

Subrecipient vs Contractor Determination Checklist

CSU applies the Uniform Guidance (2 CFR 200) definitions of subrecipient and contractor (vendor) (see [2 CFR 200.1](#)) and the subrecipient and contractor determination guidance ([2 CFR 200.331](#)) to all sponsored awards.

Instructions: Check all boxes that best describe the relationship with the third-party entity. The column with the greatest number of checked boxes indicates the likely proper classification of the entity. Consistent with 2 CFR 200.331(c), the institution’s judgment should be exercised with making the determination of subrecipient vs. Contractor. The nature of collaboration is more important than the form of the agreement. OSP ultimately determines the correct classification based on available information.

Characteristics	<input type="checkbox"/> The entity will perform a substantive portion of the programmatic work. <input type="checkbox"/> The entity has a separate statement/scope of work, a separate line-item budget, and an organizational approval. <input type="checkbox"/> The entity’s personnel participate in an intellectually creative and significant way in the design of the project (i.e. they have a role in writing the overall proposal). <input type="checkbox"/> The entity commits in good faith to conduct the research proposed or complete the scope of work. <input type="checkbox"/> The entity’s performance, like CSU’s, is measured against whether or not the project objectives are met. <input type="checkbox"/> The entity’s work could potentially result in patentable, licensable, and/or copyrightable technology and/or other intellectual property. <input type="checkbox"/> The entity’s personnel are expected to author or co-author publication on the results of the project. <input type="checkbox"/> The entity’s work includes vertebrate animal, human subjects, or stem cell work and therefore it is responsible for adherence to applicable federal and program requirements. <input type="checkbox"/> The entity is providing cost share or matching funds. <input type="checkbox"/> The entity will use the funds to carry out its portion of the overall scope of work instead of just providing goods or services for CSU to use toward carrying out the research or program. <input type="checkbox"/> The proposed project cannot be completed without expertise and integral involvement in the design and conduct of the project provided by the external entity.	<input type="checkbox"/> The entity provides goods or services within normal business and operates in a competitive environment, providing similar goods or services to a variety of customers. <input type="checkbox"/> The entity provides specified goods or services supporting CSU’s research or programmatic scope of work. <input type="checkbox"/> The entity has not participated in the design of the project in an intellectually creative and substantive way, but is being engaged to provide specific goods or services that will be used by CSU to carryout CSU’s proposed scope of work. <input type="checkbox"/> The entity is not directly responsible for the research or for determining the research results. <input type="checkbox"/> The entity commits to deliver goods and/or services which if not satisfactorily completed may result in nonpayment or the requirement to redo the work. <input type="checkbox"/> The expectation is that the entity’s work will not result in patentable or copyrightable technology or products that the entity would own. <input type="checkbox"/> Subject matter expert who will provide professional or technical advice (Consultant), but is not responsible for the design or conduct of CSU’s scope of work. <input type="checkbox"/> In the case of an individual vendor of consulting services, the person has no employment relationship with CSU. <input type="checkbox"/> The project, as proposed, could be completed with another entity providing the services.
Determination	<p>Subrecipient</p> <p>Subrecipients must provide a proposal to CSU for inclusion in our prime application to include: Subrecipient Commitment Form (or Subrecipient Letter of Intent for institutions that are part of the FDP Clearinghouse), a scope of work fully describing their portion of the project, a line-item budget and budget justification, as well as any other documents required by the sponsor for subrecipients. At award Subrecipient Agreements are issued by Sponsored Programs.</p>	<p>Contractor (Vendor)</p> <p>Contractors should provide a quote for the goods/service they will provide. A consultant should provide a letter of commitment indicating the consultant’s hourly rate and number of hours anticipated for consulting on this project. At award Contractor (Vendor/Consultant) Agreements are handled through CSU Procurement Services and subject to CSU procurement policies.</p>