

OSPA/OIPTT SUBRECIPIENT REQUEST FORM (revised 07/23/2024)

This form is required before a Subrecipient Agreement can be prepared by OSPA/OIPTT. It should be completed and submitted to OSPA or OIPTT by the ISU Principal Investigator (PI). Please attach the following information:

- Subrecipient's Statement of Work (include tasks and detailed timeline/schedule).
 Subrecipient's itemized budget or fixed price milestone/deliverable schedule.
 Copy of any RFQ issued for Subrecipient selection if one was generated by ISU Purchasing or the PI's department or college.

Section 1: ISU Award/Contract Information

ISU Sponsor: _____ Sponsor Award No.: _____
 Project Title: _____
 PI: _____ IP/Goldsheet #: _____ Primary Grant Worktag: GR-_____
 Project Period of Performance: _____ to _____ Total Funds Awarded to ISU: \$ _____
 Lead Unit: _____ Admin Contact: _____
 PI Phone: _____ Admin Phone: _____
 PI Email: _____ Admin Email: _____

Section 2: Subrecipient Information

Subrecipient Legal Name: _____
 Is Subrecipient a Foreign Entity? Yes No *If yes, Country:* _____
 Does any ISU employee have a management role or significant financial interest in the Subrecipient? Yes No

Funding Information If the prime sponsor allows, do you wish to incrementally fund this Subrecipient? Yes No

	<u>All Years</u>		<u>First Increment (if applicable)</u>	
Subrecipient period of performance	From	To	From	To
Subrecipient funding to be provided	\$ _____	_____	\$ _____	_____

Will Subrecipient provide cost share? Yes No Is cost share included in Subrecipient budget? Yes No

Subrecipient Personnel

Principal Investigator: _____ Phone: _____ Email: _____
 Authorized Official: _____ Phone: _____ Email: _____

Section 3: Cost Reasonableness

How did the ISU PI determine the reasonableness of the Subrecipient's proposed costs? (Check all that apply)

- Past experience with this Subrecipient and its costs
 Performed a comparison of costs with other potential subrecipients
 Knowledge of reasonable costs for this type of work
 Other: _____

If Prime Agreement is a FAR-Based Federal Contract also complete Section 9 on page 3.

Section 4: Research Compliance

- Yes No Will Human Subjects be involved in the Subrecipient's portion of the project?
 Yes No Will vertebrate animals be involved in the Subrecipient's portion of the project?
 Yes No Will Recombinant DNA, Human, Plant, or Animal Pathogens or Biological Toxins be involved in the Subrecipient's portion of the project?

Section 5: Progress Reports and Deliverables to be submitted by Subrecipient (Check all that apply)

Some form of technical progress reporting ***is required***.

Final technical/progress report required within 30 60 days after the end of the period of performance

Monthly technical/progress reports required within 15 30 days following the end of each month

Quarterly technical/progress reports required within 30 days following the end of each calendar / project quarter

Annual technical/progress reports required 30 60 days prior to the end of each calendar / project year

Other Reports (please explain) _____

Deliverables other than reports (describe) _____

I understand and agree that I am responsible for documenting receipt, approval, and retention of all technical/progress reports and other deliverables required from the Subrecipient. I understand and agree that I am responsible for reviewing and ensuring that Subrecipient invoices are commensurate with the work performed by the Subrecipient.

Section 6: Export Control (Please answer the questions below)

1. Yes No Will any military-related equipment, technology or information be provided to the subrecipient entity by the PI or research team? (If yes, please provide more information on what will be provided):

2. Yes No Will any equipment, technology or information be provided to a foreign national or shipped/delivered to a location outside of the U.S.? (If yes, please provide more information on what will be provided):

3. Yes No Will any funds be given or provided to an entity in Crimean Region of Ukraine, Cuba, Iran, North Korea, Sudan, or Syria? (If yes, please provide more information on the entity and its location):

Section 7: Conflict of Interest and Commitment

The ISU PI attests to the following related to this Subrecipient Agreement: (Check all that apply)

The ISU PI has no financial, management or ownership interest in the Subrecipient.

No immediate family member of the ISU PI has a financial, management, or ownership interest in this Subrecipient.

The ISU PI is not a member of a partnership or limited liability company that has a financial, management, or ownership interest in the Subrecipient.

If the ISU PI and/or his or her immediate family members have a financial, management or ownership interest in the Subrecipient, or if the ISU PI is a member of a partnership or limited liability company with a financial, management, or ownership interest in the Subrecipient, **a relevant Conflict of Interest Management Plan must be in place with the Vice President for Research office and must specifically permit Subrecipient Agreements from ISU to the Subrecipient.** If a plan needs to be developed or amended, please contact coi@iastate.edu to begin the process. For more information about ISU's Conflict of Interest and Commitment policy and process, please see <http://policy.iastate.edu/policy/conflict/>.

Section 8: Principal Investigator Attestation and Signature

By signing below, I, the Principal Investigator, attest that the information submitted on this form and in any attachments is true, complete, and accurate to the best of my knowledge.

ISU PI Signature: _____ Date: _____

Typed name: _____

ISU PI signature ***is required*** due to audit compliance requirements; OSPA/OIPTT cannot accept this document without the ISU PI signature on the form.

Complete Section 9 Only if Prime Agreement is a FAR-Based Federal Contract

Section 9: Cost Reasonableness for Subrecipients Under a FAR-Based Federal Contract Prime

For Subrecipients to be funded under a Federal contract, a cost/price analysis and sole source justification is required to be performed. **The ISU PI is required to verify and document that Subrecipient's proposed costs are reasonable and necessary to carry out the proposed project.**

Cost/Price Review:

The ISU PI must review each area of cost listed in the Subrecipient's budget. Areas of cost to be reviewed include the following.

- Salaries, type(s) of personnel, and level(s) of effort were reviewed and appear reasonable for the Statement of Work.
Are the personnel rates generally consistent with standard rates for this industry? Yes No N/A
- Standard equipment and/or supply items are separately listed and are reasonable.
Are these items based on vendor quotes or catalog prices? Yes No N/A
- Travel appears to be necessary and reasonable and is priced separately and correctly.
Is the travel required for completion of the Statement of Work? Yes No N/A
Are travel costs reasonable in comparison to published air fares, hotel, and per diem rates? Yes No N/A
- Any other significant costs are separately itemized and are reasonable.
Are the costs generally consistent with standard rates for this industry? Yes No N/A

If not included with the proposal, the Lead Unit is responsible for maintaining documentation to show how the responses above were determined for each applicable area. If any response above is "No," the PI will be required to prepare a cost/price analysis prior to ISU issuing the Subrecipient Agreement.

Selection of Subrecipient: (check one)

Subrecipient's proposal was included in ISU's proposal package and was evaluated by ISU's sponsor as part of the overall selection process conducted pursuant to ISU's award.

This Subrecipient was not included in ISU proposal package. Complete the following justifications:

This Subrecipient is unique because (identify what makes this Subrecipient uniquely qualified to carry out the Subrecipient Statement of Work):

The reasons (other than cost) that this Subrecipient was selected over others include (consider factors such as project schedule, unique technical expertise, prior experience, knowledge of Statement of Work, etc.):