**Archdiocese of Seattle Parish**

**Financial Operations and HR Compliance Review**

**Date:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Parish ID#:** \_\_\_\_\_\_ **Parish:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **City:** \_\_\_\_\_\_\_\_\_\_\_\_\_

**FINANCIAL OPERATIONS REVIEW QUESTIONNAIRE**

# GENERAL

1. Are you presently using double entry accounting? Yes [ ]  No [ ]
2. Are the books maintained on a *cash* or *modified accrual* basis? Cash [ ]  Modified Accrual [ ]
3. Are all parish, school, and sponsored organizations bank accounts (including PRF and ARF) included in the General Ledger (GL)? Yes [ ]  No [ ]

In the Parish Annual Report (PAR)? Yes [ ]  No [ ]

1. Are all Endowment, Investment, and Cemetery Care Fund Assets included in the GL?

Yes [ ]  No [ ]  N/A [ ]  In the (PAR)? Yes [ ]  No [ ] N/A [ ]

1. Are all loan accounts (including PRF and ARF) included in the GL? Yes [ ]  No [ ]  N/A [ ]

In the PAR? Yes [ ]  No [ ] N/A [ ]

1. Are financial records stored and maintained in accordance with Archdiocesan Policy?

Yes [ ]  No [ ]

1. Are cash and cash equivalents (including Scrip), accounting records, unused checks, and back-up USB/flash drives or hard drives stored in a fireproof safe or cabinet? Yes [ ]  No [ ]
2. Has the parish developed a plan to continue financial operations in the event of a disaster?

Yes [ ]  No [ ]

1. Are monthly financial statements prepared? Yes [ ]  No [ ]  By whom?
2. **CONSULTATIVE BODIES**
3. Please fill in the table below:

|  | Parish Council | Finance Council |
| --- | --- | --- |
| 1. Does the parish have a Parish Council and/or a Finance Council?
 |   |   |
| 1. How many members does the council have?
 |   |   |
| 1. Are members of the council:
 |  |  |
| 1. Not currently employed by the parish or parish school or a close relative or in-law or living in the same household as a parish or school employee?
 |   |   |
| 1. Not simultaneously a member of the Parish council and Finance Council?
 |   |   |
| 1. How often does the council meet (monthly, quarterly, biannually, annually, other)?
 |   |   |
| 1. Does the council keep minutes or meeting summaries?
 |   |   |
| 1. Where are the minutes or meeting summaries kept?
 |   |   |

1. Finance Council
2. Does the Finance Council make budget recommendations to the Pastor?Yes [ ]  No [ ]
3. Does the FC monitor the actual expenditures against the budget? Yes [ ]  No [ ]

How often?

Is the school budget amended in September to reflect actual enrollment?

Yes [ ]  No [ ]  N/A [ ]

1. Has the FC developed a long-range plan (3-5 years)? Yes [ ]  No [ ]
2. Are FC members involved in day-to-day parish financial operations? Yes [ ]  No [ ]
3. School Finance Committee N/A [ ]
4. Is there a SchoolFinance Committee, or sub-Committee of the School Commission?

Yes [ ]  No [ ]  N/A [ ]

1. Does this group maintain minutes or meeting summaries? Yes [ ]  No [ ]  N/A [ ]  If so, where are they stored?
2. Does the School Commission or Finance Council make budget recommendations to the principal?Yes [ ]  No [ ]
3. Describe the process for pastor/pastoral leader approval of the school budget.

**C.** **CASH RECEIPTS**

*Please list all Bank Accounts on* ***Attachment #2.***

**General**

1. Are cash receipts deposited “intact” (as received)? Yes [ ]  No [ ]
2. How are any donor imposed restrictions documented?
3. Are all checks and money orders restrictively endorsed (bank stamped) as soon as received? Yes [ ]  No [ ]
4. Are all undeposited receipts kept in a locked safe or fireproof cabinet? Yes [ ]  No [ ]
5. Does an authorized party review the bank statements prior to the reconciliation process?

