

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

 **COLUMBIA|RESEARCH**

Sponsored Projects Administration

Main Campus: (212) 854-0606

Cell Phone: (646) 248-8573

Email: stephanie.scott@columbia.edu; or

sfs2110@cumc.columbia.edu

Website: <https://spa.columbia.edu/>

Twitter: [@steph_f_scott](https://twitter.com/steph_f_scott)

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

Karen L. Cassidy, GPC
Governmental Grant Professionals, LLC
(314) 308-7823
msklcassidy@hotmail.com
Karen@governmentalgrantspro.com

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

*****CAUTION:*** This email is not from a BCM Source. Only click links or open attachments you know are safe.**

I would appreciate this checklist, as well!

Lisa Lajoie

Grant & Special Funds Accountant

DMACC Business Office | 2006 S. Ankeny Blvd., Building 1 | Ankeny, IA 50023

515.965.7353 (Office) | lalajoie@dmacc.edu



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

The e-mail below is from an external source to DMACC. Please do not open attachments or click links from an unknown or suspicious origin.

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
Regulatory Compliance Auditor
Rebecca D. Considine Research Institute



One Perkins Square
Akron, Ohio 44308
Phone: 330-543-6027
Fax: 330-543-3166
Email: Jlucey2@akronchildrens.org
www.akronchildrens.org



This electronic mail transmission, including any attached files, may contain confidential and/or privileged information for the sole use of the intended recipient(s). It is not intended for transmission to, or receipt by, any unauthorized parties. Any review, use, distribution, dissemination, downloading, copying or disclosure by others is strictly prohibited. If you are not the intended recipient (or authorized to receive information for the intended recipient), you are hereby notified that you have received this transmission in error. If you have received this transmission in error, please delete it, as well as any copies, from your system without copying it, and notify the sender by reply e-mail.

To unsubscribe from the RESADM-L list, click the following link:
<http://lists.healthresearch.org/scripts/wa-HLTHRES.exe?SUBED1=RESADM-L&A=1>

To unsubscribe from the RESADM-L list, click the following link:
<http://lists.healthresearch.org/scripts/wa-HLTHRES.exe?SUBED1=RESADM-L&A=1>

To unsubscribe from the RESADM-L list, click the following link:
<http://lists.healthresearch.org/scripts/wa-HLTHRES.exe?SUBED1=RESADM-L&A=1>

To unsubscribe from the RESADM-L list, click the following link:
<http://lists.healthresearch.org/scripts/wa-HLTHRES.exe?SUBED1=RESADM-L&A=1>

To unsubscribe from the RESADM-L list, click the following link:
<http://lists.healthresearch.org/scripts/wa-HLTHRES.exe?SUBED1=RESADM-L&A=1>