



CIS - Excess Crime Coverage Application

Member Name: _____

Requested Date of Coverage: _____

LIMIT REQUEST OPTIONS*

- ☐ \$50,000 ☐ \$100,000 ☐ \$150,000 ☐ \$200,000 ☐ \$250,000 ☐ \$300,000 ☐ \$350,000
☐ \$400,000 ☐ \$500,000 ☐ \$750,000 ☐ \$1,000,000

*Coverage Limits are excess of the \$50,000 provided under the CIS Property Coverage Agreement. ☐ Other: \$ _____

A. GENERAL INFORMATION

- Number of Employees: _____
- Number of Board Members, Employees, and/or Volunteers, of the total shown above, who are either in management, or handle, have custody, or maintain records of money, securities: _____
- Have there been any fidelity, forgery, crime and/or computer fraud losses over the past 3 years? YES _____ NO _____

If "YES", attach details of all losses including description, corrective action taken, and amount covered by insurance.

B. INTERNAL CONTROLS

- Are you in compliance with annual audit requirements under ORS 297.425 and/or ORS 297.435? YES _____ NO _____
 - Date of last audit (MM/DD/YYYY): _____
 - Are background checks performed on all new hires who will be handling funds for the entity?
Check all that apply: ☐ Criminal ☐ Prior Employment ☐ References YES _____ NO _____
 - Is there a division of responsibility between two or more people in the following processes:
Receipts; Deposits; Checks; Financial Reports? YES _____ NO _____
 - Are two signatures required on checks? YES _____ NO _____
If "NO", are other procedures in place to prevent unauthorized issuance of checks? YES _____ NO _____
Explain if "NO": _____
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- Are systems designed so that no employee can control a process from beginning to end (i.e., request a check, approve a voucher, and sign a check)? YES _____ NO _____
 - Are incoming checks documented and totaled against the deposit? YES _____ NO _____
 - Are monthly bank reconciliations done on all checks/cash requests to spot irregularities such as missing checks, altered checks, checks written by the payee, etc.? YES _____ NO _____
 - Is staff cross-trained on the check and cash handling procedures so they would be able to spot irregularities? YES _____ NO _____
 - Is training provided to spot irregular activities by those handling assets? YES _____ NO _____
 - Are financial personnel required to take a continuous week of vacation? YES _____ NO _____
 - Are credit, debit, charge or purchasing cards used? YES _____ NO _____
If "YES", explain what controls are in place for preventing and identifying unauthorized transactions? _____

C. PREMISES CONTROLS

- Provide a brief description of safe on premises: _____
- Maximum amount of cash on premises while open? _____ Held overnight? _____
- Provide a brief description of alarm system (e.g., audible only, central station): _____

D. COMPUTER SYSTEM CONTROLS

1.

Are procedures, programs and EDP systems tested and documented?

YES

NO
2.

Is there a process to prevent repeated attempts of unauthorized access to a computer program (e.g., locking user account)?

YES

NO
3.

Are there pre-authorization controls for all programmers and operators?

YES

NO

Date:

Signature: