

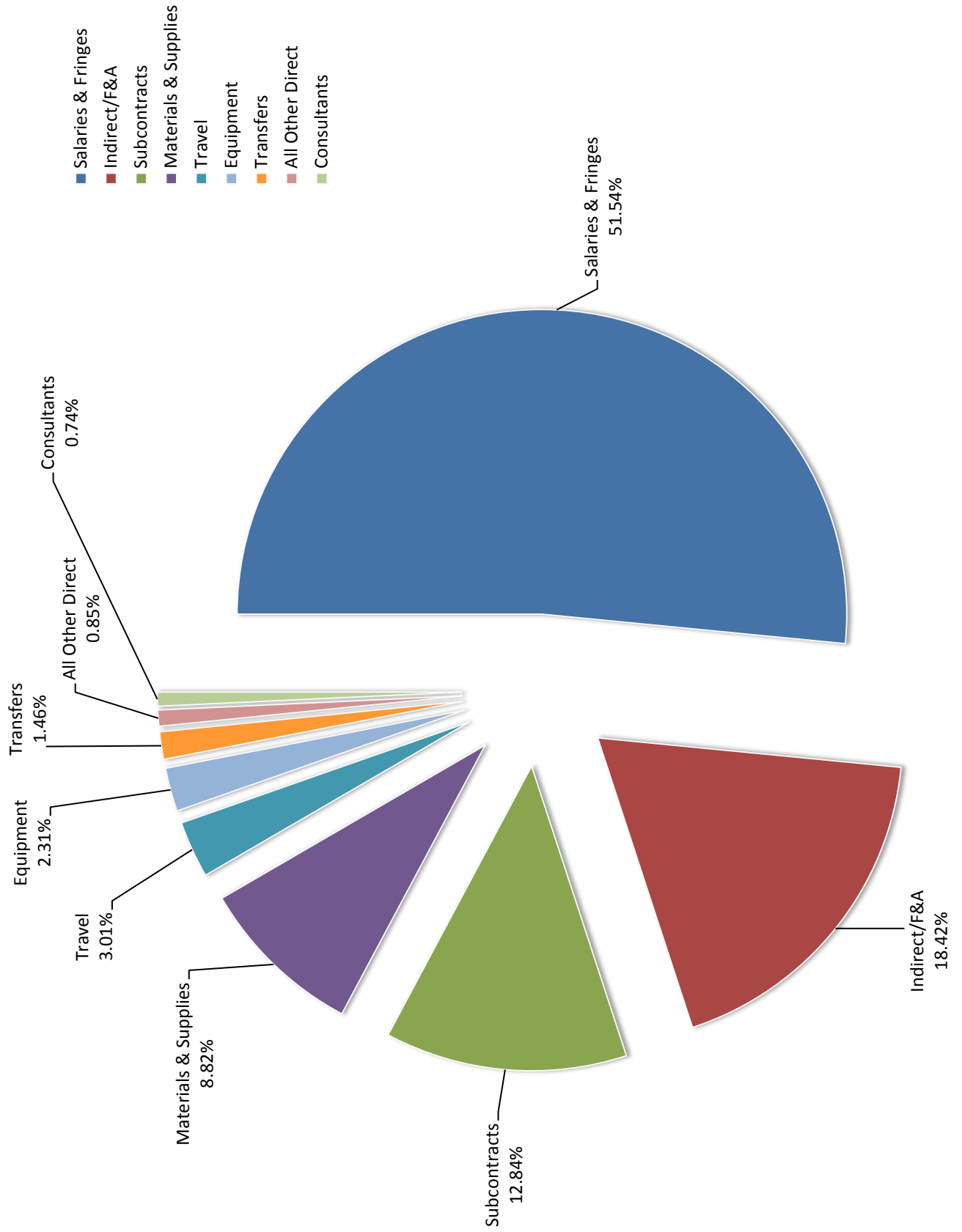
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\*This class also references the text in the Uniform Guidance (UG), which is not provided in your packet. A copy of the UG as highlighted for training purposes can be downloaded from:

[http://www.ora.umd.edu/sites/default/files/documents/training/certificate-program/UG\\_highlighted\\_Jan\\_2015.pdf](http://www.ora.umd.edu/sites/default/files/documents/training/certificate-program/UG_highlighted_Jan_2015.pdf)





**SOURCE DATA**  
*for*  
**ORA Activity, by Expenditure Category, FY 2015**

<b>Expenditure Category</b>	<b>Expenditure Dollars</b>	<b>Percentage of Total</b>
<b>Salaries &amp; Fringes</b>	\$235,645,734	51.54%
<b>Indirect/F&amp;A</b>	\$84,233,199	18.42%
<b>Subcontracts</b>	\$58,688,075	12.84%
<b>Materials &amp; Supplies</b>	\$40,304,551	8.82%
<b>Travel</b>	\$13,779,017	3.01%
<b>Equipment</b>	\$10,563,867	2.31%
<b>Transfers</b>	\$6,674,211	1.46%
<b>All Other Direct</b>	\$3,901,317	0.85%
<b>Consultants</b>	\$3,399,995	0.74%
<b>TOTAL</b>	<b>\$457,189,965</b>	<b>100.00%</b>

# Office of Research Administration Contract and Grant Administration Potential Audit Problems for Sponsored Projects

Principal Investigators and their departments should be sensitive to the following items which are some of the prohibited practices that have caused audit disallowance:

1. Purchasing items of equipment (costing more than \$5,000) without prior approval as required by the award;
2. Purchasing general purpose equipment (i.e., office furniture, air conditioners, personal computer for other than project technical needs, telephones, cell phones) without prior written approval from the sponsor;
3. Purchasing equipment (even if approved) in the last three (3) months of a project unless required for specific use only at the end of project;
4. Foreign travel without prior approval;
5. Use of a non-US flag carrier for travel on federal contracts or grants;
6. Paying outside consultants and their rates without prior approval from a sponsor
7. Paying consulting fees to University Faculty (prohibited by UM policy);
8. Paying overtime without checking agency rules;
9. Subcontracting without UMCP and sponsor approval;
10. Using funds budgeted for participant support costs for other project expenses without agency approval;
11. Changing PI or PI level of effort without sponsor approval;
12. Absence of PI from campus for more than three (3) months without notifying sponsor and addressing project management (need substitute PI?);
13. Charging more of PI's effort to project than was actually worked;
14. Paying faculty summer salary for work performed during an academic year;
15. Incurring costs outside award performance period;
16. Transferring funds from one contract/grant to another to avoid cost overruns or

- undercuts, or for other matters of convenience;
17. Using residual balances in last month of project to stockpile supplies or for other excessive spending;
  18. Charging the cost of food or beverages to any sponsored account for any reason (except when on approved travel) without a sponsor's specific written approval;
  19. Exceeding budgeted cost categories that require sponsor approval to re-budget;
  20. Significantly re-budgeting between cost categories that otherwise would not require prior approval (is the amount to be re-budgeted more than 10% of the total costs?)
  21. Charging (without sponsors= approval) the cost of courses that are outside the University's fringe benefit entitlement for employees;
  22. Charging costs to projects that are not related to that project (i.e., travel costs for personnel not named on the project, payback to a department for deficits picked up by them on other contracts/grants);
  23. Using grant funds to generate income without prior sponsor approval and an agreement as to the disposition of funds;
  24. Changing the scope of the project without sponsor approval;
  25. Paying anyone on a sponsored project at a rate higher than their base salary.

Updated 8/2013

**Richard J. Powers, Chief  
Financial Advisory Services Branch  
Division of Contracts and Grants, NIH**

**Categorical Findings in A-110 Reports**

1. Equipment management.
2. General accounting deficiencies.
3. Internal controls.
4. Inadequate support for change.
5. Labor distribution problems.
6. Procurement deficiencies.
7. Late reports to Federal government.
8. Lack of written policies and procedures.
9. Unallowable costs.
10. No audits of subrecipients.
11. Travel policy deficiencies.
12. Indirect cost deficiencies.
13. Inadequate budgets reviews.
14. DFARS: excess cash, early drawdowns.
15. Grants related income.
16. Lack of cost sharing documents.
17. Cost transfers.
18. Consultants
19. Summer compensation problems.
20. Lack of control over escheated warrants.

## **EQUIPMENT MANAGEMENT**

Screening of equipment purchases was inadequate.

The University should take a physical inventory of Federal property at least every two years.

Controls should be established to assure that inventories arising out of Federal-supported research are disclosed to the affected agency.

University did not place identifying decals on equipment to which the Government took title.

## **INTERNAL CONTROLS**

Cost category changes were often misclassified, especially supplies and equipment.

Record of collections received by mail is not prepared for items received other than for currency.

Inadequate procedures existed for control over returned checks.

Employee time records certified by personnel who were not on payroll department's list of persons authorized to sign time records.

Cost transfers journal vouchers should be more timely, better documented, and approved by senior officials.

Procedures should be adopted to assure that grant-generated revenue is properly credited to affected grant accounts.

Payroll checks were issued to employees who no longer worked for the University.

## **TIME OR EFFORT**

General ledger payroll accounts should be reconciled to supported payroll registers and labor distributions reported for each payroll period.

Time and effort Certifications are not made in a timely manner.

The University should monitor T&E



**Summary of Audits, Settlements and Investigations Related to Federal Programs  
For Educational Purposes Only**

Audit/Review/Newspaper Report		Costs w/o benefit to	Cost Share	Cost Transfer	Documentation	Expenditures/Costs	Subaward/suawardee	Compensation/Effort	Participant Support	Policy & Procedure	Investigation/DOJ	Other
Release Date												
08/28/13	Emory University					X					X	QuiTam
07/30/13	Northwestern University					X					X	QuiTam
06/09/13	Morgan State University										X	Fraud
06/07/13	Univeristy of Colorado Denver					X						
06/04/13	Thomas Jefferson University					X						
03/22/13	University of Wisconsin-Madison					X	X					
11/14/12	Morgan State University					X					X	Fraud
09/28/12	University of California, Santa Barbara		X	X		X	X					
08/22/12	State University of New York					X						A&C
07/12/12	Florida State University					X	X	X				A&C
03/29/12	University of Notre Dame					X	X	X	X			
03/12/12	San Diego Research Foundation/el Centro										X	Fraud
01/31/12	University of Pennsylvania - Grimes										X	Fraud
01/31/12	John Hopkins University					X	X					
12/31/11	Ohio State University											A&C
10/13/11	Suny Research Foundation		X			X	X					A&C Audit
06/28/11	North Carolina Central University										X	Theft
03/31/11	Boston University		X				X					
03/31/11	Ohio State University		X				X	X	X	X		G&A
03/25/11	North Carolina Central University					X	X	X	X	X		Intl Ctl
07/29/10	Wilberforce University										X	DOE
07/22/10	Cornell Weill Medical College		X									QuiTam
	10.01.10 Cornell Appeals Fraud Verdict											
07/05/10	South Carolina State University					X						

