

Subrecipient Commitment Form

Part I: To be completed by all subrecipients/subcontractors

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 Stony Brook 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.

1. STONY BROOK UNIVERSITY PROPOSAL INFORMATION - PASS-THROUGH ENTITY (PTE)							
PTE PI: PTE myResearch FP #:	Prime Sponsor: If Prime Sponsor is NIH: (1) Is this an MPI project? Yes No (2) Is the subrecipient a foreign entity? 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 #: Financial Contact Name: Financial Contact Email: Project Title: Project Period: Total Request Amount: Subrecipient Proposal:						
3. PROPOSAL DOCUMENTS							
The following documents are included in our subaward proposal and covered by the certifications below: <table style="width: 100%; margin-top: 5px;"> <tr> <td style="width: 50%;">Scope of Work (Required)</td> <td style="width: 50%;">Facilities & Other Resources</td> </tr> <tr> <td>Budget and Justification (Required)</td> <td>Cost Sharing Amount (if applicable):</td> </tr> <tr> <td>Biographical Sketches</td> <td>Other:</td> </tr> </table>		Scope of Work (Required)	Facilities & Other Resources	Budget and Justification (Required)	Cost Sharing Amount (if applicable):	Biographical Sketches	Other:
Scope of Work (Required)	Facilities & Other Resources						
Budget and Justification (Required)	Cost Sharing Amount (if applicable):						
Biographical Sketches	Other:						
4. CERTIFICATIONS							
<i>Documentation of Subrecipient's approval(s) may be required</i>							
Subrecipient's Scope of Work Includes: Human Subjects If human subjects are involved, have all key personnel completed human subjects training? Yes No Vertebrate Animals Custom made antibodies Human induced pluripotent or Human Embryonic Stem Cells	Recombinant DNA Dual Use Research of Concern (DURC) For a list of applicable agents, see page 9 of NIH policy . Large Scale Human or Non-Human Genomic Data (if NIH) <i>For applicability, please refer to NOT-OD-14-124. Documentation of an approved consent form and Institutional Certification will be required prior to the award, at the "Just in Time" stage.</i>						
5. FDP Clearinghouse							
Does the subrecipient entity participate in the FDP Clearinghouse ? Yes No							
If YES , complete this page and sign below. (Do not complete Part II of this form.) If NO , complete <i>both</i> Parts I and II of this form and sign below.							

If the Prime Awarding Sponsor is the National Institutes of Health (NIH), the Subrecipient is aware and agrees to abide by all of the provisions of NIH [GPS 15.2.1](#) requiring that international subrecipients 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/PTE 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

Date

Name and Title of Subrecipient's Authorized Institutional Official

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

See [list of participating FDP organizations](#).

Certifications

Subrecipient is: Nonprofit For-Profit Foreign Government Other

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 10% 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 and FFATA Executive Compensation Exemption Certification

Subrecipient organization/institution has an active and enforced policy on conflict of interest consistent with the sponsor's requirements. Examples:

- DOE follows FAL 2022-02
- NASA follows GCAM Section 3.3
- NSF follows PAPPG Part II Chapter IX.A
- PHS follows the provision of 42 CFR Part 50 Subpart F

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

Our organization is is not exempt from reporting Executive Compensation.

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 or any other programs requiring Ethics in Research Training.

Subrecipient organization/institution will ensure that all 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.

6. 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 50 employees and/or the total subaward will be less than \$50,000.

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 SBU 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**, RFSUNY/SBU will reserve the right to request and review audit reports, perform random audits and review financial records to ensure proper level of monitoring. Completion of an audit questionnaire may be required.

- 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 Central Contractor Registration via [SAM](#)? Yes No

If **NO**, organizations that have not registered with CCR will need to obtain a Unique Entity Identifier (UEI) number first and then access the CCR online registration through the SAM (System for Award Management) [home page](#) (U.S. organizations will also need to provide an Employer Identification Number from the Internal Revenue Service that may take an additional 2-5 weeks to become active). Completing and submitting the registration takes approximately one hour to complete and your CCR registration may take 3-5 business days to process. Subrecipient *must* maintain current CCR information in SAM.

2. EIN #:

3. Be sure that the UEI number is entered on page 1.

Comment