



SUBRECIPIENT INFORMATION AND COMPLIANCE FORM

RAND requires completion of this form for all proposed Subrecipients at the time of proposal submission to the prime sponsor funding the proposed project. This form is required to be signed and dated by an Authorized Organizational Official from the Subrecipient Entity.

If you have any questions about completing this form or the proposal submission process, contact the RAND Subaward Team via email at SubProposals@rand.org.

Table with 2 columns: RAND PROPOSAL INFORMATION and RAND Internal PIF/Proposal Reference #. Rows include RAND Principal Investigator / Project Leader, Prime Sponsor, and Proposal Title.

Table with 2 main columns: SUBRECIPIENT ENTITY and PROJECT / PERFORMANCE SITE. Includes fields for Legal Name and Address, Physical address, Zip Code, Congressional District, DUNS/Unique Entity Identifier, Subrecipient Principal Investigator, and various organizational details.

SECTION A: PROPOSAL COMPONENTS

The following documents are required from your organization for this proposal submission and are covered by the certifications below

Table with 2 columns: Required for ALL proposals and Additional documents per sponsors requirements (as applicable). Lists items like Statement of Work (SOW), Detailed Budget, and Key Personnel Biosketches.

SECTION B: SUBRECIPIENT CLASSIFICATION

Your institution has been classified as a SUBRECIPIENT on this proposal. The requirements and responsibilities of a SUBRECIPIENT are different than those of a vendor.

Table with 2 columns: SUBRECIPIENT REQUIREMENTS/RESPONSIBILITIES and CONTRACTOR (VENDOR) REQUIREMENTS/RESPONSIBILITIES. Lists specific obligations for both roles.

Do you agree with RAND's determination that you are a SUBRECIPIENT based on the SOW you are agreeing to perform for this project?

YES, we agree to being classified as a Subrecipient and to being issued a Subaward Agreement if this proposal is funded. We also certify that we are able to adhere to all applicable federal and/or sponsor requirements related to accounting, cost, and time/effort tracking.

NO, we request to be classified as a Contractor (Vendor) and to being issued a vendor agreement (purchase order) if this proposal is funded.

Please provide a justification for why you do not wish to be classified as a Subrecipient:



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SECTION C: COMPLIANCE AND CERTIFICATIONS

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

We have applied our current federally negotiated F&A rate.

F&A Rate Agreement will be provided Available at:

We do NOT have a federally negotiated F&A rate agreement and elected to use the 10.0% de minimis rate applied to our modified total direct costs (MTDC)

Not applicable as no F&A costs being requested by our organization for this project

We have applied the rate as required by the prime sponsor's policies/guidelines

2. Fringe Benefits (FB) rates applied to this proposal are based on:

FB Rates applied are consistent with or lower than or federally negotiated FB rates.

F&A Rate Agreement will be provided Available at:

Not applicable as no FB costs being requested by our organization for this project

We do not have a federally negotiated FB rate and have applied projected FB costs in accordance with our institution's policies

3. Financial Conflict of Interest (FCOI or COI) – Select one of the following:

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. All individuals responsible for the design, conduct or reporting of research for the proposal have made the required disclosures to the Subrecipient's institutional official in accordance with the Subrecipient's policy, and Subrecipient agrees to forward information about financial conflicts of interest to RAND for reporting to the PHS as required by the regulations.

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 the required disclosures. All required reports and disclosures have been made to the Subrecipient's Institutional Official in accordance with the subrecipient's policy.

Subrecipient does not have an active and/or current written policy of financial conflict of interest that is compliant with PHS provisions of 42 CFR Part 50, Subpart F and 45 CFR Part 94, as applicable.

NOTE: The RAND Corporation Financial Interest Training and Disclosure Form must be to be completed and returned for all Subrecipient Key Personnel (individuals responsible for the design, conduct or reporting of the research) on this project prior to RAND submission of the proposal to the prime sponsor. Failure to complete this task may result in your institutions exclusion from the proposal due to non-compliance. The RAND Financial Conflicts of Interest Policy will apply to the Subrecipient's Key Personnel/Investigators and if the proposal is funded in effect through the end date of the subaward agreement.

Not applicable because this project is not being funded by PHS (NIH, CDC, AHRQ, etc.), or any other sponsor that has adopted the federal financial disclosure requirements.

By signing, Subrecipient certifies that the required training will be completed by each Investigator prior to engaging in any research related to any PHS funded contract/grant.

4. Debarment and Suspension:

By signing this form the Subrecipient certifies that all of the four statements below are true:

- Subrecipient, the Principal Investigator (PI) or any other employee or student participating in this project **ARE NOT** debarred, suspended, proposed for debarment, declared ineligible, or otherwise excluded from or ineligible for participation in federal assistance programs, federal contracts, or activities.
- Subrecipient, the PI or any other employee or student participating in this project **ARE NOT** presently indicted for, or otherwise criminally or civilly charged by a government entity.
- Subrecipient, the PI or any other employee or student participating in this project **HAS NOT** within three (3) years preceding this offer, been convicted of or had a civil judgement 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) contractor 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.
- Subrecipient, the PI or any other employee or student participating in this project **HAS NOT** within three (3) years preceding this offer, had any contract terminated for default by any federal agency.

IF YOU ARE UNABLE TO CERTIFY ANY OF THE ABOVE, PROVIDE AN EXPLANATION BELOW:

SECTION D: COMMENTS

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 the Prime Sponsor's policy in regard to subawards and are prepared to establish the necessary inter-institutional agreement consistent with those policies. I certify that 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

ANY WORK BEGUN AND/OR EXPENSES INCURRED PRIOR TO THE EXECUTION OF A SUBAWARD AGREEMENT ARE AT THE SUBRECIPIENT'S OWN RISK.

Subrecipient Authorized Official Name Title Email Phone Number

Signature of Subrecipient Authorized Official Date