### APPENDIX V

**Administrative Assessment Checklist**

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| --- | --- | --- | --- |
| Agency: |  | Date: |  |

|  |  |
| --- | --- |
| Address: |  |
| City, State, Zip: |  |

|  |  |
| --- | --- |
| 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

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Area** |  | **Yes** | **No** | **Other** |
| ***Property Management*** | 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? |  |  |  |
| ***Procurement*** | Are written purchasing policies for procurement of supplies, equipment, construction, and other services on file? |  |  |  |
| 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? |  |  |  |
| ***Accounting*** | Are financial reports prepared monthly for internal management for internal management purposes? |  |  |  |
| Does an independent auditor perform a certified audit annually? |  |  |  |
| Are basic books of accounting maintained? (1) General Ledgers (2) Project Ledgers (3) Accounts receivable/cash receipt journal (4) Accounts payable/cash disbursement journal |  |  |  |
| Is there adequate segregation of duties among personnel in accounting functions listed: (1) Is payroll prepared by someone other than the timekeepers and person who deliver paychecks to 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 |  |  |  |
| ***Revenue*** | Are receipts recorded in a cash receipt journal by individual cost centers? |  |  |  |
| Is an equitable system of allocating fees and other third party payments to funding sources used when two or more sources are involved? |  |  |  |
| Do controls exist to ensure that all appropriate costs for eligible service provisions are billed to third party payers in a timely manner? |  |  |  |
| Are there guidelines for assessing fees? |  |  |  |
| Are these guidelines known to the bookkeeper/cashier? |  |  |  |
| Is every effort extended to collect fees? |  |  |  |
| Are uncollectible write-offs approved by a responsible official? |  |  |  |
| Are all checks marked "For Deposit Only" immediately upon receipt? |  |  |  |
| Are receipts deposited on a regular basis? |  |  |  |
| ***Expenditures*** | Are expenditure entries posted by cost centers? |  |  |  |
| Is there a system for allocating direct cost when the project is funded by two or more sources? |  |  |  |
| Are there written procedures for making refunds to clients, third party payers and others? |  |  |  |
| If non-profit, does the agency have a tax -exempt number? |  |  |  |
| Are written travel policies maintained? |  |  |  |
| Are time and attendance records kept for all employees by program, by funding source? |  |  |  |
| Are Federal quarterly payroll tax forms (U.S. 941) submitted in a timely manner? |  |  |  |
| Are individual payroll records maintained on each employee? |  |  |  |
| ***Disbursements*** | Are checks issued in pre-numbered sequential order and are all applicable check numbers accounted for? |  |  |  |
| Are banks notified in writing when authorized check signers terminate employment with the provider? |  |  |  |
| Are ledgers/journals reconciled to bank statements on a monthly basis? |  |  |  |
| When not in use, are checks locked in a secure cabinet? |  |  |  |
| Is it prohibited to make disbursements for cash receipts? |  |  |  |
| Are cash receipts from accounts receivable or other sources mixed with petty cash funds? |  |  |  |
| Are disbursements from petty cash documented by approved supporting invoices? |  |  |  |
| ***Personnel*** | Are personnel policies in writing and approved by appropriate authority? |  |  |  |
| Are job descriptions provided to all employees at time of initial employment? |  |  |  |
| Are job descriptions on file for all positions? |  |  |  |
| Is each staff member appraised on performance, at least annually? |  |  |  |
| Are staff members asked to review and comment on their evaluation? |  |  |  |