



INSTRUCTIONS: Subrecipients submitting a subaward proposal to Yale (regardless of sponsor) must complete this form prior to Yale's proposal submission or as requested by Yale. FDP Expanded Clearinghouse participants should complete Sections I to IV of this form and complete/sign Section IX (or submit this information in a format of their choice). This form (or equivalent) must be signed/dated by the subrecipient's authorized organizational official. An incomplete form may delay or prevent the issuing of a subaward. Do not complete this form if the subrecipient is a Federally Funded Research & Development Center or a National Laboratory.

Yale Information
PI Name: Prime Sponsor:
Project Title:

Subrecipient Information
Legal Name: UEI:
PI Name: Total Funds Requested:
Performance Period - From: Performance Period - To:
Administrative Contact if Award is made:
Administrative Contact Email:

Section I: Proposal Documents
Statement of Work (required) Budget (required) Budget Justification (required)
Other supporting documentation to be included with the submission of the proposal:
Small/Small Disadvantaged Business Subcontracting Plan (in agency/required format required for proposals for federal contracts over \$750,000):

Section II: Use of Human and Animal Subjects
1. Does the proposed research involve the use of human subjects?
A Did the research receive IRB approval or is approval pending?
B Enter the protocol number and approval date:
C Enter human subjects Assurance Number:
2. Does the proposed research involve the use of animal subjects?
A Did the research receive IACUC approval or is approval pending?
B Enter protocol number and approval date:
C Enter animal welfare Assurance Number:

Section III: Debarment, Suspension, Exclusions & Conflict of Interest (COI)
Is the subrecipient, PI, or any other employee, or student participating in this project debarred, suspended or otherwise excluded from or ineligible for participation in federal department, agency, assistance programs or activities?
If the prime sponsor is the National Science Foundation (NSF), the subrecipient certifies that it has implemented and is enforcing a written policy of financial conflict of interest compliant with the NSF's Conflict of Interest policy and that all individuals responsible for the design, conduct or reporting of research for the proposal have made required disclosures. All required reports and disclosures have been made to the subrecipient's institutional official in accordance with its policy. Failure to have a compliant NSF policy prohibits the subrecipient to participate in this proposal submission unless otherwise exempted. (See NSF PAPPG Chapter IX - Grantee Standards.)
If the prime sponsor is the Department of Energy (DOE), the subrecipient certifies that it has implemented and is enforcing a written policy of financial conflict of interest compliant with the DOE's Conflict of Interest policy and that all individuals named within the proposal, or participating in the purpose, design, conduct, or reporting, of the project funded by DOE or proposed for funding by DOE have made the required disclosures. All required reports and disclosures have been made to the subrecipient's institutional official in accordance with its policy. Failure to have an appropriate compliant policy may jeopardize the Yale/ Subrecipient proposal submission.

**Section IV: FDP Clearinghouse**

**Is the subrecipient a participant of the FDP Clearinghouse?**     Yes (skip to Section IX, below)     No (continue to Section V)

**Section V: Site Information**

<b>EIN:</b>		<b>Congressional District:</b>		<b>SAM Registered:</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>Location of Subrecipient</b> (City, State, Zip + 4 and Country):					

**Section VI: Facilities and Administrative (“F&A”) and Fringe Benefit (“FB”) Rate Information**

**F&A rate(s) applied in this proposal are based on:**

Our federally negotiated F&A rate(s) for this type of work, or a reduced F&A rate that we hereby agree to accept. *Attach a copy of your F&A rate agreement.*

Other rate(s) (please specify the basis on which the rate has been calculated in the **Comments** section, below).

Our organization does not currently have a federally negotiated F&A rate. Therefore, this proposal contains the *de minimis* rate of 10% of modified total direct costs. **Note: If a federally negotiated rate existed and has since expired, please provide a copy of the agreement along with this form.**

Our organization is a foreign entity and does not currently have a federally negotiated F&A rate. Because this is an NIH proposal, the 8% modified total direct costs (MTDC) F&A rate is applied.

Not applicable (no F&A cost requested)

**FB rate(s) applied in this proposal are based on:**

Rates consistent with or lower than our federally negotiated FB rates. *Attach a copy of the FB agreement.*

Other rates (specify the basis on which the rate has been calculated in the **Comments** section, below).

**Section VII: Conflict of Interest (“COI”) Requirement**

**Applicable to all PHS, NSF, and any other sponsor requiring adherence to the PHS regulations or that have similar requirements. Check applicable box:**

Subrecipient hereby certifies it has implemented and is enforcing a written policy of financial conflict of interest compliant with the **Public Health Service (PHS)** provisions of 42 CFR Part 50, Subpart F and 45 CFR Part 94 and all individuals responsible for the design, conduct or reporting of research for the proposal have made required disclosures. All required reports and disclosures have been made to the Subrecipient’s institutional official in accordance with this policy.

Subrecipient has **not** implemented a written policy of financial conflict of interest compliant with PHS provisions of 42 CFR Part 50, Subpart F and 45 CFR Part 94. **Failure to have an appropriate compliant policy may jeopardize the Yale/Subrecipient proposal submission.** Subrecipient will complete a temporary Yale disclosure form for those individual(s) listed in the proposal as responsible for the design, conduct, or reporting of research and submit the form(s) to Yale’s Office of Sponsored Projects prior to the proposal submission deadline. In addition, Subrecipient certifies that it will have a PHS compliant conflict of interest policy in place at time of award.

Not applicable because this project is not being funded by PHS.

**COI Policy is available at this URL:** \_\_\_\_\_

**Section VIII: Audit Status (check applicable boxes)**

The Subrecipient is subject to an annual audit in accordance with [2 CFR Part 200 Subpart F](#).

Most recent fiscal year completed:	FY _____	Were there any audit findings?	<input type="checkbox"/> Yes <input type="checkbox"/> No
------------------------------------	----------	--------------------------------	--

Audit report is available on the Federal Audit Clearinghouse, or

Audit report is available at this URL: \_\_\_\_\_, or

Audit report is attached, or

Other (please provide explanation in the **Comments** section, below).

The Subrecipient (e.g., foreign institutions) is **not** subject to [2 CFR Part 200 Subpart F](#) requirements.

Most recent fiscal year completed:	FY _____	Were there any audit findings?	<input type="checkbox"/> Yes <input type="checkbox"/> No
------------------------------------	----------	--------------------------------	--

Most recent audit report is attached.

If audit report does not exist, provide most recent financial statements.

**Note:** Report/Statements must be provided in English.

**Comments (if applicable)**

--

**Section IX: Subrecipient Certification**

As an authorized official of the named subrecipient, I certify that the information and representations above are complete and accurate to the best of my knowledge

In addition, the appropriate programmatic and administrative personnel involved in this application are aware of agency policy in regard to subawards and are prepared to establish the necessary inter-institutional agreement consistent with those policies.

I confirm that my institution is aware all foreign subrecipients receiving NIH funds are subject to the regulations reflected in NOT-OD-23-133 and NOT-OD-23-182. We are also willing to abide by all requirements should an award be issued.

Lastly, the information submitted within the proposal is true, accurate, complete, is the original work of the subrecipient's PI, and to the best of my knowledge has not been used by other individuals in the preparation and submission of a similar grant application. If Yale receives the above proposed award, this entity is prepared to accept a subaward.

**Note:** Any work begun and/or expenses incurred prior to the execution of a subaward agreement are at the subrecipient's own risk.

<b>Name and Title of Authorized Official:</b>			
<b>Phone Number:</b>		<b>Fax Number:</b>	
<b>Email Address:</b>		<b>Date:</b>	
<b>Signature of Subrecipient's Authorized Official:</b>			