

Subrecipient Certification for Conflict of Interest under Federal Awards

Subrecipient Name: _____ certifies generally:

- ☐ is aware of the requirements of the [US Department of Energy \(US DOE\) Interim Conflict of Interest Policy \(FAL 2022-02\)](#) applicable to this federal award.
- ☐ has in effect an up-to-date, written, and enforced administrative process to identify and manage conflicts of interests with respect to all projects for which financial assistance funding is sought or received from DOE, or will adopt a compliant process prior to expending funds under the federal award;
- ☐ shall promote and enforce Investigator compliance with this Policy's requirements including those pertaining to disclosure of significant financial interests;
- ☐ shall manage financial conflicts of interests and provide initial and ongoing FCOI reports to the Oregon Department of Energy consistent with this Policy and within the timelines listed below;
- ☐ agrees to make information available, promptly upon request, to the Oregon Department of Energy or US DOE relating to any Investigator disclosure of financial interests and the non-Federal entity's review of, and response to, such disclosure, whether or not the disclosure resulted in the non-Federal entity's determination of a financial conflict of interest; and
- ☐ shall fully comply with the requirements of this policy.

Subrecipient Name: _____ agrees, specific to this federal award, the entity will use (*check the appropriate option*):

- ☐ an existing policy or procedure that complies with the US DOE Interim Conflict of Interest Policy and which is available on a public facing website; or
- ☐ the [Oregon Department of Energy's Conflict of Interest Procedure](#) to ensure compliance with the US DOE Interim Conflict of Interest policy.

Subrecipient Name: _____ asserts that the entity: (*check the appropriate option*):

- ☐ does not have a parent, affiliate, or subsidiary organization that is not a state, local government, or Indian Tribe; or
- ☐ has a parent, affiliate, or subsidiary organization that is not a state, local government, or Indian Tribe, the non-Federal entity. (*If this option is selected, please complete Attachment 1*)

Subrecipient Name: _____ agrees to submit any requires disclosures of a significant financial interest to the Oregon Department of Energy designated official prior to any expenditure of the federal award, and/or within 30 days of an individual discovering or acquiring a new significant financial interest for the duration of the federal award. As part of this US DOE funded project, does any member of the subrecipient's project team have any managed or unmanageable financial conflicts of interest?

☐ Yes ☐ No

If yes, in a separate attachment, please provide relevant disclosures/supporting documentation as required by the US DOE Conflict of Interest Policy Section V(b)(3).

Certification

I, the Authorized Official named below, represent by my signature that I am authorized to certify this information on behalf of the subrecipient. I certify under penalty of perjury that the information contained in this form is true, accurate and complete. I understand that false, fictitious, or fraudulent information, misrepresentations, half-truths, or omissions of any material fact, may subject me to criminal, civil, or administrative penalties for fraud, false statements, false claims or others. (18 U.S.C. §§ 1001 and 287, and 31 U.S.C. 3729-.730 and 3801-.3812). I further understand and agree that (1) the statements and representations made herein are material to ODOE's funding decisions, and (2) I have a responsibility to update the disclosures during the period of performance of the award should circumstances change which impact the responses provided above.

Printed Name

Title

Signature

Date

Attachment 1

Note: Only entities that have a parent, affiliate, or subsidiary organization that is not a state, local government, or Indian Tribe, the non-Federal entity should complete this attachment. Entities should use a separate form for each parent, affiliate, or subsidiary organization that is not a state, local government, or Indian Tribe.

Transactions with entities that are a parent, affiliate, or subsidiary organization (check the appropriate option):

☐ **Subrecipient Name:** _____ asserts that no transactions, subawards, or procurements will occur between the subrecipient and the parent, affiliate, or subsidiary organization during the performance of the federal award. If a subrecipient seeks to modify this approach at any time during the performance of the award, they must first receive written approval from the Oregon Department of Energy prior to proceeding. Modifications of this nature may require contractual amendments and subsequent reviews from US DOE, so subrecipients are encouraged plan for extensive review timelines in such an event.

If this option is selected, the subrecipient may disregard the remaining disclosures, certify this form, and submit to the Oregon Department of Energy.

☐ **Subrecipient Name:** _____ asserts that transactions, subawards, or procurements may occur between the subrecipient and the parent, affiliate, or subsidiary organization during the performance of the federal award. If this option is selected, please complete all the information below and submit to the Oregon Department of Energy. No procurements or transactions between the subrecipient and the parent, affiliate, or subsidiary organization may occur until the subrecipient received written approval from the Oregon Department of Energy

Subrecipient Name: _____ asserts that written policies or procedures exist that require certain procurements or transactions be made with a parent, affiliate, or subsidiary organization, that is not a state, local government, of Indian Tribe.

Copies of the above-referenced policies or procedures are attached as part of this submission.

Information on parent, affiliate, or subsidiary organization which may present a potential or actual conflict of interest

| | |
|---|--|
| Name of Entity | |
| Address of Entity | |
| Website of Entity | |
| Relationship between the subrecipient and the entity at issue | |
| Nature of the anticipated | |

| | |
|---|--|
| procurement or others transactions with the parent, affiliate, or subsidiary organization | |
| The anticipated value of the procurement or other transaction | |
| The basis for making the procurement or other transaction with a parent, affiliate or subsidiary organization | |
| The basis for the non-Federal entity's determination regarding the existences of an organizational conflict of interest | |
| How the subrecipient will avoid, neutralize, or mitigate the organizational conflict of interest. | |

Certification

I, the Authorized Official named below, represent by my signature that I am authorized to certify this information on behalf of the subrecipient. I certify under penalty of perjury that the information contained in this form is true, accurate and complete. I understand that false, fictitious, or fraudulent information, misrepresentations, half-truths, or omissions of any material fact, may subject me to criminal, civil, or administrative penalties for fraud, false statements, false claims or others. (18 U.S.C. §§ 1001 and 287, and 31 U.S.C. 3729-.730 and 3801-.3812). I further understand and agree that (1) the statements and representations made herein are material to ODOE's funding decisions, and (2) I have a responsibility to update the disclosures during the period of performance of the award should circumstances change which impact the responses provided above.

Printed Name

Title

Signature

Date