



**Form 1304 FR.03A
Subrecipient Information and Compliance Form**

Revision Date 7/27/2017

All subrecipients (except for those in the FDP Pilot) must complete this form when submitting a proposal to Yale or at the time requested by Yale. This form is required to be signed and dated by an authorized organizational official.

Subrecipient Information:

Legal Name: PI Name:

DUNS #: EIN: SAM Registered: Yes No

Location of Subrecipient (City, State, Congressional District, and Country):

Total Funds Requested:

Performance Period: From: To:

Yale Information:

PI Name: Prime Sponsor:

Project Title:

SECTION A – PROPOSAL DOCUMENTS

The following documents are included in our subaward proposal submission and covered by the certifications below:

- STATEMENT OF WORK (*required*)
- BUDGET **AND** BUDGET JUSTIFICATION (*required*)
- Small/Small Disadvantaged Business Subcontracting Plan, in agency-required format (*required for proposals for federal contracts over \$650,000*)

SECTION B – Animals and/or Human Subjects

1. **Animal Subjects** Yes No

Animal Welfare Assurance Number: _____

Is IACUC review pending? Yes No

If No, enter protocol number and approval date: _____ Date: _____

2. **Will Human Subjects be used?** Yes No
Is IRB review pending? Yes No

Human Subjects Assurance Number: _____

If No, enter protocol number and approval date _____ Date: _____

SECTION C – CERTIFICATIONS

1. Facilities and Administrative (F&A) Rates applied in this proposal are based on:

- Our federally negotiated F&A rates for this type of work, or a reduced F&A rate that we hereby agree to accept. Attach *copy of your F&A rate agreement or provide URL*_____.
- Other rates (*please specify the basis on which the rate has been calculated in Section E Comments 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. **(Only applicable to subrecipients if this subaward proposal will be supported with federal funds issued to Yale University on or after 12/26/2014.)**
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. Since this is an NIH proposal, the 8% MTDC F&A rate has been applied.
- Not applicable (*no F&A cost requested*)

2. Fringe Benefit (FB) Rates applied in this proposal are based on:

- Rates consistent with or lower than our federally negotiated FB rates. Attach *copy of your F&A rate agreement, FB agreement or provide URL*_____.
- Other rates (*specify the basis on which the rate has been calculated in Section D Comments below*)

3. Conflict of Interest 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.
- Subrecipient hereby certifies it has implemented and is enforcing a written policy of financial conflict of interest compliant with the **National Science Foundation's (NSF)** policy on Conflict of Interest 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 its policy.

Subrecipient has **not** implemented a written policy of financial conflict of interest compliant with NSF's 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](#))

- Not applicable because this project is not being funded by PHS, NSF or a sponsor requiring adherence to the PHS regulations or similar requirements.

4. Certification Regarding Debarment and Suspension

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 dept., agency, assistance programs or activities?

- Yes No (If "Yes", explain in Section E Comments below)

SECTION D – AUDIT STATUS

1. Subrecipient receives an annual audit in accordance with OMB Circular A-133.
http://www.whitehouse.gov/sites/default/files/omb/assets/a133/a133_revised_2007.pdf

Most recent fiscal year completed: FY_____

- Audit report is available on the Federal Audit Clearinghouse, or
 Audit report is available at this URL _____, or
 Audit report is attached

Were there any audit findings? Yes No

OR

- Subrecipient receives an annual audit in accordance with [2 CFR Part 200 Subpart F](#). (Only applicable to subrecipients if this subaward proposal will be supported with federal funds issued to Yale University on or after 12/26/2014.)

Most recent fiscal year completed: FY_____

- Audit report is available on the Federal Audit Clearinghouse, or
 Audit report is available at this URL _____, or
 Audit report is attached

Were there any audit findings? Yes No

2. Subrecipient does not have an A-133 federal audit. Most recent audit report is attached.

OR

- Subrecipient does not have a federal audit as required by [2 CFR Part 200 Subpart F](#). Most recent audit report is attached. (Only applicable to subrecipients if this subaward proposal will be supported with federal funds issued to Yale University after 12/26/2014.)

Section E – Comments

SUBRECIPIENT CERTIFICATION

The information, certifications and representations above have been read, signed and made by an authorized official of the subrecipient named herein. 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. 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 cost-reimbursable subaward.

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

Signature of Subrecipient's Authorized Official

Address

Type or print name and titled of Authorized Official

City, State, Zip + 4

Phone

Fax

Date

Email