Sample Subaward Monitoring Checklist for DEPARTMENT/ADMINISTRATOR

This checklist represents the minimum actions that should be carried out by the administrator(s) representing the department or unit where the prime award resides. Subrecipient monitoring should take place at least quarterly. Both fiscal & technical/scientific monitoring may occur more frequently as needed.

AT PROJECT SET UP

Once an award is received, set up your subrecipient monitoring plan.

1) Identify who in your unit will be responsible for the following:
   - Review progress, performance and confirm adherence to terms and requirements of the agreement
   - Enter, monitor and maintain SAGE subaward and subaward modification requests
   - Enter, monitor and maintain Ariba purchase order / invoicing records (BPO)
   - Review and approve invoices for payment
   - Create and maintain subrecipient monitoring documentation

2) Confirm everyone involved understands their roles and responsibilities
3) Document expectations and any delegation of authority
4) Establish channels of communication with your subrecipients
5) Inform subrecipient of monitoring process.

Most of your subrecipient’s requirements should be contained within their subaward agreement

ONGOING MONITORING & REVIEW

☐ Regularly document financial & technical reports (informal as well as formal) in your monitoring system.
☐ Confirm that PI has documentation that monitors progress of the project.
☐ Work with the PI to ensure review & approval of subrecipient invoices happens before invoices are paid.
☐ Verify billings:
   - Are consistent with technical reports & production of deliverables
   - Adhere to the budget
   - Follow costing principles and are: reasonable, allowable and allocable
☐ Ensure all project deliverables (reports, financial or programmatic) are submitted to UW in a timely manner.
☐ If there are amendments to the subaward, the Department/PI must submit a modification request via SAGE to OSP.
☐ If amendments are approved/processed, standard monitoring requirements should be followed on the modified agreement.
☐ Collaborate with the Procurement office to resolve issues with subrecipient invoices.

CLOSE-OUT

☐ Ensure final technical report & final invoice from the subaward and any other final documentation is received according to the the subaward agreement.