FEDgrant Solutions

Post-Award Monitoring Checklist

This checklist ensures ongoing compliance and proper management of the subrecipient after funds have been awarded.

The frequency of subrecipient post-award monitoring can vary depending on the situation, but it generally happens at least quarterly. The purpose of monitoring is to ensure that federal funds are spent in compliance with regulations and that performance goals are met.

For additional guidance, please refer to following: 2 CFR 200: Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance)

- Subrecipient Monitoring and Management Section 331 Subrecipient and contractor determinations, Section 332 Requirements for pass-through entities, and Section 333 Fixed amount subawards
- Specific Conditions Section 208
- Remedies for noncompliance Section 339 and Termination Section 340
- Audit Requirements Subpart-F
- Additional specific Federal Agency Grant Policies & Regulations

A. General Information

Subrecipient Name:	
Award Number:	
Monitoring Period:	
Amount Disbursed:	
Period of Performance:	
Total Award Amount:	

B. Risk Assessment

Category	Weight	Criteria	Score (1-5)	Weighted Score (Weight x Score)	Guidance for Scoring (1-5)
1. Financial Management	**25%**	**Are expenses in line with the approved budget?**			1: Major discrepancies; 5: Fully aligned with budget.
		Are invoices submitted on time and correctly documented?			1: Significant delays, poor documentation; 5: Timely and accurate.
		Has the subrecipient provided adequate supporting documentation for expenses?			1: Insufficient documentation; 5: Comprehensive and clear.

Category	Weight	Criteria	Score (1-5)	Weighted Score (Weight x Score)	Guidance for Scoring (1-5)
2. Programmatic Performance	**20%**	**Are project deliverables being met on schedule?**			1: Significant delays, missed deliverables; 5: All deliverables on time.
		Is the subrecipient providing regular performance reports?			1: Irregular or missing reports; 5: Consistent, thorough reporting.
		Have there been any changes in project scope or key personnel?			1: Significant, unapproved changes; 5: No changes or approved changes.
3. Compliance with Terms and Conditions	**20%**	**Is the subrecipient adhering to all the terms of the subaward agreement?**			1: Multiple instances of non-compliance; 5: Full compliance.
		Are there any instances of non-compliance or issues that need to be addressed?			1: Significant issues; 5: No issues.
		Have all required certifications and assurances been obtained?			1: Missing certifications; 5: All certifications obtained.
4. Audit and Reporting	**15%**	**Has the subrecipient provided audit reports (if applicable)?**			1: Missing or late audit reports; 5: Timely and accurate reports.
		Are there any audit findings that need to be addressed?			1: Significant unresolved findings; 5: No findings or resolved findings.
		Is the subrecipient meeting reporting deadlines?			1: Frequent delays; 5: All deadlines met.
5. Site Visits (if applicable)	**10%**	**Date of visit:**	N/A	N/A	Record site visit details here.
		Observations:	N/A	N/A	Record observations here.
		Action items or follow-up required:	N/A	N/A	Record follow-up actions here.
		Other:	N/A	N/A	Record notes here.

Category	Weight	Criteria	Score (1-5)	Weighted Score (Weight x Score)	Guidance for Scoring (1-5)
6. Risk Reassessment	**5%**	**Based on ongoing monitoring, has the risk level changed?**			1: Increased risk; 5: Decreased risk.
		Are any additional controls or monitoring efforts needed?			1: Significant additional controls needed; 5: No additional controls needed.
7. Corrective Actions (if applicable)	**5%**	**Description of issues identified:**	N/A	N/A	Record corrective action details here.
		Corrective actions required:	N/A	N/A	Record corrective actions here.
		Timeline for completion:	N/A	N/A	Record timeline here.
		Responsible party:	N/A	N/A	Record responsible party here.
8. Closeout	**5%**	**Has the subrecipient met all financial and programmatic requirements?**			1: Unmet requirements; 5: All requirements met.
		Has final documentation been submitted and reviewed?			1: Missing/incomplete documentation; 5: Complete and reviewed.
		Any remaining issues or outstanding items?			1: Significant outstanding issues; 5: No outstanding issues.

Instructions for Scoring:

- **Score (1-5)**: Rate each criterion based on the assessment, where 1 = High Risk/Low Performance and 5 = Low Risk/High Performance.
- **Weighted Score**: Multiply the score by the weight to get the weighted score for each criterion.
- **Total Weighted Score**: Add up all the weighted scores divided by number of responses to get the final monitoring score.

This weighted table allows for a detailed and balanced evaluation of the subrecipient's performance and compliance throughout the project, with the final score helping to guide further monitoring actions.

C. Average Weighted Score (Sum of all weighted scores/17) = _______

D. Risk Level Determination:

- **Low Risk:** 4.0 - 5.0
- **Moderate** Risk: 3.0 - 3.9
- **High Risk:** Below 3.0

E. Mitigation Strategies (if any - recommended for those with moderate to high risk scores)**:**

Additional monitoring or reporting requirements:	
Training or technical assistance:	
Adjustments to the agreement terms:	

Completed by (name): ____

Date: ______/_______/_________