FLORIDA ATLANTIC UNIVERSITY
Division of Research

Subrecipient Commitment Form

Part I: To be completed by all subrecipients (FDP clearinghouse participants complete Part I only)

All subrecipients, as well as potential subcontractors who anticipate funding under a federal or non-federal contract, should complete this form when participating as a subrecipient or subcontractor in a proposal submitted by Florida Atlantic University. This form provides a checklist of documents and certifications required by prime sponsors, and if it is completed, it must be endorsed by the subrecipient's authorized institutional representative prior to proposal submission.

Is subrecipient participating in the FDP Clearinghouse? ☐ Yes ☐ No If No, complete *both* Parts I and II of this form.

1. FLORIDA ATLANTIC UNIVERSITY - PASS-THROUGH ENTITY (PTE)

PTE PI: _____
PTE Proposal Number: _____

Prime Sponsor: _____
Is the subrecipient a foreign entity? ☐ Yes ☐ No
If Prime sponsor is NIH: is this an MPI project? ☐ Yes ☐ No

2. SUBRECIPIENT PROPOSAL INFORMATION

Legal Name: _____
Address: _____
_____
Phone Number: _____
Subrecipient PI: _____
Subrecipient PI Email: _____
Place of Performance: _____
Congressional District: _____
UEI Number: _____

Authorized Official Name: _____
Authorized Official Email: _____
Authorized Official Phone: _____
Admin Contact Name: _____
Admin Contact Email: _____
Project Title: _____
Project Period: _____
Total Amount Requested: _____
Cost Share Amount: _____

3. PROPOSAL DOCUMENTS

The following documents are included in our subaward proposal and covered by the certifications below:

☐ Scope of Work (Required)
☐ Detailed Budget (Required)
☐ Budget Justification (Required)
☐ Approved F&A and Fringe Rate Agreements
☐ Biographical Sketches (in agency required format)
☐ Other: _____

4. CERTIFICATIONS

Documentation of Subrecipient's approval(s) may be required

Subrecipient's Scope of Work Includes:

☐ Human Subjects
☐ Vertebrate Animals
☐ Embryonic Stem Cells
☐ Travel outside of the U.S.
List Country:

☐ Work covered by ITAR or EAR
☐ Participation of foreign students, researchers (paid or unpaid)
☐ Transfer of goods, services information or technology to outside countries (via shipment or email)

If the Prime Awarding Sponsor is the National Institutes of Health, we, the subrecipient organization, agree to abide by all requirements of the NIH Final Updated Policy Guidance for Subaward/Consortium Written Agreements (NOT-OD-23-182).

For Foreign Subrecipients: We agree to provide access to copies of all lab notebooks, all data, and all documentation that supports the research outcomes as described in the progress report, to the primary recipient with a frequency of no less than once per year, in alignment with the timing requirements for Research Performance Progress Report (RPPR) submission. Such access may be entirely electronic.

By signing below, I certify that I am an authorized institutional representative and the information and representations made herein are true, accurate and complete. The appropriate programmatic and administrative personnel involved in this application are aware of all sponsor policies regarding 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 Official

_____
Name and Title of Subrecipient's Authorized Institutional Official

_____
Date

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Part II: To be Completed by Subrecipients/Subcontractors NOT participating in the FDP Clearinghouse

See list of participating FDP organizations.

Certifications

1. **Facilities & Administrative Rates** included in this proposal have been calculated based on the following:
   - ☐ Our federally negotiated F&A rate for this type of work.
   - ☐ No federal negotiated rate and we hereby agree to accept the 15% de minimis MTDC rate as a subrecipient.
     In the case of NIH: NIH will continue to reimburse F&A costs to foreign and international organizations at a rate of 8 percent of modified total direct costs (MTDC) less only equipment.
   - ☐ A reduced F&A rate dictated by the prime sponsor that we hereby agree to accept. Rate: _____ Base: _____
   - ☐ Not applicable (no indirect cost are requested). If checked, please specify rationale in Comment Section below.
   - ☐ Indirect costs are not separately requested as costs are fully burdened.

2. **Fringe Benefit Rates** included in this proposal have been calculated based on the following:
   - ☐ Rates are consistent with our federally negotiated rates.
   - ☐ Other rates (please specify in Comment Section below the basis on which the rate has been calculated)
   - ☐ Fringe Benefits are not separately requested as costs are fully burdened.

