UNIVERSITY of NORTH CAROLINA
PEMBROKE
Office of Sponsored Research and Programs

SUBRECIPIENT COMMITMENT AND DATA FORM

This form both collects data needed from a subrecipient and functions as a Letter of Intent/Commitment. As such, it is the basis for any subaward or collaboration agreement with another institution (or other sub-awardee/contractor) and is typically prepared by the collaborating organization's grants or contracts office. It must be signed by the collaborating organization's authorized representative and returned to the Office of Sponsored Research and Programs (OSRP) here at UNCP. The form is the basis of agreement which signals that, in the event of funding, the collaborating entity will cooperate with UNCP as outlined.

The form is required prior to the submission of the grant (by UNCP's OSRP) to the funding agency. The OSRP can assist PI/PDs with securing the appropriate documentation from the proposed collaborating institution (or other sub-awardee).

SUBRECIPIENT'S LEGAL NAME: _____

EIN (Tax ID) NUMBER: _____

DUNS NUMBER: _____

PERFORMANCE SITE ADDRESS (include your 9 digit zip code): _____

CONGRESSIONAL DISTRICT(S) FOR SUBRECIPIENT & PERFORMANCE SITE LOCATIONS: _____

FEDERAL SYSTEM FOR AWARD MANAGEMENT (SAM) REGISTRATION STATUS: Active_____ Inactive_____

FEDERAL SYSTEM FOR AWARD MANAGEMENT (SAM) REGISTRATION EXPIRATION DATE: _____

SUBRECIPIENT'S PI NAME: _____

SUBRECIPIENT PROPOSAL TITLE: _____

TOTAL FUNDS REQUESTED FOR SUBRECIPIENT: $_____

SUBRECIPIENT PROJECT PERIOD: _____

SUBRECIPIENT'S SPONSORED PROGRAMS CONTACT NAME, PHONE NO., AND EMAIL: _____

_____

UNCP'S PI NAME: _____

UNCP PROPOSAL NUMBER: _____

SECTION A- PROPOSAL DOCUMENTS

The following documents are included in our subaward proposal submission and prepared in compliance with the prime sponsor's solicitation guidelines:

☐ Statement of Work

☐ Budget

☐ Budget Justification

☐ Other proposal documents as required by the solicitation

SECTION B- CERTIFICATIONS

1. **Facilities & Administrative (F&A) Rates** included in this proposal have been calculated based on:

☐ Our federally-negotiated F&A rates for this type of work, or reduced F&A rate that we hereby agree to accept. Please provide a copy of your F&A rate agreement box below.

☐ 10% MTDC in accordance with CFR Part 200- Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards

☐ Other rates (please attach description of the basis on which the rates were calculated).

☐ Not applicable (no F&A costs are requested by subrecipient)

PROVIDE F&A AGREEMENT LINK:

2. **Fringe Benefit Rates** included in the proposal:

☐ Are consistent with or lower than our federally negotiated rates.

☐ Are based on our institutional policy. Please specify the basis on which rates are assessed and/or provide a link to your policy in the box below.

PROVIDE FRINGE RATE POLICY LINK:

3. **Human Subjects** ☐ Yes ☐ No
   If yes, please provide your Federal Wide Assurance # (if obtained):

4. **Animal Use** ☐ Yes ☐ No
   If yes, please provide your PHS Animal Welfare Assurance # (if applicable): _____.

5. **Select Agents** ☐ Yes ☐ No
   If yes, please provide your Select Agent Registration #: _____.

6. **Recombinant DNA** ☐ Yes ☐ No

7. **Conflict of Interest** (only applicable to PHS, NSF, or other sponsors that have adopted the federal financial disclosure requirements)

☐ Subrecipient hereby certifies that it has an active and enforced conflict of interest policy that is consistent with the provisions of 42 CFR Part 50, Subpart F "Responsibility of Applicants for Promoting Objectivity in Research." Subrecipient also certifies that, to the best of Institution's knowledge, all financial disclosures have been made related to the activities that may be funded by or will have been satisfactorily managed, reduced or eliminated in accordance with subrecipient's conflict of interest policy prior to the expenditures of any funds under any resultant agreement.

☐ Subrecipient does not have an active and/or enforced conflict of interest policy and hereby agrees to abide by UNCP's policy and related procedures. See policy at http://www.uncp.edu/about-uncp/administration/policies-and-regulations/all-policies/pol-054501-policy-conflicts-commitment-and-interest-affecting-university-employment .

☐ Not applicable because this project is **not** being funded by PHS, NSF, or other sponsor that has adopted the federal financial disclosure requirements.

8. Responsible Conduct of Research (RCR) (if applicable)

☐ **NSF**: Subrecipient hereby certifies that it will ensure that all undergraduates, graduate students, and postdoctoral researchers who will be supported by this **NSF** proposal will be trained on the oversight in the responsible and ethical conduct of research.

☐ **USDA-NIFA**: Subrecipient hereby certifies that it has an institutional plan compliant with **USDA-NIFA's** February 2013 Agency-Specific Terms & Conditions requirements related to responsible conduct of research.

9. Certification regarding Debarment and Suspension
Is the Subrecipient, PI, or any other employee or student participating in this project debarred, suspended or otherwise excluded from or ineligible for participation in federal programs or activities?

☐ Yes (If Yes, explain in Comments below)

☐ No

10. Cost Sharing/Matching/In-Kind included in the proposal (if applicable)
Cost sharing, matching, and/or in-kind commitments should be included in the Subrecipient's budget and budget justification. Third-Party in-kind cost share should be supported by a letter of support signed by an authorized representative of the third-party.

☐ Yes **Amount**: _____

☐ N/A

11. Audit Status
Does your organization receive an annual audit in accordance with OMB Circular A-133? Please provide a link to the most recent A-133 audit report (if applicable) below.

☐ Yes

☐ No

PROVIDE AUDIT/FINANCIAL REPORTS LINK: Click here to enter text.

12. Fiscal Responsibility
The organization certifies that its financial system is in accordance with generally accepted accounting principles and:

☐ has the capability to identify, in its accounts, all Federal awards received and associated expenses as well as the Federal programs under which they were received;

☐ maintains internal controls to assure that it is managing Federal awards in compliance with applicable laws, regulations and the provisions of contracts or grants;

☐ complies with applicable laws and regulations;

☐ can prepare appropriate financial statements, including the schedule of expenditures of federal awards;

☐ there are no outstanding audit findings which would impact subcontract costs. If there are findings, submit a copy of the most recent report that describes the finding and steps to be taken to correct the finding.

COMMENTS:

SUBRECIPIENT CERTIFIES THE FOLLOWING:
The information, certifications, and representations stated above have been made by an authorized official of the subrecipient named herein. Additionally, the appropriate programmatic and administrative personnel involved in this application are aware of sponsor policies in regard to subawards and are prepared to establish the necessary inter-institutional agreements consistent with those policies. **Subrecipient understands that any expenses incurred prior to execution of a subaward agreement are at the subrecipient's own risk.**

Signature of Authorized Official for Subrecipient

X _____

Print Name _____ Date: _____

Title _____ Email: _____