

GUIDANCE MEMO NO. 06-23



Research, Grants and Contracts

DATE: December 5, 2022

TO: Research Faculty & Staff

SUBJECT: Subcontractor Documents *CH*

Purpose: This guidance provides information to research faculty and staff regarding documents to be requested from planned subaward institutions/organizations during the proposal development stage in which NKU is the lead applicant.

Background: A subcontractor is normally defined as a third party contracted to conduct a “significant portion” of the scope of work or research plan included in the research proposal. As such, use of a subcontractor is normally included in the funded proposal and is essential to the completion of the work. Therefore, a subcontract almost always requires prior sponsor approval.

Action Requested: The RGC Grant Administrator will communicate with the contact at the subaward institution/organization to facilitate the collection of required documents. Action required from the PI is minimal and includes indicating the use of a subcontract on the Intent to Submit form, and providing the institution/organization contact information (preferably the office of sponsored programs or administrative office) to the Grant Administrator.

Documents Required: When listing another institution or organization as a subcontractor on any funding proposal, the following documents will be requested from each subcontractor prior to the submission of NKU’s proposal:

- Subrecipient Commitment Form (provided by the RGC)
- Scope of Work
- Detailed Budget
- Budget Justification
- Supporting Docs for Personnel (if required by RFP – possibly...biosketch, current and pending form, and collaborators)
- Letter of Intent (typically provided by subcontractor’s administrative official in email form)
- Additional docs may be requested dependent upon the requirements of the program solicitation, such as:
 - Cost Share Commitment letter
 - Project Collaboration letter
 - Others, as requested