



This form must be completed by the subrecipient entity and signed by an authorized official (i.e. designated individual within subrecipient entity who has the legal authority to sign and accept awards). This form is only for entities determined by JMU to be eligible as subrecipients. This form is not required for separate awardees on linked collaborative NSF grants.

JMU Principal Investigator: _____

Proposal Title: _____

Prime Sponsor: _____

Period of Performance: _____

I. SUBRECIPIENT INFORMATION

Legal Name: _____

Sub PI: _____

Unique Entity ID (UEI): _____

**Employer Identification
Number (EIN):** _____

II. FINANCIAL SYSTEM

Subrecipient Financial System
(check all that apply)

- ☐ 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 report that describes the finding and steps to be taken to correct the finding.)



III. AUDIT INFORMATION

1. Does your organization receive an annual Single Audit in accordance with 2 CFR 200, Subpart F? (If yes, skip to section IV. If no, complete remainder of this section.) ☐ Yes ☐ No

2. Does your organization expend less than \$1,000,000 in Federal awards during the fiscal year? ☐ Yes ☐ No

3. Is your organization a for-profit organization? ☐ Yes ☐ No

2 CFR 200.1: *For-profit organization* generally means an organization or entity organized for the purpose of earning a profit. The term includes but is not limited to:

(1) An "S corporation" incorporated under subchapter S of the Internal Revenue Code; (2) A corporation incorporated under another authority; (3) A partnership; (4) A limited liability company or partnership; and (5) A sole proprietorship.

4. Does your organization have annual financial statements that have been reviewed or audited by an independent audit firm? (If yes, please provide a copy of the statements for the most current year.) ☐ Yes ☐ No

Comments (use as needed)



IV. ETHICS

1. Are human subjects involved?

☐ Yes ☐ No
☐ Pending

IRB Protocol: _____

IRB Approval Date: _____

2. Are animal subjects involved?

☐ Yes ☐ No
☐ Pending

IACUC Protocol: _____

IACUC Approval Date: _____

V. CONFLICT OF INTEREST

☐ **Subrecipient organization hereby certifies that it has in place an active and enforced financial conflict of interest policy** that complies with the provisions of 42 CFR Part 50, Subpart F and/or NSF Proposal and Award Policies and Procedures. Subrecipient also certifies that, to the best of its 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 JMU's policies and related procedures, whenever applicable.**

For each individual responsible for the design, conduct or reporting of research, including collaborators and consultants:

- a. [Conflict of Interest Disclosure Form](#), prior to submission of funding application.
- b. [Financial Conflict of Interest Training](#), prior to receipt and expenditure of funds. This training is valid for up to four years; if project lasts more than four years, all applicable subrecipient personnel will take the training again.

VI. REQUIRED DOCUMENTS

- ☐ 1. **Subrecipient Commitment Form** (this form) completed & signed by the subrecipient authorized official
- ☐ 2. **Scope of Work**
- ☐ 3. **Budget**
- ☐ 4. **Budget Justification/Narrative**
- ☐ 5. **FDP Attachment 3B Page 1** (required); **Page 2** (if applicable)
[Federal Domestic Partnership \(FDP\) Website](#)

If Applicable to Proposal:

- ☐ 6. **Fringe Benefit & Indirect Costs Rate Agreement**
- ☐ 7. **Biographical Sketch all Senior/Key Personnel**
- ☐ 8. **Current and Pending Support for all Senior/Key Personnel**
- ☐ 9. **Facilities, Equipment, and Other Resources**



VII. FOREIGN SUBRECIPIENTS

If the subrecipient is a foreign (i.e. non-US) entity seeking Federal or Federal flow-thru funds, the subrecipient acknowledges and agrees to the following conditions:

1. In accordance with 2 CFR 25.105, subrecipient must obtain a UEI unless it is exempted by Federal statute (2 CFR 25.110) or it is a second-tier subrecipient or contractor (2 CFR 25.105b).
2. Foreign entities cannot not serve as a subrecipient on grants from National Institutes of Health, as of the implementation of NOT-OD-25-104.
3. Subrecipient certifies they are aware of the Foreign Talent Recruitment Program requirements of the CHIPS and Science Act of 2022 (Subtitle D Research Security, Sections 10631, 10632, and 10638 of the U.S. Public Law 117-167) and are willing to abide by all requirements should an award be issued.

VIII. ADDITIONAL CERTIFICATIONS

The subrecipient hereby certifies the following:

1. Subrecipient is not presently suspended, debarred, or otherwise excluded from receiving Federal funds.
2. Subrecipient personnel who will work on the project have certified that they are not part of any Malign Foreign Talent Recruitment Program (MFTRP), as required by the CHIPS and Science Act of 2022.
3. The appropriate subrecipient programmatic and administrative personnel involved in this proposal are prepared to establish the necessary inter-institutional agreements to ensure compliance with all pertinent Federal regulations and policies. Any work begun and/or expenses incurred prior to execution of a subaward agreement are at the subrecipient's own risk.
4. If applicable, no work involving human subjects and/or animals will begin until the subrecipient provides approval documentation from an Institutional Review Board and/or Animal Care and Use Committee.
5. If applicable, no work will begin until Financial Conflict of Interest (FCOI) disclosures are verified and training completed.
6. Subrecipient understands that, should a proposal be awarded, additional terms and conditions may be required of the subrecipient before funds can be awarded, including but not limited to any flow-down terms imposed by the sponsor.

Subrecipient certifies to the best of its knowledge and belief that the information provided herein is true, complete, and accurate. Subrecipient is aware that the provision of false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil, or administrative consequences including, but not limited to violations of U.S. Code Title 18, Sections 2, 1001, 1343 and Title 31, Sections 3729-3730 and 3801-3812.

Signature of
Authorized Official

Date