



Subrecipient Proposal Checklist

Subrecipient commitment packages are considered part of the administrative shell and should be finalized and available for OSR review 5 business days prior to proposal deadline. The engagement of subrecipients typically adds time and complexity to the proposal development process; please plan accordingly. The below outlines the basic elements of a subrecipient commitment package, but keep in mind that this checklist does not replace a thorough reading of the solicitation or departmental review of subrecipient materials; if sponsor guidelines indicate additional, non-technical documents are required for the lead institution, these may also be required for the subrecipient.

Please also keep in mind that more detailed information may be necessary at the award stage when the University is evaluating the issuance of a formal subcontract agreement to another organization.

Required Documents

The following documents are required for all subrecipients in all full proposal situations.

Type of Organization

Note that while this does not represent a required document, the type of organization (e.g., for-profit) should be clear and will aid department and OSR in evaluating subrecipient commitment materials.

Letter of Intent

Note that this must be institutionally-endorsed by the subrecipient's OSR or equivalent contact (e.g., a for-profit entity may not have an OSR). A subrecipient commitment form or equivalent (e.g., NIH face page) may replace an LOI.

Subrecipient-Specific Statement of Work (SOW)

Note that the SOW should relate specifically to the work being performed at the subrecipient institution.

Budget

Budget Justification

Required Documents As Applicable

The following documents are part of the subrecipient commitment package in situations where a proposal solicitation requires them (e.g., biographical sketch) or where they are being included as part of the proposal (e.g., voluntary committed cost sharing).

Biographical Sketches

Current & Pending Document(s)

Facilities, Equipment & Other Resources Document(s)

Required FCOI Disclosures

Northwestern must flow down COI requirements to subrecipient institutions. COI requirements vary depending on the sponsor guidelines or policy and the involved subrecipient institution; for more information, <http://www.northwestern.edu/coi/subrecipients/index.html>

Cost Share Documentation

Other Documents

The above does not represent an exhaustive list of all documents that are considered part of subrecipient package requirements, as this may depend on the solicitation.