



# Annual Financial Report Survey

## **Annual Survey Instructions**

The following survey should be completed by the Pastor/Principal and parish/school staff, with the assistance of the Finance Council/School Board. Please select or provide the appropriate answer to the best of your ability. This survey is due by September 30, 2023. It can be filled out either online or a paper copy may be printed and sent to the Diocese of Des Moines Finance Department or emailed to [rwaskel@dmdiocese.org](mailto:rwaskel@dmdiocese.org).

## Parish Finance Council

Parish Finance Council Guidelines can be found at

[www.dmdiocese.org/filesimages/Parish%20Governance/Parish%20Finance%20Council%20Guidelines\\_2022.pdf](http://www.dmdiocese.org/filesimages/Parish%20Governance/Parish%20Finance%20Council%20Guidelines_2022.pdf)

1. Please provide the name of your parish, the city where it is located and the name and title of the person filling out this form. \*

St. Theresa of the Child Jesus Des Moines

Kenneth Seymour Parish Manager

2. Does the parish have a Finance Council that operates in accordance with the guidelines issued by the Diocese? \*

Yes

No

Other

3. List the dates of the Finance Council meetings in FY2023: \*

8-11-22 9-8-22 10-13-22 11-10-22 1-12-23 2-9-23 3-9-23 4-13-23 5-11-23 6-8-23

4. Are there five or more members, not including the Pastor? \*

Yes

No

5. Have all current Finance Council members served for six or less consecutive years? \*

If any member has served more than six years, please select both No and Other where you will fill in the number of years for those serving over six years.

Yes

No

Tom-20plus Margie-20plus, Kevin-20plus, Paul-20plus

6. Did the Finance Council maintain minutes of each meeting? \*

Yes

No

7. At least quarterly, did the Finance Council review full and complete financial statements printed directly from ParishSOFT Accounting? \*

- Statement of Financial Position: June 30, 2022 and 2023 balances
- Statement of Dedicated Accounts: June 30, 2023
- Statement of Activities: Year to Date, June 30, 2022 and 2023; Annual Budget June 30, 2023

Yes

No

8. Has the Finance Council approved an annual operating budget for the fiscal year beginning July 1, 2023? \*

Yes

No

9. Has the Finance Council approved the priest housing letter for the coming year? \*

Yes

No

N/A, we do not have priest housing

10. Are the statements of financial position accounts reconciled at the end of the fiscal year? \*

Yes

No

### Approvals from the Bishop's Office.

11. Was the Bishop's approval obtained prior to initiating a building project **OR** prior to buying or selling property valuing \$25,000 or more? \*

- Yes
- No
- N/A

12. Was the Bishop's approval obtained prior to executing any loan, mortgage, line of credit, or renewals? \*

- Yes
- No
- N/A

13. Was the Diocesan Building Commission's approval obtained for projects greater than \$50,000?

\*

Resource Manual: **804 BUILDING CONTRACTS, p. 147.**

[www.dmdiocese.org/filesimages/Finance/Resource%20Manual/RESOURCE%20MANUAL%20April%202022.pdf#page=147](http://www.dmdiocese.org/filesimages/Finance/Resource%20Manual/RESOURCE%20MANUAL%20April%202022.pdf#page=147)

- Yes
- No
- N/A

## Banking and Investments

14. Does the Pastor/Principal have signatory power on all checking, savings, and investment accounts (including those of any auxiliary groups)? \*

Resource Manual: **101 BANK/INVESTMENT ACCOUNTS, p. 11**

<http://www.dmdiocese.org/filesimages/Finance/Resource%20Manual/RESOURCE%20MANUAL%20April%202022.pdf#page=11>

Yes

No

15. If you answered No above, please list accounts with exceptions: \*

NA

16. Have signers been reviewed and are current? \*

Yes

No

17. Are all bank and investment accounts reported on the Statement of Financial Position, including CDs and any auxiliary group accounts like Altar & Rosary or Home & School accounts? \*

Yes

No

18. Are all balances from the above accounts as of June 30, 2023? \*

Yes

No

19. Does the parish/school have a written investment policy? \*

Yes

No

Other

20. Are blank checks secured from unauthorized access? \*

Yes

No

21. Are blank checks pre-numbered by the check vendor? \*

Yes

No

22. Is supporting documentation (e.g., invoice, etc.) provided for all disbursements given to the Pastor/Principal, or his/her designee, for approval? \*

Yes

No

23. Are all bank accounts reconciled by someone without authority to withdraw funds and/or sign checks? \*

Resource Manual: **101 BANK/INVESTMENT ACCOUNTS, p. 12.**

<http://www.dmdiocese.org/filesimages/Finance/Resource%20Manual/RESOURCE%20MANUAL%20April%202022.pdf#page=12>

Yes

No

24. Are all investment accounts reconciled by someone without authority to withdraw funds? \*

Yes

No

Other

25. Are all bank and investment reconciliations reviewed in detail by a second person? \*

Yes

No

26. Does the 2nd person review the bank statement with the reconciliation review? \*

Yes

No

27. Are outstanding checks researched and resolved within 90 days? \*

Yes

No

28. Are all uncleared journal entries researched and resolved within 90 days? \*

Yes

No

29. Please calculate the number of months of average operating expenses you have in your unrestricted operating reserve, using this formula: *(Unrestricted cash balance divided by FY2023 Operating expense budget divided by 12)* \*

3.6 months

30. Are only restricted funds appropriately categorized into parish council restricted accounts (#1200 series) or donor-restricted accounts (#1300 series)? \*

Resource Manual: **103 RESTRICTED ASSETS**. p. 18

<http://www.dmdiocese.org/filesimages/Finance/Resource%20Manual/RESOURCE%20MANUAL%20April%202022.pdf#page=18>

Yes

No

31. Did all withdrawals/disbursements from the donor-restricted accounts in the last year meet the restrictions set by the donor? \*

Yes

No

Other



32. Does your written credit card policy include these three restrictions: a) only assigned to those users who really need it for making purchases for the church; b) sets an appropriate credit limit on cards; c) does not allow cash withdrawals or personal purchases. *Select Other if an explanation is needed.* \*

Resource Manual: **303 PARISH AND SCHOOL CREDIT OR STORE CARDS**, p. 43.

<http://www.dmdiocese.org/filesimages/Finance/Resource%20Manual/RESOURCE%20MANUAL%20April%202022.pdf#page=43>

- Yes
- No
- Other

33. Does the Pastor/Principal review and approve credit card statements, including documentation for charges? \*

- Yes
- No

34. Is the credit card balance paid in full each month? \*

- Yes
- No

35. Does the parish or school have a debit card? \*

- Yes
- No

36. Does the parish/school participate in online banking? (Logging into your bank remotely is considered online banking. Allowable transactions are direct deposit or debit via ACH, scan checks for remote deposit, transfer funds to another account, pay bills.) \*

Resource Manual: **104 ELECTRONIC BANKING, p. 19**

<http://www.dmdiocese.org/filesimages/Finance/Resource%20Manual/RESOURCE%20MANUAL%20April%202022.pdf#page=19>

Yes

No

37. Do all online banking transactions require the authorization of two people? \*

Yes

No

N/A

38. Are all online banking transactions executed from a device that is not used for any other Internet activity? \*

Yes

No

N/A

39. Does the parish/school offer an electronic recurring tithing option? \*

Yes

No

40. Does the parish/school offer an online giving option on your website? \*

Yes

No

41. If you answered yes to online giving via your website, please name the online giving platform used: \*

Common examples: ParishSOFT, OSV, LPI, Vanco, etc.

PatishSOFT

## Processing Receipts

42. Do you use tamper-resistant bags for mass collections? \*

Yes

No

43. Do you use tamper-resistant bags for major fundraisers? \*

Resource Manual: **201 PROCESSING RECEIPTS, p. 25**

<http://www.dmdiocese.org/filesimages/Finance/Resource%20Manual/RESOURCE%20MANUAL%20April%202022.pdf#page=25>

Yes

No

N/A

44. Is access to the bags limited to someone who does not have access to un-deposited funds? \*

- Yes
- No
- N/A

45. Is this same person using the Bag Tracking Form as shown on p. 169 of the Resource Manual? \*

Resource Manual: **201 PROCESSING RECEIPTS, p. 169**

<http://www.dmdiocese.org/filesimages/Finance/Resource%20Manual/RESOURCE%20MANUAL%20April%202022.pdf#page=169>

- Yes
- No

46. Do the counters verify that the assigned bag numbers they count from are identical to the bag numbers recorded on the bag tracking form for a Mass or fundraiser? \*

- Yes for Masses
- No, for Masses
- N/A for Masses
- Yes, for fundraisers
- No, for fundraisers
- N/A for fundraisers

47. Are there at least two unrelated people assisting with the counting? \*

Yes

No

48. Are collection teams rotated each week (as in, you don't have the same team two weeks in a row)? \*

Yes

No

49. Do any members of the count teams have recording responsibilities in ParishSOFT Family Suites or ParishSOFT Accounting? \*

Yes

No

50. Is a tamper-resistant bag or a locking bank bag used to transport all deposits to the bank? \*

Yes

No

## Human Resources

51. There are two federal forms (W-4 and I-9) and one IA form (W-4) required to be kept on file for employment. Have you complied with all instructions as per the governing body for every parish and school employee? \*

To verify your compliance, please see [www.irs.gov/forms-pubs/about-form-w-4](http://www.irs.gov/forms-pubs/about-form-w-4) and [www.uscis.gov/i-9](http://www.uscis.gov/i-9).

Yes

No

52. Do you have a signed waiver for all employees who work at least 20 hours per week but have NOT elected to participate in the 403(b) Retirement Plan? \*

Resource Manual: **404.2 EMPLOYEE RETIREMENT (403B), p. 72**

<http://www.dmdiocese.org/filesimages/Finance/Resource%20Manual/RESOURCE%20MANUAL%20April%202022.pdf#page=72>

Yes

No

53. Does someone reconcile the payroll liability/withholding accounts (GL accounts #2000 - #2050), at a minimum at the fiscal year-end? \*

Resource Manual: **406 PAYROLL LIABILITIES, p. 80.**

<http://www.dmdiocese.org/filesimages/Finance/Resource%20Manual/RESOURCE%20MANUAL%20April%202022.pdf#page=80>

Yes

No

54. In the past year, has the IRS imposed any penalties or late fees? \*

Yes

No

55. Have all federal and state withholding reports and payments been filed for the past four (4) quarters? \*

Yes

No

56. List the current number of parish or school employees listed on IRS Form 941 as of June 30, 2023. [www.irs.gov/pub/irs-pdf/f941.pdf](http://www.irs.gov/pub/irs-pdf/f941.pdf) \*

Including the Pastor, please answer with:

- 1) # of Full-Time (works 28 hours or more per week);
- 2) # eligible for 403(b) (works at least 20 but less than 28 hours per week);
- 3) # of Part-Time (works less than 20 hours per week);
- 4) # of Seasonal or Temporary NOT included in the other categories.

1-40

2-0

3-23

4-6

## Gambling and Sales Tax

57. Has a Gambling license been obtained for all raffles and bingo games? \*

Resource Manual: **204 FUNDRAISING ACTIVITIES, p. 34.**

<http://www.dmdiocese.org/filesimages/Finance/Resource%20Manual/RESOURCE%20MANUAL%20April%202022.pdf#page=34>

Yes

No

N/A

58. Winnings over \$600 require filing of a W-2G. Was this form filed, if needed, for winnings over \$600? \*

Resource Manual: **302 TAXES, p. 41.**

<http://www.dmdiocese.org/filesimages/Finance/Resource%20Manual/RESOURCE%20MANUAL%20April%202022.pdf#page=41>

- Yes
- No
- N/A

59. Has an IRS 1099 form been issued to all independent contractors or vendors in accordance to federal regulations? \*

- Yes
- No

60. Has an IRS W-9 form been obtained for all vendors of services greater than or equal to \$600? \*

- Yes
- No
- N/A

## Safety

61. Do you have a Safety Committee which met at least three (3) times in FY2023? \*

Resource Manual: **510 SAFETY CULTURE, p. 105.**

<http://www.dmdiocese.org/filesimages/Finance/Resource%20Manual/RESOURCE%20MANUAL%20April%202022.pdf#page=105>

- Yes, and they met at least 3 times



- No
- Yes, but they only met 1 or 2 times
- Yes, but they didn't meet

62. Did the Safety Committee maintain written minutes of each meeting?

- Yes
- No
- We don't have a Safety Committee.

63. Who is your Safety Coordinator? (Please provide name and email address.)

Justin Papian justinpapian@gmail.com

64. Are you aware of and do you comply with the Diocesan policy: Vehicle and Driver Safety? \*

[www.dmdiocese.org/resources/finance/policies](http://www.dmdiocese.org/resources/finance/policies)

- Yes, I am aware and we comply
- Yes, I am aware but we don't comply
- No, I am not aware and I don't comply

65. Are you aware of and do you comply with the Diocesan Fraud Policy? \*

[www.dmdiocese.org/resources/finance/policies](http://www.dmdiocese.org/resources/finance/policies)

- Yes, I am aware and we comply

- Yes, I am aware but we don't comply
- No, I am not aware and I don't comply

66. Are you aware of and do you comply with the Facility Usage Guide? \*

[www.dmdiocese.org/resources/finance/policies](http://www.dmdiocese.org/resources/finance/policies)

- Yes, I am aware and we comply
- Yes, I am aware but we don't comply
- No, I am not aware and I don't comply

67. Are you aware of and do you comply with the Building Commission Guidelines? \*

[www.dmdiocese.org/resources/administration/building-services](http://www.dmdiocese.org/resources/administration/building-services)

- Yes, I am aware and we comply
- Yes, I am aware but we don't comply
- No, I am not aware and I don't comply

68. Please remember to email or mail your Finance Council/School Board members information sheet and the AFR signature page to [rwaskel@dmdiocese.org](mailto:rwaskel@dmdiocese.org) or Diocese of Des Moines, 601 Grand Ave, Des Moines, IA 50309. \*

The space below is available for any additional information you would like us to know. Thank you!

Question 33, We answered no but I as the Parish Manager review the statement. So there is a second set of eyes aside from the accountant.

Question 43, we will be using Tamper bags for Fundraisers going forward.

Question 48, we are low on volunteers but are working toward this goal

Question 49, yes as we are beginning to upload checks inhouse so our accountant help in the count.

But we have put in place a check and balance for approval of deposit and signed off by me.

Question 50, We will look into which of these is the best option.

Question 61 our safety committee already has quarterly meetings planned for this year.

I have tried to answer a few question that as a Finance Council we discussed at our Sept meeting in going over the annual report.

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