

FINANCIAL STATUS QUESTIONNAIRE

This form is to be completed by a proposed subrecipient who does not receive an annual audit in compliance with A-133 or 2 CFR 200 Uniform Guidance standards.

GENERAL INFORMATION

1. Does your organization have its financial statements reviewed by an independent public accounting firm? If so, please enclose a copy of your most recent audited financial report with your response.
2. Are duties separated so that no one individual has complete authority over an entire financial transaction?
3. Does your organization have controls to prevent expenditure of funds in excess of approved, budgeted amount?
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.
5. Has your organization ever received other grants or contracts for research? If so, please list the most recent awards by sponsor and amount.

CASH MANAGEMENT

6. Are all disbursements properly documented with evidence of receipt of goods or performance of services?
7. Are all bank accounts reconciled monthly?

PAYROLL

8. Are payroll charges checked against approved budgets?
9. What system does your organization use to control paid time, especially time charged to sponsored agreements? How do you assure that payroll charges are consistent with actual effort expended for the project?
10. How are fringe benefits calculated? Provide components that make up your rate.

PROCUREMENT

11. Are there procedures to ensure procurement at competitive prices?
12. Is there an effective system of authorization and approval of (a) capital equipment expenditures? (b) travel expenditures?

PROPERTY MANAGEMENT

13. Are detailed records of individual capital assets kept and periodically balanced with the general ledger accounts?
14. Are there effective procedures for authorizing and accounting for the disposal of property and equipment?
15. Are detailed property records periodically checked by physical inventory?
16. Briefly describe the organization's policies concerning capitalization and depreciation.

COST TRANSFERS

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

INDIRECT COSTS

18. Does the organization have an indirect cost allocation plan or a negotiated indirect cost rate? Explain.
19. Does the organization have procedures which provide assurance that consistent treatment is applied in the distribution of charges to all grants?

COST SHARING

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

COMPLIANCE

21. Does your organization have a formal policy of nondiscrimination and a formal system for complying with Federal civil rights requirements?
22. 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?
23. Have you or any of your relatives or your firm's officers been employed with the University of California within the past 3 years?

ORGANIZATIONAL INFORMATION

24. Input company name, address, phone, fax, email.

25. Name and title of person completing questionnaire:

Signature _____