

Subrecipient or Contractor Determination Form

This form is not required for IHE or FFRDCs though it may be used in situations where the evaluation is unclear.

Subrecipient:

A non-Federal entity receiving funds to carry out a substantive portion of the research

Not an individual

Scope of Work represents an intellectually significant portion of the programmatic decision making

Makes programmatic decisions as to how their portion of the research project should be carried out

Key personnel are named in the proposal and budget

Required to comply with Mines' Sponsor's eligibility requirements listed in the FOA/BAA

Performance is measured against meeting the objectives listed in Mines' research award

Entity may publish research results

No profit included in the budget

Required Documentation:

- Scope of Work, including deliverables
- Budget
- Justification
- Mines' subrecipient form
- Other sponsor required forms (if applicable)
- Small Business Subcontracting Plan (*Required for Federal Contracts with an estimated value of \$750,000 or more*)

Contractor (also known as a Vendor or Consultant):

A non-Federal entity providing services or supplies to further support the research

Individual or company (commercial entity, work for hire or fee for service, consultant efforts)

Does not make programmatic decisions that impact the overall success of the project

Goods or services provided are:

- Within normal business operations
- Similarly provided to others
- Ancillary to Mines' research

Operate in a competitive environment

Charge for services according to established market rates

Profit can be included in the budget

Required Documentation:

- Draft statement of work
- Quotes to justify the cost listed in the Mines budget
- Other sponsor required forms (if applicable)

Determination Notes – please explain the reason for determination, particularly if it is unclear or boxes are checked in both subrecipient and contractor sections.