

# SUBRECIPIENT MONITORING RESPONSIBILITIES ACKNOWLEDGEMENT FORM

Subrecipient: \_\_\_\_\_

KFS No. or Purchase Order No. \_\_\_\_\_

Assigned Risk Level: LOW

## *PI Responsibilities\**

- Monitor the activities of the Subrecipient on a regular basis to ensure that the subaward is used for authorized purposes, in compliance with Federal statutes, regulations, and the terms and conditions of the subaward; and that subaward performance goals are achieved. See <http://rgw.arizona.edu/administration/subawards> and the Subrecipient Monitoring Guide.
- Ensure that payments to the Subrecipient are for expenditures that are allowable under the terms of the prime award. Also ensure that payments to the Subrecipient are within the funding budget, period of performance and scope of work of the Subaward, and system-generated financial reports for each invoice have been received.
- Review invoices by comparing to performance/progress report received, expenditure allowability as outlined above, and review of system-generated financial report that is required to accompany each invoice under the terms of the Subaward. Complete and sign PI section of Payment Authorization Form with regard to each invoice submitted for payment. In the event of questionable costs, additional supporting documentation must be requested of the Subrecipient within five (5) working days of receipt of the invoice.
- Contact SPS Subawards Team immediately regarding issues related to non-compliance with the terms of the Subaward or inappropriate activity in invoicing or reporting.
- If the Subaward involves cost sharing, ensure that appropriate documentation related to the cost sharing is received and maintained in department files. For information related to the documentation guidelines for cost sharing: <http://rgw.arizona.edu/administration/proposal-preparation/cost-sharing-and-matching>.
- Note that all cost sharing and financial transactions of the University are subject to audit. Should an audit of any transaction related to the Subaward find that transaction to be unallowable, the transaction will be disallowed. Disallowed costs are subject to repayment to the sponsor of the prime award. In the event that payment of disallowed costs have been made and cannot be recovered from Subrecipient, the PI will be required to arrange for repayment of the disallowed costs to the prime award sponsor.

## *Business/Finance Office Responsibilities\**

- Ensure that each invoice is accompanied by an appropriate system-generated financial report. If a system-generated financial report does not accompany an invoice, contact Subrecipient immediately and request this information. The invoice in question SHOULD NOT BE paid without a system-generated financial report OR if there are questionable charges on the invoice. See <http://rgw.arizona.edu/administration/subawards> and the Subrecipient Monitoring Guide.
- ALL invoices and financial reports must include the following certification, signed by an official who is authorized to legally bind the Subrecipient, as follows:
  - By signing this report, I certify to the best of my knowledge and belief and the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal Award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).
- The above certification is also required on annual and final financial reports.
- Maintain complete and current file for Subrecipient, including, but not limited to progress and technical reports which have been reviewed with PI.
- Complete and sign the Business/Finance Office section of the Payment Authorization Form. Invoices must be within the period of performance of the Subaward or latest modification (which should be on file in the department), as well as be accurate and within the Subaward budget. It must also be allowable under the terms of the prime award. In the event of questionable costs, **additional supporting documentation** (receipts, payroll, etc.) must be requested of the Subrecipient within five (5) working days of receipt of the invoice.
- Maintain documentation of monitoring efforts for audit purposes. Maintain copies of invoices, all supporting documentation, and any financial reports, including annual and final financial reports, for payment of invoices on the Subaward for at least three (3) years after the final closeout of the prime award. Ensure that PI is in compliance with University Subaward policies and subrecipient monitoring responsibilities (as noted above).
- Contact SPS Subawards Team immediately regarding issues related to non-compliance with terms of the Subaward or inappropriate activity in invoicing or reporting.

\*I certify that I have read and understand the responsibilities shown above.

Principal Investigator \_\_\_\_\_

Date \_\_\_\_\_

Business/Finance Office \_\_\_\_\_

Date \_\_\_\_\_