

A-133 SUBRECIPIENT AUDIT FORM
(including financial reports and internal controls)
FOR FISCAL YEAR 2008

Please return this completed form ASAP to:
 Office of Sponsored Projects
 The University of Texas at Austin,
 P.O. Box 7726, Austin, Texas 78713-7726
 Phone: 512/471-6424; FAX: 471-6564

Subrecipient

(Please check all applicable boxes)

- U.S. Non-Profit, Educational Institution, or State or Local Government entity** - audit for compliance with OMB Circular A-133;
 ... but exempt, since we expended \leq \$500,000 of Federal funds for that year;

- U.S. For-Profit entity with Federal Awards** - audit for compliance with Federal Acquisition Regulations (FAR), Part 30, if applicable. If not applicable, please offer a text explanation in the space provided in "Other" below. Additionally, in order to demonstrate compliance with FAR, Part 31, we hereby certify, by our signature below, that the prices we provide to UT Austin are not greater than those prices charged our most favored customer for like quantities and conditions of sale;

- U.S. For-Profit entity without Federal Awards or Foreign (non-U.S.) entity** - audit for compliance with general standards for good business practices; to demonstrate fair and reasonable pricing, we hereby certify, by our signature below, that the prices we provide to UT Austin are not greater than those prices charged our most favored customer for like quantities and conditions of sale.

ALL of the following fields MUST be completed. Any fields left blank will delay the processing of your agreement.

Legal Entity Name: _____

Legal Name of Parent Entity: _____ **DUNS+4 number:** _____
Not applicable if recipient entity is NOT owned by another entity) (DUNS+4 Number required for all recipients except individuals)

A-133 or FAR-Part 30 Contact Name **and** Title: _____ Title: _____

Contact's Email Address: _____

Mailing Address: _____ City: _____ State: _____ Zip: _____

Country: _____ Contact's Phone #: _____ FAX #: _____

Organization's Fiscal Year: _____ to _____
month/day month/day

Please check the appropriate item and provide any required reports, as applicable:

- Our audit report for the subject fiscal year has been completed. No material weaknesses, no material instances of noncompliance, and no findings related to any sub-award(s) from The University of Texas at Austin. Accordingly, we are *not* enclosing a copy of the audit report.

- Our audit report for the subject fiscal year has been completed. Material weaknesses, material instances of noncompliance, or findings related to The University of Texas at Austin's subagreement(s) to us were noted. *Enclosed is a copy of the audit report and our response.*

- Our audit report for the subject fiscal year has not yet been completed. We expect the audit to be completed on _____ (*insert date*). Within thirty (30) days of completion, we will advise you of the results.

- Our audit report for the subject fiscal year will not be completed within twelve (12) months after the end of our fiscal year. A copy of the approved extension is enclosed.

- Other / Individual / No audit (explain) _____

Authorizing Signature: _____ **Date:** _____

Printed Name: _____

The Subagreement(s) listed below is / are Federally funded. Yes No. **Please complete the following if "Yes" is checked:**

Congressional District (required for all U.S. contractors): _____

Please list all Subagreements issued by The University of Texas at Austin to your business / institution / organization / foundation. If more space is needed, please attach another sheet and follow the format below.				
Subagreement UTA #	A.) Is Work being performed outside of Congressional Dist. listed above? (If yes answer B., C., and D.)	B.) Congressional District where work is being Performed	C.) Amount of funds being spent in Congressional District listed in B.	D.) Has your agency issued any subawards under this UT Austin Subagreement? (If yes, please list receiving agency and subaward #.)
	Yes	No		
	Yes	No		
	Yes	No		

A-133 SUBRECIPIENT AUDIT FORM FAQ Sheet

What is the purpose of this form?

The Office of Management and Budget requires that recipients of Federal awards, who are subject to the provisions of OMB Circular A-133, ensure that sub-recipients (whether by Subcontract or Subaward) also comply with these requirements. This form is not a certification of cost and pricing data. Your signature on this form signifies that you have been recently (or annually are) audited by a responsible, autonomous, outside source and your financial systems have been found to be acceptable (i.e. you are compliant with Generally Accepted Accounting Principles – “GAAP”). UT has determined that the A-133 Subrecipient Audit Form can also be utilized to demonstrate to auditors that we are in compliance with our subrecipient monitoring procedures for non-federally funded subrecipient agreements. Therefore, UT monitors all subagreements for compliance with internal policies regardless of funding source.

