



FDLE GRANT PROGRAM SUBAWARD MANAGEMENT QUESTIONNAIRE (SMQ)

Eligible Recipient Name:

UEI:

OVERVIEW

Recipients of federal financial assistance must be able to document compliance with the following sections of the Code of Federal Regulations (CFR) prior to receiving an award:

- 2 CFR Part 25 – Universal Identifier and System for Award Management Requirements
- 28 CFR Part 42 – Nondiscrimination; Equal Employment Opportunity, Policies and Procedures
- 2 CFR §200.300-309 – Standards for Financial and Program Management
- 2 CFR §200.313 – Equipment (Inventory)
- 2 CFR §200.318-326 – Federal Procurement Standards
- 2 CFR §200.331 – Requirements for Pass-through Entities
- 2 CFR §200.430 – Compensation (Personal Services)

INSTRUCTIONS

This questionnaire is required for all recipients seeking federal financial assistance from the Florida Department of Law Enforcement (FDLE), Office of Criminal Justice Grants (OCJG). The answers on this questionnaire will be reviewed by OCJG to evaluate the recipient's ability to comply with the federal regulations listed above. This questionnaire must be completed and provided to OCJG annually with each application. Failure to provide a completed questionnaire at the time of application will result in a withholding of funds condition being placed on your pending award.

Please read all questions carefully as they may require coordination with other divisions/bureaus in your agency (i.e. finance, purchasing, human resources, etc.).

CONTACT INFORMATION

For questions or assistance, contact FDLE's Office of Criminal Justice Grants at (850) 617-1250 or CJgrants@fdle.state.fl.us.

ORGANIZATION POINT-OF-CONTACT

Please provide a point-of-contact to coordinate any additional information requests FDLE's Office of Criminal Justice Grants may have during the review of this questionnaire.

Name:

Title:

Agency:

Phone:

Email:

***** FDLE USE ONLY *****

Score Total:

Monitoring Determination:

**Subject to change at the discretion of the Office of Criminal Justice Grants.*

Leadership Override:

Desk

Site Visit

Reason:

Signature:

Date:

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Section I: General Information		
1. Has the eligible recipient been designated high-risk within the past three years by a federal entity or pass-through agency, including FDLE?	Yes	No
<p>a. What is the name of the entity that designated your organization as high-risk?</p> <p>b. Describe the reason(s) for the high-risk designation below.</p> 		
2. Has the eligible recipient received an award from the Office of Criminal Justice Grants within the past three years?	Yes	No
3. Has the eligible recipient experienced turnover in key staff positions in the past six months? Key staff positions include Chief Official, Chief Financial Officer, and/or Recipient Grant Manager.	Yes	No
4. Does the eligible recipient retain all award files and records of award purchases for a minimum of five years after award closeout?	Yes	No
5. Does the eligible recipient utilize the E-Verify system to confirm a new employee's employment eligibility as required by Section 448.095(2), Florida Statutes?	Yes	No
Section II: Audit Information		
<i>You may wish to consult with your agency's Finance department to complete this section.</i>		
1. Select the fiscal year of the eligible recipient's <u>most recently completed</u> Comprehensive Annual Financial Report (CAFR).		
2. Review the Schedule of Findings within the audit for the fiscal year named above. Did the auditor:		
a. Express a qualified or modified opinion?	Yes	No
b. Note any material weaknesses and/or significant deficiencies?	Yes	No
3. Has a Single Audit Certification form for the fiscal year named above been completed? If "yes", upload a copy with SMQ attachments in AmpliFund.	Yes	No
4. Has the eligible recipient verified the audit above has been submitted to the Florida Department of Financial Services and the Florida Auditor General ?	Yes	No
Section III: Equal Employment Opportunity (EEO)		
<i>You may wish to consult with your agency's Human Resources department to complete this section.</i>		
1. Is the eligible recipient aware they must comply with federal civil rights regulations, including certifications and plan requirements outlined in 28 CFR Part 42?	Yes	No
2. Does the eligible recipient organization have 50 employees or more?	Yes	No

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<p>3. Select largest single award amount of federal funding the eligible recipient received during the past fiscal year from the US Department of Justice (or pass-through entity).</p>		
<p>4. Has the eligible recipient organization had any findings of discrimination issued by a state or federal court in the past three years? If "yes", upload a copy with SMQ attachments in AmpliFund.</p>	Yes	No
Section IV: Tiered Contractor/Subrecipient Management and Monitoring		
<i>You may wish to consult with your agency's Purchasing or Finance department to complete this section.</i>		
<p>1. Does the eligible recipient have written policies, procedures, and/or guidance designed to ensure that any tiered subawards made under a federal award – (1) clearly documents applicable federal requirements; (2) are appropriately monitored by the subrecipient; and (3) ensure compliance with the requirements of 2 CFR 200.331? If "yes" AND this award allocates funds in the Third-Party Subaward budget category, upload a copy with the SMQ attachments in AmpliFund.</p>	Yes	No
<p>2. Is the eligible recipient aware of the difference between subawards and procurement contracts under federal awards, including the different roles, responsibilities, and compliance requirements associated with each?</p>	Yes	No
<p>3. Does the eligible recipient have written policies and procedures designed to prevent issuing a tiered subaward or contract under a federal award to any entity or individual that is suspended or debarred from such funding?</p>	Yes	No
<p>4. Do all third-party agreements with any tiered contractor or subrecipient (at any tier) require the contractor/recipients to register with and use the E-Verify system to verify the work authorization status of all new employees of the tiered contractor or subrecipient (at any tier) in accordance with Section 448.095(5), Florida Statutes?</p>	Yes	No
Section V: Accounting System		
<i>You may wish to consult with your agency's Finance department to complete this section.</i>		
<p>1. Does the eligible recipient's accounting system:</p>		
a. Identify the receipt and expenditure of funds separately for each grant (i.e. no commingling of funds)? 200.302(b)(1)	Yes	No
b. Identify the specific award number in the accounting system for tracking grant revenue and expenditures? 200.302(b)(1)	Yes	No
c. Record and track expenditures for each grant by budget categories in the approved budget? 200.302(b)(5)	Yes	No
d. Record, track, and document cost share or match for each grant? 200.306(b)(1)	Yes	No
e. Produce detailed ledgers and registers? 200.302(b)(3)	Yes	No
f. Include budgetary controls to prevent incurring obligations in excess of total funds? 200.308(b)	Yes	No
<p>2. In the event of a cash advance payment, does the applicant entity have written procedures to minimize the time between the receipt of the cash advance and disbursement of the advanced funds? If "yes", upload a copy with the SMQ attachments in AmpliFund.</p>	Yes	No
<p>3. Does the eligible recipient have written procedures for financial management of federal grant funds? If "yes", upload a copy with the SMQ attachments in AmpliFund.</p>	Yes	No

