Proposal #_____ (to be completed by OSP)

THE UNIVERSITY OF ALABAMA RESEARCH
Office for Sponsored Programs

SUBRECIPIENT AND CONTRACTOR DETERMINATION

OMB Uniform Guidance, 2 CFR 200 section 200.330 requires a case-by-case determination of whether an agreement "casts the party receiving the funds in the role of a subrecipient or a contractor." This form will be used by the University to document this required determination.

- **Subrecipient –** An entity that will carry out part of an award received by the University.
- **Contractor –** An entity from which the University will purchase goods or services for its own use in carrying out the award.

Name of Organization: _____
Type of Organization: (i.e. nonprofit, for-profit, individual)_____
PI/Sponsor_____ /_____

Check all that apply. This assessment should be considered in determining the type of agreement.

SUBRECIPIENT

_____Will carry out a portion of the award (e.g. conduct research)
_____Will be responsible for programmatic decision making
_____Will have performance measured in relation to meeting objectives of the program

NOTE: A subrecipient has responsibility for adherence to applicable program requirements and must certify that it has an active and enforced, PHS compliant, Financial Conflict of Interest policy or agree to follow UA's policy.

CONTRACTOR (e.g. Professional Service Agreement, Purchase Order)

_____ Provides similar good/services to many different purchasers within normal business operations
_____ Provides goods/services that are ancillary to the project (supports the primary activity)
_____Operates in a competitive environment

Determination

Judgment must be used in determining whether an entity is a subrecipient or a contractor. The substance of the relationship is more important than the form of the agreement.

Based on the checklist and the substance of the relationship, the organization is determined to be a:
_____ **Subrecipient** _____ **Contractor**

_____
Principal Investigator Date

_____
Office for Sponsored Programs Date

If you have any questions, please feel free to contact the Office for Sponsored Programs at 348-5152.