**Subcontract Request Form for Northeastern Issued Subcontracts**

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| **Request to Issue:**  [ ] Subcontract  [ ] Amendment to Subcontract  [ ] Termination of Subcontract | **Project Title:** |

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| Subcontractor |  | Prime Sponsor |
|  |  |  |
| Northeastern Principal Investigator |  | Prime Grant or Contract Number |
|  |  |  |
| Subcontract/Amendment Amount |  | Northeastern Budget Index Number |
|  |  |  |
| Subcontract/Amendment Period of Performance |  | Prime Grant/Contract Period of Performance |

Subcontractor Address, Contact Person, Email Address, and Telephone Number:

***As Principal Investigator I certify that:***

* *The services of the subcontractor are essential to the project and cannot be provided by individuals currently employed by Northeastern University and/or the physical capabilities do not exist at the University to perform the project tasks.*
* *This subcontractor is the sole source, defined as the only source known to perform the services needed for this project or is one source among others that is most advantageous for the purpose of this project.*
* *The project or relationship with this subcontractor (check one) \_\_\_\_ does or \_\_\_\_ does not present a potential for a conflict of interest or investigators with a potential conflict have provided complete disclosure of this matter as instructed by current University policy and/or Federal Regulations.*
* *The Subcontractor’s proposed costs have been reviewed and are reasonable for the technical effort proposed.*
* *Funding is available for this subcontract and is an allowable cost under the terms and conditions of the Prime Award.*
* *The information listed on this form is accurate.*

***PI Signature: Date:***

**Please submit this completed form to the Subcontracts Office, ORAF, 960 RP, and attach the following:**

1. Subcontractor’s Statement of Work
2. Subcontractor’s Budget and Budget Justification

**Determining Subcontracts versus Vendor Agreements**

**Key components of subcontracts versus vendor agreements, which can be used to define the contractual relationship:**

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| **Subcontract** | **Vendor Agreement** |
| Subcontractor services are uniquely designed in response to each project, and not provided commercially. | Vendor provides the goods or services commercially. |
| Subcontractor technical lead is usually a scientific collaborator or a co-PI on the Northeastern project. | Vendor operates in a competitive environment. |
| Subcontractor retains rights to intellectual property. | Vendor retains no rights to intellectual property. |
| Subcontract participates in development and execution of statement of work. | Vendor provides the goods or services ancillary to the operation of the federal program. |
| Subcontract results are likely to be published in scientific literature and/or subcontractor is likely to be a co-author in a Northeastern publication. | Vendor results are not likely to be published. |

**Rules and restrictions that apply to a subcontract versus a vendor agreement:**

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| **Subcontract** | **Vendor Agreement** |
| Requires prior approval of the sponsor, if not originally included in proposal. | Generally does not require prior approval of the sponsor, subject to re-budgeting restrictions imposed on the particular category of cost. |
| Indirect costs in Northeastern’s accounting system are only assessed on the first $25,000 of transactions of each subcontract. No additional indirect costs will be assessed on this subcontract during the approved period of the award under which it was issued (e.g., during the 3 year lifespan of an NSF award). However, if there is follow-on funding beyond the originally approved period of the award (e.g., competitive renewal), then indirect costs will again be assessed on the first $25,000 of each subcontract. It is particularly important to keep this in mind when preparing proposal budgets. | Indirect costs are assessed on entire expended amount, just as with most other direct costs. |
| Is exempt from sole-source justification or open-bid requirements (unless issued under a federal contract). | Is subject to sole-source documentation or open-bid requirements. |
| Is subject to federal subcontract monitoring requirements. | Is not subject to federal subcontract monitoring requirements. |

In some cases, it may be difficult to tell the difference between a subcontract and a vendor agreement, but the budget and statement of work will usually provide enough information to make the determination. However, if you have any questions when preparing a proposal budget, please contact your ORAF grant officer for guidance.