



Instructions: Optional fields are in blue. All other information and answers are required.			
Entity Name:			
Date Information Last Updated:			
DATA ELEMENT	ANSWER OR INFORMATION REQUESTED	RELEVANT LINKS	COMMENTS
ENTITY RELATED INFORMATION - GENERAL			
Entity Information			
Legal Entity Name (Legal name associated with DUNS Number, can be found in SAM)			
Legal Entity Address (can be found in SAM as Physical Address)			
Legal Entity City (can be found in SAM as Physical Address)			
Legal Entity State (can be found in SAM as Physical Address)	<click to view>		
Legal Entity Zip + 4 (can be found in SAM as Physical Address)			
Legal Entity Country	U.S.A.		
Legal Entity Payment Address			
Legal Entity Congressional District (please format information as "WA-007", can be found in SAM)			
Legal Entity Fiscal Period End Date (MM/DD)			
Entity Type			
Please select your Entity type from list (same as FDP Subaward Agreement Template 3B list) :	<click to view>		
If Entity type is not listed, please enter in the adjacent cell:			
Small Business Concern			
Entity represents that it is a small business concern as defined in 13 CFR 124.1002. (Yes/No)	<click to view>		
If Yes: Entity represents that it is the following type of entity:	<click to view>		
If Other, please specify in the adjacent cell:			
Parent/State/Audit Entity Information (If Entity is owned or controlled by a parent/state entity, or has a separate audit entity)			
Is Entity owned or controlled by a parent/state/audit entity? (Yes/No)	<click to view>		
Parent/State/Audit Entity Legal Name			
Parent/State/Audit Entity Legal Address			
Parent/State/Audit Entity Legal City			
Parent/State/Audit Entity Legal State	<click to view>		
Parent/State/Audit Entity Legal Zip + 4			
Parent/State/Audit Entity Congressional District			
Parent/State/Audit Entity Country	U.S.A.		
Parent/State/Audit Entity EIN Number (sample format: 12-3456789)			
Parent/State/Audit Entity DUNS Number (sample format: 12-345-6789)			
Parent/State/Audit Entity Contact Information			
Parent/State/Audit Entity Contact Name			
Parent/State/Audit Entity Contact Name Phone Number			
Parent/State/Audit Entity Contact Name Email			
Entity Identification Numbers and Codes			
Entity EIN (Employer Identification Number) (sample format: 12-3456789)			
Entity IRS Tax Determination Letter [optional field]	<click to view>		
Entity IRS/W-9 [optional field]	<click to view>		
Entity NAICS Code(s) (North American Industry Classification System) (can be found in SAM) (sample format: 123456)			
Entity DUNS Number (Data Universal Numbering System, can be found in SAM) (sample format: 12-345-6789)			
Entity SAM status (System for Award Management, can be found in SAM)	<click to view>		
Entity SAM Expiration Date (MM/DD/YYYY, can be found in SAM)			



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Entity Rate Agreements			
Does Entity have a negotiated Facilities & Administrative (F&A) Rate Agreement? (Yes/No)	<click to view>		
If Yes, please provide a link to Entity's F&A Rate Agreement in Relevant Links			
Does Entity have a negotiated Fringe Benefit (FB) Rate Agreement? (Yes/No)	<click to view>		
If Yes, please provide a link to Entity's FB Rate Agreement in Relevant Links			
Department of Defense Registration Numbers			
Entity CAGE Code (Commercial And Government Entity, can be found in SAM) (sample format: 1ABC2)			
Entity NCAGE Code International (if Entity is a foreign organization)	NA for US Domestic Entities		
Entity Contractor Establishment Code (CEC) (May be Entity DUNS number) [optional field] (sample format: 12-345-678A)			
Entity Directorate of Defense Trade Controls (DDTC) Registration Code (Utilized in some export control actions) [optional field] (sample format: A12345)			
Department of Education Registration Numbers			
Entity Office of Postsecondary Education (OPE) ID Number (formerly known as FICE Code) [optional field] (sample format: 001234)			
Entity Integrated Postsecondary Education Data System (IPEDS) Number [optional field] (sample format: 123456)			
Assurances and Agency Approvals			
Does Entity have a HHS (US Department of Health and Human Services) /OHRP (Office of Human Research Protection) Human Subjects Federal Wide Assurance (FWA) approval? (Yes/No)	<click to view>		
Entity HHS/OHRP Human Subjects FWA Number (sample format: FWA000012345.)			
Entity HHS/OHRP Human Subjects Federal Wide Assurance Expiration Date (MM/DD/YYYY) [optional field]			
Entity DOD (Department of Defense) Human Subjects FWA Addendum [optional field] (sample format: 123456)			
Does Entity have PHS (Public Health Service) /OLAW (Office of Laboratory Animal Welfare) approval? (Yes/No)	<click to view>		
Entity PHS/OLAW Assurance Number (sample format: A1234-56)			
Entity PHS/OLAW Animal Welfare Assurance Approval Date (MM/DD/YYYY) [optional field]			
Entity PHS/OLAW Animal Welfare Assurance Approval Expiration Date (MM/DD/YYYY) [optional field]			
Is Entity AAHRPP (Association for the Accreditation of Human Research Protection Programs) accredited? (Yes/No)	<click to view>		
Entity AAHRPP Assurance Number [optional field]			
Entity AAHRPP Assurance Approval Date (MM/DD/YYYY) [optional field]			
Is Entity AAALAC (Association for Assessment and Accreditation of Laboratory Animal Care International) accredited? (Yes/No)	<click to view>		
Entity AAALAC Accreditation Assurance Number [optional field]			
Entity AAALAC Accreditation Assurance Issue Date (MM/DD/YYYY) [optional field]			
Does Entity have USDA (United States Department of Agriculture) Research Registration Number? (Yes/No)	<click to view>		
Entity USDA Research Registration Number [optional field] (sample format: 12-A-3456)			
Entity USDA Research Registration Expiration Date (MM/DD/YYYY) [optional field]			
Entity USDA Type of Performing Institution Designation [optional field]			
Does Entity have a NRC (Nuclear Regulatory Commission) Radioactive Materials License Number? (Yes/No)	<click to view>		
Entity NRC Radioactive Materials License Number [optional field] (sample format: AB-C123-4)			
Department of Defense (DOD) /Office of Naval Research (ONR) System Review/Audit Questions			
Entity Property Management System Audit (PMSA) - Approval Date (MM/DD/YYYY) [optional field]			
Entity Contractor Purchasing System Review (CPSR) - Approval Date (MM/DD/YYYY) [optional field]			
Entity Contractor Purchasing System Review (CPSR) - Approval Expiration Date (MM/DD/YYYY) [optional field]			
Entity Defense Contract Audit Agency (DCAA) - Report on Audit of Estimating System Approval Date (MM/DD/YYYY) [optional field]			
Entity Defense Contract Audit Agency (DCAA) - Report on Audit of Billing System Approval Date (MM/DD/YYYY) [optional field]			
Entity Defense Contract Audit Agency (DCAA) - Report on Audit of Accounting System Internal Control Approval Date (MM/DD/YYYY) [optional field]			
ONR Administrative Contracting Officer (ACO) [optional field]			



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Entity Contacts			
Entity Primary Authorized Signing Official Name <i>(can be found in SAM as Government Business POC)</i>			
Entity Primary Authorized Signing Official Name Title			
Entity Primary Authorized Signing Official Name Email			
Entity Financial Officer/Contact Name <i>(can be found in SAM as Accounts Receivable POC)</i>			
Entity Financial Officer/Contact Name Title			
Entity Financial Officer/Contact Name Email			
Entity Contact for F&A Cost Rate Negotiation Name			
Entity Contact for F&A Cost Rate Negotiation Name Email			
Entity Audit Contact Name			
Entity Audit Contact Name Email			
Entity SAM Point of Contact Name <i>(can be found in SAM as Electronic Business POC)</i>			
Entity SAM Point of Contact Name Email			
Entity FFATA Contact Name			
Entity FFATA Contact Name Email			
Entity Office of Sponsored Programs (link) in Relevant Links			
ENTITY RELATED INFORMATION - CERTIFICATIONS			
Conflict of Interest			
Conflict of Interest <i>(applicable to PHS funded sponsors or those that have adopted the federal financial disclosure requirements as defined in 42 CFR part 50 Subpart F and 42 CFR part 94)</i> : Please select one of the following options (defined below) from the dropdown list to the right:		<click to view>	
Entity is registered in the FDP FCOI Clearinghouse certifying that it has an active and enforced Conflict of Interest Policy that is consistent with the provision of 42 CFR part 50, Subpart F "Responsibility of Applicants for Promoting Objectivity in Research and 42 CFR part 94."			
