



# FEDERAL DEMONSTRATION PARTNERSHIP

Redefining the Government & University Research Partnership

## FDP Subrecipient Monitoring Tools Initial Survey

The objective of the Subrecipients Monitoring Tools survey is to request feedback to streamline subaward management and monitoring. Our working group will analyze survey responses and make recommendations on updates and potential new resources to assist our Research Administration community. Please answer one survey per institution.

Please *DO NOT USE* this printable version to send your responses; instead, please use the on-line version of the [FDP Subrecipient Monitoring Tools Initial Survey](#).

### Questions

- 1 Is the organization a Member of the FDP?  
Yes  
No
- 2 Does the organization have a Profile in the FDP Expanded Clearinghouse?  
Yes  
No
- 3 Please select the FDP Subrecipient Monitoring and Management Tools (Tools) listed that you are aware of. Select all that apply.  
Subrecipient vs Contractor Classification Form  
Risk Assessment Questionnaire (RAQ)  
Sample Invoice Template  
Continuing Assessment Tool (CAT)  
None of the above
- 4 Which of the Tools does the organization currently use? Select all that apply  
Subrecipient vs Contractor Classification Form  
Risk Assessment Questionnaire (RAQ)  
Sample Invoice Template  
Continuing Assessment Tool (CAT)  
None of the above
- 5 If not used, please select the reasons why the organization does NOT use the current FDP tools? (select all that apply):  
Institutional Policy/required forms  
Internal Auditors  
External Auditors  
Tools are not detailed enough/do not provide the needed/required information  
Tools are too complicated to use/not user friendly  
Personal preference  
Didn't know the tools are available  
Other (Please elaborate)

- 6 Do you use these monitoring tools only for federal/federal flow through subaward monitoring activities?  
Yes  
No
- 7 Has the organization modified any of the tools above to fit its institutional needs? (Please select all that apply)  
Subrecipient vs Contractor Classification Form  
Risk Assessment Questionnaire (RAQ)  
Sample Invoice Template  
Continuing Assessment Tool (CAT)  
None of the above
- 8 The objective of the Subrecipients Monitoring Tools working group is to streamline the process of monitoring/management of subaward activities. Please let us know how helpful updating each of the following would be? 1: not at all, 5: you changed my life!  
Subrecipient vs Contractor Classification Form  
Risk Assessment Questionnaire (RAQ)  
Sample Invoice Template  
Continuing Assessment Tool (CAT)  
PROPOSED: Subrecipient's Risk Analysis guidance  
PROPOSED: Invoice Monitoring Tool (Checklist)  
PROPOSED: Financial Questionnaire  
PROPOSED: Non-Single-Audit Entity Profile (NSAP)  
PROPOSED: sIRB Guidance (either document or FAQ)  
Other
- 9 What changes need to be incorporated into the following tools to be used by and useful to your organization?  
Subrecipient vs Contractor Classification Form  
Risk Assessment Questionnaire (RAQ)  
Sample Invoice Template  
Continuing Assessment Tool (CAT)  
PROPOSED: Subrecipient's Risk Analysis guidance  
PROPOSED: Invoice Monitoring Tool (Checklist)  
PROPOSED: Financial Questionnaire  
PROPOSED: Non-Single-Audit Entity Profile (NSAP)  
PROPOSED: sIRB Guidance (either document or FAQ)  
Other tools, please elaborate
- 10 Would the organization be more likely to use the new/edited/updated tools if the FDP created companion user guides (for subrecipients: how to fill them out, as applicable; for PTEs: how to interpret the answers/scoring and guidance of next steps)?  
Yes  
Maybe  
No
- 11 To what extent do the following challenges impact the subrecipient monitoring and management processes at the organization (rank from 1 to 5; 1 no problem, 5: keeps me awake at night):

- Too Many federal/institutional Compliance requirements
- Compliance requirements difficult to understand
- Not enough staff
- Insufficient tools or educational resources
- Segregation of duties between different departments at the Institution

12 At the organization, how many FTEs (2,080 hrs/year), or its equivalent, are dedicated to each of the following subrecipient monitoring activities across the board?

	1 - 5	6 - 10	> 10
Review of Single Audit or equivalent	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Collection and review of Financial Questionnaires	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Debarment and Suspension	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Technical Performance	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Invoice Review	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Regulatory Compliance (IRB/IACUC)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Risk Assessment and Analysis	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

13 Which Offices participate in the following monitoring activities at the organization?

	Central Sponsored Projects Office	School, College or Shared Services Office	Individual Unit or Department	Other Centralized Office (Risk Management, Finance, etc.)	Other
Debarment and Suspension check (Entity)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Debarment and Suspension check (PI/Key Personnel)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Single Audit review	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other Financial review	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Subrecipient Certification	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
FDP Clearinghouse Profile review	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Subaward Invoice review	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Confirmation of Compliance with IRB/IACUC	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

14 How often does the organization complete reviews of the following items?

	Proposal	Issuing new subawards	Issuing Subaward Amendments	For New Subrecipient entity	Annually	Other
Debarment and Suspension check (Entity)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Debarment and Suspension check (PI/Key Personnel)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Single Audit review	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other Financial review	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Subrecipient Certification	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
FDP Clearinghouse Profile review	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Confirmation of Compliance with IRB/IACUC	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

15 Which documents/resources do you use to complete your risk assessment for a subrecipient entity? Please select all that you use for both Entities in the FDP Expanded Clearinghouse and Entities NOT in the FDP Expanded Clearinghouse.

	Entity in the FDP Expanded Clearinghouse	Entity NOT in the FDP Expanded Clearinghouse
Debarment & Suspension (Entity)	<input type="checkbox"/>	<input type="checkbox"/>
Single Audit Review	<input type="checkbox"/>	<input type="checkbox"/>
Other Financial review	<input type="checkbox"/>	<input type="checkbox"/>
Subrecipient Certification	<input type="checkbox"/>	<input type="checkbox"/>
FDP Clearinghouse Profile	<input type="checkbox"/>	<input type="checkbox"/>
FDP Risk Assessment Questionnaire (RAQ)	<input type="checkbox"/>	<input type="checkbox"/>
Confirmation of Compliance with IRB/IACUC	<input type="checkbox"/>	<input type="checkbox"/>

16 What documents are required for institutions who are not required to perform a Single Audit (US and non-US organizations)? Select all that apply:

- Audited Financial Statements
- Un-audited Financial Statements
- Financial Questionnaire
- Profit and Loss Statement
- Balance Sheet
- DCAA (Defense Contract Audit Agency)
- Other, please specify

17 What systems does the organization use to review for debarment and suspension? Select all that apply.

- FAPIS
- Visual Compliance
- Other, please provide information

18 Does the organization use, or is the organization currently considering the use of, APIs (Application Programming Interface) to obtain subrecipient monitoring information (e.g., SAM, FAC reports) as a tool to save time/reduce burden in completing subrecipient monitoring?

- Yes
- I don't know if my Institution uses, or is considering to use, APIs
- No

19 Please provide your contact information if we can reach out for additional information