

All subrecipients are required to complete and return this form to The University of Southern Mississippi pre-award contact listed in the table below. This form provides a checklist of documents and certifications required by prime sponsors and it must be signed by the subrecipient's authorized representative prior to submission.

To be completed by The University of Southern Mississippi			
PI Name		PI Email	
Pre-Award Contact Name		Pre-Award Contact Email	
Prime Sponsor	Start Date	End Date	Solicitation No
Proposal Title			

PART I - To be completed by all subrecipients

Institution

Institution's Legal Name			
Address		City	State
Zip+4			
EIN	UEI	Congressional District	Institution Type
Registered in SAM?	Yes	No	Check if institution is:
			Less than or equal to 5 years old
			HUB-Zone or small disadvantaged business
Administrative Contact Name		Administrative Contact Email	
Financial Contact Name		Financial Contact Email	

Performance Site Address

Address same as above?	Yes	No	<i>If no, provide performance site address below.</i>
Address		City	State
Zip + 4	UEI	Congressional District	

Subrecipient PI

Subrecipient PI Name	Department	Phone
E-mail	eRA Commons user name	<i>NIH proposals only</i>

Subrecipient Budget Request

Total \$	Direct \$	F&A \$	Cost-sharing \$ <i>Must be in budget and budget justification</i>
Participant Support \$:	Yes	No	Program Income: Yes No

Compliance Information

Human Subjects:	Yes	No	Vertebrate Animals:	Yes	No	Export Control: Do you anticipate the use or development of items, software, or technology that would require review under Export Control laws? Yes No Unknown at this time
Institutional Assurance No.			Animal Welfare Assurance No.			
Approval Pending?	Yes	No	Approval Pending?	Yes	No	
Approval Date <i>if approved</i>			Approval Date <i>if approved</i>			

Responsible Conduct of Research (RCR)

Only check if appropriate.

Not applicable. This proposal is not being submitted to NSF, NIH or USDA-NIFA.

If NSF, subrecipient institution certifies that it maintains an institutional plan which is compliant with NSF's Responsible Conduct of Research (RCR) requirement.

If NIH, subrecipient institution certifies that for NIH training and fellowship awards, the subrecipient will monitor and maintain records for the individual training plans in accordance with NIH 's RCR training requirements.

If USDA-NIFA, subrecipient institution certifies that it will comply with the "Responsible and Ethical Conduct of Research" requirements of the USDA-NIFA Agency-Specific Terms and Conditions.

Proposal Documents

Scope of Work (Required)	Facilities and Other Resources
Budget and Justification (Required)	Other
Biographical Sketches	Other

FDP Clearinghouse

Does the subrecipient maintain an organization profile in the [Federal Demonstration Partnership \(FDP\) Clearinghouse](#)?

Yes If Yes, sign below and return the form to the pre-award contact listed in the table on page 1.

No If No, complete Part II of this form prior to signature.

Subrecipient Approval

With signature that follows, the Authorized Official certifies the information on this form is true and correct. Further, the appropriate programmatic and administrative personnel involved in this application are aware of sponsoring agency policy regarding subawards and are prepared to establish an inter-institutional agreement 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 or animal subjects may begin until the Subrecipient has obtained appropriate compliance approvals. The Subrecipient has reviewed the solicitation or funding announcement and verifies its ability to comply with prime sponsor requirements.

Authorized Official Name

Signature of Authorized Official

Title

Date Signed

PART II – To be completed by subrecipients NOT participating in the FDP Clearinghouse.

For a list of participating institutions see <https://fdpclearinghouse.org/organizations>

Certifications

1. **Indirect Cost (IDC) Rates** included in this proposal have been calculated based on the following:

Our federally negotiated IDC rate for this type of work.

De minimis MTDC rate (15%).
NIH will continue to reimburse IDC to foreign and international organizations at a rate of 8% MTDC less only equipment.

A reduced IDC rate dictated by the prime sponsor that we hereby agree to accept.

Not applicable.
Indirect costs are not allowable or are not requested as part of the subrecipient budget.
2. **Fringe Benefit Rates** included in this proposal have been calculated based on the following:

Rates are consistent with our federally negotiated rates.

Other rates.
Please specify in the Comment section below the basis on which the rate has been calculated.

Not applicable.
Fringe benefit costs are not allowable and/or are not requested as part of the subrecipient budget.
3. **Financial Conflict of Interest (FCOI)**

Not applicable because this project is not being funded by PHS (NIH, CDC, AHRQ, etc.), NSF, USDA-NIFA, or any other sponsor that has adopted the federal financial disclosure requirements.

Subrecipient certifies that it has an active and enforced conflict of interest (COI) policy consistent with 42 CFR Part 50, Subpart F, "Responsibility of Applicants Promoting Objectivity in Research."

Subrecipient does not have an active and/or enforced COI policy but will have a PHS compliant policy in place and published at the time of award.

Subrecipient does not have an active and/or enforced COI policy and wishes to comply with USM's FCOI policy located [here](#).
4. **Debarment, Suspension, Proposed Debarment**

Is the PI or any other employee or student participating in this proposal, debarred, suspended or otherwise excluded from or ineligible for participation in federal assistance programs or activities?

Yes If Yes, please explain in the Comments section below.

No

The subrecipient Organization:

is	is not	presently debarred, suspended, proposed for debarment, or declared ineligible for award of federal grants and contracts.
is	is not	presently indicted for, or otherwise criminally or civilly charged by a government agency.
has	has not	within three (3) years preceding this offer, 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 commissions of 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.
has	has not	within 3 years preceding this offer, had one or more contracts terminated for default by any federal agency.
- Office of Research Support and Development, 118 College Drive, #5157, Hattiesburg, MS 39402 Email: ORA-PAM@usm.edu

Audit Information

Does the subrecipient receive and annual audit in accordance with [2CFR200 Subpart F](#)?

Yes

No

If Yes: Please provide a copy of your institution's most recent audit report, or the URL to a completed copy.

Has the audit been completed for the most recent fiscal year?

Yes

No

Were any audit findings reported? If Yes, please add comments below.

Yes

No

If No: Does your institution expend overall federal funding of at least \$1,000,000 per year?

Yes

No

Is the subrecipient a:

Non-profit entity expending less than \$1,000,000 per year in Federal funds

For-profit entity that expends federal funds and has a DCAA audited rate

For-profit entity that does not expend Federal funds or have annual audits

Foreign entity

If a for-profit entity, is the Subrecipient a:

Small business

Large business

Comments

Subrecipient Approval

With signature that follows, the Authorized Official certifies the information on this form is true and correct. Further, the appropriate programmatic and administrative personnel involved in this application are aware of sponsoring agency policy regarding subawards and are prepared to establish an inter-institutional agreement 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 or animal subjects may begin until the Subrecipient has obtained appropriate compliance approvals. The Subrecipient has reviewed the solicitation or funding announcement and verifies its ability to comply with prime sponsor requirements.

Authorized Official Name

Signature of Authorized Official

Title

Date Signed