

I, _____ certify that as of this date, _____, I have not received any services from _____ except for _____
(Insert the name of the agency)

the following:

Brief description of services received and time period when services were received.

I certify that the above information is true and correct to the best of my knowledge.

Printed name: _____ Title: _____

Signature: _____ Date: _____

Board Interview

Member Name _____

Position _____

Service
Dates _____

Committees _____

County of
Residence _____

1. Does the board annually plan its work and evaluate its own performance?
2. Is the board active and engaged in fulfilling the mission of the agency?
3. Is the board driving the strategic plans for the agency?
4. Is the board should be well-trained regarding their fiduciary responsibilities?
5. Can the board explain the agency mission statement?

Comments _____

Internal Controls and Standards for Financial Management

Accounting System	Yes	No
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1. The agency has written, current, approved fiscal procedures
2. Financial procedures are applied uniformly and universally throughout the agency (Head Start, satellite offices do not have separate systems and procedures)
3. Are the duties of accounting personnel of the organization defined in
 - a. In a written policy manual
 - b. By job description
4. Does the Accounting manual define who has approval authority and any limits of authority?
5. Does the Accounting Manual contain a chart of accounts?
6. Does the organization prepare audited financial statements and have A-133 audit conducted annually?
7. Has the A-133 audit report been submitted in accordance with A-133 timelines?
8. Does the organization have a written allocation plan for indirect costs?
9. Are journal entries approved and explained with supporting documentation?
10. Who is the approval authority for journal entries?
11. Are accounting records and valuables secured in a limited-access area?

Cash Disbursements	Yes	No
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1. Blank checks are accounted for and blank checks are not signed in advance
2. Bank accounts are reconciled monthly
3. Bank accounts and check signers are authorized by the board of directors
4. Is a check signing machine used?
5. Is the authority for a check to be signed delegated to someone not authorized to sign checks

Budgetary Controls	Yes	No
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1. The agency has a current agency wide budget
2. The board of directors and program manager receive regular financial statements
3. Are there budgetary controls in effect to preclude incurring obligations in excess of total funds available for an award?
4. Is there a comparison of budget with actual expenditures on a monthly basis?
5. The agency can provide an agency wide balance sheet upon request
6. The agency CFO can substantiate the balance sheet line items
7. The financial officer presents financial information at board meetings
8. The agency submits financial reports to funders on a timely basis
9. Financial reports are submitted correctly the first time

Consultants	Yes	No
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1. Are there written policies or consistently followed procedures regarding the use of consultants?
2. Are consultants required to sign consulting agreements outlining services to be rendered, duration of engagement, reporting requirements and pay rates?

Property Management	Yes	No
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1. Does the agency prepare a physical inventory every two years?
2. Is the inventory reconciled with equipment records?
3. Does the inventory records include:
 - a. Description
 - b. Serial Number
 - c. Source of funds/grant number
 - d. Acquisition date
 - e. Location and condition
 - f. Unit acquisition cost

Purchases	Yes	No
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1. Does the agency have written purchasing procedures?
2. Does the purchasing procedures provide for:
 - a. Pre-numbered purchase orders
 - b. Procedures to insure procurements are competitive prices
 - c. Invoices matched with purchase orders and receiving reports
 - d. Segregation of duties for purchasing, receiving and voucher approval
 - e. Bid procedures in place that are board approved
3. Purchase orders are prepared before purchases are made and before invoices are received
4. Are there purchases charged to the grant that are not a part of the OCS approved form 2425?
5. Are there purchases charged to the grant that are not allowed under the CSBG statute?
6. Does the agency have Conflict of interest policies for vendors and consultant:
 - a. Board members
 - b. Purchases
 - c. Selecting and awarding officials

Travel	Yes	No
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1. Does the organization have written travel policies?
2. Are travel charges reimbursed based on actual costs incurred or by use of per diem and/or mileage rates?
3. Are receipts for lodging and meals required when reimbursement is based on actual costs incurred?
4. Are travel requests approved prior to occurrence?
5. Do travel expense reports show purpose of the trip?

Credit Cards

Yes

No

1. Does the agency have written policies to control the use of the organizational credit cards, access to credit cards, and prohibit any personal expenditure?
2. Do policies require prior approval of expenditures, documentation of amounts charged and limit the amount and types of expenses?

Audit

Yes

No

1. Does the agency A-133 audit report contain:
 - a. Schedule of expenditures of federal awards
 - b. Report on compliance and internal control over financial reporting based on an audit of financial statements performed in accordance with Government Auditing Standards
 - c. Schedule of findings and questioned costs, including a summary of the auditor's results
 - d. Summary of schedule of prior audit findings
 - e. Data Collection form
 - f. Additional report for immaterial noncompliance and other items not required to be reported according to A-133 (management letter) or assurance one was not issued.
 - g. Agency's response/corrective action plan for each audit issue
 - h. The management letter was presented to the board

Payroll and Personnel

Yes

No

1. Is employment properly authorized?
2. Are changes in payroll properly authorized?
3. How long before payment is made to the appropriate vendor once an employees' benefit is withheld?
4. Are original time records properly prepared and approved by supervisors?
5. Are payroll records regularly compared with the records of the personnel department?
6. How is the payroll distributed to employees?
7. Who reconciles the payroll checking account?
8. Who prepares the quarterly payroll tax reports?
9. Who signs the payroll checks? Is it consistent with other authorized check signers?
10. Obtain a list from the Personnel department of all employees
11. Obtain a printouts (at least two from each year monitored) of the payroll that includes by pay period:
 - a. Hours worked
 - b. Gross pay
 - c. Deductions
 - d. Net pay amount
 - e. Cost center charged
12. Are there written personnel policies?
13. Does employee files contain the following:
 - a. Job description
 - b. Rate of pay
 - c. Drug Free Workplace Act Statement
 - d. Types and levels of fringe benefits

Compensation Policies

Yes

No

1. Agency has written, board approved policies that clearly define fringe benefits
2. Time sheets are signed by employee or by a responsible supervisory official who has first hand knowledge of the activities performed by the employee
3. Time sheets are consistent with actual pay

Taxes, Premiums and Contributions

Yes

No

1. All employee withholding and other taxes are paid on a timely basis
2. Monies withheld from employees' pay checks are used only to pay the taxes, premiums and contributions for which they were intended.
3. IRS reports have been properly completed and filed with the IRS (IRS 990, 941, and 1099)

Benefits Administration

Yes

No

1. Agency furnished vehicles are not available to employees for personal use
2. Use of agency credit cards by staff is tightly controlled
3. Agency credit cards are never used by employees to cover personal expenses
4. Leave obligations are calculated and recorded

Client Survey

The purpose of this survey is to determine your level of satisfaction with the services and assistance provided by _____ Please provide a response to the item below.

1. What service(s) have you received from this agency?

Employment Transportation Educational Assistance

Food Housing Utility Assistance

Weatherization Substance Abuse Treatment

Child Care Did not receive services

Other: _____

a. If no services were received, check the reason(s) why.
 Lack of agency funds Did not qualify for services

Service requested was not available from the agency

Other: _____

b. Were you referred by **CAA** to another agency for assistance?

Yes No

c. If yes, to which agency were you referred?

Health Dept Salvation Army DHS

Other: _____

2. On a scale of 1-5, 1 being the worst, 5 being the best, how courteous were the **CAA** staff members?

Not Courteous at all (1) A Little Courteous (2) Average (3)

Courteous (4) Very Courteous (5)

3. On a scale of 1-5, 1 being the worst, 5 being the best, how quickly was the **CAA** staff able to assist you?

Very Slow (1) Slow (2) Average (3)

Quick (4) Very Quick (5)

Comments _____

Additional Resources:

Public Law 105-285 Section 676B, Section 678D, Section 678E and Section 678F

Arkansas State CSBG Plan

NASCSP Monitoring Standards

OMB Circular A-133 Standards

OMB Circular A-110

OMB Circular A-122

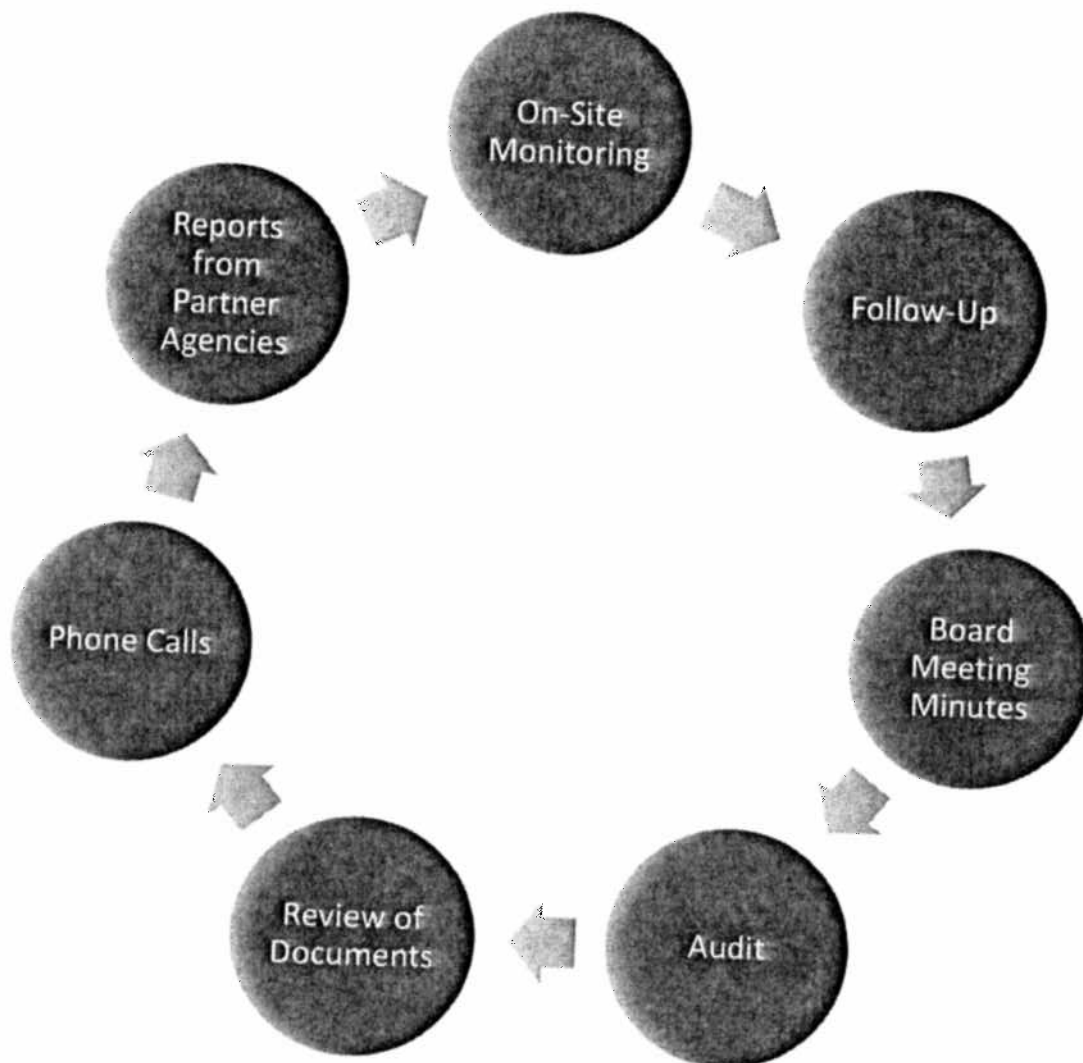
A-87

I.M. 49

I.M. 82

I.M. 94

Monitoring Process is Ongoing



AGENCY COMPLIANCE REVIEW DOCUMENT

Agency:

Contact:

Reviewer:

Review Date(s):

PERIOD COVERED:

AREA OF COMPLIANCE: SERVICE AREA (Ref. P&P 4100)

Should be determined through review of documents and interviews with the Executive Director.

Yes:

No:

1. Agency serves all counties in its service area. If no, explain the method counties are served.

Yes:

No:

2. Agency operates the CSBG program in its territory only, unless specifically approved to do otherwise by OCS.

AREA OF COMPLIANCE: BOARD COMPOSITION (Ref. P&P 4120)

Should be determined through the review of documents (See by-laws and current Board list)

Yes:

No:

3. Agency Board of Directors has the proper number of members.

Proper Number of Seats	<u>0</u>
Slots Filled	<u>0</u>
Slots Vacant	<u>0</u>

Yes:

No:

4. Representatives of low-income persons constitute at least one-third of Board members.

Slots Filled	<u>0</u>
Slots Vacant	<u>0</u>

Low-income representatives are chosen (by low-income persons) through adequate democratic procedures.

Describe procedure to fill vacancy(ies) (BY-LAWS).

Describe procedure used to fill vacancy(ies), if any, since last monitoring visit.

Yes:
No:

5. Representatives of community-at-large constitute one-third of Board members.

Slots Filled 0
Slots Vacant 0

Describe procedure to fill vacancy(ies). (BY-LAWS)

Describe procedure the agency used to fill vacancy(ies) if any since last monitoring visit.

Yes:
No:

6. Elected officials of each county are afforded equitable opportunity to serve on the Board and constitute at least one-third of Board members.

Slots Filled 0
Slots Vacant 0

Describe procedure to fill vacancy(ies). (BY-LAWS)

Describe procedure agency used to fill vacancy(ies), if any, since last monitoring visit.

Yes:
No:

7. Board members representing a specific geographic area reside within the community he/she represents. Describe method used to verify residence.

Yes:
No:

8. No Board member has exceeded the ten-year service limitation requirement. (Not applicable to public officials but applicable to representatives of public officials.) Explain any exceptions.

Yes:
No:

9. The Board has an orientation process for new members. Describe orientation process.

Date of last Board orientation: 00/00/00

List attendees:

Yes: <input type="checkbox"/> No: <input type="checkbox"/>	10. Each year Board's legal and fiduciary responsibilities and liabilities are formally addressed at a Board meeting or formal training session.	Give last day of training: <u>00/00/00</u> Conducted by: List other Board trainings: Dates: <u>00/00/00</u> Conducted by:
Yes: <input type="checkbox"/> No: <input type="checkbox"/>	11. Governing Board is aware that the Board is responsible for the hiring, firing, and evaluating the performance of the Executive Director.	Is there a job description for the Executive Director? Yes: <input type="checkbox"/> No: <input type="checkbox"/> Is the Board aware of the Executive Director's responsibilities? Yes: <input type="checkbox"/> No: <input type="checkbox"/>
Yes: <input type="checkbox"/> No: <input type="checkbox"/>	12. Governing Board evaluates the performance of the Executive Director annually. If not, how often?	
Yes: <input type="checkbox"/> No: <input type="checkbox"/>	13. Governing Board is aware that the Board determines major personnel, organization, fiscal, and program policies.	
Yes: <input type="checkbox"/> No: <input type="checkbox"/>	14. Governing Board is aware that Board members may be responsible as individuals if they negligently or knowingly allow the misuse of funds.	
Yes: <input type="checkbox"/> No: <input type="checkbox"/>	15. Governing Board is aware that the Board determines and approves overall program goals and the priorities for the CAA, including provisions for evaluating program performance against plans.	
Yes: <input type="checkbox"/> No: <input type="checkbox"/>	16. Is there a job description for Board members?	
Yes: <input type="checkbox"/> No: <input type="checkbox"/>	17. Governing Board is aware that the grant is made to the Board and not the staff and that the Board is responsible for approval of all programs, applications, proposals, budgets, and amendments.	
Yes: <input type="checkbox"/> No: <input type="checkbox"/>	18. Governing Board is aware that it is the responsibility of the Board to enforce compliance with all contract and grant requirements, and to ensure funds are spent for purposes in approved agency work programs.	
Yes: <input type="checkbox"/> No: <input type="checkbox"/>	19. Governing Board is aware that it is the responsibility of the Board to ensure the extent and the quality of participation of the poor in programs of the CAA.	
Yes: <input type="checkbox"/> No: <input type="checkbox"/>	20. Governing Board is aware that the Board determines rules and procedures for itself.	
Yes: <input type="checkbox"/> No: <input type="checkbox"/>	21. Governing Board is aware that the Board is responsible for electing officers and the executive committee, if any, of the Governing Board.	

Yes:
No:

22. CAA Executive Director is aware of the Board responsibilities. If no, explain the provisions made for training the CAA Executive Director.

Yes:
No:

23. The Governing Board is aware that it is responsible for developing short and long range strategic plans for the agency.

Date of plan (long range): 00/00/00
Date of latest update: 00/00/00
Date of plan (short range): 00/00/00

AREA OF COMPLIANCE: BOARD COMMITTEES (Ref. P&P 4130)

Should be determined through review of Board minutes and other agency records.

Yes:
No:

24. Governing Board is aware that all committees of the Board should be comprised of the same makeup as the Board.

a. List standing Committees

Yes:
No:

b. Are committees presently functioning?

Yes:
No:

c. Is each committee comprised of the same makeup as the Board, as far as practical?

d. How often does each committee meet? _____

AREA OF COMPLIANCE: BY-LAWS (Ref. P&P 4130)

Items should be answered through review of by-laws, Board minutes, Board notices, and other documents.

25. Agency by-laws include the following:

Yes:
No:

a. The total number of seats on the Board and the allotment of seats to public officials, representatives of low-income individuals, and representatives of community organizations.

Yes:
No:

b. Procedures for selecting Board members.

Yes:
No:

c. A description of any performance standards for members of the Board, the violation of which may be grounds for removal. This shall include standards of conduct.

Yes:
No:

d. A description of specific procedures to be followed in case of removal of representatives.

Yes:
No:

Are procedures for removal being followed? If no, explain.

Yes:
No:

e. Procedures for selecting new Board members in case of a vacancy on the Board.

Yes:
No:

f. It is stated that the quorum for a meeting of the Board be at least 50 percent of the non-vacant seats on the Board.

Yes:
No:

g. Board meets at least quarterly. Explain exceptions.

Yes:
No:

h. The by-laws designate the procedures, including persons responsible for convening board meetings.

Yes:
No:

i. All meetings, other than executive sessions, are open to the public.

Yes:
No:

j. Board members are provided a notice and agenda at least seven days in advance of meetings. List exceptions and explain.

Yes:
No:

k. The public is given five days notice of Board meeting. List exceptions and explain.

Yes:
No:

l. Minutes are taken at Board meetings and maintained at the principle office of the CAA.

Yes:
No:

m. Minutes list Board members present or absent at each meeting.

Yes:
No:

n. Board minutes list people present "other" than Board members.

Yes:
No:

o. All minutes are signed by the Board Secretary.

Yes:
No:

p. Minutes state a quorum was present at each meeting where the Board conducts agency business.

Yes:
No:

q. Voting by proxy is prohibited.

Yes:
No:

r. All minutes have been reviewed by the OCS monitor (since last monitoring visit).

Yes:
No:

s. Were problem areas cited? List problem areas cited.

