



**University of Colorado Boulder - Office of Contracts and Grants
Subrecipient and Subcontractor Commitment Form**

Each subrecipient or subcontractor (Organization) shall include this form when submitting a proposal to the University of Colorado Boulder (CU BOULDER). It provides a checklist of documents and certifications required by sponsors. This form shall be signed by the authorized official at the institution or organization.

Organization's Legal Name _____	Organization's PI Name _____
Street Address _____	Email Address _____
City _____	Telephone Number _____
State / Country _____	
Zip Code + 4 _____	
DUNS Number _____	Organization's Admin. Name _____
TIN _____	Email Address _____
Congressional District _____	Telephone Number _____

Proposal Title _____

Prime Sponsor _____

CU-Boulder PI _____

Period of Performance Start Date _____ End Date _____

SECTION A – Proposal Documents

The following documents are included in our proposal submission and covered by the certifications below (check as applicable):

- TECHNICAL PROPOSAL or STATEMENT OF WORK as appropriate** (required)
- BUDGET OR COST PROPOSAL AND SUPPORTING JUSTIFICATION** (required)
- Small/Small Disadvantaged Business Subcontracting Plan, in agency-required format
- Biosketches of all Key Personnel, in agency-required format
- Management and Capability Assessment
- Other: _____

SECTION B - Certifications

1. **Overhead Rates** (e.g. F&A, G&A, IDC, etc) included in this proposal have been calculated based on:

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.)

Other rates (please specify the basis on which the rate has been calculated in *Comments* below)

Not applicable (no indirect costs)

2. **Fringe Benefit Rates** included in this proposal have been calculated based on:

Rates consistent with or lower than our federally-negotiated rates
(If this box is checked, please attach a copy of your FB rate agreement or provide a URL link to the agreement.)
Other rates (please specify the basis on which the rate has been calculated in *Comments* below).

3. **Small Business Concern** Yes No

Organization represents that it is a small business concern as defined in 13 CFR 124.1002.

If "Yes": Organization represents that it is a:

- 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

4. **Cost Sharing** Yes No **Amount:** _____

Cost sharing amounts and justification should be included in the Organization's proposal

5. **Human Subjects** Yes No **Determination of Exemption or IRB Approval Date:** _____ **and IRB Number:** _____ Pending

(Note: Surveys, interviews, observations, or use of secondary data may be human subject research. Contact your local IRB office for guidance.)

If "Yes": Copies of the IRB approval and approved "Informed Consent" form must be provided before any subaward will be issued. Please forward these documents to CU BOULDER's PI and CU BOULDER's Office of Contracts and Grants as soon as they become available.

If "Yes": Have all key personnel involved completed Human Subjects Training? Yes No

Does your organization/institution have a Federalwide Assurance (FWA) Number? Yes No If "yes," provide Number: _____



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6. **Animal Subjects** Yes No **Approval Date:** _____ **IACUC Number:** _____ **Pending**

If "Yes": A copy of the IACUC approval must be provided before any subaward will be issued. Please forward this document to CU BOULDER's PI and CU BOULDER's Office of Contracts and Grants as soon as it becomes available.

7. **Conflict of Interest (applicable to NIH, NSF, or other sponsors that have adopted the federal financial disclosure requirements)**

- Not applicable because this project is not being funded by NIH, NSF, or other sponsor that has adopted the federal financial disclosure requirements
- 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." Organization 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 an agreement resulting from this proposal, 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 the Organization's conflict of interest policy prior to the expenditures of any funds under any resulting agreement.
- Organization does not have an active and/or enforced conflict of interest policy and agrees to abide by CU BOULDER's policy, located online at <http://www.colorado.edu/VCResearch/integrity/coic/policy.html>.

8. **Debarment and Suspension**

Are any of the organization's principals, PI or any other employee or student participating in this project debarred, suspended or otherwise excluded from or ineligible for participation in federal assistance programs, contracts or activities? Yes No
(if "Yes", explain in *Comments* below)

The Organization certifies that it and its Principals: (answer all questions below)

are	are not	presently debarred, suspended, proposed for debarment, or declared ineligible for award of federal contracts
are	are not	presently indicted for, or otherwise criminally or civilly charged by a government entity
have	have 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 commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property
have	have not	within three (3) years preceding this offer, had one or more contracts terminated for default by any federal agency
have	have not	within three (3) years preceding this offer, been notified of any delinquent Federal taxes in an amount that exceeds \$3,000 which liability remains unsatisfied

9. **Fiscal Responsibility**

The organization certifies that its financial system is in accordance with generally accepted accounting principles and:
 has the capability to identify, in its accounts, all Federal awards received and expended and the Federal programs under which they were received;
 maintains internal controls to assure that it is managing Federal awards in compliance with applicable laws, regulations and the provision of contracts or grants;
 complies with applicable laws and regulations;
 can prepare appropriate financial statements, including the schedule of expenditures of federal awards;
 there are no outstanding audit findings which would impact contract costs. If there are findings, submit a copy of the most recent report that describes the finding and steps being taken to correct the finding.

10. **Drug Free Workplace**

The Organization certifies compliance with The Drug-Free Workplace Act of 1988 (41 USC 702). Yes No

11. **Certification Regarding Lobbying**

In the event funds allotted under this proposal are expected to exceed \$100,000, the Organization certifies that it is in compliance with the requirements of Section 1352, Title 31, U.S. Code, that limits the use of appropriated funds to influence certain Federal contracting and financial transactions. Yes No

12. **Online Representations and Certifications Application (ORCA)**

Has the Organization completed annual certifications on the Online Representations and Certifications Application (ORCA)? Yes No
If "Yes," please provide the date of last certification: _____

13. **FAPIS/Responsibility Matters**

The organization certifies that, if subject to reporting under the Federal Awardee Performance and Integrity System (FAPIS), that such reported information is accurate and complete and shall be maintained as such during the term of any agreement resulting from organization's offer. Yes No

360° HEQR/UCR/UCV/UCW/UCX/UCY/UCZ

.....Ky krlhmqy 'y g'Eqphrkv'qh'f'vgt guv'r qrlc{ "gucdrkuj gf "cpf "gphqtegf "d{ "
Ky krlhmqy 'y g'Eqphrkv'qh'f'vgt guv'r qrlc{ "gucdrkuj gf "cpf "gphqtegf "d{ "y g'Wpksqgts{ "qh'Eqmctcf q'Dqwf gtOP co gu'qh'f'k'f vcu'y qtnkpi 'qp'y ku'r tqlgcv
y j q'ctg'g'gur qpukdg'hqt 'y g'T guki p.'eqpf wv.'qt'gr q'v'kpi 'qh'y g'tgugctej .'qvj gt'y cp'yj g'RK'ctg'hkugf 'dgnjy "fr rccug'cweej 'cf f kkkpcnfr ci gu'cu'pggf gf +z



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SECTION C – Cost Accounting Standards (CAS) Notices and Certification

Examine each Part (1-4, below) and provide the requested information. If you are an educational institution, Part 2 does not apply unless the contemplated subcontract will be subject to full CAS coverage pursuant to 48 CFR 9903.201-2(c)(5) or modified CAS coverage pursuant to CFR 9903.201-2(c)(6).

17. Part 1: Disclosure Statement – Cost Accounting Practices and Certification

- (a) Any subcontract in excess of the applicable CAS threshold resulting from this solicitation will be subject to the requirements of the Cost Accounting Standards Board (48 CFR Chapter 99), except for those subcontracts which are exempt as specified in 48 CFR 9903.201-1.
- (b) Any proposal you submit, if accepted, that results in a subcontract subject to the requirements of 48 CFR Chapter 99, will require you, as a condition of contracting, to submit a Disclosure Statement as required by 48 CFR 9903.202. When required, the Disclosure Statement must be submitted as a part of your proposal under this solicitation unless you have already submitted a Disclosure Statement disclosing the practices used in connection with the pricing of this proposal. If an applicable Disclosure Statement has already been submitted, you may satisfy the requirement for submission by providing the information requested in (c) of this Part (Part 1), below.

