

## SUBRECIPIENT MONITORING FORM

This form must be completed prior to the contract being signed.

Federal Award: \_\_\_\_\_

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

Program Director: \_\_\_\_\_

### SECTION A: Determining Risk (to be completed by Finance)

*Per 2 CFR 200.331, all subrecipients of Federal awards must be evaluated for risk of noncompliance with Federal statutes, regulations, and the terms and conditions of the subaward for purposes of determining the appropriate subrecipient monitoring. Please answer any questions below, and for the appropriate questions, rate the subrecipient listed above on a scale of 1 – 10 for the below factors, with 1 being low risk and 10 being high risk.*

1.  Yes  No                      Has the entity had a compliance audit performed in the past two years?
2.  Yes  No.                      Were there any findings on the audit? Brief description of the findings, if any: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

<b>Results of previous audits (based on information above):</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>	<b>10</b>
<b>Subrecipient's prior experience with the same or similar subawards:</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>	<b>10</b>
<b>Subrecipient has new personnel or new/substantially changed systems:</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>	<b>10</b>
<b>Extent and results of federal awarding agency monitoring:</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>	<b>10</b>
<b>Total of Section A:</b> _____										

### SECTION B: Monitoring (to be completed by Program Director)

If the total of Section A exceeds 30, at least one of the following procedures must be performed by the Program Director of the grant (choose which will be completed, deadlines will be chosen by Finance). If total of Section A does not exceed 30, leave Section B blank as monitoring is not required.

1.  Yes  No    Provide subrecipient with training and technical assistance on program-related matters  
Deadline: December 31, 20\_\_\_\_
2.  Yes  No    Perform quarterly on-site reviews of the subrecipient's program operations  
Deadline: December 31, 20\_\_\_\_; March 31, 20\_\_\_\_; June 30, 20\_\_\_\_; September 30, 20\_\_\_\_
3.  Yes  No    Arrange for agreed-upon-procedures engagements (for which subrecipient is financially responsible)  
Deadline: September 30, 20\_\_\_\_

### SECTION C: Approval and Signatures

Semiannual financial and programmatic reports are required. Upon review of the Program Director, reports must be submitted to the Finance department ([Finance@che.in.gov](mailto:Finance@che.in.gov)). 2 CFR 200.331(d).

Program Director Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Finance Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## SUBRECIPIENT MONITORING FORM INSTRUCTIONS

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### SECTION A:

Designated staff in Finance department must complete this section using answers on the Subrecipient Commitment Form document completed by potential subrecipient.

### SECTION B:

Program Manager of the grant must choose an option in this section if the total of Section A is greater than **30**.

Designated staff in Finance Department must write in the correct year(s) for the option chosen by the Program Director of the grant.

### SECTION C:

Program Manager of the grant must sign and date this form agreeing to complete the processes that are of the responsibility of the Project Manager.

Finance staff must sign and date this form agreeing to complete the processes that are of the responsibility of the Finance staff.