

MONTHLY COMPLIANCE REVIEW FORM

CHAPTER NAME: Pinedale Chapter

DATE: 11/12/2021

FINANCES REVIEWED FOR THE MONTH OF: OCTOBER NOVEMBER DECEMBER

MONTHLY REPORTS, REVIEWED ARE AS FOLLOWS:

Comments/Findings

1. Planning Meeting – Monthly Financial Review	
2. Monitoring Tool – Chapter Official	attached
3. Monthly Check Register (for all Accounts)	✓
4. Monthly Bank Reconciliation (for all Accounts)	✓
5. Bank Statements (for all Accounts)	✓
6. Deposit Slips – COPIES	✓
7. Cash Receipts Journal	✓
8. Subsidiary Ledgers (for all Funds)	none
9. Payroll Journal	✓
10. Combining Statement of Revenues & Expenditures	✓
11. Summary Budget to Actual	✓
12. Combining Balance Sheet	✓
13. Verify CSC/CM saved the latest accounting system backup to an electronic storage device	on USB drive

QUARTERLY REPORTS, REVIEWED ARE AS FOLLOWS:	Comments/Findings:
1. Budget Form 2 (Program Performance Criteria)	Updated for FY 2021 Qtr 4
2. Form 941 (Employers Quarterly Federal Tax Return)	Submitted 10/2021
3. Form 600 – NN Sales Tax	not completed
4. State Unemployment Tax Act (SUTA) Report	Submitted 10/2021
5. NN Workers Compensation – Project Application	Submitted 9/2021
6. Underwriter's Exposure Summary Annual Report	Submitted 8/2021
7. Are the resolutions completed?	yes / signed
8. Monitoring of Community Projects	yes
9. Ensure CSC/CM sends the quarterly fund management system financial backup to Office of Auditor General (OAG)	submitted 11/01/2021
10. CO notifies DCD/ASC when the quarterly fund management system financial backup is sent to OAG	CC'd in e-mail

Explanation/Comments/Recommendations:

complete NN sales tax payment

Coordinator: [Signature]  
 Secretary: [Signature]  
 Vice-President: [Signature]  
 President: [Signature]

Date: 11-12-2021  
 Date: 11-12-21  
 Date: 11/12/2021  
 Date: 11/12/2021

**MONITORING TOOL FOR PRESIDENT, VICE PRESIDENT, AND SECRETARY/TREASURER**

CHAPTER: Pinedale Chapter

DATE: 11/12/2021

REVIEWING FINANCES FOR THE MONTH OF:

OCTOBER

NOVEMBER

DECEMBER

MONTHLY REPORTS REVIEWED AS FOLLOWS:		Comments/Findings
1. Is the CC/CM monitoring and reviewing the AMS/AA duties and responsibilities by initializing all documents?	<input checked="" type="radio"/> yes / <input type="radio"/> no	Transmittal sheet
2. Are the monthly expenditure reports submitted to ASC?	<input checked="" type="radio"/> yes / <input type="radio"/> no	Emailed 11/15/21
3. Is the Check Register updated?	<input checked="" type="radio"/> yes / <input type="radio"/> no	
4. What is the last Check Number?	#1975	
5. Is the Bank Reconciliation completed?	<input checked="" type="radio"/> yes / <input type="radio"/> no	Ams / CSC
6. Is the Chapter monitoring bank accounts through the Online Commercial Electronic Office (CEO)?	<input checked="" type="radio"/> yes / <input type="radio"/> no	CSC has accessed
7. Is the Cash Receipts Journal updated?	<input checked="" type="radio"/> yes / <input type="radio"/> no	
8. Are the Revenues deposited timely?	<input checked="" type="radio"/> yes / <input type="radio"/> no	Deposited at \$200.00
9. Are Deposit Slips filed with the Cash Receipts Journal?	<input checked="" type="radio"/> yes / <input type="radio"/> no	
10. How much cash is still On-Hand?	\$ <del>0</del>	10/31/2021
11. Are the Financial Statements below being prepared by the AMS/AA and then reviewed by the CSC/CM and S/T?	<input checked="" type="radio"/> yes / <input type="radio"/> no	
12. Financial Statement 1: Combined Statement of Revenue & Expenditures	<input checked="" type="radio"/> yes / <input type="radio"/> no	
13. Financial Statement 2: Combined Balance Sheet	<input checked="" type="radio"/> yes / <input type="radio"/> no	
14. Financial Statement 3: Summary Budget and Actual	<input checked="" type="radio"/> yes / <input type="radio"/> no	
15. Are the three financial statements listed above attached to the Chapter meeting minutes?	<input checked="" type="radio"/> yes / <input type="radio"/> no	
16. Are the Financial reports recorded in the Chapter meeting minutes?	<input checked="" type="radio"/> yes / <input type="radio"/> no	
17. Are the Navajo Nation Sales Taxes paid quarterly? If so, please state which quarter it was completed.	<input checked="" type="radio"/> yes / <input type="radio"/> no	2021 Qtr 2
18. Are the Monthly Social Security, Medicare, Federal, State Taxes deposited? If so, provide the month completed.	<input checked="" type="radio"/> yes / <input type="radio"/> no	October 2021
19. Is the Form 941 completed and submitted to IRS? If so, please state which quarter is completed.	<input checked="" type="radio"/> yes / <input type="radio"/> no	2021 Qtr 3
20. Is the Physical Inventory up to date? If so, state when it was completed	<input checked="" type="radio"/> yes / <input type="radio"/> no	August 2021
21. Do we have a perpetual inventory? If so, state when it was completed.	<input type="radio"/> yes / <input checked="" type="radio"/> no	no inventory
22. Are the Resolutions completed?	<input checked="" type="radio"/> yes / <input type="radio"/> no	
23. Are the Chapter meeting minutes electronically recorded?	<input checked="" type="radio"/> yes / <input type="radio"/> no	pinedalegov.or
24. Are Monthly Progress Reports provided verbally and written at Planning meetings?	<input checked="" type="radio"/> yes / <input type="radio"/> no	CSC provides report
25. Is the Chapter V/P and CSC/CM monitoring the PEP and Chapter community projects?	<input checked="" type="radio"/> yes / <input type="radio"/> no	

**Explanation/Comments/Recommendations:**

Coordinator: \_\_\_\_\_

Secretary: \_\_\_\_\_

Vice-President: \_\_\_\_\_

President: \_\_\_\_\_

*[Handwritten signatures]*  
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Date: \_\_\_\_\_

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

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

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

11-12-2021

11-12-21

11/12/2021

11-12-2021