

SECTION B – SPECIAL REVIEW AND CERTIFICATIONS

3. Research Compliance Information (check as applicable):

Human Subjects will be involved in the Subrecipient's portion of this project.

Please Note: Copies of the Institutional Review Board (IRB) Committee approval and approved "Informed Consent" must be provided before a subaward will be issued.

Animal Subjects will be involved in the Subrecipient's portion of this project.

Please Note: Copies of IACUC approval must be provided before a subaward will be issued

Does the proposal involve research with any of the following (please check all that apply)

Radioactive Materials or Machine Produced Radiation

Potential Biological or Neurotoxin Hazards

Does this study involve the use of materials provided by the sponsor or any other party?

Nanomaterials

Please Note: Copies of IBC approval must be provided before a subaward will be issued

4. Financial Conflict of Interest (check all that apply):

Not applicable because this project is not being funded by PHS or any other sponsor that has adopted federal financial disclosure requirements.

* Link to FDP site for Agencies Using the PHS FCOI Regulations: http://sites.nationalacademies.org/PGA/fdp/PGA_070596

Subrecipient 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 Subrecipient'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 expenditures of any funds under any resultant agreement.

Subrecipient does not have an active and/or enforced conflict of interest policy and hereby agrees to abide by USA's policy.

5. Debarment and Suspension:

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?

No

If yes, please explain:

The organization/institution certifies that it:

is NOT presently debarred, suspended, proposed for debarment, or declared ineligible for award of federal contracts

is NOT presently indicted for, or otherwise criminally or civilly charged by a governmental entity

within three (3) years preceding this offer, has NOT been convicted of or had a civil judgment rendered against them for commission of fraud 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

6. Responsible Conduct of Research:

Project is being funded by NSF, NIH or USDA NIFA. The Subrecipient certifies, if applicable, that it maintains an Institutional Plan to meet the prime sponsor's requirements for the Responsible Conduct of Research

7. Export Control:

Subrecipient is individually responsible for ascertaining its compliance with Federal Export laws and procedures.

By checking this box, Subrecipient certifies that an Export Control Officer, or other Authorized Person, has reviewed the Subrecipients proposal for compliance with Federal Export Control laws. Explain potential problems in the comments section at the end of this form.

SECTION C – AUDIT STATUS

1. Is Subrecipient subject to OMB Uniform Guidance?

Yes – Please complete section a. below

No – Please complete section b. below

a. Most recent fiscal year audit completed:

Year:

URL for the Subrecipient's most recent audit:

Where any Audit Findings reported:

Yes No

If "yes" please provide details in Section E, Comments

b. Does the Subrecipient receive overall 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

If a Subrecipient does not receive a 2 CFR 200.500 audit, USA may require Subrecipient to complete an Audit Certification and a financial status questionnaire as well as a limited scope audit before a subaward will be issued.

SECTION D – PROPOSAL DOCUMENTS

Please attach the following documents and return with this signed form

Statement of Work

Budget and Budget Justification

Other

SECTION E – COMMENTS

SECTION F – AUTHORIZED OFFICIAL APPROVAL

APPROVED BY 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 the prime agency's 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 subrecipient agreement are at the subrecipient's risk.

Signature of Subrecipient's Authorized Official

Date

Name and Title of Authorized Official