Subrecipient Commitment Form Instructions

In order to obtain information, documents and certifications that are required by the sponsor and NAU, the Subrecipient Commitment Form must be completed and provided to NAU with your proposal submission. The Subrecipient Commitment Form was also designed to collect information about the subrecipient so that the subagreement can move forward more quickly at the award stage. The following instructions will assist you in completing the form.

SECTION A. NAU Information
NAU will complete this section.

SECTION B. Subrecipient Information

The Subrecipient’s Legal Name: is the name of the organization that is used for all official purposes. Do not use a nickname or an acronym. The legal name is the name of the legal entity authorized to enter into contracts on behalf of the organization, not a sub-unit of that organization.

Address: Please include your organization’s legal business address along with the Zip code plus four digits or, other postal code if not in the U.S. If the sponsored activity will take place at another location, please provide this address under Primary Place of Performance.

DUNS Number: The DUNS number is a nine-digit number, issued by Dun and Bradstreet (D&B), assigned to each business location in the D&B database, and having a unique, separate, and distinct operation for the purpose of identifying them.

Employment Identification Number (EIN): This number is also known as a Federal Tax Identification Number and is used to identify a business entity.

Congressional District (If in the U.S.): Please include the U.S. Congressional District of your organization and the performance site (where the scope of work will be carried out) if it will be different from that of your organization. To find a specific congressional district, go to http://house.gov/. On the main page, in the upper right hand corner enter the zip code to find the number of the U.S. congressional district for this area.

Business/Financial Contact Information: Please provide the contact information of the subrecipient’s financial officer.

Parent Entity: Please complete if the subrecipient is owned, controlled or managed by a parent company (entity.)

Principal Investigator Contact Information: Please provide the legal name of the subrecipient’s Principal Investigator and contact information.

Authorized Official: Please provide the contact information for the official who is authorized to sign for and commit the subrecipient organization.

Primary Place of Performance: Please provide the address along with the Zip code plus four digits or other postal code if not in the U.S for the location where the sponsored activity will take place.

Administrative/Contractual Contact Information: Please provide the contact information of the subrecipient’s administrative contact. If there is another contact for the subrecipient’s Uniform Guidance audit (200.500), please provide.

Debarred/ineligible determination. Debarment or suspension of an organization by one agency has a U.S. government-wide effect. If “Yes” to either question, please notify the undersigned immediately.

Subrecipient versus Contractor Determination. Please use the guidance provided for your determination.

Small Business Concerns Information: Completed by for-profit organizations only. Definitions are provided below. Check the category on the form that applies:

- “Small Business” is organized for profit; has a place of business in the United States; makes a significant contribution to the U.S. economy through payment of taxes or use of American products, materials or labor; is independently owned and operated; is not dominant in its field, on a national basis; and is no larger than SBA’s small business size standard for its industry. A business can find the size standard for its industry by consulting the Small Business Administration’s Table of Size Standards.
“Small Disadvantaged Business” as used in this provision means a small business that: (i) has received certification as a small disadvantaged business consistent with 13 CFR part 124, Subpart B; (ii) no material change in disadvantaged ownership and control has occurred since its certification; (iii) where the is owned by one or more individuals, the net worth of each individual upon whom the certification is based does not exceed $750,000, after taking into account the applicable exclusions set forth at 13 CFR 124.104(c)(2); and (iv) is identified, on the date of its representation, as a certified small disadvantaged business in PRO-Net, the database maintained by the Small Business Administration.

“Woman-Owned Small Business” as used in this provision means small business that: (i) is at least 51% unconditionally owned by one or more women; or in the case of any publicly owned business, at least 51% of the stock of which is unconditionally owned by one or more women; and (ii) whose management and daily business operations are controlled by one or more women.

“Veteran-Owned Small Business” is a small business that: (i) is at least 51% unconditionally owned by one or more veterans (as defined at 38 U.S.C. 101(2)); or in the case of any publicly owned business, at least 51% of the stock of which is unconditionally owned by one or more veterans; and (ii) whose management and daily business operations are controlled by one or more veterans.

“Service-Disabled Veteran-Owned Small Business” as used in this provision means a small business that: (i) is at least 51% unconditionally owned by one or more service-disabled veterans (as defined at 38 U.S.C. 101(2), with a disability that is service connected, as defined in 38 U.S.C. 101(16)); or in the case of any publicly owned business, at least 51% of the stock of which is unconditionally owned by one or more service-disabled veterans; and (ii) whose management and daily business operations are controlled by one or more service-disabled veterans or, in the case of a veteran with permanent and severe disability, the spouse or permanent caregiver of such veteran.

“HUBZone Small Business” as used in this provision means a small business that appears on the list of Qualified HUBZone Small Business maintained by the US Small Business Administration.

