

All subrecipients should submit this form when submitting a proposal to Augustana College. It provides a checklist of documents and certifications required by sponsors, as well as an area for the authorized official to sign.

SUBRECIPIENT'S LEGAL NAME: _____ SUBRECIPIENT'S PI: _____

AUGUSTANA COLLEGE PI: _____ PRIME SPONSOR: _____

SUBMITTED PROPOSAL TITLE: _____

PERIOD OF PERFORMANCE DATES: _____ CONGRESSIONAL DISTRICT: _____

SECTION A – PROPOSAL DOCUMENTS

The following documents are included in our subaward proposal submission and covered by the certification below (check as applicable)

- STATEMENT OF WORK (required)
- BUDGET AND BUDGET JUSTIFICATION (required) Total amount requested _____
- SUBRECIPIENT COMMITMENT FORM, completed and signed by subrecipient's authorized official (required)
- Biosketches and Other Support of all Key Personnel
- Other

SECTION B – SPECIAL REVIEW AND CERTIFICATIONS

1. **Facilities and Administrative Rates** included in this proposal have been calculated based on:

- 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 or URL link to the agreement must be furnished to Augustana College before a subaward will be issued.)
- Other rates (Please specify the basis on which the rate has been calculated in Section D Comments below)
- Not Applicable (no indirect cost request for subrecipient)

2. **Fringe-Benefit Rate** included in this proposal have been calculated on the following:

- Rates consistent with or lower than our federally negotiated rates
(If this box is checked, a copy of your F&A rate agreement or URL link to the agreement must be furnished to Augustana College before a subaward will be issued.)
- Based on actual rates
- Other rates (Please specify the basis on which the rate has been calculated in Section D Comments below)

3. **Subrecipient Business Status:**

- Large Business Small Business Institution of Higher Education Other
- Alaska Native Corporation (ANC) (43USC1601) Historic Black College or University / Minority Institution

If a small business, identify business classification (* certified by the Small Business Administration

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

4. **Cost Sharing** yes no Amount: _____

Cost sharing amounts and justification must be included in the subrecipient's budget.

REGULATORY APPROVALS (Questions 5-8)

5. Location of Sponsored Activities: On Campus Off Campus International

6. **Human Subjects:** yes no **Determination of Exemption or IRB Approval Date:** _____ **and IRB Number:** _____

(Note: Surveys, interviews, observations, or use of secondary data may be human subject's research. Contact your local IRB office for guidance.)

If "yes" Copies of the determination of exemption or IRB approval must be provided before any subaward will be issued. If not attached here, obtain approval as required and forward these documents to Augustana College's PI as soon as they become available. Please indicate the Augustana College PI's name and subaward number for reference, if available.

If "yes" and NIH funding is involved:

Have all key personnel involved completed human subjects training? yes no

Note: All key personnel engaged in human subjects research must take NIH human subjects training or other human subjects research training (www.citiprogram.org) as required by NIH.

Does your organization / institution have a Federal wide Assurance (FWA) Number? yes no *If "yes"*, provide number _____

7. **Animal Subjects:** yes no **Approval date:** _____ **and IACUC Number** _____

If "yes" Copies of the IACUC approval must be provided before any subaward will be issued. If not attached here, obtain approval as required and forward these documents to Augusta College's PI and to Augustana College's Business Office, 639 38th Street, Rock Island, Illinois 61201 as soon as they become available.

Please indicate the Augustana College PI's name and subaward number for reference, if available. In accordance with Federal guidance and Augustana College policy, Augustana College's IACUC may or may not be required to review and approve the subaward animal work prior to issuing the subaward. Regardless of the need for Augustana College's IACUC oversight of animal work, a memorandum of agreement between collaborating entities must be developed and signed by the appropriate (awardee and subawardee) representatives.

Does your organization/institution have a PHS Animal Welfare Assurance Number? yes no *If "yes"*, provide number _____

8. Conflict of Interest

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." 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 expenditure 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 Augustana's policy, available at <https://www.augustana.edu/about-us/offices/hr/handbook/appendix>

9. Dual-use Research of Concern

Subrecipient organization/Institution hereby certifies that it has an active and enforced policy which covers life sciences dual-use research of concern that is consistent with NSF policy

Subrecipient does not have an active and/or enforced policy covering life sciences dual use research of concern that is consistent with NSF policy, and agrees to abide by Augustana's policy

10. 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"*, explain in Section D Comments below)

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 government entity

Have Have not within three (3) years preceding this offer, been convicted of or had a civil judgement rendered against them for commission of 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 offer, had one or more contracts terminated for default by any federal agency

11. 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;
- there are no outstanding audit findings which would impact contract costs. If there are findings, submit a copy of the most recent report that describes the findings and steps to be taken to correct the findings.

SECTION C – AUDIT STATUS

Does the subrecipient receive an annual audit in accordance with 2 CFR 200.501? Yes No

If “yes,” has the audit been completed for the most recent fiscal year? Yes No

If “no,” when is it expected to be completed? _____

If “yes” were any audit findings reported? Yes No

If “yes” explain in Section D, Comments, below.

If “no,” does the subrecipient have expenditures in federal funding of at least \$750,000 per year? Yes No

- Subrecipient is a: Non-profit entity (under federal funding threshold)
- Foreign entity
 - For-profit entity
 - Government entity

SECTION D – CONTACT INFORMATION AND COMMENTS

PI Contact Information

Subrecipient PI:

Phone:

E-Mail:

Fax:

Administrative Contact Information

Administrative Contact:

Phone:

E-Mail:

Fax:

Financial Contact Information

Financial Contact:

Phone:

E-Mail:

Fax:

COMMENTS (attach another sheet if necessary)

APPROVED FOR SUBRECIPIENT

The information, certifications, and representations above have been read, signed, and made by an **authorized official** of the subrecipient named herein. The appropriate programmatic and administrative personnel involved in this application are aware of agency policy 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 Official)

(Address)

(Type or print name and title of Authorized Official)

(City, State, Zip)

(Name of Subrecipient's Organization/Institution)

(Phone) (Fax)

(Federal Employer Identification Number (EIN))

(DUNS or DUNS +4 number)

(Date)

(Email)

(Signature of Principal Investigator)

(Date)