



**Office of Research and Sponsored Programs
Subrecipient Data Form
(Federal)**

Revision Effective Date:
04/30/2026

All Subrecipients must complete this form when submitting a proposal to UL Lafayette. 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 INFORMATION

Subrecipient Legal Name:		Mailing Address:	
		ZIP Code +4: _____ Congressional District: _____	
		Name/address of cognizant agency:	
Employer ID# (EIN):			
Unique Entity Identifier (UEI):			
Fiscal Year Period (MM/DD):	from	to	

PROPOSAL INFORMATION

Proposal Title:
Subrecipient Request (in dollars): \$
Subrecipient Cost Share, if applicable (in dollars): \$
Period of Performance: (MM/DD/YY) from _____ to _____
Prime Sponsor Name:

CONTACT INFORMATION

Subrecipient Principal Investigator	Subrecipient Administrative Contact
Name:	Name:
Title:	Title:
Phone:	Phone:
Email:	Email:
Authorized Institutional Signatory	Subrecipient Financial Contact
Name:	Name:
Title:	Title:
Phone:	Phone:
Email:	Email:

SUBRECIPIENT REQUIREMENTS AND RESPONSIBILITIES

<p>UL Lafayette views a subrecipient organization as a true partner in carrying out a sponsored project. The requirements and responsibilities of UL Lafayette subrecipients are different from that of a vendor/supplier. The following chart outlines the differences:</p>	
Subrecipient	Contractor
<p>(a) Subrecipient's PI (named in section above) will take a significant role in programmatic decision-making and assist the UL Lafayette PI in achieving the project's goals and objectives.</p> <p>(b) Subrecipient will be subject to all of the compliance requirements from the prime award that are pertinent to the subrecipient, e.g., effort reporting on federal awards.</p> <p>(c) Subrecipient will be expected to provide a complete copy of the subrecipient's most recent audit report, or the URL link to a complete copy, before a subaward agreement can be established.</p>	<p>(a) Provides routine goods/and or services to other customers or clients and/or</p> <p>(b) Provides goods or services developed according to specification of UL Lafayette PI and/or</p> <p>(c) Provides personnel services that are primarily advisory in nature and/or</p> <p>(d) Provides other ancillary services related to the sponsored project per the instructions of the UL Lafayette PI.</p>
YES	NO
<input type="checkbox"/>	<input type="checkbox"/>
<p>My organization is properly categorized as a subrecipient as described above and agrees to the project roles, compliance responsibilities, and audit requirements listed above.</p> <p>If "No" please contact the UL Lafayette PI about procuring your organization's products and services as a supplier/vendor.</p>	

		A. AUDIT STATUS
YES	NO	Note: Subrecipient will be expected to provide a complete copy of the Subrecipient's most recent audit report, or the URL for a complete copy of the audit report, before a subaward can be established.
<input type="checkbox"/>	<input type="checkbox"/>	1. Does subrecipient receive an annual audit in accordance with OMB Uniform Guidance?
<input type="checkbox"/>	<input type="checkbox"/>	a. If "YES", has audit been completed for the most recent fiscal year?
<input type="checkbox"/>	<input type="checkbox"/>	b. If "YES", were any audit findings reported? (<i>explain any findings in comments section below</i>)
		c. If "NO", what date is the anticipated completion date?
		d. URL Link to most recent Audit Report:
		2. If subrecipient does not receive an annual audit in accordance with OMB Uniform Guidance, please select the appropriate box indicating why the subrecipient would not be subject to compliance with OMB certification:
		<input type="checkbox"/> Non-profit entity expending less than \$500,000 per year in federal funds
		<input type="checkbox"/> Foreign entity
		<input type="checkbox"/> For-profit entity
		<input type="checkbox"/> Government entity

Comments:

