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Princeton University - Office of Research and Project Administration
SUBRECIPIENT COMMITMENT FORM

SUBRECIPIENT:_____ SUBRECIPIENT'S PI:_____
PRINCETON PI:_____ PRIME SPONSOR:_____
PRINCETON'S PROPOSAL ENTITLED:_____
PERFORMANCE PERIOD: BEGIN:_____ END:_____

SECTION A – Proposal Documents

The following documents are included in our proposal submission and covered by the certifications below (check as applicable):

- ☐ **STATEMENT OF WORK** (required)
- ☐ **BUDGET AND BUDGET JUSTIFICATION** (required)
- ☐ Small/Small Disadvantaged Business Subcontracting Plan, in agency-required format (Federal Contracts greater than $500K)
- ☐ Biosketches of all Key Personnel, in agency-required format
- ☐ Other Support of all Key Personnel, in agency-required format
- ☐ _____

SECTION B - 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, please attach a copy of your F&A rate agreement or provide a URL link to the agreement in Section D.)
   - ☐ Other rates (please specify the basis on which the rate has been calculated in Section D Comments below)
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, please attach a copy of your EB rate agreement or provide a URL link to the agreement.)
   - ☐ Other rates (please specify the basis on which the rate has been calculated in Section D Comments below).
3. **Small Business Concern** ◯ **Yes** ◯ **No**
   Subrecipient represents that it is a small business concern as defined in 13 CFR 124.1002.

   If "Yes": Subrecipient represents that it is a:
   - ☐ Small disadvantaged business as certified by the Small Business Administration
   - ☐ Women-owned small business concern
   - ☐ Veteran-owned small business concern
   - ☐ Service-disabled veteran-owned small
   - ☐ HUBZone small business concern
4. **Human Subjects** ◯ **Yes** ◯ **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 PRINCETON'S PI as soon as they become available.)
   ***If "Yes"*: Have all key personnel involved completed Human Subjects Training?** ◯ **Yes** ◯ **No**
5. **Animal Subjects** ◯ **Yes** ◯ **No**
   (If "Yes": A copy of the IACUC approval must be provided before any subaward will be issued. Please forward this document to PRINCETON'S PI as soon as it becomes available.)
6. **Cost Sharing** ◯ **Yes** ◯ **No**
   (Cost sharing amounts and justification should be included in the subrecipient's budget).
7. **Conflict of Interest**
   - ☐ Not applicable because this project is not being funded by NSF or PHS (NIH, CDC, AHRQ, etc.)
   - ☐ 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." 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 conflict of interest policy and agrees to abide by PRINCETON's policy, located online at http://www.princeton.edu/orpa/compliance/coipolicy.htm.

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8. Responsible Conduct in Research (RCR)(Applicable to NSF)

☐ Not applicable because this project is not being funded by NSF

☐ By checking this box, Subrecipient certifies, if applicable, that it maintains an Institutional Plan to meet NSF's Educational Requirements for the Responsible Conduct of Research, as required under the "America COMPETES Act" PUBLIC LAW 110-69-August 9, 2007. Subrecipient certifies that it has a training program in place and will train all undergraduate and graduate students and postdocs in accordance with NSF's RCR program.

9. Debarment, Suspension, Proposed Debarment (Applicable to federal sponsors only)

☐ Not applicable because this project is not being funded by a federal sponsor.

☐ The PI or any other employee or student participating in this project debarred, suspended or otherwise excluded from or ineligible for participation in federal assistance programs or activities. (If selected, explain in Section D Comments area below.)

☐ The Organization certifies they: (answer all questions below)

☐ are ☐ are not presently debarred, suspended, proposed for debarment, or declared ineligible for a federal award.

☐ are ☐ are not presently indicted for, or otherwise criminally or civilly charged by a governmental entity.

☐ have ☐ have not within three (3) years preceding this certification, 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 commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property.

☐ have ☐ have not within three (3) years preceding this certification, had one or more contracts terminated for default by any federal agency.

SECTION C Audit Status

10. Audit Status

☐ Subrecipient receives an annual audit in accordance with OMB Circular A-133.
Most recent fiscal year completed: FY
Were any audit findings reported? (If "Yes," explain in Section D, Comments, below.) ◯ **Yes** ◯ **No**
Please attach a complete copy of your most recent A-133 audit report or provide the URL link to a complete copy.

☐ Subrecipient DOES NOT receive an annual audit in accordance with OMB Circular A-133.
Subrecipient is a: ☐ Non-profit entity (under federal funding threshold)
☐ Foreign entity
☐ For profit entity
☐ Government entity
Please complete the Non-A133 Financial Status Questionnaire. A limited scope audit may be required before a subaward will be issued.

SECTION D ï Comments

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)

(Address)

(Type or print name and title of Authorized Official)

(City, State, Zip)

(Name and EIN of Subrecipient Organization/Institution)

(Email)

(Date)

(Phone)

(FAX)