

# COMMUNITY CLIMATE INVESTMENT ENTITY REQUEST FOR APPLICATIONS

## ATTACHMENT F: FINANCIAL CONTROLS

| Financial Controls  |       |              |        |
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| <b>Introduction</b>   |       |              |        |
| This questionnaire is adapted from EPA Form 6600-01 and designed to help Applicants examine their administrative and financial policies and procedures. |       |              |        |
| <b>Applicant Name</b>   |       |              |        |
| Responding Individual(s):   |       |              |        |
| Name  | Title | Phone Number | E-mail |
|   |       |              |        |
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| <p>3. Does your organization have a written accounting manual or written policies and procedures for managing finances?</p> <p>If Applicant checks no, please comment:</p>  | <input type="checkbox"/> Yes<br><input type="checkbox"/> No |
| <p>4. Does your organization's accounting and financial management system(s) follow Generally Accepted Accounting Principles (GAAP)?</p> <p>If Applicant checks no, please comment:</p>   | <input type="checkbox"/> Yes<br><input type="checkbox"/> No |
| <p>5. Does your organization's financial management system track revenues and expenditures and provide financial results separately for each project or program?</p> <p>If Applicant checks no, please comment:</p>                         | <input type="checkbox"/> Yes<br><input type="checkbox"/> No |
| <p>6. Does your financial management system identify the source and application of funds with records that show obligations, unobligated balances, assets, outlays, income and interest?</p> <p>If Applicant checks no, please comment:</p> | <input type="checkbox"/> Yes<br><input type="checkbox"/> No |
| <p>7. Does your financial management system report and allow a comparison of outlays to budgeted amounts for each project or program?</p> <p>If Applicant checks no, please comment:</p>  | <input type="checkbox"/> Yes<br><input type="checkbox"/> No |
| <p>8. Does your organization maintain source documentation to support entries into your financial or accounting system?</p>   | <input type="checkbox"/> Yes<br><input type="checkbox"/> No |

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| <p>If Applicant checks no, please comment:</p>   |   |
| <p>9. Does your organization have written procedures for drawing funds and issuing payments including:</p> <ul style="list-style-type: none"> <li>• Who would be authorized to request funding from the CCI program?</li> <li>• What procedures are used to verify that the requests and payments are accurate?</li> <li>• What support documents are required for the draw of funds or for making payments?</li> <li>• When drawdown of funds will occur?</li> <li>• Minimizing the time elapsed between receiving funds and disbursing them?</li> </ul> <p>If Applicant checks no, please comment:</p> | <input type="checkbox"/> Yes<br><input type="checkbox"/> No |
| <p>10. Does your organization have written procedures to ensure that costs charged to the CCI program are reasonable, allocable, allowable and that financial reports are issued as required?</p> <p>If Applicant checks no, please comment:</p>   | <input type="checkbox"/> Yes<br><input type="checkbox"/> No |
| <p>11. Does your organization have requirements for adequate separation of duties or internal controls so that funds are safeguarded and used only for allowable costs?</p> <p>If Applicant checks no, please comment:</p>   | <input type="checkbox"/> Yes<br><input type="checkbox"/> No |
| <p>12. Is your organization able to monitor and provide project, program, and financial performance reports?</p> <p>If Applicant checks no, please comment:</p>  | <input type="checkbox"/> Yes<br><input type="checkbox"/> No |
| <p>13. What is the policy for your organization’s retaining financial and supporting records? How many number of years does your organization keep records after an agreement is closed</p> <p>_____</p> <p>If Applicant checks no, please comment:</p>  | <input type="checkbox"/> Yes<br><input type="checkbox"/> No |
| <p>14. Does your organization currently receive funds for projects that have similar goals to the CCI program?</p> <p>If Applicant checks yes, please comment:</p>   | <input type="checkbox"/> Yes<br><input type="checkbox"/> No |

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| <p>15. Does your organization have written procurement policies and procedures that have:</p> <ul style="list-style-type: none"><li>• Written standards of conduct that address potential conflict of interests and has disciplinary action for any individual engaged in conducting and administering contracts?</li><li>• Discussion of cost thresholds (small purchases vs. major procurements) and the procurement authorizations and approvals required?</li><li>• A written requirement to review to avoid unnecessary purchases and to limit purchases to necessary quantities?</li><li>• A written requirement to review lease vs. purchase alternatives (when appropriate)?</li><li>• A requirement to perform and document a cost or price analyses for all procurements?</li><li>• A requirement that procurement transactions maximize open and free competition?</li><li>• Written provisions for conducting solicitations having; a clear scope of work, requirements and features prospective bidders must meet, a preference to conserving natural resources and the environment, and positive efforts to use small, disadvantaged and minority owned firms when possible?</li><li>• Requirements to document; reasoning for the type of procurement being used, the basis for contractor selection, a justification for lack of competition or sole-source procurement, and the basis for award cost and price?</li><li>• Provisions that ensure that goods and services are received, approved, and acceptable before payments are made?</li><li>• Guidelines for documenting contract files?</li></ul> <p>If Applicant checks no, please comment:</p> | <p><input type="checkbox"/> Yes<br/><input type="checkbox"/> No</p> |
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