

Office of the State Controller

Self-Assessment of Internal Controls

Major Financial Assistance Cycle – Federal and State Programs

Control Policies and Procedures

Specific Requirements - Eligibility

Agency _____ Year End _____

Program Name _____ CFDA # _____

A. Control Activities / Information and Communication:

Yes No N/A

- ___ ___ ___ 1. Is there a reference manual for intake personnel to use?
- ___ ___ ___ 2. Is the intake form complete and does it allow for the accumulation of all information necessary for a proper eligibility determination?
- ___ ___ ___ 3. Are personnel responsible for collecting information regarding eligibility determinations adequately trained?
- ___ ___ ___ 4. Are the following duties generally performed by different people:
 - ___ ___ ___ a. Preparing the application or the eligibility intake form?
 - ___ ___ ___ b. Verifying the information on the intake form?
 - ___ ___ ___ c. Determining eligibility?
 - ___ ___ ___ d. Computing the amount of assistance payment?
 - ___ ___ ___ e. Approving eligibility determinations and computing the amount for assistance payments?
- ___ ___ ___ 5. Is the quality control unit independent from the persons responsible for administering the programs?

B. Monitoring:

- ___ ___ ___ 6. Are calculations of assistance payments reviewed by someone independent of the person calculating the payment?
- ___ ___ ___ 7. Is the information provided by the client verified with an independent third party?

- ___ ___ ___ 8. Are eligibility determinations approved by a designated official before assistance payments begin?
- ___ ___ ___ 9. Are clients periodically reviewed to determine continued eligibility?
- ___ ___ ___ 10. Is there a quality control unit which selects a sample of eligibility determinations for review?
- ___ ___ ___ 11. Are error rates of incorrect eligibility that are identified by the quality control unit within acceptable limits?