

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 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?	_____	_____	_____
(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?	_____	_____	_____