

Office of Research and Creative Scholarship
SUBRECIPIENT COMMITMENT FORM

SECTION A – Proposal and Institutional Information

All subrecipients should complete this form when submitting a proposal to Emerson. It provides a checklist of documents and certifications required by sponsors, as well as an area for the authorized institutional representative to sign.

SUBRECIPIENT'S LEGAL NAME: _____

SUBRECIPIENT'S LEGAL ADDRESS: _____

SUBRECIPIENT'S PI: _____ EMERSON'S PI: _____

PRIME SPONSOR: _____

PROPOSAL TITLE: _____

PRIME SPONSOR FUNDING OPPORTUNITY NUMBER OR URL: _____

SUBRECIPIENT'S PERFORMANCE PERIOD: BEGIN: _____ END: _____

TOTAL FUNDS REQUESTED: \$_____ SUBRECIPIENT'S DUNS & EIN: _____ SUBRECIPIENT'S FEDERAL UEI: _____

SECTION B – Proposal Documents

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

- ☐ **STATEMENT OF WORK**
- ☐ **BUDGET AND BUDGET JUSTIFICATION**
- ☐ **BIOSKETCHES FOR PI AND SENIOR PERSONNEL IN PRIME SPONSOR-APPROVED FORMAT**
- ☐ **FACILITIES, EQUIPMENT, AND OTHER RESOURCES STATEMENT**
- ☐ **CURRENT AND PENDING SUPPORT FOR PI AND SENIOR PERSONNEL**
- ☐ **OTHER:** _____

SECTION C – 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 box is checked, a copy of your F&A rate agreement must be furnished to Emerson before a subaward will be issued.)*
- ☐ Other rates *(please specify the basis on which the rate has been calculated in Section D Comments below)*
- ☐ Not applicable *(no indirect cost request 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 box is checked, a copy of your Fringe Benefit rate agreement must be furnished to Emerson before a subaward will be issued)*

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☐ Other rates (please specify the basis on which the rate has been calculated in Section D Comments below)

3. Human Subjects ☐ Yes ☐ No Assurance of Compliance No. _____

(If "Yes": Copies of the IRB approval and approved "Informed Consent" form must be provided before any subaward will be issued. Please forward these documents to Emerson's PI as soon as they become available. This is required before any subaward will be issued.) **Note: All key personnel engaged in human subject research must take the NIH human subjects training or human subject research training (http://grants.nih.gov/grants/policy/hs_educ_faq.htm)**

If "Yes" and NIH funding is involved: Have all key personnel involved completed Human Subjects Training?

☐ Yes ☐ No

4. Responsible Conduct of Research (For NSF awards only)

Statutory Requirement: <http://www.nsf.gov/bfa/dias/policy/rcr.jsp>

FAQ's: <http://www.nsf.gov/bfa/dias/policy/rcr/rcrfags.jsp>

Will the project involve undergraduates, graduate students, and/or post doctoral researchers being paid to conduct research?

☐ Yes ☐ No

Note: If yes, Emerson requires a copy of the Subrecipient's Responsible Conduct of Research Policy/Plan be furnished before a Subaward will be issued. This can be furnished via hard copy or internet URL link.

5. Financial Conflict of Interest in Research

(Subrecipient Organizations/Institutions that are commercial firms need make a certification only when the prime award is from the Public Health Service [PHS]).

☐ Subrecipient Organization/Institution hereby certifies that it has an active and enforced financial conflict of interest in research policy that complies with the provision of 42 CFR Part 50, Subpart F "Responsibility of Applicants for Promoting Objectivity in Research." Subrecipient also certifies that, to the best of 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 subrecipient's conflict of interest policy prior to the expenditures of any funds under any resultant agreement.

☐ Subrecipient does not have an active and/or enforced financial conflict of interest in research policy and hereby agrees to abide by Emerson's policy and related procedures. See <http://www.emerson.edu/policy/financial-conflict-interest-research> for the text of Emerson's policy.

6. Cost Sharing/Matching/In-Kind ☐ Yes ☐ No **Amount:** _____

(Cost sharing, Matching, and/or In-Kind amounts and justification should be included in the subrecipient's budget)

7. Certification Regarding Debarment and Suspension

Is the entity, 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?

☐ Yes ☐ No (If "yes", explain in Section D, Comments, below.)

Subawards to any entity or individual included in the Federal excluded Parties are prohibited.

9. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS GRANTEE OTHER THAN INDIVIDUALS

By signing and/or submitting this application or agreement, the Subawardee certifies that it is in compliance with the regulations implementing the Drug-Free Workplace Act of 1988, 45 CFR Part 76, Subpart F. The regulation, published in the January 31, 1989

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Federal Register, require certification by subrecipients that they will maintain a drug-free workplace.

9. CERTIFICATION FOR CONTRACTS, GRANTS, LOANS, AND COOPERATIVE AGREEMENTS (LOBBYING)

By signing and/or submitting this application or agreement, the Subawardee certifies that No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

10. 2 CFR Chapter I, and Chapter II, Subpart F Audit Requirements for Federal Awards

http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl

☐ Subrecipient DOES receive an annual audit in accordance with 2 CFR Chapter I, and Chapter II.

Most recent fiscal year completed: _____

Were there any audit findings reported? ☐ Yes ☐ No (If "Yes," explain in Section E, *Comments*, below)

Note: A complete copy of subrecipient's most recent audit report or the Internet URL link to a complete copy, must be furnished to Emerson before a subaward will be issued. URL: _____

☐ Subrecipient DOES NOT receive an annual audit in accordance with 2 CFR Chapter I, and Chapter II, Subpart F Audit Requirements for Federal Awards.

Subrecipient is a:

- ☐ Non-profit entity (under federal funding threshold)
- ☐ Foreign entity
- ☐ For-profit entity
- ☐ Government entity

Note: If a subrecipient does not receive a 2 CFR Chapter I, and Chapter II, Subpart F Audit Requirements Emerson will require the entity to complete an Audit Certification and Financial Status Questionnaire and may require a limited scope audit, before a subaward will be issued.

Section D – Comments

Section E –Administrative Contact Info

GRANTS OFFICIAL FOR SUBRECIPIENT (if different from authorized signatory): _____

TITLE: _____

PHONE: _____

EMAIL: _____

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APPROVED FOR SUBRECIPIENT: The information, certifications and representations above have been read, signed and made by an authorized official of the subrecipient named herein. 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 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 Official

Date

Name: _____

Title: _____

Phone: _____

Email: _____