

Sample Subaward Monitoring Checklist for PRINCIPAL INVESTIGATOR

Activities identified below are the responsibility of the Principal or Co-Principal investigator. The Investigator may delegate some or all of the following responsibilities to someone with technical knowledge of the project. Delegation documentation must be included in the monitoring record.

Subrecipient monitoring should take place at least quarterly.

Both fiscal & technical monitoring may occur more frequently as needed.

AT PROJECT SET UP

- ☐ Meet with department to review the subcontract & monitoring process.
- ☐ Ensure that a subrecipient request with all necessary backup documentation is sent to OSP

ONGOING MONITORING & REVIEW

- ☐ Provide all documentation related to subrecipient award management to your department staff for tracking. E.g. Financial & programmatic reports, emails, conversations or other correspondence. Can be formal reports or informal exchanges of information.
- ☐ Ensure all project deliverables from the subrecipient (reports, financial or programmatic) are submitted to the UW in a timely manner.
- ☐ Work with department staff to ensure subrecipient invoices are reviewed & approved BEFORE they get paid.
 - Verify billings are:
 - ☐ consistent with technical reports & production of deliverables
 - ☐ adhere to the budget
 - ☐ reasonable
 - ☐ allowable
 - ☐ allocable
- ☐ Review subrecipient monitoring record with department staff twice per year to confirm adequate monitoring is occurring.

MODIFICATIONS

- ☐ If a modification is necessary, the PI is responsible for determining the nature of the modification (revised work scope, additional funding, change in sub-PI) and coordinating this request with the department and OSP.

CLOSE-OUT

- ☐ In collaboration with department administrator ensure that you have received: the final technical report, final invoice, and any other documentation from the subrecipient according to the subaward agreement.