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