

VT Proposal: \_\_\_\_\_

As part of the Federal Demonstration Partnership (FDP) initiative to reduce the administrative burden associated with the exchange of subrecipient monitoring forms, Virginia Polytechnic Institute and State University asks for completion of this Federal Demonstration Partnership Subrecipient Letter of Intent, instead of a Commitment Form, as part of your proposal submission package.

**SECTION A – General Information**

Subrecipient Legal Name: \_\_\_\_\_

Project Title: \_\_\_\_\_

Prime Agency: \_\_\_\_\_

Place of Performance Address: \_\_\_\_\_

Subrecipient PI(s): \_\_\_\_\_

Data Universal Numbering System (DUNS) or Unique Entity Identifier (UEI): \_\_\_\_\_

*Note: UEI is required if Prime Agency is a Federal Entity*

Email for Awards: \_\_\_\_\_

**SECTION B – Institutional and Escalation Rates**

1. **Indirect Costs:** *Select one of the following four project specific options:*

☐ Federal Negotiated Indirect Rate \_\_\_\_\_ %☐ de minimis Rate up to maximum 10% \_\_\_\_\_ %☐ Reduced Rate by Sponsor \_\_\_\_\_ %☐ Subrecipient does not propose indirect

2. **Salary, Wage and Tuition Rates Escalation:**

☐ Yes ☐ No Does Subrecipient have established escalation rates applied to base salaries, wages, and tuition rates on specific dates during the year? *If yes, please attach document or provide URL:* \_\_\_\_\_

**SECTION C – Human Subjects Information**

1. ☐ Yes ☐ No Does the project involve Human Subjects Research? ***If No, continue to Section D.***

2. ☐ Yes ☐ No Will Subrecipient use their own Institutional Review Board (IRB) Approval for the project? *If yes, please note: we will not be able to return a fully executed agreement until we have the final approval or exemption letter.*

**SECTION D – Vertebrate Subjects Information**

1. ☐ Yes ☐ No Does the project involve Vertebrate Subjects Research? ***If No, continue to Section E.***

2. ☐ Yes ☐ No Will Subrecipient use their own Institutional Animal Care and Use Committee (IACUC) Approval for the project? *If yes, please note: we will not be able to return a fully executed agreement until we have the final approval or exemption letter.*

## SECTION E - NSF Certifications

Only complete this section if the Prime Agency is the **National Science Foundation (NSF)**.

Yes      No      Will Subrecipient conduct any off-site or off-campus research for this project? *If yes, attach Subrecipient's Safe and Inclusive Working Environment Plan.*

Yes      No      In accordance with Section 10632 of the CHIPS and Science Act of 2022 (42 U.S.C. § 19232), the AOR certifies that all individuals identified as senior/key personnel have been made aware of and have complied with their responsibility under that section to certify that the individual is not a party to a malign foreign talent recruitment program.

## SECTION F - Subrecipient Authorized Signature

By signing below, I hereby certify that this proposal has been reviewed and approved by the appropriate official(s) of Subrecipient, and certified to its accuracy and completeness. The appropriate programmatic and administrative personnel of Subrecipient involved in this application are aware of the prime awarding agency's policies, agree to accept the obligation to comply with award terms, conditions and certifications, and are prepared to establish the necessary inter-institutional agreement consistent with that policy.

**The following documents are included with this Statement of Intent:**

☐ Sub Statement of Work

☐ Sub Detailed Line Item Budget

☐ Sub Budget Justification

☐ Other: \_\_\_\_\_

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Signature of Subrecipient's Authorized Official

Date

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Name and Title of Authorized Official



## SUBRECIPIENT COMMITMENT FORM

VT Proposal: \_\_\_\_\_

Subrecipients **MUST** submit this Subrecipient Commitment Form ("Form") prior to execution of an agreement with Virginia Polytechnic Institute and State University; please include the completed form as part of your proposal submission package. Please have this Form completed by someone who (a) is knowledgeable about your organization's business processes and (b) possesses information on the scope of work to be carried out by your organization's Principal Investigator/Project Director. **If this Form has been completed within the last year, skip Sections B-D.**

**SECTION A – General Information**

Subrecipient Legal Name: \_\_\_\_\_

Address: \_\_\_\_\_

Project Title: \_\_\_\_\_

Prime Agency: \_\_\_\_\_

Place of Performance Address: \_\_\_\_\_

Subrecipient PI(s): \_\_\_\_\_

Data Universal Numbering System (DUNS) : \_\_\_\_\_ Cage Code: \_\_\_\_\_

Unique Entity Identifier (UEI): \_\_\_\_\_ EIN: \_\_\_\_\_

*Note: UEI required if Prime Agency is Federal*

Email for awards: \_\_\_\_\_ Congressional District: \_\_\_\_\_

**SECTION B – Subrecipient Status**

1. Subrecipient is (Select One):

☐ Domestic (located and operated within the United States)☐ Foreign (outside the United States)

