SUBRECIPIENT COMMITMENT FORM

	All Subrecipients must complete this form when submitting a proposal to UCSB. It provides a checklist of documents and certifications required by sponsors and it must be endorsed by the authorized institutional representative prior to proposal submission.	
	Subrecipient's Legal Name:	
	Subrecipient's Principal Investigator:	
	UCSB's Principal Investigator: Prime Sponsor:	
	UCSB's Proposal Title:	
	Subrecipient Total Funds Requested: Performance Period Begin Date: End Date:	
	ection A: Proposal Documents	
Th	ne following documents are included in our subaward proposal submission and covered by the certifications below:] STATEMENT OF WORK (Required)	
	BUDGET AND BUDGET JUSTIFICATION (Required)	
] Small/Small Disadvantaged Business Subcontracting Plan, in agency-required format (If required by prime sponsor)	
	ection B: Certifications	
1.	Facilities & Administrative Rates included in this proposal have been calculated based on the following:	
	Our federally negotiated F&A rates for this type of work. If this box is checked, a copy of your F&A rate agreement must be furnished to UCSB Sponsored Projects.	
	A reduced F&A rate dictated by the prime sponsor that we hereby agree to accept. Rate: Base:	
	Other rates as specified in Section F: Comments (if applicable, attach DCAA documentation)	_
	Not applicable (No indirect cost are requested by Subrecipient).	
2.	 Fringe Benefit Rates included in this proposal have been calculated based on the following: Rates are consistent with or lower than our Federally negotiated rates. If this box is checked, a copy of your Federal fringe benefit rate agreement <i>must</i> be furnished to UCSB Sponsored Projects. Other rates as specified in Section F: Comments (please specify the basis on which the rate has been calculated) 	
3.	Human Subjects YES 🗌 NO 🗌	
	Will the research be supported by federal funding? YES NO	
	If YES , then 1-4 apply. If NO , only 3-4 apply.	
	If applicable, the following documentation must be provided before any subaward can be issued: 1) IRB certification - must include an OHRP approved Federal Wide Assurance (FWA) number with expiration date.	
	2) The reviewing IRB's IORG registration number: and Expiration date:	
	3) IRB approval letter (ethical review letter is acceptable if not federal funding)	
	4) Verification of Human Subjects training - Please attach a list of key personnel who are on this project, including human subject training certificates.	ts
	Please forward all required documents to UCSB's Sponsored Projects Office, Attn: Subaward Officer as soon as they become a	vailable.
	Please indicate the UCSB Principal Investigator's name for reference.	
4.	Animal Subjects YES NO	
	1) A copy of the IACUC approval letter.	
	2) Your institution's PHS Assurance number. PHS Assurance No.: Expiration Date:	
	These must be provided before any subaward can be issued. Please forward these documents to UCSB's Sponsored Projects Offic Attn: Subaward Officer as soon as they become available. Please indicate the UCSB Principal Investigator's name for reference.	ce,
5.	Stem Cells YES NO	
	If YES , a copy of the Stem Cell approval must be provided before any subaward will be issued. Please forward these documents to	o UCSB's
	Sponsored Projects Office, Attn: Subaward Officer as soon as they become available. Please indicate the UCSB Principal Investigator	r's name
	for reference.	

6. Dual Use Research of Concern (DURC) Will the research performed under this Subaward involve any DURC research? YES 🗌 NO [

If **YES**, then you must provide a copy of your Institutional Review Entity's (IRE) determination as to whether the research qualifies as DURC. If your IRE determines that the research meets the definition of DURC, as outlined in section 6.2 of the U.S. Government Policy for Institutional Oversight of Life Sciences Dual Use Research of Concern, a copy of the funding agency approved mitigation plan must be provided to UCSB before any subaward will be issued. Please forward these documents to UCSB's Sponsored Projects Office, Attn: Subaward Officer as soon as they become available. Please indicate the UCSB Principal Investigator's name for reference. For more information please see NIH Guide notice http://grants.nih.gov/grants/guide/notice-files/NOT-OD-15-017.html and the federal–wide policy at http://www.phe.gov/s3/dualuse/Documents/durc-policy.pdf

7. Genomic Data Sharing Policy (Applicable to projects funded by PHS/NIH, see announcement NOT-OD-14-124) YES NO I If YES, a copy of the Institutional Certification for large-scale human genomic data must be provided before any subaward will be issued. Please forward these documents to UCSB's Sponsored Projects Office, Attn: Subaward Officer as soon as they become available. Please indicate the UCSB Principal Investigator's name for reference. Additionally, investigators are expected to make all large scale data (human and non-human) publicly available through a data repository (e.g. dbGaP, GEO, SRA).

8. Cost Sharing YES NO

If **YES**, explanation of Cost Sharing sources *must* be included in the subrecipient's budget. Please note that an annual verification of cost share commitment will be required.

9. National Science Foundation - Conflict of Interest

Applicable to NSF, including NSF flow-through or any other sponsor that requires similar disclosure requirements.

- Not applicable because this project is not being funded by NSF or any other sponsor requiring similar COI disclosure.
- Subrecipient organization/institution hereby certifies that it has an active and enforced policy on conflict of interest consistent with the provision of NSF Award & Administration Guide Chapter IV.A and 2 CFR Part 215.
- Subrecipient does not have an active and/or enforced conflict of interest policy and hereby agrees to abide by UCSB's policy. See: <u>https://www.research.ucsb.edu/policies</u> for the text of UCSB Research Circular D.3. To comply with this policy please email Research Conflict of Interest Coordinator at <u>coi@research.ucsb.edu</u>.

10. Public Health Service - Conflict of Interest

Applicable to projects funded by PHS/NIH, or any other sponsor that requires similar disclosure requirements.

- Not applicable because this project is not being funded by PHS/NIH or any other sponsor requiring similar COI disclosure.
- Subrecipient organization/institution hereby certifies that it has an active and enforced policy on conflict of interest consistent with the provision of 42 CFR Part 50 Subpart F and 45 CFR Part 94.

Subrecipient does not have an active and/or enforced conflict of interest policy and hereby agrees to abide by UCSB's policy. See: <u>https://www.research.ucsb.edu/policies</u> for the text of UCSB Research Circular D.1. To comply with this policy please email the Research Conflict of Interest Coordinator at <u>coi@research.ucsb.edu</u>.

11. Ethics in Research Training

Applicable to projects funded by NSF or any other programs requiring Ethics in Research Training.

- Not applicable because this project is not being funded by NSF or any other programs requiring Ethics in Research Training.
- Subrecipient organization/institution hereby certifies that it will ensure that all undergraduates, graduate students, and postdoctoral researchers who will be supported by this proposal will be trained on the oversight in the responsible and ethical conduct of research.

12. Research Misconduct (Applicable to projects funded by PHS/NIH)

Not applicable because this project is not being funded by PHS/NIH.

Subrecipient organization/institution hereby certifies that it has completed and submitted the "Assurance of Compliance by Sub-Award Recipients available at: <u>http://ori.hhs.gov/sites/default/files/PHS-6315.pdf</u>.

3

13.	Debarment, Suspension, Proposed Debarment
	Is the 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 or activities? YES NO
	If YES , please explain in Section F: Comments.
	If NO , the Organization Certifies they: (answer <u>all</u> 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 agency.
	have 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 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
	have have not within 3 years preceding this offer, had one or more contracts terminated for default by any federal agency.
14.	Is the subrecipient a Historically Black College or University (HBCU)? YES NO
15.	Is the Subrecipient a for-profit entity? YES NO
	If YES, please complete and attach Form E: Vendor Information Form located at www.bfs.ucsb.edu/purchasing/forms
4.0	
16.	Subrecipient will, will not provide covered telecommunications equipment or services, as defined in Public Law 115-232, to UCSB or to the Covernment in the performance of this subaward
Soc	or to the Government in the performance of this subaward. tion C: Audit Status
1.	Does the subrecipient receive an annual audit in accordance with OMB Circular A-133/Uniform Guidance? YES NO
	If YES ; a) A complete copy of subrecipient's most recent audit report, or the Internet URL link to a complete copy, must be furnished
	to UCSB Sponsored Projects before a subaward will be issued.
	b) Has the audit been completed for the most recent fiscal year? Yes 📃 No 🗌
	c) Were there any audit findings reported? Yes 🗌 No 🗌 If Yes, UCSB requires that the entity complete the Certification of
	Compliance located at https://www.research.ucsb.edu/subawards
	If NO, UCSB requires that the entity complete a Financial Management Systems Questionnaire
	https://www.research.ucsb.edu/subawards) and may require a limited-scope audit before a subaward can be issued.
	tion D: Subrecipient Institutional Information
1.	Location of Subrecipient Address:
	City, State, Zip: Congressional District:
	Primary Place of Performance (If primary place of performance is different than Location of Subrecipient)
	Address (City, State, Zip):
	Congressional District:
2.	Subrecipient DUNS Number:
3.	Subrecipient EIN Number:
4.	Subrecipient NAICS Code:
5.	Is Subrecipient owned or controlled by a parent entity? YES NO I If YES, provide information for the parent entity below;
-	Address (City, State, Zip:
	Congressional District:
	Parent DUNS Number:
	Parent EIN Number:
6.	Is subrecipient currently registered in Central Contractor Registration via SAM? (<u>www.sam.gov</u>) YES NO
	If NO , organizations that have not registered with CCR will need to obtain a DUNS number first and then access the CCR online registration
	through the SAM (System for Award Management) home page at https://www.sam.gov (U.S. organizations will also need to provide an

