

PART II FINANCIAL STATEMENTS (To be completed by auditor)

1. Type of audit report
 Mark either: 1 Unqualified opinion **OR**
 any combination of: 2 Qualified opinion 3 Adverse opinion 4 Disclaimer of opinion
2. Is a "going concern" explanatory paragraph included in the audit report? 1 Yes 2 No
3. Is a reportable condition disclosed? 1 Yes 2 No – SKIP to Item 5
4. Is any reportable condition reported as a material weakness? 1 Yes 2 No
5. Is a material noncompliance disclosed? 1 Yes 2 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? (AICRA Audit Guide, Chapter 12) 1 Yes 2 No
2. What is the dollar threshold to distinguish Type A and Type B programs? (OMB Circular A-133 § .520(b)) \$ 300,000
3. Did the auditee qualify as a low-risk auditee? (§ .530) 1 Yes 2 No
4. Is a reportable condition disclosed for any major program? (§ .510(a)(1)) 1 Yes 2 No –SKIP to Item 6
5. Is any reportable condition reported as a material weakness? (§ .510(a)(1)) 1 Yes 2 No
6. Are any known questioned costs reported? (§ .510(a)(3) or (4)) 1 Yes 2 No
7. Were Prior Audit Findings related to **direct** funding shown in the Summary Schedule of Prior Audit Findings? (§ .315(b)) 1 Yes 2 No

8. 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 <input checked="" type="checkbox"/> U.S. Agency for International Development
10 <input checked="" type="checkbox"/> Agriculture
23 <input type="checkbox"/> Appalachian Regional Commission
11 <input checked="" type="checkbox"/> Commerce
94 <input type="checkbox"/> Corporation for National and Community Service
12 <input type="checkbox"/> Defense
84 <input type="checkbox"/> Education
81 <input type="checkbox"/> Energy
66 <input checked="" type="checkbox"/> Environmental Protection Agency | 83 <input type="checkbox"/> Federal Emergency Management Agency
39 <input type="checkbox"/> General Services Administration
93 <input type="checkbox"/> Health and Human Services
97 <input type="checkbox"/> Homeland Security
14 <input type="checkbox"/> Housing and Urban Development
03 <input type="checkbox"/> Institute of Museum and Library Services
15 <input type="checkbox"/> Interior
16 <input type="checkbox"/> Justice
17 <input type="checkbox"/> Labor
09 <input type="checkbox"/> Legal Services Corporation | 43 <input type="checkbox"/> National Aeronautics and Space Administration
89 <input type="checkbox"/> National Archives and Records Administration
05 <input type="checkbox"/> National Endowment for the Arts
06 <input type="checkbox"/> National Endowment for the Humanities
47 <input type="checkbox"/> National Science Foundation
07 <input type="checkbox"/> Office of National Drug Control Policy
59 <input type="checkbox"/> Small Business Administration | 96 <input type="checkbox"/> Social Security Administration
19 <input type="checkbox"/> U.S. Department of State
20 <input type="checkbox"/> Transportation
21 <input type="checkbox"/> Treasury
82 <input type="checkbox"/> United States Information Agency
64 <input checked="" type="checkbox"/> Veterans Affairs
00 <input type="checkbox"/> None
<input type="checkbox"/> Other – Specify: |
|--|---|---|--|

Each agency identified is required to receive a copy of the reporting package.

In addition, one copy each of the reporting package is required for:

- the Federal Audit Clearinghouse archives
- and, if not marked above, the Federal cognizant agency

Count total number of boxes marked above and submit this number of reporting packages 5

PART III FEDERAL PROGRAMS - Continued

9. FEDERAL AWARDS EXPENDED DURING FISCAL YEAR

CFDA Number		Research and development (c)	Name of Federal program (d)	Amount expended (e)	Direct award (f)	Major program (g)		Major program If yes, type of audit report 3 (h)	10. AUDIT FINDINGS	
Federal Agency Prefix 1 (a)	Extension 2 (b)					1 Yes 2 No	1 Yes 2 No		Type(s) of compliance requirement(s) 4 (a)	Audit finding reference number(s) 5 (b)
6 6	.034	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	SURVEYS, STUDIES, RESEARCH, INVESTIGATIONS, DEMONSTRATIONS, AND SPECIAL P.	\$ 119,146 .00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No			O	N/A
6 6	.N/A	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	REGIONAL ENERGY STAR SUPPORT	\$ 18,000 .00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No			O	N/A
6 6	.606	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	SURVEYS, STUDIES, INVESTIGATIONS - CLEAN AIR ACT	\$ 58,660 .00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No			O	N/A
6 6	.509	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	SCIENCE TO ACHIEVE RESULTS RESEARCH PROGRAM	\$ 2,441 .00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No			O	N/A
9 8	.N/A	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	SOUTH AFRICA CITIES FOR CLIMATE PROTECTION	\$ 465,060 .00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No		U	BGH	2006-02 & 2006-03
1 0	.675	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	URBAN AND COMMUNITY FORESTRY PROGRAM	\$ 8,909 .00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No			O	N/A
8 1	.N/A	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	PROVIDING AN ENERGY-EFFICIENT PUBLIC SECTION IN MEXICO CITIES	\$ 115,453 .00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No			O	N/A
1 1	.460	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	SPECIAL OCEANIC AND ATMOSPHERIC PROJECT	\$ 265,387 .00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No			O	N/A
	.	1 <input type="checkbox"/> Yes 2 <input type="checkbox"/> No		\$.00	1 <input type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input type="checkbox"/> No				
	.	1 <input type="checkbox"/> Yes 2 <input type="checkbox"/> No		\$.00	1 <input type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input type="checkbox"/> No				
TOTAL FEDERAL AWARDS EXPENDED				\$ 1,053,056 .00						

IF ADDITIONAL LINES ARE NEEDED, PLEASE PHOTOCOPIY THIS PAGE, ATTACH ADDITIONAL PAGES TO THE FORM, AND SEE INSTRUCTIONS

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)

3 If major program is marked "Yes," enter only one letter (U = Unqualified 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.

4 Enter the letter(s) of all type(s) of compliance requirement(s) that apply to audit findings (i.e., noncompliance, reportable conditions (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
- N/A for NONE
- 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
- O. None
- P. Other



FAC DETERMINED DATA

* FAC DETERMINED TYPE OF ENTITY:

* FAC DETERMINED CURRENT YEAR DIRECT FINDINGS: **YES**

* FAC DETERMINED COGNIZANT (C) OR OVERSIGHT (O) AGENCY*: **O**
(Please refer to the FAQ's for definitions)

* FAC DETERMINED COGNIZANT OR OVERSIGHT AGENCY FEDERAL AGENCY PREFIX: **98**

* FAC DETERMINED TYPE OF AUDIT REPORT ON MAJOR PROGRAM COMPLIANCE
BASED ON 1997 – 2003 SF-SAC FORM INSTRUCTIONS: **U**

* The items above are not reported on the Form SF-SAC, but are determined by the FAC