

SUBRECIPIENT COMMITMENT FORM (LETTER OF INTENT)

This form, or an equivalent, is required for all subrecipients when participating in a sponsored research project with Northwestern University. Forms must be signed by the subrecipient's authorized official/institutional representative (AOR), e.g., an individual with the legal authority to sign on behalf of the organization.

A. Northwestern University

Northwestern Principal Investigator	
CERES Reference #	
Project Title	
Prime Sponsor	

B. Subrecipient Institution

Institution Legal Name			
UEI		EIN	
Principal Investigator Name			
Administrative Contact			
Administrative Contact E-mail			
Authorized Official			
Authorized Official E-mail			

C. Subrecipient Project & Budget Details

Subrecipient Internal Reference #			
Period of Performance			
Place of Performance Address			
Congressional District			
Total Direct Costs			
Total F&A Costs			
Total Direct + F&A Costs			
Other <i>Mark only if applicable.</i>	Human Subjects	Vertebrate Animals	Select Agents
	Cost Share	Program Income	Participant Support
	Recombinant DNA	Clinical Trial	Human Embryonic Stem Cells
Export Control	<i>Northwestern performs only fundamental research; please identify any export control issues separately.</i>		

D. Required Documents

Statement of Work	Budget	Budget Justification	Biosketches
Current & Pending Support	Other		

If the subrecipient organization is listed in the FDP Clearinghouse, skip to signature.

E. Subrecipient Information

Registered in SAM.gov?	Yes	No
Institution Type		
Human Subjects Assurance Number		Animal Welfare Assurance Number
Legal Address		
Rate Agreement (link or attach)		
Most Recent Audit (link or attach)		

F. Conflict of Interest *Select only one.*

Subrecipient 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." (Required for all PHS-funded activity).

Subrecipient organization/institution hereby certifies that 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.

Subrecipient does not have a compliant conflict of interest policy but will develop one prior to issuance of a subaward.

Subrecipient does not have a compliant conflict of interest policy and agrees to be bound by Northwestern University's conflict of interest policy.

Not applicable (sponsor does not have COI requirements).

G. Certifications

In submitting this Letter of Intent and offering to participate in this research program, Subrecipient 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.

Subrecipient organization certifies that:

- All senior/key personnel performing the proposed SOW have certified they are not a party to a malign foreign talent recruitment program.
- For projects funded by the National Institutes of Health, it 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. Non-U.S. entities will be required to provide access to copies of all lab notebooks, all data, and all documentation that supports the research outcomes as described in the progress report, to Northwestern with a frequency of no less than once per year, in alignment with the timing requirements for Research Performance Progress Report (RPPR) submission. Such access may be entirely electronic.
- It abides by all federal agency research security requirements.
- For projects funded by federal agencies, unless identified below, 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.

By signing below, the Authorized Official certifies the information presented is accurate, and that the proposal has been reviewed and endorsed by the subrecipient entity. The appropriate programmatic and administrative personnel involved in this application are aware of the prime sponsor's consortium policies, are prepared to establish the necessary inter-institutional agreement consistent with the sponsor's policies, and agree to comply with award terms, conditions, and certifications if funded.

H. Additional Comments

I. Institutional Endorsement

Subrecipient Authorized Official Name/Title

Date