

SUBRECIPIENT COMMITMENT FORM

TO BE COMPLETED BY K-STATE

K-State PI: _____ Cayuse SP #: _____
Prime Sponsor: _____
Proposal Title: _____
Proposed Project Period: _____

TO BE COMPLETED BY SUBRECIPIENT

A. Proposal-Specific Information (Required)

Subrecipient Legal Name: _____
Website: _____ Internal Reference #: _____
Total Funds Requested: _____ DUNS/UEI Number: _____
Subrecipient PI & Title: _____
Email: _____ Phone: _____
Administrative Contact & Title: _____
Email: _____ Phone: _____
AOR Name & Title: _____
Email: _____ Phone: _____

Matching/Cost Sharing: ☐ No ☐ Yes: \$ _____

Human Subjects: ☐ No ☐ Yes; status of IRB review: (Pending, Exempt, Approved) _____
If exempt/approved, provide IRB Approval

Animal Subjects: ☐ No ☐ Yes; status of IACUC review (Pending, Approved) _____
If approved, provide IACUC Approval

Export Control: Does subrecipient anticipate the use or development of items, software or technology that would require review under Export Control Laws? ☐ No ☐ Yes; if yes, please explain: _____

Controlled Unclassified Information: Does subrecipient anticipate the use or involvement of Controlled Unclassified Information as described in 32 CFR 2002? ☐ No ☐ Yes; if yes, please explain: _____

Proposal Documents Requested:

- ☐ Statement of Work (Required)
- ☐ Budget and Budget Justification, in sponsor-required form (Required)
- ☐ Subrecipient Commitment Form, completed and signed by Subrecipient's AOR (Required)
- ☐ Personnel Documents, in sponsor-required format: _____, _____, _____
- ☐ Institutional Letter of Commitment/Support, signed by Subrecipient's AOR
- ☐ Other: _____

B. Certifications and Assurances (Required)**Research Security Training** ([Section 10634 of Public Law 117-167 \(CHIPS and Science Act\)](#))

- ☐ Subrecipient certifies the following in accordance with Section 10634 of Public Law 117-167 (CHIPS and Science Act):
- 1) all “covered individuals” participating in the project in any capacity have completed a federally compliant Research Security Training not more than 12 months prior to application submission; AND
 - 2) all “covered individuals” named after award will complete a federally compliant Research Security Training within 30 days of being added to the project; AND
 - 3) all “covered individuals” will recertify Research Security Training throughout the life of any resultant award.
- ☐ Not Applicable as this project is not funded by a federal agency.

Malign Foreign Talent Recruitment Program Participation ([Section 10632 of Public Law 117-167 \(CHIPS and Science Act\)](#))

- ☐ Subrecipient certifies that all “covered individuals”, as defined by the federal agency named at the top of the page:
- 1) have been made aware of their requirement to certify that they are not a party to a malign foreign talent recruitment program and to re-certify annually for the duration of any resultant award; AND
 - 2) have complied with the requirement above.
- ☐ Not Applicable as this project is not funded by a federal agency.

NSF Safe And Harassment-Free Fieldwork Plan For Off-Campus And Off-Site Research (NSF PAPPG, CHAPTER II, E.9) (For purposes of this requirement, NSF defines off-campus and off-site research as data/information/samples being collected off-campus or off-site, including fieldwork and research activities on vessels and aircraft, and observatories and other facilities)

- ☐ Project does not involve Subrecipient research that will be conducted off-campus or off-site.
- ☐ Project does involve Subrecipient research that will be conducted off-campus or off-site
- ☐ Not Applicable as this project is not funded by NSF.

NIH Policy to Train Senior/Key Personnel on Other Support Disclosure Requirements (NIH NOT-OD-25-133)

- ☐ Subrecipient certifies that:
- 1) Subrecipient institution has implemented training(s), in addition to maintaining a written and enforced policy, on requirements for the disclosure of other support; AND
 - 2) Subrecipient Senior/Key Personnel have completed or will complete the disclosure training prior to the submission of any Other Support documentation.
- ☐ Not Applicable as this project is not funded by NIH.

C. Other Information (Required ONLY IF your organizations is NOT a participant in the [FDP Expanded Clearinghouse](#). If your organization IS a participating organization in the [FDP Expanded Clearinghouse](#), then skip to Section E.)**Institution Information**

Institution Type: _____

Year Established: _____ Employer Identification Number: _____

Congressional District (site): _____ Registered in Sam.gov? : ☐ Yes ☐ No;**Facilities & Administrative (F&A) Rates** included in this proposal have been calculated based on:

- ☐ Subrecipient’s federally negotiated F&A rate of: ____% (copy attached or provide link: _____)
- ☐ Agency required rate limitation of: ____% (per sponsor solicitation)
- ☐ de minimus rate per Uniform Guidance §200.331: ____%
- ☐ Other rate of: ____% (please explain): _____
- ☐ Not applicable (no F&A requested by Subrecipient)

KANSAS STATE UNIVERSITY SUBRECIPIENT COMMITMENT FORM

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

- ☐ Rates consistent with or lower than subrecipient's institutionally approved rates (copy attached or provide link: _____)
- ☐ Other rates (please explain): _____
- ☐ Not applicable (no fringe benefits requested by Subrecipient)

Promoting Objectivity in Research (COI)

Subrecipient must designate herein which Financial Conflict of Interest policy (COI) will apply:

- ☐ Subrecipient's.
 - 1) Subrecipient hereby certifies that its active and enforced policy complies with the requirements of the sponsor identified on page one of this form.
 - 2) Subrecipient shall report any financial conflict of interest to K-State. Any financial conflicts of interest identified shall, when applicable, subsequently be reported to the sponsor. Such report shall be made before the expenditure of funds under any resultant agreement and within forty-five (45) days of any subsequently identified COI.
- ☐ K-State's (Policy located online at <http://www.k-state.edu/conflict/policies/>).

Responsible Conduct of Research (RCR)

- ☐ Subrecipient organization certifies that it has a training program in place and will train all project personnel including undergraduate and graduate students and postdocs in accordance with applicable RCR requirements.
- ☐ Not applicable because this project is not being funded by NSF, NIH, or USDA

Fiscal Responsibility

The Subrecipient organization certifies that its financial system is in accordance with generally accepted accounting principles and:

- ☐ has the capability to identify in its accounts, all Federal awards received and expended and the Federal programs under which they were received;
- ☐ maintains internal controls to assure that it is managing Federal awards in compliance with applicable laws, regulations and the provision of contract or grants;
- ☐ complies with applicable laws and regulations;
- ☐ can prepare appropriate financial statements, including the schedule of expenditures of federal awards;

FFATA Executive Compensation Exemption Certification

- ☐ Subrecipient's organization is required to provide compensation information because:
 - A. In the preceding fiscal year, Subrecipient's organization received:
 - a. 80% or more of its annual gross revenues in federal awards (federal contracts, subcontracts, loans, grants, subgrants, and cooperative agreements; AND
 - b. (ii) \$25,000,000 or more in annual gross revenues from federal awards; AND
 - B. The public does not have access to information about the compensation of the senior executives of the entity through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986.
- ☐ Subrecipient organization is exempt from reporting compensation.

Uniform Guidance Subpart F - Single Audit Status

- ☐ Subrecipient has completed the single audit for the most recent fiscal year _____ to _____. A link to the audit report is provided: _____

