

PART II: FINANCIAL STATEMENTS (To be completed by auditor)

1. Type of audit report

Mark either:

- Unmodified Opinion **OR ANY COMBINATION OF:**
 Qualified opinion
 Adverse opinion
 Disclaimer of opinion

2. Is a "going concern" emphasis-of-matter paragraph included in the audit report?

- Yes No

3. Is a significant deficiency disclosed?

- Yes No

4. Is a material weakness disclosed?

- Yes No

5. Is a material noncompliance disclosed?

- Yes No

PART III: FEDERAL PROGRAMS (To be completed by auditor)

1. Does the auditor's report include a statement that the auditee's financial statements include departments, agencies, or other organizational units expending \$500,000 or more in Federal awards that have separate A-133 audits which are not included in this audit? (AICPA Audit Guide)

- Yes No

2. What is the dollar threshold to distinguish Type A and Type B programs? (OMB Circular A-133 § .520(b))

\$ _____

3. Did the auditee qualify as a low-risk auditee? (§ .530)

- Yes No

4. Were Prior Audit Findings related to direct funding shown in the Summary Schedule of Prior Audit Findings? (§ .315(b))

- Yes No

5. Indicate which Federal Agency(ies) have current year audit findings related to **direct** funding or prior audit findings shown in the Summary Schedule of Prior Audit Findings related to **direct** funding. *Mark (X) all that apply or None .*

- 98 U.S. Agency for International Development
- 10 Agriculture
- 23 Appalachian Regional Commission
- 11 Commerce
- 94 Corporation for National and Community Service
- 12 Defense
- 84 Education
- 81 Energy
- 66 Environmental Protection Agency
- 39 General Services Administration
- 93 Health and Human Services
- 97 Homeland Security
- 14 Housing and Urban Development
- 03 Institute of Museum and Library Science
- 15 Interior
- 16 Justice

- 17 Labor
- 09 Legal Services Corporation
- 43 National Aeronautics and Space Administration
- 89 National Archives and Records Administration
- 05 National Endowment for the Arts
- 06 National Endowment for the Humanities
- 47 National Science Foundation
- 07 Office of National Drug Control Policy
- 59 Small Business Administration
- 96 Social Security Administration
- 19 U.S. Department of State
- 20 Transportation
- 21 Treasury
- 64 Veterans Affairs
- 00 None
- OTHER - SPECIFY:

PART III: FEDERAL PROGRAMS - Continued

6. FEDERAL AWARDS EXPENDED DURING FISCAL YEAR

	(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)
	CFDA Number		Name of Federal program	Amount expended	Research & Development (Y/N)	Loan/Loan Guarantee (Y/N)	ARRA ³ (Y/N)	Direct award (Y/N)	MAJOR PROGRAM		Number of Findings
Row Number	Federal Agency Prefix ¹	CFDA Extension ²							Major program (Y/N)	If yes, type of audit report on Major Program ⁴	
TOTAL FEDERAL AWARDS EXPENDED				\$.00						

¹ See Appendix 1 of instructions for valid Federal Agency two-digit prefixes.
² Or other identifying number when the Catalog of Federal Domestic Assistance (CFDA) number is not available. (See instructions - Item 6)
³ American Recovery and Reinvestment Act of 2009 (ARRA).
⁴ If major program is marked "yes," enter only one letter (**U** = Unmodified opinion, **Q** = Qualified opinion, **A** = Adverse opinion, **D** = Disclaimer of opinion) corresponding to the type of audit report in the adjacent box. If major program is marked "No," leave the type of audit report box blank.

Part III: FEDERAL PROGRAMS - Continued

7. FEDERAL AWARD FINDINGS

	(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)
						Types of Deficiencies ²					
Page 3 Row Number	Federal Agency Prefix	CFDA Extension	Name of Federal program	Audit Finding Reference Number (YYYY-###)	Type(s) of Compliance Requirement(s) ¹	Modified Opinion (Y/N)	Other Noncompliance (Y/N)	Material Weakness (Y/N)	Significant Deficiency (Y/N)	Other (Y/N)	Questioned Costs (Y/N)
These columns are populated automatically from Part III, Item 6, columns a, b, and c on rows with findings.											
For each award with findings, one row is created for each finding reported on Part III, Item 6k.											
This page is not required if no findings are reported on Part III, Item 6k.											

¹ Enter the letter(s) of all type(s) of compliance requirement(s) that apply to audit findings (i.e., noncompliance, significant deficiency (including material weaknesses,), questioned costs, fraud, and other items reported under §__.510(a)) reported for each Federal program.

- A. Activities Allowed or Unallowed
- B. Allowable costs/cost principles
- C. Cash management
- D. Davis-Bacon Act
- E. Eligibility
- F. Equipment and real property management
- G. Matching, level of effort, earmarking
- H. Period of availability of Federal funds
- I. Procurement and suspension and debarment
- J. Program income
- K. Real property acquisition and relocation assistance
- L. Reporting
- M. Subrecipient monitoring
- N. Special tests and provisions
- P. Other

² There are 9 valid combinations of "Type(s) of Deficiency(ies)" for each Federal program with findings. (See instructions - Item 7)

CERTIFICATIONS

Auditee Certification Statement	Auditor Certification Statement
<p>This is to certify that, to the best of my knowledge and belief, the auditee has: (1) engaged an auditor to perform an audit in accordance with the provisions of OMB Circular A-133 for the period described in Part I, Items 1 and 3; (2) the auditor has completed such audit and presented a signed audit report which states that the audit was conducted in accordance with the provisions of the Circular; and (3) the information included in Parts I, II, and III of this data collection form is accurate and complete. I declare that the foregoing is true and correct.</p>	<p>The data elements and information included in this form are limited to those prescribed by OMB Circular A-133. The information included in Parts II and III of this form, except for Part III, Items 4, 5, and 6a-6h was transferred from the auditor's report(s) for the period described in Part I, Items 1 and 3, and is not a substitute for such reports. The auditor has not performed any auditing procedures since the date of the auditor's report(s). A copy of the reporting package required by OMB Circular A-133, which includes the complete auditor's report(s), is available in its entirety from the auditee at the address provided in Part I of this form. As required by OMB Circular A-133, the information in Parts II and III of this form was entered in this form by the auditor based on information included in the reporting package. The auditor has not performed any additional auditing procedures in connection with the completion of this form.</p>
<p>Auditee Certification <i>(Date of Electronic Signature)</i></p>	<p>Auditor Certification <i>(Date of Electronic Signature)</i></p>
<p>Name of certifying official</p>	
<p>Title of certifying official</p>	

