



Office of Sponsored Programs

Subrecipient Commitment Form

To be completed by Pass-through Entity (PTE):

PTE Legal Name: _____ PTE UEI #: _____

PTE Principal Investigator: _____

Prime Awarding Agency: _____ Proposed Project Period: _____

Project Title: _____

PTE Internal Project Identifier (optional): _____

Pre-Award Contact: _____

Contact Email for Subaward setup: _____

Section I - Subrecipient (Sub) - [FDP-entities, please complete Sections I, II, III, IV, VIII & IX]

Sub Legal Name: _____ UEI #: _____

Sub Legal Address: _____ City/State _____ Zip + 4 _____ Congressional District: _____

Sub Principal Investigator Name: _____

Sub Principal Investigator Phone/Email: _____

Sub Internal Project Identifier (optional): _____

Pre-Award Administrator Name: _____

Phone/Email: _____

Address where work will be performed:	(Only complete this section if the research will be performed in a different congressional district than the legal address)
Zip + 4 _____	Congressional District _____

Section II - Project Specific Information

Proposed Sub Project Period: _____

Sub Total Proposed Amount for Project Period: _____

Cost Share Required? Yes No If Yes, Sub Cost Share amount for Project Period: _____

- PROPOSAL COMPONENTS:** (The following are included in the subrecipient proposal submission)
- Statement of Work [SOW] - (REQUIRED - Please attach to this form with submission)
SOW should include work to be performed, project description, PI, period of performance, deliverables, and milestones
 - Budget and Budget Justification (REQUIRED - Please attach to this form with submission)
This should include a budget for the entire length of project, broken down yearly by major cost category and budget justification with reasonable level of detail.
 - Subrecipient Commitment Form (REQUIRED - signed by subrecipient's Authorized Official)
 - Key Personnel Biographical Sketch
 - Current and Pending
 - Institutional Letter of Commitment/Support, signed by subrecipient's Authorized Official (optional or as required by sponsor)
 - Other

Section III - Compliance Information

For the Subrecipient Statement of Work, Please indicate if the project will include any of the following:

Human Subjects	Yes	No	If Yes, please provide the entity's Federal Wide Assurance # and a copy of the IRB approval page (for FDP Institutions only the approval is needed)
Vertebrate Animal Research	Yes	No	If Yes, please provide the entity's PHS Animal Welfare Assurance # and a copy of the IACUC approval page (for FDP Institutions only the approval is needed)
Biological Safety - Recombinant DNA or Synthetic Nucleic Acid Molecules			Yes No
Ionizing Radiation			Yes No

Do you anticipate the use or development of items, software or technology that would require review under Export Control Laws?

Yes No If Yes, please explain below:

Does the Subrecipient SOW include work covered by ITAR or EAR? Yes No If Yes, please explain below:

Section IV - Certifications not covered in FDP Clearinghouse

Responsible Conduct of Research (RCR) (applicable to USDA, NSF & NIH)

Not applicable - this project is not funded by NSF, NIH or USDA-NIFA.

Not applicable - non-educational institution.

If funded by NSF, the subrecipient certifies, if applicable, that it maintains an institutional plan to meet NSF's Educational Requirements for the Responsible Conduct of Research, as required under the "America COMPETES Act" PUBLIC LAW 110-69 - August 9, 2007. The subrecipient certifies that it has a training program in place and will train all undergraduate and graduate students and postdocs in accordance with NSF's RCR training requirements.

If funded by USDA-NIFA, the Subrecipient certifies, if applicable, that it maintains an Institutional Plan to meet USDA-NIFA's Educational Requirements for the Responsible and Ethical Conduct of Research, as required by NIFA Research Terms and Conditions (December 26, 2014), and the Subrecipient has a training program in place and will train all USDA-NIFA funded program directors, faculty, undergraduate students, graduate students, postdoctoral researchers, and any staff participating in the research project.

If funded by NIH, the Subrecipient certifies, if applicable, that for NIH Grants for Training and Fellowship awards, the Subrecipient will monitor and maintain records for the individual training plans as proposed by Subrecipient, in accordance with NIH's RCR Training requirements.

If your organization does not currently provide RCR training you may email research.integrity@auburn.edu for assistance with training offered through Auburn University.

Section V - Rate Information

Facilities and Administrative Rates

We have applied our federally-negotiated F&A rate for this type of work. Our negotiated rate agreement is:

Attached: Available At: _____

We have applied the rate as required by the prime sponsor policies/guidelines.

We do not have a federally negotiated rate:

The 10% de minimus rate has been elected (this rate will apply to all subsequent subawards from the subrecipient until the entity elects to negotiate an F&A rate with a Federal agency)

We have chosen not to charge any F&A rate to this project.

We have applied other rates to this project. (Please specify the basis on which the rate has been calculated in the box below)

Not applicable (Sponsor unallowed)

Section V - Rate Information (Continued)

Fringe Benefit Rates

We have applied our rates consistent with or lower than our federally-negotiated rates. Our negotiated rate agreement is:

Attached: Available At: _____

We do not have a federally-negotiated rate and have applied actual fringe benefits (specify the benefit categories below).

We have applied other rates: (Please specify the basis on which rates have been calculated, including elements used in calculation, below).

Section VI - Certifications

Financial Conflict of Interest (FCOI) (select one):

Not applicable because this project is not being funded by PHS (NIH, CDC, AHRQ, etc.), NSF or any other sponsor that has adopted the federal financial disclosure requirements.

Mandatory for PHS, or other sponsors that have adopted the requirements regarding Conflicts of Interest, outlined in 42 CFR 50, Subpart F, Responsibility of Applicants for Promoting Objectivity in Research for Which PHS Funding is Sought:

Subrecipient Organization/Institution certifies that it has an active and enforced conflict of interest policy that is consistent with the provision of 42 CFR Part 50, Subpart F "Responsibility of Applicants for Promoting Objectivity in Research for Which PHS Funding is Sought" and 45 CFR Part 94 "Responsible Prospective Contractors". Subrecipient also certifies that, to the best of the Institution's knowledge: (1) all financial disclosures will be made related to the activities that may be funded by or through a resulting agreement, and required by its conflict of interest policy, and (2) all identified conflicts of interest have or will have been satisfactorily managed, reduced or eliminated in accordance with subrecipient's conflict of interest policy prior to the expenditures of any funds under any resultant agreement and within a timely manner sufficient to enable timely FCOI reporting.

Subrecipient Organization/Institution does not have an active and/or enforced COI policy, but will have a PHS compliant policy in place and published at the time of award.

Subrecipient Organization/Institution does not have an active and/or enforced conflict of interest policy and wishes to comply with Auburn University's Financial Conflict of Interest Policy for Research and Related Activities.

For NSF, or other sponsors that have adopted NSF's conflict of interest requirements:

Subrecipient Organization/Institution certifies it is in compliance with the requirement to maintain a written and enforced policy on conflict of interest and complies with Chapter IX.A. of the NSF Proposal and Award Policies and Procedures Guide.

Subrecipient Organization/Institution does not have an active and/or enforced conflict of interest policy and agrees to abide by and follow Auburn University's policy regarding all financial interest disclosure and management processes.

By signing, Subrecipient Organization/Institution certifies that the required training will be completed by each investigator prior to engaging in any research related to any PHS/NSF funded contract/grant. If your organization does not currently provide FCOI training and/or FCOI Disclosure, you may email research.integrity@auburn.edu for assistance with training and disclosure offered through Auburn University.

Fiscal Responsibility - Subrecipient certifies that its financial system is in accordance with generally accepted accounting principles and (check all that apply):

Has the capability to identify, in its accounts, all Federal awards received and expended and the Federal programs under which they were received.