The System for Award Management (SAM) is a federal government owned and operated free web site that replaced the Central Contractor Registry (CCR). SAM collects data from all entities who do business with the federal government. An organization must be registered in SAM to receive federal funds.

SECTION C. NAU Proposal Documents

This section lists the proposal documents that must be submitted by the subrecipient. Please check the boxes next to the documents that are included in the subaward proposal submission.

SECTION D. Certifications

1. Facilities and Administrative Rates. A “federally negotiated F&A rate” means that an agency of the U.S. federal government has reviewed the organization’s indirect cost proposal and has agreed in writing that the organization may charge the U.S. federal government a certain percentage of direct project costs for F&A (indirect) costs. If your organization has an F&A rate approved by a U.S. federal agency, please attach a copy of your F&A agreement to the Subrecipient Commitment form or provide a webpage link to this information. If your organization is receiving funds under a federal award, and you do not have a federally negotiated F&A rate, your organization can only include a maximum rate of 10% on Modified Direct Costs. A sponsor-published, limited F&A rate was used or F&A is not requested. If your organization 1) is not receiving federal funds for this project, 2) does not have a U.S. federally negotiated F&A rate, and 3) plans to charge for indirect costs, please attach an explanation as to how this rate was derived.

2. Fringe Benefit Rates: Fringe benefit rates include the percentage of salary and/or the amount your organization pays for employee retirement, health insurance, Medicare, and Social Security, etc. It represents the employer’s contribution to these costs—not the employee’s contribution. Some organizations negotiate their fringe benefit rates with the U.S. federal government just as they do their F&A rate. Other organizations use actual rates for each employee. Still others use composite rates for different classes of employees. For this section, indicate how the fringe benefit rates were calculated. Attach a copy of the fringe benefit information to this form, provide a link to this information on your organization’s webpage, or provide an explanation in Section G – Comments.

3. Cost Sharing: Indicate the amount of cost sharing, matching, in kind commitment. This must also be reflected in the budget and budget justification.

4. Conflict of Interest: The subrecipient must review and determine the Conflict of Interest policy that the organization will follow. The FDP Conflict of Interest Clearinghouse website is: http://sites.nationalacademies.org/PGA/fdp/PGA_070596

5. Affirmative Action Compliance: Indicate compliance with applicable Secretary of Labor affirmative action regulations.

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6. **Mandatory Disclosures:** Uniform Guidance 200.113 states that the non-Federal entity or applicant for a Federal award must disclose in writing and in a timely manner, to the Federal awarding agency or pass-through entity, all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award.

**Fiscal Responsibility:** This section seeks to determine if your organization’s financial system is in accordance with generally accepted accounting principles and can comply with appropriate federal circulars and federal acquisition regulations as well as agency-specific regulations and the terms and conditions of a specific award.

### SECTION E. Project-Specific Requirements

1. **Human Subjects:** If your organization will be carrying out human subjects’ research under the subagreement with NAU, mark “Yes,” on the form. Provide the date that your organization’s Institutional Review Board (IRB) approved the research or determined the research to be exempt. If the IRB review is still pending, write “Pending.” If this proposal is being submitted to the National Institutes of Health (NIH) all of the key personnel on the project must receive human subjects’ research training. Answer “Yes” if all of the key personnel have complied with this training requirement.

2. **Animal Subjects:** If your organization will be carrying out animal research under the subagreement with NAU, mark “Yes,” on the form. Provide the date the animal research was approved by a registered Institutional Animal Care and Use Committee (IACUC), and provide the IACUC number. If such a review is pending, write “pending.”

### SECTION F. Uniform Guidance Subpart F, Audit Requirements and Financial Status

1. **Uniform Guidance 200.500 Audit Report Link**

   Non-Federal entities that expend $750,000 or more in Federal awards over a one-year period shall have a single or program-specific audit conducted for that year in accordance with the provisions of Uniform Guidance 200.501. If your organization is subject to 200.501, you must provide a copy of your most recent 200.501 audit report or a URL link to a copy of the report. (Please explain any audit findings.)

   **Organizations not subject to the 200.501 single audit requirement must complete and submit the attached Audit Certification.** This is required and relates to the following types of agencies:
   
   1. Non-profit organizations receiving less than $750,000 per year
   2. Foreign organizations
   3. For-profit organizations
   4. Government entities

### SECTION G. Comments

Please include any comments, explanations or references.

### SUBRECIPIENT AUTHORIZED APPROVER:

The Authorized Official is an individual authorized by an organization to sign and commit the organization to a request, proposal, or other document that has been or is to be submitted to the sponsor while providing the required certifications for this signed document.

If you have any additional questions, please contact NAU’s Office of Sponsored Projects at ogcs@nau.edu.