

# FY14 Annual Audit Certification

Appendix D

Please complete the survey below.

Thank you!

Institution Name

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EIN

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DUNs Number:

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Audit Indicator

- Subrecipient is subject to annual A-133 audit.
- Subrecipient is not subject to the requirements of OMB A-133 and we have audited financial statements.
- Subrecipient is not subject to the requirements of OMB A-133 and we have no audited financial statements.

If subject to the requirements of A-133, please check the appropriate box:

- An audit was completed in accordance with OMB Circular A-133 for our most recent fiscal year. The audit presented no material weaknesses, no material instances of noncompliance, or findings related to subawards from Washington University in St. Louis.
- An audit was completed in accordance with OMB Circular A-133 for our most recent fiscal year ended. The audit disclosed material weaknesses, material instances of noncompliance, or findings related to subawards from Washington University in St. Louis.
- The A-133 audit for our most recent fiscal year has not yet been completed. We expect the audit to be, completed (include date below). We will send written notification within 30 days of completion. If related findings, material weaknesses, or material instances of non-compliance are noted related to the subaward from Washington University in St. Louis, we will send a copy of the audit report and corrective action plan.

Fiscal Year Ended:

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Our completed A-133 audit will be available on:

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A complete copy of our Audit Report can be found at:

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If you do not have a link to your Audit Report please provide a scanned copy of the A-133 audit report and the auditor's management letter together with a corrective action plan.

I hereby certify that the foregoing information is true and complete to the best of my knowledge.

\_\_\_\_\_  
(Please type your name in the box)

Date

\_\_\_\_\_  
(Please enter today's date)

Please check the appropriate box.

- A U.S. federal government agency
- Expended less than \$500,000 in Federal funds.
- A for-profit organization
- A foreign (non-U.S.) entity
- Other

Please describe your choice of "other":

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**NOTE: Although your institution is not subject to A-133, you have agreed, per our contractual agreement, to provide us with financial information. Therefore, please complete the selection below. If you have audited financial statements please provide Washington University a copy.**

Subrecipients not subject to OMB Circular A-133 with audited financial statements.

- A financial statement audit was completed for the fiscal year. The audit disclosed no material weaknesses, no material instances of non-compliance, and no findings related to any subaward made by Washington University in St. Louis.
- A financial statement audit was completed for the fiscal year. The audit disclosed material weaknesses, material instances of non-compliance, and/or findings related to subaward made by Washington University in St. Louis.

Please provide the fiscal year indicated above:

Subrecipients not subject to OMB A-133 with no audited financial statements.

- We are not subject to OMB Circular A-133 and we do not have audited financial statements, we are, however, in compliance with applicable Federal, state, and local laws and regulations, and/or clauses/special provisions of the subaward(s) received from Washington University in St. Louis.
- Although we are not subject to audit by an independent accounting firm, we are, however, aware of material weaknesses or instances of non-compliance which impact the subaward(s) received from Washington University in St. Louis. A statement quantifying the impact on the subaward(s) and a corrective action plan describing steps taken to resolve the non-compliance issues must be returned with this certification.

Other than financial statements, has your organization been audited by a government agency or independent public accountant within the last two years that resulted in findings related to the subaward from Washington University?

- Yes  
 No

Please attach a copy of the audit.

Do you have knowledge of OMB Circular A-21 Cost Principles, OMB Circular A-110 Administrative Requirements and other relevant Federal guidelines that are applicable to the subaward?

- Yes  
 No

Does your organization have procedures that provide assurance that consistent treatment is applied to the distribution of direct charges to all grants?

- Yes  
 No

Does your organization have a financial management system in place the provides records that can identify the source and application of funds?

- Yes  
 No

Do you ensure that costs deemed unallowable, per the federal cost principles, are excluded from the amount billed to Washington University?

- Yes  
 No

Does your organization have controls in place to prevent expenditures of funds in excess of approved, budgeted amounts from being charged to federal subaward agreements provided by Washington University?

- Yes  
 No

Is there an effective system in place to ensure that all costs charged to federal subaward agreements provided by Washington University, were incurred within the approved agreement dates?

- Yes
- No

Are all disbursements from your organization properly documented with evidence of receipt of goods or performance of services?

- Yes
- No

Does your organization have a system in place to document and certify time charged to federal subaward agreements provided by Washington University?

- Yes
- No

A complete copy of our Audit Report can be found at:

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If you do not have a link to your Audit Report please provide a scanned copy of the A-133 audit report and the auditor's management letter together with a corrective action.

I hereby certify that the foregoing information is true and complete to the best of my knowledge.

\_\_\_\_\_  
(Please type your name in the box)

Today's Date

\_\_\_\_\_  
(Please enter today's date)