



Silver State Health Insurance Exchange

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APPENDIX D – FISCAL MANAGEMENT CHECKLIST

Answer “Yes” or “No” to the following questions. Provide an explanation for all "No" answers.

Items will be verified during program or fiscal monitoring visits, which may include a random sampling of transactions.

Personnel and Fiscal Management

1. ☐ Yes ☐ No

Does the agency have written personnel policies covering at a minimum: job descriptions, leave policies, recruitment and selection, evaluation, travel, salary ranges, fringe benefits, grievance procedures, disciplinary procedures, termination procedures, conflict of interest, sexual harassment, substance abuse, lobbying, confidentiality, and equal employment policies?

2. ☐ Yes ☐ No

Does the agency have an accounting manual covering all of the following: separation of duties, accounts payable, accounts receivable, internal control, purchasing, check signing policies, payroll, cash receipts, procurements, property management, time sheets, travel, conflict of interest, nepotism?

3. ☐ Yes ☐ No

Are procedures in place to minimize elapsed time between receipt and expenditure of funds and for determining allowability and allocability of costs?

4. ☐ Yes ☐ No

Are accounting records supported by source documents?

5. ☐ Yes ☐ No

Are records adequate to identify the source and use of funds?

6. ☐ Yes ☐ No

Does the agency have a process for reconciling project expenses with revenues?

7. ☐ Yes ☐ No

Fiscal and program records are retained for at least 10 years after the end of the grant period?