AREA OF COMPLIANCE: ALTERNATES (Ref. P&P 4130)

Should be answered through the review of documents (See by-laws and current Board list).

- Yes: No: NA: 26. Does Agency by-laws describe the selection and service of alternates?
- Yes: No: NA: 27. Does Agency by-laws state that alternates are selected/elected in the same manner, at the same time, and by the same people who have selected/elected the representatives.
- Yes: No: NA: 28. Does Agency by-laws state that representatives of public officials may not select alternates to substitute for them?
- Yes: No: NA: 29. Are alternates listed on the Board Membership roster?
- Yes: No: NA: 30. Are alternates counted toward a quorum or do they cast votes only when his/her primary Board members are not present at meetings?
- Yes: No: NA: 31. Are alternates prohibited from holding an office on the Board?

AREA OF COMPLIANCE: PLANNING (Ref. P&P 4140)

Should be answered through the review of documents. (See Board meeting minutes, CAA Plan, Statement of Purpose and Strategy, and Agency Needs Assessment form.

- Yes: No: 32. Has Agency conducted a public hearing seven months prior to the beginning of the fiscal year on the needs and problems of low-income persons of the area?
- If yes, list date(s) of public hearing: 00/00/00 00/00/00 00/00/00
- Total attendance at the hearing(s): 0
- If no, explain why public hearing(s) was held at another time.
-
- Yes: No: 33. Agency Board adopted a "Statement of Purpose and Strategy" which indicates the primary problems the CAA will address and the share of available funds to be allocated to program areas based on results of the public hearing. If yes, list date "statement of Purpose and Strategy" was adopted by the Board with evidence of Board approval.
00/00/00
- Yes: No: 34. The "Statement of Purpose and Strategy" has been forwarded to the State Agency.
- Yes: No: 35. Has Agency conducted an annual Needs Assessment? If yes, list date. If no, please explain.

36. Agency's needs assessment was updated through citizen's input to include poverty problems (all

Yes:
No:

a. securing and retaining meaningful employment;

Yes:
No:

b. attaining an adequate education;

Yes:
No:

c. making better use of available income;

Yes:
No:

d. obtaining and maintaining adequate housing and a suitable living environment;

Yes:
No:

e. obtaining emergency assistance;

Yes:
No:

f. removing obstacles and solving problems blocking attainment of self-sufficiency;

Yes:
No:

g. community participation; and

Yes:
No:

h. mandated national goals/measures.

AREA OF COMPLIANCE: ELIGIBLE ACTIVITIES (Ref. P&P 4140)

Should be answered through interviews, review of funding application and review of other documents.

Yes:
No:

37. Agency provides a range of services and activities which have a measurable and potentially major impact on causes of poverty. If no, explain.

Yes:
No:

38. Eligible activities are designed to assist low-income participants including the poor to (not all

a. securing and retaining meaningful employment;

Yes:
No:

b. attaining an adequate education;

Yes:
No:

c. making better use of available income;

Yes:
No:

d. obtaining and maintaining adequate housing and a suitable living environment;

Yes:
No:

e. obtaining emergency assistance;

Yes:
No:

f. removing obstacles and solve problems which block attainment of self-sufficiency;

Yes:
No:

g. achieve greater participation in the affairs of the community; and

Yes:
No:

h. become self-sufficient.

Yes: No: 39. Agency makes effective use of other programs related to meeting the needs of low-income persons and communities as evidenced by the fact that CSBG funds constitute less than one-half of the CAA anti-poverty budget.

Yes: No: 40. Agency provides on an emergency basis for the provision of such supplies and services, nutritious foods and related services as may be necessary to counteract conditions of starvation and malnutrition among the poor.

Yes: No: 41. Agency coordinates and establishes linkages between governmental and other social programs to assure the effective delivery of such services to low-income individuals. Explain.

Yes: No: 42. Agency encourages the use of entities in the private sector of the community in efforts to ameliorate poverty in the community. Explain.

AREA OF COMPLIANCE: ELIGIBLE POPULATION (Ref. P&P 4140)

Should be answered through interviews, review of documents and observation at agency facilities.

Yes: No: 43. Agency uses current poverty guidelines to establish participant eligibility.

Yes: No: 44. Poverty guidelines are posted in all agency facilities.

45. Agency has posters, policies and/or notification for the following items:

Yes: No: a. Equal Employment Opportunity;

Yes: No: b. Worker's Compensation;

Yes: No: c. Drug Free Workplace (Have employees signed notices);

Yes: No: d. American Disabilities Act;

Yes: No: e. Family Medical Leave Act; and

Yes: No: f. Fair Labor Standards Act.

AREA OF COMPLIANCE: FUNDING APPLICATION (Ref. P&P 4140)

46. Agency has submitted (or updated and submitted) documents required by the State Agency as

Yes: No: a. any changes in the Articles of Incorporation;
Latest update: 00/00/00

Yes: No: b. by-laws
Latest update: 00/00/00

Yes: No: c. personnel policies and procedures;
Latest update: 00/00/00

Yes: No: d. a financial procedures manual;
Latest update: 00/00/00

- Yes: No: e. administrative procedures manual;
Latest update: 00/00/00
- Yes: No: f. affirmative action work plan and equal opportunity plan;
Latest update: 00/00/00
- Yes: No: g. evidence of current bond;
Latest update: 00/00/00
- Yes: No: h. checklist certification for MOA Monitoring
Latest update: 00/00/00
- Yes: No: i. current listing of Board members by sector, county and service time;
Latest update: 00/00/00
- Yes: No: j. current inventory list;
Latest update: 00/00/00

Yes: No: 47. Agency submitted application not later than 90 days before the end of the program year.

48. Agency has submitted (or updated and submitted) documents required by the State Agency as
- Yes: No: a. A work program with measurable objectives and activities for the agency to accomplish in each project area the CAA operates during the program year.
 - Yes: No: b. Mandated goals and outcome measures.
 - Yes: No: c. A budget which specifies the CSBG program costs to accomplish each of the projects.
 - Yes: No: d. A comprehensive administrative budget for the CAA which indicates how CSBG funds and funds

AREA OF COMPLIANCE: GRANTS AWARD(S) (Ref. P&P 4140)

Should be answered through review of monthly fiscal reports, quarterly reports, corrective action plans, and Board

Yes: No: 49. Agency submits monthly fiscal reports postmarked by the 10th of each month. If no, explain.

Yes: No: 50. Agency submits quarterly reports within 30 days after the end of the period covered by the report. If no, explain.

- Yes: No: a. Agency adequately explains variances of twenty percent or more from the approved work program in any activity or objective on quarterly reports when submitted.
- Yes: No: b. Agency submits necessary corrective actions it intends to perform to satisfy the work program activity or objectives.

Yes: No: 51. Agency submits all quarterly reports to the Board for review and approval. Give dates all quarterly reports were approved by the Board.

Date (First Quarter): 00/00/00
Date (Second Quarter): 00/00/00
Date (Third Quarter): 00/00/00
Date (Fourth Quarter): 00/00/00

Yes:
No:

52. Agency submits monitoring reports to the Board for review and approval.

Yes:
No:

53. Agency submits audit reports to the Board for review and approval.

Yes:
No:

54. Agency is aware that failure to comply with any financial or program report at least thirty days in arrears may serve as the basis for suspension of funding.