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Section VI: Internal Controls		
<i>You may wish to consult with your agency's Finance department to complete this section.</i>		
1. Does the applicant entity have written internal control procedures for the management of federal awards that align with federal guidance such as the Standards for Internal Control in the Federal Government (Green Book) or the Internal Control Integrated Framework ? 2 CFR 200.303(a) If "yes", upload a copy with the SMQ attachments in AmpliFund.	Yes	No
2. Does the applicant entity have cybersecurity measures in place to safeguard personally identifiable information (PII) and other types of sensitive information? 2 CFR 200.303(e)	Yes	No
3. Does the applicant entity have written procedures in place to safeguard personally identifiable information (PII) and law enforcement sensitive data? 2 CFR 200.303(e) If "yes", upload a copy with the SMQ attachments in AmpliFund.	Yes	No
4. Does the applicant entity have procedures in place to ensure grant funds will not be used to supplant local funds that have already been appropriated for the proposed activities? Section 2.3 of the DOJ Grants Financial Guide	Yes	No
5. Does the applicant provide written notice to employees regarding whistleblower protections outlined in 41 USC 4712? If "yes", upload a copy with the SMQ attachments in AmpliFund.	Yes	No
Section VII: Inventory		
<i>You may wish to consult with your agency's Purchasing or Finance department to complete this section.</i>		
1. Does the eligible recipient's organization have written procedures governing their inventory process? 200.313(d) If "yes", upload a copy with the SMQ attachments in AmpliFund.	Yes	No
2. Indicate whether the eligible recipient's property management system provides and maintains the following information: 200.308(d)(1)		
a. Description of the equipment;	Yes	No
b. Property identification number;	Yes	No
c. Source of the property (including award number if grant funded);	Yes	No
d. Who the title vests with;	Yes	No
e. Acquisition date;	Yes	No
f. Federal share of property cost (if federally funded);	Yes	No
g. Location and condition of property; and	Yes	No
h. Ultimate disposition information.	Yes	No
3. Does the eligible recipient assure that all grant-funded property is maintained and insured in compliance with federal requirements? 200.308(d)(3)	Yes	No
4. Does the eligible recipient have written procedures to report and investigate all grant-funded property loss, theft, or damage, including steps to report it to the FDLE grant manager? If "yes", upload a copy with the SMQ attachments in AmpliFund.	Yes	No
Section VIII: Procurement		
<i>You may wish to consult with your agency's Purchasing or Finance department to complete this section.</i>		
The questions below allow the eligible recipient to self-certify its procurement system in accordance with 2 CFR 200.324(c)(2). If answering "yes", a page number must be provided.		
1. Does the eligible recipient have a written procurement policy? If "yes", upload a copy with the SMQ attachments in AmpliFund.	Yes	No

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2. Does the procurement policy contain a conflict-of-interest statement? 200.318(c)	Yes	No	Page:
3. Does the conflict of interest procedure/statement include disciplinary actions for violations? 200.318(c)	Yes	No	Page:
4. Does the procurement policy have provisions for avoiding purchase of unnecessary or duplicative items? 200.318(d)	Yes	No	Page:
5. Does the procurement policy permit the use of intergovernmental agreements (i.e. state contract, etc.)? 200.318(e)	Yes	No	Page:
6. Does the procurement policy include requirements to verify contractors/vendors are neither suspended nor debarred in SAM.gov? 200.318(h)	Yes	No	Page:
7. Does the procurement policy have a threshold for purchases that do not require quotes (micropurchases) that is less than or equal to an <u>aggregate</u> purchase of \$10,000? 200.320(a)	Yes	No	Page:
8. Does the procurement policy require informal competition (i.e. quotes) when an <u>aggregate</u> purchase exceeds \$10,000? 200.320(b)	Yes	No	Page:
9. Does the procurement policy require formal competition (i.e. sealed bids, competitive proposals, etc.) when purchases meet or exceed \$250,000? 200.320(c-d)	Yes	No	Page:
10. Does the procurement policy allow noncompetitive procurements (sole source) under <u>only</u> the following three circumstances: item(s) only available from a single source; public emergency; and/or inadequate competition? 200.320(f)	Yes	No	Page:

Section IX: Certification and Signature

On behalf of the eligible recipient, I certify to the Florida Department of Law Enforcement that the information provided above is complete and correct to the best of my knowledge. I have the requisite authority and information to make this certification on behalf of the eligible recipient.

Signature:

Title:

Typed Name:

Date:

This form is valid for one year from the date of signature and does not need to be resubmitted during a grant period.



THE FOLLOWING SECTION IS FOR FDLE USE ONLY

Section X: FDLE OCJG SMQ Review

Grant Specialist C:

Date:

Comments: