

Utah Valley University Office of Sponsored Programs Subrecipient Commitment Form

All subrecipients are required to complete and return this form to the Utah Valley University Pre-Award Contact listed. Please attach all required documents directly to this PDF file. As you complete the form, please note the following:



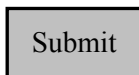
After you have attached your documents to the PDF, you can view, delete, or save them by clicking the **paperclip icon** on the left side of the navigation tab of the PDF;



Use the Save icon to save the PDF as a fillable file. Please DO NOT “print to PDF” or scan a hard copy of the form. Doing this will not allow the attachments to be viewed.



Electronic signatures collected using Adobe Fill & Sign.



To return this document, press the submit button on page 6. This will attach the pdf in an email to the UVU Pre-Award Contact.

SUBRECIPIENT COMMITMENT FORM

SUBRECIPIENT INSTITUTION	LEAD INSTITUTION
Institution Legal Name: (as registered in SAM.gov)	Institution Legal Name:
Principal Investigator:	Principal Investigator:
Principal Investigator Email: _____ Phone: _____	Pre-Award Contact Email: _____
Type of Organization:	Post- Award Contact: Email: _____

PROJECT INFORMATION	
Project Title:	
Prime Sponsor:	
Solicitation Number:	
Subrecipient Project Period: _____	Amount Request: _____

PROPOSAL DOCUMENTS	
The following documents are included in our proposal submission	
Required Documents	As applicable per sponsor Requirements
Scope of Work	Key Personnel Biographical Sketch
Detailed Budget	Current & Pending Support
Budget Justification	Other

BUDGET INFORMATION

1. FACILITIES AND ADMINISTRATIVE RATES

Subrecipient's federally-negotiated F&A rates for this type of work, or a reduced F&A rate that we hereby agree to accept.

Attached Available at:

Subrecipient chooses not to charge F&A costs although [2 CFR 200.414 \(f\)](#) states:

Any [non-Federal entity](#) that has never received a negotiated indirect cost rate, except for those non-Federal entities described in Appendix VII to Part 200 - [States](#) and [Local Government](#) and [Indian Tribe](#) Indirect Cost Proposals, paragraph D.1.b, may elect to charge a de minimis rate of 10% of modified total direct costs (MTDC) which may be used indefinitely.

10% MTDC De Minimis F&A rate

Other rates (Please specify the basis on which the rate has been calculated in Comments Section (page 4) below).

2. FRINGE BENEFITS

Rates consistent with or lower than our federally-negotiated rates

Attached Available at:

Other Rates (Please specify the basis on which these rates have been calculated in Comments Section (page 4) below)

3. COST-SHARING

Yes No Amount: _____ *Cost sharing amounts and justification should be included in the subrecipient's budget.*

COMPLIANCE

Our scope of work includes:

Human Subjects	Approval Date:	Pending
Animal Subjects	Approval Date:	Pending
Recombinant DNA/Transgenic Organisms	Approval Date:	Pending

Subrecipient's IRB and/or IACUC approval must be provided to Utah Valley University's Office of Sponsored Programs.

AUDIT INFORMATION

Does the Subrecipient receive an annual audit in accordance with [2 CFR200 Subpart F](#)? YES NO

If Yes: Please submit a copy of your institution's most recent audit report, or the URL to a completed copy.
Attached Available at:

Has the audit been completed for the most recent fiscal year? YES NO

Were any audit findings reported? (Please add comment below) YES NO

If No: Does the Subrecipient expend overall federal funding of at least \$750,000 per year? YES NO

Is the Subrecipient a:

Non-profit entity expending less than \$750,000 per year in Federal or Sub-Federal funds annually

For-profit entity that expends Federal or Sub-Federal funds and has a DCAA audited rate

For-profit entity that does not expend Federal funds or have annual audits

Foreign entity

If a for-profit entity, is the Subrecipient a:

Small business

Large business

Note: If a subrecipient does not receive an audit according to 2 CFR200 Subpart F, Utah Valley University Office of Sponsored Programs Services may require the entity to complete an Audit Certification and Financial Status Questionnaire, and may require a limited scope audit, before a subrecipient agreement will be issued.

Contact information for audit questions:

Name:

Phone:

Email:

CONFLICT OF INTEREST

Conflict of Interest (COI) Select one:

Subrecipient organization certifies that it has an active and enforced conflict of interest policy that is consistent with the provision of [42 CFR Part 50, Subpart F](#), "Responsibility of Applicants Promoting Objectivity in Research" **Subrecipient also certifies that, to the best of the Organization's knowledge: (1) all financial disclosures will be made related to the activities that may be funded by or through a resulting agreement, and required by its conflict of interest policy, and (2) all identified conflicts of interest have or will have been satisfactorily managed, reduced or eliminated in accordance with the subrecipient's conflict of interest policy prior to the expenditures of any funds under any resultant agreement and within a timely manner sufficient to enable timely COI reporting.**

Not applicable; this project is not funded by PHS or any sponsor that has adopted the federal financial disclosure requirements.

