

All Subrecipients are required to complete this form when submitting a proposal to UC San Diego.
 For more information, visit the [Outgoing Subawards](#) web page.

SUBRECIPIENT CONTACT INFORMATION	
Institution Legal Name:	
Address:	
Congressional District:	
FEIN (Not applicable for foreign institutions):	
DUNS:	Current SAM Registration(Required): <input type="checkbox"/> Yes <input type="checkbox"/> No
Parent Institution Name (if applicable):	
PI Name:	
PI Dept:	
PI Email:	
Authorized Official:	
Title:	
Address:	
Phone:	
Email:	

PROPOSAL INFORMATION	
Sponsor:	RFA/RFP/PAR #:
Submitted Proposal Title:	
Requested Amount:	
Performance Period Begin Date:	End Date:

APPROVED FOR SUBRECIPIENT
<p><i>The information, certifications, and representations have been read, signed, and made by an authorized institutional official of the Subrecipient named herein. The appropriate programmatic and administrative personnel involved in this application are aware of sponsor 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. The Subrecipient has reviewed the solicitation or funding announcement to verify Subrecipient ability to comply with prime sponsor's requirements currently available.</i></p>
Institutional Official's Signature _____ Date _____
Print Name: _____ Title: _____

SECTION A – Proposal Checklist and Documents

- Statement of Work is attached (required).
- Budget and budget justification is attached (required).
- If cost sharing is proposed, provide cost share documentation/commitment letter.
Cost share amount \$ _____
- If applicable, provide justification of major project status for federal projects.

SECTION B – Subrecipient Eligibility

1. Debarment, Suspension, Proposed Debarment

The Subrecipient organization certifies the following (on its behalf and/or on behalf of any of its personnel on this project):

- (A)** (**are** **are not**) presently debarred, suspended, proposed for debarment, or otherwise excluded from or ineligible for participation in federal assistance programs, contracts, or activities.
- (B)** (**have** **have not**) within three (3) years preceding this offer, has 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.
- (C)** (**are** **are not**) a 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”.
- (D)** (**are** **are not**) presently indicted for or otherwise criminally or civilly charged by a governmental entity.
- (E)** (**have** **have not**) within three (3) years preceding this offer, had one or more contracts terminated for default by any federal agency.

(If answered in the affirmative, please explain here –Add box)

Subawards are prohibited to any entity or individual who have active exclusions in SAM-System Awards Management (Formally the Federal Excluded Parties List). If you have answered in the affirmative or have any questions, please notify the UC San Diego Principal Investigator (PI) and subawards@ucsd.edu as soon as possible.

2. Government Entities

- Yes No Is the Subrecipient a US federal government entity? *If Yes, as there are restrictions on US federal government entities receiving subawards from federal assistance awards please notify the UC San Diego Principal Investigator (PI) and subawards@ucsd.edu as soon as possible. For more information please see the instructions.*

3. For-Profit/Commercial Entities

- Yes No Is Subrecipient a for-profit or commercial entity?

If Yes:

- Yes No The goods and/or services we will provide under this transaction will be comparable to the goods and/or services we provide to many different customers during the course of our normal business operations.
 - **If No**, please describe in Section F (Comments) how these goods and/or services will differ from those offered to other customers and any potential role as an inventor.

Note: Vendors are not subject to many of the flow-down provisions required of Subrecipients (e.g., effort reporting under a federal award). It is essential that the work provided by any for-profit/commercial Subrecipient be classified appropriately.

4. Foreign Entities

- Yes No Is the Subrecipient a foreign entity?

If Yes, list country/countries:

5. Subrecipient Business Status, For-Profit organizations (leave blank if not applicable):

- Large business Small Business Alaska Native Corporation (ANC) (43USC 1601)
 Historic Black College or University/Minority Institution

If a small business, identify business classification (*certified by the Small Business Administration):

- Small Disadvantaged Business (SDB)* (8a)* Women-owned small business (WOSB)
 Veteran-owned small business (VOSB) Service-disabled veteran-owned business (SDVOSB)
 HUBZone small business*

SECTION C – Budget and Rates

1. Facilities and Administrative (F&A) Rates included in this proposal have been calculated based on:

- Our federally negotiated F&A rates for this type of work. *(Please provide a copy of your F&A rate agreement or a URL link to the agreement is to be furnished to UC San Diego before a subaward will be issued.)*
- Other rates
 - Based on specific solicitation guidance/agency requirements
 - Defense Contract Audit Agency (DCAA) approved rate
 - Other :
- Not applicable (no indirect costs are requested by Subrecipient).

2. Fringe-Benefit Rates included in this proposal have been calculated based on the following:

- Rates are consistent with or lower than our federally negotiated rates. *(If this box is checked, a copy of your FB rate agreement or a URL link to the agreement is to be furnished to UC San Diego before a subaward will be issued.)*
- Based on actual rates.
- Other- (Please insert comments in section F)

3. Actual Costs

- Yes No Are the labor and related direct costs rates in the budget based on actual exact costs? *If No, please notify the UC San Diego Principal Investigator (PI) and subawards@ucsd.edu as soon as possible. Please see instructions for further information.*

4. Profit

- Yes No Are you proposing a profit or a fee? If yes, show separately in budget. *If Yes, please notify the UC San Diego Principal Investigator (PI) and subawards@ucsd.edu as soon as possible. Please see instructions for further information.*

SECTION D – Research Compliance

1. Yes No Will there be Human Subjects research?

If Yes, Indicate the status of IRB Review: Approved Pending Exempt

Approval Date:	Expiration Date:
IRB Number:	
Federal Wide Assurance (FWA) Number:	

**A copy of the IRB approval is to be provided before a subaward will be issued. If Human Subjects are involved, and you do not have an Institutional Review Board or a Federal Wide Assurance Number, please provide an explanation in Comment Box Section F.*

2. Yes No Will there be **Animal Subjects** research?

If Yes, Indicate the status of IRB Review: Approved Pending

Approval Date:	Expiration Date:
IACUC Number:	
PHS Animal Welfare Assurance (OLAW) number:	
Is your organization/institution AAALAC accredited? <input type="checkbox"/> Yes <input type="checkbox"/> No	
AAALAC number:	

**A copy of the IACUC approval is to be provided before a subaward will be issued. If Animal Subjects are involved, and you do not have an IACUC Institutional Review Board or do not have a PHS Animal Welfare Assurance number, please provide an explanation in Comment Box Section F.*

3. Conflict of Interest - applicable to DHHS (e.g., NIH, CDC, HRSA, etc.), NSF, and any other sponsor that has adopted the federal financial disclosure requirements.

- Not applicable because this project is not being funded by DHHS, NSF, or any other sponsor that has adopted the federal financial disclosure requirements. For a list of entities that have adopted the [PHS FCOI policy](#).
- Subrecipient organization/institution 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 Institution's knowledge (1) all financial disclosures have been made related to the activities that may be funded by or through a resulting agreement, as 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 resulting agreement.
- Subrecipient does not have an active and/or enforced conflict of interest policy and hereby agrees to abide by [UC San Diego's policy](#).

SECTION E - Audit Status

Yes No Does the Subrecipient receive an annual audit in accordance with OMB Circular A-133?

• **If Yes:**

(A) In what year was the most recent audit completed?

(B) Yes No Were any audit findings reported? (if Yes, explain in Section E)

A complete copy of the Subrecipient's most recent audit report, or the URL link to a complete copy, is to be furnished to UC San Diego.

• If No:

(A) Yes No Does the Subrecipient receive overall federal funding of at least \$500,000 per year?

(B) Subrecipient is a:

- Non-profit entity (under federal funding threshold)
- Foreign entity
- For-profit entity
- Government entity

(C) Yes No Does your organization have its financial statements reviewed by an independent public accounting firm, receive a DCAA audit, or have any similar type of audit or review? (If Yes, please attach a copy)

SECTION F – Comments
