

### Subrecipient Commitment Form

UNIVERSITY OF MONTANA PROJECT INFORMATION	
UM PI	
Prime Sponsor	

Subrecipient Budget Information					
Total Funds Requested		Direct Costs			
F&A (IDC) Requested		F&A Rate	%	Base	
Budget includes	Cost Share		Program Income		
Required Documents <i>(Please note, some documents required by UM prior to issuing the subaward may not be required by the prime sponsor.)</i>					
Subaward Scope of Work					
Subaward Budget in <b>EXCEL</b> format <i>(required)</i>					
Subaward Budget Justification					
Subrecipient Compliance <i>(Please answer all questions.)</i>					
	Yes/No	Approval Date or Pending		Yes/No	Approval Date or Pending
Human Subjects			Vertebrate Animals		
Stem Cells			Recombinant DNA		
Select Agents			HIPAA/PHI		
Safe and Inclusive Working Environment for Off-Campus or Off-Site Research					
Is this an NSF funded project with Off-Site/Off-campus Research?					
Subrecipient certifies that an Off-Site Research plan is in place and ready to be disseminated prior to departure.					
SUBRECIPIENT INFORMATION					
Subrecipient Entity Name <small>(must match SAM.gov)</small>					
FDP Expanded Clearinghouse Profile URL					
<i>If you are uncertain whether or not your organization is in the FDP Expanded Clearinghouse, search here:</i> <a href="https://fdpclearinghouse.org/organizations">https://fdpclearinghouse.org/organizations</a>					
Subrecipient PI Name					
PI Phone		PI Email			
Place of Performance Address					
Zip Code + 4 Or Postal Code		Place of Performance Congressional District			

Subrecipient Contacts			
Administrative/PreAward			
Phone		E-mail	
Financial/PostAward			
Phone		E-mail	
Authorized Official			
Phone		E-mail	
Highest Compensated Officers			
<p>The names and total compensation of the five most highly compensated officers of the subrecipient entity must be listed if:</p> <ul style="list-style-type: none"> <li>the entity in the preceding fiscal year received 80 percent or more of its annual gross revenues in Federal awards;</li> <li><b>and</b> \$25,000,000 or more in annual gross revenues from Federal awards;</li> <li><b>and</b> 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.</li> </ul>			
Subrecipient meets the qualifications above and must report highest compensated officers: If yes, please list officers below			Yes/No
Officer Name		Compensation	
1.			
2.			
3.			
4.			
5.			

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.

Printed Name and Title of Authorized Official

Signature

Date

**Subrecipient Information Continued (*Entities that supplied an FDP Clearinghouse link above need not continue.*)**

Subrecipient Institutional Information/SAM Registration			
Subrecipient EIN/TIN (9 digit) (U.S. Entities Only)	<b>UEI <i>and</i> Expiration Date Required</b>	Subrecipient UEI	
		SAM Registration Expiration Date	
<p>All subrecipients <i>must</i> maintain <b>full, active</b> registration in SAM in order to receive subaward funds. Subrecipients not actively registered must follow the process to register or update registration. (Simply acquiring a UEI without fully registering is not sufficient.</p> <p><b>SAM registration is FREE of charge.</b> Beware of any organization that charges for assisting with SAM registration. More information regarding SAM registration can be found at the end of this document or at the website, SAM.gov.</p> <p><b>The SAM registration process can be time consuming. Organizations not already registered in SAM are strongly encouraged to begin the process as soon as possible to avoid delays. Renewals can also take considerable time. Renew early to avoid lapses in registration.</b></p>			

Subrecipient Audit Status & Financial Documentation Requirements	
<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?</p> <p>If yes, please indicate where audit can be located/downloaded:</p>	<i>Answer required</i>
<p>If no, please indicate what other financial documentation will be provided: (examples below)</p> <p>Acceptable documents include: 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. (Contact UM OSP for guidance regarding other types of financial documentation.)</p>	
<p><b>Subrecipient acknowledges that audit or tax information must be provided on an annual basis for a time period encompassing the full period of performance of the subaward.</b></p>	
<p><b>Note: Audit or Tax documentation may be no older than 1.5 years at award time. (Entities included in a biannual state audit should contact UM OSP.)</b></p>	

Facilities and Administration (F&A) costs information (aka Indirect Costs/IDC)	
Does subrecipient have a U.S. Federally negotiated rate agreement?	<i>Answer required</i>
<p>If yes, a copy of the rate agreement must be available online or provided prior to issuance of subaward agreement. Please provide link to the rate agreement here or include a copy with signed commitment form.</p>	
The F&A being requested in the subaward budget is (Choose ONE option):	
Subrecipient's fully negotiated F&A rate of	% Base:
Restricted by the sponsor	% Base:
<p>The de minimis rate allowed under 2 CFR 200.414(f)  <a href="https://www.ecfr.gov/current/title-2/part-200/section-200.414#p-200.414(f)">https://www.ecfr.gov/current/title-2/part-200/section-200.414#p-200.414(f)</a></p>	
No F&A is requested	
Other (Please explain. Supporting documentation may be required.)	

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.	

Debarment, Suspension, Propose Debarment	
Yes/No	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 Yes, please attach explanation.	
If No, Subrecipient Certifies that it ( <b>answer all questions below</b> )	
Is/Is not or Has/Has not	
	presently debarred, suspended, proposed for debarment or declared ineligible for award of federal contracts.
	presently indicted for, or otherwise criminally or civilly charged by a government agency.
	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
	within 3 years preceding this offer, had one or more contracts terminated for default by any federal agency.

Financial Conflict of Interest ( <b>Subrecipients must choose ONE option.</b> )	
	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, here: <a href="http://www.umt.edu/policies/browse/personnel/conflict-of-interest-financial-disclosure">http://www.umt.edu/policies/browse/personnel/conflict-of-interest-financial-disclosure</a>

Invoice Requirements	
All invoices <i>shall include</i> current and cumulative costs (including cost sharing), breakdown by major cost category, Subaward number, and certification, as required in 2 CFR 200.415(a). Invoices that do not reference PTE Subaward number shall be returned to Subrecipient.	
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 Verification (Required)**

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.

**Check all options that Apply**

Subrecipient		Procurement Contractor/Vendor (contracted service)	
	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		Provides goods or services that are necessary to the operation defined in the prime scope of work.
	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.		Provides the goods or services purchased with the contract funds as a part of normal business operations.
	Is responsible for adhering to applicable sponsor requirements specified in the prime award terms		Provides similar goods or services to many different purchasers.
	There is an identified principal investigator for the subrecipient who has responsibility for making programmatic decisions.		Is not subject to the compliance requirements of the prime sponsor as a result of the agreement with UM.
			Normally operates in a competitive environment.
<b>Required</b>			
		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.	