

STEVENS INSTITUTE OF TECHNOLOGY

OFFICE OF SPONSORED RESEARCH

GUIDELINES FOR ISSUING AND MONITORING SUBRECIPIENT AGREEMENTS

July 1, 2006

Purpose

To establish guidelines for the issuance, control and administration of subrecipient agreements under sponsored research grants and contracts at Stevens Institute of Technology, and distinguish them from procurement actions.

Introduction

Issuing and monitoring subrecipient agreements under externally sponsored awards is carried out in accordance with regulatory guidance provided in circulars promulgated by the federal Office of Management and Budget (OMB): Circular A-21 "Principles for Determining Costs Applicable to Grants, Contracts and Other Agreements with Educational Institutions", Circular A-110 "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Non-Profit Organization"; and, Circular A-133 "Audits of States, Local Governments, and Non-Profit Organizations", and agency regulations incorporated as terms of the prime award.

Additionally, subrecipient agreements issued under federal contracts are subject to the provisions of the Federal Acquisition Regulations (FAR) and specific federal agency acquisition regulations that are incorporated as terms of the prime award.

Subrecipient agreements issued under awards from the State of New Jersey are subject to monitoring under the provisions of the New Jersey Department of Treasury Circular Letter 04-04-OMB.

Responsible Office

The Office of Sponsored Research (OSR) is responsible for the issuance and oversight of subrecipient agreements: Subrecipient agreements are prepared, negotiated and executed by OSR and any modifications to subrecipient agreements are processed by OSR.

OSR actions generally follow from sponsor prior approval to enter into those specific relationships (either as part of an award issued to the Institute or through securing post-award prior approval when required) or through delegated authority to the Institute under award terms and conditions.

In rare cases when competitive bidding is required, OSR will work closely with the Office of Procurement and the principal investigator (PI) to coordinate the bid and selection process prior to issuance of any subrecipient agreements.

Definitions:

For purposes of these guidelines and procedures, the following definitions shall apply.

“Subrecipient” means the legal entity to which a subrecipient agreement is made and which is accountable to the recipient for the use of the funds provided.

“Subrecipient agreement” is a formal written agreement made between Stevens Institute of Technology and a “subrecipient” documenting an award of financial assistance in the form of money, or property in lieu of money, made under an award (i.e., grant, contract, cooperative agreement) by a recipient to an eligible subrecipient or by a subrecipient to a lower tier subrecipient. The term includes financial assistance when provided by any legal agreement, even if the agreement is called a contract or a purchase order, but does not include procurement of goods and services, including technical assistance. The term does not include agreements for consultants, which are governed under Policy# 40.2.10.

Procurement (vendor) relationship: “Vendor” means a dealer, distributor, merchant or other seller providing **goods or services** that are required for the conduct of a sponsored program.

ATTACHMENT A to these guidelines explains the characteristics of a subrecipient and the characteristics of a vendor.

Types of Subrecipient Agreements

Cost Reimbursement

As prescribed in OMB A-110 and FAR, a cost reimbursement type subrecipient agreement is suitable for use when the work to be performed cannot be described or estimated precisely. The use of the cost reimbursement arrangement is generally more practical because it is tailored to facilitate (1) design changes, and (2) redirection of subrecipient effort.

The cost reimbursement type subrecipient agreement provides for payment to the subrecipient of reasonable costs incurred in connection with the performance of work, not to exceed the amount set forth in the subrecipient agreement.

The subrecipient’s accounting system must be adequate for and the subrecipient must agree to maintain sufficient accounting records of all direct and facilities and administrative costs claimed under the subrecipient agreement. These records are

subject to audit by the Institute, the Government (if federally sponsored research), or both, during or after the effective period of the subrecipient agreement.

Subrecipient Selection

The PI must select a subrecipient based upon his/her assessment of the potential subrecipient's ability to perform the research work successfully. This includes an analysis of the subrecipient's past performance, technical resources and financial viability, and an assessment of the reasonableness of the subrecipient's proposed costs in light of the work to be performed. To meet audit requirements, Stevens is required to retain documentation of the latter assessment. PIs are therefore responsible for documenting their assessment of the subrecipient's proposal on FORM OSR-Sub046 for grants, **ATTACHMENT B**, or FORM OSR-Sub047 for Federal contracts, **ATTACHMENT C**. This form is required for each proposed subrecipient at the time a new or renewal proposal is presented to OSR for review, approval, and submission. If a subrecipient is added after a proposal has already been submitted, the PI should submit the form at the time the new subrecipient agreement is requested.