CAUTION: In the absence of specific regulations or agreement, a practice disclosed in a Disclosure Statement shall not, by virtue of such disclosure, be deemed to be a proper, approved, or agreed-to practice for pricing proposals or accumulating and reporting contract performance cost data.

- (c) Check the appropriate box, below:
 1. *Certificate of Concurrent Submission of Disclosure Statement.*

Organization hereby certifies that, as a part of the proposal, copies of the Disclosure Statement have been submitted as follows: (a) original and one copy to the cognizant Administrative Contracting Officer (ACO) or Federal agency official authorized to act in that capacity, as applicable, and (b) one copy to the cognizant Federal auditor.

Date of Disclosure Statement: _____
Name of ACO or Federal official where filed: _____

Organization further certifies that the practices used in estimating costs in pricing this proposal are consistent with the cost accounting practices disclosed in the Disclosure Statement.

- 2. *Certificate of Previously Submitted Disclosure Statement.*

Offer hereby certifies that the Disclosure Statement was filed as follows:

Date of Disclosure Statement: _____
Name of ACO or Federal official where filed: _____

Organization further certifies that the practices used in estimating costs in pricing this proposal are consistent with the cost accounting practices disclosed in the Disclosure Statement.

- 3. *Certificate of Monetary Exemption.*

Organization hereby certifies that, together with all divisions, subsidiaries, and affiliates under common control, it did not receive net awards of negotiated prime contracts and subcontracts subject to CAS totaling \$50,000,000 or more in the cost accounting period immediately preceding the period in which this proposal was submitted. Organization further certifies that if such status changes before [INSERT space] an award resulting from this proposal, Organization will advise CU BOULDER immediately.

- 4. *Certificate of Interim Exemption.*

Organization hereby certifies that: (a) Organization first exceeded the monetary exemption for disclosure, as defined in (c)(3) above, in the cost accounting period immediately preceding the period in which this offer was submitted; and (b) in accordance with 48 CFR 9903.202-1, Organization is not yet required to submit a Disclosure Statement. Organization further certifies that if an award resulting from this proposal has not been made within 90 days after the end of that period, Organization will immediately submit a revised certificate to the Contracting Officer, in the form specified under (c)(1) or (c)(2) above, as appropriate, to verify submission of a completed Disclosure Statement.

CAUTION: Organizations currently required to disclose because they were awarded a CAS-covered prime contract or subcontract of \$50,000,000 or more in the current cost accounting period may not claim this exemption (exemption (c)(4)). Further, this exemption applies only in connection with proposals submitted before expiration of the 90-day period following the cost accounting period in which the monetary exemption was exceeded.



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18. Part 2: Cost Accounting Standards – Eligibility for Modified Contract Coverage

If you are eligible to use the modified provisions of 48 CFR 9903.201-2(b) and elect to do so, indicate by checking the box below. By checking this box, you are claiming that the resultant subcontract is subject to the Disclosure and Consistency of Cost Accounting Practices clause in lieu of the Cost Accounting Standards clause:

Organization hereby claims an exemption from the Cost Accounting Standards clause under the provisions of 48 CFR 9903.201-2(b) and certifies that Organization is eligible to use the Disclosure and Consistency of Cost Accounting Practices clause because during the cost accounting period immediately preceding the period in which this proposal was submitted, Organization received less than \$50,000,000 in awards of CAS-covered prime contracts and subcontracts. Organization further certifies that if such status changes before an award resulting from this proposal, Organization will advise CU BOULDER immediately.

CAUTION: Organization may not claim the above eligibility for modified contract coverage if this proposal is expected to result in the award of a CAS-covered subcontract of \$50,000,000 or more; or if, during its current cost accounting period, Organization has been awarded a single CAS covered prime contract or subcontract of \$50,000,000 or more.

19. Part 3: Additional Cost Accounting Standards Applicable to Existing Contracts

Indicate below whether award of the contemplated subcontract would, in accordance with subparagraph (a)(3) of the Cost Accounting Standards clause, require a change in established cost accounting practices affecting existing contracts and subcontracts:

Yes No

1. . Part 4: Proposal Disclosure – Cost Accounting Practices Changes

Complete this Part only if a CAS exemption is not claimed and the subcontract will be subject to CAS as specified in 48 CFR 9903-201(see FAR 52.230-7):

Will the contract award result in a required or unilateral change in cost accounting practice, including unilateral changes requested to be desirable changes?

Yes No

If yes, you must:

1. Prepare the price proposal in response to the solicitation using the changed practice for the period of performance for which the practice will be used; and
2. Submit a description of the changed cost accounting practice to CU BOULDER and the Cognizant Federal agency official as pricing support for the proposal.

SECTION D - Audit Status

1; . Audit Status

Organization is subject to the Single Audit Act of Chapter 75 of Title 31, United States Code, and receives an annual audit in accordance with OMB Circular A-133.

Most recent fiscal year completed: FY _____

Were any audit findings reported? (If "Yes," explain in *Comments*, below.) Yes No

Please attach a complete copy of your most recent A-133 audit report or provide the URL link to a complete copy.

Organization DOES NOT receive an annual audit in accordance with OMB Circular A-133.

Organization is a:

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

Please provide the name, address, and phone number your Cognizant Audit Agency and ACO (if applicable). If your organization is not audited by the federal government, please provide the information for your outside audit agency and the date of your last audit.

CAA Name _____
Address _____

ACO Name _____
Address _____

Telephone Number _____
Date of Last Audit _____

Telephone Number _____
Date of Last Audit _____



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SECTION E – Required Information under the Federal Funding Accountability and Transparency Act of 2006 (FFATA)

420 Place of Performance: Please provide the address and congressional district where the work will be performed if different from address provided above.

Street Address _____
 City _____
 State / Country _____
 Zip Code+4 _____
 Congressional District _____

23. Total Compensation and Names of the Top Five Executives

- a. In your business or organization's preceding completed fiscal year, did your business or organization (the legal entity to which this specific CCR record, represented by a DUNS number, belongs) receive (1) 80 percent or more of your annual gross revenues in U.S. federal contracts, subcontracts, loans, grants, subgrants, and/or cooperative agreements; and (2) \$25,000,000 or more in annual gross revenues from U.S. federal contracts, subcontracts, loans, grants, subgrants, and/or cooperative agreements? Yes No
 If "Yes" please answer question (b), if "No," please skip (b).
- b. Does the public have access to information about the compensation of the executives in your business or organization (the legal entity to which this specific CCR record, represented by a DUNS number, belongs) 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? Yes No
 If "No," please complete the table below with the names and total compensation of Organization's top 5 highly compensated officials.

	Name	Total Compensation
1	_____	_____
2	_____	_____
3	_____	_____
4	_____	_____
5	_____	_____

SECTION F – Comments and Approval

24. Comments

25. Approved for Organization

To the best of my knowledge and belief, as an Authorized Official of the Organization named herein, I certify that the information provided in this Form is true and correct. The appropriate programmatic and administrative personnel involved in this proposal application are aware of the Organization's and agency policy in regard to financial assistance agreements and contracts and, therefore, are prepared to establish the necessary subawards or subcontracts consistent with those policies. **Any work begun and/or expenses incurred prior to execution of a resulting subaward or subcontract are at the Organization's own risk.**

Organization's Authorized Official's Signature and Date _____
 Name and Title of Authorized Official _____
 Email _____
 Telephone Number _____

Is the Organization owned or controlled by a parent entity? Yes No

If "Yes", then please provide the following:

Parent Entity's Legal Name _____
 Street Address _____
 City _____
 State / Country _____
 Zip Code + 4 _____
 DUNS Number _____
 TIN _____
 Congressional District _____