		B. CERTIFICATIONS								
YES	NO	<i>If proposal is awarded, appropriate committee approvals must be provided before any subaward can be issued.</i>								
<input type="checkbox"/>	<input type="checkbox"/>	1. Does the submitted proposal involve Facilities & Administrative costs in the budget? <i>If yes, Facilities & Administrative rates included in this proposal have been calculated based on the following:</i> <input type="checkbox"/> F&A Rate Agreement attached Available at: _____ <input type="checkbox"/> A reduced F&A rate dictated by the prime sponsor that we hereby agree to accept Rate: _____ <input type="checkbox"/> Not applicable (no F&A requested)								
<input type="checkbox"/>	<input type="checkbox"/>	2. Fringe Benefit Rates included in this proposal have been calculated based on the following: <input type="checkbox"/> Rates are consistent with or lower than our Federally-negotiated rates. <i>If this box is checked, a copy of your federal fringe benefit rate agreement must be attached.</i> <input type="checkbox"/> Based on actual rates. <input type="checkbox"/> Other rates (specify): _____								
<input type="checkbox"/>	<input type="checkbox"/>	3. Is cost sharing included in the proposal? <i>If yes, explanation of Cost Sharing sources must be included in the subrecipient's budget and budget justification. Please note that annual verification of cost share commitment will be required.</i>								
<input type="checkbox"/>	<input type="checkbox"/>	4. Does the proposed subaward project involve Human Subjects? <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="padding: 2px;"><i>If yes & NIH funding, have all key personnel completed Human Subjects Training?</i></td> <td style="padding: 2px;"><input type="checkbox"/> Yes <input type="checkbox"/> No</td> </tr> <tr> <td style="padding: 2px;"><i>If yes, IRB approval is:</i></td> <td style="padding: 2px;"><input type="checkbox"/> Pending <input type="checkbox"/> Approved <input type="checkbox"/> Exempt</td> </tr> <tr> <td style="padding: 2px;"><i>Will this project rely on a single IRB (sIRB)?</i> <i>sIRB institution:</i></td> <td style="padding: 2px;"><input type="checkbox"/> No <input type="checkbox"/> Yes</td> </tr> <tr> <td colspan="2" style="padding: 2px;"><i>If "Exempt," please indicate the applicable exemption code under 45 CFR § 46.104</i></td> </tr> </table>	<i>If yes & NIH funding, have all key personnel completed Human Subjects Training?</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<i>If yes, IRB approval is:</i>	<input type="checkbox"/> Pending <input type="checkbox"/> Approved <input type="checkbox"/> Exempt	<i>Will this project rely on a single IRB (sIRB)?</i> <i>sIRB institution:</i>	<input type="checkbox"/> No <input type="checkbox"/> Yes	<i>If "Exempt," please indicate the applicable exemption code under 45 CFR § 46.104</i>	
<i>If yes & NIH funding, have all key personnel completed Human Subjects Training?</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No									
<i>If yes, IRB approval is:</i>	<input type="checkbox"/> Pending <input type="checkbox"/> Approved <input type="checkbox"/> Exempt									
<i>Will this project rely on a single IRB (sIRB)?</i> <i>sIRB institution:</i>	<input type="checkbox"/> No <input type="checkbox"/> Yes									
<i>If "Exempt," please indicate the applicable exemption code under 45 CFR § 46.104</i>										

		<i>Date IRB determined research to be approved or exempt:</i>		
		<i>IRB Protocol No.:</i>		<i>Federal Wide Assurance (FWA) No.:</i>
<input type="checkbox"/>	<input type="checkbox"/>	5. Does the proposed subaward project involve Animal Subjects?		
		<i>If yes, IACUC approval is:</i> <i>If approved:</i> <i>Approval date:</i> <i>IACUC Approval Number:</i>		<input type="checkbox"/> Pending <input type="checkbox"/> Approved
		<i>Does Subrecipient organization has a PHS Animal Welfare Assurance (AWA) Number?</i>		<input type="checkbox"/> No <input type="checkbox"/> Yes <i>PHS AWA No.:</i>
<input type="checkbox"/>	<input type="checkbox"/>	6. Does this project involve Radioactive Materials/Radiation?		
<input type="checkbox"/>	<input type="checkbox"/>	7. Does this project involve Biohazards or rDNA?		
		8. Conflict of Interest Policy (<i>applicable to NIH, NSF, or any other program requiring federal financial disclosure</i>)		
<input type="checkbox"/> Not Applicable; this project is not being funded by NIH, NSF, or any other program requiring financial disclosure <input type="checkbox"/> Subrecipient Organization hereby certifies that is has an active and enforced conflict of interest policy that complies with the provisions of 42 CFR Part 50, Subpart F – “Promoting Objectivity in Research.” <i>A copy of the policy has been included in the submission.</i> <input type="checkbox"/> Subrecipient organization does not have an active and/or enforced conflict of interest policy and hereby agrees to abide by UL Lafayette’s policy and related procedures. See policy at: https://vpresearch.louisiana.edu/research-compliance/financial-conflict-interest <input type="checkbox"/> Organization and/or PI has a significant financial interest that may affect, or be perceived to affect, research results? (If “YES”, please provide additional information in comments below).				
		9. Mandatory Compliance Training		
		Research Security (<i>required by: NIH, NSF, USDA, DOE, DOD</i>) <input type="checkbox"/> Not Applicable <input type="checkbox"/> Institution has no access to training module <input type="checkbox"/> Subrecipient organization hereby certifies that it will ensure that all undergraduate students, graduate students, and postdoctoral researchers who will be supported by this federally-funded proposal will receive training and oversight in the responsible and ethical conduct of research. <i>Subrecipient organization certifies that the training will be completed within 12 months before submission and will renew the training annually.</i>		
		Responsible Conduct of Research (<i>required by: NIH, NSF</i>) <input type="checkbox"/> Not Applicable <input type="checkbox"/> Institution has no access to training module <input type="checkbox"/> Subrecipient organization hereby certifies that it will ensure that all undergraduate students, graduate students, and postdoctoral researchers who will be supported by this federally-funded proposal will receive training and oversight in the responsible and ethical conduct of research. <i>Subrecipient organization certifies that the training will be complete within 1 year of award and will renew the training every 4 years.</i>		
		Other Support (<i>required by: NIH</i>) <input type="checkbox"/> Not Applicable <input type="checkbox"/> Institution has no access to training module <input type="checkbox"/> Subrecipient organization hereby certifies that it will ensure that all undergraduate students, graduate students, and postdoctoral researchers who will be supported by this federally-funded proposal will receive training and oversight in the responsible and ethical conduct of research. <i>Subrecipient organization certifies that the training will be complete before submitting Other Support disclosures (JIT, RPPR, etc.).</i>		
		Financial Conflict of Interest (<i>required by: NIH</i>) <input type="checkbox"/> Not Applicable <input type="checkbox"/> Institution has no access to training module <input type="checkbox"/> Subrecipient organization hereby certifies that it will ensure that all undergraduate students, graduate students, and postdoctoral researchers who will be supported by this federally-funded proposal will receive training and oversight in the responsible and ethical conduct of research. <i>Subrecipient organization certifies that the training will be complete upon award prior to spending funds and will renew the training every 4 years.</i>		
<input type="checkbox"/>	<input type="checkbox"/>	11. Organization has a written Affirmative Action Plan in compliance with Secretary of Labor (41 CFR 60-1 and 60-2).		
		12. Debarred and Suspension Information		

		<input type="checkbox"/> Yes <input type="checkbox"/> No	Is the subrecipient organization, Principal Investigator (PI), or any other employee or student participating on this project debarred, suspended, or otherwise excluded from or ineligible for participation in federal department, agency, assistance programs or activities?
		<input type="checkbox"/> Yes <input type="checkbox"/> No	Is the subrecipient organization presently indicted for, or otherwise criminally or civilly charged by a government entity?
		13. Export Controls <input type="checkbox"/> Not applicable. There are no activities included in this proposal that might involve export control issues. <input type="checkbox"/> Subrecipient organization hereby confirms that an export control officer or other authorized person has reviewed the Subrecipient's proposal for compliance with federal export control laws. The subrecipient organization is individually responsible for maintaining its compliance with federal export laws and procedures.	
<input type="checkbox"/>	<input type="checkbox"/>	14. Organization certifies that it has not used Federal or non-Federal funds for lobbying purposes, pursuant to title 31 U.S.C. section 1352. (If "YES", complete and submit Standard Form- LLL, "Disclosure Form to Report Lobbying")	
		15. Fiscal Responsibility	
		<input type="checkbox"/> Yes <input type="checkbox"/> No	Does the Subrecipient's financial system comply with generally accepted accounting principles?
		<input type="checkbox"/> Yes <input type="checkbox"/> No	Does the Subrecipient organization's financial system have the capability to identify, in its accounts, all federal awards received and expended, and the federal programs under which they were received?
		<input type="checkbox"/> Yes <input type="checkbox"/> No	Does the Subrecipient organization maintain internal controls to ensure that it is managing federal awards in compliance with applicable laws, regulations, and the provision of contracts, grants, and agreements?
		<input type="checkbox"/> Yes <input type="checkbox"/> No	Does the Subrecipient organization and its financial system comply with applicable laws and regulations?
		<input type="checkbox"/> Yes <input type="checkbox"/> No	Can the Subrecipient organization and its financial system prepare appropriate financial statements, including the schedule of expenditures of federal awards?
		<input type="checkbox"/> Yes <input type="checkbox"/> No	Does the Subrecipient have an acceptable procurement system?
<input type="checkbox"/>	<input type="checkbox"/>	16. Federal Debts: Is the subrecipient organization delinquent on repayment of any federal debt including direct and guaranteed loans and / or other debt as defined in OMB Circular A-129: "Policies for Federal Credit Programs and Non-Tax Receivables"?	
		17. Prior Award Experience	
		<input type="checkbox"/> Yes <input type="checkbox"/> No	Is the Subrecipient organization currently in receipt of federal funding or has it received federal funding in the past?
		<input type="checkbox"/> Yes <input type="checkbox"/> No	Has the Subrecipient organization had a contract, grant, and/or agreement terminated for cause or material breach? <i>(If yes, explain in the comment section below.)</i>
Comments:			

YES	NO	C. FFATA Information	
<input type="checkbox"/>	<input type="checkbox"/>	1. Organization certifies that it is registered in the System for Award Management (SAM).	
		2. Location and address of PI's lab and/or facilities (Performance site):	
		ZIP Code +4:	Congressional District:
<input type="checkbox"/>	<input type="checkbox"/>	3. Is work being performed outside of Congressional District listed above in (C.2)?	
		If "YES", list separate entry for each location performed outside of Congressional District shown in C.2.	
		4. Total compensation and names of top five executives (subcontract/subgrant recipients). You must report executive compensation information for subawardees through SAM if in the preceding fiscal year and provide that same information in 4(c)(i-v) - (please mark Section 4(a-c) below with a "✓" if you deem your organization to be exempt):	
<input type="checkbox"/>	4a. Your organization received 80% or more of its annual gross revenues in Federal awards and		
<input type="checkbox"/>	4b. Those revenues are greater than \$25 million annually, and		
<input type="checkbox"/>	4c. The public does not have access to information about the compensation of the executives through periodic report 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.		
		Name	Title
		4ci.	\$
		4cii.	\$
		4ciii.	\$
		4civ.	\$
		4cv.	\$

The information, certifications and representations 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 aware of the prime agency's policy in regard to subawards and are prepared to establish the necessary inter-institutional agreements consistent with those policies.

The following documents are included in our subrecipient proposal submission:

Required components	As applicable per sponsor requirements
<input type="checkbox"/> Scope of Work (REQUIRED)	<input type="checkbox"/> Key Personnel Biographical Sketches
<input type="checkbox"/> Detailed Budget & Budget Justification (REQUIRED)	<input type="checkbox"/> Key Personnel Current & Pending Support
<input type="checkbox"/> F&A and Fringe Rate Agreements (REQUIRED)	<input type="checkbox"/> Facilities, Equipment, & Other Resources
<input type="checkbox"/> Subrecipient Data Form (THIS FORM, REQUIRED)	<input type="checkbox"/> Other:
<input type="checkbox"/> Copies of relevant policies (e.g., Conflict of Interest, etc.)	
<input type="checkbox"/> Agency IDs and usernames (CONDITIONALLY REQUIRED)	

Signature of Authorized Official

Date signed