



Subrecipient Qualifying Questionnaire for Subcontract Continuation

Please return the completed form as a PDF email attachment to:
gca@american.edu

Your institution has been identified as a possible recipient of a subaward from American University (AU). As a direct recipient of US Federal funds, 2 CFR §200.331 requires AU to perform an initial and/or annual risk-based assessment of its subrecipient's ability to meet its subaward obligations. Completion of this Questionnaire will provide AU with the information needed to assess the adequacy of the financial and accounting systems of your organization. Each question should be answered as completely as possible, using extra pages if necessary.

Organization's Legal Name: _____
 Address: _____
 EIN Number: _____ DUNS: _____
 Financial Point of Contact: _____
 Phone: _____ Email: _____

GENERAL INFORMATION

1. How is your organization classified?

<input type="checkbox"/> Non-Profit Organization	<input type="checkbox"/> State and Local Government	<input type="checkbox"/> Corporation
<input type="checkbox"/> University	<input type="checkbox"/> Federal Government	<input type="checkbox"/> Individual
<input type="checkbox"/> Foundation	<input type="checkbox"/> Foreign Government	<input type="checkbox"/> Other _____

2. How many employees does your organization have?

A. Full-time Employees: _____

B. Part-Time Employees: _____

INTERNAL CONTROLS

3. Has the state, government or any other authority placed your institution in a special financial status?	<input type="checkbox"/> Yes <input type="checkbox"/> No
4. Has your institution been able to meet its cash needs? <i>If "no", please explain</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
5. Are duties separated so that no one individual has complete authority over an entire financial transaction?	<input type="checkbox"/> Yes <input type="checkbox"/> No
6. Does your organization's procedures ensure that costs deemed unallowable, per US Federal guidelines, are excluded from the amount billed to the University under this subaward?	<input type="checkbox"/> Yes <input type="checkbox"/> No
7. Does your organization have controls to prevent the spending of funds in excess of approved, budgeted amounts?	<input type="checkbox"/> Yes <input type="checkbox"/> No
8. Are all sponsored project disbursements properly documented with evidence of receipt of goods or performance of service that can be provided as backup with invoice submissions if requested?	<input type="checkbox"/> Yes <input type="checkbox"/> No

AUDIT STATUS

9. Does your organization have a negotiated US Federal rate agreement including: A. Approved fringe benefit rates B. Approved indirect cost rates If yes, provide a copy	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
10. Does your organization receive overall US Federal funding of at least \$750,000 per year? Is your organization a: <input type="checkbox"/> Non-profit entity expending less than \$750,000 per year in US Federal or sub-Federal funds annually <input type="checkbox"/> For-profit entity that expends Federal or sub-Federal funds and has a DCAA audited rate <input type="checkbox"/> For-profit entity that does not expend US Federal funds or have annual audits <input type="checkbox"/> Foreign entity	<input type="checkbox"/> Yes <input type="checkbox"/> No

<p>11. Is your organization subject to 2 CFR Part 200, Subpart F Single Audit (formerly A-133)? <i>If not uploaded to the Federal Audit Clearinghouse, attach a complete copy of your most recent Single Audit Report, or the Internet URL link to a complete copy:</i> _____</p> <p>Fiscal Year End (MM/DD/YYYY): _____ Date of most recently completed audit (MM/DD/YYYY): _____</p> <p>Were any audit findings reported? Yes No <i>If "yes", please explain:</i></p>	<p>Yes No</p>
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Completion of the following sections are required for all organizations not subject to 2 CFR Part 200, Subpart F - Single Audit

FINANCIAL AUDIT STATUS		
12. Does your organization have its financial statements reviewed by an independent public accounting firm or a governmental agency? (Provide a link to your Website or enclose a copy of the most recent financial statements for your organization, audited or unaudited.) _____	__ Yes __ No	
CASH MANAGEMENT		
13. Will any cash from grant funds be kept outside the bank account (in petty cash funds, etc.)?	Yes __ No	
14. Are all bank accounts reconciled monthly?	Yes __ No	
PAYROLL		
15. Are payroll charges checked against program/project budgets?	Yes __ No	
16. Are timesheets kept for each paid employee? If "no" how does your organization monitor personnel effort and align it with time charged to sponsored agreements?	Yes No	
17. Do you have a written policy that addresses pay rates, benefits time and attendance, and leave?	Yes No	
PROCUREMENT		
18. Are there written procedures to ensure the procurement of goods and services at competitive prices? Please provide a copy of (or link to) the written policy:	Yes No	
19. Does your organization have the ability to account for equipment purchases greater than \$5,000? Please explain:	__ Yes __ No	
20. Is there an effective system of authorization and approval of: a. Capital equipment costs? b. Travel costs?	Yes __ No Yes No	
PROPERTY MANAGEMENT		
21. Are detailed records of individual capital assets kept and periodically balanced with the accounting records?	Yes No NA	
22. Are there effective procedures for authorizing and accounting for the disposal of property and equipment?	Yes No NA	
23. Are detailed property records periodically checked by physical inventory?	Yes No NA	
24. Does your organization have a policy concerning capitalization and depreciation?	Yes No NA	
COST TRANSFERS		
25. Does your organization ensure that all cost transfers are legitimate and appropriate? Please explain or provide a copy of (or link to) the written policy:	Yes No	

COST SHARING

26. How does your organization determine that it has met cost-sharing goals? *Please explain:*

COMPLIANCE

27. Has your organization received grants, contracts, or cooperative agreements from American University in the past? Yes No

28. If yes, were any of those agreements terminated early for fiscal negligence or discrepancies, or due to lack of technical progress or misrepresentation of outcomes? Yes No

29. Has your organization or any employees, students, or agents who may serve as key personnel on a subaward from American University ever been debarred, suspended, or otherwise excluded from or found ineligible for participation in Federally supported programs or activities? Yes No

30. Does your organization have a cash forecasting process that will minimize the time elapsed between the disbursement of funds distributed to your organization in advance? *If "yes", please explain:* Yes No

31. Does your organization have policies and procedures that address:

Conflicts of Interest	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Time and Attendance	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Employment Discrimination	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Subrecipient Monitoring	<input type="checkbox"/> Yes	<input type="checkbox"/> No

CERTIFICATIONS

The information, certifications and representations above have been read and made by an authorized official of the subrecipient named herein. The appropriate programmatic and administrative personnel involved in this subcontract continuation are aware of AU's policy in regards to subawards and are prepared to establish the necessary agreements consistent with those policies. Accepting or continuing an award from a university creates a legal duty for the sub-recipient to use the funds according to the award agreement and U.S. federal regulations.

Signature of Subrecipient's Authorized Official

Date

Type or print name and title of Authorized Official

Phone

Email

ATTACHMENTS (Unless website has been provided above)

1. Indirect Cost Rate Agreement	Yes	No	NA
2. Most recent Financial Statements (Audited or Unaudited)	Yes	No	NA
3. Annual Single Audit in accordance with OMB's 2 CFR Part 200 Section F	Yes	No	NA
4. Procurement Policy	Yes	No	NA
5. Cost Transfer Policy	Yes	No	NA

Please address questions about this form to:
Grants and Contracts Accounting
(202) 883-3875
gca@american.edu