Yes [ ]  No [ ]  Who?

1. Are bank accounts reconciled monthly? Yes [ ]  No [ ]  By whom?
2. Are the bank reconciliations reviewed? Yes [ ]  No [ ]  By whom?
3. Are electronic payment methods accepted?Yes [ ]  No [ ] If yes**,** what financial institution/vendor processes these payments?
4. Are receipts given for individual contributions greater than or equal to $250? Yes [ ]  No [ ]
5. How are donations under $250 documented in the parish and in the school?

1. When a receipt is part gift and part payment (such as an auction ticket), is the value of goods and services received by the donor clearly stated? Yes [ ]  No [ ]

**Parish**

1. Weekly collections:
2. Are procedures for counting weekly collections documented in writing? Yes [ ]  No [ ]
3. Are cash count procedures clearly understood and followed by the counters? Yes [ ]  No [ ]
4. Are tamper-evident bags used? Yes [ ]  No [ ]
5. Is there a written policy for handling and tracking the bags?Yes [ ]  No [ ]
6. Where are collections maintained before counting?
7. Are collections counted by two or more people together? Yes [ ]  No [ ]
8. When and where are they counted?
9. Are collections counted by individual mass?Yes [ ]  No [ ]
10. Are counters rotated? Yes [ ]  No [ ]
11. How are counters selected?
12. Are tally sheets prepared in ink during counting? Yes [ ]  No [ ]
13. Are tally sheets prepared and signed by the countersin ink? Yes [ ]  No [ ]
14. When are weekly collections deposited?
15. Are collections posted to individual parishioners’ contribution records? Yes [ ]  No [ ]

By whom?

1. Are tally sheets reconciled to deposits and to contribution records? Yes [ ]  No [ ]

By whom?

1. Are periodic contribution statements sent to all parishioners?Yes [ ]  No [ ]  How often?
2. Are Archdiocesan collections and all custodial collections for parish and other organizations remitted in a timely manner? Yes [ ]  No [ ]
3. If “Debt Reduction Collections” are taken up, is the total amount collected used to pay down the loan principal? Yes [ ]  No [ ]  N/A [ ]
4. Is there a written policy for handling miscellaneous, including fundraising cash receipts?

Yes [ ]  No [ ]

**School** [ ]  **No School** [ ]

1. Are tuition contracts signed by parents and kept on file? Yes [ ]  No [ ]  Where?
2. Does the school use a tuition management service (e.g., SMART, FACTS)? Yes [ ]  No [ ]
3. Is the parish/school tuition aid/scholarship/tuition reduction policy documented? Yes [ ]  No [ ]  Where?
4. Who is responsible for collecting, recording, and depositing Tuition Collections?
5. Are Tuition Receipts reconciled to Tuition Deposits?Yes [ ]  No [ ]  By whom?
6. Are Tuition Receipts reconciled to Parent Records?Yes [ ]  No [ ]  By whom?
7. Who follows up on Delinquent Tuition?
8. Is there a written policy for writing off uncollectible accounts?Yes [ ]  No [ ]
9. Is next year’s tuition recorded as a liability (i.e. deferred revenue)? Yes [ ]  No [ ]
10. Is there a written policy for handling miscellaneous (including Annual Fund Drive and fundraising) cash receipts? Yes [ ]  No [ ]

**D. CASH DISBURSEMENTS**

1. Are check request forms used by staff and volunteers to request for reimbursement?

Yes [ ]  No [ ]

1. Are check request forms signed by a person with authority to approve expenses?

Yes [ ]  No [ ]  N/A [ ]

1. Are invoices reviewed and approved for receipts of goods and services, mathematical accuracy, and account distribution? Yes [ ]  No [ ]  By whom?
2. Who are the authorized check signers?
3. Do check signers review supporting documentation prior to signing? Yes [ ]  No [ ]
4. After a check has been prepared for payment of an invoice, are the check number, account code, and date paid indicated on the portion of the invoice retained?Yes [ ]  No [ ]
5. Are unpaid invoices filed separately from paid invoices?Yes [ ]  No [ ]
6. Does the parish have bank credit cards and any store credit cards (Staples, Home Depot) or memberships (Costco, Sam’s Club)? Yes [ ]  No [ ]  If “YES”, is there a written policy for the use of these cards? Yes [ ]  No [ ]

Please list the credit card, card number, users and credit limits:

|  |  |  |  |
| --- | --- | --- | --- |
| **Credit Card** | **Card Number** | **User** | **Credit Limit** |
|   |   |   |   |
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|   |   |   |   |

1. Are the credit cards issued in the name of the parish? Yes [ ]  No [ ]  N/A [ ]
2. Is a signature stamp or plate used for signing checks?Yes [ ]  No [ ]

If “yes”, where is it kept when not in use?\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Is there a written policy documenting the procedure for use of the stamp?Yes [ ]  No [ ]

1. Are all checks pre-numbered? Yes [ ]  No [ ]  If “yes”, are all check number sequences accounted for? Yes [ ]  No [ ]
2. Are petty cash funds maintained? Yes [ ]  No [ ]  Please list below:

|  |  |  |
| --- | --- | --- |
| Purpose of Fund | Amount of Fund | Cashier (Person Responsible |
|   |   |   |
|   |   |   |
|   |   |   |
|   |   |   |

1. Are all petty cash payments documented and reviewed when the fund is replenished?

Yes [ ]  No [ ] N/A [ ]  By whom?

**E. PAYROLL**

1. Who processes payroll? Who reviews the payroll reports?\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
2. At year-end, is teacher/principal contracted salary liability recognized?Yes [ ]  No [ ]  N/A [ ]
3. Are all salary advances repaid within one month? Yes [ ]  No [ ]  N/A [ ]
4. Are all employees who no longer work at the parish terminated in the payroll system?

Yes [ ]  No [ ]

1. Who is trained as the payroll backup? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
2. Are 1099 forms prepared for all non-employees who earn more than $600 per year and meet the Independent Contractor criteria? Yes [ ]  No [ ]  N/A [ ]

**F. RESTRICTED CASH (Including Endowments and Bequests)**

*Please list all Restricted and Designated funds on* ***Attachment #3.***

1. Is documentation, including all correspondence, maintained for each restricted contribution received, as well as documentation for all related disbursements? Yes [ ]  No [ ]  N/A [ ]
2. Is a separate ledger account maintained for each Restricted Fund?Yes [ ]  No [ ]  N/A [ ]
3. Are restricted funds recorded as liability when received? Yes [ ]  No [ ]  N/A [ ]
4. Is revenue and expense recognized, and liability reduced, when restricted funds are spent?

Yes [ ]  No [ ]  N/A [ ]

1. Do you have an Endowment Fund? Yes [ ]  No [ ]
2. If you have an endowment fund, have you filed appropriate documents and followed Archdiocesan procedures?Yes [ ]  No [ ]  N/A [ ]
3. Has the Archdiocese been notified of all bequests?Yes [ ]  No [ ]  N/A [ ]
4. **PROPERTY**
5. Are all capital items (cost $10,000 or more and have a useful life of over one year) recorded on the books as assets?Yes [ ]  No [ ]
6. Are capital assets depreciated?Yes [ ]  No [ ]
7. Has the parish purchased or sold any real estate over the past two years?Yes [ ]  No [ ]

Was the Archdiocese contacted?Yes [ ]  No [ ]  N/A [ ]

1. Are Archdiocesan building and renovation guidelines followed?Yes [ ]  No [ ]
2. **FUNDRAISING ACTIVITIES**

*Please list all fundraising activities of the Parish/School, and any clubs, societies, guilds or affiliated organizations on* ***Attachment #4.***