Whistleblower

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03/22/10	Cal Tech Follow Audit							E				NSF
03/17/10	University of Delaware							E				NSF
03/03/10	University of Missouri - Columbia						X	X				
02/16/10	University of Buffalo											Fraud
0												
0												
11/09/09	Stony Brook University							E				NSF
11/02/09	University of Wisconsin-Madison							E				NSF
08/10/09	University of Michigan							E				NSF
07/30/09	Purdue University							E				NSF
06/30/09	Cornell University							E				NSF
06/30/09	Georgia Institute of Technology			X				E				NSF
05/01/09	Southern Illinois at Edwardsville	X			X						X	Theft
03/25/09	University of Arizona							E				NSF
03.24.09	Cornell Weill Medical College							X			X	
03/10/09	UC San Francisco					X						NF
02/27/09	University of Maryland Baltimore										X	Theft
02/26/09	University of Florida										X	Theft
02/02/09	UCLA										X	Theft
01/31/09	University of Central Florida										X	Theft
01/16/09	Duke University Review of Admn & Clerical Costs					X						
12/23/08	Yale University Settlement (ref 02.03.06)			X				X			X	
10/24/08	University of Louisville										X	Theft
	05/17/10 Former U. of Louisville Dean Is Sentenced to More Than 5 Years											
09/24/08	Vanderbilt University							E				NSF
07/08/08	St. Louis University							X			X	
06/18/08	Florida Agricultural and Mechanical University (FAMU)										X	Theft
05/02/08	University of California, San Diego							E				NSF
03/27/08	University of Illinois Urbana							E				NSF
03/10/08	University of California, San Francisco					X						NF
02/12/08	North Carolina Central University										X	Theft
01/22/08	Georgia Tech										X	Theft
11/15/07	University of Utah							E				NSF
09/28/07	University of Maryland Baltimore County		X			X	X			X		
09/06/07	Brandeis University					X						
06/26/07	NIH review of Graduate Student Compensation Costs							X				NF
05/15/07	University of Iowa Hospitals & Clinics (vendor rebates)					X						
04/05/07	Thomas Jefferson University			X								NF
03/31/07	California Institute of Technology			X				E				NSF
03/12/07	Georgia State University		X		X		X	E		X		CA
02/12/07	New Mexico Title IV-E Contracted University Training Costs (A-06-06-0004)											S/U

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Updated 04/13/2015

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11/15/06	NSF September 06 Report to Congress		X						X		X	
09/28/06	Boston University			X						X		
09/26/06	University of Hawaii		X		X		X	E				CA
09/26/06	New Mexico Highlands University	X	X			X	X					CA,P
09/07/06	Tennessee State University	X									X	Theft
	05/01/07 Barbara Nye, Tennessee State PI Enters Guilty Plea											
06/30/06	15 University Select Agent Audit				X							X
06/16/06	University of Chicago			X						X		
06/06/06	University of Pennsylvania							E		X		NSF
05/24/06	University of Arizona Sahara Center					X	X	E				CA, RC
05/04/06	North Shore University Hospital											X
04/10/06	University of Maryland				X							AC
04/06/06	Eastern Kentucky University contract with Kentucky					X						S/U
03/31/06	Howard University		X		X		X	C				
03/31/06	Stephen Raper, MD, University of Pennsylvania											IRB
03/23/06	University of Massachusetts (UMMS) contract with Commonwealth of Massachusetts					X		C				S/U
03/03/06	Columbia University		X									NF
02/27/06	Roger Williams Hospital (UMMS)			X		X	X					
02/03/06	Yale University (UMMS)	X	X			X	X				X	AC
	07/21/06 Princeton Memo											
	07/03/06 Yale Memo on Agency Subpoenas											
	06/30/06 Yale Internal Memo on Scope of Information											
01/20/06	Georgetown University										X	
01/09/06	University of Connecticut		X					C			X	2.5M RC
01/06/06	Indiana State University				X				X	X		
12/28/05	University of Nevada Reno	X								X		CA,AC
11/21/05	University of Miami Rosenstiel School											
09/29/05	Dartmouth College											
09/21/05	University of Rochester		X	X								NF
08/23/05	University of Massachusetts Medical School	X	X	X	X	X				X		RC
08/16/05	UC Berkley		X		X	X	X	E				
06/23/05	Cornell's Weill Medical College	X						C			X	4.4M
	08/16/05 Wall Street Journal Article											
06/05	Florida Agricultural & Mechanical		X		X							1.4 M Admn
05/26/05	Mayo Clinic	X	X	X							X	6.5M
04/26/05	UTMB Galveston							C				X
04/14/05	University of Alabama-Birmingham	X						E			X	3.4 M
04/13/05	George Washington University	X							X		X	1.8M
	04/19/05 DOJ Press Release											

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	10/04/2005 Deputy Director Pleads Guilty										X	
04/04/05	Oklahoma Department of Human Services					X						S/UI
	09/21/04 OKDHS Response (States argument for its claim of contributed indirect costs from University of Oklahoma)											
03/17/05	University of Vermont – Poehlman (one of the most expansive cases of scientific fraud & first PI to serve jail time for fabricating data)										X	
03/09/05	University of South Dakota		X				X					Admn
02/28/05	Dakota State University						X					Admn
02/15/05	Florida International University			X		X		E				11.5M
01/14/05	Northeastern University				X		X					Admn
12/04/04	State of Maine Contract with University of Maine					X						S/UI
08/03/04	East Carolina University	X			X	X		E				
06/04	Harvard	X						E				2.4M
04/16/04	Northeastern University							X		X		
03/02/04	San Diego State Foundation							C				
2004	University of Washington	X										35M
03/12/04	John Hopkins University							E				2.6M
09/11/03	University of South Florida	X				X		C				4M,P
06/05/03	Northeastern University				X			E				RC,AC
05/21/03	University of California, Berkley Research Management					X						Admn
02/06/03	Northwestern University							E			X	5.5M
01/28/02	Review of 10 large Research Universities											Indirect
12/17/02	40 Hospital Whistleblower False Claims; Sanford, Emory, Northwestern, University of Pennsylvania, Baylor										X	42M IRB
06/30/00	Carnegie Institute of Washington					X						PI
11/17/98	University of Minnesota	X									X	32M, PI
09/24/98	Tufs University						X					NF,P
09/04/97	Washington State Department of Social and Health Services Audit of Training Contract Costs											SU
04/08/97	New York University Medical Center					X					X	
09/02/96	Illinois Department of Children and Family Services											SU
11/28/95	University of Colorado											RC
09/25/95	Washington University-St. Louis							X		X		RC
09/06/95	University of Utah							X				RC
07/07/95	University of Iowa							X				RC
10/26/94	Selected Universities Review of Graduate Student Compensation Charged to Research							C				
01/12/94	Review of Service Centers at 12 Universities							X				RC
04/23/93	Review of 261 Schools Internal Indirect Cost Self Scrubs											Indirect

## **Documents Required for Audit**

- Copy of Agreement
- Proof of Salary Approval
- Copies of ALL invoices paid on the account
  - Include P.O. if required for purchase
- Cost Sharing Documentation
  - Cost Sharing account
  - Copies of ALL invoices paid on the account
- Effort Reports
  - Must match payroll charges – caution when preparing transfers
- Sub-Awards
  - Copy of subaward and all modifications
  - Copy of report or deliverable from sub.
  - Copy of approved final invoice
- Reconciliation Documentation for Award
  - Proof that the charges were reviewed
  - Are charges valid – (RAA) Reasonable, Allocable & Allowable
  - Are encumbrances correct
  - Have recipients(both subs & contractors) been paid

<p><b>Subaward</b></p> <ul style="list-style-type: none"> <li>• Services are uniquely designed in response to each project and are not provided commercially</li> <li>• Technical lead is a scientific collaborator (PI); performance is measured against whether the objectives of the Federal program are met</li> <li>• Retains rights to intellectual property</li> <li>• Participates in the development of and execution of the statement of work (programmatic decision making)</li> <li>• Results are likely to be published in scientific literature</li> <li>• Has responsibility for adherence to applicable Federal program compliance requirements</li> </ul>	<p><b>Vendor</b></p> <ul style="list-style-type: none"> <li>• Provides the goods or services commercially</li> <li>• Operates in a competitive environment</li> <li>• Retains no rights to intellectual property</li> <li>• Provides the goods or services ancillary to the operation of the Federal program</li> <li>• No publication rights</li> <li>• Not subject to compliance requirements</li> </ul>
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## Case Study 1

Professor Testudo is preparing a proposal which involves paying a foreign provider to oversee the collection of data related to still births among female residents of remote villages in Kenya. The study will take place over a period of three years. Employees of the surveyor will obtain the services of guides who speak the native tongue. Interviews will be translated into English and “coded” based on specific scoring criteria. These results will be provided to Dr. Testudo to incorporate into his Annual and Final Technical Reports.

