

# Research Subaward Agreement

Institution/Organization ("Prime Recipient")  Prime Award No.: <input style="width: 300px;" type="text"/>	Institution/Organization ("Subrecipient") Name: <input style="width: 350px;" type="text"/> Subaward No.: <input style="width: 100px;" type="text"/> CFDA #: <input style="width: 100px;" type="text"/> Amount Funded This Action: <input style="width: 150px;" type="text"/> Est. Total (if incrementally funded) <input style="width: 150px;" type="text"/>
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	CFDA Title <input style="width: 350px;" type="text"/>
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Subaward Period of Performance: Budget Period: From: <input style="width: 80px;" type="text"/> To: <input style="width: 80px;" type="text"/>	Estimated Project Period (if incrementally funded): From: <input style="width: 80px;" type="text"/> To: <input style="width: 80px;" type="text"/>
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Project Title:

Reporting Requirements (Check here if applicable)

~~changes requiring prior approval, should be directed to the appropriate party's Authorized Official Contact, as shown in Attachments 3A and 3B. Any such changes made to this subaward agreement require the written approval of each party's Authorized Official Contact, as shown in Attachments 3A and 3B.~~

7) Each party shall be responsible for its negligent acts or omissions and the negligent acts or omissions of its subcontractors to the extent allowed by law.

8) Either party may terminate this subaward with thirty days written notice to the appropriate party's Authorized Official Contact, as shown in Attachments 3A & 3B. Prime Recipient shall pay Subrecipient for termination costs as allowable under OMB Circular A-101, Appendix E, "Principles for Determining Costs Applicable to Research and Development under Grants and Cooperative Agreements."

9) No-cost extensions require the approval of the Prime Recipient. Any requests for a no-cost extension should be directed to the Prime Recipient's Authorized Official Contact, as shown in Attachments 3A & 3B, not less than thirty (30) days prior to the desired change.

10) The Subaward is subject to the terms and conditions of the Prime Award and other special terms and conditions of the subaward.

11) By signing below Subrecipient makes the certifications and assurances shown in Attachments 1 and 2. Subrecipient certifies that it will comply with applicable statutory and regulatory requirements specified in the Research Terms & Conditions Appendix A at [http://nsf.gov/bfa/dias/policy/rtc/appc\\_june11.pdf](http://nsf.gov/bfa/dias/policy/rtc/appc_june11.pdf)

5) Matters concerning the technical performance of this subaward should be directed to the appropriate party's Principal Investigator, as shown in Attachments 3A and 3B. Technical reports are required as shown above, "Reporting Requirements".

By an Authorized Official of Prime Recipient  <hr style="width: 300px; margin-left: 0;"/> Deborah A. Moore, C.P.M., Assoc Director, Procurement and Research Services _____ Date	By an Authorized Official of Subrecipient  <hr style="width: 300px; margin-left: 0;"/> _____ Name & Title _____ Date
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# Attachment 1

## Research Subaward Agreement

### Certifications and Assurances

By signing the Subaward Agreement, the authorized official of Subrecipient certifies, to the best of his/her knowledge and belief that:

#### Certification Regarding Lobbying

1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the Subrecipient, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or intending to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the Subrecipient shall complete and submit Standard Form -LLL, "Disclosure Form to Report Lobbying", to the Prime Recipient.

3) The Subrecipient shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

#### Debarment, Suspension, and Other Responsibility Matters

Subrecipient certifies by signing this Subaward Agreement that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in this transaction by any federal department or agency.

#### OMB Circular A-133 Assurance

Subrecipient assures Prime Recipient that it complies with A-133 and that it will notify Prime Recipient of completion of required audits and of any adverse findings which impact this subaward.

Attachment 2  
Research Subaward Agreement  
Prime Award Terms & Conditions  
National Science Foundation

1. By signing this Research Subaward Agreement Subrecipient makes the certifications and assurances specified in the Research Terms and Conditions Appendix C found at [http://www.nsf.gov/bfa/dias/policy/rtc/appc\\_june11.pdf](http://www.nsf.gov/bfa/dias/policy/rtc/appc_june11.pdf)

as of the effective date of this Research Subaward Agreement

1. The restrictions on the expenditure of federal funds in appropriations acts are applicable to this subaward to the extent those restrictions are pertinent.
2. OMB Circular A-110 or 45 CFR Part 602 as applicable.
3. The Proposal and Award Policies and Procedures Guide, including addenda in effect as of the beginning date of the period of performance.
4. Research Terms and Conditions found at < [http://www.nsf.gov/pubs/policydocs/rtc/termsidebyside\\_june11.pdf](http://www.nsf.gov/pubs/policydocs/rtc/termsidebyside_june11.pdf)



Subaward Number:

Institution/Organization ("Subrecipient")

Name:

Address:

City:

State:

ZipCode + 4:

EIN No.:

Subrecipient currently registered in CCR?  Yes  No

DUNS No.:

Congressional District:

Administrative Contact

Address:

City:

State:

ZipCode:

Address:

Telephone:

Attachment 3B - Research Subaward Agreement  
Page 2 - Place of Performance & Highest Compensated Officers

Subaward Number:

Institution/Organization ("Subrecipient")

Name:

Place of Performance

Name:

Address:

City:  State:  ZipCode + 4:

Telephone:  Fax:

Email:  Congressional District:

The names and total compensation of the five most highly compensated officers of the entity(ies) must be listed if--

(i) the entity in the preceding fiscal year received—

(I) 80 percent or more of its annual gross revenues in Federal awards (federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements); AND

(II) \$25,000,000 or more in annual gross revenues from Federal awards; and

(ii) 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 entity exempt from reporting executive compensation?  Yes  No If no, complete the information below.

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

Attachment 4  
Research Subaward Agreement  
Reporting Requirements

Enter specifics regarding the type of reports(s), number of copies, formatting requirements, frequency and submittal instructions.

Attachment 5  
Research Subaward Agreement  
Scope of Work and Budget

Scope of Work and Budget (attached  pages)