**New Jersey Department of Transportation**

**Division of Local Aid and Economic Development**

**Federal Aid Highway Program Administrative Questionnaire**

**State, Local and Indian Tribal Governments**

**Universities and Non-Profits**

The New Jersey Department of Transportation Division of Local Aid and Economic Development uses the standards set forth in the Code of Federal Regulations 49 CFR Part 18, 49 CFR Part 19, 2CFR Part 225, 2 CFR Part 230 [Office of Management and Budget (OMB) 87] and the OMB Circular A-133 to assess the adequacy of a potential Federal-aid recipient’s accounting controls and administrative and project management systems.

To be awarded Federal-aid funds an organization must have accounting controls and administrative and project management systems that fully comply with the requirements identified in this questionnaire. Corrective action may be necessary to comply with the Federal requirements as a condition for receipt of Federal-aid funds.

The regulations cited in this document can be found at <http://www.dot.gov/ost/m60/grant/49cfr18.htm>; <http://www.dot.gov/ost/m60/grant/49cfr19.htm>; [www.gpoaccess.gov/cfr/index.html](http://www.gpoaccess.gov/cfr/index.html); <http://www.whitehouse.gov/omb/circulars_default>.

1. **General**

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| 1. | Name of Organization |  |
| 2. | DUNS Number |  |
| 3. | If your organization has expended more than $500,000 in federal grant funds within a year, has an A-133 audit been performed? |  |
| 4. | If yes, were there any major findings and please provide the electronic link to the report? |  |
| 5. | Does your organization have an approved indirect cost rate with the Federal Government? |  |

1. **Administrative Capability**

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|  | **Financial Management Systems** |  |  |  |
|  | **Standard** | **Citation** | **Yes** | **No (Please provide explanation)** |
| 1. | Does your organization’s accounting and financial management systems follow generally accepted administrative rules, cost principals, and audit requirements? | OMB Circular A-102  2 CFR, Part 225  OMB Circular A-133 |  |  |
| 2. | Do your systems permit the preparation of reports required by applicable statutes and regulations? | 49 CFR 18.20(a)(1) |  |  |
| 3. | Do your systems permit the tracing of funds to a level of expenditures adequate to establish that funds have not been used in violation of applicable statutes? | 49 CFR 18.20(a)(2) |  |  |
| 4. | Do your systems produce accurate, current, and complete disclosure of the financial results of financially assisted activities in accordance with the financial reporting requirements of the grant? | 49 CFR 18.20(b)(1)  49 CFR 19.21(b)(1) |  |  |
| 5. | Does your system contain information which adequately identifies the source and application of funds provided for financially assisted activities? These records must contain information pertaining to grant or subgrant and authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and income. | 49 CFR 18.20(b)(2)  49 CFR 19.21(b)(2) |  |  |
| 6. | Does your system provide effective control over and accountability for all funds, property, and other assets? | 49 CFR 18.20(b)(3)  49 CFR 19.21(b)3) |  |  |
| 7. | Does your system adequately safeguard all property and assure that it is used solely for authorized purposes? | 49 CFR 18.20(b)(3)  49 CFR 19.21(b)(3) |  |  |
| 8. | Does your system allow for comparison of actual expenditures or outlays with budgeted amounts of each grant? | 49 CFR 18.20(b)(4)  49 CFR 19.21(b)(4) |  |  |
| 9. | Does your system relate financial information to performance or productivity data, including the development of unit cost information whenever appropriate or specifically required in the grant agreement? | 49 CFR 18.20(b)(4)  49 CFR 19.21(b)(4) |  |  |
| 10. | Does your system provide procedures for determining the reasonableness, allocability and allowability of costs in accordance with 2 CFR Part 225, “Cost Principals for State, Local, and Indian Tribal Governments”? | 49 CFR 18.20(b)(5)  49 CFR 19.21(b)(6) |  |  |
| 11. | For recipients paid in advance, do you maintain written procedures for minimizing the time elapsing between the transfer of funds from the U.S. Treasury and disbursement? Are draw downs requested as close as possible to the time of disbursement? | 49 CFR 18.20(b)(7)  49 CFR 19.21(b)(5) |  |  |

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|  | **Procurement** | **Citation** | **Yes** | **No (Please provide explanation)** |
| 1. | Do your contract administration systems ensure that contractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders? | 49 CFR 18.36(b)(2)  49 CFR 19.47 |  |  |
| 2. | Do you maintain a written code of conduct governing the performance of your employees engaged in awarding and administering contracts? | 49 CFR 18.36(b)(3)  49 CFR 19.42 |  |  |
| 3. | Do your procedures require review of proposed procurements to avoid purchasing unnecessary or duplicative items? | 49 CFR 18.36(b)(4)  49 CFR 19.44(a)(2) |  |  |
| 4. | Do your procedures require lease vs. purchase analysis? | 49 CFR 18.36(b)(4)  49 CFR 19.44(a)(2) |  |  |
| 5. | For governmental recipients, do you enter into state and local intergovernmental agreements for procurement of common goods and services? | 49 CFR 18.36(b)(5) |  |  |
| 6. | For governmental recipients, do you use federal excess and surplus property rather than purchasing new property? | 49 CFR 18.36(b)(6) |  |  |
| 7. | For governmental recipients, do you use value engineering on large construction projects? | 49 CFR 18.36(b)(7) |  |  |
| 8. | Are contract awards made only to responsible contractors? | 49 CFR 18.36(b)(8)  49 CFR 19.44(d) |  |  |
| 9. | Do you conduct a cost and price analysis in connection with every procurement action? | 49 CFR 18.36(f)  49 CFR 19.45 |  |  |
| 10. | For governmental recipients, do your procurement records include rationale for procurement method, contract type selection, contractor selection or rejection, and contract price basis? | 49 CFR 18.36(b)(9) |  |  |
| 11. | Do nonprofit/university recipient records for purchases in excess of their small purchase threshold include basis for contractor selection, justification for lack of competition when competitive bids or offers were not obtained, and basis for award cost or price. | 49 CFR 19.46 |  |  |
| 12. | Do you take the necessary affirmative steps to assure that minority firms, women’s business enterprises, and labor surplus area firms are used when possible? | 49 CFR 18.36(e)  49 CFR 19.44(b) |  |  |
| 13. | Do your procedures meet the requirements laid out in 49 CFR 18.36(d) for small purchases, sealed bids, competitive proposals, and noncompetitive proposals? | 49 CFR 18.36(d)  49 CFR 19.44(c) |  |  |
| 14. | To the maximum extent practical, are your procurement actions conducted in a manner providing full and open competition? | 49 CFR 18.36(c)  49 CFR 19.43 |  |  |
| 15. | Do your contracts contain the required provisions in 49 CFR 18.36(i) and Appendix A, as applicable? | 49 CFR 18.36(i)  49 CFR 19.48 |  |  |

