



**FY 2019/2020**  
**ANNUAL FINANCIAL REPORT**  
**DIOCESE OF SIOUX CITY**

**PARISH/SCHOOL ACCOUNTING OFFICE**  
**Julie Mahaney, Linda Topf, Ellen Dirks**

Each year, as part of the diocesan chancery office's due diligence and annual financial reporting requirements, we request your parish, parish school, and other location's (e.g., separately incorporated cemetery) financial statements. This year the request is for the **7-1-19 to 6-30-20** financial statements, budget for **2020-2021**, and other supporting documents. A limited scope desk review or on-site financial review is then performed to ensure your location complies with generally accepted accounting principles, federal and state regulations, and diocesan financial and internal control norms.

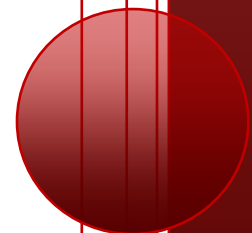
**Receipt in Chancery Office Due By:**  
**Friday, August 31, 2020**

Location Name: \_\_\_\_\_

City: \_\_\_\_\_

Contact Name: \_\_\_\_\_

Contact Phone: \_\_\_\_\_



Diocese of Sioux City  
ANNUAL FINANCIAL REPORT REQUEST – **REQUIRED INFO**  
JULY 1, 2019 TO JUNE 30, 2020

LOCATION NAME & CITY: \_\_\_\_\_

**All Locations: Please return this form with the annual report putting a checkmark on the line to indicate your paperwork is enclosed:**

\_\_\_\_\_ The Annual Financial Report Certification is signed and enclosed to indicate the Financial Statements and Diocesan Norms have been reviewed.

\_\_\_\_\_ The Contact Information page is completed and enclosed.

\_\_\_\_\_ The Financial Report Questionnaire is completed & enclosed.

\_\_\_\_\_ 2 original signed Corporate Resolutions listing authorized signers are enclosed.

\_\_\_\_\_ Completed bank confirmation forms verifying the 6/30/20 balance of ALL checking, savings and investment accounts and loan balances are enclosed.

\_\_\_\_\_ Investment statement verifying 6/30/20 balance for all investment accounts not included on bank confirmation form (this is not necessary for diocesan accounts).

\_\_\_\_\_ 2019 IRS W-3 AND W-2 forms for locations that contract for outside services for payroll as opposed to process in QuickBooks.

\_\_\_\_\_ 2019 IRS 1096 and 1099-Misc forms are enclosed.

\_\_\_\_\_ 2019 IRS 1096 and W-2G forms are enclosed.

\_\_\_\_\_ Minutes from finance council meeting approving the 2019-2020 Annual Financial Report and documenting review of the Diocesan Norms.

\_\_\_\_\_ Minutes from finance council meeting approving the 2020-2021 fiscal year budget.

\_\_\_\_\_ 2020-2021 fiscal year budget is keyed in QuickBooks.

\_\_\_\_\_ Contribution Summary Report for 7/1/19 to 6/30/20 giving is enclosed.  
List Contribution Software: \_\_\_\_\_  
List Version: \_\_\_\_\_

\_\_\_\_\_ ALL QuickBooks (QB) backups that your location maintains are uploaded to Sharefile. All bank/investment accounts should be updated and reconciled before uploading this. Include city and location in the file name, e.g. Akron-St. Patrick.  
List QB Version (e.g., 2020): \_\_\_\_\_  
Password: \_\_\_\_\_

**Diocese of Sioux City  
ANNUAL FINANCIAL REPORT REQUEST – CONTACT INFO**

LOCATION NAME & CITY: \_\_\_\_\_

Location's Information	Contact Information
Mailing Address, City, State, Zip	
Business Office Days/Hours Open	
Business Phone Number	

Bookkeeper's Information	Contact Information
Name	
Work Days/Hours	
Business Phone (if different)	
<b>Bookkeeper Cell Number</b>	

Do you work in the parish business office? Yes \_\_\_\_\_ No \_\_\_\_\_  
If NO, identify the bookkeeping address and if it's a home, business, ... address.

