

SUBRECIPIENT COMMITMENT FORM**SECTION A - Contact Information**Subrecipient

Legal Name: UEI #
Address: EIN #
City/State/Zip+4:

Pre-Award/Proposal Contact

Name:
Email:
Phone:

Post-Award/Award Contact Information

Name:
Email:
Phone:

Single Audit Contact

Name:
Email:
Phone:

Billing Contact (for invoice-related questions)

Name:
Email:
Phone:

Subrecipient PI Contact

Name:
Email:
Phone:

Is Subrecipient a participant of the FDP Expanded Clearinghouse?
Yes No

Pass-Through Entity (PTE)

Legal Name: UEI #

Subaward Officer Contact

Name:
Email:
Phone:

Invoice Submission Contact (person to send invoices to)

Name:
Email:
Phone:

PI Contact

Name:
Email:
Phone:

SECTION B - CERTIFICATIONS (Not addressed on the FDP Clearinghouse website)Debarment And Suspension

Subrecipient hereby certifies that:

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

Subrecipient has not within three (3) years 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 B - CERTIFICATIONS (Not addressed on the FDP Clearinghouse website) continued:Responsible Conduct of Research (RCR)

Subrecipient hereby certifies that:

Not applicable

Project is being funded by an agency that requires RCR Training. The Subrecipient certifies that it maintains an Institutional Plan to meet the prime sponsor's requirements for the Responsible Conduct of Research.

Pre-Award Disclosure (NASA Proposals Only)

When submitting a NASA proposal, Auburn University is required to make the following assertion:

"By submitting its proposal, the proposer represents that they are not a China-based or Chinese-owned company, and that they will not participate, collaborate, or coordinate bilaterally with China or any Chinese-owned company at the prime recipient or subrecipient level, whether the bilateral involvement is funded or performed under a no-exchange-of-funds arrangement."

Therefore, the Subrecipient acknowledges that they understand this assertion and agree to comply with it. Yes No

Research Security and Disclosure

Subrecipient certifies that it is aware of and will comply with federal research security requirements and agrees to flow these obligations down to its personnel and collaborators, as applicable. Yes No

SECTION C - PROJECT SPECIFIC INFORMATION:

Project Title

Proposed Period of Performance: To

Performance Site Address (include zip+4 and Congressional District):

Funding requested for entire project period:

Cost Share provided for entire project period:
(Provide Detailed Cost Share Budget)

Cost Share N/A

Subrecipient Statement of Work Includes (check all that apply):

Human Subjects? Yes No (Human Subjects includes surveys, interviews, observations, or secondary data)

If yes:

- Attach an explanation and relevant documents including (but not limited to) the Institutional Review Board (IRB) or Ethics Committee approval; and
- Provide your organization's Federal Wide Assurance # (if entity is not a member of the FDP) _____

If yes and NIH funding is involved:

- Attach documentation confirming all key personnel have completed "human subjects training".

Protocol Pending

Human Subjects Data? Applicable Not Applicable

If applicable:

Human Subjects Data will be exchanged (check all that apply):

From Subrecipient to PTE

From PTE to Subrecipient

Vertebrate Animal Research? Yes No

If yes:

- Attach an explanation and relevant documents including (but not limited to) the Institutional Animal Care and Use Committee (IACUC) approval notification; and
- Provide your organization's PHS Animal Welfare Assurance # (domestic organizations) or an AAALAC accreditation number (international institutions)(if entity is not a member of the FDP) _____
- Protocol Pending

Biological Safety - Recombinant DNA or Synthetic Nucleic Acid Molecules? Yes No (if yes, please explain below)

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)

Work covered by ITAR or EAR? Yes No (if yes, please explain below)

SECTION C - PROJECT SPECIFIC INFORMATION continued:

Facilities and Administrative Rates

Subrecipient

has applied their federally-negotiated F&A rate for this type of work. For non-FDP Clearinghouse Members please provide a copy of your negotiated rate agreement.

has applied the rate of _____ required by the sponsor's policies/guidelines.

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

doesn't have a federally negotiated rate and has:

_____ elected to use the 15% de minimus rate (this rate will apply to all subsequent subawards to your institution until you elect to negotiate an F&A rate with a federal agency)

_____ chosen not to charge any F&A rate to this project

not applicable (Sponsor doesn't allow)

Fringe Benefit Rates

Subrecipient

has applied rates consistent with or lower than their federally-negotiated rate. For non-FDP Clearinghouse Members please provide a copy of your negotiated rate agreement.

doesn't have a federally negotiated rate and has applied actual fringe benefits (specify the benefit categories below)

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

Proposal Components (The following are included in the subrecipient proposal submission)

Statement of work [SOW] - (SOW should include work to be performed, project description, PI, period of performance, deliverables, and milestones - (REQUIRED))

Budget and Budget Justification - (REQUIRED)

Subrecipient Commitment Form - (Signed by Subrecipient Authorized Official-REQUIRED)

Key Personnel Biographical Sketch - (As applicable per sponsor requirements)

Current & Pending - (As applicable per sponsor requirements)

Institutional Letter of Commitment/Support - (Signed by Subrecipient Authorized Official-as required by sponsor - does not replace this form)

----- **Members of the FDP Clearinghouse may skip to the signature section!** -----

SECTION D - Fiscal Responsibility

Subrecipient

certifies that its financial system is in accordance with generally accepted accounting principle and 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 procurement system that allows for free and open competition and eliminates or reduces conflict of interest in the procurement process.

