

Administrative Assessment Checklist

Agency Name: _____

Date: _____

Address: _____

Number of Business/Site Locations: _____

Number of Employees: _____

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 “other” is checked please reference the question and provide your response on a separate page. This information must be completed and uploaded with your response to our Request for Proposals.

ITEM	YES	NO	OTHER
1. 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?			
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 and presented to the Board of Directors?			
b. Does an independent auditor perform a certified audit annually?			
c. Are basic accounting books maintained, including: <ul style="list-style-type: none"> • General ledgers • Project ledgers • Accounts receivable/cash receipt journal • Accounts payable/cash disbursement journal 			
d. Is there adequate separation of duties among personnel in accounting functions listed below? 1) Is payroll prepared by someone other than the executive director and the individual who issues 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 fund accounts?			
b. Do controls exist to ensure that all appropriate costs for eligible service provisions are billed to third party payers in a timely manner?			
c. Are there written policies for assessing co-pays or other fees (<i>CCE, HCE, and ADI only</i>)?			
d. Are these guidelines known to the book-keeper/cashier?			
e. Is every effort extended to collect fees?			
f. 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 fund accounts?			

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 the organization non-profit, does it have an up to date tax exemption certificate?			
e.	Are written board approved travel policies developed and 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?			
6.	Disbursements			
a.	Are checks issued in pre-numbered sequential order and are all applicable check numbers accounted for?			
b.	Are policies in place to notify bank(s) in writing when authorized check signers terminate employment with the provider?			
c.	Are ledgers/journals reconciled to bank statements monthly?			
d.	When not in use, are checks locked in a secure cabinet?			
e.	Is it prohibited by policy to make disbursements for cash receipts?			

f.	Are cash receipts from accounts receivable or other sources kept separately from petty cash funds?			
g.	Are disbursements from petty cash documented by approved supporting invoices and established in policy?			
7.	Personnel			
a.	Are personnel policies in writing and approved by the Board of Directors?			
b.	Are job descriptions provided to all employees at the time of initial employment?			
c.	Are job descriptions on file for all positions?			
d.	Are performance evaluations conducted for each staff member (including the Executive Director) at least annually?			
e.	Are staff members asked to review and comment on their evaluation?			

Revised 6/6/25