

SUBRECIPIENT COMMITMENT FORM – UNIVERSITY OF MONTANA

All subrecipients receiving pass-through funding from UM must complete this form. It provides a checklist of documents and certifications required by prime sponsors and must be endorsed by the subrecipient's Authorized Organizational Representative (AOR).

Please ensure that you are completing the most recent version of this form:

<http://www.umt.edu/research/ORSP/forms/Subrecipient%20Commitment%20Form.pdf>

Project and Entity Information

University of Montana PI:	Sponsor Awarding Funds to UM:
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Subrecipient Institutional Information/SAM Registration

Entity/Organization Name (must match registered name in SAM.gov):	Subrecipient PI Name:
Subrecipient EIN#:	SAM Registration Expiration Date: (required)
Subrecipient DUNS Number:	
<p>All subrecipients <i>must</i> maintain active registration in SAM in order to receive subaward funds. Subrecipients not actively registered must follow the process to register or update registration. SAM registration is FREE of charge. Beware of any site that charges money to assist with SAM registration.</p> <p>Each entity or organization must first create a user account at SAM.gov and then register their organization or entity with SAM.gov. Both are required.</p> <p>Organizations new to SAM will need to obtain a DUNS number first and then access the CCR online registration through the SAM (System for Award Management) home page at https://www.sam.gov</p> <p>U.S. registrants 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. Help for US registrants can be found at SAM.gov under Help.</p> <p>International registrants will also need an NCAGE code prior to registering their organization in SAM. Help for International (non US) registrants, including information on the NCAGE code, can be found at SAM.gov under Help.</p> <p style="text-align: center;">Completing all required steps can be time consuming. Organizations not already registered in SAM are strongly encouraged to begin the process as soon as possible to avoid delays.</p>	

Audit Status

<p>Before a subaward can be issued, subrecipients must provide a complete copy of their most recent audit/tax documents, such as their audit report, audited financial statements, corporate tax return, 990 tax return, Profit Loss Statement, Schedule C, other tax return or appropriate tax or audit documents.</p> <p>Was 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</p> <p>Subrecipient's audit or tax documents for the fiscal/tax year are available:</p> <p style="padding-left: 40px;">At the Federal Audit Clearinhouse</p> <p style="padding-left: 40px;">Online at this URL:</p> <p style="padding-left: 40px;">As an attachment included with this form</p> <p style="padding-left: 40px;">As an ongoing subrecipient, the most current audit/tax documents were provided to UM earlier this year. We expect the next audit/tax documents to be available:</p>
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Contact and Agency Information

The information provided on this page will be used to complete "Attachment 3B, Subrecipient Contacts," of the subaward agreement. **Please ensure all fields are complete and correct.**

Place of Performance Address

Full Zip Code (+ 4)

Congressional District:

Institution Type:
Required

Subrecipient EIN:

Subrecipient DUNS:

Subrecipient Central Email:

Subrecipient Website:

Principal Investigator Name:

Email:

Phone:

Administrative Contact Name:

Pre-Award, routing & negotiation

Email:

Phone:

Financial Contact Name:

Email:

Phone:

Invoice/Payment email:

Authorized Official Name:

Email:

Phone:

Legal Address:

Administrative Address:

Payment Address:

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 No

If Yes, please attach explanation.

If no, the Subrecipient certifies 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 for, or otherwise criminally or civilly charged by a government agency.

has has 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.

has has not within 3 years preceding this offer, had one or more contracts terminated for default by any federal agency.

Certifications

<i>Human Subjects</i> Yes No If Yes , documentation of IRB approval may be required.	<i>Animal Subjects</i> Yes No If Yes , documentation of IACUC approval may be required.
<i>Recombinant DNA</i> Yes No If Yes , documentation of rDNA approval may be required.	<i>Stem Cells</i> Yes No If Yes , documentation of Stem Cell approval may be required.

Financial Conflict of Interest

Subrecipient organization/institution hereby certifies that it has an active and enforced policy on conflict of interest consistent with federal requirements (NSF PAPP Guide Chapter IV.A. and NIH 42 CFR Part 50 Subpart F).

Subrecipient does not have an active and/or enforced conflict of interest policy and hereby agrees to abide by [UM's policy](#).

Ethics in Research Training

If prime funding is NSF, NIH, or NIFA, Subrecipient organization/institution hereby certifies that it will ensure that all undergraduates, graduate students, and postdoctoral researchers who will be supported by this proposal will be trained on the oversight in the responsible and ethical conduct of research.

Subrecipient Verification

<i>Must be completed by all entities who will receive funding under a grant or cooperative agreement</i>	
Before submitting a subaward proposal, the subrecipient must verify that it fits the characteristics of a subrecipient, rather than those of a procurement contractor/vendor. The following chart outlines the differences. Please check all that apply.	
Subrecipient	Procurement Contractor/Vendor (e.g., contracted services)
<p>Performance represents an intellectually significant portion of the overall programmatic effort and is measured against the objectives of the sponsored program as defined in the prime scope of work</p> <p>Will use the funds to carry out a program for a public purpose, as opposed to providing goods or services for the benefit of the University of Montana.</p> <p>Is responsible for adhering to applicable sponsor requirements specified in the prime award terms and</p> <p>There is an identified principal investigator for the subrecipient who has responsibility for making programmatic decisions.</p>	<p>Provides goods or services that are necessary to the operation defined in the prime scope of work.</p> <p>Provides the goods or services purchased with the contract funds as a part of normal business operations.</p> <p>Provides similar goods or services to many different purchasers.</p> <p>Is not subject to the compliance requirements of the prime sponsor as a result of the agreement with UM.</p> <p>Normally operates in a competitive environment.</p>
<p>Yes No For the purpose of this proposal, my organization is properly categorized as a subrecipient as described above. If "No," please contact the UM PI about procuring your organization's products and services via contracted services.</p>	

Facilities & Administration Costs

<p>Entities/Organizations with a Federally Negotiated F&A Rate Agreement, please provide a link to the most recent rate agreement:</p> <p>Or F&A agreement is attached.</p> <p>Facilities & Administrative Rates included in this proposal have been calculated based on the following:</p> <p>Subrecipient's Federally negotiated F&A Rate for this type of work.</p> <p>A reduced F&A rate dictated by the prime sponsor that we hereby agree to accept. Rate: %- Base:</p> <p>Other rates (please attach detailed documentation of basis and rationale). Rate: %-Base:</p> <p>10% de minimis rate (for subrecipients with no F&A rate agreement, where the sponsor allows F&A) Base: MTDC</p> <p>No F&A recovery is requested or F&A is not allowed by sponsor.</p>
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Required Subagreement Documents

The following required documents are included with this form or have already been provided to University of Montana Subaward Coordinator, and are compliant with the certifications in the following section.

Subaward Statement of Work

Subaward Budget (in EXCEL format) – **Budgets in Excel will be required for subaward to be issued.**

Please note that the subaward budget must reflect the budget categories that will appear on the subrecipient's invoice. If the subrecipient has previously submitted a budget according to the requirements of UM's prime sponsor, it may be necessary to submit a new budget to UM at time of award, to align budget with invoices. Within the Excel budget, please clearly identify all categories that are excluded from F&A. Templates can be provided for your convenience.

Subaward Budget Narrative

Please note that the budget narrative (aka justification) must match the budget in all categories and amounts.

Cost Sharing Yes No

If Yes, the Cost Share budget (IN EXCEL format) and a Cost Share Budget Narrative **must** be provided to the UM Subaward Coordinator. Please note that an annual verification of cost share commitment may be required.

As with the Subaward Budget, the Cost Share budget must reflect the budget categories that will appear on the subrecipient cost share report and the narrative must match the cost share budget in all categories and amounts. Please clearly identify all categories that are excluded from F&A.

If Yes **and** federal funding is involved, cost sharing commitment must be in accordance with 2CFR 200.306.

Subrecipient Invoices

At a minimum, subrecipient invoices shall include current and cumulative costs in accordance with the subaward budget, which will be included with the Subaward Agreement as Attachment 5, including cost sharing, subaward number, and certification, as required in 2 CFS 200.415

UM is happy to provide an invoice template, prepared in accordance with the subaward budget, to any subrecipient who may find it useful.

Subrecipient would like a UM Invoice Template included with the executed subaward.

Subrecipient will use their own standard invoice and is attaching a sample copy for reference. *(If possible, this sample invoice should match the categories of the invoices that will be sent for the forthcoming subaward. UM realizes that with automated systems this may be difficult to produce a sample invoice that matches the budget perfectly, so it is not required.)*

Subrecipient's Authorized Organizational Representative (AOR) Approval

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.

Signature of Subrecipient's Authorized Organizational Representative (AOR)

Typed Name and Title of Subrecipient's AOR

Date