



## SUBRECIPIENT COMMITMENT FORM

Subrecipient's proposal # \_\_\_\_\_

Subrecipient Legal Name: \_\_\_\_\_

Subrecipient PI Name: \_\_\_\_\_ UMBC PI Name: \_\_\_\_\_

Subrecipient Central Email: \_\_\_\_\_ Funding Agency: \_\_\_\_\_

Proposal Title: \_\_\_\_\_

Proposed Budget Amount for Year (1): DC: \$ \_\_\_\_\_ IDC: \$ \_\_\_\_\_ Total: \$ \_\_\_\_\_

Total Project: DC: \$ \_\_\_\_\_ IDC: \$ \_\_\_\_\_ Total: \$ \_\_\_\_\_

Agreement Type: Cost Reimbursable or Fixed Price

Cost Sharing: No Yes; If Yes, amount: \$ \_\_\_\_\_  
(Cost sharing amounts and justification must be a part of Subrecipient's budget).

Performance Period: Begin (mm/dd/yyyy): \_\_\_\_\_ End (mm/dd/yyyy): \_\_\_\_\_

Subrecipient DUNS #: \_\_\_\_\_ Subrecipient FED ID #: \_\_\_\_\_  
(Not applicable for foreign entity)

Subrecipient is part of FDP Expanded Clearinghouse or University System of Maryland: Yes No  
If "Yes", please move to Section B

## SECTION A - CERTIFICATIONS

- Subrecipient is currently registered in System for Award Management "SAM": Yes No
- Facilities and Administrative Rates included in this proposal have been calculated based on [Check One]:  
Our federally-negotiated F&A rates for this type of work, or a reduced F&A rate that we hereby agree to accept. (If this box is checked, a copy of your F&A rate agreement must be furnished to UMBC before a subaward will be issued.)  
Other rates (specify the basis on which the rate has been calculated in Section D Comments below)  
Subrecipient is an entity without a negotiated indirect cost rate and elects to use the 10% De Minimus rate as described in 200.210 and 200.414 of the Uniform Guidance
- Debarment, Suspension, Proposed Debarment:  
Is the Subrecipient 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  
The Organization Certifies they: (answer all questions below)  
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 governmental entity  
Have Have Not within three (3) years preceding this proposal, 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 commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property  
Have Have Not within three (3) years preceding this proposal, had one or more contracts terminated for default by any Federal Agency
- Fringe Benefit Rates included in this proposal have been calculated based on [Check one]:  
Rates consistent with or lower than our federally-negotiated rates. (If this box is checked, a copy of your FB rate agreement must be furnished to UMBC before a subaward will be issued).  
We do not have a federally negotiated fringe benefit rate. The fringe benefit expenses charged to the Subaward Agreement will be the actual direct costs of the benefits.

**5. Subrecipient Business Status:**

- Institution of Higher Education
- Large Business
- Small Business\*
- Alaska Native Corporation (ANC)
- Historic Black College or University
- Other (explain in Section D)

**\*if Small Business, identify business classification  
\*\*certified by Small Business Administration:**

- Small Disadvantaged Business (SDB)\*\*
- Women-Owned Small Business (WOSB)
- Small Minority Business (SMB)
- Veteran-owned Small Business (VOSB)
- Service Disabled Veteran-Owned Small Business (SDVOSB)
- HUBZone Small Business\*\*

**6. Affirmative Action Compliance - Indicate in accordance with the rules and regulations of the Secretary of Labor (41 CFR 60-1 and 60-2) that your organization has:**

- A written affirmative action program has been developed and is on file
- A written affirmative action program has not been developed but one will be developed by time of award
- A written affirmative action program has not been developed; Subrecipient hereby agrees to abide by UMBC's policy available at: <http://www.usmd.edu/regents/bylaws/SectionVI/>

**7. Conflict of Interest (applies to all projects, check one):**

Not applicable because this project is not being funded by PHS (NIH, CDC, AHRQ, etc.) or any other sponsor that has adopted the financial disclosure requirements (NSF, etc.) See [http://sites.nationalacademies.org/PGA/fdp/PGA\\_070596](http://sites.nationalacademies.org/PGA/fdp/PGA_070596) for list of sponsors that adopted federal financial disclosure requirements.

Subrecipient Organization/Institution 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." and 42 CFR Part 94 "Responsible Prospective Contractors". Subrecipient also certifies that, to the best of Institution's knowledge, (1) all financial disclosures have been made related to the 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 or eliminated in accordance with Subrecipient's conflict of interest policy prior to the expenditures of any funds under any resultant agreement.

Subrecipient does not have an active and/or enforced conflict of interest policy, but will have a PHS compliant policy in place and published at the time of award . A sample FDP COI policy can be found at [http://sites.nationalacademies.org/PGA/fdp/P A\\_061001](http://sites.nationalacademies.org/PGA/fdp/P A_061001)

Subrecipient does not have an active and/or enforced conflict of interest policy and hereby agrees to abide by UMBC's policy, which is located at <http://www.umbc.edu/policies/> under Section II (II-8.00.05).

**8. Subrecipient Audit Status:**

Does the Subrecipient receive an annual single audit in accordance with 2 CFR Part 200?      **Yes**      **No**

If "Yes": Most recent fiscal year for which audit was completed: FY \_\_\_\_\_

Were any audit findings reported?      **Yes**      **No**; If "Yes", were they affecting UMBC funding?      **Yes**      **No**

A complete copy of Subrecipient's most recent audit report:      Can be found at: \_\_\_\_\_  
Is attached as part of this document

If "No": Subrecipient is a [Check one]:

- Non-profit entity expending less than \$750,000 per year in Federal or Sub-Federal funds annually
- For-profit entity that expends Federal or Sub-Federal funds and has a DCAA audited rates
- For-profit entity that does not expend Federal funds or have annual audits
- Foreign entity

**Note: If a subrecipient does not receive an annual single audit as described above, UMBC will require the entity to complete a Financial Status Questionnaire, and may require a limited scope audit, before a subaward will be issued.**

Audit Point of Contact / Phone / Email: \_\_\_\_\_

**9. Fiscal Responsibility - The organization certifies that its financial system is in accordance with generally accepted accounting principles and:**

- has the capability to identify, in its accounts, all Federal awards received and expended and the Federal programs under which they were received
- maintains internal controls to assure that it is managing Federal awards in compliance with applicable laws, regulations and the provision of contracts or grants
- complies with applicable laws and regulations;
- can prepare appropriate financial statements, including the schedule of expenditures of federal awards;

