**ATTACHMENT 3**

**FISCAL ABILITY QUESTIONNAIRE**

1. Please check the type of organization:
   * Non-Profit (501(c)(3)
   * Other Non-Profit
   * Government Entity
   * Sole Proprietorship
   * Partnership
   * Corporation
   * Other If non-profit is checked, what year was it incorporated as a 501(c)3?
2. If you checked Non-Profit 501(c)(3), which section was your organization qualified under per your Internal Revenue Service Determination Letter?

 509(a)(1)

 509(a)(2)

 509(a)(3)

 509(a)(4)

# Administrative

### In accordance with the administrative requirements of this contract, please respond to the following:

1. Does your agency maintain a manual regarding **Human Resources** policies and procedures?
   * Yes
   * No

If answer is yes, when was it last updated?

If yes, does the **Human Resources Manual** contain at a minimum?

### Policies that require records to contain an employee’s application for employment, job title and description, hire and termination date, salary/wage rates, performance appraisals, and effective dates of personnel actions affecting any of these items?

* + Yes
  + No
* Policies that require proper time and attendance records for employees be maintained to support all salaries and wages paid?
  + Yes
  + No
* Policies that require the agency utilize a formal process that an employee’s leave time be earned and taken?
  + Yes
  + No

1. Does your agency maintain a manual regarding a **Procurement** policies and procedures?
   * Yes
   * No

If yes, when was it last updated?

If yes, does the **Procurement Manual** contain at a minimum?

### Limits by which a formal bidding process must be used for goods or services purchased with contract dollars?

* + Yes
  + No
* Code of Conduct that addresses Conflicts of Interest as it relates to procurement?
  + Yes
  + No
* Requirements that staff who expend contract dollars be familiar with these procedures?
  + Yes
  + No

**Financial**

In accordance with Code of Federal Regulations (CFR) Part 74, please respond to the following:

1. If awarded a contract, does your organization have sufficient funds to meet obligations while awaiting reimbursement from the City of Phoenix Human Services Department?
   * Yes
   * No
2. Has your organization gone through a bankruptcy?
   * Yes
   * No
3. Have any contracts ever been terminated for default or non-performance?
   * Yes
   * No

If yes, please explain.

1. Has your organization ever been debarred from contracting?
   * Yes
   * No
2. Are there any lawsuits, judgments, liens, tax deficiencies, or claims pending against your organization?
   * Yes
   * No
3. Does the amount your organization receives from all Federal sources, warrant that an Annual Single Audit in accordance with A-133 be performed?
   * Yes
   * No

If yes, what is the date of the most recent completed single audit?

1. Does your organization have a “Cost Allocation Plan”? This is the tool used to determine how specific costs are distributed and charged across one or more funding sources.
   * Yes
   * No

If yes, please attach.

1. Does your organization maintain a manual regarding **Financial** policies and procedures?
   * Yes
   * No

If yes, when was it last updated?

If yes, does the **Financial Manual** contain at a minimum? (A) Minimum Accounting Standards such as:

* Maintaining separate accounts for each grant or contract?
  + Yes
  + No
* Supporting entries to general or subsidiary ledgers by keeping original books of entry such as cash disbursement journals or cancelled checks?
  + Yes
  + No
* Maintaining adequate supporting documentation for all contract expenditures, including copies of invoices, statements, sales tickets, billings for services, deposit slips, lease/rental agreements, mortgages, and/or any other documentation that, in any way, affect contract expenditures.
  + Yes
  + No
* Tracking contract expenditures against the approved budget amount within the approved period.
  + Yes
  + No

1. Minimum Cash Management Standards such as

* Identifying first and second signature authority for cash disbursements by maintaining current memo on file
  + Yes
  + No
* Controlling use of checks to prevent misuse?
  + Yes
  + No
* Separating responsibilities of staff who initiate purchases versus staff who approve vendor invoices and/or sign checks
  + Yes
  + No
* Reconciling bank account statements at least once a month.
  + Yes
  + No

1. Minimum Payroll Standards such as:
   * Requiring written authorizations when: New employees are added

Existing employees have changes in rates of pay Existing employees are removed from payroll Employees’ payroll deductions

Accounting distributions set up of employees’ payroll costs Payroll time sheets prior to paying employee

* + Maintaining Payroll registers, labor distribution reports, and payroll master control reports.
* Yes
* No