

Third Party Engagement on Sponsored Programs

It is recommended that this form be completed at the proposals stage, however it is required when the collaboration is formalized via subaward/consulting agreement/vendor purchase request.

SPONSORED AWARD	
SU PI:	Prime Sponsor:
Prime Award Title:	Period of Performance:
PLANNED COLLABORATOR	
Entity Name:	Contact:
Amount to be Obligated (total project):	No. of Years (total project):

This Subrecipient vs. Contractor/Consultant Determination page must be completed for all third party engagements or commitments on sponsored projects regardless of monetary value.

Subrecipient vs. Contractor/Consultant Determinations

Subrecipient Characteristics	Contractor/Consultant Characteristics
<input type="checkbox"/> Uses sponsor funds to carry out a substantive portion of the program or project as opposed to providing goods or services.	<input type="checkbox"/> Syracuse University is buying a service that will support the project.
<input type="checkbox"/> Work to be performed will be self-directed with minimal direction from Syracuse University.	<input type="checkbox"/> Syracuse will also provide a high level of direction regarding the work being performed.
<input type="checkbox"/> May determine who is eligible to receive federal assistance.	<input type="checkbox"/> Provides the specified goods and services within their normal business operations.
<input type="checkbox"/> Performance will be measured in relation to whether objectives of the prime sponsor have been met.	<input type="checkbox"/> Provides the specified goods and services to many different purchasers.
<input type="checkbox"/> Has responsibility for programmatic decision-making.	<input type="checkbox"/> Normally operate in a competitive environment.
<input type="checkbox"/> Are responsible for adherence to applicable prime award compliance requirements.	<input type="checkbox"/> Engaged to provide goods and services that are ancillary to the operations of the prime award.
<input type="checkbox"/> Will use the funds to carry out a program for a public purpose specified in the prime award.	<input type="checkbox"/> Will provide services for the benefit of Syracuse University.

FINAL DETERMINATION OF APPROPRIATE ROLE

As a general rule, whichever role type (Subrecipient or Contractor) triggers the most 'true' responses will be the appropriate role for the Collaborator. However, use of judgment in making this determination may be necessary. Please enter any additional information used to make the determination:

Using the characteristics listed above and any additional information, please select the most appropriate role for the third party you will be working with.

- Subrecipient – Proceed with pages 2-6 - Process is managed by OSP: [Working with Subrecipients](#)
- Consultant (self-employed individual) – Proceed to page 2 - Process is managed by OSP: [Working with a Consultant/Contractor](#)
- Contractor/Vendor – Process is managed by Purchasing – Attach the [Non-Competitive Justification Form](#) when submitting documents to Purchasing

Is this determination consistent with the approved budget in the prime award? Yes No

If No - Does this budget change require prior approval from the sponsor? Yes; Attach Written Approval

No; per Sponsor Regs

_____ Date

Principal Investigator or Designee

Third Party Engagement on Sponsored Programs

(Complete for Subrecipients and Consultants only)

SELECTION PROCESS

Federal regulations (2 CFR § 200.319) require that procurement transactions, including those engaging expert collaborators, be conducted in a manner providing full and open competition, except in the case where sole or single source (non-competitive) proposals are justifiable.

Syracuse University Procurement Policies must be followed and are maintained and implemented by the Purchasing Department. Guidance can be found at:

<https://policies.syr.edu/policies/administrative-and-financial/purchasing-policy/>

1. Identify Procurement Type

Micro-purchase under \$10,000

Do not require open competition however, all prices for such purchases must be evaluated to determine that they are reasonable.

Small Purchase; between \$10,000 and \$150,000

Was a budget or rate quote obtained or will they be obtained from a number of qualified sources prior to engagement?

Yes No

If no, sole or single source (non-competitive) procurement must be justified below.

Exceeds Simplified Acquisition Threshold of \$150,000

Were competitive bids obtained or will they be obtained prior to engagement?

Yes No

If yes, at award, documentation justifying your selection must be maintained and submitted in accordance with SU Policy.

If no, sole or single source (non-competitive) procurement must be justified below.

2. Sole Source Justification – Check all that apply

Service or expertise is only available from a single source

Urgency of need does not allow for delay resulting from competitive solicitation

Noncompetitive proposals are expressly authorized by the sponsor

After solicitation, competition is determined inadequate

Please describe the unique qualifications and skills of your collaborator, as well as specific resources that are uniquely available that will facilitate the conduct of your project. Please also comment on the reasonableness of the budget.

Principal Investigator or Designee

Date