

# STATEMENT OF INTENT (SOI)

Funding Pass-Through Entity (PTE) INFORMATION		PLEASE COMPLETE ALL FIELDS
PTE PI		
PTE Institution		
Project Title		

COOPERATING INSTITUTION INFORMATION (Subaward/Subrecipient)		Note: F&A = Facilities and Administrative (Indirect) Costs Rate Agreement with U.S. Government	
Legal Institution Name			
PI Name	ERA Commons ID		
F&A Rate	Project Period	From:	To:
Agmt. Posted Online	Yes	No	
Link to F&A Agmt.	Direct Costs	Total Costs	
	F&A Costs		

INSTITUTIONAL INFORMATION		Complete Contact information section is on the attached 3B		Note: fCOI = Financial Conflict of Interest	
Website					
fCOI Policy	Yes*	No	Certified on FDP <a href="#">fCOI Clearinghouse</a>	Yes	No *See fCOI certification below.
Annual Audit	Yes	No	Link to Audit		
Entity Risk per Audit	Low	Not Low	Findings	Yes	No Most Recent Audit Year Completed

PROJECT INFORMATION	YES	NO	ASSURANCE #	APPROVAL DATE OR PENDING
Human Subjects				
Vertebrate Animals				
Human Embryonic Stem Cells				
Inventions And Patents <i>(For Renewal Applications)</i>				
Program Income				

**CERTIFICATIONS**

In signing below and offering to participate in this research program, the Cooperating Institution certifies that neither they nor their principals are presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from receiving funds from any federal department or agency and are not delinquent on any federal debt; they are in compliance with the Drug Free Workplace Act of 1988; they are in compliance with U.S. Code, Section 1352, restrictions on the use of federal funds for the purpose of lobbying; they have filed annually with the Office of Scientific Integrity a PHS form 6349 governing Misconduct in Science; they have filed with DHHS compliance offices certification forms governing Civil Rights (441), Handicapped Individuals (641), Sex Discrimination (639-A), and Age Discrimination (680); they are in compliance with PHS policy governing Program Income; they have established policies in compliance with 45 CFR Part 46, Subpart A (protection of human subjects); the Animal Welfare Act (PL-89-544 as amended) and the Health Research Exchange Act of 1985 (Public Law 99-158); and that they are in compliance with NIH guidelines regarding human pluripotent stem cell research, transplantation of fetal tissue, recombinant DNA and human gene transfer research, and inclusion of women, children & minorities in research.

\* The appropriate programmatic and administrative personnel of each institution involved in this grant application are aware of the PHS-NIH consortium grant policies and are prepared to establish the necessary inter-institutional agreements consistent with those policies. In signing below, the Cooperating Institution certifies it has implemented and is enforcing a written policy of conflicts of interest consistent with the provisions of 42 CFR Part 50, Subpart F & 45 CFR Subtitle A, Part 94. If a conflict is identified by the Cooperating Institution during the period of the award contemplated under this agreement, the Cooperating Institution will report to the PTE the existence of the conflict, including the grant title, PI (if different from the investigator with the financial interest) and the specific method the Cooperating Institution adopts for addressing the conflict (managing, reducing, or eliminating it). The Cooperating Institution will rely on the PTE to report the existence of the conflict to NIH.

**COOPERATING INSTITUTION BUSINESS OFFICIAL:**

Name and Title

Signature

Date

# STATEMENT OF WORK

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Please type or copy and paste the statement of work in the area below.

Statement of Work should be less than 4,000 characters and include only information which may be made publicly available, in order to be used for FFATA reporting.

Statement of Work should contain clear details of what the Cooperating Institution will do in the performance of the project.

A budget, conforming to the requirements of the Sponsor and PTE should also be included at the time of submission.

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**Attachment 3B**  
Research Subaward Agreement  
Subrecipient Contacts

**Subrecipient Information for US Government [FFATA](#) reporting**

**Legal Entity Name:**

DUNS Number  Institution Type:

Parent DUNS  Currently registered in SAM.gov:  Yes  No  
(if applicable) Exempt from reporting executive compensation:  Yes  No (if no, complete 3Bpg2)

<b><i>This section for U.S. Entities:</i></b>	EIN:	Local County:
	Congressional District:	Zip Code+4:

**Place of Performance**  
(Street Address and Country)

**Subrecipient Contacts**

Central Email:

Website:

Principal Investigator Name:

Email:  Telephone Number:

Administrative Contact Name:

Email:  Telephone Number:

Financial Contact Name:

Email:  Telephone Number:

Invoice Email:

Authorized Official Name:

Email:  Telephone Number:

**Legal Address:**

**Administrative Address** (if different from legal address):

**Payment Address** (if different from legal address):

**Attachment 3B Page 2**  
Research Subaward Agreement  
Highest Compensated Officers

**Subrecipient**

Entity Name:

PI Name:

**Highest Compensated Officers**

The names and total compensation of the five most highly compensated officers of the entity(ies) must be listed if the entity in the preceding fiscal year received 80 percent or more of its annual gross revenues in Federal awards; and \$25,000,000 or more in annual gross revenues from Federal awards; and the public does not have access to this information about the compensation of the senior executives of the entity through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. §§ 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. See FFATA § 2(b)(1) Internal Revenue Code of 1986.

Officer 1 Name:

Officer 1 Compensation:

Officer 2 Name:

Officer 2 Compensation:

Officer 3 Name:

Officer 3 Compensation:

Officer 4 Name:

Officer 4 Compensation:

Officer 5 Name:

Officer 5 Compensation: