

SUBRECIPIENT COMMITMENT FORM

Subrecipient Legal Name: _____

Subrecipient PI Name: _____

Address: _____ City: _____ State: _____ Zip: _____

E-mail: _____ Phone: _____ Fax: _____

Address where research will be performed: _____ City: _____ State: _____

Proposal Title: _____

Performance Period Begin Date: _____ End Date: _____

RFSUNY/SBU's PI Name: _____

Prime Sponsor: _____

Requested Amount: _____ Year One: _____ All Years: _____

The following documents are included in our proposal submission and covered by the certifications below (check as applicable):

- STATEMENT OF WORK (required)** **COVER/FACE PAGE (required)**
- BUDGET AND BUDGET JUSTIFICATION (required)**
- Subrecipient is part of FDP Expanded Clearinghouse. http://sites.nationalacademies.org/PGA/fdp/PGA_171219
Complete Sections A and B only**
- Subrecipient is NOT part of FDP Expanded Clearinghouse.
Complete Sections A, B, C and D**

Section A - Proposal Information

1. **Cost Sharing** Yes No **Amount:** _____
Cost sharing, matching and/or in-kind amounts and justification should be included in the Subrecipient's budget
2. **Human Subjects** Yes No **Approval Date:** _____
If "Yes": Copies of the IRB approval and approved "Informed Consent" form must be provided before any subaward will be issued. Please forward these documents to RFSUNY/SBU's PI as soon as they become available.
If "Yes": Have all key personnel involved completed Human Subjects Training? Yes No
3. **Animal Subjects** Yes No **Approval Date:** _____
If "Yes": A copy of the IACUC approval must be provided before any subaward will be issued. Please forward this document to RFSUNY/SBU's PI as soon as it becomes available.
4. **Responsible Conduct of Research (RCR) (for NSF-funded projects only):**
 Yes No Subrecipient certifies that it has 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.
 Yes No 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 requirements.
5. **Export Control**
 Yes No Subrecipient hereby certifies that neither it nor any persons or entities (paid or non-paid) participating in this project are prohibited/denied persons or entities under the federal export control regulations.

SECTION B – Subrecipient Approval

Should The Research Foundation's risk assessment indicate the potential need, the Foundation reserves the right to conduct additional monitoring by: requesting and reviewing audit report; performing random audits; performing site visits to observe program operation; reviewing financial records or other actions as necessary. By signing below the Subrecipient certifies that their organization is correctly categorized as a Subrecipient and is not a contractor. The information provided in the proposal and on this form is true and correct, and Subrecipient will honor any commitments made in the proposal.

The authorized official representative (AOR) of the Subrecipient named herein has the authority to legally bind Subrecipient in grants administration matters. Subrecipient understands that: (a) any work they begin and/or expenses they incur related to their proposal prior to full execution of a subaward agreement will be at their organization's own risk, and (b) no work involving human subjects and/or animals may begin until Subrecipient has obtained registered Institutional Review Board and/or Animal Care and Use Committee review and approval.

Signature of Subrecipient's Authorized Official

Subrecipient's Legal Name

Name and Title of Authorized Official

Address

Email (in addition to AOR's email, include Email to which subaward agreement should be sent)

