CONTRACTS & GRANTS OFFICE
BALL STATE UNIVERSITY

FEDERAL SUBRECIPIENT AND VENDOR DETERMINATION CHECKLIST

(Use when there is direct or indirect Federal funding or Federal/Ball State match)

CGO Account Number: _____ CFDA Number: _____

Subrecipient or Vendor Name: _____

Subrecipient and Vendor Determinations

***General*: A contracted party under a grant to Ball State University which includes direct or indirect Federal funding may be a subrecipient or a vendor. Federal awards expended by a subrecipient are subject to audit under OMB Circular A-133. Payments received for goods or services provided by a vendor would not be considered Federal awards. The guidance below should be considered in determining whether payments constitute a Federal award or a payment for goods and services.**

SUBRECIPIENT (check any statements that apply to project)

***Federal award characteristics*: Per OMB Circular A-133, it is indicative of a Federal award received by a subrecipient when the organization:**

- ☐ **(1) Determines who is eligible to receive what Federal financial assistance;**
- ☐ **(2) Has its performance measured against whether the objectives of the Federal program are met;**
- ☐ **(3) Has responsibility for programmatic decision making;**
- ☐ **(4) Has responsibility for adherence to applicable Federal program compliance requirements; and**
- ☐ **(5) Uses the Federal funds to carry out a program of the organization as compared to providing goods or services for a program of the pass-through entity.**

VENDOR (check any statements that apply to project)

***Payment for goods and services characteristics*: Per OMB Circular A-133, it is indicative of payment for goods and services to a vendor when the organization:**

- ☐ **(1) Provides the goods and services within a normal business operation;**
- ☐ **(2) Provides similar goods and services within normal business operation;**
- ☐ **(3) Operates in a competitive environment;**
- ☐ **(4) Provides goods or services that are ancillary to the operation of the Federal program; and**
- ☐ **(5) Is not subject to compliance requirements of the Federal program.**

***Use of judgment in making determination*. There may be unusual circumstances or exceptions to the listed characteristics. In making the determination of whether a subrecipient or vendor relationship exists, the substance of the relationship is more important than the form of the agreement. It is not expected that all of the characteristics will be present and judgment should be used in determining whether an entity is a subrecipient or vendor. (Source: OMB Circular A-133, § ___.210)**

DETERMINATION: ☐ **SUBRECIPIENT** ☐ **VENDOR**

BY: _____ DATE: _____