



Grants and Contracts Financial Administration

February 24, 2017

Wichita State University
Office of Research Administration
NIAR Building, Room 319
Wichita, KS 67260007

401 Whitehurst
Stillwater, Oklahoma 74078-1031
405-744-6097
Fax: 405-744-7487

To Whom It May Concern:

In accordance with Uniform Guidance, 2 CFR 200, Subpart F, if your organization expended more than \$750,000 in federal funds in a fiscal year, Oklahoma State University is required to ensure you have met the audit requirements for the fiscal years relevant to your subaward.

Please check the appropriate section, provide any required documents and sign the certification below:

1. We have not completed our annual audit for fiscal year _____. We expect the audit(s) to be completed on _____. Upon completion we will provide you with the appropriate reports/documents as indicated in this letter. Please include a copy or web link to your most current complete audit.

2. We have completed our annual audit for fiscal year _____. I hereby certify the audit presented no significant deficiencies, no material instances and/or no reportable conditions. Accordingly, we are not enclosing a copy of the audit report.

3. We have completed our annual audit for fiscal year _____. Material weaknesses, material instances of noncompliance, or findings were noted. Enclosed is the reporting package consisting of:

- 1. Financial Statements and schedule of expenditures of federal awards.
2. Auditor's report on compliance and internal controls
3. Summary of schedule of prior audit findings
4. Corrective action responses or plans
5. Questioned costs pertaining to awards provided by Oklahoma State University (if applicable)

--NOTE: If above items are available online, an internet link can be provided in lieu of hard documents.

4. We are not subject to the requirements of the Uniform Guidance, 2 CFR 200, Subpart F because (please check one) and complete the enclosed subrecipient questionnaire.

- We are a for-profit organization
We expend less than \$750,000 of federal & federal flow thru funds annually
We are a non-US entity
Other (explain)

Attached Subrecipient Questionnaire is only required if number 4 was checked above.

I certify that the information above characterizes the position of the institution of which I am a representative. Further, I certify that all relevant material findings contained in the audit report, if completed, have been disclosed.

Signature _____ Date _____

Email address: _____

Printed Name and Title _____

Web Address that financial statements can be found: _____

Please send required documents to: Jessica Kittle
Grants & Contracts Financial Administration
Oklahoma State University
401 Whitehurst
Stillwater, OK 74078

Or email to my attention at: jessica.kittle@okstate.edu

We thank you for your cooperation and would appreciate your response within 15 working days of receipt of this letter. If there are any questions, please do not hesitate to contact me, at (405) 744-8234 or email me at jessica.kittle.@okstate.edu.

Subrecipient Questionnaire

As a subrecipient of federal funds from Oklahoma State University, you have indicated on our Subrecipient Confirmation Letter that your organization is not subject to OMB Circular A-133 audit requirements. Oklahoma State University is required to monitor all subrecipients of federal funds, therefore please complete the following questionnaire and submit all related documents as necessary. Please use a separate response page as needed.

1. Does your organization have its financial statements audited or reviewed by an independent accounting firm?

 Yes. Please submit a copy of the most recent audited financial statement, audit opinion and communication to management.
 No. Please Explain.
2. Does your organization's financial system meet the requirements of OMB Circular A-110 for administering federal grants?

 Yes.
 No. Please Explain.
3. Do you or your organization's financial staff have a working knowledge of the OMB Circular A-21 Cost Principles and other relevant Federal guidelines that are applicable to determining cost allowability for federal expenditures?

 Yes.
 No. Please Explain.
4. Does your organization have a financial management system that provides records that can identify the source and application of funds for individual-award supported activities?

 Yes.
 No. Please Explain.
5. Does your organization have controls to prevent invoicing in excess of approved, budgeted amounts?

 Yes.
 No. Please Explain.
6. Does your organization have an indirect cost allocation plan or negotiated indirect cost rate?

 Yes. Please provide a copy of any negotiated rate agreement.
 No. Please Explain.
7. Describe your organizations' procedures to ensure that costs deemed unallowable, per the federal guidelines noted above, are excluded from the amount billed to Oklahoma State University under this agreement?

8. Do you bill Oklahoma State University after actual expenditures have been incurred or deliverables have been accepted?

Yes.
 No. Please Explain.

