

## Subrecipient Certification for Federal and Federal Pass-Through Proposals

### PROJECT INFORMATION – to be completed by ORSP

1. ORSP Contact \_\_\_\_\_
2. Prime Sponsor \_\_\_\_\_
3. Project title \_\_\_\_\_
4. Subawardee Budget: Total funding available \$ \_\_\_\_\_

**Based on the information provided on this form and the following factors, SFASU will determine the level of risk the subrecipient presents. Subaward contracts will include requirements to ensure proper stewardship of funds.**

- |                                     |   |
|-------------------------------------|---|
| *Foreign vs. Domestic               | *Physical location (for site visits)            |
| *Percent of Work                    | *Complexity of work                             |
| *Organization Maturity              | Prior successful work with SFASU                |
| *Subject to A-133 Audit             | *Prior audit findings                           |
| *If no A-133, questionnaire results | *Promptness of response during proposal process |

Completed upon award:

5. FAIN \_\_\_\_\_ (Prime Award #)
6. SFASU Contract # to sub \_\_\_\_\_
7. SAM.gov active registration with no active exclusions. Date \_\_\_\_\_

### Proposal information to be provided by subrecipient (ORSP checks what is required)

Submit the proposal documents requested below in the sponsor's format unless noted otherwise:

- |  |   |
|--|---|
| _____ Statement of work                    | _____ Letter of commitment signed by _____    |
| _____ Budget with cost-share               | _____ Current and pending support             |
| _____ Budget justification with cost-share | _____ Biographical sketches for key personnel |
| _____ Conflict of interest documentation   | _____ Other _____                             |

**SUBRECIPIENT INFORMATION – to be completed by Subrecipient**

1. Organization Name \_\_\_\_\_

2. Address with 9-digit zip \_\_\_\_\_

\_\_\_\_\_

2. DUNS \_\_\_\_\_

3. Federal EIN \_\_\_\_\_

4. Are you currently registered in the System for Award Management (SAM) database? Yes No

5. Subrecipient PI/PD

Name \_\_\_\_\_ Phone \_\_\_\_\_

Address \_\_\_\_\_ Email \_\_\_\_\_

\_\_\_\_\_

6. Subrecipient pre-award contact

Name \_\_\_\_\_ Phone \_\_\_\_\_

Address \_\_\_\_\_ Email \_\_\_\_\_

\_\_\_\_\_

7. Subrecipient contract contact

Name \_\_\_\_\_ Phone \_\_\_\_\_

Address \_\_\_\_\_ Email \_\_\_\_\_

\_\_\_\_\_

Budget calculations:

8. Total funding requested \$ \_\_\_\_\_

Total Direct \$ \_\_\_\_\_

Indirect \$ \_\_\_\_\_

9. If allowed by sponsor, indirect costs are based on:

\_\_\_\_ Subrecipient's federally-negotiated rate (include copy of NICRA)

\_\_\_\_ Subrecipient agrees to a reduced rate of \_\_\_\_%

\_\_\_\_ Other rate \_\_\_\_%

\_\_\_\_ None requested

\_\_\_\_ No rate; request 10% rate as allowed by 2 CFR 200 (effective 12/26/14)

10. Cost sharing or matching: Total committed \$ \_\_\_\_\_

11. Fringe benefit rate: \_\_\_\_\_ If rate differs based on employee, detail rates below or  
attach a separate page:

## **Federal Assurances**

### **1. Conflict of Interest**

Subrecipient certifies that it has a *Conflict of Interest* policy that is consistent with the provision of *42 CFR Part 50, Subpart F: Responsibility of Applicants for Promoting Objectivity in Research*. Subrecipient also certified that, to the best of the institution's knowledge: 1) all financial disclosures have been made related to all 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 to eliminated in accordance with subrecipient's conflict of interest policy prior to the expenditure of any funds under any resultant agreement.

Subrecipient does not have an active *Conflict of Interest* policy and agrees to abide by SFASU's *Conflict of Interest* policy (8.2). If yes, submit required SFASU forms.

### **2. Debarment and Suspension**

Subrecipient certifies that the subrecipient institution, the principal investigator, the project director, or other employee or student participating in this project, is not debarred, suspended or excluded from or ineligible for participation in federal assistance programs or activities (this includes defaulting on federal student loans).

### **3. Export Control**

Subrecipient acknowledges that it is:  
1) responsible for establishing compliance with federal export laws and procedures; and  
2) an export control officer or other authorized person has reviewed the Subrecipient's proposal for compliance with federal export control laws.

## **Program Compliance**

### **1. Responsible Conduct of Research**

Not applicable; proposal is not being submitted to NSF, NIH, NIFA, or entity requiring RCR.

Subrecipient certifies that it has established a training program that meets the prime sponsor's requirements for RCR and will provide documentation when requested.

Subrecipient does not have a training program and agrees to fulfill SFASU's Responsible Conduct of Research Requirements and will provide documentation when requested.

### **2. Human Subjects**

Not applicable; project does not involve the use of human subjects in research.

Project has been approved by the Subrecipient's Institutional Review Board. Attach approval.  
Approval Date \_\_\_\_\_

If proposal is to NIH, check if all key personnel involved completed human subjects training.

### 3. Vertebrate Animals

Not applicable; project does not involve the use of vertebrate animals in research.

Project has been approved by the Subrecipient's Institutional Animal Care and Use.  
Attach approval. Approval Date \_\_\_\_\_

### **Audit Requirements**

*Upon award: SFASU must have on file either the organization's annual audit if required under A-133 or other audit/financial status questionnaire to show financial controls before a subaward contract will be issued.*

Subrecipients: Prior to 12/26/14, entities that receive and expend \$500,000 or more in federal awards during the fiscal year are required to have a single audit in accordance with OMB Circular A-133. After that date, entities that receive and expend \$750,000 or more in federal awards during the fiscal year are required to have a single audit in accordance with 2 CFR 200.

1. Does subrecipient receive an annual audit in accordance with federal regulations? Yes No

2. If yes:

Has an audit been completed for the most recent fiscal year? Yes No

Were there any audit findings related to sponsored projects? Yes No

Attach most recent fiscal year's audit with this form or submit the following:

URL Link to audit report \_\_\_\_\_

Name of Institution audit contact \_\_\_\_\_

Address \_\_\_\_\_

Phone \_\_\_\_\_ Email \_\_\_\_\_

3. If no:

Indicate why the organization is not subject to compliance with audit requirements:

Non-profit entity expending less than the threshold per year in federal funds

Foreign entity

For-profit entity

Government entity

How often does the Subrecipient organization have a regular audit?

Date of last audit: \_\_\_\_\_ Period covered: \_\_\_\_\_

Submit a copy of the most recent audit or other organization annual fiscal report.

Office of Research and Sponsored Programs  
Stephen F. State University  
PO Box 13024 SFA Station  
Nacogdoches TX 75965-3940

Telephone 936-468-6606  
Fax 936-468-1251  
www.sfasu.edu/orsp

**Certification Signatures**

The information, certifications and representations above have been read, signed and made by an authorized representative of the Subrecipient.

The appropriate programmatic and administrative personal involved in this grant application are aware of the prime agency's policy in regard to subawards and are prepared to establish the necessary intra-intuitional agreements consistent with those policies.

\_\_\_\_\_  
Signature of Subrecipient Authorized Representative

\_\_\_\_\_  
Printed name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Street Address

\_\_\_\_\_  
City, State and Zip

\_\_\_\_\_  
Email

\_\_\_\_\_  
Phone