

LOS ANGELES CITY ETHICS COMMISSION

2009 AUDIT CYCLE QUESTIONNAIRE

CANDIDATE: _____

COMMITTEE: _____

COMMITTEE TREASURER: _____

1. Where were the campaign records located?
2. Who prepared the Committee's campaign statements?
3. What other types of bank accounts did the Committee have, besides the campaign checking account, (e.g. money markets, certificate of deposits, etc.)?
4. How frequently did the Committee reconcile its books? Briefly explain who completed the reconciliation and what procedures were used.
5. Who had access to campaign disbursement checks and bank records?
6. What procedures were used to ensure that campaign funds were disbursed properly and only for campaign related purposes?

Audit Questionnaire

Committee Name: _____

7. Were the Candidate and Treasurer the only individuals authorized to approve expenditures and make payments? If no, list the other individuals authorized to have these functions.

8. Describe how contributions were processed when received by the Committee through the mail, at fundraiser and etc. Who had access to the contributions prior to deposit?

9. How and what type of documentation did the Committee maintain in its records for each of the following?
 - a. Monetary contributions.

 - b. Non-monetary contributions.

 - c. Loans received.

 - d. Cash contributions.

 - e. Anonymous contributions.

 - f. Matching funds contributions.

10. How were contributors information maintained and what procedures were used to obtain missing information?

Audit Questionnaire

Committee Name: _____

- e. Petty cash.

 - f. Check registers or journals.
15. Did the Candidate/Committee enter into any contractual agreements for goods and services?
If yes, who were the vendors and were copies of the contracts maintained?
16. Did the Committee acquire any physical assets? (Please list them).
17. What happened to these assets after the election?
18. Did the Committee, during the election period, conduct any special fundraising events such as auctions, art sales, etc.?
19. Did any unusual circumstances arise during these events, such as problem with obtaining contributor information, valuation of auction and/or sale items, etc.?
20. What vendors were involved in the design, production and distribution of campaign literature?
21. What method(s) was used to distribute campaign literature?

