

## SUBRECIPIENT COMMITMENT FORM (LETTER OF INTENT)

Northwestern University is pleased to participate in the below referenced project, and the appropriate programmatic and administrative personnel involved in this application have reviewed and approved the attached materials. Questions regarding programmatic or scientific matters should be directed to the Northwestern PI. Should you have questions of a contractual or administrative nature, please contact Sponsored Research at SponsoredResearch@northwestern.edu.

### A. Subaward Project & Budget Details

Northwestern Principal Investigator			
CERES Reference #			
Project Title			
Direct Sponsor			
Originating Sponsor			
Period of Performance			
Place of Performance Address			
Congressional District	Chicago: IL-005	Chicago: IL-007	Evanston: IL-009
Total Direct Costs			
Total F&A Costs			
Total Direct + F&A Costs			
Other	Human Subjects	Vertebrate Animals	Select Agents
	Cost Share	Program Income	Participant Support
	Recombinant DNA	Clinical Trial	Human Embryonic Stem Cells

### B. Northwestern University

Legal Address	633 Clark Street, Evanston, IL 60208
EIN	36-2167817 (NIH: 1-362167817-A1)
UEI	KG76WYENL5K1 (exp. 01/01/2026)
Institution Type	Nonprofit Institution of Higher Education
Human Subjects Assurance Number	00001549 (exp. 12/14/2026)
Animal Welfare Assurance Number	D16-00182 (exp. 05/31/2026)
Rate Agreement	<a href="https://sponsoredresearch.northwestern.edu/proposals/fa-rates/">https://sponsoredresearch.northwestern.edu/proposals/fa-rates/</a>
Most Recent Audit	<a href="https://www.northwestern.edu/asrsp/about/financial-statements.html">https://www.northwestern.edu/asrsp/about/financial-statements.html</a>
Administrative Contact	Sponsored Research
Administrative Contact E-mail	SponsoredResearch@northwestern.edu
Financial Contact	Maureen Johnson, Senior Director, Post-Award Financial Reporting
Financial Contact E-mail	maureen.johnson@northwestern.edu
Authorized Official	Cathy Barrera, Assistant Vice President of Sponsored Research
Authorized Official E-mail	SponsoredResearch@northwestern.edu

### C. Certifications

Northwestern is a participant in the [FDP Expanded Clearinghouse](#) and its entity profile is publicly available in the FDP system. This profile provides general institutional information, contacts, registrations/IDs, certifications (including FCOI), audits, and other assurances.

In submitting this Letter of Intent and offering to participate in this research program, the University certifies that:

- Neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from receiving funds from any federal department or agency and are not delinquent on any federal debt.
- It is in compliance with the Drug Free Workplace Act of 1988.
- It is in compliance with U.S. Code, Section 1352, restrictions on the use of federal funds for the purpose of lobbying.
- It has filed annually with the Office of Scientific Integrity a PHS form 6349 governing Misconduct in Science.
- It has filed with DHHS compliance offices certification forms governing Civil Rights (441), Handicapped Individuals (641), Sex Discrimination (639-A), and Age Discrimination (680).
- It is in compliance with PHS policy governing Program Income.
- It has established policies in compliance with 45 CFR Part 46, Subpart A (protection of human subjects); the Animal Welfare Act (PL-89-544 as amended) and the Health Research Exchange Act of 1985 (Public Law 99-158).
- It is in compliance with NIH guidelines regarding human pluripotent stem cell research, transplantation of fetal tissue, recombinant DNA and human gene transfer research, and inclusion of women, children & minorities in research.

Northwestern further certifies that:

- It has an active and enforced conflict of interest policy that is consistent with 42 CFR Part 50, Subpart F "Responsibility of Applicants for Promoting Objectivity in Research."
- It has an active and enforced policy on conflict of interest consistent with the provision of National Science Foundation Proposal & Award Policies & Procedures Guide (PAPPG) Chapter IX.A.
- All senior/key personnel have certified they are not a party to a malign foreign talent recruitment program consistent with Section 10632 of the CHIPS and Science Act of 2022 (42 U.S.C. § 19232).
- For projects funded by the National Institutes of Health, the University is aware of, and prepared to abide by, the requirements outlined in 15.2.1 of the Grants Policy Statement as it pertains to subaward agreements and sponsor requirements.
- It abides by all federal agency research security requirements.
- For projects funded by federal agencies, unless identified below, the University confirms that this work does not meet the criteria within the United States Government Policy for Oversight of Dual Use Research of Concern and Pathogens with Enhanced Pandemic Potential (DURC/PEPP) policy.

It is our understanding that the scope of work to be performed by Northwestern will at all times concern fundamental research as defined under export control regulations. It is the policy of Northwestern University that instruction, research, and services will be accomplished openly and will lead to the publication and dissemination of the results of academic and research activities. Northwestern is not in a position to accept controls on foreign nationals' access to the research project or its results.

By signing below, the Authorized Official certifies the information presented is accurate, and that the proposal has been reviewed and endorsed by the University. The appropriate programmatic and administrative personnel involved in this application are aware of the prime sponsor's consortium policies and are prepared to establish the necessary inter-institutional agreement if funding is awarded. Northwestern University reserves the right to negotiate the terms and conditions at the time of final award.

### D. Additional Comments

### E. Institutional Endorsement

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Name/Title

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Date