

Vendor ID (CSULB use only)

Audit Certification and Financial Questionnaire

CALIFORNIA STATE UNIVERSITY LONG BEACH – OFFICE OF RESEARCH & SPONSORED PROGRAMS

Please complete and return to:

California State University Long Beach
Office of Research & Sponsored Programs
1250 Bellflower Blvd.
Building F05, Room 111
Long Beach CA 90840-4509
Phone: (562) 985-8147
Fax: (562) 985-8665

For (Organization/Company Name):

Subaward No.:

Audit Certification for Your Organization's/Company's Most Recently Completed Fiscal Year (Respond to A or B, below, as applicable):

A. External independent audits of my organization/company have been completed for Fiscal Year 20 (state organization's/company's fiscal year: from MM/DD/YYYY: to MM/DD/YYYY:). **A true, complete and correct copy of the audit report is attached or available at the following website** **and hereby provided to California State University Long Beach ("CSULB").**

OR

B. My organization/company has **not** been audited by a U.S. Government audit agency or by an independent CPA firm for the most recently completed Fiscal Year (state organization's/company's fiscal year: from MM/DD/YYYY: to MM/DD/YYYY:). **True and correct information concerning my organization's finances is provided in the attached Financial Status Questionnaire.**

Signature of Authorized Official:

Signature:

Date:

Name (printed):

Title:

Organization/Company Name & EIN:

Address:

Phone:

Fax:

Email:

Financial Status Questionnaire For:

Organization/Company Name

General Information

1. Does your organization have its financial statements reviewed by an independent public accounting firm? **(Please enclose a copy the most recent financial statements for your organization, audited or unaudited.)**
 Yes No
2. Are duties separated so that no one individual has complete authority over an entire financial transaction?
 Yes No
3. Does your organization have controls to prevent expenditure of funds in excess of approved, budgeted amounts?
 Yes No
4. Other than financial statements, has any aspect of your organization's activities been audited within the last two years by a governmental agency or independent public accountant? Explain. **(Please provide a copy of any recent external audit report.)**

Cash Management

1. Are all disbursements properly documented with evidence of receipt of goods or performance of services?
 Yes No
2. Are all bank accounts reconciled monthly?
 Yes No

Payroll

1. Are payroll charges checked against program budgets?
 Yes No
2. What system does your organization use to control paid time, especially time charged to sponsored agreements?

Procurement

- 1. Are there procedures to ensure procurement at competitive prices?
 Yes No
- 2. Is there an effective system of authorization and approval of:
 - a) Capital equipment expenditures? Yes No
 - b) Travel expenditures? Yes No

Property Management

- 1. Are detailed records of individual capital assets kept and periodically balanced with the general ledger accounts?
 Yes No
- 2. Are there effective procedures for authorizing and accounting for the disposal of property and equipment?
 Yes No
- 3. Are detailed property records periodically checked by physical inventory?
 Yes No
- 4. Briefly describe the organization's policies concerning capitalization and depreciation.

Cost Transfers

- 1. How does the organization ensure that all cost transfers are legitimate and appropriate?

Indirect Costs

- 1. Does the organization have an indirect cost allocation plan or a negotiated indirect cost rate? Explain. **(Please provide a copy of any negotiated indirect cost rate agreement.)**

Indirect Costs (Continued)

1. Does the organization have procedures which provide assurance that consistent treatment is applied in the distribution of charges to all grants, contracts and cooperative agreements? Explain.

Cost Sharing

1. How does the organization determine that it has met cost sharing goals?

Compliance

1. Does your organization have a formal policy of nondiscrimination and a formal system for complying with Federal civil rights requirements?
 Yes No
2. Does your organization have a cash forecasting process which will minimize the time elapsed between the drawing down of funds and the disbursement of those funds?
 Yes No
3. **Please provide a list of recent grants, contracts or cooperative agreements your organization has received from the CSULB.**
 Yes No

Attachments

1. Recent Financial Statements External Review or Audit Report
 Yes No
2. Financial Statements, Audited or Unaudited
 Yes No
3. Indirect Cost Rate Agreement
 Yes No
4. List of Awards from CSULB
 Yes No