

Re: [RESADM-L] Subrecipient monitoring checklist

Research Administration List <RESADM-L@LISTS.HEALTHRESEARCH.ORG>

on behalf of

Scott, Stephanie <sfs2110@CUMC.COLUMBIA.EDU>

Tue 9/8/2020 11:02 AM

To: RESADM-L@LISTS.HEALTHRESEARCH.ORG <RESADM-L@LISTS.HEALTHRESEARCH.ORG>

Hi, everyone. Can we clarify what we mean by 'subrecipient monitoring checklist'? Do we mean a checklist to conduct a risk assessment of a subrecipient prior to issuing a subaward? Or, do we mean after the subaward is issued, a checklist to conduct continuous monitoring of the subrecipient?

Institutions handle this all sorts of different ways, especially with regards to the timing of these assessments, and the types of questions that are asked. Sometimes assessments are done at the proposal stage, sometimes during Just-in-Time, sometimes after an award is made. You may first want to check your own institution's policies and procedures before implementing another institution's checklist, because if your institution already has an existing policy, using another institution's checklist might not be a good idea.

The FDP has a sample Risk Assessment Questionnaire (RAQ – used prior to issuing a subaward) and Continuing Assessment Tool (CAT – used after subaward is issued for subrecipient monitoring) that any organization can use and customize based on their own organization policies:

http://thefdp.org/default/assets/File/Documents/risk_assessment_questionnaire.xlsx

Other FDP Subaward templates, FAQs and tools: <http://thefdp.org/default/subaward-forms/>

Keep in mind that with the revised Uniform Guidance (UG), taking effect November 13th, some of these tools will be updated, and I'm sure your organization's policies may be updated as well. The revised UG has a number of changes relating to subawards.

Stephanie F. Scott, MS, CRA

Director of Policy and Research Development

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From: Research Administration List <RESADM-L@LISTS.HEALTHRESEARCH.ORG> **On Behalf Of** Karen Cassidy

Sent: Tuesday, September 8, 2020 10:20 AM

To: RESADM-L@LISTS.HEALTHRESEARCH.ORG

Subject: [EXTERNAL] Re: [RESADM-L] Subrecipient monitoring checklist

Me too please!

Karen

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From: Research Administration List <RESADM-L@LISTS.HEALTHRESEARCH.ORG> on behalf of Weaver, Sherri L. <sweaver@BCM.EDU>
Sent: Tuesday, September 8, 2020 8:54 AM
To: RESADM-L@LISTS.HEALTHRESEARCH.ORG <RESADM-L@LISTS.HEALTHRESEARCH.ORG>
Subject: Re: [RESADM-L] Subrecipient monitoring checklist

I would like to see it also!

From: Research Administration List <RESADM-L@LISTS.HEALTHRESEARCH.ORG> **On Behalf Of** Lajoie, Lisa A
Sent: Tuesday, September 8, 2020 8:34 AM
To: RESADM-L@LISTS.HEALTHRESEARCH.ORG
Subject: Re: [RESADM-L] Subrecipient monitoring checklist

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I would appreciate this checklist, as well!

Lisa Lajoie
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From: Research Administration List <RESADM-L@LISTS.HEALTHRESEARCH.ORG> **On Behalf Of** Lucey, Jamie
Sent: Tuesday, September 8, 2020 8:22 AM
To: RESADM-L@LISTS.HEALTHRESEARCH.ORG
Subject: [RESADM-L] Subrecipient monitoring checklist

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Greetings!

I'm filling in because of recent turnover and need some guidance—can anyone share their subaward monitoring checklist please? And when do you implement the checklist? Is it at the time of award or application?

Thanks for helping a rookie!

Jamie Lucey, MBA, EMT-P, CPC-A
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