CLEAR FORM

SUBRECIPIENT COMMITMENT FORM

Research & Sponsored Programs
33 Knightsbridge Road
2nd FL, East Wing
Piscataway, NJ 08854-3925
subawards@research.rutgers.edu

PART I: TO BE COMPLETED BY ALL SUBRECIPIENTS

Rutgers, The State University (RU) requires completion of this form at the time of proposal submission to the Prime Sponsor. Subrecipient agreements cannot be fully executed without a complete and up-to-date form. If you have any questions regarding the completion of the form, please contact RU's Research and Sponsored Programs (RSP) at subawards@research.rutgers.edu.

A. RUTGERS, THE STATE UNIVERSITY PROPOSAL INFORMATION – PASS THROUGH ENTITY (PTE)

PTE PI: Prime Sponsor:

Project Title:

B. SUBRECIPIENT PROPOSAL INFORMATION

Requirements & responsibilities of Subrecipients/Subcontractors are different than those of a Vendor/Contractor. Additional information to assist in determining this relationship may be found at: Subaward Preparation | Rutgers Research. Indicate that your organization is properly categorized as a subrecipient based on the scope of work. (If **NO**, please contact the Rutgers' PI about procuring your organization's products and services as a vendor/contractor) ◯ Yes ◯ No

Legal Name:

Legal Address: Phone:

Organization Type:

Subrecipient PD/PI: UEI: FEIN:

Subrecipient PD/PI Email: Congressional District:

Period of Performance Start Date: Period of Performance End Date:

Amount Requested: Cost Sharing Amount (if applicable):

If the Subrecipient is a foreign entity/organization AND the Prime Sponsor is the National Institutes of Health (NIH), please certify the following: Pursuant to NIH NOT-OD-23-182, the Subrecipient is aware of NIH's requirement to provide access to all lab notebooks, all data and all documentation that supports the research outcomes as described in the progress reports to RU no less that once a year AND is willing to abide by such requirements should a subaward be issued. ☐

C. PROPOSAL DOCUMENTS *(The required documents must be submitted within five (5) business prior to the sponsor deadline)*

☐ Statement of Work (*required*)* ☐ Budget (*required*) ☐ Key Personnel Biosketches

☐ Other ☐ Budget Justification (*required*) ☐ Key Personnel Current & Pending Support

D. COMPLIANCE AND CERTIFICATIONS *(Documentation of Subrecipient's approval(s) must be provided prior to issuing a subaward. A response is only necessary for those items that are applicable)*

☐ Human Subjects ◯ Approved Approval Date: Protocol ID: ◯ Pending

If human subjects are involved, have all key personnel completed human subjects training? ◯ Yes ◯ No

☐ Human Embryonic Stem Cells ◯ Approved Approval Date: Protocol ID: ◯ Pending

☐ Animal Research ◯ Approved Approval Date: Protocol ID: ◯ Pending

☐ Recombinant DNA ◯ Approved Approval Date: Protocol ID: ◯ Pending

☐ Biohazardous Materials / Biosafety ◯ Approved Approval Date: Protocol ID: ◯ Pending

E. FDP EXPANDED CLEARINGHOUSE PARTICIPANTS (If no to the question below, complete Part II of this form)

Is the subrecipient a participant in the FDP Expanded Clearinghouse? https://fdpclearinghouse.org/organizations? ◯ Yes ◯ No

This proposal has been administratively reviewed and approved by the appropriate officials of Subrecipient and certify its accuracy and completeness. The appropriate programmatic and administrative personnel of Subrecipient involved in the application are aware of the awarding agency's policies, agree to accept the obligation to comply with award terms, conditions, and certifications, and are prepared to establish the necessary inter-institutional agreement consistent with that policy. 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:

Email:

RUTGERS
Office for Research

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PART II: TO BE COMPLETED BY NON-FDP EXPANDED CLEARINGHOUSE PARTICPANTS

A. FACILITES AND ADMINISTRATIVE RATES *(select one)*

- ☐ We have applied rates consistent with or lower than our federally negotiated rates. Our negotiated rate agreement is
  - ☐ attached ☐ available at: _____
- ☐ We do not have a federally negotiated F&A rate, but have applied:
  - ☐ a negotiated F&A rate with Rutgers with the attached documentation substantiating the rate
  - ☐ a 10% de minims rate (allowable only if the subrecipient does not have a federally negotiated F&A rate), MTDC definition, see §200.58 Modified Total Direct Cost
  - ☐ We have applied other rates as required by the prime sponsor policies/guidelines. (NIH foreign/international organizations rate is 8% of MTDC.

B. FRINGE BENEFIT RATES *(select one)*

- ☐ We have applied rates consistent with or lower than our federally negotiated rates. Our negotiated rate agreement is
  - ☐ attached ☐ available at: _____
- ☐ We do not have a federally negotiated fringe benefit rate and have applied actual fringe benefits (specify the benefit categories in the Comments)
- ☐ We have applied other rates (specify the basis on which rates have been calculated, including elements used in calculation, in the Comments)

C. CONFLICT OF INTEREST (COI) *(select one)*

- ☐ Not applicable because this project is not being funded by PHS (NIH, CDC, AHRQ, etc.) or any other sponsor that has adopted the financial disclosure requirements (NSF, etc.).
- ☐ We are registered as an organization with a PHS compliant policy with the FDP Expanded Clearinghouse. Rutgers encourages you to list your organization on the FDP Expanded Clearinghouse. You can register at: http://fdpclearinghouse.org
- ☐ Subrecipient Organization/Institution 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 its 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 COI policy but will have a PHS compliant policy in place and published at the time of award.
- ☐ Subrecipient does not have an active and/or enforced COI policy and agrees to adopt Rutgers policy and training located online at: https://research.rutgers.edu/researcher-support/research-compliance/conflict-interest

By signing, the subrecipient certifies that required training will be completed by each investigator prior to engaging in any research related to any PHS funding.

D. SUBRECIPIENTS LEVEL OF MATURITY *(select one)*

- ☐ Mature: 10+ years of subrecipient experience
- ☐ Intermediate: 5-9 years of subrecipient experience
- ☐ Beginner: 1-4 years of subrecipient experience
- ☐ Start-up: Less than 1 year of subrecipient experience

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PART II: TO BE COMPLETED BY NON-FDP EXPANDED CLEARINGHOUSE PARTICIPANTS (continued)

E. DEBARMENT AND SUSPENSION *(answer all)*

☐ Subrecipient, the PI, or any other employee or student participating in this project ◯ are ◯ are not debarred, suspended, proposed for debarment, declared ineligible, or otherwise excluded from or ineligible for participation in federal assistance programs, federal contracts, or activities.

☐ Subrecipient, the PI, or any other employee or student participating in this project ◯ are ◯ are not presently indicted for, or otherwise criminally or civilly charged by a government entity.

☐ Subrecipient ◯ has ◯ has not, within the last three (3) years preceding this offer, been convicted of or had a civil judgement 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 commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property.

☐ Subrecipient ◯ has ◯ has not, within the last three (3) years preceding this offer, had any contract terminated for default by any federal agency.

*If checked, explain:

F. REQUIRED INFORMATION SYSTEMS *(answer all)*

Does the subrecipient have a self-balancing set of accounts recording cash and other financial resources which are segregated for the purpose of carrying on specific activities or attaining certain objectives in accordance with special regulations, restrictions, or limitations? ◯ Yes ◯ No

Does the subrecipient have a procurement system which can record and segregate goods and services for the purpose of carrying on specific activities or attaining certain objectives in accordance with special regulations, restrictions, or limitations? ◯ Yes ◯ No

G. AUDIT STATUS *(select one)*