Subrecipient Monitoring
Roles and Responsibilities Chart

The Roles and Responsibilities Chart provides an overview of the general subrecipient monitoring process. Due to the varying nature of subawards, responsibilities for specific subrecipient monitoring tasks may differ.

PI-Principal Investigator/PB-project bookkeeper/OR-Office of Research/GA-Grant Accounting/PD-Purchasing Department

PRE-AWARD PROCESS	PI	PB	OR	GA	PD
Determine if organization is a subrecipient or contractor	✔				
Obtain subrecipient contact information and provide to Office of Research	✔				
Obtain the following information from subrecipient, and submit to the Office of Research: ○ Scope of work ○ Budget ○ Written budget justification ○ Bios (senior personnel) ○ Current and pending (senior personnel) ○ Letter of institutional commitment	✔	✔			
Review the budget to ensure the correct rates are being used (indirect costs)			✔		

POST-AWARD PROCESS	PI	PB	OR	GA	PD
Submit Subrecipient Information Form to organization for completion			✔		
Request additional compliance forms (i.e., FFATA, human subjects, etc.), if needed			✔		
Potential issues identified and monitoring plan developed for medium and high risk organizations			✔		
Draft and review subaward		✔	✔		
Process subaward in Banner		✔	✔		✔
Forward subaward to subrecipient for signature					✔
Negotiate subaward terms and conditions			✔		✔
Process fully-executed subaward			✔		

MONITORING PROCESS	PI	PB	OR	GA	PD
Comply with risk-mitigation strategies for problematic subrecipients	✔	✔	✔		
Review invoiced costs for: ○ Allowability and applicability ○ Appropriateness ○ Accuracy	✔	✔			

Subrecipient Monitoring
Roles and Responsibilities Chart, cont'd

MONITORING PROCESS, cont'd	PI	PB	OR	GA	PD

For subaward modifications:
  o Review for compliance
  o Obtain PI approval
  o Prepare subaward amendment, if needed
  o Follow procedures for amendment via Eagle Buy system
	✔	✔	✔		✔

Report any issues to the Office of Research	✔	✔			

CLOSEOUT PROCESS	PI	PB	OR	GA	PD
Contact subrecipient to determine if a no cost extension/budget revisions are needed at least 90 days prior to project closeout	✔				

Request the following from subrecipient:
  o Technical report
  o Equipment inventory and patent certification, if required
  o Invoice marked "FINAL"
  o Final financial report
	✔	✔			

Complete Subrecipient Monitoring Form and submit along with subrecipient final reports to OR	✔	✔			
Notify OR if difficulties arise regarding final reports/invoices	✔	✔		✔	

TERMINATION PROCESS, if applicable	PI	PB	OR	GA	PD
Determine if subaward should be terminated for cause	✔				
Request any final reports/invoices, if applicable	✔	✔			
Notify OR of termination	✔				
Send termination letter to subrecipient			✔		
Follow procedures for amendment (to reduce time, funds, etc.) to subaward via Eagle Buy system	✔	✔	✔		✔