

NMHU's Audit Certification and Financial Status Questionnaire

Please complete and return to:
NMHU
Office of Research and Sponsored Projects
PO Box 9000
Las Vegas, NM 87701-9000 or
FAX: 505-454-2117 or Email: angela_va@nmhu.edu

Name of Organization/Company:	
Address:	
City/State/ Zip Code:	

Audit Certification of Organization's/Company's Most Recently Completed Fiscal Year

A. External independent audits of my organization/company have been completed for Fiscal Year:

My fiscal year is from MM/DD/YYYY:	<input style="width: 100%;" type="text"/>	to MM/DD/YYYY:	<input style="width: 100%;" type="text"/>
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A true, complete and correct copy of the audit report is attached and hereby provided to NMHU.

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 :
 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:		EIN:	
Address/City/State/Zip Code:			
Phone		Email:	

REMINDER!

**If you checked "A" to the Audit Certification, above,
 please attach and send a complete copy of your organization's audit report.**

**If you checked "B" to the Audit Certification, above,
 please fill out and send the attached Financial Status Questionnaire.**

NMHU Financial Status Questionnaire

(2 page document)

Name of Organization/Company:	
Authorized Official:	
Signature of Authorized Official:	

General Information

YES	NO	
		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.)
		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 amounts?
		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? If yes, please explain below and provide a copy of any recent external audit report.)

Cash Management

YES	NO	
		5. Are all disbursements properly documented with evidence of receipt of goods or performance of services?
		6. Are all bank accounts reconciled monthly?

Payroll

YES	NO	
		7. Are payroll charges checked against program budgets?
		8. What system does your organization use to control paid time, especially time charged to sponsored agreements? Please explain below.

Procurement

YES	NO	
		9. Are there procedures to ensure procurement at competitive prices?
		10. Is there an effective system of authorization and approval of:
		a) capital equipment expenditures?
		b) travel expenditures?

Property Management

YES	NO	
		11. Are detailed records of individual capital assets kept and periodically balanced with the general ledger accounts?
		12. Are there effective procedures for authorizing and accounting for the disposal of property and equipment?
		13. Are detailed property records periodically checked by physical inventory?
		14. Briefly describe the organization's policies concerning capitalization and depreciation below.

Cost Transfers

15. How does the organization ensure that all cost transfers are legitimate and appropriate? Please explain below.

Indirect Costs

YES	NO	
		16. Does the organization have an indirect cost allocation plan or a negotiated indirect cost rate? If Yes, please explain and provide a copy of any negotiated indirect cost rate agreement.
		17. Does the organization have procedures that provide assurance that consistent treatment is applied in the distribution of charges to all grants, contracts and cooperative agreements? If Yes, please explain below.

Cost Sharing

18. How does the organization determine that it has met cost sharing goals? Please explain below.

Compliance

YES	NO	
		19. Does your organization have a formal policy of nondiscrimination and a formal system for complying with Federal civil rights requirements?
		20. 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?
		21. Please provide a list of recent grants, contracts or cooperative agreements your organization has received from NMHU.

Attachments

YES	NO	
		Recent Financial Statements External Review or Audit Report
		Financial Statements, Audited or Unaudited
		Indirect Cost Rate Agreement
		List of Awards from NMHU