1. Does the parish or school hold any raffles, bingo, or other gambling style events?Yes [ ]  No [ ]  If so are all Federal and State guidelines followed?Yes [ ]  No [ ]  Is there a separate bank account for these activities?Yes [ ]  No [ ]

**I. AFFILIATED ACTIVITIES**

1. Does the Parish or School have a Scrip program? Yes [ ]  No [ ]  If so, do any employees work on it?Yes [ ]  No [ ] Does the Scrip program have its own bank account?Yes [ ]  No [ ]
2. How often is Scrip inventory counted? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_By whom? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
3. If the parish rents its facilities, are Archdiocesan guidelines followed, including proof of adequate insurance?Yes [ ]  No [ ]  N/A [ ]

Are the Parish policies on rentals documented?Yes [ ]  No [ ]  N/A [ ]

1. Does the Parish earn income from any other business activity?Yes [ ]  No [ ]
2. **PARISH SPONSORED CLUBS AND AFFILIATED ORGANIZATIONS**

**Check if none** [ ]

*Please list all Parish clubs, societies, guilds, or other affiliated organizations on* ***Attachment #5.***

1. If these organizations maintain their own checking or savings accounts, please include their
accounts on Attachment #2.
2. If regular fund raising activities are conducted, do any of these organizations have their own Tax Identification Number?Yes [ ]  No [ ]  If so, please indicate in Attachment 5.
3. Does the Parish provide written internal guidelines for these organizations?Yes [ ]  No [ ]
4. Do these organizations prepare annual financial reports?Yes [ ]  No [ ]  Does the parish review copies? Yes [ ]  No [ ]  (*Please have these reports available for your scheduled review)*
5. Are any parish expenses paid by an affiliated organization directly from its own bank account?Yes [ ]  No [ ]  If yes, please explain.

**PERSONNEL QUESTIONNAIRE**

1. **Parish-Owned Housing**
2. Do any parish employees other than priest, or family members of employees, reside in premises owned by the parish or school? Yes [ ]  No [ ]
3. **Employee Classification**
	1. Independent Contractors
4. Are all independent contractors vetted through CCAS/HR? Yes [ ]  No [ ]
5. Is a W-9 form filled out and maintained in the independent contractor’s file? Yes [ ]  No [ ]
	1. Do you have exempt and non-exempt (white and blue collar) workers properly classified?

Yes [ ]  No [ ]

1. **Required Posters** ([www.dol.gov/general/topics/posters](http://www.dol.gov/general/topics/posters))
2. Are the following required employment posters properly displayed?
3. WA L&I Notice to Employees F207-037-909 [02-2009] Yes [ ]  No [ ]
4. Job Safety and Health Protection F416-081-909 [12-2008] Yes [ ]  No [ ]
5. Your Rights as a Worker F700-074-909 [12-2008] Yes [ ]  No [ ]
6. Your Rights under USERRA US DOL Yes [ ]  No [ ]
7. Archdiocese of Seattle Canon Law and Church Policy Yes [ ]  No [ ]
8. Unemployment Benefits EMS 9874.CC7540-032-407. Rev 1/11. UI-biz-poster-EN

Yes [ ]  No [ ]

1. City Specific Poster:
	1. City of Seattle – Labor Standards Workplace Poster Yes [ ]  No [ ]
	2. City of Tacoma
		1. Minimum Wage Poster Yes [ ]  No [ ]
		2. Paid Sick Leave Poster Yes [ ]  No [ ]
2. Are there posters displayed other than those listed above? Yes [ ]  No [ ]

