

Purpose

The purpose of this procedure is to provide steps and guidelines to facilitate the implementation of Policies 5XX and 721, subrecipient monitoring.

Review

This procedure will be reviewed in conjunction with policies that it supports, by the Director of Grant Accounting, the Associate Vice President for Business and Fiscal Affairs and the Associate Vice President for Research or his/her designee, in consultation with the Vice President for Planning and Finance and Vice President for Research and Economic Development.

Overview

It is Tennessee Tech's responsibility to monitor the programmatic and financial activities of its subrecipients in order to ensure proper stewardship of sponsor funds, achievement of performance goals (i.e., Scope of Work or Specific Aims), and compliance with the terms and conditions of the subrecipient agreement. This operating procedure addresses institutional responsibilities and assists Principal Investigators (PI) and staff to ensure that, in addition to achieving performance goals, subrecipients comply with federal laws and regulations, and with provisions of the agreements that govern the subaward.

Summary of Subawards and Subrecipient Roles and Responsibilities by Role

Director of Purchasing and Contracts

- x Signs off on subaward agreements as the Institutional Official

Principal Investigator

- x Makes initial determinations of subaward versus contractor with input from ORED staff
- x Coordinates with subrecipient to develop scope of work, budget, and budget justification.
- x If subaward, responsible for completion of subrecipient information form
- x Provide internal routing forms, including completion of the Subaward vs Contractor checklist to Office of Research
- x Conducts ongoing financial and programmatic monitoring of subawards
- x Reviews and signs off on subrecipient invoices
- x Conducts other review requirements of subrecipient monitoring plans, i.e., the specific procedures identified by the Office of Research and Grant Accounting to evaluate the subaward from inception through completion
- x Maintains subrecipient documentation
- x Ensures that the final technical report and final invoice from the subrecipient are received within the timeframe specified in the subaward

Bookkeeper / Financial Analyst

- x Supports PI in gathering subrecipient information

- x Supports PI in the ongoing monitoring of subawards
- x Coordinates with PI on subrecipient invoices for changes to the subaward

Grant Accounting

- x Facilitates review of subrecipient invoices
- x Secures A133 annual monitoring reports from subrecipients
- x In partnership with ORED, develop or review monitoring plan for high risk subrecipients

Office of Research

- x Conducts initial subrecipient monitoring and risk assessment of awards made to

Step Action

Responsible
Party

Step	Action	Responsible Party
11	<p>Prepare any subaward amendments using the amendment template. If a revised SOW, budget, and budget justification were received from the subrecipient, these documents will be uploaded into EagleBuy along with the subaward amendment. The same procedure for the original subaward document is then followed.</p>	Principal Investigator