

# SUBRECIPIENT COMMITMENT FORM



**\*Do not use this form if your institution is an FDP Expanded Clearinghouse participant. Please use the FDP LOI.**

## SECTION A: UNCG Proposal Information (to be completed by UNCG PI or DA prior to submission to OSP)

UNCG PI Name: \_\_\_\_\_ Prime Sponsor: \_\_\_\_\_ Federal? Yes ☐ No ☐  
Proposal Title: \_\_\_\_\_  
Program Announcement/RFP URL: \_\_\_\_\_  
Total Direct Costs: \_\_\_\_\_ Total Indirect Costs: \_\_\_\_\_ Total Budget Amount: \_\_\_\_\_  
Proposed Period of Performance Dates: \_\_\_\_\_ Is UNCG cost share involved? Yes ☐ No ☐ Amount: \_\_\_\_\_

## SECTION B: Subrecipient Proposal and Organization Information (to be completed by sub-recipient prior to submission to OSP)

Sub-Recipient Legal Name: \_\_\_\_\_  
Sub-Recipient PI Name: \_\_\_\_\_ Email: \_\_\_\_\_ Phone: \_\_\_\_\_  
Sub-Recipient Admin Name: \_\_\_\_\_ Email: \_\_\_\_\_ Phone: \_\_\_\_\_  
Sub-Recipient Authorized Official (AO) Name: \_\_\_\_\_ Email: \_\_\_\_\_  
Title: \_\_\_\_\_ \*Authorized Official has signatory authority on binding agreements.  
Total Direct Costs: \_\_\_\_\_ Total Indirect Costs: \_\_\_\_\_ Total Budget Amount: \_\_\_\_\_  
Proposed Period of Performance Dates: \_\_\_\_\_ Is sub-recipient cost share involved? Yes ☐ No ☐ Amount: \_\_\_\_\_  
Sub-Recipient Legal Address: Include ZIP Code +4 or other postal code: \_\_\_\_\_ Place of Performance Address (if different from legal address): \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Sub-Recipient Organization Type: ☐ University ☐ Other Non-Profit ☐ Industry/For-Profit ☐ Other: \_\_\_\_\_  
UEI #: \_\_\_\_\_ Federal Employer ID Number (EIN): \_\_\_\_\_  
SAM Registered? ☐ Yes: Exp. Date: \_\_\_\_\_ ☐ No US Congressional District: \_\_\_\_\_

**Fringe Benefit Rates included in this project are calculated based on:**

- ☐ Rates consistent with or lower than subrecipient organization's federally negotiated rates.  
☐ Other rates: \_\_\_\_\_

**Facilities and Administrative Rates for the proposal are calculated based on:**

- ☐ Subrecipient Organization's federally negotiated F&A rates for this type of work.

**F/A Rate URL:** \_\_\_\_\_

**\*If no URL exists, please provide your rate agreement with this completed form.**

- ☐ A restricted F&A rate published by the sponsoring agency. Rate: \_\_\_\_\_% on base: \_\_\_\_\_  
☐ Other rates: \_\_\_\_\_  
☐ Not applicable, subrecipient is not requesting payment of F&A costs.

## SECTION D: Research Subjects and Other Compliance

### Human Subjects:

☐ Yes ☐ No Human Subjects will be involved in the subrecipient's portion of this project.

If "Yes" provide your organization's Federal Wide Assurance #: \_\_\_\_\_

### Vertebrate Animal Care and Use:

☐ Yes ☐ No Animals will be involved in subrecipient's portion of this project.

If "Yes", please provide an OLAW-approved Animal Welfare Assurance Number: \_\_\_\_\_

### Recombinant DNA and Transgenic Organisms:

☐ Yes ☐ No Recombinant DNA and/or transgenic organisms will be used in the subrecipient's portion of this project.

### Export Controlled Data/Materials/Equipment:

☐ Yes ☐ No Does Subrecipient Scope of Work involve foreign travel; sending/transporting or receiving anything from outside of the U.S.; OR is any member of the research team a Foreign National? If "Yes," list name(s) and country(ies): \_\_\_\_\_

### Other Compliance Certifications: *Subrecipient's proposal work involves/may involve the following* (check all that apply):

☐ Stem Cells ☐ Clinical Trials ☐ Select Agents ☐ Confidential Information ☐ Proprietary Materials

## SECTION C: Subrecipient Eligibility

- ☐ Yes ☐ No Is the subrecipient organization, PI, or any other employee/student planning to participate in the project presently disbarred, suspended, proposed for debarment, or declared ineligible for award of federal contracts?
- ☐ Yes ☐ No Is the subrecipient presently indicted or otherwise criminally or civilly charged by a government entity?
- ☐ Yes ☐ No Has the subrecipient had one or more contracts terminated for default by any federal agency within three (3) years?
- ☐ Yes ☐ No Within three (3) previous years, has subrecipient organization been convicted of or had a civil judgment rendered against them for commission of fraud or criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) contract of subcontract; violation of Federal or State antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property.