For more information regarding OMB Circular A-133, see: <http://www.whitehouse.gov/omb/circulars/a133/a133.html>

The form allows me to provide a URL where our audit can be accessed. If I provide a URL, do I still need to complete this form?

Yes. While your audit is available online, this form must still be completed so we can collect information required under FFATA, such as the Congressional District in which your institution/organization/business is located and Congressional District(s) where the actual work is being performed and your DUNS + 4 number.

I completed this document not too long ago, within the same fiscal year. Why am I being asked to complete it again?

Under FFATA, we are required to track, by Congressional District, where the subrecipient (university, organization, etc.) is located plus the actual location where the work is being carried out. We now need to verify the subrecipient location and work location for each award. We realize that in many cases the location remains the same across multiple awards, but we nonetheless are required to track the information more specifically.

I am the sole proprietor of my business, which option(s) do I check?

If your business is located in the U.S. and it is a For-Profit entity which typically receives Federal funding, or if you are receiving Federal funding under a University of Texas at Austin subagreement, then the second option - U.S. For-Profit entity with Federal Awards, would be the correct choice.

The criteria for U.S. For-Profit entity with Federal Awards apply because this subagreement from The University of Texas at Austin is Federally funded; however my business does not typically receive Federal Funds, and thus does not fall under FAR, Part 31. What option do I select?

You would still select the second option, but you would add a note in the “Other” section and explain why FAR, Part 31 does not apply.

I have a small business (or am an individual) and do not get audited. What option should I select from the audit report section?

You would select the “Other / Individual / No audit” option and include a note in the space provided explaining that you do not undergo audits but confirming you adhere to GAAP and have provided The University of Texas at Austin with fair and reasonable pricing. The University of Texas at Austin reserves the right to request additional information, based on your response.

Why is it necessary for me to provide my Congressional District on this form?

On September 26, 2006, S. 2560, the Federal Funding Accountability and Transparency Act (FFATA) of 2006, was enacted. FFATA is intended to deter “wasteful and unnecessary” spending. Therefore, FFATA requires full disclosure to the public all entities or organizations **receiving federal funds**. “Entities” include corporations, associations, partnerships, limited liability companies, limited liability partnerships, sole proprietorships, any other legal business entity, any other grantee or contractor, or any State or locality. We must track Federal funding to our subrecipients in the amount of \$25,000 or more, by Congressional District. If you receive Federal funding from The University of Texas at Austin, or from any other source, you are also obliged to track those funds per the FFATA, and you must respond to any requests from The University of Texas at Austin regarding lower-tier subcontracts or subawards. If you would like a copy of this Bill, you may print it from The Library of Congress: <http://www.thomas.gov/cgi-bin/cpquery/T?&report=sr329&dbname=109&>. To find a Congressional District go to <https://forms.house.gov/wyr/welcome.shtml>

What is a DUNS+4 number?

“The D-U-N-S® Number is widely used by both commercial and federal entities and was adopted as the standard business identifier for federal electronic commerce in October 1994.

The D-U-N-S Number® was also incorporated into the Federal Acquisition Regulation (FAR) in April 1998 as the Federal Government's contractor identification code for all procurement-related activities. ~ from the D&B website:

<http://fedgov.dnb.com/webform/displayHomePage.do;jsessionid=71084FA873FF9939AB8C33D657F9C930>

Foreign entities MUST have a DUNS+4 number as this is our only way of tracking federal funding.

How will foreign awards be tracked?

Foreign awards not excluded for national security reasons are tracked in the same manner as domestic awards. Certain data requirements such as Congressional District information (if collected) or North American Industry Classification (NAIC) codes may not pertain to foreign awards. Therefore, we rely on the DUNS+4 number to track Foreign awards.

Who and what awards are excluded from the Act's reporting requirements?

Per the Act, exclusions are provided for an individual recipient of Federal assistance; a Federal employee; transactions below \$25,000; or a grant, loan or contract of a nature that could be reasonably expected to have national security considerations.

This is our first subagreement with The University of Texas at Austin. Do I still need to complete this form?

Yes. We ask that you complete the form and submit your most recent audit report.

Our last audit revealed material weaknesses or some other finding. What should I submit?

You should complete this form and return it along with a copy of the audit in which the weaknesses were reported. If there were any findings in your audit that require corrections to your system, please inform us of what the findings are and the plan that is or will be implemented to correct the finding.