**PI Quick Guide to Subrecipient Monitoring**

Principal Investigators (PIs) have primary responsibility for monitoring a Subrecipient's technical and financial performance to ensure compliance with both prime sponsor and subrecipient subaward terms/conditions.

These responsibilities include:

* Identify and document how/why your external collaborator was selected
* Correctly identifying the Collaborator as either a Subrecipient or a Contractor/Vendor (Third-Party Engagement Form)
* Initiate the subaward process by submitting the Request to Issue a Subaward form to OSP.
* Being aware of past performance of subrecipient organizations monitoring the potential risks as identified by OSP
* Confirming the accuracy of the Statement of Work and Budget to be included in the subaward agreement.
* Approving the subaward agreement including defined reporting requirements and due dates.
* Maintaining regular contact with the Subrecipient’s PI.
* Monitoring the Subrecipient’s technical and programmatic activities.
* Collecting, reviewing and retaining Subrecipient’s technical/performance reports as required by the terms of the subaward. This includes maintaining documentation of performance monitoring efforts (copies of e-mail, phone log, etc.).
* Verifying that the Subrecipient work is conducted in a timely manner and ensuring the results delivered are in line with the approved statement of work.
* Reviewing invoices from Subrecipients to ensure invoices are within the parameters of the sub-award budget, and questioning expenditures if necessary. This includes:
  + reviewing expenditures to ensure the charges are allowable, allocable, reasonable,
  + that the charges are within the period of performance, and
  + within overall cost limitations set forth in the subaward (funding limits and budget period end dates).
* Approving invoices, only when charges are deemed acceptable, are aligned with the subrecipient's technical progress and all required reports have been obtained.
* Communicates issues/concerns directly to the Subrecipient PI and project collaborators and as necessary, escalates concerns regarding work performance and billing to OSP for assistance.