

## UNC PEMBROKE (UNCP) - SUBRECIPIENT COMMITMENT FORM

This form 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 the agreement which signals that, in the event of funding, the collaborating entity will cooperate with UNCP as outlined. Incomplete forms will be returned for completion. Authorized Official must sign the completed form.

### SUBRECIPIENT INFORMATION

Subrecipient's legal name:

Performance site address (include your 9 digit zip code):

EIN (tax id) number:

DUNS Number:

UEI number:

System for award management (SAM) registration:

Expiration date:

Congressional district(s) for subrecipient & performance site locations:

Subrecipient's PI/PD name:

Subrecipient proposal title:

Total funds requested for subrecipient: \$

Subrecipient project period: to:

Subrecipient's administrative/sponsored programs contact name, phone #, and email (Required):

UNCP PI:

### 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    Required sponsor documents

### 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)

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.

FRINGE RATE POLICY LINK:

**3- 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.

COST-SHARING AMOUNT:

**4- Audit Status**

Does your organization receive an annual audit in accordance with the UG Subpart F (200 CFR 501) Single Audit Act? Please provide a link to the most recent Single Audit report (if applicable) below.

AUDIT/FINANCIAL REPORTS LINK:

**5- 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 any findings, submit a copy of the most recent report that describes the finding and steps to be taken to correct the finding.

**6- Federal Financial Accountability & Transparency Act (FFATA):**

Is the 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.fsrs.gov/#a-faqs>)

## **SECTION C- COMPLIANCE CERTIFICATIONS**

### **7- Human Subjects:**

If yes, please provide your Federal Wide Assurance # (if obtained):

### **8- Animal Use:**

If yes, please provide your PHS Animal Welfare Assurance # (if applicable):

### **9- Select Agents:**

If yes, please provide your Select Agent Registration #:

### **10- Recombinant DNA:**

### **11- Conflict of Interest** (only applicable to PHS, NSF, or other sponsors that have adopted the federal financial disclosure requirements):

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

Subrecipient hereby certifies that it has a conflict of interest policy which meets or exceeds the requirements set forth in Responsibility of Applicants for Promoting Objectivity in Research for which PHS funding is sought, 42 CFR Part 50, Subpart F or Institutional Responsibility Regarding Conflicting Interests of Investigators, 45 CFR Part 94, AND subrecipient certifies that any person responsible for the design, conduct and reporting of research on the above named project has self-disclosed to the Institution's designated official(s) their significant financial interest(s), AND the Institution's official having reviewed the disclosures, has determined: (you **MUST** choose one of the following)

None of the people responsible for the design, conduct, and reporting of research on the above named project has an identified Financial Conflict of Interest.

#### **OR:**

The personnel identified by subrecipient's policy have an identified Financial Conflict of Interest, the details of which will be provided with the submission of this form.

Subrecipient does not have an active conflict of interest policy which conforms to the requirements of all applicable regulations set forth in Responsibility of Applicants for Promoting Objectivity in Research for which PHS funding is sought, 42CFR Part 50, Subpart F and hereby agrees to abide by the University of North Carolina at Pembroke policy and related procedures relating to financial conflicts of interest.

### **12- Responsible Conduct of Research (RCR)** (if applicable):

**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

**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 oversight and the responsible and ethical conduct of research.

**USDA-NIFA:** NSF / USDA-NIFA: Subrecipient Organization has a training program in place and will train all key personnel, undergrad/ grad 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 box is checked and sponsor is NSF) 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.

### **13- Certification regarding Debarment and Suspension:**

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?

Is the subrecipient presently indicted or otherwise criminally or civilly charged by a government entity?

Has the subrecipient had one or more contracts terminated for default by any federal agency within three (3) years?

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?

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

Name:

Date:

Title: