

Subrecipient Statement of Collaborative Intent

All subrecipients who anticipate funding under a federal or non-federal award must complete this form when participating as a subrecipient in a proposal submitted by Princeton University. This form provides a checklist of documents and certifications required by prime sponsors and must be endorsed by the subrecipient’s authorized institutional representative prior to submission. Be sure to include all relevant attachments.

Part I: To be completed by all subrecipients.

For a list of FDP Clearinghouse participating institutions, see <https://fdpclearinghouse.org/organizations>

Princeton University Proposal Information – Pass Through Entity (PTE)						
PI Name			Princeton ERA Proposal Number			
Prime Sponsor						
Project Title						
Subrecipient Proposal Information						
Member of FDP Clearinghouse <small>(If no, complete part 2 of this form)</small>	Yes	No	Work will be performed	On campus	Off campus	
Legal Name			Subrecipient PI Name			
Legal Address			Subrecipient PI Email			
Zip +4			Subrecipient (SPO) Contact Name			
Place of Performance			SPO Contact Title			
DUNS/UEI Number			SPO Email			
Congressional District			Project Start Date			
Amount Requested			Project End Date			
Type of Organization			Employer Identification Number (EIN)			
Proposal Components						
Scope of Work		Key Personnel Biosketch(es)			Cost Sharing Amount	
Detailed Budget		Current and Pending Support				
Budget Justification		Facilities and Other Resources			Other	
Small Disadvantaged Business Subcontracting Plan <small>(Required for proposals over \$700,000 stipulated by FAR 19.704(a)(9))</small>						
Compliance						
Subrecipient scope of work includes the following:						
Have all key personnel completed human subjects training? (NIH only)			Yes	No		
Human Subjects	Approval Date		Expiration Date			Pending
Human Stem Cells	Approval Date		Expiration Date			Pending
Vertebrate Animals	Approval Date		Expiration Date			Pending
Recombinant DNA	Approval Date		Expiration Date			Pending

By signing below, I certify that I am an authorized institutional representative and the information and representations made herein are true, accurate and complete. The appropriate programmatic and administrative personnel involved in this application are aware of all sponsor policies regarding subawards and are prepared to establish the necessary inter-institutional agreements consistent with those policies. Any work begun and/or expenses incurred prior to the execution of a subaward are at the subrecipient’s own risk.

Subrecipient’s Authorized Institutional Official Name and Title Date

Part II: To be completed by all subrecipients not part of the FDP Clearinghouse.

Rate Information			
Facilities and Administrative Rates included in this proposal have been calculated based on the following:			
	Our federally negotiated F & A rate for this type of work (attach a copy) or URL:		
	No federally negotiated rate and we hereby agree to accept the 10% de minimus MTDC rate as a subrecipient. <i>NIH will continue to reimburse F & A costs to foreign and international organizations at a rate of 8% MTDC less equipment.</i>		
	We have applied other rates as required by the prime sponsor policies/guidelines.		
	We request to negotiate a rate with Princeton (attach relevant details)		
	We are not requesting any F & A on this project		
	We are not receiving federal funds for this project and are requesting an F & A rate of		
Fringe Benefit Rates included in this proposal have been calculated based on the following:			
	Rates are consistent with or lower than our federally negotiated rates.		
	We do not have a federally negotiated rate and have applied actual fringe benefits (attach details)		
	We have applied other rates (specify basis on which rates have been calculated including elements used in calculation – attach details)		
Audit Status			
Was the Subrecipient required to conduct an annual audit in accordance with the Single Audit Act or Uniform Guidance Subpart F. audit requirements for the most recent Audit year? Yes No If yes, a complete copy of the subrecipient’s most recent audit report or the URL link to a complete copy must be furnished to Princeton before a subaward will be issued. URL:			
Was an audit in accordance with the Single Audit Act completed for the most recent fiscal year? Yes No			
Were there any audit findings reported? Yes No <i>If yes, please provide details in the comments section below.</i>			
If yes, were any of these findings related to a project involving Princeton University? Yes No (if yes, please provide details in the comments section below).			
If no audit was completed OR if the Subrecipient is not subject to the Single Audit Act or Uniform Guidance section 200.501, please complete the Financial Status Questionnaire and submit with this form. A limited scope audit may be required before a subaward will be issued.			
Based on the statement above, the subrecipient is not subject to the Single Audit Act or Uniform Guidance because:			
Subrecipient Institutional Information			
Federal policy requires subrecipients of federal funds to be registered in SAM.gov			
Is Subrecipient currently registered in the System for Award Management (www.sam.gov) Yes No <i>If NO, organizations that have not registered with SAM.gov will need to obtain a DUNS number first and then access SAM.gov to complete registration. Subrecipient must maintain current information in SAM.gov during the entire period of performance for this project.</i>			
Does your organization currently receive or has previously received awards directly from a federal agency? Yes No			
Small Business Concern			
Subrecipient represents that it is a small business concern as defined in 13 CFR 124.1002 Yes No <i>If yes, Subrecipient represents that it is a:</i>			
	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 business concern
	HUBZone small business concern		

Certifications	
Financial Conflict of Interest (FCOI) (Unless this section is not applicable, Subaward will not be issued to Subrecipient without a sponsor-compliant policy.) Select one:	
	Not applicable because this project is not being funded by PHS (NIH, CDC, AHRQ, ATSDR, FDA, HRSA, IHS, SAMHSA), NSF, or any other sponsor that has adopted the federal financial disclosure requirements.
	<u>For PHS Agencies, including NIH, and all other sponsors that have adopted PHS financial disclosure requirements:</u> 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" and 45 CFR Part 94 "Responsible Prospective Contractors." 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 and within a timely manner sufficient to enable timely FCOI reporting.
	<u>For NSF and other sponsors that have adopted NSF's COI Policy:</u> Subrecipient Organization/Institution certifies that it has an active and enforced conflict of Interest policy that is consistent with the National Science Foundation Disclosure Policy. Subrecipient also certifies that, to the best of its knowledge, all financial disclosures related to the activities that may be funded by or through a resulting agreement were made in accordance with its conflict of interest policy before its proposal was submitted to Princeton University. For NSF, see NSF Proposals & Award Policies & Procedures Guide (PAPPG) section on Conflicts of Interest.
	Subrecipient does not have an active and/or enforced conflict of interest policy but certifies that it will develop a policy that is compliant with federal Financial Conflict of Interest requirements prior to receiving an award. The Federal Demonstration Partnership (FDP) has developed a model Financial Conflicts of Interest Policy to assist potential subrecipient institutions that do not have a policy or disclosure form in place. Subrecipient entities without an approved FCOI Policy can use this model template to create their own FCOI policy and disclosure form. The Model Policy found can be found at https://thefdp.org/default/committees/research-compliance/conflict-of-interest . Subrecipient will provide a copy of their FCOI policy or the URL link to the policy at the time of award.
	Subrecipient does not have an active and/or enforced conflict of interest policy and hereby agrees to abide by Princeton's policy , located at https://ria.princeton.edu/conflict-interest/policies-and-guidelines . At award, Princeton's Research Integrity Office will contact subrecipient to obtain disclosures.
<i>By signing, the Subrecipient certifies that the required training will be completed by each investigator prior to engaging in any research related to any PHS funded award.</i>	
Ethics in Research Training <i>Applicable to projects funded sponsors requiring Ethics in Research Training.</i>	
	Not applicable as this project is not being funded by a sponsor requiring Ethics in Research training.
	By checking this box, Subrecipient certifies, that it has a training program in place and will train all undergraduate and graduate students and post-doctoral researchers in the responsible conduct of research. Training in responsible conduct of research (RCR) is a requirement for all incoming graduate students pursuing research degrees, as well as for students/postdocs/trainees being paid on specific NIH, NSF, and USDA-NIFA research awards.

Certifications (continued)	
<i>Debarment and Suspension (* if checked, explain in comments section of this form)</i>	
Subrecipient, the PI or any other employee or student participating in this project	are* are not debarred, suspended, proposed for debarment, declared ineligible, or otherwise excluded from or ineligible for participation in federal assistance programs, federal contracts, or activities.
Subrecipient, the PI or any other employee or student participating in this project	are* are not presently indicted for, or otherwise criminally or civilly charged by a government entity.
Subrecipient	has* has 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.
Subrecipient	has* has not within three (3) years preceding this offer, had any contract terminated for default by any federal agency.
Comments	