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**University of Washington (UW)**

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**Agency: 360**

**Audit Report:** 6498

**Finding Number:** 001

**Finding:** Certain University department's controls are not working effectively to ensure Time and Effort Certification forms are completed in a timely manner and to ensure monthly certification of salaries and wages paid for federal programs are completed as required.

**Resolution:** The University worked with departments campus wide and, specifically, with those cited in this finding to strengthen controls that ensure Grant and Contract Certification Reports (GCCRs) are signed in a timely manner. The University is engaged in a variety of projects that will improve the timeliness of Faculty Effort Certifications (FECs). These projects included mandatory training of all faculty receiving effort reports, which was completed November 30, 2005.

In addition, the University enhanced its follow-up process to ensure FECs are certified and submitted in a timely manner. A formal process with escalating communication has been rolled out in an effort to ensure FECs are certified and submitted timely. Also, individual departments cited in this finding have strengthened their monitoring and follow-up processes.

Finally, the University has begun a process that should replace the existing manual system with an electronic effort reporting and certification system. The University is beginning preparation of a formal Request for Quote (RFQ) for vendor presentations and is also preparing an assessment of costs and systems features for an internal build solution. A new system would include enhanced tracking and follow-up capabilities. The University anticipates that the system changes will extend over a two to four year period.

**Agency Contact:** Ann Anderson  
University of Washington  
280 Gerberding, Box 351248  
Seattle WA 98195  
(206) 543-4993  
andera@u.washington.edu

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**University of Washington (UW)**

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**Agency: 360**

**Audit Report:** 6498

**Finding Number:** 002

**Finding:** The University did not submit financial status reports in a timely manner.

**Resolution:** The University's Grant and Contract Accounting (GCA) experienced a 50% rate of turnover in the fiscal positions responsible for preparing Financial Status Reports (FSRs) in 2005. GCA is working aggressively to hire and train new staff so that FSRs can be submitted in a timely manner. GCA has been working diligently to staff vacant positions over the last several months. While it is hoped to have all relevant vacancies filled by December 31, 2006, training on preparation of FSRs will extend into 2007.

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280 Gerberding, Box 351248  
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(206) 543-4993  
andera@u.washington.edu

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**Agency: 360**

**Audit Report:** 6498

**Finding Number:** 003

**Finding:** The University paid contractors without Intent to Pay Prevailing Wage forms on file as required by state law.

**Resolution:** The University has modified its practice related to filing Intent to Pay Prevailing Wages and now requires a copy of the Intent to Pay Prevailing Wages be on file in the Capital Projects Office prior to making a progress payment to the General Contractor/Construction Manager (GC/CM) contractor.

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University of Washington  
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Seattle WA 98195  
(206) 543-4993  
andera@u.washington.edu