Subcontract Proposal Guidelines & Checklist

CORNELL as the Lead Institution working with Subcontractors

General Information:

Definitions:
Prime Sponsor = The funding agency  
Lead Institution = Applicant to Prime Sponsor  
Prime Proposal = Proposal submitted to funding agency by lead institution  
Subcontractor = Collaborating institution supervised by lead institution

Timeframe: As the lead PI, you must allow at least two weeks between the receipt of your subcontractor's proposal and the Prime Proposal due date, to discuss and negotiate the scope of work. To accomplish this, you should begin negotiations with your subcontractor at least three months prior to the Prime Proposal deadline.

The subcontractor’s Scope of Work (also referred to as Project Narrative), must clearly state the time, resources, and research deliverables committed by the subcontractor investigator. The Scope of Work will also be used at time of award to initiate the development of contract agreements between the lead institution and the subcontract institution.

Compliance Documentation: If the proposed subcontract involves human subjects, animal experimentation, and/or biohazardous materials, the subcontractor's institutional compliance documents must be included with the subcontractor's proposal.

Budget Development: The subcontractor must submit a budget as part of their proposal. This budget must be itemized by major budget category, such as salaries and wages, employee benefits, supplies, equipment, travel, consultants, subcontractors and other direct costs. If greater itemization of categories is required by the Prime Sponsor, you must communicate this in advance with your subcontractor. The facilities and administrative costs (indirect costs) for the subcontract should be included using the subcontractor's current rate(s). You must include a copy of the subcontractor's negotiated rate agreement to verify the costs requested and to support those costs in case of an audit. You must also include a budget justification for the subcontractor's budget.

During Cornell’s processing of a Prime proposal, OSP reviews the subcontract portion to ensure all required procedures and documents have been incorporated.

The subcontractor's costs are included in Cornell's budget as a direct cost. When you calculate Cornell's facilities and administrative costs (indirect costs), you exclude the amount which exceeds $25,000 of each subcontract in accordance with the Office of Management and Budget (OMB) Circular A-21. You calculate facilities and administrative cost on the first $25,000 using the Cornell on-campus rate applicable to the award.

Authorized Signatures: The subcontractor's proposal must be signed by a designated official of their institution who is authorized to commit the subcontractor's resources to the completion of the project. Subcontractors can either submit a letter of collaboration or the NIH PHS398 Face Page signed by an authorized official of their institution.

DNS Procedures & Documents Checklist:

- Please Provide DNS Support Staff with Prime Program Announcement or RFA & Contact Info for Subcontract PI and their Admin Support Staff
- Signed Form 10 & for NIH Proposals (NIH Addendum)
- Budget Excel Spreadsheet (From Diana Wixson)
Required Subcontractor documents to be submitted to the PI at Cornell:

- Scope of Work
- Letter of intent (Signed by subcontractor PI)
- Letter of Collaboration, or NIH PHS 398 Face Page (Signed by subcontractor research office)
- Official budget pages
  *Note: If a Modular Budget: use PHS 398 *(May be asked to submit internal excel budget sheet)
  *Note: If not Modular: use SF 424
- Budget justification
- Biosketch(s) for all Senior/Key Personnel

- Compliance Documentation (Human, Animal, Biosafety)
- Conflict of Interest (USDA)
- Current & Pending Support (USDA)

Other Commonly Requested Forms: (Confirm with Lead Institution)

- NIH PHS 398 Face Page
- NIH Checklist
- Facilities & Resources
- Equipment

NOTE: Forms submitted must be the same as required by the Prime Grant Mechanism:

NIH R01 = SF 424;  
NIH U01 = PHS 398;  
NSF = GPG  
USDA = Guide

http://grants.nih.gov/grants/funding/424/
http://grants.nih.gov/grants/funding/phs398/phs398.html