

Nonprofit Program Office (NPPO)

NPC Audit Action Items Remediation Plans

For NPC Material Weaknesses, Significant Deficiencies, Deficiencies, and Auditor Recommendations Arising from Year-end Audits by Independent Outside Auditors

VA Burden Statement: An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 2900-0783, and it expires XX/XX/20XX. Public reporting burden for this collection of information is estimated to average 142 minutes per respondent, per year, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate and any other aspect of this collection of information, including suggestions for reducing the burden, to VA Reports Clearance Officer at VACOPaperworkReduAct@va.gov. Please refer to OMB Control No. 2900-0783 in any correspondence. Do not send your completed VA Form 10-10073A to this email address.

Privacy Act Statement: VA is asking you to provide the information requested in this form under the authority of 38 U.S.C. section 7366 in order for the VA NPPO to maintain oversight, both operational and financial, for your NPC and assure that any problems and opportunities for improvements found by independent outside auditors are addressed and allow the NPPO to have constructive input into remediation plans. VA may disclose the information that you put on this form as permitted by law. VA may make a "routine use" disclosure of the information for: civil or criminal law enforcement; congressional communications; the collection of money owed to the United States; litigation in which the United States is a party or has interest; the administration of VA programs, including verification of your eligibility to participate; and personnel administration. You must provide the requested information to VA to continue participation with the NPPO as an NPC. This information also may be used for other purposes as authorized or required by law.

Introduction and Instructions

This NPC Audit Action Items Remediation Plans form is for use by the VA affiliated Nonprofit Research and Education Corporations (NPCs). The form's primary purpose is to report back to the Nonprofit Program Office (NPPO) the NPC's action plans for remedying material weaknesses, significant deficiencies, deficiencies, and for implementing auditor recommendations for improvements. The NPPO has oversight responsibility, both operational and financial, for the NPCs and needs to be sure that any problems and opportunities for improvements found by independent outside auditors are

followed-up upon by the NPCs. Also, completion of this form and its return to NPPO will allow NPPO to have constructive input into the remediation plans.

NPPO uses this form as an important oversight tool. If required by the NPPO, then the purpose will be to assess the NPC's remediation plans for audit action items. NPPO will make formal written recommendations to the NPC's management, the related VA Medical Center Director, and the NPC's board of directors where appropriate if the remediation plans are not satisfactory.

This information collection is mandatory for NPCs that have audit action items reported by their independent outside auditors. Not all of the NPCs will have audit action items reported and no response will be needed from those that have no audit action items.

Normally, this information request will be answered by the NPC's Executive Director, Chief Executive Officer, Chief Financial Officer, Controller or other person with equivalent authority, ability and knowledge of the NPC's operations, internal controls, financial reporting, and accounting system and procedures.

If you are uncertain about how to respond to any of the audit action items listed below then please ask the independent outside auditor who noted them for suggested remedies. You may also call the NPPO to request assistance in developing satisfactory remediation plans for the action items. Please note that it is essential to get the independent outside auditors' agreement to your remediation plans prior to submitting them to NPPO.

NPPO estimates that it will take a knowledgeable person an average of two hours to answer this information request. However, some NPCs have many more audit action items than others. Those that have no action items at all will spend no time on this information collection. Important factors determining the time required are the number of action items, the degree of complexity of the particular action items, and the NPC's size and its relative complexity. Consequently, more or less time may actually be needed. If you would like to comment upon the estimated burden of answering this information collection, or have any questions or suggestions, then please contact Kimberly Collins, NPPO Administrator, at (202) 731-6973 or kimberly.collins@va.gov.

This information request does not contain any information that can reasonably be regarded as sensitive.

This information request will be sent electronically by email to those NPCs that have audit action items. Answered forms are to be returned to NPPO electronically by email. There is no additional record-keeping requirement for this information collection.

NPC Name:
NPC City & State:
Information Request Date:
Audit Firm Name:
Audit Management Letter Dated:
Remediation Plans (List Below):
<i>Audit action item 1: (copy and paste from NPPO's requesting email)</i>
<i>Remediation plan:</i>
<i>Responsible person:</i>
<i>Date implemented:</i>
<i>Date approved by independent outside auditor:</i>
<i>Audit action item 2: (copy and paste from NPPO's requesting email)</i>

Remediation plan:

Responsible person:

Date implemented:

Date approved by independent outside auditor: