



University of Missouri System

Office of the Controller

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SUBRECIPIENT AUDIT CERTIFICATION

Our records indicate that your institution was a sub-recipient of federal funds awarded to the Curators of the University of Missouri during the current fiscal year or is currently being considered for receipt of a subaward under such funds. We are required to have audit information as outlined in 2 CFR §200 - Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards.

Please check the appropriate box(es) and return this certification and all required documents within (10) days of receipt of this request to the address above or email address cdghbr@umsystem.edu.

If you are subject to Single Audit, OMB Uniform Guidance, Subpart F (expend more than \$750,000 of federal funds annually), please complete the following:

We have completed our Single Audit for fiscal year _____.

- There were no material weaknesses, no material instance of noncompliance, and/or no findings directly related to any sub-award(s), or any findings that could affect any sub-award(s) from the University of Missouri.
There were material weaknesses, material instance of noncompliance, and/or findings directly related to any sub-awards(s), or any findings that could affect any sub-award(s) from the University of Missouri. Relevant findings and corrective actions plans can be found on page(s) _____.

The Single Audit report, corrective action plan, and management letter (if applicable)

- is available on the Federal Audit Clearinghouse (FAC), or
is available at this URL : _____, or
is attached

If you are not subject to Single Audit, OMB Uniform Guidance, Subpart F, please check one of the following and complete the attached Subrecipient Questionnaire:

- We are a for-profit organization.
We expend less than \$750,000 of federal and federal flow through funds annually.
We are a non-US entity
Other (explain)

I certify that the information provided above is accurate, and that all audit findings relating to funds provided by the University of Missouri have been disclosed. I further certify that my organization is in compliance with 2 CFR §200 - Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards to the extent it is applicable to subawards from the University of Missouri, and with all other laws and regulations applicable to the subawards.

Organization: _____ Fiscal Year End: ____/____/____

UEI Number: _____ EIN: _____

Name and Title: _____ Phone: _____

Signature: _____ Date: _____

E-mail Address: _____

Please contact Charity Grotzinger with any questions at 573-882-3028 or cdghbr@umsystem.edu.

SUBRECIPIENT QUESTIONNAIRE

If you are not subject to OMB Uniform Guidance, Subpart F, please answer all questions below. Do not leave any question blank. Indicate if a question is "Not Applicable" (N/A) and specify a reason, if any, in the EXPLANATIONS section below.

	QUESTION	YES	NO	N/A
1	External independent reviews or audits of my organization have been completed accurately, including the most current fiscal year ending _____. If yes, please submit a copy of the most recent reviewed or audited financial statement, audit opinion and communication to management.			
2	Has any aspect of your activities been audited within the past two years by a governmental agency? If yes, please enclose a copy or provide a link to the audit report.			
3	Were there any changes in key financial personnel during the last fiscal year, or have you substantially changed or implemented new systems recently? If yes, please describe in the EXPLANATIONS section below.			
4	Is your organization's financial system in accordance with U.S. generally accepted accounting principles, and			
	a. Does it have the capability to identify, in its accounts, all external awards received and expended and the external programs under which they were received?			
	b. Do you maintain internal controls to assure that you are managing external award in compliance with applicable laws, regulations, and the provision of the contracts or grants?			
5	Are duties separated so that no one individual has complete authority over the entire financial transaction? If no, please describe how your organization provides oversight of those financial duties that are not segregated in the EXPLANATIONS section below.			
6	Does your organization have policies and procedures in place to ensure that funds are requested in accordance with the award payment schedule if a fixed price award, or as reimbursement for expenditures only after the costs have been incurred if a cost reimbursable award?			
7	Does your organization have policies and procedures in place to ensure that awarded funds are used only during the authorized period of performance?			
8	Does your organization have policies and procedures in place to ensure that the procurement of goods and services is made in compliance with applicable regulations governing competitive pricing, proper authorization and approval of expenditures for good and services, and prevention of procurement from suspended or debarred parties?			
9	Are all disbursements properly documented with evidence of receipt of goods and performance of services?			
10	Does your organization have formal written procedures that address the following: Pay Rates and Benefits Time and Leave Travel Discrimination Conflict of Interest			
11	Does your organization have an indirect cost allocation plan or negotiated indirect cost rate? If yes, please provide a copy of your most recent negotiated rate agreement.			
12	Have you used funds provided by the University to lobby for a political candidate, political party or proposed legislation?			
13	Have you made any subaward (subcontract) agreements with another entity using funds provided by the University?			

	EXPLANATIONS			

I certify that the information provided in the above Subrecipient Questionnaire accurately represent the organization of which I am a representative.

Signature: _____ Date: _____

Name and Title: _____

E-mail: _____