Subcontractor or Contractor?

## Case Study 2:

Professor V. Smart is studying the impact of a Wellness for Life Class on the behaviors of undergraduate students following completion of the course. The class is being filmed by a videographer with the intent to use the class for other wellness programs in the future.

**SUBCONTRACTOR OR CONTRACTOR?**



### Case Study 3:

As part of an award from the Department of Defense to the University of MD, University XYZ has agreed to act as the host institution for a conference focused on the impact of psychological services offered to the spouses and children of returning wounded veterans.

Two professors in University XYZ's Department of Public Health will serve as coordinators for the conference. They will be responsible for making all logistical arrangements including selecting a suitable site, arranging for catering and audio visual requirements, securing hotel accommodations for out of town attendees, and sending out invitations.

The PI's from both institutions will compile a list of potential attendees, select the final speakers, and jointly draft the Final Conference Report for the federal sponsor.

## **SUBCONTRACTOR OR CONTRACTOR?**

**Subrecipient Risk Analysis - High/Low Risk Entities**

Attachment B

Subrecipient Name: \_\_\_\_\_ Date: \_\_\_\_\_  
 Sponsor: \_\_\_\_\_ Risk Level Assigned: \_\_\_\_\_  
 EIN: \_\_\_\_\_ Suspended/Debarred List \_\_\_\_\_  
 DUNS: \_\_\_\_\_ Yes/No (initials/date checked)  
 Is A-133 Required? Yes No

Assign an assessment rating (0, 1 or 2) for each Criteria listed below.

Criteria	Lower Risk	Higher Risk	Weight	Assessment 0 = low 1 = med 2 = high	Weighted Score
Foreign or Domestic	Domestic	Foreign	4		0
Maturity of Subrecipient's Organization	Mature	Start-up	4		0
Organization Type	University or non-profit	Industry	4		0
Audit Report	A-133	No Audit Report	4		0
Accounting Systems Established	Yes	No	4		0
Prime Award Type	Grant/Cooperative Agreement	Contract	3		0
Amount of Subaward	Total cost is ≤ \$499,999	Total Cost is ≥ \$500,000	3		0
Percentage of UMD Award Subawarded	Total cost is ≤ 49%	Total Cost is ≥ 50%	3		0
Federally Approved Procurement Systems	approved	Not approved / ad hoc	3		0
Federally Approved Indirect Cost Rate Agreement	Yes	No	2		0
Prior experience working with College Park?	Previous positive experience	New Subrecipient, or previous negative experience	2		0
UMD Sponsor Type	Private or Foundation	Government	2		0
Special Considerations: up to an additional 8 points; e.g. high \$					

Low = 0 - 34 High = 60 - 74 Bumped to Next Level? Y N  
 Medium = 35 - 59 Nuclear = 75+ (circle one)

**Total Risk Score: 0.0**

<b>Documents Reviewed:</b>	
<b>Comments</b>	
<b>Resolution</b>	



Office of Research Administration
SUBAWARD REQUEST FORM

www.ora.umd.edu

Please email this completed and signed form with all required documentation to the Subaward Administrator assigned to your department. See www.ora.umd.edu/staff and select Subawards tab.

SECTION I: Funds Requested, Period of Performance, and Back-up Documentation

KFS Account Number: Subaward No. (TBD): Sub Admin Initials:

Subrecipient Full Legal Name (no abbreviations):

Project Title:

Dates and Budget

Table with 3 columns: Initial Period, Total Project, and rows for Start Date, End Date, Funding Amount.

Attachments to be provided: Check all that apply

- Current Statement of Work
Current Budget Attach budget which matches anticipated funding and is broken out into basic direct and indirect cost categories.
Current Budget Justification
Equipment costing \$5,000 or more per item.
Federally Approved F&A Rate Agreement, if applicable or explanation of MTDC or TDC rate
Cost Sharing Obligation, if applicable. Amount committed \$
IRB Approved Protocol Attach subrecipient's approved IRB Protocol if human subject research is being done by sub.
IACUC Approved Protocol Attach subrecipient's approved IACUC Protocol if vertebrate animals are used in research by sub.
Export Control Attach information if export controlled products are to be created or shared by subrecipient.
Intellectual Property Waiver Attach approved waiver form.
IDC collected by UM on subaward costs does NOT match KFS account rate (MTDC or TDC). (Attach explanation)

NOTE: A subrecipient which has not previously received a subaward from UM must be reviewed by ORA's internal Subrecipient Monitoring and Oversight Committee review (SMOCr) process. Additional time will be required to process such a subaward request.

SECTION II: Subrecipient Contact Information

Administrative Point of Contact

Name: Address:
Phone:
Email:

Subrecipient Principal Investigator

Name:
Phone:
Email:

SECTION III: UM Contact Information

UM Administering Department:
UM Principal Investigator Department Business Contact
Name: Name:
Phone: Phone:
Email: Email:

**SECTION IV: Payment and Reporting Requirements**

Invoicing:  **Cost Reimbursement** - Invoice shows expenses by category throughout period of performance.  
 **Fixed Price** - Attach a schedule showing deliverables, due dates, and dollar amounts. Final payment is withheld until receipt of all deliverables. As of 12/26/14, prior agency approval needed except if prime award is fixed price.

Financial: Final Invoice/Final Financial Due Date: \_\_\_\_\_

Technical: Progress Due Dates: \_\_\_\_\_

Annual Due Dates: \_\_\_\_\_

Final Due Date: \_\_\_\_\_

Invention: Progress Upon disclosure to Subrecipient's Technology Office  
Final 60 days following termination (negative report required)

Property: Final 60 days following termination (if applicable)

NOTE: Attach an explanation of any unique requirements or terms and conditions to be incorporated into this Subaward Agreement in addition to any terms which will flow down from the Prime Award.

**SECTION V: Budget information for PI approval**

The PI must review and approve each of the subrecipient's proposed costs in the categories below to verify reasonableness, allowability, and allocability in accordance with the subrecipient's proposed scope of work.

Indicate all costs included in the subrecipient's budget.

- |   |   |
|---|---|
| <input type="checkbox"/> Salary/Level of Effort | <input type="checkbox"/> Fringe benefits        |
| <input type="checkbox"/> Equipment              | <input type="checkbox"/> Materials and Supplies |
| <input type="checkbox"/> Travel                 | <input type="checkbox"/> Other Direct Costs     |
| <input type="checkbox"/> Subcontracts           | <input type="checkbox"/> Indirect Costs         |
- Select type: Select one

**SECTION VI: Subaward vs. Contractor/Vendor Determination**

Check all that apply

- Subrecipient will carry out a substantive portion of the overall scientific project and is responsible for making related programmatic decisions.
- Subrecipient does not perform similar work on a commercial basis for multiple buyers procuring goods and services.
- Subrecipient will adhere to the flow down terms and conditions of the prime award and retain data and invention rights to deliverables.
- Subrecipient may seek to publish or co-author research results in professional scientific journals.
- Subrecipient is contributing identifiable cost share to the project which is not reimbursed by the University of Maryland.
- Subrecipient's key personnel are identified by name in the University of Maryland proposal to the prime sponsor.
- Subrecipient will retain data and patent rights for research results either solely or jointly created.

**SECTION VII: Sole/Single Source**

**NOTE:** Complete only if the prime award from the sponsor to UM is a contract.

- Subrecipient was selected **without seeking competitive bids**. Attach a separate sheet justifying your selection of this provider based on expertise, location, unique facilities, cost, etc.
- Subrecipient was selected using **competitive bids**. Attach a separate sheet including the: 1) name and address of each subcontractor submitting a bid; 2) total cost proposed by each bidder; and 3) reason for selection of current subrecipient.

**SECTION VIII: Principal Investigator/Authorized Designee approval**

I have reviewed the technical and cost proposals for this subrecipient and based upon my professional experience and analysis of costs or prices proposed, find them to be appropriate, fair, and reasonable for the work to be done.

Signature \_\_\_\_\_ Date \_\_\_\_\_

## SUBRECIPIENT MONITORING INVOICE CHECKLIST

Subrecipient Name \_\_\_\_\_ Subrecipient Number \_\_\_\_\_  
 PI Name \_\_\_\_\_ Financial Mgr \_\_\_\_\_  
 Date Invoice Received \_\_\_\_\_ Date Invoice Processed \_\_\_\_\_  
 Invoice Seq. No. \_\_\_\_\_  Final  No Invoice Period \_\_\_\_\_ - \_\_\_\_\_

Is the period of performance within the subaward timeframe?  Yes  No

Are the total expenditures within the subaward amount?  Yes  No

Is Subrecipient complying with budgetary restrictions in subaward agreement?  
 (e.g., prior written approval for foreign travel or equipment purchases)  Yes  No

Is there cost share required?  Yes  No Documented and met?  N/A  Yes  No

Is there a signed certification\*?  Yes  No Incl. cost share?  N/A  Yes  No

**\*Example:** I certify that this request represents actual, allowable costs incurred during the invoice period and these costs are appropriate in accordance with the agreement.

Request was made to subrecipient for a NEW/Revised Invoice on the following date \_\_\_\_\_

***In signing below, I approve payment of this invoice and attest that the charges appear reasonable and progress to date for this project is satisfactory and in keeping with the statement of work.***

\_\_\_\_\_  
 Project Investigator/PI's Technical Designee Date

**If this is the final invoice, please initial to confirm that technical progress at completion was satisfactory and that final invoice has been received and processed for payment.**

	Initial	Date
Technical Report	_____	_____
Final Invoice	_____	_____

Does the PI have knowledge of any inventions developed or reduced to practice during the course of this project?  Yes  No

**A copy of the completed FINAL Subrecipient Monitoring Invoice Checklist must be sent to attention of ORA Compliance at [oraacompliance@umd.edu](mailto:oraacompliance@umd.edu) or via fax at (301) 314-9569.**



This routing form has been updated on 18 August 2014. It supersedes ALL previous versions.

Office of Research Administration  
**PRINCIPAL INVESTIGATOR SUBAWARD CLOSEOUT  
AUTHORIZATION**

[www.ora.umd.edu](http://www.ora.umd.edu)

Please **complete this form in its entirety**, including signature by Principal Investigator (PI) or Approved Designee. Send completed form to the University of Maryland Compliance Office at [oraacompliance@umd.edu](mailto:oraacompliance@umd.edu) within 10 business days. Contact 301-405-6280 with any questions.

1. **UM Principal Investigator Name:** \_\_\_\_\_
2. a. **Subaward Number:** \_\_\_\_\_
- b. **KFS Account Number:** \_\_\_\_\_
- c. **Subaward Expiration Date:** \_\_\_\_\_
- d. **Subrecipient Name:** \_\_\_\_\_
- e. **Project Title:** \_\_\_\_\_

To officially complete and closeout our subaward record, your signature below is required. By signing, the UM Principal Investigator attests to the fact that

- a) all **terms and conditions** of the above referenced subaward have been met;
- b) you are satisfied with the **performance** of the subrecipient; and
- c) **no further action** is required by the subrecipient prior to closeout.

The Principal Investigator also attests that

- a) All **Final Technical Reports** and/or **deliverables** required under the above referenced subaward have been received by the UM Principal Investigator and deemed acceptable; and
- b) The subawardee's **Final Invoice** has been received and approved by the UM Principal Investigator and there are no additional outstanding claims to be filed against this subaward.

Principal Investigator Name \_\_\_\_\_ Date \_\_\_\_\_  
Signature \_\_\_\_\_

Approved Designee Name \_\_\_\_\_ Date \_\_\_\_\_  
Signature \_\_\_\_\_