## SECTION D: Certifications

### Audit Status:

☐ Yes ☐ No Does the subrecipient organization receive an annual audit in accordance with section [2 CFR 200.501 of the Uniform Guidance](#)?

***\*If you answered "Yes" please attach an explanation of any findings or exceptions noted in your organization's most recent single audit and provide the following information:***

- ☐ Audit is available on the Federal Audit Clearinghouse
- ☐ Audit is available at this URL: \_\_\_\_\_

***\*If you answered "No" please indicate the reason/s the single audit requirement does not apply:***

- ☐ My organization did not expend U.S. Federal funds in excess of the Federal Single Audit threshold (see [2 CFR 200.501\(b\)](#)), during our last fiscal year.
- ☐ My organization is a for-profit organization.
- ☐ Other (attach an explanation).

### Conflict of Interest (COI) Policy and Procedures

- ☐ Subrecipient **does have** an active and enforced Conflict of Interest Policy that is consistent with the provision of [42 CFR part 50, Subpart F "Management and reporting of financial conflicts of interest."](#)
- ☐ The Subrecipient **does not have** an active and/or enforced COI policy and hereby agrees to abide by UNCG's policy and related procedures, as specified at [https://policy.uncg.edu/university\\_policies/conflicts-of-interest-and-commitment-policy/](https://policy.uncg.edu/university_policies/conflicts-of-interest-and-commitment-policy/)

## Federal Financial Accountability & Transparency Act (FFATA) Information

☐ Yes ☐ No Is entity exempt from reporting compensation?

The FFATA Act requires a prime awardee to provide the names and total compensation of the five most highly compensated officers if the entity in the preceding fiscal year received 80% or more of its annual gross revenues in Federal awards; and \$25,000,000 or more in annual gross revenues from Federal awards; and the public does not have access to information about the compensation of the senior executives. (details: <https://www.fsr.gov/#a-faqs>)

## SECTION F: Certifications, Part 2

### Fiscal Compliance:

- ☐ Yes ☐ No Subrecipient has the capability to identify, in its accounts, all Federal awards received and expended and the Federal programs under which they were received.
- ☐ Yes ☐ No Subrecipient maintains internal controls to assure that it manages Federal awards in compliance with applicable laws, regulations, and the provision of contracts and grants.
- ☐ Yes ☐ No Subrecipient can prepare appropriate financial statements, including schedule of expenditures of Federal awards.

### Responsible Conduct of Research (RCR) Training *(Required if sponsor is PHS/NIH or NSF)*

- ☐ Yes ☐ No NIH: Subrecipient Organization will monitor and maintain records of individual RCR training plans in accordance with [NIH's RCR training requirements](#) for [NIH Grants for Training and Fellowship awards](#).
- ☐ Yes ☐ No NSF / USDA-NIFA: Subrecipient Organization has a training program in place and will train all undergraduate and graduate students and postdoctoral trainees [in accordance with NSF](#) or [USDA-NIFA's RCR requirements](#).

### Findings of Sexual Harassment, Other Forms of Harassment, or Sexual Assault *(Required if sponsor is NSF)*

- ☐ Yes ☐ No Entity is aware of and acknowledges requirements of the NSF term and condition entitled "Notification Requirements Regarding Findings of Sexual Harassment, Other Forms of Harassment, or Sexual Assault."

Term details and more information: [https://www.nsf.gov/od/odi/term\\_and\\_condition.jsp](https://www.nsf.gov/od/odi/term_and_condition.jsp). Note: In the event that a notice to NSF is required, and a co-PI is affiliated with a subawardee organization, the Authorized Organizational Representative of the subawardee must provide the requisite information directly to NSF, as instructed in the Federal Register Notice [83 FR 47940](#), published 9/21/2018.

## SECTION G: Subrecipient Official Authorization

The information, certifications, and representations above have been read, signed, and made by an authorized official of the Subrecipient. **All proposal documents included in proposal submission (Scope of Work, Budget, etc.) are covered by the certifications in this form.** The appropriate programmatic and administrative personnel of the subrecipient are aware of the prime funding agency's policy in regards to Subawards and are prepared to establish the necessary interinstitutional agreement consistent with those policies. **Subrecipient understands that any expenses incurred prior to execution of a subagreement are at the Subrecipient's own risk.**

\_\_\_\_\_  
Subrecipient Organizations' Authorized Official's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Title

\_\_\_\_\_  
Email to which subaward documents should be sent