

ANNUAL SUBRECIPIENT A-133 CERTIFICATION

According to our records, your organization was a subrecipient of funds awarded to Arizona State University during the last fiscal year, or is currently being considered for receipt of a subaward. Please provide *either* the Audit Status Certification below or the Internal Control Certification beginning on the next page to A133SUBAWARDS@ASU.EDU within ten business days.

I. AUDIT STATUS CERTIFICATION – FOR SUBRECIPIENTS SUBJECT TO OMB A-133

Subrecipient Name: _____

A-133 Audit Report Link: _____

- A. We have completed our A-133 Single Audit for fiscal year ending _____. The Single Audit Report disclosed no material weaknesses, no material instances of noncompliance with federal laws or regulations, no reportable conditions, no findings, and there are no unresolved prior year findings related to any subaward(s) from Arizona State University.
- B. We have completed our A-133 Single Audit for fiscal year ending _____. The Single Audit Report noted material weaknesses, material instances of noncompliance with federal laws or regulations, reportable conditions, findings, or unresolved prior year findings related to subaward(s) from Arizona State University. The corrective action plan is included in the audit link above. Page number(s) for relevant finding(s) are: _____
- C. Our A-133 Single Audit for fiscal year ending _____ is not anticipated to be complete until _____. Within thirty days of completion, we will provide written notification of the results along with any required documentation.

I certify that the information in the above Audit Status Certification is true and correct for the organization of which I am a representative. I further certify that all relevant disclosures contained in the A-133 Single Audit Report have been referenced.

_____ (Name/Title/Department)	_____ (Signature)	
390 HOANG VAN THU ST., WARD 4, TAN BINH DIST. (Address)	HO CHI MINH CITY (City, State, Zip)	
0084-08-38441198 (Phone)	phamhuuloc@lttc.edu.vn (Email)	
555317949 (DUNS No.) /(DUNS+4 if applicable)	_____ (Congressional Dist. No.)	_____ (EIN)
August 11, 2015 (Date)	_____ (URL link to Single Audit Report)	

Please contact Sylvia Myers with any questions at Sylvia.Myers@asu.edu or (480) 727-2584.

II. INTERNAL CONTROL CERTIFICATION – FOR SUBRECIPIENTS NOT SUBJECT TO OMB A-133

Subrecipient Name: _____

We **are not subject** to the provisions of OMB Circular A-133 because our organization:

Expend less than \$750,000 in Federal awards annually

Is a non-U.S. entity

Is a for-profit entity

Other _____

PLEASE ANSWER ALL QUESTIONS BELOW. DO NOT LEAVE ANY QUESTION BLANK. INDICATE IF A QUESTION IS “NOT APPLICABLE” (N/A) AND SPECIFY REASON, IF ANY, IN “EXPLANATIONS” SECTION.

- | YES | NO | N/A | QUESTION |
|-----|----|-----|--|
| | | | 1. External independent audits of my organization have been completed accurately for my organization’s most current fiscal year ending _____.
a. If yes, attach a copy of your most recent annual financial statements, and audit opinion. Please go to question 2 and complete the remainder of the questionnaire.
b. If no, please go to question 2 and complete the remainder of the questionnaire. |
| | | | 2. Does your organization maintain current, accurate information in the System for Award Management (SAM) database (the Official U.S. Government system that consolidated the capabilities of CCR/FedReg, ORCA and EPLS)? |
| | | | 3. Is your organization’s financial system in accordance with U.S. generally accepted accounting principles , and
a. Does it have the capability to identify, in its accounts, all external awards received and expended and the external programs under which they were received?
b. Do you maintain internal controls to assure that you are managing external awards in compliance with applicable laws, regulations and the provision of contracts or grants? |
| | | | 4. Does your organization have policies and procedures in place to ensure that awarded funds are expended only for allowable activities and that the cost of goods and services are allowable, in accordance with applicable cost principles and authorized by the approved award budget? |
| | | | 5. Does your organization have procedures which provide assurance that consistent treatment is applied in the distribution of charges to all grants, contracts and cooperative agreements? |
| | | | 6. Have your Facilities & Administrative Rates or Fringe Benefit Rates changed since the subaward start date? If so, please provide copies of current rate agreements or description of changes if an approved rate agreement is not in place. |

YES	NO	N/A	QUESTION
			7. Does your organization have policies and procedures in place to ensure that funds are requested in accordance with the award payment schedule if a fixed price award, or as reimbursement for expenditures only after the costs have been incurred if a cost reimbursable award?
			8. Does your organization have policies and procedures in place to ensure compliance with the requirements of the Davis-Bacon Act for all federal funds received?
			9. Does your organization have policies and procedures in place to ensure that subawards are issued only to eligible subrecipients and that amounts provided to or on behalf of eligible individuals or groups of individuals are calculated in accordance with award requirements?
			10. Does your organization have policies and procedures in place to ensure that proper records are maintained for equipment acquisitions, equipment is adequately safeguarded and maintained, dispositions or encumbrances of any equipment or real property are in accordance with applicable requirements, and the prime sponsor is appropriately compensated for its share of any property sold or converted to an alternate use?
			11. Does your organization have policies and procedures in place to ensure that matching, level of effort, or earmarking requirements are met using only allowable funds or costs which are properly calculated and valued?
			12. Does your organization have policies and procedures in place to ensure that awarded funds are used only during the authorized period of performance ?
			13. Does your organization have policies and procedures in place to ensure that the procurement of goods and services is made in compliance with applicable regulations governing competitive pricing, proper authorization and approval of expenditures for goods and services, and prevention of procurement from suspended or debarred parties?
			14. Are all disbursements properly documented with evidence of receipt of goods or performance of services?
			15. Does your organization have policies and procedures in place to ensure that program income is correctly earned, recorded, and used in accordance with program requirements?
			16. Does your organization have policies and procedures in place to ensure compliance with applicable requirements for real property acquisition, appraisal, negotiation and relocation?
			17. Does your organization have policies and procedures in place to ensure that submitted reports include all activity of the reporting period, are supported by underlying accounting or performance records, and are fairly presented in accordance with award requirements?

YES NO N/A

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QUESTION

18. Does your organization have policies and procedures in place to ensure that **subrecipients** are provided with flow-through award information and compliance requirements, that subrecipient activities are monitored, that subrecipient audit findings are resolved (including appropriate corrective action), and that the impact of any subrecipient noncompliance is evaluated and addressed?

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19. Are the personnel handling your organization's administrative functions new to the role, or have you substantially changed or implemented new systems recently? If so, please describe in the EXPLANATIONS section below.

ATTACHED ARE THE FOLLOWING: (If URL link is not available)

No Recent Financial Statements External Review or External Audit Report
No Financial Statements, Audited or Unaudited
No Indirect Cost Rate Agreement

EXPLANATIONS:

I have completed this Internal Control Certification in its entirety. True and correct information concerning my organization's finances and fiscal policies have been provided in this Internal Control Certification and in any attached financial statements and/or external audit reports covering the fiscal year noted above.

PHAM HUU LOC PhD

Name/Title/Department

390 HOANG VAN THU ST., WARD 4, TAN BINH DIST.

(Address)

0084-08-38441198

(Phone)

555317949

(DUNS No.)/(DUNS+4 if applicable)

(Congressional Dist. No.)

(EIN)

August 11, 2015

(Date)

phamhuuloc@lffc.edu.vn

(Email)

(URL link to External Audit Report)

Please contact Sylvia Myers with any questions at Sylvia.Myers@asu.edu or (480) 727-2584.