

SUBRECIPIENT COMMITMENT FORM

SUBRECIPIENT INFORMATION:

Subrecipient Legal Name:

Subrecipient's Address:

City:

State:

Zipcode:

Subrecipient's PI:

Total Funds Requested:

Period of Performance Begin:

End:

PRIME RECIPIENT INFORMATION:

SDSURF's PI:

Prime Sponsor:

SDSU Proposal Title:

SECTION A: Subagreement Support and Process Documents

The following documents are required to support and process the Subagreement:

- | | |
|---|---|
| <input type="checkbox"/> This Subrecipient Commitment Form (required) | <input type="checkbox"/> SAM.gov Active Registration |
| <input type="checkbox"/> Budget & Budget Justification (required) | <input type="checkbox"/> Statement of Financial Interests Form (attached) |
| <input type="checkbox"/> Contact Information Attachment (attached) | <input type="checkbox"/> Statement of Work (required) |
| <input type="checkbox"/> Dun & Bradstreet DUNS Number | <input type="checkbox"/> Vendor Information Form (attached) |
| <input type="checkbox"/> FFATA Attachment/Exhibit (attached) | <input type="checkbox"/> W8-BEN-E (attached) |

SECTION B: Special Review and 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 is selected, a copy of your F&A rate agreement must be furnished to SDSURF before a subaward will be issued.)
- 10% MTDC de minimus rate as per Uniform Guidance 2 CFR Part 200.414 (f).
- Other rates *(please specify the basis on which the rate has been calculated in Section E: Comments).*
- Not applicable *(no F&A requested for subrecipient).*

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 is selected, a copy of your FB rate agreement must be furnished to SDSURF before a subaward will be issued.)
- Based on actual rates.
- Other rates *(please specify the basis on which the rate has been calculated in Section E: Comments).*

3. Subrecipient Business Status:

- | | | |
|---|--|--|
| <input type="checkbox"/> Large Business | <input type="checkbox"/> Institution of Higher Education | <input type="checkbox"/> Foreign Owned |
| <input type="checkbox"/> Small Business | <input type="checkbox"/> Nonprofit Organization | |

*(If a small business, identify business classification (*certified by the Small Business Administration)*

- | | |
|---|---|
| <input type="checkbox"/> Alaska Native Corporation (ANC) (43USC1601) | <input type="checkbox"/> Historically Black College or University |
| <input type="checkbox"/> Service-disabled veteran-owned business (SDVOSB) | <input type="checkbox"/> Small Disadvantaged Business (SDB)*(8a)* |
| <input type="checkbox"/> Women-owned small business (WOSB) | <input type="checkbox"/> HUBZone small business* |
| <input type="checkbox"/> Veteran-owned small business (VOSB) | <input type="checkbox"/> Minority Institution |

4. Cost Sharing: Yes No Amount:

SECTION C: Regulatory Approvals

1. Human Subjects: No Yes Pending IRB Number: _____ Expiration Date: _____

If "Yes," copies of the IRB approval/exemption notification must be provided before any subagreement will be issued. If not attached here, obtain approval as required and forward these documents to SDSURF Sponsored Research Contracting and Compliance as soon as they become available. In accordance with SDSU policy, SDSU's IRB must conduct a secondary review of the subaward work and issue a companion approval before any subaward will be issued.

2. Animal Subjects: No Yes Pending IACUC Number: _____ Expiration Date: _____

If "Yes," copies of the IACUC approval notification must be provided before any subaward will be issued. If not attached here, obtain approval as required and forward these documents to SDSURF Sponsored Research Contracting and Compliance as soon as they become available. In accordance with SDSU policy, SDSU's IACUC must conduct a secondary review of the subaward work and issue a companion approval before any subaward will be issued.

3. Conflict of Interest:

Not Applicable because this project is not being funded by PHS, NSF, or a sponsor that has adopted the federal financial disclosure requirements.

National Science Foundation funding. The collaborating organization/institution hereby certifies that it has an active and enforced conflict of interest policy that is consistent with the provision of NSF's Award and Administration Guide (AAG), Chapter IV, "Grantee Standards," Section A. "Conflict of Interest Policies." Collaborator also certifies that, to the best of the institution's 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 Collaborator's conflict of interest policy prior to the expenditure of any funds under any resultant agreement.

Public Health Service (including AHRQ, ATSDR, CDC, FDA, HRSA, HIS, NIH, SAMHSA, or OGA) funding. The collaborating organization/institution hereby 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". Collaborator also certifies that, to the best of the institution's 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 Collaborator's conflict of interest policy prior to the expenditure of any funds under any resultant agreement.

Collaborator does not have an active and/or enforced conflict of interest policy and hereby agrees to abide by SDSU's policy.

4. Responsible Conduct of Research

Not applicable because this project is not being funded by NSF or NIH

By selecting this option, Subrecipient certifies, if applicable, that it maintains an Institutional Plan to meet prime sponsor's requirements for RCR

5. Export Control:

Subrecipient is individually responsible for ascertaining its compliance with federal export laws and procedures.

By checking this box, Subrecipient certifies that an export control officer, or other authorized person, has reviewed the Subrecipient's proposal for compliance with federal export control laws. Explain any potential problems in Section E below.

6. Research Misconduct

Not applicable because this project is not being funded by U.S. Public Health Service (PHS).

By selecting this option, Subrecipient certifies that it has completed and submitted the "Assurance of Compliance by Subrecipient" available at: <http://ori.hhs.gov/sites/default/files/PHS-6315.pdf>

7. Debarment, Suspension, Proposed Debarment:

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? If "Yes" please explain in Section E: Comments below.

Yes No

The Organization certifies there: (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 governmental 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, and/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

Have Have Not within three (3) years preceding this offer, had one or more contracts terminated for default by any federal agency

SECTION D: Audit Status

1. Single Audit Status:

Does the Subrecipient receive an annual audit in accordance with 2 CFR 200, Subpart F?

Yes -

Has the audit been completed for the most recent fiscal year? Yes No, it is expected to be completed by:

No -

mm/dd/yy

Does the Subrecipient receive overall federal funding of at least \$750,000 per year? Yes No

Subrecipient is: For-Profit entity that expends Federal or Federal pass-thru funds and has a DCAA audited rate

For-Profit entity that does not expend Federal funds or have annual audits

Foreign entity

Were any audit findings reported? (If "Yes", explain in Section E below.) Yes No

A complete copy of Subrecipient's most recent report or the URL link must be furnished to SDSU Research Foundation before a subaward will be issued.

URL:

2. Fiscal Responsibility:

The organization certifies that its financial system is in accordance with generally accepted accounting principles and:

- has the capability to identify, in its accounts, all federal awards received and expended and the federal programs under which they are 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
- there are no outstanding audit findings which would impact contract costs. If there are findings, submit a copy of the most recent report that describes the findings and steps to be taken to correct the finding(s).

SECTION E: Comments *(please attach additional pages if necessary)*

APPROVALS FOR SUBRECIPIENT

The information, certifications, and representations above, as well as those shown in the National Policy Requirements Matrix (http://www.nsf.gov/bfa/dias/policy/gc1/policymatrix_dec14.pdf) have been read, signed, and made by an authorized institutional representative of the Subrecipient named herein. The appropriate programmatic and administrative personnel involved in this application are aware of agency policies in regard to 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.

Authorized Institutional Representative Signature

Date

Phone

Fax

Name and Title of Authorized Institutional Representative

Email Address

Address, City, State, Zip

Subrecipient's EIN

Subrecipient's DUNS Number