

University of Maryland Baltimore County

Office of Sponsored Programs

SUBRECIPIENT AND VENDOR DETERMINE CHECKLIST FOR SPONSORED PROJECTS

ORGANIZATION:	
SPONSOR:	
PI / DEPARTMENT:	

Answer the following questions below to determine how a provider should be paid: as vendor or subrecipient. See page (2) for instructions and clarification on specific questions.

VENDOR: Provides a service or good that is routinely provided to the general public and therefore is not unique to the project. Typically the organization is for-profit and not subject to Federal compliance requirements.	Yes	No
1. Does the organization operate in a competitive, for-profit environment (i.e. a for-profit entity)?		
2. Does the organization provide similar goods or services within its normal business operations to many different purchasers?		
3. Will the organization provide goods or services that are ancillary (a minor contribution) to the project?		
4. Will the activities performed be done by an unidentified individual or team of personnel?		
5. Will the activities performed be a series of repetitive tests or activities requiring little or no discretionary judgment by the person(s) performing the activities?		
6. Will the University of Maryland Baltimore County be able to complete reports about the project without the organization providing significant contributions regarding the activities it performed?		

SUBRECIPIENT: Activities will have significant impact on the total project with distinct deliverables for work that is unique to the project and minimal supervision from the PI at the University of Maryland Baltimore County.	Yes	No
7. Is the organization subject to Federal compliance/audit requirements (OMB Circular A-133)?		
8. Will the proposal to the sponsor identify the organization as having a key role in the project?		
9. Will the organization use project funds to carry out the organization's portion of the project rather than using the funds to provide generic goods or routine services to the University of Maryland Baltimore County?		
10. Will the work performed be unique to the project, designed specifically to enhance the research goals and outcomes of the primary project?		
11. Will the organization have any publishing rights to their portion of the activities of this project?		
12. Will the organization have any rights to resulting patentable or copyrightable technology developed during the activities of this project?		

ADDITIONAL COMMENTS:

Relationship determined to be: _____ Vendor _____ Subrecipient

Preparer's Signature: _____ Date: _____

Preparer's Name: _____

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Instructions

Purpose of the checklist:

To comply with the regulations of OMB Circular A-133, the University must determine whether services provided to further the purposes of an award (grant or contract) should be paid as a vendor agreement or subrecipient of the award. The checklist should be used to determine which of these agreements best applies to the project.

How to use the checklist:

Answer the questions in both sections of the checklist. The area in which you have the most “Yes” responses is probably the agreement type to be used. As always with grants, there are exceptions, and your best judgment should be applied to make that determination. If you have questions which are not answered by this checklist regarding subrecipients, contact the Office of Sponsored Programs. Contact UMBC Procurement for more information on vendors and vendor agreements, the bidding process, sole source justifications, and so on.

Definitions of terms as they are used in this checklist:

University	- University of Maryland Baltimore County (UMBC)
Organization	- An entity that provides goods or services required to complete a sponsored project and will be paid as a vendor or subrecipient of the prime award issued to the University.
Sponsor	- The Federal, State, Local, Private, or Industry entity that provides funds to the University to complete a project.
Project	- An investigation aimed at discovering and interpreting facts with defined objectives and deliverables that the University agrees to provide the Sponsor according to the agreed upon terms and conditions of an award or contract.
Goods/Services	- Deliverables of the agreement. Goods are tangible products while services are activities performed, such as data processing or analysis. Goods and services are generic (something to benefit a general audience) compared to independent research (which is unique to the project).

Details and examples for specific questions:

1. A competitive environment is one that sells its product to anyone with funds to pay for it, i.e. a grocery store.
2. Answer “Yes” if the organization sells the same services or products to any customer who requests it. Answer “No” if the organization will have to develop or design something unique based on the objectives of the project.
3. In general, are you purchasing the beakers or the science performed in the beakers? Answer “Yes” if the product or service is something equivalent to the beakers, i.e. is ancillary to the project.
4. Answer “No” if the organization has been chosen because of the expertise of a specific person or team of persons within the organization that will be identified in the proposal.
5. Answer “Yes” if the organization will merely be providing goods or data for the University to analyze or use in its research. Answer “No” if the organization will use their knowledge and expertise to analyze or provide results.
6. Answer “No” if the information about the methodology and design of organization’s activities will be needed in order to complete reports on the project.
7. OMB Circular A-133 contains the Federal audit standards that apply to States, Local Governments, and Non-Profit Organizations. Organizations that receive Federal funding must comply with these standards.
8. Answer “Yes” if the proposal will include any of the following for the organization’s portion of the project: separate budget, facility and resource description, project site information, roles and responsibilities, etc.
9. Answer “Yes” if the funds issued to the organization will be dedicated to completing the project. Answer “No” if the funds will contribute to the general profit or operating funds of the organization.
10. Answer “Yes” if the organization’s performance will be measured against the objectives of the primary project.
- 11 & 12. Questions are self-explanatory.