Sub Agreement/Vendor/Consultant Decision Tree

Is the recipient of funds an Employee/Affiliate of CU?

Yes

This person cannot serve in a Sub Agreement/vendor/consultant capacity

No

Is recipient responsible for adherence to applicable Federal program requirements specific in the Federal award?

Might the work result in development of IP?

Does the work represent an intellectually significant portion of the overall programmatic effort and is performance measured against the objectives of the program?

Is there an identified principal investigator for the recipient who has responsibility for making programmatic decisions?

Is the recipient expected to author or co-author publications on the results of the work?

Will there need to be animal or human subject approval for the recipient’s work?

Will the use of funds be to carry out a program for a public purpose?

Are the recipient’s activities under the direction of the CU PI, such that their work requires little or no discretionary judgement?

Yes

No

Is it a payment for only goods or general services?

Yes

Vendor or Service Activity

No

Is this for a professional service rendered by a person with specialized skills?

Yes

Will the person performing the services use another university’s resources?

No

Consultant

No

Is it a payment for goods or services within their normal business operations, and can/does the recipient provide similar goods or services to other purchasers?
Sub Agreement/Vendor/Consultant Decision Tree

DOCUMENTS TO COLLECT

Sub Agreements

University of Colorado will need the following documentation from all subrecipients:

1) Budget, in a format appropriate for the Prime Sponsor;
2) Budget Justification;
3) Statement of Work;
4) Commitment Form
   a. If the subrecipient is part of the FDP Clearinghouse, we will need a Statement of Collaborative Intent;
   b. If the subrecipient is not part of the FDP Clearinghouse, we will need a Subrecipient Commitment Form;
5) Any other documentation required by the Prime Sponsor (for example, Current and Pending, Biosketch, Collaborators and Other Affiliations, Facilities, Equipment and Other Resources, etc.).

Funded Consultants

University of Colorado generally doesn’t require any documentation from funded Consultants at the Proposal stage; however you will need to collect documentation required by the Sponsor as detailed in the Funding Announcement or the Sponsor’s general guidelines. For example:

1) NSF PAPPG’s budget justification section states, “Anticipated services must be justified and information furnished on each individual’s expertise, primary organizational affiliation, normal daily compensation rate, and number of days of expected service;”
2) For NASA, the budget justification should include expertise, affiliation, daily rate, number of days;
3) NIH requires a Letter of Support that includes “rate/charge for consulting services and level of effort/number of hours per budget period anticipated. In addition, letters ensuring access to core facilities and resources should stipulate whether access will be provided as a fee-for-service.” Additionally, the budget justification needs to include services the consultant will perform, total number of days, travel costs, total estimated costs, and the names and organizational affiliations of the consultants.

For unfunded consultants, follow sponsor guidelines for any requirements such as letters of commitment.

Vendor or Service Activity

University of Colorado generally doesn’t require documentation from Vendors at the Proposal stage; however you will need to collect any documentation required for the Sponsor. If required, this will be detailed in the Funding Announcement.

For Service Activities, follow the established instructions for Service Activity determination.