

Subrecipient Commitment Form

INSTRUCTIONS: Subrecipients submitting a subaward proposal to Rochester Institute of Technology (RIT) (regardless of sponsor) must complete this form prior to RIT's proposal submission or as requested by Yale. [FDP Clearinghouse](#) participants should complete the **RIT Information, Subrecipient Information, and Sections I to IV of this form and complete/sign Section IX (or submit this information in the format of their choice)**. This form (or equivalent) must be signed/dated by the subrecipient's authorized organizational representative official. An incomplete form may delay or prevent the issuing of a subaward. Do not complete this form if the subrecipient is a [Federally Funded Research & Development Center](#) or a [National Laboratory](#).

RIT Information			
Principal Investigator (PI) Name:			Prime Sponsor:
Project Title:			SRS #

Subrecipient Information			
Legal Name:			Unique Entity Identifier (UEI):
PI Name:			Entity Type: Non-Profit Entity Profit Entity
Total Funds Requested:		Total Direct Costs:	Total Indirect Costs:
Period Performance – From:			Period Performance – To:
Administrative Contact if Award is made:			
Administrative Contact Email:			

Section I: Proposal Documents Included			
Statement of Work (required)		Budget (required)	Budget Justification (required)
Cost Share Amount, if applicable (amounts and justification should be included in subrecipient's budget)	\$		N/A
Other supporting documentation to be included with the submission of the proposal:			
Small/Small Disadvantaged Business Subcontracting Plan (in agency/required format required for proposals for federal contracts over \$750,000):			

Section II: Use of Human and Animal Subjects			
1. Does the Subrecipient's proposed research involve the use of human subjects, human subjects data, or biological specimens?		Yes (continue to question 1A) No (skip to question 2, below)	
A	Did the research receive Institutional Review Board (IRB) approval or is approval pending?	IRB Approved Pending	
B	Enter the IRB protocol number and approval date:		
C	Enter the institutional Federal Wide Assurance (FWA) Number:		
2. Does the Subrecipient's proposed research involve the use of animal subjects?		Yes (continue to question 2A) No (skip to Section III, below)	
A	Did the research receive Institutional Animal Care and Use Committee (IACUC) approval or is approval pending?	IACUC Approved Pending	
B	Enter the IACUC protocol number and approval date:		
C	Enter the institutional Federal Wide Assurance (FWA) Number:		

Section III: Debarment, Suspension & Exclusions	
Is the subrecipient, PI, or any other employee, or student participating in this project debarred, suspended, or otherwise excluded from or ineligible for participation in federal department, agency, assistance programs, or activities?	No Yes – If "Yes," please list the individual(s) by name and role on the project:

Section IV: FDP Expanded Clearinghouse	
Is the subrecipient a participant of the FDP Expanded Clearinghouse ?	Yes (skip to Section IX, below) No (continue to Section V)

Section V: Site Information				
EIN:		Congressional District:		SAM Registered: Yes No
Location of the Subrecipient (City, State, ZIP + 4 and Country):				

Section VI: Facilities and Administrative (“F&A”) and Fringe Benefits (“FB”) Rate Information	
The F&A rate(s) applied in this proposal are based on (check applicable box):	
☐	Our federally negotiated F&A rate(s) for this type of work, or a reduced F&A rate that we hereby agree to accept. Attach a copy of your F&A rate agreement.
☐	Other rate(s) (please specify the basis on which the rate has been calculated in the Comments section below).
☐	Our organization does not currently have a federally negotiated F&A rate. We therefore select the de minimis rate. Note: If a federally negotiated rate existed and has since expired, please provide a copy of the agreement along with this form.
☐	Our organization is a foreign entity and does not currently have a federally negotiated F&A rate. Because this is an NIH proposal, the 8% modified total direct costs (MTDC) F&A rate is applied.
☐	Not applicable (no F&A cost requested)
FB rate(s) applied in this proposal are based on: (check applicable box)	
☐	Rates consistent with or lower than our federally negotiated FB rates. Attached a copy of the FB agreement.
☐	Other rates (specify the basis on which the rate has been calculated in the Comments section below).

Section VII: Conflict of Interest (“COI”) Requirement	
Applicable to all PHS, NSF, and any other sponsor requiring adherence to the PHS regulations or that have similar requirements. (check applicable box):	
☐	Subrecipient hereby certifies that it has implemented and is enforcing a written policy of financial conflict of interest compliant with the Public Health Service (PHS) provisions of 42 CFR Part 50, Subpart F and 45 CFR Part 94 and all individuals responsible for the design, conduct, or reporting of research for the proposal have made required disclosures. All required reports and disclosures have been made to the Subrecipient’s institutional official in accordance with this policy. Publicly available weblink to PHS-compliant COI policy must be provided in the box below.
Financial COI Policy URL:	
☐	Subrecipient has not implemented a written policy of financial conflict of interest compliant with PHS provisions of 42 CFR Part 50, Subpart F and 45 CFR Part 94. Failure to have an appropriate compliant policy may jeopardize the RIT/Subrecipient proposal submission. Subrecipient will complete a temporary RIT disclosure form for those individual(s) listed in the proposal as responsible for the design, conduct, or reporting or research and submit the form(s) to RIT’s Sponsored Research Services department prior to the proposal submission deadline. In addition, Subrecipient certifies that it will have its own PHS-compliant Financial COI policy in place at time of award. Note: Subrecipient will not receive a subaward until a compliant policy is implemented. RIT recommends Subrecipient initiate this process immediately upon notice of funding.
If the prime sponsor is the National Science Foundation (NSF), the subrecipient certifies that it has implemented and is enforcing a written policy of financial conflict of interest compliant with the NSF’s Conflict of Interest policy and that all individuals responsible for the design, conduct, or reporting of research for the proposal have made required disclosures. All required reports and disclosures have been made to the subrecipient’s institutional official in accordance with its policy. Failure to have a compliant NSF policy prohibits the subrecipient from participating in this proposal submission unless otherwise exempted. (See NSF PAPPG Chapter IX – Grantee Standards.)	No Yes N/A – the Prime Sponsor is not NSF
If the prime sponsor is the Department of Energy (DOE), the subrecipient certifies that it has implemented and is enforcing a written policy of financial conflict of interest compliant with the DOE’s Conflict of Interest policy and that all individual named within the proposal, or participating in the purpose, design, conduct, or reporting, of the project funded by DOE or proposed funding by DOE have made the required disclosures. All required reports and disclosures have been made to the subrecipient’s institutional official in accordance with its policy. Failure to have an appropriate compliant policy may jeopardize the RIT/Subrecipient proposal submission.	No Yes N/A – the Prime Sponsor is not DOE
☐	Not applicable because this project is not being funded by PHS, NSF, or DOE.

Section VIII: Audit Status (check applicable boxes)			
The Subrecipient is subject to an annual audit in accordance with 2 CFR Part 200 Subpart F .			
Most recent fiscal year completed:	FY	Were there any audit findings?	Yes No
Audit report is available on the Federal Audit Clearinghouse (FAC) website, or Audit report is available at this URL: _____, or Audit report is attached, or Other (please provide explanation in the Comments section below).			
The Subrecipient is not subject to 2 CFR Part 200 Subpart F requirements .			
Most recent fiscal year completed:	FY	Were there any audit findings?	Yes No
Most recent audit report is attached. If audit report does not exist, provide most recent financial statements. Note: Report/Statements must be provided in English.			

Comments (if applicable)

Section IX: Subrecipient Certifications	
As an authorized official of the named subrecipient, I certify that the information and representations above and below are complete and accurate to the best of my knowledge. In addition, the appropriate programmatic and administrative personnel involved in this application are aware of agency policy in regard to subawards and are prepared to establish the necessary inter-institutional agreement consistently with those policies.	
	I certify to the best of my knowledge and belief that the information provided herein is true, complete, and accurate. I am aware that the provision of false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal civil, or administrative consequences including, but not limited to violations of U.S. Code Title 18, Sections 2, 1001, 1343 and Title 31, Sections 3729-3730 and 3801-3812 .
	For federally funded research, and when required by the federal agency, I certify that all senior/key personnel or Covered Individuals identified in this proposal have completed applicable research security training as required by the CHIPS and Science Act of 2022 and applicable agency requirements.
	For federally funded research, I certify that all senior/key personnel or Covered Individuals identified in this proposal have been made aware and have complied with their responsibility under Section 10632 of the CHIPS and Science Act of 2022 and certify that they are not party to a Malign Foreign Talent Recruitment Program.
	For NIH funded research only: I certify that my institution is aware of all foreign subrecipients receiving NIH funds are subject to the regulations reflected in NOT-OD-23-133 and NOT-OD-23-182 .
	For NSF funded research only: I certify that our institution has appropriate training and oversight complying with the Prime Sponsor's Responsible Conduct of Research Requirement. In addition, I certify that we do not maintain any contract or agreement with a Confucious Institute as required by the CHIPS and Science Act of 2022 .
Lastly, the information submitted with the proposal is true, accurate, complete, and is the original work of the subrecipient's PI, and to the best of my knowledge has not been used by other individuals in the preparation and submission of a similar grant application. Note: Any work begun and/or expenses incurred prior to the execution of a subaward agreement are at the subrecipient's own risk.	
Name and Title of Authorized Official:	
Phone Number:	Fax Number:
Email Address:	Date:
Signature of Subrecipient's Authorized Official:	