

SUBRECIPIENT COMMITMENT FORM

Subrecipient Legal Name:

Subrecipient’s EIN: DUNS* required if federal flow through:

Type of Organization: Business Classification:

Email Address to Send any Future Subawards:

Subrecipient Principal Investigator:

Subrecipient Proposal Title:

Subrecipient Performance Period: Begin Date: End Date:

Prime Sponsor:

ANR Principal Investigator:

ANR Proposal Title:

Section A – Proposal Documents

The following documents are included in our subaward proposal submission and covered by the certifications below. If proposal was already submitted, please skip directly to Section B – Certifications.

- Statement of Work (required)**
- Budget and budget Justification** (if NIH, sponsor Budget and Checklist required)
- Letter of Commitment signed by Authorized Official
- F&A/Fringe Benefit Rate Agreement, if applicable
- Biosketches of all Key Personnel, in agency required form if applicable
- Small/Small Disadvantaged Business Subcontracting Plan, in agency-required form, if applicable
- Other:

Section B –Certifications (check all that apply to *this particular project*)

1. Facilities and administrative rates included in this proposal have been calculated based on the following:

- Our federally negotiated F&A rates for this type of work, or a reduced F&A rate that we hereby agree to accept. Please attach a copy of your F&A Rate agreement or include a link here:
- Other rates (Please specify the basis on which the rate has been calculated in Section D Comments below.)

2. Fringe Benefit Rates included in this proposal have been calculated based on the following:

- Rates consistent with or lower than our federally negotiated rates.
- Other Rates (Please specify the basis on which the rate has been calculated in Section D Comments below.)

3. Cost -sharing Yes: Dollar Amount: Not applicable to this project

Cost-sharing amounts and justification should be included in the subrecipient's budget.

4. Human subjects Yes Not applicable to this project

Subrecipient certifies that if human subjects are involved in *this project*, subrecipient shall conduct the activities in accordance with the Department of Health and Human Services regulations codified at 45 CFR 46 - Protection of Human Subjects and obtain institutional review board approval of the planned involvement of human subjects in the project. Upon the request of UC ANR, Subrecipient shall provide certification of the review and date of approval by the Subrecipient's institutional review board. Subcontractor shall ensure that all personnel participating in the Project complete the National Institutes of Health education requirement on the protection of human subjects, addressed in NIH Notice OD-00-039.

5. Animal Subjects Yes Not applicable to this project

Subrecipient certifies that if animal subjects are involved in *this project*, subrecipient shall conduct the activities in accordance with the National Institutes of Health (NIH) "Principles for Use of Animals", the [Animal Welfare Act \(7 U.S.C. 2131 et. seq.\)](#) and all other applicable Federal laws, guidelines, and policies. Practices for the procurement, housing and care of laboratory animals shall conform to the NIH *Guide for the Care and Use of Laboratory Animals in Research* and all requirements and all regulations issued by the United States Department of Agriculture (USDA). Upon the request of UC ANR, Subrecipient shall provide certification of the review and date of approval by the Subrecipient's IACUC committee.

6. 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

7. Public Health Service (PHS) Conflict of Interest (FCOI), (Please select one of the boxes below if funding originates from one of these entities: <http://research.ucdavis.edu/gt/d/list-of-covered-entities-for-phs-coi-rule>)

- 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 C - Federal Funding Accountability and Transparency Act (FFATA)

Not applicable because this project is not Federal Flow Through

1. Primary place of performance (City, State, Nine Digit Zip code, Congressional District, and Country):

2. Officers:

Subrecipient must in the Comments section provide the names and total compensation below of each of the five most highly compensated officers for the calendar year in which the subaward will be awarded if—

- A. In the subawardee's preceding fiscal year, the subawardee received—
 - i. 80 percent or more of its annual gross revenues in Federal Contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements; and
 - ii. \$25,000,000 or more in annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements.
- B. The public does not have any access to information about the compensation of the senior executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986.

**** Check this box if the above does not apply**

Section D – Comments (please attach additional pages if necessary)

Section E –Audit and Financial Certification

1. Audit Certification (Check one):

Subrecipient receives an annual audit in accordance with 2 CFR 200 Subpart F - Audit Requirements

For **fiscal year ending (month/year)** _____, the administration of Federal projects at this institution has been audited in accordance with the requirements of OMB Circular A-133.

Were any audit findings reported? **Yes** **No**

As a requirement please attach a copy of subrecipient's most recent audit report, or the Internet URL link to a complete copy.

Attached; or internet URL link:

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

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 **Yes** **No** **Cash Receipts Journal** **Yes** **No**

Project Cost Ledger **Yes** **No** **Payroll Journal** **Yes** **No**

Cash Disbursements Journal **Yes** **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.

Subrecipient is a Federal entity and does NOT receive an annual audit in accordance with 2 CFR 200

Section F – W-9 Form (Required at Time of Subaward)

W-9 Form Attached W-9 Not Applicable: Federal Entity, Foreign Entity without a Tax ID Number, etc..

Signed and certified on behalf of the Organization Listed above:

Authorized Organizational Representative

Date

Name:

Title:

Phone:

E-Mail:

Fax: