

Subrecipient Monitoring Process – **Effective as of 7/1/2017**

Prior to executing subawards:

1. Check Subrecipient Monitoring page for existing and/or current subrecipient monitoring.
2. If **current** submonitoring exists, no further action is required.
3. If **no current** monitoring exists, contact the Controller's office via e-mail at cessacs@umsystem.edu to determine if submonitoring documentation can be obtained on-line. OSPA will then be notified of the following requirements:
 - a. If recent audit documentation can be obtained on-line (either through the sub's website for on the Federal Audit Clearinghouse), OSPA will **not** be required to send the Certification to the Subrecipient.
 - b. If recent documentation is **not** available on-line and we
 - i. have subrecipient monitoring documentation from the previous fiscal year; the Controller's office will be responsible for obtaining required documentation or contacting the subrecipient for additional information, if necessary.
 - ii. have **not** contracted with the subrecipient in the past or the subrecipient monitoring documentation is more than 2 years old, OSPA must send the Certification to the subrecipient.
4. When the required documentation is received from the subrecipient or obtained on-line, the risk assessment will be prepared by the Controller's office and recorded in the Subrecipient Monitoring page in PS.
5. An EPLS check (SAM Exclusion Search on www.sam.gov – formally Excluded Parties List System) **must** be completed and documented by OSPA prior to executing all federally funded subcontracts.

Prior to paying subaward invoices:

1. Check Subrecipient Monitoring page for existing and/or current subrecipient monitoring.
2. If **current** submonitoring exists, no further action is required.
3. If **no current** monitoring exists, request updated subrecipient monitoring by contacting the Controller's office via e-mail at cessacs@umsystem.edu.
 - a. If there is no current monitoring, the Controller's office will be responsible for obtaining required documentation or contacting the subrecipient for additional information, if necessary.
4. When documentation is received from the subrecipient or obtained on-line, the risk assessment will be prepared by the Controller's office and recorded in the Subrecipient Monitoring page in PS.
5. An EPLS check will be completed and documented by the Controller's Office at the time of the annual risk assessment on all active subcontracts; therefore, EPLS checks will **no** longer be required by OSPA prior to paying each subaward invoice.