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

Subrecipient Institution Type

US Non-Profit/University

Non-US Non-Profit/University

Other: Please explain and indicate year established

US For-Profit

Non-US For-Profit

Government Agency

Small Business (identify all applicable Federally-defined qualifications [*certified by the Small Business Administration]):

Small Disadvantaged Business (SDB)* (8a)*

Women-Owned Small Business (WOSB)

Small Minority Business (SMB)

Veteran-Owned Small Business (VOSB)

Service Disabled Veteran-Owned Small Business (SDVOSB)

HUBZone Small Business*

Other

Does subrecipient have adequate experience receiving same or similar federal awards? Yes No
Is subrecipient currently registered in System for Award Management (SAM)? Yes No

SECTION D - Fiscal Responsibility - continued

Subrecipient Audit Requirements

Did the subrecipient receive an annual Single Audit in compliance with OMB Uniform Guidance 2 CFR 200, Subpart F? Yes No

If Yes, indicate the fiscal year and provide a link or attach report.

Fiscal Year:

Link:

Were there any findings in the most recent audit related to Auburn University issued subawards to your institution? Yes No

If Yes, please note the applicable page(s) in the report and provide an update on the status of the corrective action below.

If subrecipient did not undergo a Single Audit, please select the appropriate box indicating why **AND**, provide the most recently completed audited financial statement including independent auditor's letter and managements corrective action on any findings.

Non-Profit entity below threshold

Foreign Entity

Government Entity

For-Profit Entity

SECTION E - Additional Certifications

Financial Conflict of Interest

Not applicable because this project is not being funded by any sponsor that has adopted the federal financial disclosure requirements.

Subrecipient hereby certifies that it has an active and enforced financial conflict of interest in research policy and/or conflict of interest policy that complies with the sponsor's requirements. Subrecipient also certifies that to the best of their knowledge, (1) all financial disclosures have been made related to the activities that may be funded by or through a resulting agreement, and required by its conflict of interest policy; and, (2) all identified conflicts of interest have or will have been satisfactorily managed, reduced, or eliminated in accordance with the subrecipient's conflict of interest policy prior to the expenditure of any funds under any resultant agreement and within a timely manner sufficient to enable timely FCOI reporting.

Subrecipient does not have an active and enforced FCOI policy but will have a PHS compliant policy in place and published at the time of award.

Subrecipient does not have an active and enforced FCOI policy and wishes to comply with Auburn University's Financial Conflict of Interest Policy for Research and Related Activities.

NIH Certification for Foreign Subrecipients

If the Prime Awarding Sponsor is the National Institutes of Health (NIH), **by signing this form**, the foreign subrecipient organization agrees to abide by all requirements of the NIH Final Updated Policy Guidance for Subaward/Consortium Written Agreements (NOT-OD-23-182). The subrecipient will provide Auburn's PI or other authorized representatives with access to copies of all lab notebooks, all data, and all documentation supporting the research outcomes described in the progress report. This access must be provided to the primary recipient at least once per year, no later than 60 days prior to the end of each budget period, except for the final submission, which shall be due no later than 60 days after the subaward's expiration date. Such access may be provided entirely electronically.

There are no exceptions to this NIH requirement. If the subrecipient is unwilling to accept these terms, they may not participate in the NIH-funded project.

Federal Funding Accountability & Transparency Act (FFATA)

Executive Compensation Disclosure Requirement:

The subrecipient must disclose the names and total compensation of its five most highly compensated officers if all of the following conditions are met:

- (i) In the subrecipient's preceding fiscal year, it received 80 percent or more of its annual gross revenues from Federal awards (including Federal contracts, subcontracts, loans, grants, subgrants, and cooperative agreements); **AND**
- (ii) It received \$25,000,000 or more in annual gross revenues from Federal awards; **AND**
- (iii) The public does not have access to information regarding the compensation of its five most highly compensated senior executives 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.

If your entity meets all of the conditions above, complete the compensation report below:

Total compensation and names of top five executives	
Name	Compensation Amount
(1)	(1)
(2)	(2)
(3)	(3)
(4)	(4)
(5)	(5)

SECTION E - 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: