

SUBRECIPIENT COMMITMENT FORM

SUBRECIPIENT INSTITUTION		LEAD INSTITUTION	
Legal Name (as registered in SAM.gov):		Lead Institution Name:	
Principal Investigator (PI):		Principal Investigator (PI):	
eRA Commons:		S&T Proposal Number if known:	
PROJECT INFORMATION			
Project Title:			
Prime Sponsor:			
Subrecipient Project Period:		Amount Request:	
Cost Share <input type="checkbox"/> Yes <input type="checkbox"/> No		Cost Sharing Amount:	
PROPOSAL DOCUMENTS			
The following documents are included in the submission			
Required Documents <input type="checkbox"/> Statement of Work <input type="checkbox"/> Budget <input type="checkbox"/> Budget Justification <input type="checkbox"/> Negotiated Indirect Cost Rate Agreement (NICRA)		As applicable per Prime requirements <input type="checkbox"/> Biographical Sketch <input type="checkbox"/> Current & Pending <input type="checkbox"/> Collaborators and Other Affiliations (COA) <input type="checkbox"/> Other (per solicitation requirements)	
Compliance			
Our scope of work includes: <input type="checkbox"/> Human Subjects <input type="checkbox"/> Animal Subjects <input type="checkbox"/> Human Embryonic Stem Cells <input type="checkbox"/> Recombinant dNA <input type="checkbox"/> Select Agents <input type="checkbox"/> Program Income			
<input type="checkbox"/> Pending Approval / Approval Date _____ <input type="checkbox"/> Pending Approval / Approval Date _____			
APPLICABLE RATES			
1. Facilities and Administration (F&A) Rate: _____% Please check one of the following: <input type="checkbox"/> Subrecipient's federally-negotiated F&A rate for this type of work. (A copy of the subrecipient's F&A rate agreement must be provided to Missouri S&T before a subaward will be issued.) <input type="checkbox"/> 10% de minimus rate per Uniform Guidance § 200.331 <input type="checkbox"/> Other rate (please specify the basis on which the rate has been calculated):			

2. Fringe Benefit Rate: _____%

Please check one of the following:

- Consistent with or lower than the subrecipient's federally-negotiated fringe benefit rate. (A copy of the subrecipient's fringe benefit rate agreement must be provided to the Missouri S&T before a subaward will be issued.)
- Other rate (please specify the basis on which the rate has been calculated):

ASSURANCES

1. Debarment, Suspension, Proposed Debarment

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? If the subrecipient is owned by a parent entity, is the parent entity debarred, suspended, or otherwise excluded from or ineligible for participation in federal assistance programs or activities?

No Yes (please explain):

The organization/institution certifies that it: (answer all questions below)

is is not presently debarred, suspended, proposed for debarment, or declared ineligible for award of federal contracts;

is is not presently indicted, or otherwise criminally or civilly charged, by a governmental entity;

is is not within three (3) years preceding this offer, 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 or 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;

is is not within three (3) years preceding this offer, subject to contract(s) termination by any federal agency for default.

2. Conflict of Interest

42 CFR Part 50.604 requires that institutions conducting PHS-funded research "*Maintain an up to date, written, enforced policy on financial conflicts of interest.*" Further, "*If the Institution carries out the PHS-funded research through a subrecipient (e.g., subcontractors or consortium members), the Institution (awardee Institution) must take reasonable steps to ensure that any subrecipient Investigator complies with this subpart by incorporating as part of a written agreement with the subrecipient terms that establish whether the financial conflicts of interest policy of the awardee Institution or that of the subrecipient will apply to the subrecipient's Investigators.*"

Subrecipient hereby certifies that it has a conflict of interest policy that complies with 42 CFR Part 50, Subpart F, "Responsibility of Applicants for Promoting Objectivity in Research." Subrecipient also certifies that, to the best of the organization/institution's knowledge (1) all financial disclosures have been 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 subrecipient's conflict of interest policy prior to the expenditure of any funds under a resulting agreement.