Maintains internal controls to assure that it is managing Federal awards in compliance with applicable laws, regulations, and the provisions of contracts or grants.

Complies with applicable laws and regulations.

Can prepare appropriate financial statements, including the schedule of expenditures of federal awards.

Has a financial management system that provides for the control and accountability of project funds, property, and other assets.

Has a procurement system that allows for free and open competition, and eliminates or reduces conflict of interest in the procurement process.

There are no outstanding audit findings which would impact project costs. If there are findings, submit a copy of the most recent report that describes the finding and steps to be taken to correct the finding.

Section VI - Certifications (Continued)

Type of Organization (Select One)

EIN# _____

Registered in SAM.gov? Yes No

If Yes, expiration date: _____

Other: Please explain and indicate year established:

Does Subrecipient have adequate experience receiving same or similar federal awards?

Yes No

Foreign (non-US) Institutions:

NAICS Code:

NCAGE Code:

CAGE Code (Commercial & Government Entity)

Subrecipient Audit Requirements

Does the Subrecipient receive an annual audit in accordance with Uniform Guidance (UG) 2 CFR Part 200 Subpart F- Audit Requirements? Yes No

If "Yes", Fiscal year of most recent audit: _____

Were any relevant audit findings reported in your most recent audit? Yes No

If "Yes", provide a description of the finding(s) in the box below.

Subrecipients receiving an annual audit under UG 2 CFR 200 Subpart F are required to provide a copy of the most recent audit report to Auburn University Office of Sponsored Programs before a subagreement will be issued. (If Audit can be found in the Federal Audit Clearinghouse please check the box below and continue to the next section)

Federal Audit Clearinghouse: Attached: URL link: _____

If Subrecipient does not receive an annual audit in accordance with UG 2 CFR 200 Subpart F, please select the appropriate box indicating why **AND, provide one of the following**: An audited Financial Statement, Independent auditor's management letter, or Other. Organizations not subject to the Single Audit may be required to complete a mini-audit questionnaire and may require a limited scope audit before a subaward can be issued.

Non-Profit entity that expended less than \$750,000 in U.S. federal funds during previous fiscal year

U.S. Government Entity

Foreign Entity

For-Profit Entity

Other (please explain)

Comments:

Subrecipient Business Status (Complete only if your institution type is a Small Business)

Identify all applicable Federally-defined qualifications:

Small Disadvantaged Business (SDB) (8a)

Women-Owned Small Business (WOSB)

Service Disabled Veteran-Owned Small Business

Veteran-Owned Small Business (VOSB)

(SDVOSB) Small Minority Business (SMB)

HUBZone Small Business

Debarment And Suspension

By signing, Subrecipient certifies that:

Subrecipient, the PI or any other employee or student participating in this project are not debarred, suspended, proposed for debarment, declared ineligible, or otherwise excluded from or ineligible for participation in federal assistance programs, federal contracts, or activities.

Subrecipient, the PI or any other employee or student participating in this project are not presently indicted for, or otherwise criminally or civilly charged by a government entity.

Subrecipient has not within three (3) years preceding this offer, been convicted of or had a civil judgment rendered against them for commission of fraud or criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) contract or subcontract; violation of Federal or State antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property.

Subrecipient has not within three (3) years preceding this offer, had any contract terminated for default by any federal agency.

If Subrecipient cannot certify to any of the above, explain below:

Section VI - Certifications (Continued)

Federal Funding Accountability & Transparency Act (FFATA) Information (complete when collaborating on a U.S. federal project)

Auburn University is required under FFATA to collect Subrecipient information for transactions exceeding \$30,000. Are all of the following true for your institution for the preceding fiscal year? Yes No - (skip to Section VII)

- ☐ Received eighty percent (80%) or more of its annual gross revenues in Federal awards (federal contracts and subcontracts, loans, grants and subgrants, and cooperative agreements); AND
- ☐ Received twenty-five million (\$25M) or more in annual gross revenues from Federal awards; AND
- ☐ The public does not have access to information about compensation of the five most highly compensated officers of your institution 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. See FFATA § 2(b)(1).

