University of Alabama at Birmingham
Office of Sponsored Programs

THIRD PARTY AGREEMENT DETERMINATION FORM

Instructions: Subaward and contract (fee-for-service or procurement) agreements require different handling. To help you propose the most appropriate agreement type, provide the information requested below. You may include all sites with the same statement of work on one Third Party Agreement Determination Form.

Name of Entity/ies (e.g., institutions, companies, organizations, etc.): Attach a separate list if additional space is needed.

Characteristics of Arrangement: Of each pair of characteristics below, choose the one that BEST describes the anticipated arrangement. The chosen characteristics must be consistent with the statement of work. All of the characteristics listed for a type of arrangement may not be present. The final determination is based on the totality of the circumstances not one individual characteristic.

Characteristics usually associated with a Subaward:	Characteristics usually associated with a Contract:
☐ contributes to intellectual leadership of project (i.e., participates in the designing and/or directing of the work)	☐ acts at UAB's direction and/or provides specified services in support of the research project
☐ is responsible for and is authorized to make programmatic decisions, e.g. has discretion as to how their portion of the work is carried out	☐ has little or no decision-making in the design or conduct or the work being done, i.e. performing tasks at the direction of UAB or following instructions provided by UAB
☐ personnel are identified in UAB's proposal as having key roles	☐ personnel are not individually identified or are not listed as key
☐ has its performance measured by whether or not its planned contribution to the prime project has been achieved	☐ has its performance measured by whether or not the assigned task is completed or goods/services are delivered
☐ goods or services to be provided not available to the general public on a commercial basis	☐ provides the goods/services in its normal business operations and markets its services to a variety of customers
☐ may independently publish the results of their portion of the work or serve as a co-author on the program's results	☐ involvement in the project consists only of provision of a service or product which may be included in business operation reports rather than scientific articles
☐ may provide cost-sharing for the project for which UAB will not provide reimbursement	☐ no cost sharing

Agreement Type Decision (taking into consideration the characteristics selected above):

☐ Subaward ☐ Contract (fee-for-service or procurement)

Name (printed) of person making determination: _____ Date: _____