



SUBAWARD CERTIFICATION FORM

Completion of this form by a prospective subawardee is required by the National Academy of Sciences (NAS) but it does not obligate the NAS to issue a subaward solely based on the completion of this form. Failure to complete this form in its entirety will delay issuance of a subaward and may disqualify the prospective subawardee from further award consideration.

Date Form Completed (MM/DD/YY): _____

SUBAWARDEE INFORMATION

SUBAWARDEE LEGAL NAME: _____ (Must match name associated with DUNS number)

PHYSICAL ADDRESS:

Address: _____

City: _____ State: _____ Zip Code + 4: _____

DATA UNIVERSAL NUMBERING SYSTEM (DUNS) # (required): _____

EMPLOYER TAXPAYER ID No. (TIN) (9-digit): _____

SYSTEM FOR AWARD MANAGEMENT (SAM) DATABASE REGISTRATION EXPIRATION DATE: _____ (N/A if not currently registered in SAM)

ENDING DATE OF SUBAWARDEE'S FISCAL YEAR: _____

AUTHORIZED OFFICIAL

Name: _____ Title: _____

Telephone: _____ Email: _____

REPRESENTATIONS AND CERTIFICATIONS

1. TYPE OF BUSINESS

- checkbox Limited Liability Corporation (LLC)
checkbox Partnership
checkbox Corporate entity (nonprofit)
checkbox Corporate entity (for profit)
checkbox Government entity (Federal, State, or Local)
checkbox Foreign government
checkbox Foreign organization or international organization per 26 CFR 1 60-49-4
checkbox Other _____

2. **BUSINESS SIZE CLASSIFICATION (PLEASE CHECK ALL THAT APPLY):**

- Small Business
- Small Disadvantaged Business (self-certification)
- Certified by SBA as a HUBZone Small Business
- Woman-owned Small Business
- Veteran-owned Small Business
- Alaskan Native Indian
- Historically Black College/University or Minority Institution
- Large Business (including non-profit)
- Service Disabled Veteran Owned Small Business
- Other (please specify): _____

If self-certifying as a Small Business, provide your NAICS Code: _____
(NAICS information is located on line at: www.census.gov/eos/www/naics/)

If self-certifying as a Small Disadvantaged Business, provide your Primary NAICS Code: _____

The definition for the business size classifications are contained in the Federal Acquisition Regulation (FAR) 19.7 or 52.219-8 (www.arnet.gov/far). For clarification in ascertaining business size classification please refer to SBA's website at www.sba.gov/size or contact your local SBA office.

3. **Certification Regarding Debarment and Suspension**

Yes No Is the entity, Principal Investigator, 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 Yes, provide explanation in Comments section below.

4. **Affirmative Action Compliance**

In accordance with the rules and regulations of the Secretary of Labor (41 CFR 60-1 and 60-2), if your organization has more than 50 employees and has any federal award of \$50,000 or more, you are required to have a written affirmative action program. Indicate whether your organization has a written affirmative action program:

- Yes, our organization has a written affirmative action program developed and on file.
- No, our organization does not have a written affirmative action program.
- Not applicable, as our organization has less than 50 employees or we anticipate a total subaward amount of less than \$50,000.

5. **Conflict of Interest Policy (NAS requires that every Subawardee have its own established and enforced Conflict of Interest policy)**

- Subawardee certifies it **will follow** the Conflict of Interest policy established and enforced by its compliance office or equivalent. Subawardee 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 Subawardee's Conflict of Interest policy prior to the expenditure of any funds under any resultant subaward.

- Subawardee does not have an active and/or enforced Conflict of Interest policy and agrees to adopt and implement a policy prior to execution of the subaward agreement. The undersigned certifies that to the best of his/her knowledge there is no officer or employee of NAS who has, or whose relative has, a substantial interest in any transaction resulting from this request.

6. Mandatory Disclosures

Subawardee certifies it has and will disclose to NAS all violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting any federal award for disclosure to federal awarding agency or pass-through entity. See 2 CFR 200.113 for more details.

7. Certification and Disclosure Regarding Payments to Influence Certain Federal Transactions

The Subawardee certifies to the best of its knowledge and belief that no 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 on its behalf in connection with an award to this Subawardee.

8. Prohibition of Segregated Facilities

The Subawardee certifies that it does not and will not maintain or provide for its employees any segregated facilities at any of its establishments, and that it does not and will not permit its employees to perform their services at any location under its control where segregated facilities are maintained.

9. Prohibition Against Transactions and Support to Individuals and Organizations Associated with Terrorism

Subawardee acknowledges that U.S. Executive Orders and Laws, including but not limited to E.O. 13224 and P.L. 107-56, prohibit transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the Subawardee to ensure compliance with these Executive Orders and Laws. This clause shall be included in all lower-tier subawards.

10. Cost Accounting Standards

Any contract in excess of \$700,000 will be subject to the requirements of the Cost Accounting Standards Board (48 CFR Chapter 99), except for those contracts which are exempt as specified in 48 CFR 9903.201-1. This does not apply to small businesses or foreign governments.

11. Equal Opportunity

The Subawardee shall comply with Executive Order 11246, as amended, and the rules, regulations, and orders of the Secretary of Labor. The Subawardee shall not discriminate against any employee or applicant for employment because of race, color, religion, sex, sexual orientation, gender identity, or national origin. However, it shall not be a violation of federal regulations for the Subawardee to extend a publicly announced preference in employment to Indians living on or near an Indian reservation, in connection with employment opportunities on or near an Indian reservation, as permitted by 41 CFR 60-1.5.

12. Subaward Annual Audit Certification

- A. States, Local Governments & Non-Profits subject to 2 CFR 200, Subpart F Audit Requirements (formerly OMB Circular A-133)

Our organization has completed our audit for the fiscal year: _____. The audit revealed that there WERE or WERE NOT any significant deficiencies, material weaknesses, questioned costs, or findings.

Attach a copy of the audit report as well as your management's corrective action plan for any findings or provide the website URL where it can be found: _____

B. Organizations NOT subject to 2 CFR 200, Subpart F Audit Requirements (formerly OMB Circular A-133)

i. Our organization is not subject to the Subpart F Uniform Guidance Audit requirements because:

it is a U.S. federal government agency.

it is a U.S. domestic entity that:

did not expend \$750,000 or more in U.S. federal funds during the latest completed fiscal year (For fiscal years ending prior to 12/26/2014, the threshold requirement is \$500,000 instead of \$750,000).

is a for-profit organization.

it is a foreign (non-U.S.) entity that:

did not expend \$300,000 or more in USAID funds or \$750,000 or more in total U.S. federal funds during the latest completed fiscal year (For fiscal years ending prior to 12/26/2014, the threshold requirement is \$500,000 instead of \$750,000).

is a for-profit organization.

ii. In lieu of an audit pursuant to Subpart F, we are providing our most recently completed financial statement audit for fiscal year _____.

Yes No Were there any significant deficiencies, material weaknesses or findings?

Attach a copy of the audit report as well as your management's corrective action plan for any findings.

Our organization has not been audited by a U.S. Government agency, state agency, or by an independent auditing firm.

iii. Our organization is not subject to 2 CFR 200, Subpart F Audit Requirements (formerly OMB Circular A-133) and does not have audited financial statements.

13. **Indirect Rates** included in the proposal submitted have been calculated based on (check as applicable):

Subawardee's federally Negotiated Indirect Costs Rate Agreement (NICRA).

Attach a copy of your indirect rate agreement or provide a URL link

URL: _____

IMPORTANT: If your nonprofit organization does not have a NICRA, your organization may elect to include a *de minimus* rate of 10% on Modified Total Direct Costs in lieu of a NICRA.

Our organization is a nonprofit and elects the *de minimus* rate of 10% of Modified Total Direct Costs.

Our organization is not requesting reimbursement for Indirect costs.

14. **Federal Funding Accountability and Transparency Act (FFATA)**

A. The provisions of the Federal Funding Accountability and Transparency Act, P.L. 109-282 as amended by section 6202(a) of P.L. 110-252 (FFATA) and **FAR 52.204-10 Reporting Executive Compensation and First – Tier Subcontract**

Awards, which implements FFATA, requires reporting of certain subaward data. Subawardee certifies the following:

- Yes No The amount of this anticipated subaward is less than \$30,000
 Yes No The Subawardee in the previous tax year had a gross income from all sources under \$300,000

B. If both of the above parameters are marked 'No' the Subawardee is required to respond to the two (2) statements below:

- Yes No In the Subawardee's preceding fiscal year, the Subawardee received—
- 80 percent or more of its annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements; **AND**
 - \$25,000,000 or more in annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements.

- Yes No The public does **NOT** otherwise have access to information about the compensation of the Subawardee's executives through, **either**:
- periodic reports filed under the Securities Exchange Act of 1934 ([15 U.S.C. 78m\(a\), 78o\(d\)](#)); or
 - IRS Form 990 under Section 6104 of the Internal Revenue Code of 1986 in the case of a tax-exempt organization

C. If the Subawardee answered "Yes" to the two statements in subpart B, the Subawardee shall provide the names and total compensation of each of its five most highly compensated executives for the preceding completed fiscal year below. As required by Federal law all information reported by Subawardee may be made public. Total compensation means the cash and non-cash dollar value earned by the executive during the Subawardee's preceding fiscal year and includes: (1) salary and bonus, (2) awards of stock and stock options, (3) deferred compensation, and (4) any other compensation derived through a benefit in excess of \$10,000.

EXECUTIVE NAME	TOTAL COMPENSATION(\$ Dollars)
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____
5. _____	_____

15. Fiscal Responsibility Matters

- Yes No Is there financial instability, pending legal actions, or any other issues that could impair Subawardee's ability to perform the statement of work or to otherwise comply with funding conditions?
- Yes No Does the Subawardee prepare annual financial statements (Balance Sheet/Income & Expenditure)?
- Yes No Does the Subawardee have an automated financial system that is in accordance with generally accepted accounting principles in place?
- Yes No Does the Subawardee's accounting system report costs incurred (direct and Indirect) by award and/or cost objective?
- Yes No Does the Subawardee have written policies and procedures on financial management and accounting practices?

16. Business Systems

- Yes No Does the Subawardee have written policies and procedures related to procurement and travel?
- Yes No Does the Subawardee have written policies and procedures related to property management?

Yes No Does the Subawardee have a timekeeping system in place to document and certify time charged to individual projects/awards?

Yes No If lower-tier subawards are anticipated, does the Subawardee have written policies and procedures on lower-tier subaward selection and monitoring?

17. Past Performance

Yes No Has the Subawardee successfully completed agreements funded, directly or indirectly, from federal sources?

Yes No Has the Subawardee ever had an award terminated for cause (If yes, provide additional details in the Comments section below)?

COMMENTS (Attach additional sheets as necessary)

SUBAWARDEE AUTHORIZED APPROVER:

THIS SECTION MUST BE COMPLETED

The information, certifications, and representations above have been read, signed, and made by an authorized official of the Subawardee named herein. By signing below, I certify that the information provided herein is complete and accurate as of the date of signature.

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

Signature of Subawardee's Authorized Official

Date

(Type or print name and title of Authorized Official)

(Phone)

(Email)

Request for Taxpayer Identification Number and Certification

**Give Form to the
requester. Do not
send to the IRS.**

Print or type See Specific Instructions on page 2.	1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.	
	2 Business name/disregarded entity name, if different from above	
	3 Check appropriate box for federal tax classification; check only one of the following seven boxes: <input type="checkbox"/> Individual/sole proprietor or single-member LLC <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶ _____ Note. For a single-member LLC that is disregarded, do not check LLC; check the appropriate box in the line above for the tax classification of the single-member owner. <input type="checkbox"/> Other (see instructions) ▶ _____	
	4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3): Exempt payee code (if any) _____ Exemption from FATCA reporting code (if any) _____ <i>(Applies to accounts maintained outside the U.S.)</i>	
	5 Address (number, street, and apt. or suite no.)	Requester's name and address (optional)
	6 City, state, and ZIP code	
	7 List account number(s) here (optional)	

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Social security number									

or

Employer identification number									

Note. If the account is in more than one name, see the instructions for line 1 and the chart on page 4 for guidelines on whose number to enter.

Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
3. I am a U.S. citizen or other U.S. person (defined below); and
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 3.

Sign Here	Signature of U.S. person ▶	Date ▶
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General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Future developments. Information about developments affecting Form W-9 (such as legislation enacted after we release it) is at www.irs.gov/fw9.

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following:

- Form 1099-INT (interest earned or paid)
- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)

- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding? on page 2.

By signing the filled-out form, you:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and
4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting?* on page 2 for further information.