KANSAS STATE UNIVERSITY SUBRECIPIENT COMMITMENT FORM

- ☐ The audit disclosed no material weaknesses, no material instances of noncompliance with federal laws or regulations, no reportable conditions, no findings, and there are no unresolved findings from prior year(s).
- ☐ The audit noted material weaknesses, material instances of noncompliance with federal laws or regulations, reportable conditions, findings, and/or unresolved findings from prior year(s).
- ☐ Subrecipient has not completed the single audit for the fiscal year ending _____. Subrecipient expects the audit to be completed by _____. Within thirty days of completion, subrecipient will provide K-State with written certification and will send a copy of the audit report, including relevant findings, Subrecipient's responses and corrective action plan if the audit discloses any material weaknesses, material instances of noncompliance with federal laws or regulations, reportable conditions, findings or unresolved prior year findings complies with applicable laws and regulations.
- ☐ Subrecipient is not subject to the single audit requirements of Uniform Guidance Subpart F because:
- ☐ Non-profit or foreign entity expending less than \$750,000 in federal and sub-federal funds in the most recent fiscal year.
- ☐ For-profit entity
- ☐ Other: _____

D. Institutional Contacts (Required ONLY IF your organizations is NOT a participant in the [FDP Expanded Clearinghouse](#). If your organization IS a participating organization in the [FDP Expanded Clearinghouse](#), then skip to Section E.)

SUBRECIPIENT AWARD ADDRESS		
Address:		
City:	State:	ZIP:
SUBRECIPIENT PLACE OF PERFORMANCE (if different from above)		
Address:		
City:	State:	ZIP:
ADMINISTRATIVE CONTACT		
Name:		
Address:		
City:	State:	ZIP:
Telephone:	Email:	
SUBRECIPIENT PRINCIPAL INVESTIGATOR/PROJECT DIRECTOR		
Name:		
Address:		
City:	State:	ZIP:
Telephone:	Email:	
FINANCIAL CONTACT		
Name:		
Address:		
City:	State:	ZIP:
Telephone:	Email:	

KANSAS STATE UNIVERSITY SUBRECIPIENT COMMITMENT FORM

AUDIT CONTACT		
Name: _____		
Address: _____		
City: _____	State: _____	ZIP: _____
Telephone: _____	Email: _____	
AUTHORIZED OFFICIAL		
Name: _____		
Address: _____		
City: _____	State: _____	ZIP: _____
Telephone: _____	Email: _____	

E. Signature (Required)

AUTHORIZATION:

By signing this form, Subrecipient certifies that the above information, certifications, and representations have been read, are understood, and are accurate and true to the best of their knowledge. The appropriate programmatic and administrative personnel involved in this application are aware of pertinent regulations and policies, including the obligation to provide access to Kansas State University, as prime grant recipient, all lab notebooks, data, and documentation that supports the research outcomes as described in the progress report, no less than once per year, in alignment with the timing of Sponsor reporting requirements, and are prepared to establish a subaward agreement with Kansas State University that ensures compliance with such regulations and policies should this proposal be funded.

Subrecipient hereby certifies that neither it nor its principals nor those who will perform services under a Subaward Agreement awarded pursuant to the proposal referenced herein are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency from participation in this transaction and have not, within the 3 year period preceding this application, been convicted of, or had a civil judgment rendered against them or had any public transaction (Federal, State or Local) terminated for cause or default.

Any work begun or expenses incurred prior to execution of a subaward agreement is at the Subrecipient's own risk. No work involving human subjects and/or animals may begin until the Subrecipient has obtained registered Institutional Review Board and/or Animal Care and Use Committee review and approval.

For USDA projects, consistent with requirements contained within the 2018 Farm Bill, Subrecipient acknowledges the total F&A recovery for KSU and all Subrecipients under this project cannot exceed 30% TFFA. By signing, Subrecipient agrees that KSU, upon the summation of all participant budgets, may reduce the F&A requested for all project participants to comply with this Farm Bill restriction, and hereby authorizes KSU to allocate any required reductions of F&A on a pro rata basis, based on each participant's percentage of the overall F&A requested. Subrecipient further authorizes KSU to reallocate these reductions as noted in this paragraph to direct costs within each Subrecipient budget without the need to secure additional certifications and budget documents. Ultimately, the budget total for each Subrecipient will not change. For those projects requiring F&A reductions, KSU assures Subrecipient it will communicate the revised budget to Subrecipient post submission of the proposal.

Signature: _____ Date: _____

Name and Title: _____