

SUBRECIPIENT IDENTIFICATION

FDP Expanded Clearinghouse Member?

Yes

No

ENTITY NAME:

EIN:

UEI:

PRINCIPAL INVESTIGATOR:

PROJECT IDENTIFICATION

PROJECT TITLE:

PRIME SPONSOR:

UO PRINCIPAL INVESTIGATOR:

EPCS or GRANT:

ENTITY INFORMATION

1. **Entity Type** (select one) - Only Required for Non-FDP Members

- ☐ Institution of Higher Education
- ☐ Government Entity
- ☐ Non-Profit Entity
- ☐ For-Profit Entity

2. **Foreign or Domestic Entity** (select one)- Only Required for Non-FDP Members

- ☐ Foreign entity (as defined by 2 CFR 200.45 or 200.46)
- ☐ Domestic entity

3. **Maturity of Organization** (select one) - Only Required for Non-FDP Members

- ☐ Subrecipient entity has been organized in its current form for less than 2 years.
- ☐ Subrecipient entity has been organized in its current form for 2 years or more.

4. **Other Federal Awards** (select one) - Only Required for Non-FDP Members

- ☐ Subrecipient has experience with similar Federal awards or subawards.
- ☐ Subrecipient **does not** have experience with similar Federal awards or subawards.

5. **Financial Systems** Subrecipient certifies that their financial systems are in accordance with generally accepted accounting principles and: *(select all that apply) - Only Required for Non-FDP Members*

- ☐ Have the ability to identify all Federal awards received and expended and the Federal programs under which they were received.
- ☐ Maintain internal controls to ensure that it is managing Federal awards in compliance with applicable laws, regulations and the provision of contracts or grants.
- ☐ Comply with applicable laws and regulations.
- ☐ Can prepare appropriate financial statements, including a schedule of expenditures by award.
- ☐ Systems have been in place for two (2) or more years without substantial changes.

CERTIFICATIONS

6. **Facilities & Administration Rates** included in this request are calculated based on method below. *(select one) - Only Required for Non-FDP Members*

- ☐ Federally-negotiated F&A rates (please attach your current rate agreement)
- ☐ De minimis 15% rate as provided for in 2 CFR 200.414
- ☐ Other rates (please specify rates in the Comments section)
- ☐ Subrecipient is not claiming F&A

7. **Fringe Rates** included in the project budget are based upon: *(select one) - Only Required for Non-FDP Members*

- ☐ Our Federally negotiated fringe benefit rate, or less.
- ☐ Actual fringe benefits costs.
- ☐ Other, please describe in the Comments section.

8. **Human Subjects** *(select one) - Only Required for Non-FDP Members*

- ☐ Are **not** involved in this project.
- ☐ Are involved in this project, and the subrecipient certifies that it shall conduct the activities in accordance with the DHHS regulations codified at 45 CFR 46, and any other applicable regulations/policies. Confirmation of IRB approval and required training may be requested.

9. **Animal Subjects** *(select one) - Only Required for Non-FDP Members*

- ☐ Are **not** involved in this project.
- ☐ Are involved in this project, and the subrecipient certifies that it shall conduct the activities in accordance with the NIH Principles for Use of Animals, the Animal Welfare Act (7 U.S.C. 2131 et.seq.) and all other applicable Federal laws, and policies. Confirmation of IACUC approval may be requested.

10. Financial Conflict of Interest (FCOI) Subrecipient will follow the selected FCOI policy. *(select one) - Only Required for Non-FDP Members*

- ☐ **Subrecipient internal policy.** Subrecipient certifies that it has an active and enforced conflict of interest policy that is consistent with all applicable federal, state and sponsor requirements. Subrecipient will inform UO of any identified FCOI prior to any expenditure of funds, or within 45 days of any subsequently identified FCOI.
- ☐ **University of Oregon policy.** Subrecipient does not have an active and/or enforced conflict of interest policy that is consistent with all applicable federal, state, and sponsor requirements and agrees to abide by UO's policies and procedures. Each subrecipient employee responsible for the design, conduct, and/or reporting of the sponsored research should complete the online training and declaration form. More information can be found on the COI Office website. Questions can be directed to coi@uoregon.edu or 541-346-6200.

11. Debarment and Suspension *(select one)- Only Required for Non-FDP Members*

- ☐ **Not debarred or suspended.** Subrecipient certifies that the entity, PI or any other project staff/students are not debarred, suspended or otherwise excluded/ineligible from participation in federal department, agency, assistance programs or activities.
- ☐ **Restricted involvement.** Subrecipient entity, PI, project staff or students have exclusions or are debarred from participation in federal department, agency, assistance programs or activities. Additional information must be noted in the Comments section.

AUDIT STATUS - Only Required for Non-FDP Members

- ☐ **Subrecipient is subject to the audit requirements in 2 CFR 200 Subpart F** (as applicable), and an:
- ☐ Audit has been completed for the most recent fiscal year, ending on: Provide a copy or link to the audit report:
- ☐ Audit for the most recent closed fiscal year is **not yet complete**. We will provide a copy of the audit report, or link, within thirty (30) days of completion. We expect the audit to be completed by the following date:

Subrecipient's most recent completed audit had:

- ☐ No findings
- ☐ Findings required to be reported. Provide additional information regarding the findings and corrective action in the Comments section below.

OR

SUBRECIPIENT CERTIFICATION FORM

☐ Subrecipient is not subject to the audit requirements in 2 CFR 200 Subpart F (as applicable), due to the reason indicated below.

☐ Did not expend more than \$1,000,000 (Subpart F) in Federal funds during the most recently closed fiscal year ☐ For-profit or foreign (non-US) entity ☐ Other (explain):

Submit audited financial statements with this form, or provide the link to the statements.

OTHER REQUIRED DOCUMENTS

In addition to this form, the following documents are necessary to complete a proposal or subaward contract. Please submit the documents identified below to sponsoredprojects@uoregon.edu, or the SPS staff member who sent this request.

- ☐ Statement of Work
- ☐ Budget & Budget Justification
- ☐ F&A Rate Agreement (and Fringe Rate Agreement if applicable)
- ☐ Letter of Commitment
- ☐ All other required documents have been received; please submit this completed certification form only.

COMMENTS

Provide additional information as requested from previous sections, or other information that would be necessary for us to issue a subaward.

CONTACT INFORMATION & APPROVALS

Authorized Official Information

NAME:

TITLE:

ADDRESS:

CONGRESSIONAL DISTRICT:

PHONE:

EMAIL:

Administrative/Contracting Contact Information

NAME:

TITLE:

ADDRESS:

PHONE:

EMAIL:

Principal Investigator Information

NAME:

TITLE:

ADDRESS:

PHONE:

EMAIL:

SUBRECIPIENT CERTIFICATION FORM

This location IS ☐ or IS NOT ☐ the place of performance for the subaward work. If not, provide the place of performance:

Subrecipient Approval

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.

For Federal proposals only: The Principal Investigator (PI) and the Institutional Authorized Official hereby certify and attest that the PI and all senior and key personnel identified in the subawardee's project proposal have completed the Research Security Training in accordance with the requirements set forth in National Security Presidential Memorandum-33 (NSPM-33) and pursuant to Section 10634 of the CHIPS and Science Act of 2022. Training can be completed online via the [SECURE Center](#).

The following individuals from our organization are considered senior or key personnel on this project:

Any work begun and/or expenses incurred prior to execution of a subaward agreement are at the subrecipient's own risk.

Date

Signature of Subrecipient's Authorized Official

**Please submit your completed form to sponsoredprojects@uoregon.edu, or the SPS staff member that initiated the request for completion.*