

Office of the State Controller

Self-Assessment of Internal Controls

**Major Financial Assistance Cycle
Federal Programs**

Control Policies and Procedures

Procurement and Suspension and Debarment

Agency _____ Year End _____

Program Name _____ CFDA # _____

Bolded questions identify critical controls. A critical control is a control that will prevent or detect an error in the event that all other controls fail.

Yes No N/A

- ___ ___ ___ 1. Are there written policies for the procurement and contracts establishing:
- Maintenance of contract files?
 - Methods of procurement, contractor selection or rejection, basis of contract price?
 - Verification of full and open competition?
 - Requirements for cost or price analysis?
 - Obtaining and reacting to suspension and debarment certifications?
 - Other applicable requirements for Federal procurement?
- ___ ___ ___ 2. Is there established segregation of duties between employees responsible for contracting, accounts payable, and cash disbursing?
- ___ ___ ___ 3. **Is the contractor's performance with the terms, conditions, and specifications of the contract monitored and documented?**
- ___ ___ ___ 4. **Are procedures established to verify that vendors providing goods and services under the award have not been suspended or debarred by the Federal Government?**
- ___ ___ ___ 5. Does management perform periodic reviews of procurement and contracting activities to determine whether policies and procedures are being followed?