\_\_\_\_\_

**\*Please ensure the cell phone number and email is listed so we can capture this data.**

Current Parish Lay Director	Contact Information
Name	
Street Address, City, State, Zip	
<b>Cell Phone Number*</b>	
<b>Email*</b>	

Current Parish Lay Director	Contact Information
Name	
Street Address, City, State, Zip	
<b>Cell Phone Number*</b>	
<b>Email*</b>	

Current Finance Council/Board Chairperson	Contact Information
Name	
Street Address, City, State, Zip	
<b>Cell Phone Number*</b>	
<b>Email*</b>	

Diocese of Sioux City  
ANNUAL FINANCIAL REPORT REQUEST - **CERTIFICATION**  
JULY 1, 2019 TO JUNE 30, 2020

LOCATION NAME & CITY: \_\_\_\_\_

**Finance Council/Board Member Certification:**

We met, reviewed and approved the financial statements for the fiscal year ended June 30, 2020, the budget for 2020-2021, **and the Diocesan Norms**. This included a review of:

- 1) Comparative Balance Sheet at June 30, 2020 & June 30, 2019
- 2) Profit & Loss Statement for fiscal year ending June 30, 2020 & 2019
- 3) Budget vs. Actual Statement for fiscal year June 30, 2020
- 4) Check Register for all checking and savings accounts
- 5) **Diocesan Financial and Internal Control Norms**
- 6) **Finance Council and Parish Lay Director Norms**

My signature below reflects that to the best of my knowledge these financial statements are an accurate reflection of the financial condition and activities of our location. **My signature also reflects that I have reviewed the above noted Norms.**

The Pastor/Principal and Finance Council accept responsibility for reviewing the effectiveness of the location's internal control systems.

**Pastor**

Printed Name & Date	Signature
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**School Administrator (as applicable)**

Printed Name & Date	Signature
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**Bookkeeper/Business Manager**

Printed Name	Signature
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**Finance Council/Board Chairperson/Members (*all should sign*):**

Printed Name	Signature
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____
5. _____	_____
6. _____	_____
7. _____	_____
8. _____	_____

Diocese of Sioux City – Annual Financial Report – **Questionnaire 1 of 2**  
 JULY 1, 2019 TO JUNE 30, 2020

**Location Name & City:** \_\_\_\_\_

**Please answer all questions accurately regarding your location’s procedures and internal controls that are in place.**

**For the bank/investment account section, use separate paper to explain any YES answers!**

Bank/Investment Accounts	Yes	No
1. Does your location have any checking, savings and/or investment accounts where the checkbook is handled by someone other than the bookkeeper?		
2. Are there any bank or investment accounts that use a tax identification number (TIN) that is different from the location’s TIN?		
3. Are there any bank or investment accounts that are not recorded on the balance sheet (excluding mass fund since this belongs to Father)?		
4. Are there any bank or investment accounts that are not updated and reconciled in QuickBooks at least through 6/30/20?		
5. Is the bookkeeper a signer on any bank or investment accounts?		
6. Are there any bank or investment accounts where Father is not listed on the signature card as an authorized signer?		
7. Are there any bank or investment accounts that have a signer listed that is not included on the corporate resolution as authorized?		
8. Do any bank or investment statements get mailed to an address other than the location’s business office address?		
9. Who reviews the bank statement other than the bookkeeper? List Name and Title of this person _____		

Payroll & Taxes	Yes	No
1. Did your location process payroll in 2019-2020? If NO, skip this section.		
2. Which pay option did your pastor elect in 2019-2020? 1 _____ or 2 _____		
3. Were salary increases in 2019-2020 approved by the finance council?		
4. Were salary increases in 2019-2020 documented in the employee files?		
5. Did hourly employees complete timesheets?		
6. Did the employee sign his/her timesheet to indicate approval?		
7. Did the pastor or principal sign all timesheets to indicate approval?		
8. Is a Federal W-4 on file for every employee that agrees with QuickBooks?		
9. Is a State W-4 on file for every employee that agrees with QuickBooks?		
10. Is an I-9 on file for every employee and filed separate from employee file?		
11. Is an approved background check on file for every employee?		
12. Were the IRS Form W-2s and W-3 issued by January 31, 2020?		
13. Were IRS W-9 forms obtained from all independent contractors that were paid \$600 or more for services performed in calendar year 2019?		
14. Were the IRS Form 1099s and 1096 issued by January 31, 2020?		

Diocese of Sioux City – Annual Financial Report – **Questionnaire 2 of 2**  
 JULY 1, 2019 TO JUNE 30, 2020

**Location Name & City:** \_\_\_\_\_

Disbursements	Yes	No
1. Are vendor invoices received somewhere other than location’s business office?		
2. Does your pastor and/or principal initial & date invoices to approve <u>before</u> the payment is issued? This includes for on-line payments.		

Offertory/Contributions	Yes	No
1. Were contributions statements issued to all donors by 1/31/2020?		
2. Were grain, stock and IRA donations included on the contribution statements?		
3. Do your calendar year 2019 contributions in QuickBooks agree with the 2019 contributions recorded in your software program?		
4. Are the offertory collections kept locked on church premises until counted?		
5. Is an offertory tally sheet or cash sheet used to support offertory details?		

Finance Council/Board	Yes	No
1. Did the finance council meet at least once a quarter in fiscal year 2019-2020?		
2. Are written finance council/board meeting minutes kept?		
3. Are the minutes maintained in the parish or school business office?		
4. Does bookkeeper present the balance sheet and profit & loss at the meetings?		
5. Were the annual financial reports provided to the parishioners?		

<Type Diocesan Location Name Here>  
<Type Location Address here>

**CORPORATE RESOLUTION**

**Resolved**, at the Finance Committee/Board meeting on <enter date here> of the above named location, that the Bishop, Pastor, School Administrator or other diocesan Location Director, Parish Lay Director, and Finance Committee or Board Chairperson of the diocesan location indicated above at the noted address are hereby authorized and empowered to establish and maintain one or more checking accounts, savings accounts, investment accounts and brokerage accounts for the purpose of purchasing, investing or selling cash and/or any form of securities for the above name parish, school or other diocesan entity.

I further certify that the following are authorized representatives of <type location name here> and their respective names and signatures are provided herewith:

<b>Title</b>	<b>Name</b>	<b>Signature</b>
Bishop	Most Rev. R. Walker Nickless	_____
Pastor	<Type Name Here>	_____
School Administrator or Location Director	<Type Name Here>	_____
<Type Title>	<Type Name Here>	_____
<Type Title>	<Type Name Here>	_____

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Pastor Signature (*indicating finance council approval of above*) \_\_\_\_\_ Date \_\_\_\_\_

**\*\*\*\*\*Return 2 originals to the Chancery Parish Accounting Office\*\*\*\*\***

**For Chancery Office Use Only:**

Date Received in Chancery Office: \_\_\_\_\_

Two Originals Received? Yes \_\_\_\_\_ No \_\_\_\_\_

Forms Completed Accurately? Yes \_\_\_\_\_ No \_\_\_\_\_ If no, date returned: \_\_\_\_\_

Date Copy 1 Returned to Location: \_\_\_\_\_

Copy 2: Retain in Parish Accounting

**BANK/INVESTMENT ACCOUNT VERIFICATION/CONFIRMATION**

***Parish/School/Other Diocesan Entity Bookkeeper*** : Please complete the identifying info and "Return to" box below, obtain the pastor's signature, and send or take this form to each bank/financial institution that you do business with. When complete, input the QuickBooks account numbers. Compare to Quick Books and make any necessary updates. Submit the original to the Diocese with the annual financial report. Retain a copy for your records.

Name of Parish/School/  
Other Diocesan Entity: \_\_\_\_\_

Taxpayer Identification  
Number (TIN): \_\_\_\_\_

Bank/Financial Institution: \_\_\_\_\_  
Address: \_\_\_\_\_

**Pastor: Please Sign:**

Information requested by:

x \_\_\_\_\_  
Signature of Pastor (or Bishop)

Date: **June 30, 2020**

***Bank/Financial Institution*** : Please complete the below account information. **Since this is a blank confirmation, the bookkeeper should NOT have pre-populated the fields.** Please identify the noted info for ALL accounts (checking, savings, CDs, loans, etc.) that use the parish, school, or other diocesan entity tax identification number.

Account Name:	Account Number:	Type of Account: (Chkg, Svgs, CD, Loan, Other)	Interest Rate	CD Maturity Date	Balance <b>June 30, 2020</b>	<b>BOOKKEEPER</b> Identify QuickBooks Account # <b>AFTER</b> the bank returns this form

Completed by Bank/Financial Institution Representative:

Name/Signature: \_\_\_\_\_

Title/Position: \_\_\_\_\_

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

Phone: \_\_\_\_\_

Return to: \_\_\_\_\_

\_\_\_\_\_

Thank you!!