



The University of Vermont

**SPONSORED PROJECT ADMINISTRATION  
Subrecipient Commitment & Audit Certification Form**

Complete this form when submitting a proposal to UVM. It provides a checklist of documents and certifications required by sponsors, as well as an area for the authorized institutional representative to sign. Complete and accurate information facilitates quicker processing of a subaward. If you are registered in the FDP Expanded Clearinghouse you can either complete this top section, Section A and D or submit an authorized signed document including the same.

[http://sites.nationalacademies.org/PGA/fdp/PGA\\_171520](http://sites.nationalacademies.org/PGA/fdp/PGA_171520)

UVM'S PD/PI: Arne Bomblies

UVM'S PROPOSAL #: 30373

SUBRECIPIENT'S LEGAL NAME:

ADDRESS:

CITY:

STATE:

ZIP +4:

DUNS No:

PARENT DUNS No:

EIN:

PROJECT TITLE:

SUBRECIPIENT'S PD/PI:

PERIOD OF PERFORMANCE: START:

END:

TOTAL FUNDS REQUESTED:

COST SHARE COMMITMENT:

**SECTION A: PROPOSAL DOCUMENTS**

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

- STATEMENT OF WORK (required)
- BUDGET & JUSTIFICATION (required)
- BIO SKETCHES OF KEY PERSONNEL

**SECTION B: CERTIFICATIONS**

**1. Facilities and Administration 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.  
*Rate being proposed:                      Link to rate agreement:*
- Other rates (please specify the basis on which the rate has been calculated in Section C below, e.g., de minimis 10% rate)
- Not applicable (no indirect cost request or cost share for subrecipient)

**2. Fringe Benefit Rates** included in this proposal have been calculated based on:

- Rates consistent with or lower than our federally-negotiated rates  
*Link to rate agreement:*
- Other rates (please specify the basis on which the rate has been calculated in Section C Comments below)
- Not applicable (no fringe benefit request or cost share for subrecipient)

**3. Will Human Subjects be involved to complete the scope of work?**

- Yes                       No



4. Will Animals Research Subjects be involved to complete the scope of work?

Yes  No

5. Will Recombinant DNA Materials be involved to complete the scope of work?

Yes  No

6. Financial Conflict of Interest in Research (Subrecipient Organizations/Institutions only need to certify when the prime award is from the Public Health Service [PHS] or other sponsor following PHS policy).

Review policy at <http://grants.nih.gov/grants/policy/coi/>

a. Subrecipient Organization/Institution hereby certifies that it has an active and enforced financial conflict of interest in research policy that complies with the provision of 42 CFR Part 50, Subpart F "Responsibility of Applicants for Promoting Objectivity in Research" (the "PHS Regulations"). 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 resultant agreement.

b. Subrecipient Organization/Institution will adopt and enforce a financial conflict of interest policy so as to become compliant with all the terms paragraph a. of this section no later than at time of award of the research project to UVM. A sample model of a compliant policy may be found on the [Federal Demonstration Partnership FCOI Website](#). At time of proposal, Subrecipient Organization/Institution also certifies that, to the best of its knowledge, all financial disclosures related to the activities that may be funded by or through a resulting agreement, as required under the PHS regulations, have been made to UVM.

N/A – proposal or requested funds are not under a PHS award

7. Certification Regarding Debarment and Suspension Is the entity, PI or any other employee or student participating in this project debarred, suspended or otherwise excluded from or ineligible for participation in federal department, agency, assistance programs or activities?

Yes  No (If "yes", explain in Section C, Comments, below.)

**Subawards to any entity or individual included in the Federal excluded Parties are prohibited.**

8. Registration Is the subrecipient currently registered in SAM?  Yes  No

9. Audit Did the subrecipient receive an annual single audit per applicable federal guidelines?  Yes  No

If the subrecipient underwent the single audit, indicate the fiscal year and provide link or attach current report.

Fiscal Year: Link:

Were there any findings in the most recent single audit related to UVM issued subawards to your institution? Yes  No

(If "yes", please note the applicable page(s) in the audit report and provide an update on the status of the corrective action below.)

If the subrecipient did not undergo a single audit, provide explanation why the single audit was not performed (e.g. below threshold, for-profit company, etc.) **and attach the most recently completed fiscal year audit** report including independent auditor's letter, managements corrective action on any findings and answer the financial status questions.



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**10. Financial Status Questions:** *(Only required if subrecipient does not receive an annual single audit.)*

Explains your institution's processes and procedures to ensure compliance with applicable federal guidelines, but not limited to, the following: *(Attach additional pages as needed.)*

A financial management system that provides records that can identify the source and application of funds for award supported activities including cost-sharing (if applicable)

Controls to prevent expenditures in excess of approved budget amounts

A Purchasing/Procurement policy creating standards in the procurement of supplies and other expandable property, equipment, real property and other services with federal funds

An inventorying system for equipment including data for federal government property that identifies purchase date, cost, vendor, description, serial number, locations and ultimate disposition

Record retention for a period of three years following the submission of the final financial and programmatic reports to the Prime Recipient

What internal controls does your institution have to ensure that all UVM sub-award related expenses are allowable within the Cost Principles of applicable Federal guidelines? This includes but is not limited to effort reporting and time management and appropriate travel policies and procedures.



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**SECTION D: AUTHORIZED SIGNATURE**

**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 should an award be made.

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

Date

Name and Title of Authorized Official:

Phone:

Email:

**SECTION E: REVISIONS**

**This section is only to be completed to update information previously provided on the commitment form.**

**11. Audit:** Has any of the information provided in item 9 (above) changed since the initial certification? Yes  No

**12. Additional Changes** or comments since the initial certification

Signature of Subrecipient's Authorized Official

Date