**Part I: To be completed by all subrecipients/subcontractors**

All subrecipients as well as potential subcontractors who anticipate funding under a federal or non-federal “contract” must complete this form when submitting a proposal to UCI. It provides a checklist of documents and certifications required by prime sponsors and it must be endorsed by the subrecipient’s authorized institutional representative prior to proposal submission.

 **MEMBERS OF THE** [**FDP EXPANDED CLEARINGHOUSE**](https://fdpclearinghouse.org/organizations) **ONLY NEED TO COMPLETE PAGE 1 OR COMPLETE THE** [**FDP SUBRECIPIENT LETTER OF INTENT/COMMITMENT FORM**](https://thefdp.org/default/assets/File/FDP%20Expanded%20Clearinghouse%20Letter%20of%20Intent%20Sample%20%282022%29%281%29.pdf)

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| --- |
| SUBRECIPIENT INFORMATION |
| Legal Name: Click here to enter text.Address: Click here to enter text.Subrecipient PI: Click here to enter text.Email: Click here to enter text. | Authorized Official Name: Click here to enter text.Email: Click here to enter text.Award Inbox Email (if different): Click here to enter text.Financial Contact Name: Click here to enter text.Email: Click here to enter text. |
| SUBRECIPIENT PROJECT INFORMATION |
| UCI PI: Click here to enter text.Prime Sponsor: Click here to enter text. | Project Title: Click here to enter text.Total Proposed Amount: Click here to enter text.Project Period: Click here to enter text. |
| PROPOSAL DOCUMENTS  |
| The following document are included in our subaward proposal and covered by the certifications below: |
| [ ] Scope of Work (Required)[ ] Budget and Justification (Required)[ ] Biosketches | [ ] Cost Sharing Amount (if applicable):[ ] Other: Click here to enter text. |
| CERTIFICATIONS *Documentation of Subrecipient’s approval(s) may be required* |
| Subrecipient’s Scope of Work Includes:[ ] Human Subjects If human subjects are involved, have all key personnel completed human subjects training? [ ] Yes [ ] No[ ] Vertebrate Animals [ ] Stem Cells | [ ] Recombinant DNA[ ] Dual Use Research of Concern (DURC) *For a list of applicable agents,* [*see page 9 of policy*](https://www.phe.gov/s3/dualuse/Documents/durc-policy.pdf)*.*[ ] Large Scale Human or Non-Human Genomic Data (if NIH) *For applicability, please refer to* [*website*](https://osp.od.nih.gov/scientific-sharing/genomic-data-sharing/)*. Documentation of an approved consent form and Institutional Certification will be required prior to the award, at the “Just in Time” stage.* |
| SUBRECIPIENT VS. CONTRACTOR DETERMINATION |
| Check all that apply:**Subrecipient**[ ] Performance represents an intellectually significant portion of the overall programmatic effort and is measured against the objectives of the program [ ] Will use the funds to carry out a program for a public purpose, as opposed to providing goods or services for the benefit of UCI[ ] Is responsible for adhering to applicable program requirements specified in the prime award[ ] There is an identified principal investigator for the subrecipient who has responsibility for making programmatic decisions | **Contractor**[ ] Provides goods or services that are ancillary to the operation of the program identified in the prime award[ ] Provides the goods or services purchased with the funds within normal business operations[ ] Provides similar goods or services to many different purchasers[ ] Is not subject to the compliance requirements of the program as a result of the agreement with UCI [ ] Normally operates in a competitive environment |
| **For the purpose of this proposal, my organization is properly categorized as (check one)**: [ ] subrecipient [ ] contractor as described above. |
|  |

By signing below, I certify that I am the authorized institutional representative and the information and representations made herein are true and accurate. The appropriate programmatic and administrative personnel involved in this application are aware of agency policies in regard to subawards 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 subaward agreement are at the subrecipient’s own risk.

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| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Signature of Subrecipient’s Authorized Institutional OfficialDate:  | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Name and Title of Subrecipient’s Authorized Institutional Official  |

**Part II: To be Completed by Subrecipients/Subcontractors NOT participating in the FDP Clearinghouse Pilot**

For list of participating institutions, see <https://fdpclearinghouse.org/organizations>

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| **Certifications** |
| 1. **Facilities & Administrative** **Rates** included in this proposal have been calculated based on the following:

[ ]  Our federally negotiated F&A rate for this type of work. [ ]  No federal negotiated rate and we hereby agree to accept the 10% de minimis MTDC rate as a subrecipient.In the case of NIH: NIH will continue to reimburse F&A costs to foreign and international organizations at a rate of 8 percent of modified total direct costs (MTDC) less only equipment.[ ]  A reduced F&A rate dictated by the prime sponsor that we hereby agree to accept. Rate: Base: [ ]  Not applicable (no indirect cost are requested). If checked, please specify rationale in Comment Section below. [ ]  Indirect costs are not separately requested as costs are fully burdened. 1. **Fringe Benefit Rates** included in this proposal have been calculated based on the following:

[ ]  Rates are consistent with our federally negotiated rates. [ ]  Other rates (please specify in Comment Section below the basis on which the rate has been calculated)[ ]  Fringe Benefits are not separately requested as costs are fully burdened.1. **Financial Conflict of Interest – National Science Foundation (NSF) and National Aeronautics and Space Administration (NASA)**

Applicable to projects funded by NSF, NASAincluding flow-through or any sponsor following NSF/NASA’s COI Policy.[ ]  Not applicable because this project is not funded by NSF, NASA or any sponsor following NSF/NASA’s COI Policy.[ ]  Subrecipient organization/institution hereby certifies that it has an active and enforced policy on conflict of interest consistent with the provision of NSF Award & Administration Guide Chapter IV.A and NASA’s Conflict of Interest Policy for Recipients of NASA Financial Assistance Awards[ ]  Subrecipient does not have an active and enforced conflict of interest policy and hereby agrees to abide by UCI’s policy.  To comply with UCI’s policy, please attach a completed [Form 900SR](https://research.uci.edu/wp-content/uploads/2021/08/900SR-nsf-disclosure-form.docx) for each investigator on this project. 1. **Financial Conflict of Interest – Public Health Service (PHS) and Department of Energy (DOE)**

Applicable to projects funded by PHS/NIH, DOE, including flow-through or [any sponsor following PHS](https://research.uci.edu/conflict-of-interest/coi-policies/).[ ]  Not applicable because this project is not funded by PHS/NIH, DOE, or any sponsor following the PHS/DOE FCOI Regulations.[ ]  Subrecipient organization/institution hereby certifies that it has an active and enforced policy on conflict of interest consistent with the provision of 42 CFR Part 50 Subpart F. [ ]  Subrecipient does not have an active and enforced conflict of interest policy and hereby agrees to abide by UCI’s policy.  To comply with UCI’s policy, please attach a completed [Form 800SR](https://research.uci.edu/wp-content/uploads/PHS-DOE-Disclosure-Subrecipient-Form-800SR.docx) for each investigator on this project. 1. **Ethics in Research Training**

Applicable to projects funded by NSF or any other programs requiring Ethics in Research Training.[ ]  Not applicable because this project is not being funded by NSF or any other programs requiring Ethics in Research Training.[ ]  Subrecipient organization/institution hereby certifies that it will ensure that all senior personnel, undergraduates, graduate students, and postdoctoral researchers who will be supported by this NSF proposal will be trained on the oversight in the responsible and ethical conduct of research.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? [ ]  **YES**, please explain in Comment Section below.[ ]  **NO**, the Organization certifies they (complete all statements on the next page):

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| [ ]  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 agency. |
| [ ]  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 or subcontract; violation of Federal or State antitrust statutes relating to the submission of offers; or commissions of 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. |
| [ ]  have | [ ] have not within 3 years preceding this offer, had one or more contracts terminated for default by any federal agency. |

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| **Audit Status** |
| 1. Was the subrecipient required to conduct an annual audit in accordance with the Single Audit Act or Uniform Guidance Subpart F, Audit Requirements for the most recent Audit year? \***YES** [ ]  **NO** [ ]  If No, Skip to 2.

a) Is the most recent audit available in the Federal Audit Clearinghouse? Yes [ ]  No [ ]  If No, attach a copy of the audit report.b) Were there any audit findings reported in the most recent audit? Yes [ ]  No [ ]  If Yes, please clarify in Comment Section below.2.  **If Subrecipient is not subject to the Single Audit Act or Uniform Guidance**, complete and attach [a Mini-Audit Questionnaire](https://research.uci.edu/wp-content/uploads/mini-audit-questionnaire.pdf).  Note: A limited-scope audit may be required before a subaward can be issued.  |
| **Subrecipient Institutional Information***Federal policy requires subrecipients of federal funds to be registered in SAM* |
| 1. Is subrecipient currently registered in Central Contractor Registration via SAM?([www.sam.gov](http://www.sam.gov)) **YES** [ ]  **NO** [ ]

If **NO**, organizations that have not registered with CCR will need to obtain a UEI number first and then access the CCR online registration through the SAM (System for Award Management) home page at <https://www.sam.gov> (U.S. organizations will also need to provide an Employer Identification Number from the Internal Revenue Service that may take an additional 2-5 weeks to become active). Completing and submitting the registration takes approximately one hour to complete and your CCR registration may take 3-5 business days to process. Subrecipient *must* maintain current CCR information in SAM.1. EIN #: Click here to enter text.
2. Unique Entity Identifier (UEI) # ([*Mandatory effective 4/4/2022- replaces DUNS number*](https://www.gsa.gov/about-us/organization/federal-acquisition-service/office-of-systems-management/integrated-award-environment-iae/iae-systems-information-kit/unique-entity-identifier-update)): Click here to enter text.
 |
| **Applicable to Foreign Subrecipient under NIH Prime Award Only:**  |
| [ ] Subrecipient acknowledges that it will comply with the requirements of [NOT-OD-23-182](https://grants.nih.gov/grants/guide/notice-files/NOT-OD-23-182.html) NIH Final Updated Policy Guidance for Subaward/Consortium Written Agreements including the requirement to provide access to copies of all lab notebooks, all data, and all documentation (may be electronic) that supports the research outcomes as described in the progress report, to the primary recipient with a frequency of no less than once per year, in alignment with the timing requirements for Research Performance Progress Report submission. |
| **Comment** |
| Click here to enter text. |