Subrecipient does not have a conflict of interest policy that complies with 42 CFR Part 50, Subpart F.

Note: The Curators of the University of Missouri will evaluate on a case-by-case basis each proposal including a subrecipient that does not have a conflict of interest policy that complies with 42 CFR Part 50, Subpart F. The Curators of the University of Missouri will not submit to a PHS agency any application including such subrecipients prior to review and resolution.

Not applicable because this project is not funded by the **NIH, AHRQ, ATSDR, CDC, FDA, HRSA, IHS, SAMHSA, DOE, NSF, NASA** or **any other sponsor** that has adopted these federal financial disclosure requirements.

3. Fiscal Responsibility

The organization/institution certifies that its financial system is in accordance with generally accepted accounting principles and (check all that apply):

- 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; and
- can prepare appropriate financial statements, including the schedule of expenditures of federal awards.

4. Audit Status

Subrecipient receives an annual audit in accordance with OMB Uniform Guidance.

Most recent fiscal year audit completed: _____

Were there any findings? Yes No

URL for the subrecipient's most recent audit report: _____

Subrecipient DOES NOT receive an annual audit in accordance with OMB Uniform Guidance.

Subrecipient is a: Non-profit (under federal-funding threshold) For-profit Government Foreign entity

In signing below and offering to participate in this research program, the Subrecipient Institution certifies that neither they nor their principals are presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from receiving funds from any federal department or agency and are not delinquent on any federal debt; they are in compliance with the Drug Free Workplace Act of 1988; they are in compliance with U.S. Code, Section 1352, restrictions on the use of federal funds for the purpose of lobbying; they have filed annually with the Office of Scientific Integrity a PHS form 6349 governing Misconduct in Science; they have filed with DHHS compliance offices certification forms governing Civil Rights (441), Handicapped Individuals (641), Sex Discrimination (639-A), and Age Discrimination (680); they are in compliance with PHS policy governing Program Income; they have established policies in compliance with 45 CFR Part 46, Subpart A (protection of human subjects); the Animal Welfare Act (PL-89-544 as amended) and the Health Research Exchange Act of 1985 (Public Law 99-158); and that they are in compliance with NIH guidelines regarding human pluripotent stem cell research, transplantation of fetal tissue, recombinant DNA and human gene transfer research, and inclusion of women, children & minorities in research.

This proposal has been reviewed and approved by the appropriate official(s) of Subrecipient and certified to its accuracy and completeness. The appropriate programmatic and administrative personnel of Subrecipient involved in this application are aware of the prime awarding agency's policies, agree to accept the obligation to comply with award terms, conditions, and certifications, and is prepared to establish the necessary inter-institutional agreement consistent with that policy. Any terms or rates included in the proposal described herein are not binding upon the Pass-Through Entity. All terms and conditions between the parties will be outlined in a separate formal Agreement.

SUBRECIPIENT INSTITUTIONAL OFFICIAL:

Name and Title	Signature	Date

Attachment 3B
Research Subaward Agreement
Subrecipient Contacts

Subaward Number:

Subrecipient Information for [FFATA](#) reporting

Entity's UEI/DUNS Name:

EIN No.:

Institution Type:

UEI / DUNS:

Currently registered in SAM.gov: Yes No

Parent UEI / DUNS:

Exempt from reporting executive compensation: Yes

No

(if no, complete 3B pg2)

Place of Performance Information for FFATA reporting

Physical Address, City, State (if U.S.) and Country:

U.S. Entities only (insert information for Place of Performance):

Congressional District:

Zip Code+4:

[Zip Code Look-up](#)

Subrecipient Contacts

Central Email:

Website:

Principal Investigator Name:

Email:

Telephone Number:

Administrative Contact Name:

Email:

Telephone Number:

Financial Contact Name:

Email:

Telephone Number:

Invoice Email:

Authorized Official Name:

Email:

Telephone Number:

Legal Address:

Administrative Address:

Payment Address:

Attachment 3B-2
Highest Compensated Officers

Subaward Number:

Subrecipient:

Institution Name:

PI Name:

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:
