





**AUDIT INFORMATION**

An audit is conducted using generally accepted auditing standards (GAAS) or Generally Accepted Governmental Auditing Standards (GAGAS) and results in an audit report with an opinion.

10. The organization has had the undergone the following types of audit(s)(Please check all that apply):

OMB A-133 Single Audit     Financial Statement Audit     DCAA Audit     None

Programmatic Audit & Agency: \_\_\_\_\_

Other Audit & Agency: \_\_\_\_\_

11. Fiscal Year of Last Audit:

Name of Audit Agency/Firm:

**AUDITOR'S OPINION:**

12. On the most recent audit, what was the auditor's opinion?

Unqualified Opinion     Qualified Opinion     Disclaimer, Going Concern or Adverse Opinions

Please enter the number of findings:

Please enter the amount of questioned costs:

Were material weaknesses noted in either the Financial Statement or Single Audit?     Yes     No

**ACCOUNTING SYSTEM**

13. Which of the following best describes your accounting system:

Manual     Automated     Combination

14. Does the accounting system identify the receipt and expenditure of program funds separately for each grant?

Yes     No     Not Sure

15. Does the accounting system provide for the recording of expenditures for each grant/contract by budget cost categories shown in the approved budget?

Yes     No     Not Sure

16. Does your accounting system have the capability to document the recording of cost sharing or match for each grant? Can you determine if documentation is available to support recorded match or cost share?

Yes     No     Not Sure

17. Are time distribution records maintained for each employee that specifically identify effort charged to a particular grant or cost objective?

Yes     No     Not Sure

18. Does the accounting/financial system include budgetary controls to preclude incurring obligations or costs in excess of total funds available or by budget cost category (e.g. Personnel, Travel, etc.)?

Yes     No     Not Sure

19. Is the organization familiar with the existing Federal regulation and guidelines containing the Cost Principles and procedures for the determination and allowance of costs in connection with Federal grants?

Yes     No     Not Sure



<b>PROPERTY STANDARDS, PROCUREMENT STANDARDS, AND TRAVEL POLICIES</b>	
<b>PROPERTY STANDARDS</b>	
20. Does your property management system(s) provide for maintaining: (1) a description of the equipment; (2) an identification number; (3) source of the property, including the award number; (4) where title vests; (5) acquisition date; (6) federal share of property cost; (7) location and condition of the property; (8) acquisition cost; & (9) ultimate disposition information?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Sure
<b>PROCUREMENT STANDARDS</b>	
21. Does your organization maintain written procurement procedures which (1) avoid unnecessary purchases; (2) provide an analysis of lease and purchase alternatives; and (3) provide a process for soliciting goods and services?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Sure
22. Does your procurement system provide for the conduct to determine selection on a competitive basis and documentation of cost or price analysis for each procurement action?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Sure
23. Does your procurement system include provisions for checking the "Excluded Parties List" system for suspended or debarred sub-grantees and contractors, prior to award? <a href="https://www.sam.gov/">https://www.sam.gov/</a>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Sure
<b>TRAVEL POLICY</b>	
24. Does your organization: (a) maintain a standard travel policy? <input type="checkbox"/> Yes <input type="checkbox"/> No (b) adhere to the Federal Travel Regulation? (FTR) <input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>SUBRECIPIENT MANAGEMENT AND MONITORING</b>	
25. (For Pass-through entities only). Does your organization have controls in place to monitor activities of subrecipients, as necessary, to determine that Federal awards are used for authorized purposes in compliance with laws, regulations, and the provisions of the award and that performance goals are achieved (2 CFR200).	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Sure  <input type="checkbox"/> N/A (Your organization does not make subawards.)
<b>STANDARDS FOR FINANCIAL MANAGEMENT SYSTEMS AND APPLICANT CERTIFICATION</b>	
I certify that the above information is complete and correct to the best of my knowledge. This document must be certified by the organization's Authorized Representative, Executive Director, Chief Financial Officer, Chairman of the Board of Directors, or similar position.	
Name: _____	
Title: <input type="checkbox"/> Executive Director <input type="checkbox"/> Chief Financial Officer <input type="checkbox"/> Chairman <input type="checkbox"/> Other: _____	