



LOMA LINDA UNIVERSITY

Subrecipient Commitment Form

Office of Research Affairs & Research Affairs Financial Management

24887 Taylor Street, Suite 201 & 202, Loma Linda, CA 92350

Ph (909) 558-4589 | Fax (909) 558-0199 | Email: rafm@llu.edu

All organizations planning to enter into a collaborative subaward agreement with Loma Linda University (LLU) are required to complete this form prior to proposal submission. The form provides a checklist of required documents as well as certifications required by sponsors. The completed form should be submitted to LLU Research Affairs Financial Management (RAFM) five (5) business days prior to the sponsor deadline. For additional instructions or questions on completing this form, please contact RAFM at the information provided above.

A. PROPOSAL INFORMATION For internal use only, LLeRA:

Subrecipient Institution Legal Name Subrecipient Principal Investigator/Project Director

LLU Principal Investigator/Project Director Prime Sponsor

LLU Proposal/Project Title

Subrecipient Total Funds Requested Subrecipient Performance Period From _____ through _____

B. SUBRECIPIENT ELIGIBILITY

Please answer the following questions BEFORE completing the remainder of this form:

Yes No Is your organization presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in any Federal department or Agency?

If you answered "Yes" to either of the above questions, Loma Linda University (LLU) will not be establishing a subaward agreement with your organization. You do not need to complete the remaining sections of this form. Please notify the LLU Principal Investigator (PI) as soon as possible.

C. PROPOSAL DOCUMENTS CHECKLIST

In addition to this form, the following documents are to be submitted to LLU with the proposal submission documents:

- STATEMENT OF WORK (required, included in proposal submission)
- BUDGET (on [SF424 Form](#)) AND BUDGET JUSTIFICATION (required, included in proposal submission)
- COPY OF SUBRECIPIENT NEGOTIATED F&A RATE (if applicable)
- COPY OF SUBRECIPIENT NEGOTIATED FRINGE BENEFITS RATES (if applicable)
- [SUBRECIPIENT FINANCIAL QUESTIONNAIRE](#) (if not subject to annual OMB audit)

D. CERTIFICATIONS

1. Is the organization subject to an annual audit in accordance with OMB Uniform Guidance Subpart F?

Yes, please provide the following Federal Audit Clearinghouse (FAC) Look-up Information (<https://harvester.census.gov>):

Auditee Name: _____ Auditee Contact Name: _____
 Auditee EIN: _____ Auditee Contact Email: _____
 Most Recently Completed Audit Year: from _____ to _____

No, please complete the [Subrecipient Financial Questionnaire](#)

2. Facilities and Administrative (F&A) rates included in this proposal have been calculated based on the following:

- Our federally negotiated F&A rates for this type of work, or a reduced F&A rate that we hereby agree to accept. *Include a copy of your F&A Rate Agreement with this form.*
- Other rates. Please specify the basis on which the rate has been calculated below:

Not applicable (Indirect costs are not requested by the subrecipient).

3. Fringe Benefit rates included in this proposal have been calculated based on the following:

- Rates consistent with or lower than our federally negotiated rates. *Include a copy of your Fringe Benefit Rate Agreement with this form.*
- Other rates. Please specify the basis on which the rate has been calculated below:

4. Cost Sharing No Yes, cost sharing amounts and explanation of sources are included in the budget

5. Human Subjects* No Yes IRB approval date: _____ IRB number: _____

If yes, have all personnel involved completed Human Subjects Training? Yes No

6. Animal Subjects* No Yes IACUC approval date: _____ IACUC number: _____

7. Stem Cells* No Yes, the project involves the creation or use of human embryonic stem cells or human induced pluripotent stem (iPS) cells; and/or the transplantation of human neural stems cells into humans or laboratory animals.

8. Conflict of Interest

- Subrecipient organization/institution 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 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; (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 resulting agreement. The subrecipient must notify LLU Research Affairs in a separate letter, signed by an authorized institutional representative of the existence of any conflict of financial interest it identifies of the type covered by 42 CFR50.605 and provide assurance that the interest has been addressed in accordance with the regulations by indicating whether the conflict has either been managed, reduced, or eliminated.
- Subrecipient does not have an active and/or enforced conflict of interest policy and hereby agrees to abide by LLU's policy. A copy of LLU's policy can be requested by sending an email to researchcoi@llu.edu.

9. Ethics in Research Training

- Subrecipient institution hereby certifies that all individuals involved in research (e.g., students, postdoctoral fellows, technical personnel, faculty, etc.) will be trained in the responsible and ethical conduct of research.

10. Additional Debarment and Suspension Information

- Yes No Is the PI (or any other employee/student planning to participate in this project) debarred, suspended, or otherwise excluded from or ineligible for participation in federal assistance programs or activities? (If "Yes," provide explanation in Section F Additional Comments below.)
- Yes No Is the organization presently indicted for, or otherwise criminally or civilly charged by a government entity? (If "Yes," provide explanation in Section F Additional Comments below.)
- Yes No Has the organization within three (3) years preceding this offer, had one or more contracts terminated for default by any federal agency? (If "Yes," provide explanation in Section F Additional Comments below.)

E. FEDERAL FUNDING ACCOUNTABILITY AND TRANSPARENCY ACT (FFATA)

1. Location of subrecipient

City	State	Country	Congressional District
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2. Primary place of performance, if different than location of subrecipient above

City	State	Country	Congressional District
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3. Subrecipient DUNS Number: _____

4. Is Subrecipient owned or controlled by a parent entity? No Yes, please provide the following for parent entity:

City	State	Country	Congressional District	DUNS Number
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4. Is Subrecipient currently registered in the Central Contractor Registration (www.ccr.gov)? Yes No

F. ADDITIONAL COMMENTS

VI. APPROVAL

The Subrecipient certifies that it is in compliance with all relevant rules and regulations relating to the conduct of this research and that 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.

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 Institutional Representative

Date

Name and Title of Authorized Institutional Representative

Address

EIN of Subrecipient's Organization/Institution

City, State, Zip

Email address

Phone

Fax

**For Human or Animal Subjects, copies of IRB/IACUC approval and approved Informed Consent (as applicable) must be received by LLU prior to execution of a subaward agreement. For projects involving Stem Cells, approval by the Stem Cell Research Oversight Committee or equivalent is required prior to execution of a subaward agreement. These items should be submitted to the LLU Research Affairs designee as soon as they become available.*