

## **PSU Subrecipient Monitoring Agreement**

### **Plymouth State University**

### **Subrecipient**

PI Name: \_\_\_\_\_

Subrecipient Institution: \_\_\_\_\_

PSU Fund/Org: \_\_\_\_\_

Subrecipient PI: \_\_\_\_\_

Subaward #: \_\_\_\_\_

Subaward Project Period: \_\_\_\_\_

The Federal Government places primary responsibility on the Principal Investigator/Project Director for management of federally funded projects. This includes the monitoring of subrecipients. In particular, as PI on this project, your role is to:

- Monitor the subrecipient's technical and programmatic activities and progress;
- Ensure compliance with Federal regulations. These regulations are imposed on the subrecipient as outlined in the subaward agreement so that the Federal Award is used in accordance with Federal statutes, regulations and the terms and conditions of the Federal award.

### **Please acknowledge your acceptance of the following by placing your initials on each line.**

\_\_\_\_\_ I will be responsible for verifying that the subrecipient work is conducted in a timely manner and that the results delivered are in line with the proposed statement of work. I will accomplish this by maintaining regular contact with the subrecipient regarding all technical aspects of the project. (If it is helpful to the PI, the attached Subrecipient Monitoring Record can be used to document communications and receipt of required reports).

\_\_\_\_\_ I will review and approve subrecipient invoices in a timely manner. This review will include:

- Reviewing expenditures for allowability, allocability and reasonableness of cost as outlined in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (see attached);
- Confirming that expenses accurately reflect the work performed during the invoice period.

\_\_\_\_\_ If, upon review of the invoice, I believe that the charges billed do not accurately reflect the work that was performed during the invoiced period, I will contact the subrecipient PI to discuss. I will document our conversation in the comments section of the Subrecipient Invoice Review and Processing Checklist (which will be attached to the invoice) and will not initial my approval to pay the invoice until all of my concerns have been alleviated.

\_\_\_\_\_ If, upon review of the invoice, I believe any of the charges are unusual, excessive or otherwise questionable, I will contact the Grants & Contracts Administrator. Examples of such abnormalities may be charges not included in the subaward budget or expenses that do not appear to be based on "actual" expense. I understand that no invoice will be paid until all questionable expenses have been explained or removed from the invoice.

\_\_\_\_\_ I will confirm that Progress Reports are received at least quarterly (unless a different schedule is outlined in the subaward document). If it is specified in the subaward agreement that progress reports are to be written and submitted along with invoices, I will confirm that the report was submitted and accepted by me prior to approving the invoice for payment. I will also forward a copy of the written report to the Grants & Contracts Administrator/Business Office for inclusion in the grant file.

\_\_\_\_\_ If Progress Reports are habitually late, I will contact the Grants & Contracts Administrator or ORA for guidance.

\_\_\_\_\_ I will determine if/when a subaward is to be amended. Common reasons for amending a subaward include providing additional funding, extending the period of performance, or modifying the reporting schedule. If an increase is being requested, I will provide the Grants & Contracts Administrator/ORAs with an updated budget, Scope of Work and budget justification. If prior approval is required from the sponsor, I will provide additional information as requested.

Over, please

\_\_\_\_\_ I will, in collaboration with the Grants & Contracts Administrator/Post-award/ORAs, begin subrecipient closeout review at least 60 days prior to the conclusion of the subrecipient period of performance. This will allow adequate time to contact the sponsor, if necessary, to request budgetary changes or extensions.

\_\_\_\_\_ Before approving the final invoice, I will verify that all technical reports, progress reports, patent or invention documentation (if applicable) have been received and accepted as complete. I will ensure that all project deliverables have been met and submitted to Plymouth State University in a timely manner to guarantee PSU's ability to meet sponsor requirements and deadlines.

\_\_\_\_\_ I will contact the Grants & Contracts Administrator or an alternate contact in the ORA Post-award of Office of Sponsored Programs if there is any question about the subrecipient's ability to ensure proper use and financial management of sponsor funds during any stage of the award.

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### **Risk Assessment**

Prior to the issuance of this subaward, a subrecipient risk assessment was performed. This was completed to help us determine the proper level of monitoring; i.e. whether or not to impose any special terms or conditions or to require closer scrutiny. It has been determined that:

\_\_\_\_\_ Subrecipient does not require special terms or conditions at this time. However, if the PI becomes aware that deliverables are not being met, he/she should contact the Grants & Contracts Administrator.

\_\_\_\_\_ Subrecipient **DOES** require special terms or conditions.

### **Please initial below:**

\_\_\_\_\_ I acknowledge the special conditions noted below and, in collaboration with the Grants & Contracts Administrator, Business Office and ORA, will monitor these to the best of my ability.

As noted in the subaward agreement, additional monitoring includes: (Items which have been marked with an "x" are required).

- Subrecipient shall submit invoices to Plymouth State University on a monthly basis, rather than quarterly.
- Subrecipient will provide a written progress report with each monthly invoice. The charges on the invoice should be consistent with the work performed and noted in the progress report.
- Receipt copies or other supporting detail may be required to justify the allowability of an expense. Such documentation may include:
  - Payroll records
  - Copies of paid invoices showing item cost
  - Details of incurred travel expenses stating the purpose of the travel
  - Descriptions of services rendered by consultants including hourly rates and time reports
- Plymouth State University will perform an on-site review of the subrecipient's program operations.

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PI Signature

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Date

PI Name: \_\_\_\_\_