We agree to enter into a subrecipient agreement with UVU that includes the UVU regulations (see: [15.01.03 Financial Conflict of Interest in Research](#), which applies the requirement to all sponsored research) and citation to federal law ([42 C.F.R. Part 50, Subpart F](#)).

We agree to enter into a subrecipient agreement with UVU that certifies subrecipient's policy complies with federal law ([42 C.F.R. Part 50, Subpart F](#)). **NOTE: All subrecipient applicants for UVU funds must be in compliance at the time of the application submission.**

RESPONSIBLE CONDUCT OF RESEARCH (RCR) (applicable to NSF, NIH, and USDA)

Not applicable; this project is not funded by NSF, NIH, or USDA-NIFA

Not applicable; non-educational institution

If funded by NSF, the Subrecipient certifies, if applicable, that it maintains an Institutional Plan to meet NSF's Educational Requirements for the Responsible Conduct of Research, as required under the "America COMPETES Act" PUBLIC LAW 110-69-August 9, 2007. The Subrecipient certifies that it has a training program in place and will train all undergraduate and graduate students and postdocs in accordance with NSF's RCR training requirements.

If funded by NIH, the Subrecipient certifies, if applicable, that for NIH Grants for Training and Fellowship awards, the Subrecipient will monitor and maintain records for the individual training plans as proposed by Subrecipient, in accordance with NIH's RCR training requirements.

If funded by USDA-NIFA, the Subrecipient certifies, if applicable, that it maintains an Institutional Plan to meet USDA-NIFA's Educational Requirements for the Responsible and Ethical Conduct of Research, as required by NIFA Research Terms and Conditions (December 26, 2014), and the Subrecipient has a training program in place and will train all USDA-NIFA funded program directors, faculty, undergraduate students, graduate students, postdoctoral researchers, and any staff participating in the research project.

CERTIFICATIONS

By signing below, the authorized official of the Subrecipient certifies, to the best of his/her knowledge and belief, that:

1. Certification Regarding Lobbying

- i. No Federal appropriated funds have been paid or will be paid, by or on behalf of the Subrecipient, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into any cooperative agreement, or the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- ii. If any funds, other than Federal appropriated funds, have been paid or will be paid to any person for influencing or intending to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the Subrecipient shall complete and submit Standard Form -LLL, "Disclosure Form to Report Lobbying," to Utah Valley University Office of Sponsored Programs.

2. Debarment, Suspension, and Other Responsibility Matters

- i. Subrecipient certifies that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
- ii. Subrecipient certifies that it is not delinquent on any Federal debt.

COMMENTS

APPROVED FOR SUBRECIPIENT

The information, certifications, and representations above **have been read, signed, and made by an Authorized Organizational Representative of the Subrecipient Institution** named herein. 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.**

_____ Signature of Authorized Institutional Official		Address:	
		City & State:	Zip+4:
Date		Phone:	Email:
Name and Title of Authorized Official:			
Name:	Title:		

Attachment 3B
Research Subaward Agreement
Subrecipient Contacts

Subaward Number:

Subrecipient Place of Performance for [FFATA](#) reporting

Name:
Address:
City: State: Zip Code+4: Zip Code [Look-up](#)
EIN No.: DUNS: Parent DUNS:
Congressional District:
Is Subrecipient currently registered in [SAM.gov](#)? Yes No
Is Subrecipient exempt from reporting executive compensation? Yes No If no, complete 3B, page 2

Subrecipient Administrative Contact

Name:
Address:
City: State: Zip Code:
Telephone: Email:

Subrecipient Principal Investigator

Name:
Address:
City: State: Zip Code:
Telephone: Email:

Subrecipient Financial Contact

Name:
Address:
City: State: Zip Code:
Telephone: Email:
Central email: Is this the remittance address? Yes No
Remittance Address (if different):

Subrecipient Authorized Official

Name:
Address:
City: State: Zip Code:
Telephone: Email:
Central email:

Attachment 3B Page 2
Research Subaward Agreement
Highest Compensated Officers

Subaward Number:

Highest Compensated Officers

The names and total compensation of the five most highly compensated officers of the entity(ies) must be listed if the entity in the preceding fiscal year received 80 percent 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 this information about the compensation of the senior executives of the entity 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. See FFATA § 2(b)(1) Internal Revenue Code of 1986.

Officer 1 Name:

Officer 1 Compensation:

Officer 2 Name:

Officer 2 Compensation:

Officer 3 Name:

Officer 3 Compensation:

Officer 4 Name:

Officer 4 Compensation:

Officer 5 Name:

Officer 5 Compensation:

[Click here to send this document to the UVU Pre-Award Contact.](#)
Please ensure that all documents are attached.