RESEARCH FOUNDATION CUNY

RESEARCH FOUNDATION
of The City University of New York
230 West 41st Street
New York, NY 10036-7207

SUBRECIPIENT COMMITMENT FORM

For CUNY Use
Grant Number | | | | | | | | | | |

Sections "B" through "J" should be completed at the proposal stage by an Authorized Representative who is knowledgeable about your organization's business processes and can obtain input on the scope of work from the principal investigator (PI) based at your organization.

This form must be completed to determine whether your organization's relationship to the project is as a subrecipient or contractor. This form must be received before a subagreement with CUNY can be established.

Section A. Proposal Information (to be completed by CUNY Sponsored Research Office)

CUNY PI _____ College _____

Prime Sponsor _____

Title of Proposal _____

CFDA # _____ R & D Award? ☐ Yes ■ No

Proposal Period of Performance Start _____ End _____

Section B. Proposal Information (to be completed by Subrecipient)

Subrecipient Legal Name _____

Subrecipient PI _____

Department Affiliation _____

Phone _____ Fax _____ Email _____

Address _____

City _____ State _____ Zip _____

Subrecipient Unique Entity Identifier (UEI)# _____ EIN# _____ DUNS# _____

Institutional Type _____ Congressional District _____

Is the Subrecipient participating in the FDP Expanding Clearinghouse? ☐ Yes ■ No FDP (URL) _____

If "Yes", then "Section E" does not need to be completed.

Registered in SAM? ■ Yes ☐ No Expiration Date ____/____/_____ Web Address (URL) _____

Amount of Funding Requested _____ Amount of Cost Sharing Committed _____

Subrecipient Proposed Period of Performance Start _____ End _____

Section C. Subrecipient Eligibility

The CUNY Research Foundation (RF) requires a Subrecipient Commitment Form to be completed before a subagreement may be fully executed. This form will be considered valid for 1 year from the date of signature by your organization's Authorized Official. In the

event of changes to the information provided, the RF should be notified within 30 days by sending an email to legalaffairs@rfcuny.org.

Please answer the following questions before completing the rest of the form. If you answer "Yes" to either of these

questions, the Research Foundation of The City University of New York cannot enter into a subaward with your organization.

Is your PI or other persons known at time of application to be participating in this project presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in any Federal department or agency?

☐ Yes ■ No

Is your organization delinquent on repayment of any Federal debt including direct and guaranteed loans and other debt as defined in OMB Circular A-129, "Managing Federal Credit Programs"? ☐ Yes ☐ No

Section D. Subrecipient Requirements and Responsibilities

The Research Foundation of CUNY (RF) views the subrecipient organization as a true partner in carrying out a sponsored project. The requirements and responsibilities of a subrecipient are different from that of a contractor. The following chart outlines the differences.

Subrecipients

- The subrecipient must comply with the sponsor requirements of the prime award (e.g., effort reporting on federal awards).
- The subrecipient exercises programmatic control over how the sponsored work is performed. It makes independent decisions regarding how to implement the proposed activities, as opposed to providing goods or services to the prime award PI .
- The subrecipient is responsible for substantive programmatic work or for conducting a significant portion of the project.
- A principal investigator has been identified as the subrecipient who functions as a Co-PI. Publications may be created or co-authored.

Contractors

- A contractor is not subject to the compliance requirements of the Federal program (e.g. effort reporting on Federal awards).
- A contractor provides goods or services developed according to the specifications of the CUNY Principal Investigator.
- A contractor provides similar goods or services within its normal business operations and normally operates in a competitive environment.
- A contractor provides goods or services that are ancillary to the operation of the Federal program.

Is my organization properly categorized as a subrecipient as described above? ☐ Yes ☐ No

If "No", please contact the CUNY PI about procuring your organization's products and/or services as a contractor

Section E . Required Subrecipient Proposal Information

Subrecipient Performance Site Address (if different from page one)

Address_____

City_____State_____Zip _____

Administrative/Contractual Contact _____

Phone_____ Fax_____ Email_____

Address_____

City_____ State_____ Zip _____

Financial Contact _____

Phone_____ Fax_____ Email_____

Address_____

City_____ State_____ Zip _____

Authorized Signatory_____

Department Affiliation _____

Phone_____ Fax_____ Email_____

Address_____

City_____ State _____ Zip _____

Section F. Facilities & Administrative Rate

☐ The Facilities & Administrative Rate included in this proposal has been calculated based on Subrecipient's federally negotiated F&A rate for this type of work. (If this box is checked, please attach a copy of your current F&A rate agreement or furnish the URL to the agreement) _____

☐ 10% de minimis (minimum) rate (If the subrecipient does not have a negotiated F&A rate, a 10% de minimis rate must be used. This rate is available to both domestic and foreign subrecipients. PIs may not negotiate or agree to lower rates with their subrecipients.)

☐ Other (please explain, e.g., NIH caps foreign subrecipients at 8%) _____

Section G. Fringe Benefit Rates

☐ Rates are consistent with, or lower than, our federally negotiated rates. (If this box is checked, please attach a copy of your organization's fringe benefit rate agreement or furnish the URL to the agreement. _____

☐ Based on actual cost.

☐ Other (explain) _____

Section H. Research Compliance

Check as applicable
Does the project involve human subjects? ☐ Yes ☐ No ☐ Pending
If "Yes", please provide Federal wide Assurance number_____and copies of the IRB approval.

Does the project involve animal subjects? ☐ Yes ☐ No ☐ Pending
If "Yes", please provide Animal Welfare Assurance number_____and copies of the IACUC approval.

Does the project involve any other "Restricted Research" activities being performed? (Example: Embryonic Stem Cells, Biohazard, Radioactive Materials, Recombinant DNA) ☐ Yes ☐ No

If "Yes", please provide copies of any applicable approvals that must be provided before any subaward will be finalized.

Section I. Financial Conflict of Interest

(applicable to PHS & NSF funded projects or agencies that have adopted the federal financial disclosure requirements)

☐ Subrecipient certifies that it has an active and enforced conflict of interest policy that is consistent with the provisions of 42 CFR 50, Subpart F and 45 CFR 94, "Responsibility of Applicants for Promoting Objectivity in Research." Subrecipient further certifies that, to the best of its knowledge, 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 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 expenditure of any funds under any resultant agreement.

☐ Subrecipient certifies that it has an active and enforced COI policy that is consistent with the provisions of NSF Award and Administration Guide, Chapter IV - Grantee Standards, A. Conflict of Interest Policies. Subrecipient further certifies that, to the best of its knowledge, 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 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 expenditure of any funds under any resultant agreement.

☐ Not applicable because this project is not being funded by a PHS funded agency, or other agency that has adopted PHS FCOI regulations.

Section J. Proposal Documents

The following documents are required with this subaward proposal.

☐ Statement of Work
☐ Budget and Budget Justification in awarding agency format
☐ Subrecipient Commitment Form
☐ Letter of Commitment
☐ CUNY Conflict of Interest Form
☐ F & A Agreement
☐ W-9 Form
☐ Other

Subrecipient Authorized Representative Approval

I hereby certify that the information I provided accurately represents the organization of which I am an Authorized Representative. 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 and Title of Authorized Official_____ Date _____

Comments: