

Subrecipient Monitoring Checklist

Uniform Guidance requires that subrecipients are monitored to provide reasonable assurance that the use of resources is in compliance with laws, regulations, and award terms and that performance goals are achieved.

Principal Investigators (PI's) and the DRA have the primary responsibility for properly monitoring subrecipients. These responsibilities include, but may not be limited to:

- **Establishing channels of communication with subrecipients**
- **Ensuring progress per the statement of work**
- **Reviewing and documenting performance**
- **Reviewing invoices from subrecipients for compliance with regulations and award terms and conditions**
- **Approving final invoices in a timely manner for closeout**

Upon audit or request, the University, PI and DRA must provide documentation that monitoring has occurred. This includes documenting correspondence and progress reports received.

PI: _____

Subrecipient Institution: _____

Sub award Number: _____

Risk Determination: ___ *Low* ___ *High*

Performance

_____ Has the subrecipient submitted the required reports on time?

_____ Document when performance reports were received.

_____ Does PI make a periodic evaluation of subrecipient performance?

_____ Is the PI satisfied with the performance? If no, contact sub and OSP if needed.

_____ Did PI/program staff conduct a site visit? If so, is it documented?

_____ Is the statement of work being completed as outlined in the agreement?
If deviation, document and notify OSP.

Compliance Assurances

_____ If project requires IRB and/or IACUC have all approvals been received?

Note: Most invoices do not include a large amount of detail, but, if something does not appear right on the surface, contact the subrecipient for back-up documentation for specific budget line items, especially for high-risk agreements.