



# 1-B Policy and Procedures Questions

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1. The grantee has a current policies and procedures manual which establishes safeguards for grant assets, provides the foundation of accurate accounting data, and promotes operational efficiency and adherence to management policy.

Select an answer

2a. The grantee's policies and procedures describe the procurement process for the following in compliance with the Uniform Guidance: Small Purchases

Select an answer

2b. The grantee's policies and procedures describe the procurement process for the following in compliance with the Uniform Guidance: Sealed Bid

Select an answer

2c. The grantee's policies and procedures describe the procurement process for the following in

Select an answer

compliance with the  
Uniform Guidance:  
Competitive Proposals

2d. The grantee's policies  
and procedures describe  
the procurement process  
for the following in  
compliance with the  
Uniform Guidance: Non-  
Competitive Proposals

Select an answer 

3. The grantee  
procurement policies and  
procedures prohibit  
solicitation or accepting  
gifts or anything of  
monetary value from  
contractors, potential  
contractors, or parties to  
sub-agreements.

Select an answer 

4. The grantee maintains a  
written standard of  
conduct governing the  
performance of its  
employees engaged in  
procurement which shall  
include the prohibition  
against employees  
participating in the  
selection, award or  
administration of a  
contract if a real or  
apparent conflict of  
interest exists.


Select an answer 

5. The grantee's written  
procurement procedures


Select an answer 

ensure that all solicitations: 1) Incorporate a clear and accurate description of the technical requirements for the material, product, or service to be procured; and 2) Identify all requirements which the offerors must fulfill and all other factors to be used in evaluating bids or proposals.


6. Review at least two procurement transactions, including a subrecipient RFP (Request for Proposals).


6a. Were the procurement transactions conducted in a manner providing full and open competition consistent with the Uniform Guidance?


6b. Does the grantee maintain records sufficient to detail the history of the procurement?

6c. Was the RFP publicized and does it identify all evaluation factors and their relative importance?


 

6d. A cost or price analysis was performed for all


 

procurement actions in excess of the Simplified Acquisition Threshold (currently \$150,000).


6e. For the RFP, scoring sheets/technical evaluations were completed.


6f. Was a pre-award risk assessment completed after the merit review/evaluation and prior to the execution of the subrecipient subaward?


7. The grantee has an adequate internal control structure (i.e. no duties overlap to the extent that one person is responsible for the processing of the entire transaction which may create a deficiency).


8. The policies and procedures of the grantee are being followed.

9. The grantee has taken the steps, if necessary, to remove unauthorized check signers and close inactive bank accounts.


 

10. Voided/spoiled checks are properly mutilated and


 

retained.


11. Are financial statements submitted to management and the oversight body as necessary or in accordance with local policy.


12. A control system has been developed to ensure adequate safeguards to prevent loss, damage or theft of property.


13. Adequate maintenance procedures have been developed to keep the property in good condition.


14. There is a requirement for a physical inventory at least once every two years.


15. The local area maintains property records that are in compliance with the Uniform Guidance.

16. Does the grantee have written procedures to safeguard protected personally identifiable information.

17. Procurement of the one-stop operator(s) meets the requirements of DOL and Chapter 1 Section

7 of the Department's ePolicy portal: The Request for Proposal provides for competitive selection of the OSO, has a funding amount or range, and clearly outlines the role of the OSO; OSO procurement is conducted at least once every four years; the one-stop operator agreement must identify the OSO as a subrecipient of federal funds that must comply with the Uniform Guidance at 2 CFR 200, including DOL's specific requirements at 2 CFR part 2900; a signed One-Stop Operator Procurement Attestation form was submitted within 30 days of the execution of the OSO agreement; and, required information related to the OSO procurement was made available to the public on the entity's website.

Summary: