



SUBRECIPIENT vs. CONTRACTOR CHECKLIST

Name of Subawardee: _____

A Subrecipient relationship is appropriate when:

Substantive, programmatic work or an important or significant portion of the research program or project is being undertaken by the other entity.

The research program or project is within the research objectives of the entity.

The entity participates in a creative way in designing and/or conducting the research.

The entity retains some element of programmatic control and discretion over how the work is carried out.

The entity commits to a good faith effort to complete the design or conduct of the research.

The entity makes independent decisions regarding how to implement the requested activities.

A principal investigator has been identified at the entity and functions as a “Co-investigator.”

There is the expectation that the entity will retain ownership rights in potentially patentable or copyrightable technology or products that it produces in the course of fulfilling its scope of work.

Publications may be created or co-authored at the entity.

The entity provides cost sharing or matching funds for which it is not reimbursed by Tennessee Tech.

The entity regards itself, and/or is regarded by Tennessee Tech, as “engaged in research” involving human subjects under the Common Rule* and therefore requires approval for its interactions with human subjects. (*<http://www.hhs.gov/ohrp/humansubjects/commonrule/index.html>)

A Contractor (or Vendor) relationship (including that of an individual acting as a vendor of consulting services) is appropriate when:

The entity is providing specified services in support of the research program.

The entity has not significantly participated in the design of the research itself, but is implementing the research plan of the Tennessee Tech investigator.

The entity is not directly responsible to the sponsor for the research or for determining research results.

The entity markets its services to a range of customers, including those in non-academic fields.

Little or no independent decision-making is involved in the design and conduct of the research work being completed.

The agreement only specifies the type of goods/services provided and the associated costs.

The entity commits to deliverable goods or services, which if not satisfactorily completed, will result in nonpayment or requirement to redo deliverables.

The entity does not expect to have its employees or executives credited as co-authors on papers that emerge from the research.

The expectation is that the work will not result in patentable or copyrightable technology or products that would be owned by the entity.

In the case of an individual vendor of consulting services, the person has no employment relationship with Tennessee Tech, either academic or administrative in nature.

Based on the answers to the questions stated above and upon my knowledge of this proposed project, it is my determination that the individual providing the services should be classified as a:

_____ Subrecipient

_____ Contractor

_____ Signature of PI

Date: _____

_____ Printed Name