

Is the agency a not-for-profit or a for-profit entity?	<input type="checkbox"/> Not-for-profit	<input type="checkbox"/> For Profit
Is the agency subject to the Uniform Guidance 2 CFR section 200.501 Audit Requirements (single audit for agencies expending greater than \$750,000 of Federal funding effective with fiscal years beginning January 1, 2019 and forward?)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Does the agency do its own accounting? If no, indicate the name and address of the accounting firm below.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Name:		
Address:		
Contact Person:		
Phone Number:		
Does the agency have a current financial procedures manual? If yes, how often is it reviewed and updated?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Does the agency if have an equipment policy? If yes, please submit	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Does the agency have a procurement policy? If yes, please submit	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Does the agency have a bank reconciliation policy? If yes, please submit	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Does the agency have a disbursement policy? If yes, please submit		
Does the agency have a written cost allocation plan? If yes, please submit If yes, what allocation methodology is used?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Does the agency have an approved Indirect Cost Rate by a cognizant agency? If yes, please submit.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Does the agency have a conflict-of-interest policy? If yes, please submit	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Does the agency have the ability to issue paychecks and take out taxes?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Does the agency have the ability to be an employer of record for work experience participants?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
How often is a trial balance prepared?		
Please list below all disbursement methods (Checks, ACH, credit card etc.)		
For disbursements made by check, are all checks pre-numbered?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Who is authorized to sign disbursements? Please indicate name and title(s).		
How often is the bank reconciliation prepared?		
Please provide the name, address, and phone number of the agency's auditing firm below.		
Name:		
Address:		
Contact Person:		
Phone Number:		
Length of Engagement:		

Segregation of Duties: List employee names and job titles across top and mark duties performed by each employee. Include agency name and date on this document.

Name of Employee						
Title of Employee						
Approves Purchase Orders						
Verifies Receipt of Order						
Signs Manual Check						
Signs Machine Check						
Custodian of Check Signing Device						
Custodian of Blank Checks						
Prepares Checks for Payment						
Distributes Checks						
Reviews Checks Post Printing						
Post Disbursements						
Computes Cost Allocations						
Receives Cash						
Posts Receipts						
Deposits Receipts						
Custodian of Petty Cash						
Petty Cash Replenishment						
Audits Petty Cash						
Bank Reconciliations						
Maintains General Ledger						
Prepares Financial Statements						
Approves Financial Reports						
Approves Payments						
Access to use LWIA Automatic Teller/Debit Cards						