2. Subrecipient Business Status:

3. Subrecipient Classification of United States Organization:

**SECTION C – Audit**1. ☐ Yes ☐ No Does Subrecipient receive an annual external financial audit?

a. Fiscal year starts (Month/ Date): \_\_\_\_\_

b. Date of most recent audit: \_\_\_\_\_

c. Did this audit result in any findings? ☐ Yes ☐ No

d. Provide Audit Report URL (or attach copy): \_\_\_\_\_

2. Please provide Subrecipient Representative for Audit Requests:

Name: \_\_\_\_\_

Email: \_\_\_\_\_

## SECTION D – Subrecipient Questionnaire

1. ☐ Yes ☐ No Is Subrecipient registered in the System for Award Management in SAM.gov?
2. ☐ Yes ☐ No RESERVED
3. ☐ Yes ☐ No In the preceding fiscal year, did Subrecipient receive 80% or more of its annual gross revenues in Federal awards; and \$25M or more in annual gross revenues from Federal awards?
4. ☐ Yes ☐ No If yes to # 3, does the Public have access to the names and total compensation of Subrecipient's five most highly compensated officers?
5. ☐ Yes ☐ No Does Subrecipient expend over \$750,000 or more in federal awards yearly?
6. ☐ Yes ☐ No Does Subrecipient receive LESS than \$120,000 in Federal awards per year?
7. ☐ Yes ☐ No Does Subrecipient have well documented accounting and procurement guidelines, policies, and procedures?
8. ☐ Yes ☐ No Do you have an established travel policy that limits the lodging and per diem rates to the U.S. General Services Administration (GSA) established rates for CONUS, or Department of State rates for foreign travel OCONUS?
9. ☐ Yes ☐ No Does Subrecipient have procedures that provide assurance of adherence to Cost Accounting Standards (CAS) and consistent treatment of cost allocation to all sponsored agreements, grants, and contracts?
10. ☐ Yes ☐ No Does Subrecipient's accounting system and internal controls make it possible to identify, segregate and review all of the expenses incurred in the performance of the subaward/subcontract and ensure that the claimed expenses are accurate, allowable and properly allocated to that project?

## SECTION E – Subrecipient and Escalation Rates

### 1. Indirect Costs: *Select one of the following four options:*

- ☐ Federal Negotiated Indirect Rate \_\_\_\_\_ %  
Rate Agreement URL if available (or attach copy): \_\_\_\_\_
- ☐ de minimis Rate up to maximum 10% MTDC \_\_\_\_\_ %
- ☐ Reduced Rate by Sponsor \_\_\_\_\_ %
- ☐ Subrecipient does not propose indirect

### 2. Fringe Rate:

Fringe Rate Agreement URL (or attach copy): \_\_\_\_\_

### 3. Salary, Wage and Tuition Rates Escalation:

- ☐ Yes ☐ No Does Subrecipient have established escalation rates applied to base salaries, wages, and tuition rates on specific dates during the year?

## SECTION F - Human Subjects Information

1. ☐ Yes ☐ No Does the project involve Human Subjects Research? ***If No, continue to Section G.***
2. ☐ Yes ☐ No Will Subrecipient use their own Institutional Review Board (IRB) for the project? ***If yes, please note: we will not be able to return a fully executed agreement until we have the final approval or exemption letter.***
3. ☐ Yes ☐ No Does Subrecipient have a Federalwide Assurance Number (FWA)?  
***If yes, please provide: \_\_\_\_\_***

## SECTION G – Vertebrate Subjects Information

1. ☐ Yes ☐ No Does the project involve Vertebrate Subjects Research? ***If No, continue to Section H.***
2. ☐ Yes ☐ No Will Subrecipient use their own Institutional Animal Care and Use Committee (IACUC) Approval for the project? ***If yes, please note: we will not be able to return a fully executed agreement until we have the final approval or exemption letter.***
3. ☐ Yes ☐ No Does Subrecipient have a PHS Animal Welfare Assurance Number (PHS/OLAW)?  
***If yes, please provide: \_\_\_\_\_***

## SECTION H - NSF Certifications

Only complete this section if the Prime Agency is the **National Science Foundation (NSF)**.

- ☐ Yes ☐ No Will Subrecipient conduct any off-site or off-campus research for this project? ***If yes, attach Subrecipient's Safe and Inclusive Working Environment Plan.***
- |     |    |   |
|-----|----|---|
| Yes | No | In accordance with Section 10632 of the CHIPS and Science Act of 2022 (42 U.S.C. § 19232), the AOR certifies that all individuals identified as senior/key personnel have been made aware of and have complied with their responsibility under that section to certify that the individual is not a party to a malign foreign talent recruitment program. |
|-----|----|---|

## SECTION I – Certification of Federally Compliant Financial Conflict of Interest (FCOI) Policy

Only complete this section if the Prime Agency is the **National Science Foundation (NSF)**, the **Department of Energy (DOE)**, a **Public Health Services (PHS) Agency**, or the **National Aeronautics and Space Administration (NASA)**. Check one of the following options:

The external entity will follow its own FCOI policy that is compliant with the applicable federal regulations (NSF PAPPG Chapter IX, DOE FAL 2022-02, PHS 42 CFR Part 50, or NASA Notice 23-091).

The external entity will follow Virginia Tech's FCOI policy.

## SECTION J - Subrecipient Authorized Signature

By signing below, I hereby certify that this proposal has been reviewed and approved by the appropriate official(s) of Subrecipient, and certified to its accuracy and completeness. The appropriate programmatic and administrative personnel of Subrecipient involved in this application are aware of the prime awarding agency's policies, agree to accept the obligation to comply with award terms, conditions and certifications, and are prepared to establish the necessary inter-institutional agreement consistent with that policy. **This proposal CANNOT be submitted nor can a Subaward be issued until all required documents are submitted and this completed form is returned to Virginia Tech. The following documents are included with this Subrecipient Commitment Form:**

- ☐ Letter of Commitment
- ☐ Statement of Work
- ☐ Detailed Line Item Budget
- ☐ Budget Justification
- ☐ Other: \_\_\_\_\_

Signature of Authorized Official  
Name and Title:

Date