



South Carolina
DEPARTMENT OF AGRICULTURE

Hugh E. Weathers, Commissioner

FINANCIAL CAPABILITY QUESTIONNAIRE

Adequate accounting systems, whether manual or automated, should meet the following criteria as outlined in the Office of Management and Budget's (OMB) Circular of Uniform Administrative Requirements, Cost Principles, and Audit Requirements found in 2 CFR Part 200, as implemented by the Financial Assistance Interior Regulation found in 2 CFR Part 1403.

1. Accounting records should provide information needed to adequately identify the receipt of funds under each grant awarded and the expenditure of funds for each grant.
2. Entries in accounting records should refer to subsidiary records and/or documentation which support the entry and which can be readily located.
3. The accounting system should provide accurate and current financial reporting information.
4. The accounting system should be integrated with an adequate system of internal controls to safeguard the funds and assets covered, check the accuracy and reliability of accounting data, promote operational efficiency, and encourage adherence to prescribed management policies.

SECTION 1 APPLICANT ORGANIZATIONAL INFORMATION

1. Legal Name of Organization _____

2. Authorized Representative's Name and Title _____

3. Address _____ City _____ State _____ ZIP _____

4. Phone (and extension) _____ 5. Fax _____

6. Email _____ 7. Year Established _____

8. Employer Identification Number (EIN) _____ 9. UEI Number _____

10A. Type of Organization _____

10B. Approximate Number of Employees

Full Time (Paid) _____ Full Time (Volunteer) _____ Part Time (Paid) _____ Part Time (Volunteer) _____

11. State of South Carolina Vendor Registration Number _____
procurement.sc.gov/doing-biz/registration

SECTION 2
ACCOUNTING SYSTEM

11. Has any Government Agency rendered an official written opinion concerning the adequacy of the accounting system for the collection, identification and allocation of costs under Federal contracts/grants? Yes No
12. If yes, provide name and address of Agency performing review _____
Attach a copy of the latest review and any subsequent correspondence, clearance documents, etc.
13. Which of the following best describes your accounting system? Manual Automated Combo
14. Does the accounting system identify the receipt and expenditure of program funds separately for each grant? Yes No Not Sure
15. Does the accounting system provide for the recording of expenditures for each grant/contract by budget cost categories shown in the approved budget? Yes No Not Sure
16. Does the accounting system provide for the recording of cost sharing or match for each grant with adequate supporting documentation? Yes No Not Sure
17. Are time distribution records maintained for each employee that specifically identify effort charged to a particular grant or cost objective? Yes No Not Sure
18. Does the accounting/financial system include budgetary controls to preclude incurring obligations or costs in excess of total funds available for a grant? Yes No Not Sure
19. Does the accounting/financial system include budgetary controls to preclude incurring obligations or costs in excess of total funds available for a budget cost category (e.g. Personnel, Travel, etc.)? Yes No Not Sure
20. Is your organization generally familiar with the existing regulation and guidelines containing the Cost Principles and procedures for the determination and allowance of costs in connection with Federal grants? Yes No Not Sure
21. Is a separate bank account maintained for Federal grant funds? Yes No Not Sure
22. If a separate bank account is not maintained, can the Federal grant funds and related expenses be readily identified? Yes No Not Sure

SECTION 3
PROPERTY STANDARDS, PROCUREMENT STANDARDS, AND TRAVEL POLICIES

PROPERTY STANDARDS

- 23A. Does your property management system provide for maintaining formal inventory records of all equipment acquired with federal funds? Yes No Not Sure
- 23B. Does your property management system account for adequate maintenance, disposition, or encumbrance of the property according to federal requirements? Yes No Not Sure

24. Does your property management system provide for a physical inventory and reconciliation of property at least every two years? Yes No Not Sure

25. Does your property management system provide controls to insure safeguards against loss, damage, or theft of the property? Yes No Not Sure

PROCUREMENT STANDARDS

26. Does your organization maintain written procurement procedures which (1) avoid unnecessary purchases; (2) provide an analysis of lease and purchase alternatives; and (3) provide a process for soliciting goods and services? Yes No Not Sure

27. Does your procurement system provide for the conduct to ensure selection on a competitive basis and documentation of cost or price analysis for each procurement action? Yes No Not Sure

28. Does your procurement system include provisions for checking the “Excluded Parties List” system for suspended or debarred sub-grantees and contractors, prior to award? sam.gov Yes No Not Sure

TRAVEL POLICY

29. Does your organization maintain a standard travel policy or, if no policy exists, does your organization adhere to rates and amounts established under 5 U.S.C. 5701-11, (“Travel and Subsistence Expenses; Mileage Allowances”), and policies under the Federal Acquisition Regulations at 48 CFR 31.205-46(a)? Yes No Not Sure

SUBRECIPIENT MANAGEMENT

30. (For Pass-through entities only). Does your organization have controls in place to monitor activities of subrecipients, as necessary, to ensure that Federal awards are used for authorized purposes in compliance with laws, regulations, and the provisions of the award and that performance goals are achieved. Yes No Not Sure

INDIRECT COSTS

31. If indirect cost is allowed for this grant program and my organization chooses to charge indirect costs to the Federal award or use indirect costs as a match, you understand that you must prepare an indirect cost rate proposal and submit it to your cognizant Federal agency for approval. Alternatively, you may use a de minimus rate of 10% of modified total direct costs (MTDC). Yes No Not Sure

COMMENTS

Please provide any explanations needed to clarify answers provided above.

STANDARDS FOR FINANCIAL MANAGEMENT SYSTEMS AND APPLICANT CERTIFICATION

I certify that the above information is complete and correct to the best of my knowledge. The signature provided below serves as the digital signature for this document.

Name _____

Title _____

Signature _____

Date _____

RETURN COMPLETED FORM TO:

SCDA Grants Administration
Attn: Betsy Dorton
PO Box 11280, Columbia, SC 29211
bdorton@scda.sc.gov

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computer first before filling out
and submitting. Do not submit
from an internet browser.*