**All subrecipients must complete this form when submitting a proposal to Utah Valley University (UVU). It provides a checklist of documents and certifications required by sponsors, as well as an area for the authorized institutional representative to sign.**

SUBRECIPIENT’S LEGAL NAME:

SUBRECIPIENT’S DUNs NUMBER:

UVU’S PROPOSAL TITLE:

SUBRECIPIENTS TOTAL FUNDS REQUESTED: $

SUBRECIPIENT PERIOD OF PERFORMANCE: BEGIN: END: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

The following documents are included in our subaward proposal submission and are covered by the certifications below:

**Scope/Statement of Work (SOW)** *(required for all proposals)*

**Budget and Budget Justification** *(required for all proposals)*

Small/Small Disadvantaged Business Subcontracting Plan, in agency-required format.   
 *(Required for each proposal for a federal contract or contract modification that individually is expected to exceed $650,000 and has subcontracting possibilities. - Per FAR Subpart 19.7)*  
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1. **Facilities and Administrative (F&A) Rates** included in this proposal have been calculated on:

Our federally-negotiated F&A rate for this type of work, or

An agreed upon reduced rate, or

The 10% de minimis rate as allowed by the Uniform Guidance in 2 CFR **§** 200.414 (Subpart E – Cost Principles), or

Not applicable (subrecipient requests no F&A recovery for this project)

1. **Human Participants**  Yes  No If *“yes”* Indicate the status of IRB Review:  
     Pending  Approved  Exempt – If exempt indicate 45 CFR § 46.101 Exemption Code 1,2,3,4,5 or 6   
    Date IRB determined research to be approved or exempt:        
    IRB Protocol No.       Federal Wide Assurance (FWA) No.       *(Both must be current)*  
    **If *“yes”* and NIH funding is involved:** Yes  No -- **All key personnel involved have completed Human Subjects Training.**
2. **Animal Subjects** Yes  No If *“yes”* IACUC approval is:  Pending  Approved  
   Approval Date      IACUC Approval No.        
    Yes  No -- Subrecipient has a PHS Animal Welfare Assurance (AWA) Number  
   If *“yes”* provide PHS AWA No.        
    Yes  No -- Subrecipient’s organization is AAALAC accredited  
   If *“yes”* provide AAALAC No.
3. **Conflict of Interest** (applicable to NIH, NSF, or any other program requiring federal financial disclosure)  
    Not applicable because this project is not being funded by NIH, NSF, or any other program requiring financial disclosure.  
    Subrecipient hereby certifies that it has an active and enforced 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 certifies that, to the best of the Institution’s knowledge, 1) all financial disclosures have been made related to the activities that may be funded by this subaward, or 2) will have been satisfactorily managed, reduced, or eliminated in accordance with subrecipient’s conflict of interest policy prior to the expenditures of any funds under any resulting agreement.  
    Subrecipient does not have an active and/or enforced conflict of interest policy and hereby agrees to abide by UVU’s policy and related procedures: <https://policy.uvu.edu/getDisplayFile/5639005865db23201153c1d4>
4. **Responsible Conduct of Research (RCR)**  
    Not applicable because this project is not being funded by NSF or NIH  
    Subrecipient organization hereby certifies that it will ensure that all undergraduate students, graduate students, and postdoctoral researchers who will be supported by this NSF/NIH funded proposal will be trained on the oversight in the responsible and ethical conduct of research.
5. **Cost Sharing / Matching / In-Kind provided by subrecipient?**    
    Yes  No If *“yes”* amount provided:
6. **Certification Regarding Debarment and Suspension**   
    Yes  No -- The subrecipient organization, Principal Investigator (PI), or any other employee or student participating on this project is/are debarred, suspended, or otherwise excluded from or ineligible for participation in federal department, agency, assistance, programs, or activities. (If *“yes”* explain in comments section below.)

Yes  No -- Presently indicted for, or otherwise criminally or civilly charged by a government entity.

Yes  No -- 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 of 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.

Yes  No -- Within three (3) years preceding this offer, had one or more contracts terminated for default by any federal agency.

1. **Export Controls** Thesubrecipient is individually responsible for maintaining its compliance with federal export laws and procedures.   
    By checking this box, subrecipient certifies that an export control officer or other authorized person has reviewed the subrecipient’s proposal for compliance with federal export control laws. (Explain potential problems in the comment section below.)  
    Not applicable, no export controlled activities included in this proposal.
2. **Fiscal Responsibility** The subrecipient organization certifies that its financial system complies with generally accepted accounting principles and certifies to the statements below:

Yes  No -- Organization has outstanding audit findings that would impact contract cost. (If *“yes”* submit a copy of the most recent report that describes the findings and the steps to be taken to correct the findings.)

Yes  No -- Organization has completed an audit in compliance with 2 CFR § 200.501 (Subpart F – Audit Requirements) If *“yes”* latest audit was completed for period ending      .  
 Yes  No -- Organization’s financial system has the capability to identify, in its accounts, all federal awards received and expended, and the federal programs under which they were received.  
 Yes  No -- Organization maintains internal controls to assure that it is managing federal awards in compliance with applicable laws, regulations, and the provision of contracts, grants, and agreements.  
 Yes  No -- Organization and its financial system comply with applicable laws and regulations.  
 Yes  No -- Organization and its financial system can prepare appropriate financial statements, including the schedule of expenditures of federal awards.

1. **Prior Award Experience**Yes  No -- Subrecipient organization is currently in receipt of federal funding or has received federal funding in the past.  
    Yes  No -- Subrecipient organization has had a contract, grant, and/or agreement terminated for cause or material breach. (If *“yes”* explain in the comments section below.)

**COMMENTS:**

**APPROVED FOR SUBRECIPIENT:**

Subrecipient certifies by the signature below that it has read and appropriately answered all questions and certifications on the previous pages. I have read and understand the terms and conditions of the award. In addition subrecipient certifies that it has the appropriate resources, expertise and experience to carry out the scope/statement of work for this project. Subrecipient can complete the scope/statement of work within the budgetary limits requested for this project. If provided the subrecipient agrees to maintain and upon request provide auditable records of all cost share provided for this project.

The appropriate programmatic and administrative personnel involved in this subrecipient proposal are aware of sponsor policy in regards to subawards and are prepared to enter into an appropriate subaward agreement consistent with those policies.

Subrecipient understands and agrees that any work begun and/or expenses incurred prior to receiving a written and fully executed subaward agreement shall be at the subrecipient’s own risk.

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(Signature of Subrecipient’s Authorized Official) (Date)

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 (Printed/Typed Name of Authorized Official)

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 (Title of Authorized Official)