City, State, Zip

Phone

Date

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SECTION C - Certifications

1. **Facilities and Administrative Rates** included in this proposal have been calculated based on:
- Our federally-negotiated F&A rates for this type of work, or a reduced F&A rate that we hereby agree to accept. *(If this box is checked, please attach a copy of your F&A rate agreement or provide a URL link to the agreement.)*
 - Other rates (please specify the basis on which the rate has been calculated in Section D *Comments* below)
 - Not applicable – Subrecipient is not requesting payment of F&A costs
2. **Fringe Benefit Rates** included in this proposal have been calculated based on:
- Rates consistent with or lower than our federally-negotiated rates *(If this box is checked, please attach a copy of your FB rate agreement or provide a URL link to the agreement.)*
 - Other rates (please specify the basis on which the rate has been calculated in Section D *Comments* below).
3. **Small Business Concern** **Yes** **No**
Subrecipient represents that it is a small business concern as defined in 13 CFR 124.1002.
- If "Yes":** Subrecipient represents that it is a:
- Small disadvantaged business as certified by the Small Business Administration
 - Women-owned small business concern
 - Veteran-owned small business concern
 - Service-disabled veteran-owned small business concern
 - HUBZone small business concern
 - Other: _____
4. **Lobbying (for U.S. federal projects only):**
 Yes **No** Subrecipient certifies that no payments have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this proposed project. (If "No," attach explanation.)
5. **Conflict of Interest - Please check the appropriate box below**
- Subrecipient 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" and 45 CFR Part 94 "Responsible Prospective Contractors." Subrecipient also certifies that, to the best of Subrecipient'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 does not have an active and/or enforced conflict of interest policy and agrees to adopt RFSUNY's policy.
- By signing this form, Subrecipient certifies that the required training will be completed by each investigator prior to engaging in any research related to any funded contract/grant. For those adopting RFSUNY's policy, the training is located online at: <https://www.stonybrook.edu/commcms/research-compliance/Conflict-of-Interest-and-Commitment/Training>
6. **Debarment and Suspension**
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", explain in Section D *Comments* below)

The Subrecipient certifies they: (answer all 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 entity
- 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 of 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 three (3) years preceding this offer, had one or more contracts terminated for default by any federal agency

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7. Audit Status

- Subrecipient receives an annual audit in accordance with 2 CFR Part 500.
Most recent fiscal year completed: FY _____
Were any audit findings reported? (If "Yes," explain in Section D, *Comments*, below.) Yes No

Note: Please attach a complete copy of your most recent audit report or provide the URL link to a complete copy.

- Subrecipient DOES NOT receive an annual audit in accordance with 2 CFR Part 500

- Subrecipient is a:
- Non-profit entity (under federal funding threshold)
 - Foreign entity
 - For profit entity
 - Government entity

Note: RFSUNY/SBU will reserve the right to request and review audit reports, perform random audits, perform site visits to observe program operations and to review financial records to ensure proper level of monitoring should the risk assessment indicate the potential need. Completion of an audit questionnaire may be required upon subaward issuance.

8. Affirmative Action Compliance

In accordance with the rules and regulations of the Secretary of Labor (41 CFR 60-1 and 60-2), if your organization has more than fifty (50) employees and the subaward will be for \$50,000 or more, you are required to have a written affirmative action program.

Yes, our institution has a written affirmative action program developed and on file.

No, our institution does not have a written affirmative action program.

Not Applicable, our institution does not have more than fifty (50) employees and/or the total subaward will be less than \$50,000.

9. FFATA Executive Compensation Exemption Certification

Our organization is not exempt from providing compensation information because:

A. In the proceeding fiscal year, our organization received:

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

(ii) \$25,000,000 or more in annual gross revenues from 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 Exchange Act of 1934 (15 U.S.C.78m(a),78(d)) or section 6104 of the Internal Revenue Code of 1986 (26 USC 6104).

Our organization is exempt from reporting Executive Compensation.

SECTION D – Subrecipient Information

	Yes	No
Registered in SAM?		
Federal Employer Identification Number (EIN):	_____	
<small>Unique Entity Identifier (UEI):DUNS may be used if UEI is N/A</small>	_____	
Subrecipient's Congressional District:	_____	
	CAGE code:	
Institution Type:	_____	

Is Subrecipient owned or controlled by a parent entity? If "Yes", please provide the following:	Yes	No
Parent Entity Legal Name:	_____	
Parent Entity Address, City, State, Zip: Parent	_____	
Entity Congressional District: Parent Entity	_____	
<small>Unique Entity Identifier (UEI):DUNS may be used if UEI is N/A:</small>	_____	