

# Subrecipient Certification Form

*All subrecipients are required to complete this form when contracting with the University of Denver (Colorado Seminary). It provides for certain documents and certifications required by sponsors. This form should be signed by the authorized official at the institution or Organization.*

**Subrecipient Legal Name**

**Subrecipient PI Name**

**Subaward Number**

## SECTION A - Certifications

### 1. Small Business Concern

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

Yes No

**If "Yes":** Subrecipient 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

### 2. Human Subjects

Yes No

Exemption or IRB Approval Date

IRB Number

Pending

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

Yes No

### 3. Animal Subjects

Yes No

Approval Date

IACUC Number

Pending

### 4. Conflict of Interest

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 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 DU's policy, located [here](#).

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## 5. Responsible Conduct of Research (RCR) Training (applicable to NSF funding)

Not applicable because this project is not being funded by NSF, or other sponsor that has adopted the RCR training requirement.

Subrecipient Organization/Institution certifies that it, in accordance with NSF Proposal & Awards Policies & Procedures Guide, Part II, Award & Administration Guide (AAG) Chapter IV.B., the organization/institution has a plan in place to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduates, graduate students and postdoctoral researchers who will be supported by NSF to conduct research.

Subrecipient does not have an RCR training program in accordance with the above and agrees to abide by DU's policy and program, located [here](#).

## SECTION B - Audit Status

### 6. Audit Status

Subrecipient 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 the *Comments* section 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.**

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

Subrecipient is a:

Non-profit entity under federal funding threshold of \$500,000 in annual federal awards

Foreign entity

For profit entity

Government entity

### 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 award 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.

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Signature of Subrecipient's Authorized Official

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Name and Title of Authorized Official

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Date

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**Comments:** Audit report is attached