University of Alaska Fairbanks  
Procurement & Research Services – Office of Procurement & Contract Services  
SUBRECIPIENT MONITORING CHECKLIST – DEPARTMENTS/PIs

**PROPOSAL PROCESSING**

**PI/OSP requests proposal package from proposed subrecipient, to include:**
- Statement of Work (PI)
- Budget and Justification (PI)
- Any other documents required by UAF or Sponsor (PI or OSP)
- Signed Subrecipient Commitment Form, OSP-007 (PI or OSP)

**PI evaluates subrecipient**
- Assess technical expertise and financial viability of subrecipient organization and key personnel
- Complete Sole Source Justification
- Complete cost/price analysis

**PI prepares proposal**
- Integrate the subrecipient’s statement of work and budget into UAF’s proposal
- Include other forms (budget, biosketches, other support) as required by sponsor
- Forward completed UAF proposal to OSP for review, including subrecipient proposal package

**SUBAWARD ISSUANCE**

**PI/Dept. provide information requested by OG&CA & PC&S for subaward issuance**
- Collaborator and contact information (PI or Dept)
- Statement of Work (PI)
- Budget, including cost share if applicable (PI)
- Technical (PI) and financial (only if required by Dept)
- Subaward performance period (PI)
- Ensure subaward is in compliance with award (OG&CA)
- Verification that subrecipient is compliant with Biosafety, IACUC & IRB approvals, if applicable (P&CS)
- Audit justification (P&CS)
- FFATA data, if applicable (P&CS)
- Risk Assessment (P&CS)
- Other information as needed
- Negotiate & Execute subaward (P&CS)

**SUBAWARD MONITORING**

**PI monitors subrecipient technical progress**
- Communicate regularly with subrecipient PI to monitor progress on the project
- Monitor receipt of technical reports for timeliness and content
- Communicate with P&CS if changes need to be made to statement of work, reporting requirements, budgeting

**PI/Dept. monitor subrecipient’s adherence to terms and reports any deficiencies to P&CS**

**PI/Dept. review, monitor receipt of invoices**
- Are they arriving on schedule?
- Do they contain the right level of detail to allow adequate review?

**PI/Dept. reviews and signs invoices**
- Ensure all costs are allowable, allocable, and reasonable
- Ensure all costs were incurred within the period of performance of the subaward
- Confirm that expenses are aligned with technical progress
- Cost sharing is appropriately reflected, if required
- If acceptable, PI signs and dates invoice

**PI/Dept. send approved invoices to A/P for processing or returns to subrecipient for more detail**

**SUBAWARD MODIFICATION ISSUANCE**

**PI assesses need to modify statement of work, budget, period of performance**
- Notify P&CS in a timely manner to request Modification
- Provide information to P&CS (budgets, dates, reporting requirements, etc.)

**P&CS Negotiates & executes Modifications**

**SUBAWARD CLOSE-OUT**

**PI/Dept. plan for timely closeout**
- Check status with subrecipient 90 days before end date
- Follows up on late or missing reports or deliverables
- Obtain final invoice (marked FINAL) from subrecipient
- Send final invoice to A/P

**P&CS**
- Confirm w/PI & Dept that work is complete and all deliverables have been received
- Issue Release of Claims (ROC) for financial, patents, & government equipment
- Close out subaward and deobligate any unused funds from PO