES AND PROCEDURES

Organizational Policies

☐ Employee handbook exists

☐ Code of conduct exists

☐ Confidentiality policy exists

☐ Record retention policy exists

☐ Data security policy exists

☐ Conflict of interest policy exists

☐ Complaint or grievance procedures exist

Operational Procedures

☐ Standard Operating Procedures (SOPs) documented

☐ Approval processes documented

☐ Workflow responsibilities documented

☐ Document management procedures established

☐ Corrective action procedures established

SECTION 5: HUMAN RESOURCES READINESS

Workforce Management

☐ Job descriptions are current

☐ Personnel files are maintained

☐ Hiring procedures are documented

☐ Onboarding procedures are documented

☐ Performance evaluation process exists

☐ Workforce training records are maintained

Compliance Documentation

☐ Credential verification procedures exist

☐ Licenses and certifications are tracked

☐ Background checks are documented

☐ Required trainings are documented

☐ Contractor records are maintained

SECTION 6: DOCUMENTATION & RECORD MANAGEMENT

Documentation Systems

☐ Centralized filing system established

☐ Electronic records are organized

☐ Required documents are easy to locate

☐ Document version control procedures exist

☐ Backup procedures are established

Evidence of Performance

☐ Service records are maintained

☐ Program records are maintained

☐ Financial records are maintained

☐ Compliance documentation is maintained

☐ Supporting evidence can be produced quickly

SECTION 7: COMPLIANCE & OVERSIGHT

Compliance Infrastructure

☐ Compliance responsibilities are assigned

☐ Compliance calendar exists

☐ Reporting deadlines are tracked

☐ Monitoring procedures are established

☐ Risk areas have been identified

☐ Corrective action process exists

Audit Readiness

☐ Audit files are organized

☐ Required records are accessible

☐ Staff understand audit procedures

☐ Previous findings have been addressed

☐ Evidence of corrective actions is maintained

SECTION 8: CYBERSECURITY, DATA PROTECTION & AI USE

☐ Password management procedures exist

☐ Multi-factor authentication is utilized

☐ Access permissions are controlled

☐ Confidential information is protected

☐ Data backup procedures exist

☐ Incident response procedures exist

☐ Cybersecurity responsibilities are assigned

☐ AI use policy is documented, if AI tools are used

☐ Staff receive guidance on protecting confidential, client, employee, financial, contract, and business information when using technology or AI tools

☐ Vendor technology tools are reviewed before use when sensitive information is involved

SECTION 9: CONTRACT & PROGRAM PERFORMANCE

Contract Management

☐ Contract responsibilities are assigned

☐ Deliverables are tracked

☐ Reporting requirements are tracked

☐ Client communication procedures exist

☐ Performance measures are monitored

☐ Contract documentation is maintained

Program Management

☐ Program objectives are documented

☐ Outcomes are measured

☐ Performance data is collected

☐ Continuous improvement activities occur

☐ Results are documented

SECTION 10: PAST PERFORMANCE & CAPABILITY DOCUMENTATION

☐ Capability Statement exists

☐ Organizational profile exists

☐ Core competencies are documented

☐ Differentiators are identified

☐ References are available

☐ Past performance examples are documented

☐ Website is current and professional

☐ Marketing materials are available

SCORING

Count the number of completed items.

Total completed items: _____
Total checklist items: _____
Readiness Score: _____%

90–100%

Government Ready

Your organization demonstrates strong infrastructure and readiness for contracts, grants, audits, reviews, and oversight activities.

75–89%

Moderately Ready

Your organization has a solid foundation but should address identified gaps before pursuing additional opportunities.

50–74%

Needs Improvement

Infrastructure and documentation gaps may create operational, compliance, or performance risks.

Below 50%

Foundational Work Recommended

Significant readiness gaps exist. Organizational infrastructure should be strengthened before pursuing major funding, contracts, or growth opportunities.

FINAL ASSESSMENT

If your organization received a government contract, grant award, monitoring visit, accreditation survey, subcontractor opportunity, vendor review, or audit notice tomorrow, could you confidently produce the required documentation and demonstrate compliance?

☐ Yes

☐ No

☐ Unsure

Organizations that answer "No," "Unsure," or score below 75% often benefit from strengthening their operational infrastructure, documentation systems, cybersecurity procedures, and readiness documentation before challenges arise.

Prepared by McAllister Compliance Group

Building Operational Infrastructure That Protects Performance, Supports Oversight, and Enables Growth.

Strong organizations do not depend on memory. They depend on systems.

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