

SUBRECIPIENT COMMITMENT FORM

Entity Information	
Subrecipient Legal Name:	
Subrecipient's EIN:	DUNS* required if federal flow through:
Type of Organization:	Business Classification:
Email Address to Send any Future Subawards:	
Legal Address:	
Congressional District:	

Project Information	
UC ANR Principal Investigator:	Prime Sponsor:
Proposal Title:	
Subrecipient Principal Investigator:	
Subrecipient Performance Period: Begin Date:	End Date:
Amount Requested:	Cost Share Amount:
Primary place of performance: <input type="checkbox"/> same as legal address	
City:	State:
Nine Digit Zip code:	Congressional District:
	Country:

Section A - Proposal Documents. The following documents are included in our subaward proposal submission.	
<input type="checkbox"/> Statement of Work (required)	<input type="checkbox"/> Budget and budget Justification (required)
<input type="checkbox"/> Current and Pending Support	<input type="checkbox"/> Key Personnel Biosketches
<input type="checkbox"/> Letter of Commitment signed by Authorized Official	<input type="checkbox"/> Other:

Section B – Project Information

1. Subrecipient Classification

Subrecipient	Vendor
-Responsible for significant programmatic decision-making -Responsible for adherence to applicable sponsor program compliance requirements -Uses sponsor funds to carry out a Scope of Work for UC ANR -Statement of work may result in intellectual property or publishable results	-Provides goods and services within normal business operations -Provides similar goods or services to other customers -Provides goods or services that are ancillary to UC ANR's sponsored project -Is not subject to compliance requirements of UC ANR's sponsor

Yes **No** Our organization is properly categorized as a Subrecipient based on our scope of work.

2. Compliance. Subrecipient scope of work includes:

- Human Subjects Approval Date: Pending
 Animal Subjects Approval Date: Pending

- Yes No If human subjects are involved, have all key personnel have completed Human Subjects training?
 Subrecipient certifies that if human or animal subjects are involved in this project, subrecipient shall conduct the activities in accordance with all applicable Federal laws, guidelines, and policies. Subrecipient shall obtain institutional review board or IACUC approval as applicable and provide a copy upon request.

Subrecipient is a participating organization in the FDP Expanded Clearinghouse. Applicable rates, audits, and certifications may be found at <https://fdpclearinghouse.org>. **Yes** (If yes, skip page 2) **No** (complete page 2)

Approved for Subrecipient	
The information, representations, and certifications herein have been made by an Authorized Organizational Representative of the Subrecipient Organization. The appropriate programmatic and administrative personnel involved in this application are aware of agency policies in regard to a subrecipient agreement and are prepared to establish the necessary inter-institutional agreements consistent with those policies. Any work begun and/or expenses incurred prior to execution of a subrecipient agreement are at the Subrecipient's own risk.	
_____	_____
Authorized Organizational Representative	Date
Name:	Title:
Phone:	E-Mail:

Section C – Rates and Certifications

1. Facilities and administrative rates

- We have applied our federally negotiated F&A rates. Our rate agreement is:
 - Attached Available at:
 - Other rates - Please specify the basis on which the rate has been calculated:

2. Fringe Benefit Rates

- We have applied our federally negotiated fringe rates. Our rate agreement is:
 - Attached Available at:
- We do not have a federally-negotiated rate and have applied actual fringe benefits (specify the benefit categories below).
- Other Rates (specify the basis on which the rate has been calculated in comments below.)

3. Debarment and Suspension

Is the PI or any other employee or student participating in this project debarred, suspended or otherwise excluded from or ineligible for participation in federal assistance programs or activities?

- Yes No If yes, please explain in Section D below.

The Subrecipient certifies they: (answer all questions below)

- are are not presently debarred, suspended, proposed for debarment, or declared ineligible for award of federal contracts
- are are not presently indicted for, or otherwise criminally or civilly charged by a government entity
- have have not within three (3) years preceding this offer, 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
- have have not within three (3) years preceding this offer, had one or more contracts terminated for default by any federal agency

4. Conflict of Interest (FCOI)

- Our organization certifies that we have a PHS compliant Financial Conflict of Interest Policy in place and that each investigator has completed the required PHS FCOI Training, (42 C.F.R. Part 50, Subpart F and 45 C.F.R. Part 94).
- Our organization will abide by UC ANR's Individual Conflicts of Interest Involving Research Policy. Please contact ocg@ucanr.edu to request a copy of our PHS COI Financial Disclosure Form and training.
- Not applicable because this project is not being funded by a sponsor that has adopted the federal financial disclosure requirements.

Section D – Audit and Financial Certification

1. Audit Certification (Check one):

- Subrecipient receives an annual audit in accordance with 2 CFR 200 Subpart F - Audit Requirements
- Subrecipient is a Federal entity and does NOT receive an annual audit in accordance with 2 CFR 200
- Subrecipient does NOT receive an annual audit in accordance with 2 CFR 200 Subpart F - Audit Requirements

Subrecipient 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 expended and 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 provision 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 contract 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.

What books of account are maintained?

- | | | | | | |
|-----------------------------------|------------------------------|-----------------------------|------------------------------|------------------------------|-----------------------------|
| General Ledger | <input type="checkbox"/> Yes | <input type="checkbox"/> No | Cash Receipts Journal | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Project Cost Ledger | <input type="checkbox"/> Yes | <input type="checkbox"/> No | Payroll Journal | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Cash Disbursements Journal | <input type="checkbox"/> Yes | <input type="checkbox"/> No | | | |
- Attach a copy of Subrecipient's most recent financial statements.** UC ANR may require a limited-scope audit before a subaward can be issued.

Section E – Comments