If so, what are they? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

 \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. **Employee Safety**
	1. Are the current Department for Labor and Industries forms being used[[1]](#footnote-1)?
2. Workers' Compensation Filing Information Yes [ ]  No [ ]
3. Hazardous Chemicals Yes [ ]  No [ ]  (refer to Appendix F, 11,12, SDS binder)
4. A Guide to Industrial Insurance Benefits Yes [ ]  No [ ]
5. Steps in Filing a Workers' Comp Claim – Supervisor Yes [ ]  No [ ]
6. Steps in Filing a Workers' Comp Claim – Employee Yes [ ]  No [ ]
7. Self-Insurer Accident Report (including the Claim Submission From) Yes [ ]  No [ ]
8. Physicians Initial Report Yes [ ]  No [ ]
	1. Does your parish, in accordance with Department of Labor and Industries requirements, maintain a red Safety and Accident Prevention Program[[2]](#footnote-2)? Yes [ ]  No [ ]

* + 1. Is the current copy of the Archdiocese Safety and Accident Prevention Program[[3]](#footnote-3) in use?

Yes [ ]  No [ ]

* + 1. Is there a current and complete "Safety Bulletin Board[[4]](#footnote-4)" in an area where employees congregate[[5]](#footnote-5)? Yes [ ]  No [ ]  (refer to Appendix A)
		2. Are safety meetings conducted by the Safety Committee? Yes [ ]  No [ ]  (refer to App. D)

Are minutes of the Safety Committee meetings taken Yes [ ]  No [ ]

Are current meeting minutes posted on the safety bulletin board? Yes [ ]  No [ ]

* + 1. Is there a yellow Safety Data Sheet (SDS) binder in use (near the Safety Board)?

Yes [ ]  No [ ]

* + 1. Are there first aid supplies available at each safety station? Yes [ ]  No [ ]  (refer to App. A)
		2. Do maintenance and custodial workers attend the annual Archdiocese safety training?

Yes [ ]  No [ ]

* + 1. Do employees engaged in “hazardous work” have a PPE[[6]](#footnote-6) on file? Yes [ ]  No [ ]

(refer to Appendix B, Form B-2)

1. **Personnel Documents**
	1. I-9’s
		1. Is there proof of eligibility to work (I-9) form on file for all employees on the payroll whose hire date is after November 6, 1986? Yes [ ]  No [ ]
2. Are all I-9 forms completed in accordance with federal instructions? Yes [ ]  No [ ]
3. Is nothing attached to the I-9 forms? (NOTE: Never attach documentation to I-9 forms, i.e., copies of Driver’s License, Social Security Card, etc.) Yes [ ]  No [ ]
4. Are the I-9 forms filed separately from other employee records? Yes [ ]  No [ ]
5. Is the most current I-9 form used for all new employees? Yes [ ]  No [ ]
	1. Personnel File
6. Does each employee have a personnel file? Yes [ ]  No [ ]
7. Are the personnel files kept in a locked cabinet? Yes [ ]  No [ ]
8. Does each file contain:
	1. A W-11 form for each employee hired under the HIRE Act of 2010? Yes [ ]  No [ ]
	2. A current, completed W-4? Yes [ ]  No [ ]
	3. An Archdiocesan approved background check, completed within the last 3 years?

Yes [ ]  No [ ]

* 1. A signed “Personnel Policies Agreement” Form? Yes [ ]  No [ ]
	2. Current employee emergency contact information form? Yes [ ]  No [ ]
	3. Documentation of the current fiscal year employee pay rate (authorized, amount, effective date, reason)? Yes [ ]  No [ ]
1. For regular employees and temporary employees on benefits, does the file contain:
2. A Letter of Employment Agreement? Yes [ ]  No [ ]
3. A current (within the last year) job description, signed by the employee and supervisor? Yes [ ]  No [ ]
4. An employee evaluation completed within the last year? Yes [ ]  No [ ]
5. Has the supervisor conducted a written performance evaluation within a reasonable period of time (not more than two months) following the completion of:
6. Three months of employment? Yes [ ]  No [ ]
7. Six months of employment? Yes [ ]  No [ ]
8. One year after probation period of six months and annually thereafter? Yes [ ]  No [ ]
9. Is there a separate employee “Medical File” (only required if there is medical information relevant to employment for the employee)? Yes [ ]  No [ ]
10. **HIPAA[[7]](#footnote-7)**
11. Do all employees who have access to PHI have a current certificate of HIPAA training on file? Yes [ ]  No [ ]
12. Do all employees who have access to PHI have a current signed confidentiality statement in their file? Yes [ ]  No [ ]
13. Is PHI (including benefit bills) kept in a separate locked file and seen only on a need to know basis? Yes [ ]  No [ ]
14. **SAFE ENVIRONMENT PROGRAM**
15. Have all Church personnel[[8]](#footnote-8) (including those volunteers with access to cash, checks or other negotiables as well as those volunteers that drive) successfully undergone an Archdiocesan approved criminal background check conducted by the Archdiocese of Seattle every three years? Yes [ ]  No [ ]
16. Does each parish have the abuse reporting phone number prominently displayed in a convenient and predictable location(s) for parishioners to view (Narthex, Vestibule, Lobby, Parish Hall)?

Yes [ ]  No [ ]

1. Is the USCCB Poster on display? Yes [ ]  No [ ]
2. Is the Reporting Brochure available? Yes [ ]  No [ ]

<http://www.seattlearchdiocese.org/SEP/Policies.aspx>

1. Is the Resource Center Brochure available? Yes [ ]  No [ ]

<http://www.seattlearchdiocese.org/SEP/community.aspx>.

1. **ETHICS**

Is the Ethicspoint poster properly displayed? Yes [ ]  No [ ]

1. **SCHOOL**
2. **Security**
3. Is the school is locked except the main door? Yes [ ]  No [ ]

Is a receptionist at the desk in the office adjacent to the door and intercepts those who enter the school? Yes [ ]  No [ ]

1. Is a sign-in sheet available for visitors to complete?Yes [ ]  No [ ]
2. **SAFE ENVIRONMENT Particular to Schools**
	1. For any child who did not participate in "*Touching Safety Program",* is the school opt-out form signed by the parent(s) or guardian on file? Yes [ ]  No [ ]

**Archdiocese of Seattle Parish**

**Financial Operations and HR Compliance Review**

**Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Parish ID#:** \_\_\_\_\_\_ **Parish:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **City:** \_\_\_\_\_\_\_\_\_\_\_\_\_

# ATTACHMENT # 1

# Information Technology Questionnaire

### Form completed by: Click here to enter text. Title: Click here to enter text.

**Instructions: Please** complete the following questions as they relate to Information Technology used for processing Accounting / Payroll Information.

1. Complete the following table for your applications

|  |  |  |  |
| --- | --- | --- | --- |
| System | Product | Server or Cloud | Multi factor Auth |
| Accounting  |  |  |  |
| Census  |  |  |  |
| Auction  |  |  |  |
| Scrip  |  |  |  |
| Credit Card  |  |  |  |
| Electronic Banking (EFT)  |  |  |  |
| Email  |  |  |  |
| Shared files |  |  |  |

1. Do you continue to use a server for your parish operations? Yes [ ]  No [ ]
2. If yes, for what purposes? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
3. Have procedures been developed for periodic back-up of files? Yes [ ]  No [ ]
4. How often are computer files backed-up? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
5. What type of media is used? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
6. Are back-up files stored in a secure location? Yes [ ]  No [ ]

Where? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. List the name of the person or company that performs the computer/network related technical support duties: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
2. Is your technical support resource a parish/school employee? Yes [ ]  No [ ]
3. Does your scope of work for your technical support resource(s), whether employed, contracted or voluntary, should include:

|  |  |
| --- | --- |
| Scope | Yes or no |
| a standard process to evaluate severe and critical patches for end-user devices, servers, network infrastructure, etc. |  |
| a standard process which specifies segregation of any end of life or end of support software and/or hardware, from the rest of the network |  |
|  review of security alerts and logs. |  |
|  testing restoration and recovery of key server conﬁgurations and data from backups every 6 months, including access to decryption keys. |  |

1. Does the parish have wireless capability? Yes [ ]  No [ ]
	1. If YES, is encryption implemented? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. Has your parish and school conducted cybersecurity, phishing and spam awareness training for all staff using the suggested resources below?
	1. Phishing: Yes [ ]  No [ ]

<https://www.youtube.com/watch?v=PMy9uaF7Dx4>

<https://www.youtube.com/watch?v=uFUtSXVYTLw>

* 1. Email Attachments: Yes [ ]  No [ ]

<https://www.youtube.com/watch?v=JFFl78B1d7E&t=15s>

* 1. Spam: Yes [ ]  No [ ]

<https://www.youtube.com/watch?v=Tx0Yl8RQu9o&t=95s>

* 1. Internet Security: Yes [ ]  No [ ]

<https://www.youtube.com/watch?v=aO858HyFbKI&t=134s>

1. Are staff who access email via a web interface required to have multi-factor authentication? Yes [ ]  No [ ]
2. Do Paycom payroll administrators shave multi-factor authentication turned on? Yes [ ]  No [ ]
3. Does access to QuickBooks require multi-factor authentication? Yes [ ]  No [ ]
4. Do you use the Shared Archdiocesan Tenant for Microsoft 365? Yes [ ]  No [ ]

***The following questions require more technical knowledge.***

1. Do you have anti-virus protection with routine updates on all devices? Yes [ ]  No [ ]
2. Is Protective Domain Name Services turned on for your site(s). Yes [ ]  No [ ]
3. Do your passwords comply with Archdiocesan policy:
	1. Applications with MFA implemented should have a minimum 15-character length requirement for passphrases. Yes [ ]  No [ ]
	2. Parishes without MFA should have a minimum 17-character length requirement for passphrases. Yes [ ]  No [ ]
	3. All passphrases should include special characters, numbers and both upper and lower case letters. Yes [ ]  No [ ]
	4. Passphrases should be changed annually. Yes [ ]  No [ ]
4. Is your parish/school mail system configured to enforce Sender Policy Framework (SPF) on incoming e-mails? Yes [ ]  No [ ]
5. Are your Host-based and network ﬁrewalls configured to disallow inbound connections by default? Yes [ ]  No [ ]
6. Are your end user devices encrypted including laptops and desktop computers? Student devices may be exempted from this requirement. Yes [ ]  No [ ]

**Archdiocese of Seattle Parish**

**Financial Operations and HR Compliance Review**

**Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Parish ID#:** \_\_\_\_\_\_ **Parish:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **City:** \_\_\_\_\_\_\_\_\_\_\_\_\_

# ATTACHMENT # 2

# Bank Account Schedule

Instructions: Please include all savings and checking accounts relating to parish activity, including food banks, fundraising (i.e. bingo, raffles, building funds), parents clubs, guilds, etc.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Parish / School Organization** | **Bank** | **Account Number** | **Authorized****Signers** | **Balance on****June 30th** |
|   |   |   |   |   |
|   |   |   |   |   |
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**Archdiocese of Seattle Parish**

**Financial Operations and HR Compliance Review**

**Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

# Parish ID#: \_\_\_\_\_\_ Parish: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ City: \_\_\_\_\_\_\_\_\_\_\_\_\_

# ATTACHMENT # 3

# Restricted and Designated Fund Schedule

|  |  |  |
| --- | --- | --- |
| **Fund Title** | **Purpose** | **Documented?** **(yes/no)** |

**Restricted Funds** – *Those funds which are restricted by the donor for a specific purpose*

|  |  |  |
| --- | --- | --- |
| 1.  |   |   |
| 2.  |   |   |
| 3.  |   |   |
| 4.  |   |   |
| 5.  |   |   |
| 6.  |   |   |
| 7.  |   |   |
| 8.  |   |   |

**Designated Funds** – *Those funds which are designated by parish leadership for a specific purpose*

|  |  |  |
| --- | --- | --- |
| 1.  |   |   |
| 2.  |   |   |
| 3.  |   |   |
| 4.  |   |   |
| 5.  |   |   |
| 6.  |   |   |
| 7.  |   |   |
| 8.  |   |   |

**\* Do not include Custodials – Funds collected and held by the parish or school on behalf of another organization or sponsored group \***

**Archdiocese of Seattle Parish**

**Financial Operations and HR Compliance Review**

**Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

# Parish ID#: \_\_\_\_\_\_ Parish: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ City: \_\_\_\_\_\_\_\_\_\_\_\_\_

# ATTACHMENT # 4

# Fundraising Activities

**Instructions:** Please list all fundraising activities of the Parish/School, including any clubs, societies, guilds or affiliated organizations. Please list all gambling activities in separately.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Parish / School Organization** | **Activity** | **Purpose** | **Yearly Activity or Current Drive?** | **Beginning and****Ending Date** |
| 1.  |   |   |   |   |
| 2.  |   |   |   |   |
| 3.  |   |   |   |   |
| 4.  |   |   |   |   |
| 5.  |   |   |   |   |
| 6.  |   |   |   |   |

**Gambling Activities**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| 1.  |   |   |   |   |
| 2.  |   |   |   |   |
| 3.  |   |   |   |   |
| 4.  |   |   |   |   |

**Archdiocese of Seattle Parish**

**Financial Operations and HR Compliance Review**

**Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

# Parish ID#: \_\_\_\_\_\_ Parish: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ City: \_\_\_\_\_\_\_\_\_\_\_\_\_

# ATTACHMENT # 5

**Parish Sponsored Organizations**

**Instructions**: Please list all Parish clubs, societies, guilds, or other affiliated organizations with their own bank account below.

|  |  |  |  |
| --- | --- | --- | --- |
| **Parish /School - Sponsored Organization** | **Purpose** |  | **Tax ID number****( - )** |
| 1.  |   |  |   |
| 2.  |   |  |   |
| 3.  |   |  |   |
| 4.  |   |  |   |
| 5.  |   |  |   |
| 6.  |   |  |   |
| 7.  |   |  |   |
| 8.  |   |  |   |
| 9.  |   |  |   |
| 10.  |   |  |   |
| 11.  |   |  |   |
| 12.  |   |  |   |
| 13.  |   |  |   |
| 14.  |   |  |   |
| 15.  |   |  |   |
| 16.  |   |  |   |
| 17.  |   |  |   |
| 18.  |   |  |   |
| 19.  |   |  |   |
| 20.  |   |  |   |

1. Check for current Administrator’s Manual from the Archdiocese [↑](#footnote-ref-1)
2. For parishes with 10 or less full or part time employees a monthly safety meeting is required with minutes recorded - OR - for parishes with 11 or more full or part time employees a quarterly safety meeting is required with minutes recorded. [↑](#footnote-ref-2)
3. Check for the Archdiocese Safety Program Binder [↑](#footnote-ref-3)
4. Safety Board must clearly labeled “Safety Board” and it should have a green border [↑](#footnote-ref-4)
5. The Board must be placed “away from the prying eyes of Management” e.g. break room or shop not a manager’s office. [↑](#footnote-ref-5)
6. Personal Protective Equipment [↑](#footnote-ref-6)
7. Employees who come into contact with protected health information (PHI) in the course of conducting their job duties are required to treat this information in accordance with applicable policies. [↑](#footnote-ref-7)
8. The Policy for the Prevention of & Response to Sexual Abuse, Sexual Misconduct and Sexual Harassment defines Church personnel as:

 \* All clergy, seminarians and religious;

 \* All paid employees of the parishes, schools or agencies of the Archdiocese; and

 \* All volunteers authorized to perform services entered into of his/her own free will on behalf of the parishes, schools or agencies of the Archdiocese and who have ongoing unsupervised contact with minors or vulnerable adults. [↑](#footnote-ref-8)