

Carleton College Subrecipient Information Form

All subrecipients must complete and return this form as part of the sub-awarding process. It provides a checklist of documents and certifications required by sponsors. This form should be signed by the authorized official at the institution.

Subrecipient's Legal name: _____

Subrecipient's PI name: _____

Subrecipient's Grants Office contact name: _____ email _____

Federal agency: _____ Grant contract number _____ CFDA# _____

Grant title _____ Performance period begin date _____

Carleton's PI name _____ Performance period end date _____

Certifications by Institution

1. Facilities and Administrative Rates [Indirect Cost Rate (IDC)] included in this award have been calculated 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.
(If this box is checked, please attach a copy of your F&A/IDC rate agreement.)
- Other rates (please specify the basis on which the rate has been calculated)
- De minimis rate of 10% MTDC (as defined in [2 CFR §200.414](#))
- Not applicable (no indirect costs)

2. Fringe Benefit (FB) Rates included in this award have been calculated based on

- Rates consistent with or lower than our federally-negotiated rates
(If this box is checked, please attach a copy of your FB rate agreement or provide the URL to the agreement.)
URL Link _____
- Other rates (please specify the basis on which the rate has been calculated).

3. Small Business Concern Yes No Subrecipient represents that it is a small business concern as defined in [13 CFR 124.1002](#).

If "Yes": Subrecipient represents that it is a

- 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

4a. Debarment and Suspension Subrecipient certifies compliance with policy [2 CFR 180](#).

Is the Institution, the PI or any other employee or student participating in this project debarred, suspended or otherwise excluded from or ineligible for participation in federal assistance programs or activities? Yes No

If "Yes": please explain

The Subrecipient certifies they *(answer all questions below)*

- Are Are not presently debarred, suspended, proposed for debarment, or declared ineligible for award of federal contracts
- Are Are not presently indicted for, or otherwise criminally or civilly charged by a government entity
- Have Have 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
- Have Have not within three (3) years preceding this offer, had one or more contracts terminated for default by any federal agency

4b. Has the institution been listed as “unqualified to receive federal awards” in FAPIIS? Yes No **If Yes, please explain.**

5. Cost Sharing Yes No *Cost sharing amounts and justification should be included in the subrecipient’s budget.*

6. Certification regarding Nondiscrimination

The organization certifies compliance with Title VI of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972, the Rehabilitation Act of 1973, the Age Discrimination Act of 1975 and all regulations and policies issued by NSF pursuant to these statutes, including consideration of E.O. 11246 (bars discriminatory employment practices under grants for construction) and E.O. 13166 (Improving Access to Services for Persons with Limited English Proficiency). To that end, in accordance with the above-referenced nondiscrimination statutes, no person in the United States shall, on the ground of race, color, national origin, sex, disability, or age, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Proposer receives Federal financial assistance. The organization hereby certifies that it will immediately take any measures necessary to effectuate this agreement.

7. Drug Free Workplace

The organization certifies compliance with The Drug-Free Workplace Act of 1988 (41 USC 702), [45 CFR Part 76, Subpart F](#).

8. Certification regarding Lobbying

In the event funds allotted under this proposal are expected to exceed \$100,000, the Subrecipient certifies that it is in compliance with the requirements of [Section 1352, Title 31, U.S. Code](#), which limits the use of appropriated funds to influence certain Federal contracting and financial transactions.

Certification for Contracts, Grants, Loans and Cooperative Agreements (see [Exhibit II-5 Lobbying Certification](#))

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, “Disclosure of Lobbying Activities,” in accordance with its instructions.

9. Fiscal Responsibility

The organization certifies that its financial system is in accordance with generally accepted accounting principles and:

- has the capability to identify, in its accounts, all Federal awards received and expended and the Federal programs under which they were received;
- maintains internal controls to assure that it is managing Federal awards in compliance with applicable laws, regulations and the provision of contracts or grants;
- complies with applicable laws and regulations;
- can prepare appropriate financial statements, including the schedule of expenditures of federal awards;
- there are no outstanding audit findings which would impact contract costs. If there are findings, submit a copy of the most recent report that describes
- the finding and steps being taken to correct the finding.

a. Sub-recipient has received federal awards as a :

___ Prime recipient from the following agencies: _____

___ Sub-recipient from the following institutions _____

b. Sub-recipient certifies that it has personnel trained in federal award regulations to oversee the administration of this award. If not, who is responsible for administration of the subaward? _____

10. Executive Compensation Disclosure

Beginning with prime awards dated October 1, 2010 and after, the Pass-Through Entity (Carleton), subject to the Federal Funding Accountability and Transparency Act (FFATA), as defined at [2 CFR §170.320](#), is required to report sub-grants of \$25,000 or more and executive compensation information for the Sub-grantee organization. Executive compensation information is required if the following is true for the preceding fiscal year:

- Yes** **No** a. 80% or more of your annual gross revenues came from Federal awards and those awards total more than 25 million; and
- Yes** **No** b. compensation information is not already available through reporting to the Securities Exchange Act (SEC).

If you answered “Yes” please list the names of your five most highly compensated executives and their total compensation for the preceding completed fiscal year. _____

11. Certification regarding Whistleblower Protection

The Subrecipient certifies that it is in compliance with the requirements of all applicable laws ([41 USC § 4712](#), amended by [P.L. 112-239](#)) that protect employees of the institution against unlawful discrimination or retaliation by their employer, as a result of reporting information about possible fraudulent or dishonest use or misuse of College resources, or mismanagement of or a violation of regulation related to a Federal grant.

12. Certification regarding Anti-Sexual Harassment

The Subrecipient certifies that they will abide by federal funders anti-sexual harassment policies, and report to the federal agency any findings of or administrative action related to harassment regarding a PI or coPI or any other grant personnel. Refer to [NSF's Sexual Harassment page](#), [NIH's Anti-Sexual Harassment page](#), [NEH's Anti-harassment Policy Statement and Procedures](#)

Audit Status _____

- Subrecipient receives an annual audit in accordance with OMB Uniform Guidance (UG) [2 CFR Subpart F §200.501](#) (previously defined in OMB Circular A-133), and permits the Pass-Through Entity to have access to financial statements as necessary to meet requirements of [2 CFR § 200.300-200.309](#).
- Most recent fiscal year completed: FY _____
 - Were any audit findings reported? (If "Yes," please explain.) **Yes** **No**

Please attach a complete copy of your most recent A-133 audit report or provide the URL link to a complete copy.
URL Link: _____

- Subrecipient DOES NOT receive an annual audit in accordance with OMB UG Subpart F (previously OMB Circular A-133).
 Subrecipient is a:
- Non-profit entity (under federal funding threshold)
 - Foreign entity
 - For profit entity
 - Government entity

Certifications on behalf of Subrecipient’s Project Director _____

Name and title

1. Conflict of Interest Policy

- Subrecipient Organization/Institution certifies that it has an active and enforced conflict of interest policy that is consistent with the provision of [42 CFR 50, Subpart F](#) “Promoting Objectivity in Research.” 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.
- Subrecipient does not have an active and/or enforced conflict of interest policy, and hereby agrees to abide by Carleton’s policy and related procedures: see [Policy on Conflict of Interest](#).

2. Responsible Conduct of Research (RCR) plan is in place and assurance that the PI will provide the federally mandated training and oversight to students and postdoctoral researchers supported by this grant. **Yes** **No**

If applicable to this project research:

3. Human Subjects Yes No

Determination of Exemption or IRB Approval Date: _____ **and IRB Number:** _____ Pending

(Note: Surveys, interviews, observations, or use of secondary data may be human subject research. Contact your local IRB office for guidance.)

If "Yes": Copies of the IRB approval and approved "Informed Consent" form must be provided before any subaward will be issued. Please forward these documents to Carleton's PI and Carleton's Office of Corporate and Foundation Relations as soon as they become available.

If "Yes": Have all key personnel involved completed Human Subjects Training? Yes No

Does your organization/institution have a Federalwide Assurance (FWA) Number? Yes No

If "Yes," provide Number: _____

4. Animal Subjects Yes No

Approval Date: _____ **IACUC Number:** _____ Pending

If "Yes": A copy of the IACUC approval must be provided before any subaward will be issued. Please forward this document to Carleton's PI and Carleton Office of Corporate and Foundation Relations as soon as it becomes available.

5. Recombinant DNA Materials Yes No

If "Yes": A copy of the IBC approval must be provided before any subaward will be issued. Please forward to Carleton's PI.

APPROVED FOR SUBRECIPIENT

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 agreements consistent with those policies. **Any work begun and/or expenses incurred prior to execution of a subaward agreement are at the Subrecipient's own risk.**

Signature of Subrecipient's Authorized Official

Legal Name of Subrecipient's Organization/Institution

Name and Title of Authorized Official

Address

Email

City, State, Zip+4

Phone

Taxpayer Identification Number (TIN)

Date

DUNS or DUNS+4 number

Currently registered in SAM (previously CCR)? Yes No

Subrecipient's Congressional District

Expiration date _____

Annual SAM registration is required for any subaward over \$25,000

Is Subrecipient owned or controlled by a parent entity? Yes No

Is primary place of performance different than location of Subrecipient?,

If "Yes", please provide the following:

If "Yes" please provide that location

Parent Entity Legal Name: _____

Parent Entity Address, City, State, Zip: _____

Parent Entity Congressional District: _____

Parent Entity TIN: _____

Parent Entity DUNS: _____