



Principal Investigator Subrecipient Monitoring Responsibilities

Overview

Subrecipient monitoring is an essential element of sponsored funding stewardship. At UVM, it is a shared responsibility between the Principal Investigators (PIs), Unit Administrators (UAs), and Sponsored Project Administration (SPA).

The purpose of this document is to outline PI's role in subrecipient monitoring and to provide guidance and identify resources to assist PIs with their responsibilities.

Technical

- Maintain regular contact with the Subrecipient's PI regarding all technical and financial aspects of the project.
- Ensure all technical performance reports and any additional deliverables required by the subaward terms and conditions are completed and delivered to you on a timely basis.
- Retain all reports and deliverables as supporting documentation of Subrecipient performance.

Financial

- Maintain regular contact with your Unit Administrator and your assigned SPA Financial Analyst. These resources will assist in the reviewing of subrecipient expenditures and paying invoices.
- Subrecipient invoices will be delivered to your Unit Administrator by the assigned SPA Financial Analyst. Review the invoices, sign the Subrecipient Payment Certification Form in a timely manner, and return to your Unit Administrator.
- Do not approve invoices where the Subrecipient is not performing, or expenditures are significantly different than budgeted or expected. Do not approve if the expenditures appear to be unallowable or unreasonable.
- Contact your Unit Administrator if you (PI) have any questions with respect to expenditures.

Foreign Subaward issued with NIH Funds – Lab Notebooks

- Collect, review, and retain a copy of foreign subrecipient lab notebooks, all data, and all documentation that support the foreign subrecipients research outcomes prior to all annual and final RPPR submissions. Access to these documents may be entirely electronic.

Subaward Modifications

- To initiate any changes or modifications to the subaward agreement (i.e., change in time, change in funding, early termination), contact SPA's Outgoing Subaward Specialist in a timely manner.

Closeout

- By approving the final invoice for payment, you are providing verification to UVM that the Subrecipient has reasonably fulfilled its technical responsibilities, and that you are in receipt of all deliverables and reports required by the subaward agreement, including, if NIH funded, a copy of the foreign subrecipient lab notebooks, all data, and all documentation that support the foreign subrecipients research outcomes.

Questions

- If you have any questions regarding your Subrecipient monitoring responsibilities or the content of your subaward agreement, please contact [Sally Roberts](#), SPA's Outgoing Subaward Specialist.