9. Are all disbursements from your organization properly documented with evidence of receipt of goods or performance of services?

Yes.
 No. Please Explain.

10. Does your organization have procedures that provide assurances that consistent treatment is applied in the distribution of charges to all funding sources?

Yes.
 No. Please Explain.

11. Other than financial statements, has any aspect of your activities been audited within the past two years by a governmental agency or an independent public accounting firm?

Yes. Please provide a copy.
 No.

12. Have you made any subaward (subcontract) agreements with another entity using funds provided by Oklahoma State University?

Yes. Please Explain
 No.

Signature: _____ Date: _____

Name of Organization _____

Name and Title: _____

Email: _____

Thank you for your cooperation in this matter. If you have any questions regarding this document, please feel free to contact me at (405) 744-8234 or via email at jessica.kittle@okstate.edu

Please return the completed subrecipient questionnaire and related documents to:

Jessica Kittle
Oklahoma State University
Grants & Contracts Financial Administration
401 Whitehurst
Stillwater, OK 74078

Compliance Verification Form

As a federal contractor, we are required by the Executive Order 11246 to notify organizations who conducted business with Oklahoma State University in the past year that OSU is an Equal Opportunity Employer and maintains an Affirmative Action Plan. This plan can be found:

<http://eeo.okstate.edu/equal-opportunity>

By signing below, Wichita State University certifies that they have fulfilled their responsibilities under the above executive order and acts.

- A. **Equal Opportunity Clause.** Wichita State University is aware of its responsibility under Executive Order 11246 as amended and agrees to be bound by its provisions. (Applicable to federal contractors and sub-contractors with orders amounting to \$10,000 or more).
- B. **Affirmative Action Program.** Wichita State University certifies to Oklahoma State University that since OSU is a federal contractor, Wichita State University will, if appropriate, 1) file an EEO-1 report on Standard Form 100, within 30 days after the signing of this certificate, unless an EEO-1 report has already been filed within the last 12 months, and will continue to file such reports annually, on September 30th, or as otherwise provided by law or regulation; and 2) develop and maintain a written affirmative action program in accordance with the regulations of the OFCCP (Office of Federal Contract Compliance Programs) as set forth under Executive Order 11246, as amended. (Applicable to federal contractors and sub-contractors with orders amounting to \$50,000 or more, and has 50 or more employees).
- C. **Employment of the Disabled.** Wichita State University acknowledges that if applicable, it is bound by the Affirmative Action for Individuals with Disabilities Clause set forth in 41 CFR § 60-741.5, promulgated under Section 503 of the Rehabilitation Act of 1973. (Executive order 11758, applicable to federal contractors and sub-contractors with orders amounting to \$10,000 or more).
- D. **Employment of Disabled Veterans, Recently Separated Veterans, Active Duty Wartime or Campaign Badge Veteran and Armed Forces Service Medal Veterans.** Wichita State University acknowledges that, if applicable, it is bound by the Affirmative Action for Disabled Veterans, Recently Separated Veterans, Active Duty Wartime or Campaign Badge Veteran and Armed Forces Service Medal Veterans clause, as set forth in 41 CFR § 60-300.5. (Applicable to federal contractors and sub-contractors, with contracts or subcontracts of \$10,000 or more if contract is entered into on or after December 31, 2003 (§60-300.5), as outlined in the Jobs for Veterans Act of 2002).
- E. **E.O. 13496.** Beginning on June 21, 2010 Federal Contractors and Sub-Contractors are required to inform their employees about their rights under the National Labor Relations Board by posted notice; FAQs can be found at http://www.dol.gov/ofccp/regs/compliance/EO13496_faqs.htm.
- F. **General.** Wichita State University understands and agrees that signing below does not create any enforceable rights hereunder for any firm, organization, or individual. The undersigned agrees that the provisions in this letter are hereby incorporated in every non-exempt contract or purchase order between Oklahoma State University and Wichita State University currently in force, or that may be issued during a one-year period from the date of execution of this letter.

Wichita State University
Office of Research Administration
NIAR Building, Room 319
Wichita, KS 672600007

Signature

Print Name and Title

Date

Please email form to Jessica Kittle at jessica.kittle@okstate.edu, or mail to:

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Grants & Contracts Financial Administration
Oklahoma State University
401 Whitehurst
Stillwater, OK 74078