

SUB-AWARD/SUPPLIER GUIDELINES

Determining a Sub-award/Subcontract:

Does the institution or entity receiving a portion of the funds from Berkeley:

- Have programmatic involvement identified as a separate scope of work, with separate budget and organizational approval?
- Have their performance measured against whether the objectives of the project are met?
- Have responsibility for programmatic decision-making?
- Have responsibility for assisting in completion of project deliverables and/or technical reports?
- Have the right to publish project results or serve as a co-author?

If your answers to these questions are “Yes”, this activity should be classified as a **sub-award**.

Documents needed for a Sub-award/Subcontract (at the time of Proposal)

- * Statement of Work
- * Detailed Budget
- * Budget Justification
- * Subrecipient Commitment Form
- + Subrecipient F&A Rate Agreement
- + Subrecipient Fringe Benefits Rate Agreement
- + Mini-Audit Questionnaire
most recent A-133 audit report

* required at time of proposal

+ recommended at time of proposal

Determining a Supplier or Vendor Contract:

Does the entity receiving a portion of the funds from Berkeley:

- Provide the goods and services the project requires within their normal business operations?
- Provide the same goods and services to different customers?
- Provide goods and services that will be supplemental to the operation of the sponsored program?
- Have the responsibility of programmatic decision making?

If your answers to these questions are “Yes”, this activity should be considered a **supplier**:

Documents needed for a Sub-award/Subcontract (at the time of purchase)

- * UCB Substitute W-9 & Vendor Information Form (if Vendor is not in system)
- * Sole Source Form (required for all no-bid or non-competitive orders equal to or exceeding \$10,000)
- * Statement of Work
- + Insurance Certification

* for orders \$5,000 to \$99,999

+ for orders equal to or more than \$100,000