

## Sub-recipient Checklist

### Proposal Stage

- Scope of Work from sub-recipient
- Budget & Budget Justification from sub-recipient
- Biosketches, Current & Pending Support, Facilities Statement, etc. (sponsor required forms)
- F & A Rate Agreement from sub-recipient
- Fringe Benefit Rate Documentation from sub-recipient
- Sub-recipient Commitment Letter/Form
- Conflict of Interest Form
- Human Subject/Animal/rDNA Use- protocol required
- Sub-recipient vs. sub-contractor determination made by PD/PI

### Issuance of Agreement

- Risk Assessment by SPO (using risk assessment tool)
- Check Federal Debarred List by SPO (<https://www.sam.gov/SAM/pages/public/searchRecords/search.jsf>)
- Additional terms, as needed per assessment, sent to GC with documentation (by SPO)
- Modifications/Amendments should be initiated by the PD/PI through SPO/GC

### Sub-recipient Monitoring & Reporting

- Annual Review of Audit Reports or Completion of Audit Questionnaire by SPO
- FFATA Reporting- sub-awards over \$25K (<https://www.fsr.gov>) by SPO
- Regular review of invoices & back-up documentation required by unit or SPO
- Project Director/Principal Investigator approval of invoices (documented)
- Project Director/Principal Investigator monitors programmatic progress & reporting
- Audit findings involving the sub-award must be followed up on & unallowable expenditures would require WOU SEFA adjustments
- Desk and/or site reviews of sub-recipients as needed

### Sub-award Closeout

- WOU PD/PI or unit notify the sub-recipient 30 days prior to the sub-award end as reminder of final invoice
- WOU PD/PI verifies all final reports & data are received