Entity is NOT registered in the FDP FCOI Clearinghouse, however does certify that it has an active and enforced Conflict of Interest policy that is consistent with the provision of 42 CFR Part 50, Subpart F "Responsibility of Applicants for Promoting Objectivity in Research" and 45 CFR Part 94 "Responsible Prospective Contractors."			
Entity does not have an active and/or enforced Conflict of Interest policy and agrees to adopt PTE policy. Entity will coordinate with PTE on instructions for following PTE policy at time of proposal and award. Names of "investigators" and their Significant Financial Interests (SFIs), if existing, will be provided to PTE at time of proposal and award, or as needed.			
<i>Please note: Regardless of option selected, it is the Entity's responsibility to report to Pass-Through Entity (PTE) all conflicts determined to be Financial Conflicts of Interest (FCOI) by the Entity site within a timely manner sufficient to enable timely FCOI reporting by PTE, as required by PHS or other regulations.</i>			
Debarment and Suspension			
The Entity certifies they are (Respond on each box that applies):			
Presently debarred, suspended, proposed for debarment, or declared ineligible for award of federal contracts. (Yes/No)		<click to view>	
Presently indicted for, or otherwise criminally or civilly charged by a government entity. (Yes/No)		<click to view>	
Please respond to the following additional questions (Respond on each box that applies):			
Within three (3) previous years, entity has 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 of 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. (Yes/No)		<click to view>	
Within three (3) previous years, entity has had one or more contracts terminated for default by any federal agency. (Yes/No)		<click to view>	
Lobbying			
Lobbying <i>(for U.S. federal projects only)</i> :			
Entity hereby 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 the awarding of any contract. (Yes/No)		<click to view>	
If "No," please explain in the adjacent cell:			



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Affirmative Action Compliance			
In accordance with the rules and regulations of the Secretary of Labor (41 CFR 60-1 and 60-2), indicate which of the statements to the right apply to entity regarding affirmative action.	<click to view>		
FFATA			
FFATA - Report Executive Compensation			
Is Entity exempt from reporting compensation? (Yes/No)	<click to view>		
<i>Please note: Executive compensation information for the Entity must be reported if (1) more than 80% of annual gross revenues are from the Federal government AND (2) those revenues are greater than \$25M annually, AND (3) compensation information is not already available through reporting to the Security & Exchange Commission (SEC).</i>			
If "No", provide information requested for the top five paid officers in the adjacent cell.			
ENTITY RELATED INFORMATION - AUDIT			
Single Audit Information			
Single Audit Status			
Is Entity subject to the Single Audit requirements in 2 CFR Part 200? (Yes/No)	<click to view>		
If Yes, please complete "If Yes" section below.			
If No, please complete "If No" section below.			
If Yes:			
Most recent fiscal year with completed Single Audit:	FY2015		
Is Entity qualified as low-risk entity by Auditor, or as defined in 2 CFR 200? (Yes/No/Not Available)	<click to view>		
Did the Entity's most recent Single Audit contain any findings? (Yes/No)	<click to view>		
Did the Entity's most recent Single Audit contain any Significant Deficiencies? (Yes/No)	<click to view>		
Did the Entity's most recent Single Audit contain any Material Weaknesses? (Yes/No)	<click to view>		
Were any of the findings related specifically to any pass-through federal funding to the entity? (Yes/No)	<click to view>		
Please provide link to most recent completed Single Audit Report in Relevant Links			
Please provide links to Entity Single Audit Reports from previous Fiscal Year in Relevant Links			
Please provide link or attachment to a management letter if it has been issued.			
If No:			
Entity IS NOT subject to the Single Audit requirements in 2 CFR Part 200 due to being the following type of entity:	<click to view>		
ENTITY CERTIFICATION OF ACCURACY OF INFORMATION			
Entity Authorized Official Approval/Certification			
The information, certifications and representations above are accurate and current information and have been read and made by an official of the Entity named herein that is authorized to make such certification on behalf of the entity.			
Entity Authorized Official Name			
Entity Authorized Official Title			
Entity Authorized Official Email			
Entity Authorized Official Phone			
Date of Authorized Official Approval (MM/DD/YYYY)			
Entity Profile Preparer Name			
Entity Profile Preparer Name Email			