3. **Financial Conflict of Interest**
   - ☐ Subrecipient organization/institution has an active and enforced policy on conflict of interest that adheres to 42 CFR Part 50, Subpart F and 45 CFR Part 94.
   - ☐ Subrecipient will implement an active and enforced policy on conflict of interest that adheres to 42 CFR Part 50, Subpart F and 45 CFR Part 94 prior to execution of the subaward agreement. Subrecipient acknowledges that a subaward agreement cannot be executed until such policy is implemented by subrecipient organization/institution.
   - ☐ Not applicable because this project is not funded by PHS or any other sponsor that adheres to 42 CFR Part 50, Subpart F or CFR Part 94.

4. **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, NIFA, or NIH programs requiring Ethics in Research Training.
   - ☐ Subrecipient organization/institution will ensure that all faculty, other senior personnel, undergraduates, graduate students, and postdoctoral researchers who will be supported by this NSF proposal will be trained on the oversight in the responsible and ethical conduct of research.

5. **Debarment, Suspension, Proposed Debarment**
   Are the Subrecipient Institution or any of its principals who are participating in this project debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from receiving funds from any federal department or agency, or delinquent on any federal debt? ☐ Yes ☐ No

   If **YES**, please explain in Comment Section below.
   If **NO**, the Organization Certifies it (answer all questions below):

   - ☐ **is** ☐ **is not** presently debarred, suspended, proposed for debarment, or declared ineligible for award of federal contracts;
   - ☐ **is** ☐ **is not** presently indicted for, or otherwise criminally or civilly charged by a government agency;
   - ☐ **has** ☐ **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 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;
   - ☐ **has** ☐ **has not** within 3 years preceding this offer, had one or more contracts terminated for default by any federal agency.

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Audit Status

1. Was the subrecipient required to conduct an annual audit in accordance with the Single Audit Act or Uniform Guidance Subpart F, Audit Requirements for the most recent Audit year? ☐ Yes ☐ No
   a) Was an audit in accordance with the Single Audit Act completed for the most recent fiscal year? ☐ Yes ☐ No

   If **YES** is checked, a complete copy of subrecipient's most recent audit report, or the Internet URL link to a complete copy, must be furnished to FAU before a subaward will be issued. URL: _____

   If **no audit was completed OR if Subrecipient is not subject to the Single Audit Act or Uniform Guidance**, a limited-scope audit will be reviewed and approved before a subaward can be issued.

   b) Were there any audit findings reported? ☐ Yes ☐ No If **YES**, please clarify in the comment section below.

Subrecipient Institutional Information
Federal policy requires subrecipients of federal funds to be registered in SAM

1. Is subrecipient currently registered in the System for Award Management SAM? ☐ Yes ☐ No
   If **NO**, organizations that have not registered with SAM will need to obtain a Unique Entity Identifier (UEI) number by accessing the online registration through the SAM (System for Award Management) home page
   For federal projects, a subaward agreement cannot be issued to a subrecipient without an active SAM registration.

2. EIN #: _____
3. What year was the subrecipient entity established/incorporated?

	Yes	No
4. Does subrecipient have a **financial managment system** that provides records that can identify the source and application of funds for award supported activities?	☐	☐
5. Does the subrecipient's f**inancial management system** provide for the control and accountability of project funds, property and other assets?	☐	☐
6. Does the subrecipient have policies or procedures that address (check all that apply):		
a. Pay rates and Benefits	☐	☐
b. Time, Leave, and Attendance	☐	☐
c. Travel	☐	☐
d. Purchasing	☐	☐
e. Discrimination	☐	☐
7. Does the subrecipient have controls to prevent expenditure of funds in excess of approved budget amounts?	☐	☐
8. Does the Subrecipient's procurement system allow for free and open competition and eliminate or reduce conflict of interest in the procurement process?	☐	☐
9. Has the Subrecipient implemented any new system or has there been a change to any existing system within the last two (2) years? (e.g. accounting, information, management, etc.)	☐	☐
a. If yes, please explain:		
10. Does the Subrecipient have experience receiving and managing federal awards?	☐	☐
a. If Yes, please list previous federal sponsors:		

COMMENT: