

Prime Recipient: **CSU Fullerton Auxiliary Services Corporation (ASC)**  
 on behalf of: **California State University, Fullerton (CSUF)**  
 c/o CSUF Office of Grants and Contracts  
 1121 N. State College Blvd. ASC Bldg 2nd Floor, Fullerton, CA 92831  
 Tel.: (657) 278-2106; Email: ogc1@fullerton.edu

OGC #

**SUBRECIPIENT COMMITMENT FORM**

**SUBRECIPIENT INFORMATION**

Subrecipient Legal Name:

Subrecipient's PI Name:  CSUF PI:

Unique Entity ID (UEI):  CSUF PI Department/Unit:

Subrecipient "Principal Place of Performance" address (if different from subrecipient's address on page 4):

EIN#

Street:  Congressional District

City:  State:  Zip+4 (US):

Prime Sponsor:

CSUF Proposal Title:

Subrecipient Total Funds Requested:  Performance Period Begin: (mm/dd/yy)

Subrecipient Cost Share Amount:  Performance Period End: (mm/dd/yy)

(Cost sharing amount and details should be reflected in Subrecipient's budget)

**SECTION A: Proposal Documents**

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

- Statement of Work (required)
- Budget and Budget Justification (required, including F&A rate agreement as applicable)
- This Subrecipient Commitment Form (required) completed and signed by Subrecipient's Authorized Official
- Small/Small Disadvantaged Business Subcontracting Plan, in agency-required format (required for proposals over \$550,000)
- Biosketches of Key Personnel in agency-related format

Other

**SECTION B: Subrecipient Requirements and Responsibilities**

Before submitting a subaward proposal, the subrecipient must verify that it fits the characteristics of a subrecipient, rather than those of a contractor (2 CFR 200.23). The following chart outlines the differences. Please check all that apply.

**SUBRECIPIENT**

- If subrecipient is a CSU Campus or an Auxiliary, check this box and skip to Section C: Special Review and Certification.
- Performance represents an intellectually significant portion of the overall programmatic effort and is measured against the objectives of the program.
- Will use the funds to carry out a program for a public purpose, as opposed to providing goods or services for the benefit of CSUF.
- Is responsible for adhering to applicable program requirements specified in the prime award.
- There is an identified principal investigator for the subrecipient who is responsible for making programmatic decisions.

**CONTRACTOR**

- Provides goods or services that are ancillary to the operation of the program identified in the prime award.
- Provides the goods or services purchased with the funds within normal business operations.
- Provides similar goods or services to many different purchasers.
- Is not subject to the compliance requirements of the program as a result of the agreement with CSUF.
- Normally operates in a competitive environment.

<input type="checkbox"/> Yes	<input type="checkbox"/> No	For the purpose of this proposal, my organization is properly categorized as a subrecipient as described above. <b>*If "No," STOP here. This form is not applicable. Do not continue completing this form. Please contact the CSUF PI about procuring your organization's products and services as a contractor.</b> <b>*If "Yes," continue completing the form.</b>
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## SECTION C: Special Review and Certifications

1. **Facilities and Administrative Rates** included in this proposal have been calculated based on:

- Subrecipient's federally-negotiated F&A rates for this type of work, or a reduced F&A rate that Subrecipient hereby agrees to accept. (If this box is checked, a copy of your F&A rate agreement must be furnished to CSUF before a subaward will be issued.)
- 10% de minimis MTDC rate if subrecipient does not have a federally negotiated rate.
- Not applicable (no indirect cost requested)  A reduced F&A rate dictated by the prime sponsor or other rate. (Please specify the basis on which rate has been calculated in Section E: Comments.)

2. **Fringe Benefit Rates** included in this proposal have been calculated based on:

- Rates consistent with or lower than Subrecipient's federally-negotiated rates. (If this box is checked, please send a copy of your Fringe Benefit Rate agreement to CSUF before a subaward will be issued.)
- Based on actual rates.
- Other rates (please specify the basis on which the rate has been calculated in Section E: Comments)

3. **Subrecipient Business Status:**

- Large Business  Institution of Higher Education  Foreign Owned  
 Small Business  Nonprofit Organization  For profit organization

If a small business, identify business classification (\*certified by the Small Business Administration)

- Small Disadvantaged Business (SDB)\* (8a)\*  Service-disabled veteran-owned business (SDVOSB)  
 Women-owned small business (WOSB)  HUBZone small business\*  
 Veteran-owned small business (VOSB)  Alaska Native Corporation (ANC) (43USC1601)  
 Minority Serving Institution (e.g., HBCU, HSI, MI, etc.)

4. **Affirmative Action Compliance:**

Indicate in accordance with the rules and regulations of the Secretary of Labor (41 CFR 60-1 and 60-2) that your organization has:

- a written affirmative action program has been developed and is on file  
 a written affirmative action program has not been developed and is not on file  
 not previously had contracts subject to the written affirmative action programs

5. **Human Subjects:**  Yes  No

Exemption Number or IRB Approval Date: (mm/dd/yy)  IRB Number:   IRB Pending

If answer to the above is "Yes" copies of the determination of exemption or IRB approval must be provided before any subaward will be issued. Please send the documents to CSUF Office of Grants and Contracts as soon as they become available. Please indicate the CSUF PI's name, Project Title, and subcontract number (for reference), if available.

**If "Yes" and NIH funding is involved**

Have all key personnel involved completed human subjects training?  Yes  No

Note: All key personnel engaged in human subjects research must take NIH human subjects training or other human subjects research training ([http://grants.nih.gov/grants/policy/hs\\_educ\\_faq.htm](http://grants.nih.gov/grants/policy/hs_educ_faq.htm)) as required by NIH.

Does your organization/institution have a Federalwide Assurance (FWA) Number?  Yes  No If "Yes" provide number:

6. **Animal Subjects:**  Yes  No Approval Date:(mm/dd/yy)  IACUC Number:

If "Yes" copies of the IACUC approval must be provided before any subaward will be issued. Please obtain approval and forward required documents to the CSUF Office of Grants and Contracts, as soon as they become available. Please indicate the CSUF PI's name, Project Title, and subaward number (for reference), if available.

Does your organization/institution have a PHS Animal Welfare Assurance Number?  Yes  No If "Yes" provide number:

## 7. Responsible Conduct of Research (RCR):

The prime sponsor of this project is:

**National Institutes of Health**

**Policy:** NIH requires that all trainees, fellows, participants, and scholars receiving support through any NIH training, career development award (individual or institutional), research education grant, and dissertation research grant must receive instruction in responsible conduct of research. This policy will take effect with all new and renewal applications submitted on or after January 25, 2010, and for all continuation (Type 5) applications with deadlines on or after January 1, 2011. This Notice applies to the following programs: D43, D71, F05, F30, F31, F32, F33, F34, F37, F38, K01, K02, K05, K07, K08, K12, K18, K22, K23, K24, K25, K26, K30, K99/R00, KL1, KL2, R25, R36, T15, T32, T34, T35, T36, T37, T90/R90, TL1, TU2, and U2R. This policy also applies to any other NIH-funded programs supporting research training, career development, or research education that require instruction in responsible conduct of research as stated in the relevant funding opportunity announcements.

**Compliance:** NIH policy requires participation in and successful completion of instruction in responsible conduct of research by individuals supported by any NIH training/ research education/fellowship/career award. It is expected that course attendance is monitored and that a certificate or documentation of participation is available upon course completion. NIH does not require certification of compliance or submission of documentation, but expects institutions to maintain records sufficient to demonstrate that NIH-supported trainees, fellows, and scholars have received the required instruction.

**Resources:** The NIH Research Training website (<http://grants.nih.gov/training/extramural.htm>) includes additional information on instruction in responsible conduct of research and links to the Office of Research Integrity (<http://ori.hhs.gov/>), links to instructional materials, and examples of programs that have been regarded as good models for instruction in responsible conduct of research (<http://bioethics.od.nih.gov/researchethics.html>). The National Academy Press has published the 3rd. edition of the classic, *On Being a Scientist*, and is available online at [http://books.nap.edu/catalog.php?record\\_id=12192](http://books.nap.edu/catalog.php?record_id=12192)

**National Science Foundation**

**Statutory Requirement:** "The Director shall require that each institution that applies for financial assistance from the Foundation for science and engineering research or education describe in its grant proposal a plan to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduate students, graduate students, and postdoctoral researchers participating in the proposed research project."

**Certification Regarding Responsible and Ethical Conduct of Research (RECR):**

The AOR is required to complete a certification that the institution has a plan to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduates, graduate students, postdoctoral researchers, faculty, and other senior personnel who will be supported by NSF to conduct research. Additional information on NSF's Responsible and Ethical Conduct of Research (RECR) policy is available in the Award and Administration Guide (AAG), Chapter IV.B.

**Institutional Responsibilities:**

- A. An institution must have a plan in place to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduates, graduate students, postdoctoral researchers, faculty, and other senior personnel who will be supported by NSF to conduct research. Such training must include mentor training and mentorship. As noted in NSF Grant Proposal Guide (GPG) Chapter II.C.1e, institutional certification to this effect is required for each proposal.
- B. **While training plans are not required to be included in proposals submitted to NSF, institutions are advised that they are subject to review, upon request.**
- C. An institution must designate one or more persons to oversee compliance with the RECR training requirement.
- D. Institutions are responsible for verifying that undergraduate students, graduate students, postdoctoral researchers, faculty, and other personnel supported by NSF to conduct research have received training in the responsible and ethical conduct of research.

## 8. Misconduct in Research:

- Subrecipient **has established** a Misconduct in Research/Research Integrity policy that complies with federal regulations.
- Subrecipient **does not have** a Misconduct in Research/Research Integrity policy that complies with federal regulations.

## 9. Conflict of Interest (applicable to PHS\*, NSF, or any other sponsor that has adopted the federal financial disclosure requirements):

- Not applicable because this project is not being funded by NSF, PHS or other sponsor requiring federal financial disclosure.
- Subrecipient hereby 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 the 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 expenditure of any funds under any resultant agreement. Subrecipient conflict of interest policy can be found at

- Subrecipient does not have an active and/or enforced conflict of interest policy and hereby agrees to abide by CSUF's policy.

\*Public Health Service (PHS) agencies include the following: National Institutes of Health (NIH), Food and Drug Administration (FDA), Centers for Disease Control and Prevention (CDC), Indian Health Service (IHS), Health Resources and Services Administration (HRSA), Substance Abuse and Mental Health Services Administration (SAMHSA), Agency for Healthcare Research and Quality (AHRQ), Agency for Toxic Substance and Disease Registry (ATSDR), and any other sponsor who has adopted PHS FCOI financial disclosure requirements.

## 10. Export Control Compliance

Does this project involve data, information, technology, etc. that may be subject to export control laws?

- Yes\*  No

\* If applicable, sub-recipient hereby certifies that it understands and will comply with any and all applicable export control laws and regulations of the United States of America.

11. **Fiscal Responsibility** The Subrecipient certifies that its financial system is in accordance with generally accepted accounting principles and (mark all that apply):
- has the capability to identify, in its accounts, all Federal awards received and expended and the Federal programs under which they are received
  - maintains internal controls to assure that it is managing Federal awards in compliance with applicable laws, regulations and the provision of contracts and grants
  - complies with applicable laws and regulations
  - can prepare appropriate financial statements, including the schedule of expenditures of Federal awards
  - there are no outstanding audit findings. If there are findings, submit a copy of the most recent report that describes the findings and steps to be taken to correct the finding.

12. **Debarment, Suspension, Proposed Debarment:**

Is 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 "Yes" please explain in Section E: Comments.  Yes  No

The Subrecipient certifies that they: (answer all questions below)

- Are  Are Not presently debarred, suspended, proposed for debarment, or declared ineligible for award of Federal Contracts
- 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 offer, 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 offer, had one or more contracts terminated for default by any Federal Agency

13. **The Subrecipient is registered in the System for Award Management (SAM) via SAM.gov and that its registration is current:**  Yes  No

**SECTION D: Audit Status**

1. **OMB Uniform Guidance Audit Status**

Does the Subrecipient receive an annual audit in accordance with OMB Uniform Guidance?  Yes  No (If "NO", please complete "Financial Status Questionnaire")

Has the audit been completed for the most recent fiscal year?  Yes  No

If "No", when is it expected to be completed: (m/d/yy)

B. Were any audit findings reported? (If "yes", explain in Section E:Comments below)  Yes  No

*Note: A complete copy of Subrecipient's most recent report, or the Internet URL link to a complete copy must be furnished to CSU Fullerton Auxiliary Services Corporation before a subaward will be issued. URL: \_\_\_\_\_*

C. If "No", does the Subrecipient receive overall federal funding of at least \$750,000 per year?  Yes  No (If "No", skip Item D)

- D. Subrecipient is a:
- For-profit entity that expends Federal or Sub-Federal funds and has a DCAA audited rate
  - For-profit entity that does not expend Federal funds or have annual audits
  - Foreign entity

*Note: If Subrecipient does not receive an OMB Uniform Guidance audit, the CSU Fullerton Auxiliary Services Corporation will require the Subrecipient to complete an Audit Certification and Financial Status Questionnaire, and may require a limited scope audit before a subaward will be issued.*

2. **Federal Funding Accountability and Transparency Act (FFATA)**

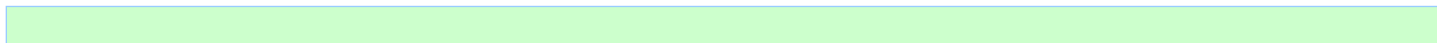
Location of Subrecipient (City/State/Congressional District/County):

*Note: If primary place of performance is different than Location of Subrecipient, provide location where project will be performed (Address/City/State/ZipCode+4 US)*

UEI Number of Subrecipient receiving award:  Congressional District

Is Subrecipient owned or controlled by a parent entity?  Yes  No

If "Yes", please provide UEI number and location (City/State/Congressional District/Country) of parent entity.



**SECTION E: Comments** (please attach additional pages if necessary)

## APPROVED FOR SUBRECIPIENT

The information, certifications, and representations above have been read, signed, and made by an authorized institutional representative of the Subrecipient named herein. The appropriate programmatic and administrative personnel involved in this application are aware of agency policies in regard to subawards and are prepared to establish the necessary inter-institutional agreements consistent with those policies. By their signatures below, Subrecipient and its Principal Investigator certify (1) that the information submitted within the application is true, complete and accurate to the best of the Subrecipient's and PI's knowledge; (2) that any false, fictitious, or fraudulent statements or claims may subject the Institution and PI to criminal, civil, or administrative penalties; and (3) that the PI agrees to accept responsibility for the scientific conduct of the project and to provide the required progress and other administrative reports as required if an award is made as a result of the prime recipient's application. Any work begun and/or expenses incurred prior to execution of a subaward agreement are at the Subrecipient's own risk.

Joint Research. This submission shall be understood to be a joint research agreement in accordance with 35 U.S.C. 103(c)(3) for activities contemplated herein. The scope of such joint research may be amended from time to time by agreement between the principal investigator(s) and their designee(s).

Signature of Subrecipient's Authorized Institutional Representative

Date

Name and Title of Authorized Institutional Representative/Signing Official

Address

City, State, Zip

Email Address

Name and Title of Administrative Point of Contact/Person to send award to

Address

City, State, Zip

Phone

Fax

Email Address

### Key Person Profile

Role on Project

e.g. PD/PI, Co-PI, Co-I, OSC, etc.

PI Name:

Position/Title:

Street Address:

City, State, Zip:

Phone Number:

Fax Number:

Email:

NIH Credential:

Note: For NIH proposals, please provide this information for all individuals listed in section A of the RR budget. Please also provide the respective biographical sketches for each.

Print Form

# Financial Status Questionnaire Form

(To be completed if institution does not have annual audit in accordance with OMB Uniform Guidance.)

Institution Legal Name:

## General Information

- Y  N 1. Does your organization have its financial statements reviewed by an independent public accounting firm? **(Please enclose a copy of the most recent financial statements for your organization, audited or unaudited.)**
- Y  N 2. Are duties separated so that no one individual has complete authority over an entire financial transaction?
- Y  N 3. Does your organization have controls to prevent expenditure of funds in excess of approved, budgeted amounts?
- Y  N 4. Other than financial statements, has any aspect of your organization's activities been audited within the last two years by a governmental agency or an independent public accountant? If so, explain. **(Please provide a copy of any recent external audit report.)**

## Cash Management

- Y  N 1. Are all disbursements properly documented with evidence of receipt of goods or performance of services?
- Y  N 2. Are all bank accounts reconciled monthly?

## Payroll

- Y  N 1. Are payroll charges checked against program budgets?
2. What system does your organization use to control paid time, especially time charged to sponsored agreements?

## Property Management

- Y  N 1. Are detailed records of individual capital assets kept and periodically balanced with the general ledger accounts?
- Y  N 2. Are there effective procedures for authorizing and accounting for the disposal of property and equipment?
- Y  N 3. Are detailed property records periodically checked by physical inventory?
4. Briefly describe the organization's policies concerning capitalization and depreciation.

**Procurement**

- Y  N 1. Are there procedures to ensure procurement at competitive prices?
- 2. Is there an effective system of authorization and approval of:
  - Y  N a) capital equipment expenditures?
  - Y  N b) travel expenditures?

**Cost Transfers**

- 1. How does the organization ensure that all cost transfers are legitimate and appropriate?

**Indirect Costs**

- Y  N 1. Does the organization have an indirect cost allocation plan or a negotiated indirect cost rate? If so, explain. **(Please provide a copy of any negotiated indirect cost rate agreement.)**

- Y  N 2. Does the organization have procedures which provide assurance that consistent treatment is applied in the distribution of charges to all grants, contracts and cooperative agreements? If so, explain.

**Cost Sharing**

- 1. How does the organization determine that it has met cost sharing goals?

**Compliance**

- Y  N 1. Does your organization have a formal policy of nondiscrimination and a formal system for complying with Federal civil rights requirements?
- Y  N 2. Does your organization have a cash forecasting process which will minimize the time elapsed between the drawing down of funds and the disbursement of those funds?
- 3. **Please provide a list of recent state or federal grants, contracts or cooperative agreements your organization has received and the award amount.**

**Attachments**

- Y    N      **Recent Financial Statements External Review or Audit Report**
- Y    N      **Financial Statements, Audited or Unaudited**
- Y    N      **Indirect Cost Rate Agreement**
- Y    N      **List of State and Federal awards**

**Authorized Official Signature**

**Date**

**Name/Title of Authorized Official**

**Print Form**