Guidance on how to complete this form is found at: http://www.gallaudet.edu/office-of-sponsored-programs/forms#sub

# SECTION A: Gallaudet Proposal Information

## Name of Gallaudet PI: Department:

## Prime Sponsor: Title of Proposal: Gallaudet Period of Performance: From: / / To: / /

**Proposed Period of Performance of Subrecipient (if different): From:**  / / **To:** / /

**SECTION B: Subrecipient Eligibility**

Dear (Potential) Subrecipient:

Any organization planning to enter into a collaborative subrecipient relationship with Gallaudet must complete this form at the proposal stage. Please answer the following questions to determine if a formal subrecipient partnership can be established between your organization and Gallaudet. This form will be considered valid for one year from the date of signature by your organization’s Authorized Official.

## Please answer the following questions BEFORE completing the rest of the form.

**Yes No** Is your organization presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in any Federal department or Agency?

**Yes No** Is your organization delinquent on repayment of any Federal debt including direct and guaranteed loans and other debt as defined in OMB Circular A-129, “Managing Federal Credit Programs”?

## If you answered “Yes” to either of the above questions it will not be possible to establish a subagreement with your organization and you need not complete the remaining sections of this form. Please notify the Gallaudet Principal Investigator (PI) as soon as possible.

**SECTION C: Subrecipient Requirements and Responsibilities**

Gallaudet views a subrecipient organization as a true partner in carrying out a sponsored project. The requirements and responsibilities of a Gallaudet subrecipient are different from that of a vendor/supplier. The following chart outlines the differences:

|  |  |
| --- | --- |
| **Subrecipients** | **Suppliers/Vendors** |
| 1. Subrecipient’s PI (named in Section D below) will take a significant role in programmatic decision making and assist the Gallaudet PI achieving the project’s goals and objectives.
2. Subrecipient will be subject to all of the compliance requirements from the prime award that are pertinent to the subrecipient, e.g., effort reporting on federal awards.
3. Subrecipient will be expected to provide a complete copy of the subrecipient’s most recent audit report, or the URL link to a complete copy, before a subagreement can be established.
 | 1. Provides routine goods and/or services to other customers or clients and/or
2. Provides goods or services developed according to the specifications of the Gallaudet PI and/or
3. Provides personnel services that are primarily advisory in nature and/or
4. Provides other ancillary services related to the sponsored project per the instructions of the Gallaudet PI.
 |

**Yes No** My organization is properly categorized as a subrecipient as described above and agrees to the project roles, compliance responsibilities, and audit requirements listed above.

## If “No,” please contact the Gallaudet PI about procuring your organization’s products and services as a supplier/vendor.

**SECTION D: Subrecipient Information**

|  |  |
| --- | --- |
| **Legal Name:**  | **DUNS #:** (Dun & Bradstreet) |
| **Organization’s Address: Include ZIP Code +4 or other postal code:** | **Congressional District: (if in U.S.)** |
| **Performance Site Address (if different from above): Include ZIP Code +4 or other postal code:** | **Congressional District: (if in U.S.)** |
| **Domestic Organizations:****Federal Employer Identification Number (EIN): Registered in SAM? Yes No Expiration Date:** / / **CAGE Code:** (Commercial and Government Entity) | **International Organizations:****NAIS Code:** (North American Industry Classification System)**(NCAGE) Code:**  |

**Executive Compensation (complete when collaborating on a U.S. federal project only):**

**Yes No** During the previous fiscal year my organization received eighty percent (80%) or more of its annual gross revenues in federal awards AND twenty-five million dollars ($25M) or more in annual gross revenues from federal awards.

**Yes No** My organization regularly reports information on the compensation of its senior executives in response to section 13(a) or 15 (d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78(d) or section 6104 of the Internal Revenue Code of 1986?

## Name of Subrecipient’s Project Director/PI (Required): Phone: Email: Amount of Funding Requested by Subrecipient: $ Cost Sharing Provided by Subrecipient (if applicable): $

**SECTION E: Proposal Documents**

The following documents are included in our proposal submission and covered by the certifications below. (Check those that apply.)

## STATEMENT OF WORK (must describe the subrecipient’s specific role within the Gallaudet project) (required in all proposals)

**BUDGET (required in all proposals)**

**NARRATIVE BUDGET JUSTIFICATION (required in all proposals)**

BIOSKETCHES OF KEY PERSONNEL, in agency-required format (if required by agency) SMALL/SMALL DISADVANTAGED BUSINESS SUBCONTRACTING PLAN, in agency-required format

(for federal subcontract budgets over $650,000 only)

JUSTIFICATION OF “MAJOR PROJECT” STATUS (for federal projects only)

OTHER:

**SECTION F: Certifications**

 **1. Facilities and Administrative Rates** included in this proposal have been calculated based on (check as applicable):

Our federally negotiated F&A rates for this type of work, or a reduced F&A rate that we hereby agree to accept.

*(If this box is checked, please attach a copy of your F&A rate agreement or provide a URL link to the agreement below.)*

URL: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Other rates (please attach a description of the basis on which the rate has been calculated)

Not applicable—subrecipient is not requesting payment of F&A costs

 **2. Fringe Benefit Rates** included in this proposal have been calculated based on (check as applicable):

 Rates consistent with or lower than our federally negotiated rates

*(If this box is checked, please attach a copy of your organization’s composite employee rate projections or your*

*federally negotiated rate agreement. Alternatively provide a URL link to this information.)*

URL: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Other rates (please attach a description of the basis on which the rates have been calculated)

 **3. Research Subject Compliance Information** (check as applicable):

Yes No Human Subjects will be involved in the subrecipient’s portion of this project

 If “Yes,” please provide your organization’s OHRP approved FWA #: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

 (If your organization does not have an FWA #, attach an explanation on how your organization will comply

 with U.S. federal regulations and policies for the protection of human subjects.)

