Appendix VII

Administrative Assessment Checklist

Agency: _____ Date:_____

Address: _____ No. of Employees: _____

_____ No. of Business Locations:_____

_____

Director's Name: _____

Administrative Assessment: An assessment of your organization's managerial, financial, and administrative capabilities will be made partially on the basis of your response to the following questions. If response other than ***"yes"*** or ***"no"*** needs to be made, please reference the appropriate question and give your response on a separate page. This information must be completed and returned with your response to our Request for Proposals.

		YES	NO	OTHER
1.	Property Management			
	a. Are property records which describe the equipment, including the item number, the manufacturer's model number, equipment identification number, grant or contract identification number, acquisition date, location and condition of equipment maintained?	____	____	____
2.	Procurement			
	a. Are written purchasing policies for procurement of supplies, equipment, construction, and other services on file?	_____	____	____
	b. Is a code of conduct in writing maintained which governs performance of the officers, employees or agents engaged in procurement which states that they will avoid any conflict of interest?	____	____	____
3.	Accounting			
	a. Are financial reports prepared monthly for internal management purposes?	____	____	____
	b. Does an independent auditor perform a certified audit annually?	____	____	____
	c. Are basic books of accounting maintained?	____	____	____
	(1) General ledgers	____	____	____
	(2) Project ledgers	____	____	____
	(3) Accounts receivable/cash receipt journal	____	____	____
	(4) Accounts payable/cash disbursement journal	____	____	____

		YES	NO	OTHER
d.	Is there adequate segregation of duties among personnel in accounting functions listed below?			
(1)	Is payroll prepared by someone other than the timekeepers and persons who deliver paychecks employees?	____	____	___
(2)	Are duties of the bookkeeper separate from cash-related functions?	____	____	____
(3)	Is the signing of checks limited to those authorized to make disbursements and whose duties exclude posting and recording of cash received?	____	____	____
(4)	Are personnel performing disbursement functions excluded from the purchasing, receiving, inventory, and general ledger services?	____	____	____
4.	Revenue			
a.	Are receipts recorded in a cash receipt journal by individual cost centers?	____	____	____
b.	Is an equitable system of allocating fees and other third party payments to funding sources used when two or more sources are involved?	____	____	____
c.	Do controls exist to ensure that all appropriate costs for eligible service provisions are billed to third party payers in a timely manner?	____	____	____
d.	Are there guidelines for assessing fees?	____	____	____

		YES	NO	OTHER
e.	Are these guidelines known to the book-keeper/cashier?	____	____	____
f.	Is every effort extended to collect fees?	____	____	____
g.	Are uncollectible write-offs approved by a responsible official?	____	____	____
h.	Are all checks marked **"For Deposit Only"** immediately upon receipt?	____	____	____
i.	Are receipts deposited on a regular basis?	____	____	____

5. Expenditures

a.	Are expenditure entries posted by cost centers?	____	____	____
b.	Is there a system for allocating direct cost when the project is funded by two or more sources?	____	____	____
c.	Are there written procedures for making refunds to clients, third party payers and others?	____	____	____
d.	If non-profit, does the agency have a tax exempt number?	____	____	____
e.	Are written travel policies maintained?	____	____	____
f.	Are time and attendance records kept for all employees by program, by funding source?	____	____	____
g.	Are Federal quarterly payroll tax forms (U.S. 941) submitted in a timely manner?	____	____	____
h.	Are individual payroll records maintained on each employee?	____	____	____

		YES	NO	OTHER
6.	Disbursements			
a.	Are checks issued in pre-numbered sequential order and are all applicable check numbers accounted for?	____	____	____
b.	Are banks notified in writing when authorized check signers terminate employment with the provider?	____	____	____
c.	Are ledgers/journals reconciled to bank statements on a monthly basis?	____	____	____
d.	When not in use, are checks locked in a secure cabinet?	____	____	____
e.	Is it prohibited to make disbursements for cash receipts?	____	____	____
f.	Are cash receipts from accounts receivable or other sources mixed with petty cash funds?	____	____	____
g.	Are disbursements from petty cash documented by approved supporting invoices?	____	____	____
7.	Personnel			
a.	Are personnel policies in writing and approved by appropriate authority?	____	____	____
b.	Are job descriptions provided to all employees at time of initial employment?	____	____	____
c.	Are job descriptions on file for all positions?	____	____	____
d.	Is each staff member appraised on performance, at least annually?	____	____	____
e.	Are staff members asked to review and comment on their evaluation?	____	____	____