

**RUTGERS UNIVERSITY SUBRECIPIENT COMMITMENT FORM**



Rutgers University (RU) requires completion of the Subrecipient Commitment Form for all proposed subrecipients 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 Subrecipient Commitment Form, please contact Research and Sponsored Programs (RSP) at [subawards@research.rutgers.edu](mailto:subawards@research.rutgers.edu). The subrecipient's budget, budget justification, statement of intent, statement of work, and Subrecipient Commitment Form are required to RU's RSP five (5) business days before sponsor deadline.

**FOR INTERNAL USE ONLY**

SUBAWARD NUMBER

DATE RECEIVED

**INSTITUTION/ENTITY**  Same as legal address **PROJECT**

Subrecipient Legal Name and Address (as listed in SAM.gov)

Address where research will be performed

Zip (+4)

Congressional District

Zip (+4)

Congressional District

Registered in SAM?  Yes  No

Type of Organization  
[Select one]

DUNS

Federal EIN

Subrecipient must have a current SAM registration and maintain their current information in SAM prior to the issuance of a Subaward

Period of Performance (Start Date)

Period of Performance (End Date)

Amount Requested

Rutgers Principal Investigator

Subrecipient Principal Investigator

Prime Sponsor

Proposal Title

**PROPOSAL COMPONENTS: The following documents are included in our proposal submission and covered by the certifications below**

**Required Documents**

- Statement of Work **Attach SOW**
- Budget Justification **Attach Just.**
- Budget **Attach Budget**
- Statement of Intent **Attach Intent**

**Applicable as per Sponsor Requirements**

- Key Personnel Biosketches **Attach Bios**
- Key Personnel Current and Pending Support **Attach Support**

**Other Documents**

- Other Documents **Attach Other**
- Other Documents **Attach Other**

**A. TECHNICAL INFORMATION: The requirements and responsibilities of Rutgers' subrecipients are different than those of a contractor/vendor**

**Subrecipient**

- Responsible for significant decision making
- Responsible for adherence to applicable sponsor program compliance requirements
- Uses sponsor funds to carry out a Scope of Work for Rutgers
- Statement of work may result in intellectual property or publishable results

**Contractor/Vendor**

- Provides good and services within normal business operations
- Provides similar goods or services to other customers
- Provides goods or services that are ancillary to Rutgers' sponsored project
- Is not subject to compliance requirements of Rutgers' sponsor

Yes  No Our organization is properly categorized as a subrecipient based on our scope of work. (If "no", please contact Rutgers' PI about procuring your organization's products and services as a vendor/contractor)

**B. COMPLIANCE: Our scope of work includes:**

- Human Subjects Approval Date: \_\_\_\_\_  Pending **Attach IRB Approval**
- Human Stem Cells Approval Date: \_\_\_\_\_  Pending **Attach Stem Cell Approval**
- Animal Subjects Approval Date: \_\_\_\_\_  Pending **Attach IACUC Approval**

Subrecipient's IRB and/or IACUC approval must be provided to Rutgers Office of Research and Sponsored Programs, when available, before a subaward will be issued. Please forward these documents as soon as they become available. If your organization does not have approval, attach an explanation on how your organization will comply with all U.S. federal regulations and policies for the protection of human and animal subjects.

Yes  No If human subjects are involved, have all Key Personnel completed Human Subjects Training?

**BUDGET INFORMATION**

**A. Facilities and Administrative (F&A) Rates**

- 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 minimus 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**

- 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. Cost Sharing**

- Yes  No Amount  *This information should be included in the subrecipient's budget and justification.*

**CERTIFICATIONS**

**A. 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 Clearinghouse. Rutgers encourages you to list your organization on the FDP Clearinghouse. You can register at: [http://sites.nationalacademies.org/PGA/fdp/PGA\\_070596](http://sites.nationalacademies.org/PGA/fdp/PGA_070596)
- 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: [http://policies.rutgers.edu/sites/policies/files/90.2.5%20-%20current\\_0.pdf](http://policies.rutgers.edu/sites/policies/files/90.2.5%20-%20current_0.pdf)

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

**B. Subrecipient's 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

**CERTIFICATIONS (continued)**

C. 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 below.

D. Required Institutional Systems.

Yes  No 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?

E. Audit Status

Please select one of the following

**COMMENTS**

**APPROVED FOR SUBRECIPIENT**

The information, certifications, and representations above have been read, signed, and made by an authorized institutional official of the subrecipient. The appropriate programmatic and administrative personnel involved in this application are aware of agency policy regarding subawards and are prepared to establish the necessary inter-institutional agreements consistent with those policies. The subrecipient institution has the ultimate responsibility for informing Rutgers of any changes to the information captured above. **Any work begun and/or expenses incurred prior to execution of a subaward agreement are at the subrecipient's own risk.**

		Name and Title of Authorized Institutional Official	
Signature of Authorized Institutional Official	Date	E-mail	Phone