

Please complete all applicable sections of this form in accordance with organizational level details, systems and processes. This form should not be completed in relation to any specific subaward/subcontract. Authorized Official must sign the completed form.

ORGANIZATION LEGAL NAME: _____

OFFICIAL ADDRESS: _____

CITY: _____ STATE: _____ ZIP(+4): _____ - _____ COUNTRY: _____

ORGANIZATION TYPE: Select ALL that apply US DOMESTIC FOREIGN (NON-US)
 HIGHER EDUCATION SCHOOL DISTRICT (K-12) FOUNDATION NON-PROFIT
 PRIVATE INDUSTRY TRIBAL ENTITY FOREIGN GOVERNMENT STATE & LOCAL GOVERNMENT
 OTHER (Please describe): _____

FISCAL YEAR START & END DATES: _____ DUNS NUMBER: _____ EIN NUMBER: _____

Organization is registered in System for Award Management (S.A.M.)? YES & Expiration Date: _____ NO
(NOTE: Active S.A.M. registration is required for direct recipients and subrecipients of US federal funds per [2 CFR Part 25](#))

SECTION A – CERTIFICATIONS

1. Facilities and Administrative (F&A) Rates

- a. Organization has Federally-negotiated F&A rates (Please attach a copy of the rate agreement with this form)
- b. Organization does not have a Federally-negotiated rate and accepts either rate limitations governed by Prime Funding Agencies or the 10% de minimis MTDC rate as a Subrecipient per 2 CFR 200.414 (f)
- c. Other rates (please describe below the basis on which the rate has been calculated):

2. Fringe Benefit Rates

- a. Organization has Federally-negotiated fringe benefit rates (Please attach copy of rate agreement with this form)
- b. Organization uses Actual fringe benefit rates
- c. Other rates (please describe below the basis on which the rate has been calculated):

3. Conflict of Interest Compliance

- a. Organization hereby certifies that it has an active and enforced policy on conflict of interest (COI) consistent with the provision of National Science Foundation (NSF) Proposal & Award Policies & Procedures Guide Chapter IX.A.
 YES, link to policy here or copy attached with this form: _____
- NO, Organization does not have an active and/or enforced policy consistent with NSF provision and hereby agrees, when receiving NSF funded subawards, to abide by [UW’s COI policy](#).

b. Organization hereby certifies that it has an active and enforced policy on conflict of interest consistent with the provision of 42 CFR Part 50 Subpart F and 45 CFR Part 94. This regulation applies to all Public Health Service (PHS) agencies and certain Non-PHS Agencies.

YES, link to policy here or copy attached with this form: _____

NO, Organization does not have an active and/or enforced policy consistent with 42 CFR Part 50 Subpart F and 45 CFR Part 94 and hereby requests, when receiving subawards requiring compliance to these provisions, that our investigators be permitted to make financial interest disclosures to the UW in accordance with the UW's FCOI policy when required. Use of UW's FCOI policy requires prior written permission of the UW, which will be granted only in exceptional cases.

4. Debarment, Suspension, Proposed Debarment

YES NO Is the Organization, any of its employees, and/or students currently debarred, suspended or otherwise excluded from or ineligible for participation in federal assistance programs or activities?

If YES, please describe below. NOTE: Subawards to any entity or individual included in the Federal Excluded Parties are prohibited:

If NO, Organization hereby certifies that it (please check ALL that apply):

- a. is not presently debarred, suspended, proposed for debarment or declared ineligible for award of federal contracts.
- b. is not presently indicted for, or otherwise criminally or civilly charged by a government agency.
- c. has not within three (3) years preceding, been convicted of or had a civil judgement rendered against them for commission of fraud or criminal offense in connection with obtaining, attempting to obtain, or perform a public (federal, state, or local) contract or subcontract, violation of federal or state antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification, or destruction of records, making false statements or receiving stolen property.
- d. has not within three (3) years preceding, had one or more contracts terminated for default by any federal agency.

5. Compliance – FOR US DOMESTIC ORGANIZATIONS ONLY

- a. YES NO N/A Organization has adopted a written policy of nondiscrimination and a system for complying with U.S. federal civil rights requirements.
- b. YES NO N/A If Organization enters into agreements for work or research to be performed outside of the U.S., the organization has systems in place to assure compliance with the Foreign Corrupt Practices Act or applicable local laws, including system to prevent and detect improper payments made to government officials to allow or procure work and research opportunities for or on behalf of Organization.

SECTION B – AUDIT STATUS

1. Does Organization receive an annual audit in accordance to Uniform Guidance (formerly OMB A-133) Single Audit requirements? YES NO

1a. If YES, please select ONE from the following:

Audit for most recent fiscal year is completed. There were NO significant deficiencies, material weaknesses, questioned costs, or findings disclosed. A copy of this audit report is attached with this form or can be found at this link:

Audit for most recent fiscal year is completed. There were significant deficiencies, material weaknesses, questioned costs, or findings disclosed. A copy of this audit report is attached with this form or can be found at this link:

Audit for most recent fiscal year is not completed. The report is expected to be completed by this date: _____
A copy of this report will be provided with written notification within 30 days of its completion. The previously completed audit report is attached with this form or can be found at this link:

1b. If NO, please complete the following as applicable to Organization:

- a. We are a US domestic organization not subject to the audit requirements of Uniform Guidance because we:
- 1) are a U.S. federal government agency Y N
 - 2) did not exceed \$750,000 or more in U.S. federal expenditures during the latest completed fiscal year Y N
 - 3) are a for-profit organization Y N
- b. We are a foreign (non-U.S. based) organization not subject to the audit requirements of Uniform Guidance and:
- 1) did not exceed \$750,000 or more in U.S. federal expenditures during the latest completed fiscal year
 - 2) did exceed \$750,000 or more in U.S. federal expenditures during the latest completed fiscal year

1c. Please select one below:

- a. We have completed a general financial audit or financial statement for the most recent fiscal year. A copy is attached with this form or can be found at this link: _____
- b. We have completed a program-specific audit or an audit meeting the requirements of Uniform Guidance on all our organization's U.S. federal expenditures. A copy is attached with this form or can be found at this link:
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- c. We have not been audited by a U.S. government agency or an independent public auditing firm.
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SECTION C – AUDIT QUESTIONNAIRE

Only organizations that answer NO to SECTION B, AUDIT STATUS must complete the following questions

1. General Information

- a. Yes No Organization has its financial statements reviewed or audited by an independent public accounting firm.
- b. Yes No Organization represents that it has not been the subject of a for-cause audit or similar investigation inquiry or review within the last two years by a government agency or independent public accountant.
- c. Yes No Responsibilities are separated between multiple persons within your organization so that no on individual has complete authority over an entire financial transaction.
- d. Yes No Organization has effective controls to prevent expenditure of funds in excess of approved, budgeted amount.

2. Cash Management

- a. Yes No All cash disbursements within organization are fully documented with evidence of receipt of goods or performance of services
- b. Yes No Organization's bank accounts are reconciled monthly
- c. Yes No Organization has a cash forecasting process that will minimize the time elapsed between the drawing down of funds and the distribution of those funds

3. Payroll

- a. Yes No Payroll charges are checked against program budgets
 - b. Yes No Organization has an effective system to control paid time charged to sponsored agreements. Please briefly describe or provide link to Organization's process:
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4. Procurement

- A. Yes No Organization has procedures in place to ensure procurement at competitive prices.

Organization has an effective system for authorization and approval of:

- a. capital equipment expenditures
- b. travel expenditures
- c. vendor and subcontractor expenditures

5. Property Management

- A. Yes No Organization requires detailed records of individual capital assets kept and periodically balanced with general ledger accounts
 - B. Yes No Organization has effective procedures for authorizing payment and accounting for the disposal of property and equipment
 - C. Yes No Organization periodically conducts physical inventory against detailed property records
 - D. Yes No Organization has written policies concerning capitalization, depreciation and overall management of capital assets. Please briefly describe or provide online link to policy here:
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6. Cost Transfer

- A. Yes No Organization has a system to ensure that all cost transfers are legitimate and appropriate. Please briefly describe or provide online link to process here:
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7. Cost Sharing

- A. Yes No Organization has an effective system for tracking and determining that it has met any cost sharing goals required for a project. Please briefly describe or provide online link to process here:
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ORGANIZATION'S AUTHORIZED OFFICIAL REPRESENTATIVE APPROVAL

The information and certification above have been read, signed and made by an authorized office of the Organization named herein. The appropriate programmatic and administrative personnel involved in this application are aware of agency policies in regard to subawards and are prepared to establish the necessary inter-institutional agreements consistent with those policies.

Any work begun and/or expenses incurred prior to execution of a subaward agreement are at the Organizations own risk.

Signature of Organization's Authorized Official

Date

Name and Title of Authorized Official (Print)

Phone and Email