If you answered "Yes" to the question above, complete the compensation report below:

Total compensation and names of top five executives	
Name	Compensation Amount
1. _____	\$ _____
2. _____	\$ _____
3. _____	\$ _____
4. _____	\$ _____
5. _____	\$ _____

Section VII - Subrecipient Contact Information

Central Email:

Website:

Post-Award Admin Contact Name:

Email:

Telephone Number:

Financial Contact Name:

Email:

Telephone Number:

Authorized Official Name:

Email:

Telephone Number:

Section VIII - Subrecipient Classification

Subrecipient	Vendor
<ul style="list-style-type: none"> ● Will be responsible for significant programmatic decision making ● Will contribute considerably to the scientific conduct (management) of the project ● Does not provide this service or goods to other customers within normal business operations ● Must adhere to any Prime Sponsor compliance requirements ● Operate in a competitive environment for the provisioning of the goods or services to be procured ● Will own anything developed by the Subrecipient organization 	<ul style="list-style-type: none"> ● Will provide goods and services at Auburn University's instruction/direction ● Provides similar goods or services to other customers as part of normal business operations ● Is not subject to compliance requirements of the Prime Sponsor ● Auburn University will own anything developed ● Operate in a competitive environment for the provisioning of the goods or services to be procured

By signing Subrecipient certifies, based on the table above, the work is correctly classified as a Subrecipient.

Section IX - Authorized Signature

This proposal has been reviewed and approved, and the information (including attachments), certifications (if applicable), and representations in this document have been made by an Authorized Official of the Subrecipient named, attesting to its accuracy and completeness. In signing below and offering to participate in this research program, the Subrecipient Institution certifies they are in compliance with the Drug Free Workplace Act of 1988; they are in compliance with U.S. Code, Section 1352, restrictions on the use of federal funds for the purpose of lobbying; they have filed annually with the Office of Scientific Integrity a PHS form 6349 governing Misconduct in Science; they have filed with DHHS compliance offices certification forms governing Civil Rights (441), Handicapped Individuals (641), Sex Discrimination (639-A), and Age Discrimination (680); they are in compliance with PHS policy governing Program Income; they have established policies in compliance with 45 CFR Part 46, Subpart A (protection of human subjects); the Animal Welfare Act (PL-89-544 as amended) and the Health Research Exchange Act of 1985 (Public Law 99-158); and that they are in compliance with NIH guidelines regarding human pluripotent stem cell research, transplantation of fetal tissue, recombinant DNA and human gene transfer research, and inclusion of women, children & minorities in research.

The appropriate programmatic and administrative personnel of Subrecipient involved in this application are aware of the prime awarding agency's policies, agree to accept the obligation to comply with award terms, conditions and certifications, and is prepared to establish the necessary inter-institutional agreement consistent with that policy.

Any work began and/or any expenses incurred prior to execution of a subagreement are at the Subrecipient's own risk. In addition, no work involving human subjects, animals, recombinant or synthetic nucleic acid molecules, and/or ionizing radiation may begin until the Subrecipient has obtained registered Institutional Review Board, Animal Care and Use Committee, Biological Safety Program, and/or Radiation Safety review and approval.

Auburn University (AU), Office of Sponsored Programs, requires completion of the Subrecipient Commitment Form for all proposed subrecipients prior to proposal submission to the prime sponsor. This form will be considered valid for one (1) year from the date of signature by your organization's Authorized Official. In the event of material changes related to the information and certifications provided, please notify AU Office of Sponsored Programs within 15 days of the change by sending an email to subawrd@auburn.edu.

Subagreements will not be executed without this form completed, signed, and up-to-date.

Signature of Authorized Official:

Date:

Printed Name & Title of Authorized Official: