

The MU PI (or their designee) should complete Section A. Section B should be filled out by the Subrecipient, specifically someone with knowledge of the planned scope of work, as well as the business practices of the subrecipient organization. Once completed, this form should be signed by the Subrecipient Organization's Authorized Official.

A. PRIME PROPOSAL INFORMATION :		
SPONSOR:	SOLICITATION #:	
MU PI NAME:	MU PROPOSAL #:	MU PROJECT #:
PROJECT TITLE:		

B. SUBRECIPIENT INFORMATION	
1. SUBRECIPIENT'S LEGAL NAME:  ADDRESS (include "+4" zip code):  DUNS #:  EIN #:  CONGRESSIONAL DISTRICT:	2. SUBRECIPIENT PI:  ADDRESS:  PHONE:  FAX:  EMAIL:
3. SUBRECIPIENT BUSINESS/FINANCIAL CONTACT:  ADDRESS:  PHONE:  FAX:  EMAIL:	4. SUBRECIPIENT AUTHORIZED OFFICIAL:  ADDRESS:  PHONE:  FAX:  EMAIL:
5. TYPE OF ORGANIZATION For-profit      Non-profit      Government      Individual      University	

C. REQUIRED PROPOSAL DOCUMENTS AND INFORMATION	
Statement of Work (required)	Budget and Budget Justification (required)
PERIOD OF PERFORMANCE:	TOTAL AMOUNT REQUESTED <small>(excluding Cost Share):</small>
	Cost Share?      Amount Committed:
Biosketches and Other Support	
Other:	

D. APPLICABLE RATES
1. Facilities and Administration (F&A) Rate: _____ % Please check one of the following: Subrecipient's federally-negotiated F&A rate for this type of work. (A copy of the subrecipient's F&A rate agreement must be provided to the University of Missouri before a subaward will be issued.) Other rate (please specify the basis on which the rate has been calculated):

**2. Fringe Benefit Rate:** \_\_\_\_\_%

Please check one of the following:

Consistent with or lower than the subrecipient's federally-negotiated fringe benefit rate. (A copy of the subrecipient's fringe benefit rate agreement must be provided to the University of Missouri before a subaward will be issued.)

Other rate (please specify the basis on which the rate has been calculated):

**E. ASSURANCES**

**1. Debarment, Suspension, Proposed Debarment**

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? If the subrecipient is owned by a parent entity, is the parent entity debarred, suspended, or otherwise excluded from or ineligible for participation in federal assistance programs or activities?

No Yes (please explain):

The organization/institution certifies that it: (answer all questions below)

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

is is not presently indicted, or otherwise criminally or civilly charged, by a governmental entity;

is is not within three (3) years preceding this offer, 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;

is is not within three (3) years preceding this offer, subject to contract(s) termination by any federal agency for default.

**2. Conflict of Interest**

42 CFR Part 50.604 requires that institutions conducting PHS-funded research "*Maintain an up-to-date, written, enforced policy on financial conflicts of interest.*" Further, "*If the Institution carries out the PHS-funded research through a subrecipient (e.g., subcontractors or consortium members), the Institution (awardee Institution) must take reasonable steps to ensure that any subrecipient Investigator complies with this subpart by incorporating as part of a written agreement with the subrecipient terms that establish whether the financial conflicts of interest policy of the awardee Institution or that of the subrecipient will apply to the subrecipient's Investigators.*"

Subrecipient hereby certifies that it has a conflict of interest policy that complies with 42 CFR Part 50, Subpart F, "Responsibility of Applicants for Promoting Objectivity in Research." Subrecipient also certifies that, to the best of the organization/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 a resulting agreement.

Subrecipient does not have a conflict of interest policy that complies with 42 CFR Part 50, Subpart F.

**Note:** The Curators of the University of Missouri will evaluate on a case-by-case basis each proposal including a subrecipient that does not have a conflict of interest policy that complies with 42 CFR Part 50, Subpart F. The Curators of the University of Missouri will not submit to a PHS agency any application including such subrecipients prior to review and resolution.

Not applicable because this project is not funded by the NIH, AHRQ, ATSDR, CDC, FDA, HRSA, IHS, SAMHSA, or any other sponsor that has adopted these federal financial disclosure requirements.

**3. Fiscal Responsibility**

The organization/institution certifies that its financial system is in accordance with generally accepted accounting principles and (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; and  
can prepare appropriate financial statements, including the schedule of expenditures of federal awards.

**4. Audit Status**

Subrecipient receives an annual audit in accordance with OMB Uniform Guidance.

Most recent fiscal year audit completed: \_\_\_\_\_

Were there any findings?  Yes  No

URL for the subrecipient's most recent audit report: \_\_\_\_\_

Subrecipient DOES NOT receive an annual audit in accordance with OMB Uniform Guidance.

Subrecipient is a:    Non-profit entity (under federal-funding threshold)                      Foreign entity  
                                 For-profit entity    Government

**F. CERTIFICATIONS**

**1. Human Subjects**

Will human subjects be involved in subrecipient's portion of this project?

Yes    No

**2. Animal Subjects**

Will animal subjects be involved in subrecipient's portion of this project?

Yes    No

**3. Recombinant DNA:**

Will recombinant DNA be involved in subrecipient's portion of this project?

Yes    No

**4. Stem Cells:**

Will stem cells be involved in the subrecipient's portion of this project?

Yes    No

**5. For Clinical Trials**, please provide the following: maximum patient enrollment, per patient amount, and, if applicable, the Institutional Review Board (IRB) fee required by the Subrecipient.

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

\_\_\_\_\_  
Subrecipient Authorized Official

\_\_\_\_\_  
Date

\_\_\_\_\_  
Printed Name and Title