

## SUBAWARD/AGREEMENT REQUEST FORM

Complete and submit/CC this form to: [spaagreements@southalabama.edu](mailto:spaagreements@southalabama.edu)

***Please be aware that this form does not constitute authorization for work to begin***

### SECTION A: GENERAL INFORMATION (For incoming agreements, fill USA information)

USA Information	Subrecipient Information
USA PI:	Subrecipient Legal Name:
Department:	Subrecipient PI:
Overall Project Period:	Subrecipient PI Email:
Prime Award Number:	Administrative Contact Name:
Prime Award Agency:	Email:
Proposal Number:                      Project Number:	Phone:
Title:	Add'l Info:      Cost Share      Human Subjects      Animal Subjects

### SECTION B: SUBRECIPIENT vs. CONTRACTOR DETERMINATION

*(Complete if issuing a **new** subaward. If this is for an **amendment** to an existing subaward, proceed to SECTION C)*

#### 2 CFR Part §200.330 - SUBRECIPIENT vs. CONTRACTOR DETERMINATION (Please check all that apply)\*

**§200.93 SUBRECIPIENT:** *Subrecipient means a non-Federal entity that receives a subaward from a pass-through entity to carry out part of a Federal program. A Subrecipient may also be a recipient of other Federal awards directly from a Federal awarding agency. Characteristics which support the classification of the non-Federal entity as a Subrecipient include when:*

- There is an identified principal investigator for the Subrecipient who has responsibility for making programmatic decisions
- Determines who is eligible to receive what Federal assistance
- Performance represents a portion of the overall programmatic effort and is measured against the objectives of the Federal program
- Is responsible for adherence to applicable Federal program requirements specified in the Federal award
- In accordance with its subaward, will use Federal funds to carry out a program for a public purpose specified in authorizing statute (as opposed to providing goods or services for the benefit of the pass-through entity)
- All of the above**

**§200.23 CONTRACTOR:** *Contractor means an entity that receives a contract as defined in §200.22 Contract. (Per §200.22, Contract means a legal instrument by which a non-Federal entity purchases property or services needed to carry out the project or program under a Federal award.) Characteristics indicative of a procurement relationship between USA and a Contractor are when the Contractor:*

- Provides goods or services within its normal business hours
- Provides similar goods and services to many different purchasers
- Normally operates in a competitive environment
- Provides goods or services that are ancillary to the operations of the Federal program
- Is not subject to the compliance requirements of the Federal program as a result of the agreement with USA, though similar requirements may apply for other reasons
- All of the above (If the entity is a "Contractor," please skip to Section D: USA PI Certification and Signatures)**

\* In determining whether an agreement between a pass-through entity and another non-Federal entity casts the latter as a Subrecipient or as a Contractor, the substance of the relationship is more important than the form or name of the agreement. All of the characteristics listed above might not be present in all cases; in which case, the Department's judgment must be used in classifying the agreement as either a Subaward to a Subrecipient or a purchase contract to a Contractor.

### SECTION C: ACTION REQUESTED

<input type="checkbox"/> <b>Issue New Subaward</b> <input type="checkbox"/> <b>New Incoming Agreement</b> <b>If this is a new Subaward/Incoming Agreement, complete all fields in this section and continue to the remaining sections.</b>	<input type="checkbox"/> <b>Amend Existing Subaward/Agreement</b> <b>If an amendment to an existing subaward/agreement, complete applicable fields below. *Provide any supporting documentation (i.e., revised budget, prior approval requests, etc.)</b>
<b>Initial Budget Period</b>	
Start Date:	<input type="checkbox"/> Increase Funding      Amount:                      New Total:
End Date:	<input type="checkbox"/> Decrease Funding      Amount:                      New Total:
Funding:	<input type="checkbox"/> Approve Carry Over      Amount:
<b>Note: The following documents must accompany the SRF:</b> <ul style="list-style-type: none"> <li>✓ <b>Statement of Work</b></li> <li>✓ <b>Budget and Justification</b></li> <li>✓ <b>Subrecipient Commitment Form/FDP Clearinghouse</b></li> <li>✓ <b>IRB/IACUC Approval Letter (if applicable)</b></li> </ul>	<input type="checkbox"/> Extend End Date      New End Date:
	<input type="checkbox"/> Other (e.g., change in Subrecipient PI, Budget/SOW, Termination):

**SECTION D: USA PI CERTIFICATION AND SIGNATURES**

By signing below, the PI certifies to the following:

- The information contained on this form is true and accurate to the best of his/her knowledge.

\_\_\_\_\_  
**Principal Investigator Signature**

\_\_\_\_\_  
**Date**

\_\_\_\_\_  
**Dean/Department Head/Administrator Signature**

\_\_\_\_\_  
**Date**