

## NAU Subrecipient Commitment Form Instructions

In order to obtain information, documents and certifications that are required by the sponsor and NAU, the Subrecipient Commitment Form must be completed and provided to NAU with your proposal submission. The Subrecipient Commitment Form requests only the minimal required information that is needed at the proposal stage. Any additional information that is required for issuance of a subagreement will be requested at the time the prime award is imminent. The following instructions will assist you in completing the form.

### SECTION A (To be completed by NAU)

NAU will complete this section. Sections B through F will be completed by the proposed Subrecipient organization.

### SECTION B (To be completed by the subrecipient)

**The Subrecipient's Legal Name:** is the name of the organization that is used for all official purposes. Please do not enter a nickname or an acronym. The legal name is the name of the legal entity authorized to enter into contracts on behalf of the organization, not a sub-unit of that organization.

**Address:** Please include your organization's legal business address.

**DUNS Number:** The DUNS number is a nine-digit number, issued by Dun and Bradstreet (D&B), assigned to each business location in the D&B database, and having a unique, separate, and distinct operation for the purpose of identifying them.

**Employment Identification Number (EIN):** This number is also known as a Federal Tax Identification Number and is used to identify a business entity.

**Principal Investigator Contact Information:** Please provide the name of your organization's Principal Investigator and contact information.

**Administrative/Contractual Contact Information:** Please provide the contact information of your organization's administrative contact.

**Debarred/ineligible determination.** If "Yes" to either question, please notify the OSP contact in Section A immediately.

**The System for Award Management (SAM)** is a federal government owned and operated free web site that replaced the Central Contractor Registry (CCR). SAM collects data from all entities who do business with the federal government. An organization must be registered in SAM to receive federal funds.

### SECTION C (To be completed by the subrecipient)

Please provide the Statement of Work, Detailed Budget and Budget Justification.

### SECTION D (To be completed by the subrecipient)

Please provide the requested information on the Facilities and Administrative Rate used in your budget and if the proposal will be PHS (Public Health Service) funded, your organization's Conflict of Interest Policy.

- 1. Facilities and Administrative Rates.** A "federally negotiated F&A rate" means that an agency of the U.S. federal government has reviewed the organization's indirect cost proposal and has agreed in writing that the organization may charge the U.S. federal government a certain percentage of direct project costs for F&A (indirect) costs. If your organization has an F&A rate approved by a U.S. federal agency, please attach a copy of your F&A agreement to the Subrecipient Commitment form or provide a webpage link to this information. If your organization will be receiving funds under a federal award, and you do not have a federally negotiated F&A rate, your organization can only include a maximum rate of 10% on Modified Direct Costs. If your organization 1) is not receiving federal funds for this project, 2) does not have a U.S. federally negotiated F&A rate, and 3) plans to charge for indirect costs, please attach an explanation as to how this rate was derived.
- 2. Conflict of Interest:** The subrecipient must review and determine the Conflict of Interest policy that the organization will follow.

**SECTION E (To be completed by the subrecipient)**

If applicable to this project, please provide the requested information.

1. **Human Subjects:** If your organization will be carrying out human subjects' research under the subagreement with NAU, mark "Yes," on the form. Provide the date that your organization's Institutional Review Board (IRB) approved the research or determined the research to be exempt. If the IRB review is still pending, write "Pending." If this proposal is being submitted to the National Institutes of Health (NIH) all of the key personnel on the project must receive human subjects' research training. Answer "Yes" if all of the key personnel have complied with this training requirement.
2. **Animal Subjects:** If your organization will be carrying out animal research under the subagreement with NAU, mark "Yes," on the form. Provide the date the animal research was approved by a registered Institutional Animal Care and Use Committee (IACUC), and provide the IACUC number. If such a review is pending, write "pending."

**SECTION F (To be completed by the subrecipient)**

Non-Federal entities that expend \$750,000 or more in Federal awards over a one-year period shall have a single or program-specific audit conducted for that year in accordance with the provisions of Uniform Guidance 200.501. If your organization is subject to 200.501, you must provide a copy of your most recent 200.501 audit report or a URL link to a copy of the report. If your organization does not meet the Single Audit requirements and additional information is required, the NAU OSP administrator will contact your organization for completion of the NAU Audit Certification Form.

**SUBRECIPIENT AUTHORIZED APPROVER**

The Authorized Official is an individual authorized by an organization to sign and commit the organization to a request, proposal, or other document that has been or is to be submitted to the sponsor while providing the required certifications for this signed document.

If you have any additional questions, please contact the NAU OSP contact included in Section A.