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|  | **Personnel Systems** | **Citation** | **Yes** | **No (Please provide explanation)** |
| 1. | Do you maintain an employee handbook or personnel manual | 2 CFR 225, Appendix B, 8(a)(d)(h)  2 CFR 230, Appendix B, 8(a)(g)(m) |  |  |
| 2. | Do you have written, current position descriptions | 2 CFR 225, Appendix B, 8(a)(b)(h)  2 CFR 230, Appendix B, 8(a)(c)(m) |  |  |
| 3. | Are staff in each position qualified, based on position description? | 2 CFR 225, Appendix B, 8(a)(b)  2 CFR 230, Appendix B, 8(a)(c) |  |  |
| 4. | Do you have a written recruiting and hiring procedure that ensures fairness and compliance with all applicable federal and state requirements? | 2 CFR 225, Appendix B, 8(a)  2 CFR 230, Appendix B, 8(a) |  |  |
| 5. | Is your compensation system reasonably tied to position descriptions and regular performance evaluations? Is it consistently applied, e.g., same pay scale regardless of funding source? | 2 CFR 225, Appendix B, 8(b)  2 CFR 225, Appendix B, 8(c) |  |  |
| 6. | Are your fringe benefits reasonable and consistently applied, e.g., same benefits regardless of funding source for the person’s position? | 2 CFR 225, Appendix B, 8(h)  2 CFR 230, Appendix B, 8(m) |  |  |
| 7. | Does your timekeeping system meet the requirements of the applicable cost principal? | 2 CFR 225, Appendix B, 8(h)  2 CFR 230, Appendix B, 8(m) |  |  |

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|  | **Property Management Systems** | **Citation** | **Yes** | **No (Please provide explanation)** |
| 1. | Do you maintain equipment records that include:   * Property description * Serial or identification number * Title holder * Acquisition date * Cost * Percentage of federal participation in cost * Location and condition, including date information was reported * Disposition date, including disposal date and sales price | 49 CFR 18.32(d)(1)  49 CFR 19.34(f)91) |  |  |
| 2. | Do you conduct a physical inventory of equipment at least once every two years, including reconciliation with property records? | 49 CFR 18.32(d)(2)  49 CFR 19.43(f)(3) |  |  |
| 3. | Do you have a control system to ensure property is safeguarded to prevent loss, damage, and theft? | 49 CFR 18.32(d)(3)  49 CFR 19.34(f)(4) |  |  |
| 4. | Do you have adequate maintenance procedures to keep the property in good condition? | 49 CFR 18.32(d)(4)  49 CFR 19.34(f)(5) |  |  |
| 5. | For federally owned equipment, do governmental recipients manage it according to federal agency requirements? | 49 CFR 18.32(f)(2) |  |  |
| 6. | For federally owned equipment, do you submit annual inventory listings? | 49 CFR 18.32(f)(3)  49 CFR 19.33(a) |  |  |
| 7. | For nonprofit/university recipients, do you maintain insurance on equipment and real property acquired with federal funds equivalent to insurance on their own property? | 49 CFR 19.31 |  |  |
| 8. | Do your procedures cover requesting disposition instructions from the federal agency when real property is no longer needed on the project? | 49 CFR 18.31(c)  49 CFR 19.32 |  |  |
| 9. | Do your procedures for equipment disposition require valuation when equipment is no longer needed on federally supported projects? | 49 CFR 18.31(e)  49 CFR 18.32(e) |  |  |
| 10. | Do your procedures require compensation to the federal agency when disposing of equipment with a current fair market value exceeding $5,000? | 49 CFR 18.32(c)  49 CFR 19.34(g) |  |  |
| 11 | Do your procedures cover calculating the residual value of supplies at closeout? | 49 CFR 18.33  49 CFR 19.35(a) |  |  |
| 12. | For governmental recipients, do your procedures require that disposition instructions are requested where the value of supplies exceeds $5,000? | 49 CFR 18.33 |  |  |

**PART III - CERTIFICATION AND SUBMISSION**

**CERTIFICATION OF APPLICANT**’**S AUTHORIZED REPRESENTATIVE (REQUIRED)**:

I hereby certify that the statements I have made on this form and all attachments thereto are true, accurate and complete .

(Signature)

(Name of Official)

(Title)

(Date)