AREA OF COMPLIANCE: CITIZENS ACCESS (Ref. P&P 3100)

55. The following documents are available during normal working hours for public inspection:

Yes:
No:

a. funding application submitted to the State Agency for CSBG funds;

Yes:
No:

b. CAA's most recent Articles of Incorporation;

Yes:
No:

c. by-laws

Yes:
No:

d. Board membership list;

Yes:
No:

e. needs assessment;

Yes:
No:

f. Statement of Purposes and Strategy;

Yes:
No:

g. All contracts (including funding, consulting, goods and services, and delegate contracts) pertaining to

Yes:
No:

h. all reports (including audits) made to the State Agency on projects funded with CSBG funds;

Yes:
No:

i. minutes of the meetings of the Board of Directors; and

Yes:
No:

j. position titles, salary ranges, and job descriptions for all compensated positions.

AREA OF COMPLIANCE: CODE OF CONDUCT (Ref. P&P 3120)

Should be answered through review of agency Code of Conduct document, personnel records and other agency documents.

56. The CAA and its delegate agencies have published codes of conduct which prohibit the following:

Yes:
No:

a. Board members, employees, and members of their immediate families from soliciting or accepting

- (1) any contractor, potential contractors or a sub-contractor of the CAA;
- (2) any person applying for or receiving benefits or services through or from the CAA; and
- (3) any person in a position to benefit otherwise from the activities of the CAA.

Yes:
No:

b. Board members, employees, or members of their immediate families having financial interest in the contracts of the CAA (except employment) which are supported by CSBG funds.

Yes:
No:

c. Board members or employees of a CAA participating in any matter involving CSBG funds which

- (1) themselves or their immediate families
- (2) their business partners or business organizations with which they are associated; and
- (3) persons or organizations with whom they are negotiating or having arrangements

Yes:
No:

d. Persons serving on CAA Board who are:

- (1) Board members or employees of a delegate agency, unless the agency is responsible for community planning for low-income areas served by the CAA.
- (2) employees of the CAA, DHS, U.S. Departments of Health and Human Services, Energy or Housing and Urban Development.

Yes:
No:

e. Board members, employees, or members of their immediate families having financial interest in the contracts of the CAA (except employment) which are supported by CSBG funds.

Yes:
No:

f. Persons holding positions of employment over which members of their immediate families exercise supervisory authority.

Yes:
No:

g. Board members and employees of the CAA engaging in conduct which gives the appearance of violating any of the above standards.

AREA OF COMPLIANCE: FINANCIAL (Ref. P&P 3180)

Should be answered through review of accounting records, audit reports, inventory lists, etc.

Yes:
No:

57. Agency maintains accurate, current and complete disclosure of funds so that they can be traced from receipt to actual delivery of services to low-income persons.

Yes:
No:

58. Incoming checks are logged and deposited on a regular basis.

Yes:
No:

59. Is the person(s) responsible for logging incoming checks also responsible for making deposits?

Yes:
No:

60. Agency requires two signatures on all checks.

Yes:
No:

61. Accounting records are supported by source documentation.

Yes:
No:

62. The agency has a systematic method to assure timely and appropriate resolution of audit findings and recommendations.

Yes:
No:

63. Are proper procurement procedures being followed?

AREA OF COMPLIANCE: FINANCIAL (Ref. P&P 3180)

Should be determined through review of Board minutes and other documents.

Yes: 64. When was current auditor selected? List date.

No:

Date: 00/00/00

Yes: 65. Was selection of current auditor approved by the Board of Directors? If no, explain.

No:

Yes: 66. Did agency obtain approval of current auditor from OCS?

No:

AREA OF COMPLIANCE: REVISIONS TO POLICIES AND PROCEDURES

Yes: 67. Agency has available an updated copy of the current State Agency Policies and Procedures

No:

AREA OF COMPLIANCE: REVISIONS TO POLICIES AND PROCEDURES (REF. P&P 2130)

Yes: 68. Agency has taken necessary steps, including the adoption of amendments to existing by-laws, if necessary, in order to comply with the requirements of these regulations.

No:

AREA OF COMPLIANCE: SUSPENSION AND TERMINATION OF ELIGIBLE ENTITY STATUS (REF. P&P 3200)

AREA OF COMPLIANCE: SEVERABILITY (REF. P&P 2120)