In complex research efforts, a number of subrecipient agreements may be issued as part of the research effort. The PI's original proposal must include a separate statement of work and line-item budget for each proposed subrecipient.

When the nature of the program requires performance from a single entity because requisite services or expertise are not available from other sources, the PI is required to provide sole source justification identifying the need for the particular services and why the selected subrecipient is the only source available for the needed services. Inclusion of a specific subrecipient in a proposal, and subsequent approval of that proposal as written, is an acceptable basis for sole source. (NOTE: Sole source selection is not justified simply by the fact that there has been on-going collaboration between scientists. A sole source justification in these situations must be further justified with respect to the unavailability of the services or expertise from other sources.)

Issuing a Subrecipient Agreement:

Subrecipient Agreement Proposal

There must be adequate time between the receipt by OSR of the subrecipient's proposal and the Sponsor's proposal due date to allow the Institute's PI time to discuss and negotiate the scope of work to be performed by the subrecipient.

A budget is submitted by the subrecipient which generally includes an itemization of budget categories, such as appropriate salaries, wages, fringe benefits, materials, supplies, equipment, travel and other direct costs, that are needed to accomplish the specific aspects of research that the subrecipient has been requested to perform. F&A costs should be calculated using the subrecipient's current negotiated F&A cost rate(s).

The subrecipient's proposal should be signed by a designated business official of the subrecipient. This individual should be someone who is authorized to commit the subrecipient's resources toward the completion of the subrecipient agreement.

Incorporating the Subrecipient's Proposal into the Institute's Proposal

Subrecipient costs are included in the Institute's budget as a direct cost to the Institute. When calculating the Institute's F&A costs, exclude that portion of each subrecipient agreement contained in the proposal which exceeds \$25,000 as required by the Office of Management and Budget (OMB) Circular A-21. (Note: The Institute calculates F&A costs only on the first \$25,000 of each separate subrecipient agreement issued under any single sponsored prime award regardless of the number of budget periods involved during the project performance period.)

During proposal processing by OSR, the subrecipient agreement portion of the Institute's proposal is reviewed to ensure that items discussed above, have been incorporated. It may be necessary to clarify costs or other items with the Institute's PI and/or the subrecipient's business official.

Preparing the Subrecipient Agreement

Upon the Institute's receipt of a fully executed prime award from the sponsor, OSR will prepare the subrecipient agreement document after a **Subrecipient Agreement Request Form**, FORM OSRSub045, **ATTACHMENT D** has been submitted by the PI via his/her dean to OSR.

In preparing the subrecipient agreement, it is important to "flow-down" to the subrecipient the special terms and conditions of the prime award with which both the Institute and the subrecipient must comply. Sponsor review and approval of a subrecipient agreement may be necessary prior to its issuance. (Note: Sponsor acceptance of the Institute's budget that includes subrecipient agreement costs constitutes the acceptance of the subrecipient selected and not an approval of the subrecipient agreement itself.)

The **Subrecipient Agreement Request Form**, mentioned above, provides OSR with the necessary information needed to develop the subrecipient agreement. Of primary importance are the Statement of Work and the budget that relates to the proposed effort. The form also asks whether this subrecipient agreement is being awarded under competitive bidding procedures or sole source procurement. The PI is requested to tell OSR if there are any specific requirements (s)he would like to see in the subrecipient agreement.

Fiscal and Administrative Monitoring

During the term of a subrecipient agreement OSR is responsible for fiscal and administrative review of subrecipient activities, working with the PI regarding technical

requirements and invoice review and with Sponsored Project Accounting regarding agreement closeout and filing of all non-technical reports. OSR also is responsible for issuing any modifications to the subrecipient agreement.

Processing Payments on Subrecipient Agreements:

- Invoices are submitted by the subrecipient to OSR, usually on a monthly basis but no less often than quarterly.
- The invoices are reviewed by OSR for conformity with the terms of the subrecipient agreement and budget.
- The invoices then are forwarded to the PI for review and approval of technical progress or discussion.
- Invoices reflecting acceptable technical progress are approved by the PI and then sent by OSR to Sponsored Research Accounting for payment processing.

Monitoring

As prime recipient, the Institute bears the ultimate responsibility for the conduct and completion of a project. Annual progress reports should be required by the Institute PI and discussed with the subrecipient as needed. The progress report should include, if applicable, updated Other Support pages, proof of current IRB or IACUC approval, and a detailed budget for the upcoming year. It is the responsibility of the Institute PI to ensure the relevant performance of the subrecipient under federal and non-federal awards. The Institute has the responsibility to notify the sponsor if any lack of performance on behalf of the subrecipient will have a significant (unanticipated) impact on the scope of the research or the funding. The progress report provided as a condition of the subrecipient agreement is usually incorporated in the overall progress report submitted by the Institute to the sponsor. OSR may be responsible for collecting other reports from the subrecipient, as required by the terms and conditions of the prime award. For instance, interim invention reports may be required under Federal prime awards, and small business subcontracting reports are required for subrecipient agreements exceeding \$500,000 under Federal contracts.

Early Termination

Early termination of a subrecipient agreement may occur for a number of reasons, all of which may be problematic. Among the reasons for early termination are:

- (1) failure of the subrecipient to perform;
- (2) relocation or illness of the subrecipient's principal investigator; or
- (3) termination by the project's sponsor.

The subrecipient agreement must authorize and specify the conditions for early termination. With regard to failure to perform, the Institute's PI should have been documenting lack of progress by the subrecipient and recorded communications with

and efforts to correct the situation. Even with ample documentation and clearly defined terms, this decision should be made carefully.

Other solutions should be considered as well, such as requesting the sponsor to extend the project to allow for sufficient progress.

If the sponsor terminates the project, the Institute has the responsibility to represent the subrecipient's interests towards a fair and orderly closeout and settlement. The subrecipient agreement provisions should allow for payment of all non-cancelable costs, if applicable, prior to the date of termination, if this is consistent with the prime award. In early termination, the sponsor usually still requires the submission of all reports. Therefore, closeout procedures will be very similar, if not identical, to the procedures followed if the project continued to the projected termination date.

Close-Out of Subrecipient Agreements

Before a final invoice can be paid by Sponsored Research Accounting, the Institute PI must certify that all technical reports and /or deliverables have been received and that the subrecipient has fulfilled its obligations. Depending on who the prime sponsor is, the subrecipient might also have to provide additional documentation.

What is a final invoice?

A final invoice is required at the end of the grant/contract project period, not at the end of a budget year. Even if the grant or contract, and consequently the subrecipient agreement, requires a new account number each year, a final invoice is processed only at the end of the project period (even if the project is a multi-year award).

- A final invoice indicates that all work done by the subrecipient is complete and all deliverables, whether it be a final report, case report forms, analyzed data, publication or any other item, have been received by the Institute PI.
- Depending on the terms & conditions contained in the subrecipient agreement, the subrecipient has a certain number of days to submit a final invoice (usually, not more than 60 days from the end of the subcontract project period).

CHARACTERISTICS OF SUBRECIPIENT VS VENDOR

OMB Circular A-133 makes the following distinction between a subrecipient and a vendor:

A subrecipient is defined as "any person or government department, agency, establishment, or nonprofit organization that receives financial assistance to carry out a program through a primary recipient or other subrecipient..." A vendor is defined as "an organization providing a recipient or subrecipient with generally required goods or services that are related to the administrative support of the Federal assistance program."

Circular A-133 states (§ ____.210) that an organization is considered to be a **subrecipient** of a federal award when it:

- determines who is eligible to receive what financial assistance;
- has its performance measured against whether the objectives of the federal program are met;
- has responsibility for programmatic decision-making;
- has responsibility for adherence to applicable federal program compliance responsibilities;
- uses the federal funds to carry out a program of the organization as compared to providing goods or services for a program of the pass-through entity.

Under A-133, an organization is considered to be a **vendor** when it

- provides goods and services within normal business operations;
- provides similar goods and services to many different purchasers;
- operates in a competitive environment;
- provides goods and services that are ancillary to the operation of the federal program; and
- is not subject to compliance requirements of the federal program.

Not all of the characteristics need to be or will be present to determine whether the organization is a subrecipient or a vendor, and the circular states that judgment should be used in each case.

This distinction is not always crystal clear. One test that we use to make this distinction is the following:

Key Questions to Make the Vendor-Subrecipient Determination

Key questions to ask to determine whether the lower-tier organization is a subrecipient are: If the answers are "yes," the relationship probably is with a subrecipient.

- Is there an identified investigator at the lower-tier organization? If yes, is he or she a co-investigator on the primary award?
- Is the lower-tier organization free to decide how to carry out the activities requested of it?
- Will there be potentially patentable or copyrightable technology created or reduced to practice from the activities of the lower-tier entity? If yes, does the entity have rights to or the right to file for protection of its technology?
- Are publications anticipated from the lower tier entity? Will individuals at the lower tier organization be co-authors on articles?
- Under federal assistance funding, is the lower-tier organization providing cost sharing or matching funds?

A key question to ask to determine whether the lower-tier organization is a vendor is: If "yes," the relationship most likely is with a vendor.

- Is the activity to be performed a series of repetitive tests or activities requiring little or no discretionary judgment on behalf of the service provider

STEVENS INSTITUTE OF TECHNOLOGY
FAIR & REASONABLE COST ANALYSIS
SUBRECIPIENT AGREEMENTS UNDER GRANTS
OR COOPERATIVE AGREEMENTS

PI CHECKLIST

Background/Purpose

Subrecipient Agreement proposed to: _____
Research project entitled: _____
Research Sponsor (name of Federal agency): _____
Award No.: _____ Stevens PI : _____
Stevens Proposal dated: _____ Proposed Subrecipient Agreement Total Amount: \$ _____
Subrecipient Agreement Period of Performance: From: _____ To: _____

Subrecipient entity was selected based upon its fiscal responsibility, potential ability to perform the Subrecipient Agreement successfully, technical expertise, and accessibility to technical and other necessary resources.

When Was Subrecipient Selected? (Check the appropriate box):

- Subrecipient's proposal was included in Stevens' proposal package and was evaluated by the prime Federal agency along with Stevens as part of the overall selection process conducted pursuant to the Federal agency's award under the prime award. At that time, the technical aspects of the Subrecipient's proposal were acceptable to the sponsor, and therefore, this Subrecipient is the logical choice for this award.
- This Subrecipient was not included in Stevens' proposal package. **(Prepare the Sole Source Justification form and submit it to OSR.)**

Cost/Price Reasonableness

- All costs proposed by Subrecipient under this Subrecipient Agreement were reviewed and approved by the Stevens PI as reasonable and necessary for the proposed scope of work.**

Items to be reviewed when applicable include the following:

- Salaries, type of personnel, and level of effort have been reviewed and appear reasonable for the proposed scope of work.
- Specific equipment items and/or of supplies are separately listed and are appropriately based on standard or catalog prices, or vendor quotes.
- The travel appears to be necessary, and trips are priced separately and correctly, based on both technical review and review of published air fares, hotel rates and per diem rates.
- All other significant costs are separately itemized and are reasonable.

PI Verification

All budgets proposed by Subrecipient under this Subrecipient Agreement were reviewed and the costs proposed are approved by the undersigned Stevens Institute Principal Investigator.

Signature: _____

Printed Name: _____

Date: _____

PLEASE FORWARD THIS COMPLETED FORM WITH BACKUP DOCUMENTATION TO YOUR OSR GRANTS AND CONTRACTS MANAGER.

**STEVENS INSTITUTE OF TECHNOLOGY
FAIR & REASONABLE COST ANALYSIS
SUBRECIPIENT AGREEMENTS UNDER CONTRACTS**

PI CHECKLIST

Background/Purpose

Subrecipient Agreement proposed to (name of Subrecipient) _____

Research effort entitled: _____

Research sponsored by (name of Federal agency): _____

Award No.: _____ Stevens PI _____

Stevens Institute Proposal dated: _____ Proposed Subrecipient Total Amount: \$ _____

Subrecipient Period of Performance: From: _____ To: _____

Acceptance of Costs: Cost/Price Reasonableness

All costs proposed by Subrecipient under this Subrecipient Agreement were reviewed and approved by the Stevens PI as evidenced by the Cost/Price Reasonableness Checklist below.

If the item of cost is included in the Subrecipient's budget, please check and complete the analysis and/or verification.

**Check if
Applicable**

Items of Cost

- | | |
|-------|---|
| _____ | 1) Salaries and Wages: The basis for proposed labor costs or percent of effort has been identified as stated below (e.g., historical hours, engineering estimates). Costs are in accordance with actual labor rates/salaries and reasonably projected schedules. The escalation rate used is ____% and is in compliance with Federal guidelines. (If not, explain.) |
| _____ | 2) Fringe Benefit Rates: The proposed rate(s) are in accordance with current and prospective Government approved rates and are correctly applied to proper base. (If not, explain.) Method of verification: _____ |
| _____ | 3) Tuition: The proposed cost is current and in accordance with the Subrecipient's policies and/or government approved rates. (If not, explain.) |
| _____ | 4) Materials and Supplies: Proposed items are expendable. Costs proposed are based on vendor quotes, invoice prices or established competitive market prices. (If not, explain) _____ |

ATTACHMENT C

5) Equipment: Amounts proposed are based on vendor quotes, historical cost, engineering estimates or from fully justified sole sources. Costs of these equipment items have been verified. (If not, explain.)

For equipment costing \$5,000 or more, vesting will be in accordance with

6) Travel: The Subrecipient's proposed travel is necessary for proper conduct of the research effort. The destination and basis of estimate are identified. The individual elements of travel are reasonable and in accordance with the Subrecipient's policies. (If not, explain.) Note: Foreign travel must be coordinated with the Prime Sponsor.

7) Consultant Costs: Costs show number of days, daily rate and estimated travel/per diem costs. Costs are in compliance with Specific Federal agency maximum allowable rates. The need for consultants is fully justified.

8) Indirect Cost: The rate is applied to ____ Direct Salaries and Wages, ____ Total Direct Cost, ____ Modified Total Direct Cost, ____ Other (explain below). The rate has been verified by a negotiation memorandum. If none exists, a disclosure of the contents of the rate has been made and approved by Indirect Cost Accounting/DCAA as stated below.

9) The Subrecipient's cost proposal does not contain any lower-tier subcontracts for which Certified Cost or Pricing Data are required.

10) Fixed Fee: The Subrecipient is a for-profit organization. The profit factor is _____, and has been approved by the Prime Sponsor.

PI Verification

All costs proposed by Subrecipient under this Subrecipient Agreement were reviewed and approved by the undersigned Stevens Institute of Technology Principal Investigator.

Signature: _____

Printed Name: _____

Date: _____

PLEASE FORWARD THIS COMPLETED FORM WITH BACKUP DOCUMENTATION TO YOUR OSR GRANT & CONTRACT MANAGER.

Stevens Institute of Technology
OFFICE OF SPONSORED RESEARCH

<p>OSR Use Only</p> <p>Date Received:</p>
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SUBRECIPIENT AGREEMENT REQUEST FORM

Complete the information below, and return this form to OSR. In order to process the request, the completed form must be accompanied by a copy of the Subrecipient's **Statement of Work and Budget**. Because these elements are essential to producing the subrecipient agreement, incomplete packets cannot be processed and will be returned. This form may be completed at the time of initial award, or any time after award when a Principal Investigator wishes to have a subrecipient agreement issued.

BASIC INFORMATION

1. Name of Proposed Subrecipient (Organization or Entity):	
2. Subrecipient's Mailing Address:	
3. Subrecipient's Business Contact Name, Email, Phone and Fax:	
4. Subrecipient PI Name, Address, Email and Phone:	

FUNDING INFORMATION

5. Funding Source (e.g., NIH Grant No. CA 12345)	<table border="0" style="width: 100%;"> <tr> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> </tr> <tr> <td style="text-align: center;"><i>(Agency Name)</i></td> <td style="text-align: center;"><i>(Agency Award Number)</i></td> </tr> <tr> <td colspan="2">FDP Award? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> I don't know</td> </tr> <tr> <td colspan="2">Stevens Account #: _____</td> </tr> </table>	_____	_____	<i>(Agency Name)</i>	<i>(Agency Award Number)</i>	FDP Award? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> I don't know		Stevens Account #: _____	
_____	_____								
<i>(Agency Name)</i>	<i>(Agency Award Number)</i>								
FDP Award? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> I don't know									
Stevens Account #: _____									
6. Stevens Principal Investigator									
7. Stevens Department Administering this Award									
8. Stevens Department Contact Name, Email and Phone:									
9. Total Estimated Period of Performance (Project Period) for the Subrecipient Agreement (including years not yet funded)	<table border="0" style="width: 100%;"> <tr> <td style="text-align: center;">_____</td> <td style="text-align: center;">-</td> <td style="text-align: center;">_____</td> </tr> <tr> <td style="text-align: center;"><i>(Begin Date)</i></td> <td></td> <td style="text-align: center;"><i>(End Date)</i></td> </tr> </table>	_____	-	_____	<i>(Begin Date)</i>		<i>(End Date)</i>		
_____	-	_____							
<i>(Begin Date)</i>		<i>(End Date)</i>							

10. Initial Period of Performance (e.g., current budget period) _____ - _____
(Begin Date) (End Date)

11. Funds to be Obligated for the Current Budget Period \$

12. Statement of Work to be performed by Subrecipient and corresponding Budget *(Please be specific – in the event of a dispute, this will be used to determine whether the work has been completed satisfactorily.)*

Attach Statement of Work and Subrecipient’s Budget, as approved by the Subrecipient’s institutional representative.

This may be copied from the proposal or requested directly from the subrecipient.

Subrecipient Selection

13. Was the subrecipient agreement approved by the funding agency (either in the proposal awarded by the sponsor or in a separate approved request?) Yes (skip to **Special Terms** section, below) No (go to Question 14)

14. Please explain the rationale for entering into a subrecipient agreement at this time (when none was contemplated at the time the proposal was submitted to the agency.)

15. Does this subrecipient agreement constitute a change in scope or methodology of the project, or is prior agency approval required for this subrecipient agreement ? Yes *(Agency pre-approval of this change is required before the subrecipient agreement can be finalized; please submit a letter for countersignature and submission to the agency.)* No

Special Terms of the Subrecipient Agreement

16. Title to Equipment

In the event that title to equipment does not vest in the sponsor, do you wish title to property acquired by the Subrecipient under this agreement to vest in the Subrecipient?

Yes, I wish the title to be retained by the Subrecipient (Standard)

No, I prefer to retain the title for Stevens Institute of Technology

17. Technical Reports & Other Deliverables

Standard Reports (progress reports directed to Stevens Principal Investigator 30 days in advance of due date of a continuation proposal or final technical report)

Other - if you wish to have a different reporting schedule or are expecting other deliverables, such as fabricated equipment, please specify the deliverable(s) and the preferred delivery date(s) or frequency (monthly, quarterly, semi-annually, annually) in the Special Instructions box

18. Prior Review Period for Publications None 30 days 60 days Other (specify below)

19. Rebudgeting Restrictions

Standard Rebudgeting Restrictions (e.g., flow down of whatever restrictions the sponsor has imposed on Stevens.)

Additional Restrictions (please list in special instructions box)

20. Commitments

Will the subrecipient use human subjects? Yes No

Will the subrecipient use animals? Yes No

Will the subrecipient be providing cost-sharing? Yes No

SPECIAL INSTRUCTIONS AND APPROVAL:

Please provide any special comments or information for OSR below or attach a separate page (e.g., special payment terms, etc.)

CERTIFICATION AND CONFLICT OF INTEREST STATEMENT

I have reviewed the Subrecipient's proposal and have determined that the costs are appropriate for the work described in the proposal. I agree to oversee the Subrecipient's technical and financial progress on the subrecipient agreement.

Please complete one of the following boxes:

- The subrecipient listed above is an educational institution or a non-profit entity*
- The subrecipient listed above is a for-profit entity. I am not employed or otherwise compensated by the entity nor do I have another financial interest, management role, or scientific oversight responsibility with this entity*
- I do have a financial or management interest (as described above) with this entity. [if this box is checked, an OSR representative will be in touch with you after this form is submitted to discuss appropriate next steps.]*

Signature of Principal Investigator
(Please note, "per" signatures are not permitted)

(Date)

STEVENS INSTITUTE OF TECHNOLOGY
SOLE SOURCE JUSTIFICATION

Date:

To: Office of Sponsored Research

From:

Subject: **Sole Source Justification for Subrecipient Agreement**

_____ **COMPLETION OF THIS FORM IS WAIVED, APPROVED BY SPONSOR
- requires sponsor documentation of waiver**

I anticipate that a subrecipient agreement will be issued to perform a portion of the Statement of Work for :

Account #: _____

Title: _____

Sponsor: _____

I request that _____ be named as subrecipient under this grant/contract.

This subrecipient is unique because:

The reasons (other than cost) that this subrecipient was selected over others are:

Signature below indicates my certification that in procurements other than full and open competition, in accordance with federal and Institute policy, neither I nor any member of my immediate family (spouse/domestic partner or dependent child) of mine will benefit financially from this subrecipient agreement.

Signed: (PI Name and Title) _____

Dated: _____