

Subrecipient vs. Contractor Determination Sheet

The following checklist should be filled out and analyzed in order to determine whether the agreement between UCSB and the party receiving Federal program funds constitutes a Subaward or a procurement transaction.

If the determination is that of a Subrecipient, please submit this form to the UCSB Sponsored Projects Office at proposal stage (before submission of proposal). If the determination is that of a Vendor/Contractor, please send this sheet and the contractor’s Scope of Work to contracts@bfs.ucsb.edu before, or at the same time as you are submitting your proposal to UCSB Sponsored Projects Office.

Subrecipient/Contractor Name: _____
 Research effort title: _____
 Research sponsored by (i.e. federal agency): _____
 UCSB PI: _____
 ORBIT Record No.: _____

Check all that apply:

<p>Subrecipient:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Performance represents an intellectually significant portion of the overall programmatic effort and is measured against the objectives of the Federal program <input type="checkbox"/> There is an identified principal investigator for the subrecipient who has responsibility for making programmatic decisions <input type="checkbox"/> Work could result in the development of intellectual property <input type="checkbox"/> Is expected to author or co-author publications on the results of its work <input type="checkbox"/> Will need animal and/or human subject approval for its work <input type="checkbox"/> Provides cost sharing or matching funds <input type="checkbox"/> Is responsible for adhering to applicable Federal program requirements specified in the Federal award <input type="checkbox"/> Will use the Federal funds to carry out a program for a public purpose, as opposed to providing goods or services for the benefit of UCSB <p>Contractor:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Will not have any right to the intellectual property related to the research award Provides the goods or services within its normal business operations <input type="checkbox"/> Does not have a stake in, or any decision-making responsibilities with the research <input type="checkbox"/> Provides similar goods or services to many different purchasers <input type="checkbox"/> Performs a series of repetitive tests or activities requiring little or no discretionary judgment <input type="checkbox"/> Provides goods or services that are ancillary to the operation of the Federal program
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All of the characteristics listed above might not be present in all cases. Therefore, judgment must be used in classifying the agreement as either a subaward or a procurement transaction. The substance of the relationship is more important than the form or name of the agreement.

Please note **Subawards cannot be made to individuals**. If the scope of work *is research*, see if the individual can provide the research through their home institution. If not, the scope of work will need to be modified to fit a procurement transaction.

Based on your analysis of the above checklist results, the organization is determined to be a: Subrecipient Vendor

 Signature: (Date)
 Principal Investigator Name (please print): _____