 Yes No Animal Subjects will be involved in subrecipient’s portion of this project

 (If “Yes,” provide a copy of IACUC approval to the Gallaudet PI as soon as it is available. IACUC

 approval is required before a subagreement will be issued.)

 **4. Responsible Conduct of Research (RCR) (for NSF-funded projects only):**

Yes No My organization certifies that it has an Institutional Plan to meet NSF’s Educational Requirements for

 the Responsible Conduct of Research, as required under the “America COMPETES Act” PUBLIC

 LAW 110-69-August 9, 2007.

Yes No My organization certifies that it has a training program in place and will train all undergraduate and

 graduate students and postdocs in accordance with NSF’s RCR requirements.

 **5. Lobbying (for U.S. federal projects only):**

Yes No My organization certifies that no payments have been paid or will be paid to any person for influencing

 or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or

 employee of Congress, or an employee of a Member of Congress in connection with this proposed

 project. (If “No,” attach explanation.)

 **6. Conflict of Interest:**

As of August 24, 2012, the Public Health Service (PHS) FCOI policy is separate and distinct from that of the National Science

Foundation (NSF). Please respond to each of the following separately.

**NSF (or other sponsors that have adopted the NSF financial disclosure requirements) only** (check as applicable):

Subrecipient Organization/Institution 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 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 any

resultant agreement.

Subrecipient does not have an active and/or enforced conflict of interest policy and agrees to abide by GU’s policy, located at https://www.gallaudet.edu/administration-and-finance/administration-and-operations-manual/210-objectivity-in-research-and-investigator-financial-disclosure.

 **PHS (or other sponsors that have adopted the PHS financial disclosure requirements) only** (check as applicable):

My organization does have a PHS-compliant Financial Conflict of Interest (FCOI) policy and my organization will rely on

this policy and associated procedures to comply with PHS Conflict of Interest regulation.

**Yes No** We are registered as an organization with a PHS-compliant FCOI policy with the FDP Clearinghouse:

 http://thefdp.org/default/fcoi-clearinghouse/compliant-entities/.

My organization does NOT have a PHS-compliant Financial Conflict of Interest (FCOI) policy.

**Yes No**  My organization agrees to rely on Gallaudet’s FCOI policy and procedures to comply with PHS

 Conflict of Interest regulations.

Note: Organizations checking this option are required to follow Gallaudet’s COI and FCOI guidance at. https://www.gallaudet.edu/administration-and-finance/administration-and-operations-manual/210-objectivity-in-research-and-investigator-financial-disclosure.

 **7. Additional Debarment and Suspension Information** (check as applicable):

 **Yes No** Is the PI (or any other employee/student planning to participate in this project) debarred, suspended or

 otherwise excluded from or ineligible for participation in federal assistance programs or activities? (If

 “Yes,” attach explanation.)

 **Yes No** Is the organization presently indicted for, or otherwise criminally or civilly charged by a government

 entity? (If “Yes,” attach explanation.)

 **Yes No**  Has the organization within three (3) years preceding this offer, had one or more contracts terminated

 for default by any federal agency? (If “Yes,” attach explanation.)

**8. Audit Status / Fiscal Responsibility**:

 **Yes No**  Does your organization receive an annual audit in accordance with OMB Circular A-133?

 If “No,” please indicate why your organization is not subject to A-133 audit requirements:

 My organization is a non-profit that expended less than $750,000 in U.S. federal funds during our

 previous fiscal year.

 My organization is a foreign entity.

 My organization is a for-profit entity.

 My organization is a U.S. government entity.

Please note: Your organization will be required to confirm that it still is not subject to A-133 audit requirements and fill out a

mini-audit questionnaire prior to the establishment of a subagreement. When applying for funds from agencies under the U.S. Department of Health and Human Services foreign organizations and for-profits that have expended a total of $500,000 or more under one or more awards from the U.S. Department of Health and Human Services (as a direct grantee and/or under a consortium participant) will be required to have a financial-related audit of all HHS awards as defined in, and in accordance with, the Government Auditing Standards or an audit that meets the requirements of OMB Circular A-133.

**If “Yes,” respond to the following**:

 **Yes No Has your organization’s A-133 audit been completed for the most recent fiscal year?**

 **Yes No Were there any findings or exceptions noted? If “Yes” attach an explanation.**

Please note: Your most recent A-133 audit report will be requested prior to the establishment of a subagreement.

**9. For-Profit Organizations (only):**

 Yes No Subrecipient represents that it is a small business concern as defined in 13 CFR 124.1002.

**If “Yes”**: Subrecipient represents that it is a (check as applicable):

 Small/Small disadvantaged business as certified by the Small Business Administration

 Women-owned small business concern

 Veteran-owned small business concern

 Service-disabled veteran-owned small business concern

 HUBZone small business concern

 Other:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

 **SECTION G: Authorized Representative Approval**

|  |
| --- |
| 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. No work involving human subjects and/or animals may begin until the subrecipient has obtained registered Institutional Review Board and/or Animal Care and Use Committee review and approval.  |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Signature of Subrecipient's Authorized OfficialDate: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Full Name and Title of Authorized Official:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Email: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Phone: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | If Subrecipient is owned or controlled by a parent entity, please provide the following information:Parent Entity Legal Name:Parent Entity Address, City, State, ZIP+4Parent Entity Congressional District: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Parent Entity DUNS: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Parent Entity EIN: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |