

Subrecipient Commitment Form

Each subrecipient should complete this form when submitting a subaward proposal to the Colorado School of Mines (Mines). This form should be signed by an authorized official and returned along with the requested documents.

Subrecipient's Legal Name		
Legal Address		
City	State	Zip+4
DUNS Number	EIN (Tax ID Number)	
Congressional District	Prime Sponsor	
Proposal Title		
Total Subrecipient Funds Requested (US Dollars) \$		
Sub Reference Number		Mines' Reference Number

Place of Performance (if different than above)		
Address		
City	State	Zip+4

Subrecipient Contact Information

<p>Administrative Contact (responsible for Subaward processing)</p> <p>Name: Telephone: Email:</p>
<p>Principal Investigator</p> <p>Name: Telephone: Email:</p>
<p>Financial Contact</p> <p>Name: Telephone: Email:</p>
<p>Authorized Official</p> <p>Name: Telephone: Email:</p>

Proposal Documents

The following documents are included as part of our subaward proposal submission, which is compliant with the prime sponsor's guidelines:

- Statement of Work (required)
- Budget (required)
- Justification (required)
- Small Business Subcontracting Plan – if required by Prime Sponsor
- Biosketches of all Key Personnel
- Other:

Compliance & Certifications

- 1. Facilities and Administrative Rates (F&A)** included in this proposal have been calculated based on:
- Our federally-negotiated F&A rates
 - Other rates (please specify rate and rationale in *Comments* below)
 - Not applicable (no indirect costs)

URL (or attach a copy):
 Comments:

- 2. Fringe Benefit Rates** included in this proposal have been calculated based on:
- Rates consistent with or lower than our federally-negotiated rates
 - Other rates
 - Not applicable (no fringe benefits)

URL (or attach a copy):
 Comments:

- 3. Cost Share (Match)** Yes No Type of Cost Share: Cash Inkind
- Amount: \$ _____
- Cost sharing must be included in subrecipient’s letter of commitment, budget and budget justification. Third party cost share should be included in a letter of support and signed by their authorized representative.

- 4. Human Subjects:** Yes No
- Check Yes if proposal includes surveys, interviews, observations, or secondary data

If Yes: Have all key personnel involved completed Human Subjects Training?

Yes No

If Yes, a copy of the Institutional Review Board (IRB) or Ethics Committee approval and approved “Informed Consent” form must be provided in advance of an issued subaward. If pending, obtain approval and forward the documents to Mines’ PI and ora@mines.edu.

- 5. Animal Subjects:** Yes No
- If Yes, a copy of the IACUC Committee approval must be provided in advance of an issued subaward. If pending, obtain approval and forward the documents to Mines’ PI and ora@mines.edu.

- 6. System for Award Management (SAM.GOV)**
- Is the subrecipient currently registered in the System for Award Management?
- Yes: Expiration Date _____

No: SAM.gov registration is required, register at <https://sam.gov/SAM/>

7. Debarment and Suspension

Subrecipient certifies it:

- | | | |
|-----|---------|---|
| Is | Is Not | Presently debarred, suspended, proposed for debarment, or declared ineligible for award of federal contract. |
| Is | Is Not | Presently indicted for, or otherwise criminally or civilly charged by a government entity. |
| Has | Has Not | Within three (3) years preceding this offer, been convicted of or had a civil judgement rendered against them for commission of fraud or criminal offense in connect with obtaining, attempting to obtain, or performing a public (federal, state or local) contract or subcontract: violation of Federal or Statue antitrust statutes relating to the submission of offers: or commission of embezzlement, theft, forgery, bribery, falsification of destruction of records, making false statements or receiving stolen property. |
| Has | Has Not | Within three (3) years preceding this offer, had one or more contracts terminated for default by any federal agency. |
| Has | Has Not | Within three (3) years preceding this offer, been notified of any delinquent Federal taxes in an amount that exceeds \$2,000 which liability remains unsatisfied. |

8. Subrecipient Conflict of Interest Policy

Subrecipient certifies it has an active and enforced conflict of interest policy that is consistent with 42 CFR Part 50, Subpart F “Responsibility of Applicants for Promoting Objectivity in Research.” Subrecipient also certifies to the best of its knowledge, all financial disclosures have been made related to the activities that may be funded 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 agrees to abide by Colorado School of Mines’ policy and procedures at:

<https://inside.mines.edu/Conflict-of-Interest>.

9. Affirmative Action

In accordance with the rules and regulations of the Secretary of Labor (41 CFR 60-1 and 60-2), if your organization has more than 50 employees and subaward will be for \$50,000 or more, you are required to have a written affirmative action program.

Yes, we have a written affirmative action program developed and on file

No, we do not have a written affirmative action program

Not applicable, our organization has less than 50 employees or anticipates receiving a subaward amount less than \$50,000.

Other:

10. Audit Status Yes No

Subrecipient is subject to an annual audit in accordance with 2 CFR 200 Subpart F

URL (or attach a copy of the most recent audit):

Most recent audit completed in Fiscal Year _____

Were any audit findings reported? Yes No

If yes, explain

Subrecipient is not subject to 2 CFR 200 Subpart F because our organization is a:

- Non-profit entity Foreign entity
- For-profit entity Government entity

11. Federal Funding Accountability and Transparency act (FFATA)

The names and total compensation of the five most highly compensated officers of the Subrecipient must be provided if, in the preceding fiscal year, the Subrecipient received:

- 80% or more of its annual gross revenues in federal awards (federal contracts, (and subcontracts), loans, grant (and subgrants) and cooperative agreements); AND
- \$25,000,000 or more in annual gross revenues from federal awards; AND
- the public does not have access to information about the compensation of the senior executives of the entity through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986.

Is subaward exempt from reporting executive compensation? Yes No If no, provide:

Officer 1 Name	
Officer 1 Compensation	
Officer 2 Name	
Officer 2 Compensation	
Officer 3 Name	
Officer 3 Compensation	
Officer 4 Name	
Officer 4 Compensation	
Officer 5 Name	
Officer 5 Compensation	

Comments

Provide additional comments/information:

Subrecipient certifies:

- Federal funds have not and will not be paid to influence or attempt to influence a Federal employee and is compliant with Section 1352, Title 31 US Code;
- Compliance with the Drug Free Workplace Act of 1988 (41 USC 702);
- It a harassment-free research workplace, has a nondiscrimination policy, and these policies extend to research at the organization, field-site, or anywhere research is conducted; and
- It has a responsible conduct of research training plan that is consistent with agency requirements.

Subrecipient Authorized Approval

The information, certifications, and representations above have been read, signed, and made by an authorized official of the Subrecipient Organization.

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

_____	_____
Signature of Subrecipient's Authorized Official	Date
_____	_____
Name and Title of Authorized Official	Phone