

Principal Investigator:

Subrecipient/Contractor Name:

OBJECTIVE: The checklist provides assistance to determine if an outside entity providing goods or services for a proposed project should be classified as a contractor or a subrecipient.

INSTRUCTIONS: Complete sections one and two of the checklist by marking all characteristics that apply to the outside entity. The section with the greatest number of marked characteristics indicates the likely type of relationship the entity will have with the University. On occasion there may be exceptions to the type of relationship indicated by the completed checklist. In these situations, the substance of the relationship should be given greater consideration than the form of agreement between the University and the outside entity.

SECTION 1 – SUBRECIPIENT

A subrecipient is an entity that expends awards received from a pass-through entity to carry out a program, but does not include an individual that is a beneficiary of such a program. Subrecipient cannot be an individual.

- The subrecipient's performance is measured against whether its unique contributions help to meet the objectives of the overall research project.
- The subrecipient uses federal funds to carry out its specific portion of the project as compared to providing routine goods or services for the University.
- The subrecipient is responsible to adhere to applicable Federal compliance and audit requirements.
- The subrecipient usually retains title to and bears responsibility to protect intellectual property that it creates during the research project.
- The subrecipient's Principal Investigator and/or key personnel may author publications related to its portion of the research activities.
- The subrecipient's Principal Investigator serves as an Investigator on the primary project and shares responsibility with the primary project's Principal Investigator for the results and decisions of the research effort.

SECTION 2 – CONTRACTOR

A Contractor supplies routine goods or services to the general public. It is usually a for-profit entity and does not innovate its goods or services for the sponsored research project. A contract creates a procurement relationship with the entity.

- Contractor provides similar goods and services to many different purchasers within normal business operations. The entity operates in a competitive environment.
- Contractor provides goods or services that are ancillary (of minor significance) to the proposed project.
- Contractor is not subject to compliance requirements of the Federally-funded project.
- Contractor is not responsible for the results of the research project.
- Contractor performs work on University of Rhode Island's behalf, and the University retains ownership of the product.
- Contractor does not possess ownership of intellectual property created during the research project. The entity does not produce publications related to the research project.

FINAL DETERMINATION

SUBRECIPIENT

CONTRACTOR