and submitting the registration takes approximately one hour to complete and your CCR registration will take 3-5 business days to proces. Subnecipient <i>must</i> maintain the' uncertainformation in CCR. Does the Subrecipient or the Subrecipient's Principal Investigator? YES NO I (YES, please describe relationship in Section F: Comments. 8. Federal Funding and Accountability Transparency Act (FATA) Provide the names and total compensation of the five (5) most highly compensated officers of the subrecipient entity if: a. The regionent in ts preceding fical year received: i. 80 percent or more of its annual gross revenues in Federal awards; AND i. 8.50,000,000 or more in annual revenues from the Federal awards; AND b. 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 and Exchange Act of 1934 (15 U.S. C. 78m(a), 78o(d) or section 6104 of the internal Revenue Service Code of 1986 [24 USC 6104] If YOS to andig: th: check this bor For a helpful chart of the Top Five Compensated Officers Decision Tree for Subrecipients go to the below website: https://www.research.ucs.edu/sites/default/like/SP0/TOP.S-COMPENSATED-OFFICERS-DECISION-TREE-FOR-SUBRECIPIENTS dog: Note: "Total compensation" means the cash and nonceah dollar value earned by the executive during the subrecipient's past fiscal year of the following (for more informations ea 17 CFR 22.9.402 (c)(2)). Salay and Bonus Award of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with FAS 123R Award of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes, stores openastion, File Sconspol, the subrecipient must equiling of the redeal program purposes with respect to the fiscal year in accordance with FAS 123R Above-market earning of deferred		Employer Identification Number from the Internal Revenue Ser	vice that may take an additional 2-5 weeks to become active). Completing				
Subscriptent must maintain their current information in CCR. 7. Does the Subrecipient or the Subrecipient's Principal Investigator have an existing relationship with UCSB or UCSB's Principal Investigator? YES	and submitting the registration takes approximately one hour to complete and your CCR registration will take 3-5 business days to r						
7. Does the Subrecipient or the Subrecipient's Principal Investigator have an existing relationship with UCSB or UCSB's Principal Investigator? 7. YES NO IF (YES, please describe relationship in Section F: Comments. 8. Federal Funding and Accountability Transparency Act (FATA) Provide the names and total compensation of the five (S) most highly compensated officers of the subrecipient entity If: a. The recipient in its preceding fiscal year received: i. 80 percent or more of its annual gross revenues in federal award's; AND ii. 825,000,000 or more in annual revenues from the Federal award's; AND ii. S25,000,000 or more in annual revenues from the Federal award's; AND iii. 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 and Exchange Act of 1934 (15 U.S. C. 78m(a), 780(d) or section 6104 of the Internal Revenue Service Code of 1986 (26 USC 6104) If YES to a angl b: Attach List If NO to a angl/actb: check this box D For a helpful chart of the Top Five Compensated Officers Decision Tree for Subrecipients go to the below website: https://www.research.actb.edu/site/s/default/files/SPOTOP.5-COMPENSATED-OFFICERS-DEGISON-TREE-FOR-SUBBECIPIENTS.doc Note: "Total compensation" means the cash and noncash dollar value earned by the executive during the subrecipient's past fiscal year of the following (for more information see 17 CFR 229.402 (c)(2)). 1. Salary and Bonus 2. Award of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with FAS 1228 3. Earnings for services under ron-equity incentive plans. Does not include group life, health, hospitalization, or medical reimbursement plans that do not discriminate in favor of executive acceed S10,000 2. Award of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement							
YES NO If YES, please describe relationship in Section F: Comments. 8. Federal Funding and Accountability Transparency Act (FFATA) Provide the names and total compensation of the five (5) most highly compensated officers of the subrecipient entity if: a. The recipient in its preceding fiscal year received: b. The public does NOT have accests 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 and Exchange Act of 1934 (15 U.S. C. 78m(a), 78o(d) or section 6104 of the Internal Revenue Service Code of 1936 (25 USC 6104) If YES to a and/or b: check this box For a helpful chart of the Top Five Compensated Officers Decision Tree for Subrecipients go to the below website: Total compensation" means the cash and noncash dollar value earned by the executive during the subrecipient's past fiscal year of the following (for more information see 17 CFR 229.402 (c)(2)). Salary and Bonus Award of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with FAS 123R Earnings for services under non-equity incentive plans. Does not include group life, health, hospitalization, or medical relimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees. Above-market earning of deferred compensation which are not tax-qualified Other compensation. For Example, severance, termination payments, value of a subrecipient, rather than those of a contractor. The following dhart outlines the differences. Please check all t	7.	-	or have an existing relationship with UCSB or UCSB's Principal Investigator				
 Federal Funding and Accountability Transparency Act (FFATA) Provide the names and total compensation of the five (5) most highly compensated officers of the subrecipient entity if: The recipient in its preceding fiscal year received: 80 percent or more of its annual gross revenues in Federal awards; AND 525,000,000 or more in annual revenues from the 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 13(a) of 14(b) of the Securities and Exchange Act of 1934 (15 U.S. C. 78m(a), 78o(d) or section 6104 of the internal Revenue Service Code of 1986 (26 USC 6104)							
Provide the names and total compensation of the five (5) most highly compensated officers of the subrecipient entity if: a. The recipient in its preceding fiscal year received: i. 80 preent or more of its annual greenues from the Federal awards; AND ii. \$25,000,000 or more in annual revenues from the Federal awards; AND b. The public does NOT have access to information about the compensation of the senior executives of the entity through periodic reports field under section 13(a) or 15(d) of the Securities and Exchange Act of 1934 (15 U.S. C. 78m(a), 78o(d) or section 6104 of the Internal Revenue Service Code of 1986 [26 USC 6104] If YES to a and b; Attch List If NO to and/or b: check this boc For a helpful chart of the Top Five Compensated Officers Decision Tree for Subrecipients go to the below website: https://www.research.uceb.edu/sites/default/files/SPO/TOP-S-COMPENSATED-OFFICERS-DECISION-TREE-FOR-SUBRECIPIENTS.doc Note: "Total compensation" means the cash and noncash dollar value earned by the executive during the subrecipient's past fiscal year of the following (for more information see 17 CFR 229.402 (c)(2)). Salary and Bonus Award of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with FAS 123R B. Earnings for services under non-equity incentive plans. Does not include group life, health, hospitalization, or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans. Above-market earning of deferred compensation which are not trax-qualified Other compensation. For Example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property if the values for the executive exceed \$10,000 Section E: Subrecipient Requirements an intellectually significant por							
Provide the names and total compensation of the five (5) most highly compensated officers of the subrecipient entity if: a. The recipient in its preceding fiscal year received: i. 80 preent or more of its annual greenues from the Federal awards; AND ii. \$25,000,000 or more in annual revenues from the Federal awards; AND b. The public does NOT have access to information about the compensation of the senior executives of the entity through periodic reports field under section 13(a) or 15(d) of the Securities and Exchange Act of 1934 (15 U.S. C. 78m(a), 78o(d) or section 6104 of the Internal Revenue Service Code of 1986 [26 USC 6104] If YES to a and b; Attch List If NO to and/or b: check this boc For a helpful chart of the Top Five Compensated Officers Decision Tree for Subrecipients go to the below website: https://www.research.uceb.edu/sites/default/files/SPO/TOP-S-COMPENSATED-OFFICERS-DECISION-TREE-FOR-SUBRECIPIENTS.doc Note: "Total compensation" means the cash and noncash dollar value earned by the executive during the subrecipient's past fiscal year of the following (for more information see 17 CFR 229.402 (c)(2)). Salary and Bonus Award of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with FAS 123R B. Earnings for services under non-equity incentive plans. Does not include group life, health, hospitalization, or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans. Above-market earning of deferred compensation which are not trax-qualified Other compensation. For Example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property if the values for the executive exceed \$10,000 Section E: Subrecipient Requirements an intellectually significant por	8	Federal Funding and Accountability Transparency Act (FFATA)					
a. The recipient in its preceding fiscal year received: i. 80 percent or more of its annual gross revenues in Federal awards; AND ii. \$25,00,000 or more in annual exerues from the Federal awards; AND b. 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 and Exchange Act of 1934 (15 U.S. C. 78m(a), 780(d) or section 6104 of the Internal Revenue Service Code of 1986 (26 USC 6104) If YES to a and br. Attach List If NO to a and/or b: check this box For a helpful chart of the Top Five Compensated Officers Decision Tree for Subrecipients go to the below website: https://www.research.ucsb.edu/sites/default/files/SPO/TOP-S-COMPENSATED-DFCRENDECISION-TREE-FOR-SUBRECIPIENTS.doc Note: "Total compensation" means the cash and noncash dollar value earned by the executive during the subrecipient's past fiscal year of the following (for more information see 17 CFR 229.402 (c)(2)). Salary and Bonus Award of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with FAS 123R Earnings for services under non-equity incentive plans. Does not include group life, health, hospitalization, or medical reimbursement plans thad on otdiceriminate in favor of executives, and are available generality to all salaried employees. Above-market earning of deferred compensation which are not tax-qualified Other compensation. For Example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property if the values for the executive exceed \$10,000 Section E Subrecipient Requirements and Responsibilities Everypointing the overall program for a public purpose, as opposed to providing goods or services that are ancillary to the operation of the Federal funds to carry out a program for a public purpose, as opposed to providing goods or services for t	0.		highly compensated officers of the subrecipient entity if:				
 I. 80 percent or more of its annual gross revenues in Federal awards; AND II. 525,000,000 or more in annual revenues from the Federal awards; AND The public does NDT 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 and Exchange Act of 1934 (15 U.S. C. 78m(a), 78o(d) or section 6104 of the Internal Revenue Service Code of 1986 [26 USC 6104] If YES to a <u>and/or</u> b: check this box			inging compensated oncers of the subjectpient entity it.				
 ii. \$25,000,000 or more in annual revenues from the Federal awards; AND b. 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 and Exchange Act of 1934 (15 U.S. C. 78m(a), 78o(d) or section 6104 of the Internal Revenue Service Code of 1986 (26 USC 6104) If YES to a and b: Attach List If NO to a and/or b: check this box For a helpful chart of the Top Five Compensated Officers Decision Tree for Subrecipients go to the below website: https://www.research.ucsb.edu/sites/default/files/SPO/TOP-5-COMENSATED-OFFICERS-DECISION_TREE-FOR-SUBRECIPIENTS.doc Note: "Total compensation" means the cash and noncash dollar value earned by the executive during the subrecipient's past fiscal year of the following (for more information see 17 CFR 229.402 (c)(2)). Salary and Bonus Award of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with FAS 123R Earnings for services under non-equity incentive plans. Does not include group life, health, hospitalization, or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaride mployees. Change in pension value. This is the change in present value of defined benefit and acturail pension plans. Above-market earning of deferred compensation which are not tax-qualified Other compensation. For Example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property if the values of the executive seceed \$10,000 Section E. Subrecipient Requirements and Responsibilities Perovides tag on services to a aunotal business operation. Provides simil							
 b. 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 and Exchange Act of 1934 (15 U.S. C. 78m(a), 78o(d) or section 6104 of the Internal Revenue Service Code of 1986 [26 USC 6104] If YES to a and b: Attach List If NO to a and/cc b: check this box For a helpful chart of the Top Five Compensated Officers Decision Tree for Subrecipients go to the below website: 							
reports filed under section 13(a) or 15(d) of the Securities and Exchange Act of 1934 (15 U.S. C. 78m(a), 78o(d) or section 6104 of the Internal Revenue Service Code of 1986 [26 USC 6104] If YES to a and b: Attach List If NO to a and/ar b: check this box For a helpful chart of the Top Five Compensated Offices Decision Tree for Subrecipients go to the below website: https://www.research.ucsb.edu/sites/default/files/SPO/TOP-5-COMPENSATED-OFFICERS-DECISION-TREE-FOR-SUBRECIPIENTS.doc Note: "Total compensation" means the cash and noncash dollar value earned by the executive during the subrecipient's past fiscal year of the following (for more information see 17 CFR 229.402 (c)(2)). 1. Salary and Bonus 2. Award of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with FAS 123R 3. Earnings for services under non-equity incentive plans. Does not include group life, health, hospitalization, or medical reimbursement plans that do not discriminate in favor of executives, and are availlable generally to all salaried employees. 4. Change In pension value. This is the change in present value of defined benefit and actuarial pension plans. 5. Above-market earning of deferred compensation which are not tax-qualified Other compensation. For Example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property if the values for the executive exceed \$10,000 Section E: Subrecipient Requirements and Responsibilities Before submitting a subaward proposal, the subrecipient must verify that it fits the characteristics of a subrecipient, rather than those of a contractor. The following chart outlines the differences. Please check all that apply. Subrecipient who haves responsibility for making programmatic decisions of the Federal program is responsible for adhering to applicable Federal program is not subject to the compliance requirement							
Internal Revenue Service Code of 1986 [26 USC 6104] If YES to a and b: Attach List If NO to a and/or b: check this box For a helpful chart of the Top Five Compensated Officers Decision Tree for Subrecipients go to the below website: https://www.research.ucsb.edu/Sites/default/files/SPO/TOP-5-COMPENSATED-OFFICERS-DECISION-TREE-FOR-SUBRECIPIENTS.doc Note: "Total compensation" means the cash and noncash dollar value earned by the executive during the subrecipient's past fiscal year of the following (for more information see 17 CFR 229.402 (c)(2)). Salary and Bonus A ward of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with FAS 123R Farnings for services under non-equity incentive plans. Does not include group life, health, hospitalization, or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans. Above-market earning of deferred compensation which are not tax-qualified Other compensation. For Example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property if the values for the executive exceed \$10,000 Section E Subrecipient Requirements and Responsibilities Gefor submitting a subaward proposal, the subrecipient must verify that it fits the characteristics of a subrecipient, rather than those of a contractor. The following chart outlines the differences. Please check all that apply.							
If YES to a and b: Attach List If NO to a and/or b: check this box			d Exchange Act of 1934 (15 U.S. C. 78m(a), 780(d) or section 6104 of the				
If NO to a and/or b: check this box For a helpful chart of the Top Five Compensated Officers Decision Tree for Subrecipients go to the below website: https://www.research.ucsb.edu/sites/default/files/SPO/TOP-S-COMPENSATED-OFFICERS-DECISION-TREE-FOR-SUBRECIPIENTS.doc Note: "Total compensation" means the cash and noncash dollar value earned by the executive during the subrecipient's past fiscal year of the following (for more information see 17 CFR 229.402 (c)(2)). Salary and Bonus Award of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with FAS 123R Earnings for services under non-equity incentive plans. Does not include group life, health, hospitalization, or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees. A. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans. S. Above-market earning of deferred compensation which are not tax-qualified Other compensation. For Example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property if the values for the executive exceed \$10,000 Section F: Subrecipient Requirements and Responsibilities Before submitting a subaward proposal, the subrecipient must verify that it fits the characteristics of a subrecipient, rather than those of a contractor. The following chart outlines the differences. Please check all that apply. Subrecipient Contractor Provides							
For a helpful chart of the Top Five Compensated Officers Decision Tree for Subrecipients go to the below website: https://www.research.ucsb.edu/sites/default/files/SPO/TOP-5-COMPENSATED-OFFICERS-DECISION-TREE-FOR-SUBRECIPIENTS.doc Note: "Total compensation" means the cash and noncash dollar value earned by the executive during the subrecipient's past fiscal year of the following (for more information see 17 CFR 229.402 (c)(2)). 1. Salary and Bonus 2. Award of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with FAS 123R 3. Earnings for services under non-equity incentive plans. Does not include group life, health, hospitalization, or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees. 4. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans. 5. Above-market earning of deferred compensation which are not tax-qualified 0 Other compensation. For Example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property if the values for the executive exceed \$10,000 Section E: Subrecipient Requirements and Responsibilities Eortractor Before submitting a subaward proposal, the subrecipient must verify that it fits the characteristics of a subrecipient, rather than those of a contractor. The following chart outlines the differences. Please check all that apply.							
https://www.research.ucsb.edu/sites/default/files/SPO/TOP-5-COMPENSATED-OFFICERS-DECISION-TREE-FOR-SUBRECIPIENTS.doc Note: "Total compensation" means the cash and noncash dollar value earned by the executive during the subrecipient's past fiscal year of the following (for more information see 17 CFR 229.402 (c)(2)). 1. Salary and Bonus 2. Award of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with FAS 123R 3. Earnings for services under non-equity incentive plans. Does not include group life, health, hospitalization, or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees. 4. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans. 5. Above-market earning of deferred compensation which are not tax-qualified 0 Other compensation. For Example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property if the values for the executive exceed \$10,000 Section E: Subrecipient Requirements and Responsibilities Before submitting a subaward proposal, the subrecipient must verify that it fits the characteristics of a subrecipient, rather than those of a contractor. The following chart outlines the differences. Please check all that apply. Subrecipient Contractor Performance represents an intellectually significant apublic purpose, as opposed to providing goods reervices in a complexity to the operation							
Note: "Total compensation" means the cash and noncash dollar value earned by the executive during the subrecipient's past fiscal year of the following (for more information see 17 CFR 229.402 (c)(2)). 1. Salary and Bonus 2. Award of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with FAS 123R 3. Earnings for services under non-equity incentive plans. Does not include group life, health, hospitalization, or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees. 4. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans. 5. Above-market earning of deferred compensation which are not tax-qualified Other compensation. For Example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property if the values for the executive exceed \$10,000 Section E: Subrecipient Requirements and Responsibilities Before submitting a subaward proposal, the subrecipient must verify that it fits the characteristics of a subrecipient, rather than those of a contractor. The following chart outlines the differences. Please check all that apply. Subrecipient Contractor Importion of the overall programmatic effort and is measured against the objectives of the Federal program for a public purpose, as opposed to providing goods or services is milar goods or services to many different purchasers Importion fib exercified in the Fed							
of the following (for more information see 17 CFR 229.402 (c)(2)). 1. Salary and Bonus 2. Award of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with FAS 123R 3. Earnings for services under non-equity incentive plans. Does not include group life, health, hospitalization, or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees. 4. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans. 5. Above-market earning of deferred compensation which are not tax-qualified 0 Other compensation. For Example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property if the values for the executive exceed \$10,000 Section E: Subrecipient Requirements and Responsibilities Before submitting a subaward proposal, the subrecipient must verify that it fits the characteristics of a subrecipient, rather than those of a contractor. The following chart outlines the differences. Please check all that apply. Subrecipient Contractor Performance represents an intellectually significant portion of the overall program for a guainst the objectives of the Federal program requirements specified in the Federal award Will use the Federal funds to carry out a program for a son subject to the compliance requirements of the Federal program requirements specified in the Federal program requirements specified in the Federal award							
 Salary and Bonus Award of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with FAS 123R Earnings for services under non-equity incentive plans. Does not include group life, health, hospitalization, or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans. Above-market earning of deferred compensation which are not tax-qualified Other compensation. For Example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property if the values for the executive exceed \$10,000 Section E: Subrecipient Requirements and Responsibilities Before submitting a subaward proposal, the subrecipient must verify that it fits the characteristics of a subrecipient, rather than those of a contractor. The following chart outlines the differences. Please check all that apply. Subrecipient Performance represents an intellectually significant portion of the overall programmatic effort and is measured against the objectives of the Federal program of the Federal program of the Federal funds to carry out a program for a public purpose, as opposed to providing goods or services Is net specified in the Federal award Prosvible Subjective for the benefit of UCSB Is responsible for adhering to applicable Federal program requirements specified in the Federal award Prosvible to the compliance requirements of the Federal program are are are are are are are are are are			, , , , , , ,				
 Award of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with FAS 123R Earnings for services under non-equity incentive plans. Does not include group life, health, hospitalization, or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans. Above-market earning of deferred compensation which are not tax-qualified Other compensation. For Example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property if the values for the executive exceed \$10,000 Section E: Subrecipient Requirements and Responsibilities Before submitting a subaward proposal, the subrecipient must verify that it fits the characteristics of a subrecipient, rather than those of a contractor. The following chart outlines the differences. Please check all that apply. Subrecipient Performance represents an intellectually significant portion of the overall programmatic effort and is measured against the objectives of the Federal program of the set goods or services purchased with the Federal funds to carry out a program for a public purpose, as opposed to providing goods or services Is not subject to the compliance requirements of the Federal program requirements specified in the Federal argorgram making elosions Is not subject to the compliance requirements of the Federal program as a result of the agreement with UCSB Is		of the following (for more information see 17 CFR 229.402 (c)(2	2)).				
 purposes with respect to the fiscal year in accordance with FAS 123R Earnings for services under non-equity incentive plans. Does not include group life, health, hospitalization, or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans. Above-market earning of deferred compensation which are not tax-qualified Other compensation. For Example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property if the values for the executive exceed \$10,000 Section E: Subrecipient Requirements and Responsibilities Before submitting a subaward proposal, the subrecipient must verify that it fits the characteristics of a subrecipient, rather than those of a contractor. The following chart outlines the differences. Please check all that apply. Subrecipient Contractor Performance represents an intellectually significant agains the objectives of the Federal program Provides the goods or services purchased with the Federal funds to carry out a program for a public purpose, as opposed to providing goods or services Is responsible for adhering to applicable Federal program requirements specified in the Federal award Provides similar goods or services to many different purchasers Is nor subjective has a responsibility for making programmatic edecisions Yes No My organization is properly categorized as a subrecipient as described above. If "No," please contact the UCSB Pl about procuring your organization's products and services a a contractor. 		1. Salary and Bonus					
 3. Earnings for services under non-equity incentive plans. Does not include group life, health, hospitalization, or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees. 4. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans. 5. Above-market earning of deferred compensation which are not tax-qualified Other compensation. For Example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property if the values for the executive exceed \$10,000 Section E: Subrecipient Requirements and Responsibilities Before submitting a subaward proposal, the subrecipient must verify that it fits the characteristics of a subrecipient, rather than those of a contractor. The following chart outlines the differences. Please check all that apply. Subrecipient Contractor Performance represents an intellectually significant portion of the overall programmatic effort and is measured against the objectives of the Federal program [] Will use the Federal program [] Provides the goods or services that are ancillary to the operation of the Everal program [] Will use the Federal program [] Is not subject to the compliance requirements of the Federal program requirements specified in the Federal award [] Provides similar goods or services to many different purchasers [] Is not subject to the compliance requirements of the Federal program as a result of the agreement with UCSB [] Normally operates in a competitive environment with UCSB [] Normally operates in a competitive environment [] Yes [] No My organization is properly categorized as a subrecipient as described above. If "No," please contact the UCSB PI about procuring your organization's products and services as a contractor. 		2. Award of stock, stock options, and stock appreciation rig	hts. Use the dollar amount recognized for financial statement reporting				
 plans that do not discriminate in favor of executives, and are available generally to all salaried employees. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans. Above-market earning of deferred compensation which are not tax-qualified Other compensation. For Example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property if the values for the executive exceed \$10,000 Section E: Subrecipient Requirements and Responsibilities Before submitting a subaward proposal, the subrecipient must verify that it fits the characteristics of a subrecipient, rather than those of a contractor. The following chart outlines the differences. Please check all that apply. Subrecipient Performance represents an intellectually significant portion of the overall programmatic effort and is measured against the objectives of the Federal program Will use the Federal funds to carry out a program for a public purpose, as opposed to providing goods or services for the benefit of UCSB Is responsible for adhering to applicable Federal program requirements specified in the Federal award There is an identified principal investigator for the subrecipient who has responsibility for making programmatic decisions Yes No My organization is properly categorized as a subrecipient as described above. If "No," please contact the UCSB PI about procuring your organization's products and services as a contractor. 		purposes with respect to the fiscal year in accordance with	n FAS 123R				
 4. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans. 5. Above-market earning of deferred compensation which are not tax-qualified Other compensation. For Example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property if the values for the executive exceed \$10,000 Section E: Subrecipient Requirements and Responsibilities Before submitting a subaward proposal, the subrecipient must verify that it fits the characteristics of a subrecipient, rather than those of a contractor. The following chart outlines the differences. Please check all that apply. Subrecipient Contractor Performance represents an intellectually significant portion of the overall programmatic effort and is measured against the objectives of the Federal program apublic purpose, as opposed to providing goods or services final goods or services to many different purchasers Is responsible for adhering to applicable Federal program requirements specified in the Federal award program is in identified principal investigator for the subrecipient who has responsibility for making programmatic decisions Yes No My organization is properly categorized as a subrecipient as described above. If "No," please contact the UCSB PI about procuring your organization's products and services as a contractor. 		3. Earnings for services under non-equity incentive plans. Doe	s not include group life, health, hospitalization, or medical reimbursement				
 5. Above-market earning of deferred compensation which are not tax-qualified Other compensation. For Example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property if the values for the executive exceed \$10,000 Section E: Subrecipient Requirements and Responsibilities Before submitting a subaward proposal, the subrecipient must verify that it fits the characteristics of a subrecipient, rather than those of a contractor. The following chart outlines the differences. Please check all that apply. Subrecipient Contractor Performance represents an intellectually significant portion of the overall programmatic effort and is measured against the objectives of the Federal program Will use the Federal funds to carry out a program for a public purpose, as opposed to providing goods or services for the benefit of UCSB Is responsible for adhering to applicable Federal program Is responsible for adhering to applicable Federal program Is responsible for adhering to applicable Federal program requirements specified in the Federal award There is an identified principal investigator for the subrecipient who has responsibility for making programmatic decisions Yes No My organization is properly categorized as a subrecipient as described above. If "No," please contact the UCSB PI about procuring your organization's products and services as a contractor. 		plans that do not discriminate in favor of executives, and a	re available generally to all salaried employees.				
Other compensation. For Example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property if the values for the executive exceed \$10,000 Section E: Subrecipient Requirements and Responsibilities Before submitting a subaward proposal, the subrecipient must verify that it fits the characteristics of a subrecipient, rather than those of a contractor. The following chart outlines the differences. Please check all that apply. Subrecipient Contractor Performance represents an intellectually significant against the objectives of the Federal program Provides goods or services that are ancillary to the operation of the overall programmatic effort and is measured against the objectives of the Federal program Will use the Federal funds to carry out a program for a public purpose, as opposed to providing goods or services and its measured is neasured is requirements specified in the Federal program requirements specified in the Federal program requirements specified in the Federal award Provides similar goods or services to many different program as a result of the agreement with UCSB Is responsible for adhering to applicable Federal program requirements specified in the Federal award Normally operates in a competitive environment Pres I No My organization is properly categorized as a subrecipient as described above. If "No," please contact the UCSB Pl about procuring your organization's products and services as a contractor.		4. Change in pension value. This is the change in present value	e of defined benefit and actuarial pension plans.				
Subrecipient Requirements and Responsibilities Before submitting a subaward proposal, the subrecipient must verify that it fits the characteristics of a subrecipient, rather than those of a contractor. The following chart outlines the differences. Please check all that apply. Subrecipient Contractor Performance represents an intellectually significant portion of the overall programmatic effort and is measured against the objectives of the Federal program Provides goods or services that are ancillary to the operation of the Federal funds to carry out a program for a public purpose, as opposed to providing goods or services is similar goods or services to many different purchasers Is responsible for adhering to applicable Federal program requirements specified in the Federal award Is not subject to the compliance requirements of the Federal program is a result of the agreement with UCSB There is an identified principal investigator for the subrecipient who has responsibility for making programmatic decisions Is not subject is a described above. If "No," please contact the UCSB PI about procuring your organization's products and services as a contractor.		5. Above-market earning of deferred compensation which are	e not tax-qualified				
Section E: Subrecipient Requirements and Responsibilities Before submitting a subaward proposal, the subrecipient must verify that it fits the characteristics of a subrecipient, rather than those of a contractor. The following chart outlines the differences. Please check all that apply. Subrecipient Contractor Performance represents an intellectually significant portion of the overall programmatic effort and is measured against the objectives of the Federal program Provides goods or services that are ancillary to the operation of the Federal funds to carry out a program for a public purpose, as opposed to providing goods or services imilar goods or services to many different purchasers Is responsible for adhering to applicable Federal program requirements specified in the Federal award Provides the compliance requirements of the Federal program requirements specified in the Federal award There is an identified principal investigator for the subrecipient who has responsibility for making programmatic decisions Is not subject to the compliance requirements of the Federal program as a result of the agreement with UCSB Yes No My organization is properly categorized as a subrecipient as described above. If "No," please contact the UCSB PI about procuring your organization's products and services as a contractor.		Other compensation. For Example, severance, termination	on payments, value of life insurance paid on behalf of the employee				
Before submitting a subaward proposal, the subrecipient must verify that it fits the characteristics of a subrecipient, rather than those of a contractor. The following chart outlines the differences. Please check all that apply. Subrecipient Contractor Performance represents an intellectually significant portion of the overall programmatic effort and is measured against the objectives of the Federal program Provides goods or services that are ancillary to the operation of the Federal program Will use the Federal funds to carry out a program for a public purpose, as opposed to providing goods or services for the benefit of UCSB Provides similar goods or services to many different purchasers Is responsible for adhering to applicable Federal program requirements specified in the Federal award Is not subject to the compliance requirements of the Federal program as a result of the agreement with UCSB There is an identified principal investigator for the subrecipient who has responsibility for making programmatic decisions Normally operates in a competitive environment Yes No My organization is properly categorized as a subrecipient as described above. If "No," please contact the UCSB Pl about procuring your organization's products and services as a contractor.		perquisites or property if the values for the executive excee	ed \$10,000				
Subrecipient Contractor Performance represents an intellectually significant portion of the overall programmatic effort and is measured against the objectives of the Federal program Provides goods or services that are ancillary to the operation of the Federal program Will use the Federal funds to carry out a program for a public purpose, as opposed to providing goods or services for the benefit of UCSB Provides similar goods or services to many different purchasers Is responsible for adhering to applicable Federal program requirements specified in the Federal award Is not subject to the compliance requirements of the Federal program as a result of the agreement with UCSB There is an identified principal investigator for the subrecipient who has responsibility for making programmatic decisions Normally operates in a competitive environment Yes No My organization is properly categorized as a subrecipient as described above. If "No," please contact the UCSB PI about procuring your organization's products and services as a contractor.	Se	ection E: Subrecipient Requirements and Responsibilities					
Subrecipient Contractor Performance represents an intellectually significant portion of the overall programmatic effort and is measured against the objectives of the Federal program Provides goods or services that are ancillary to the operation of the Federal program Will use the Federal funds to carry out a program for a public purpose, as opposed to providing goods or services for the benefit of UCSB Provides the goods or services to many different purchasers Is responsible for adhering to applicable Federal program requirements specified in the Federal award Is not subject to the compliance requirements of the Federal program as a result of the agreement with UCSB There is an identified principal investigator for the subrecipient who has responsibility for making programmatic decisions Normally operates in a competitive environment Yes No My organization is properly categorized as a subrecipient as described above. If "No," please contact the UCSB PI about procuring your organization's products and services as a contractor.	Be	efore submitting a subaward proposal, the subrecipient must verify	that it fits the characteristics of a subrecipient, rather than those of a				
 Performance represents an intellectually significant portion of the overall programmatic effort and is measured against the objectives of the Federal program Will use the Federal funds to carry out a program for a public purpose, as opposed to providing goods or services for the benefit of UCSB Is responsible for adhering to applicable Federal program requirements specified in the Federal award There is an identified principal investigator for the subrecipient who has responsibility for making programmatic decisions Yes No My organization is properly categorized as a subrecipient as described above. If "No," please contact the UCSB PI about procuring your organization's products and services as a contractor. 	со	ontractor. The following chart outlines the differences. Please che	eck all that apply.				
 Performance represents an intellectually significant portion of the overall programmatic effort and is measured against the objectives of the Federal program Will use the Federal funds to carry out a program for a public purpose, as opposed to providing goods or services for the benefit of UCSB Is responsible for adhering to applicable Federal program requirements specified in the Federal award There is an identified principal investigator for the subrecipient who has responsibility for making programmatic decisions Yes No My organization is properly categorized as a subrecipient as described above. If "No," please contact the UCSB PI about procuring your organization's products and services as a contractor. 	_						
 portion of the overall programmatic effort and is measured against the objectives of the Federal program Will use the Federal funds to carry out a program for a public purpose, as opposed to providing goods or services for the benefit of UCSB Is responsible for adhering to applicable Federal program requirements specified in the Federal award There is an identified principal investigator for the subrecipient who has responsibility for making programmatic decisions Yes No My organization is properly categorized as a subrecipient as described above. If "No," please contact the UCSB PI about procuring your organization's products and services as a contractor. 		Subrecipient	Contractor				
 against the objectives of the Federal program Will use the Federal funds to carry out a program for a public purpose, as opposed to providing goods or services for the benefit of UCSB Is responsible for adhering to applicable Federal program requirements specified in the Federal award There is an identified principal investigator for the subrecipient who has responsibility for making programmatic decisions Yes No My organization is properly categorized as a subrecipient as described above. If "No," please contact the UCSB PI about procuring your organization's products and services as a contractor. 	ſ	□ Performance represents an intellectually significant	Provides goods or services that are ancillary to the operation				
 Will use the Federal funds to carry out a program for a public purpose, as opposed to providing goods or services for the benefit of UCSB Is responsible for adhering to applicable Federal program requirements specified in the Federal award There is an identified principal investigator for the subrecipient who has responsibility for making programmatic decisions Yes No My organization is properly categorized as a subrecipient as described above. If "No," please contact the UCSB PI about procuring your organization's products and services as a contractor. 		portion of the overall programmatic effort and is measured	of the Federal program				
 public purpose, as opposed to providing goods or services for the benefit of UCSB Is responsible for adhering to applicable Federal program requirements specified in the Federal award There is an identified principal investigator for the subrecipient who has responsibility for making programmatic decisions Yes D No My organization is properly categorized as a subrecipient as described above. If "No," please contact the UCSB PI about procuring your organization's products and services as a contractor. 							
 for the benefit of UCSB Is responsible for adhering to applicable Federal program requirements specified in the Federal award There is an identified principal investigator for the subrecipient who has responsibility for making programmatic decisions Yes D No My organization is properly categorized as a subrecipient as described above. If "No," please contact the UCSB PI about procuring your organization's products and services as a contractor. 			·				
 Is responsible for adhering to applicable Federal program requirements specified in the Federal award There is an identified principal investigator for the subrecipient who has responsibility for making programmatic decisions Yes No My organization is properly categorized as a subrecipient as described above. If "No," please contact the UCSB PI about procuring your organization's products and services as a contractor. 							
 requirements specified in the Federal award There is an identified principal investigator for the subrecipient who has responsibility for making programmatic decisions Yes No My organization is properly categorized as a subrecipient as described above. If "No," please contact the UCSB PI about procuring your organization's products and services as a contractor. 							
 There is an identified principal investigator for the subrecipient who has responsibility for making programmatic decisions Yes D No My organization is properly categorized as a subrecipient as described above. If "No," please contact the UCSB PI about procuring your organization's products and services as a contractor. 							
subrecipient who has responsibility for making programmatic decisions Yes No My organization is properly categorized as a subrecipient as described above. If "No," please contact the UCSB PI about procuring your organization's products and services as a contractor.							
programmatic decisions Yes No My organization is properly categorized as a subrecipient as described above. If "No," please contact the UCSB PI about procuring your organization's products and services as a contractor.							
☐ Yes ☐ No My organization is properly categorized as a subrecipient as described above. If "No," please contact the UCSB PI about procuring your organization's products and services as a contractor.							
If "No," please contact the UCSB PI about procuring your organization's products and services as a contractor.	L		rinient as described above				
			-				
Section P. Comments (please attach additional pages in necessary)							
	Se	ection re- comments (please attach additional pages in necessary)					

Approved for Subrecipient

The information, certifications, and representations above have been read, signed, and made by an authorized institutional representative of the Subrecipient named herein. The appropriate programmatic and administrative personnel involved in this application are aware of agency policies 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.

Signature of Subrecipient's Authorized Institutional Representative	Street Address		
Typed Name of Subrecipient's Authorized Institutional Representative	City, State, Zip		
Title of Subrecipient's Authorized Institutional Representative	Phone	Fax	
Date	Email Address		