The University has issued a new Financial Guideline for Subrecipient Monitoring. The Guideline can be found on the Policies, Procedures, and Guidelines section of the University’s website at:


While this Guideline is new, the processes described therein generally do not require any additional steps for PI’s and department administrators beyond what you are already doing. The University has always had responsibility for monitoring its subawardees and this Guideline simply documents and clarifies various roles and responsibilities in accordance with the OMB’s Uniform Guidance.

The primary change in subrecipient monitoring as a result of the Uniform Guidance is the requirement to perform a formal risk assessment of all subawardees and to structure monitoring procedures around the results of that assessment. The Controller’s Office, in conjunction with the Office of Research, developed a brief risk assessment questionnaire based on a pre-defined set of criteria which are outlined in the Guideline. The questionnaire will be completed by personnel within the Office of Research and the Controller’s Office as each new subaward is processed. To the extent that any subawardees are identified as medium or high risk, the Controller’s Office will work with departments to ensure that subrecipient monitoring procedures are in place and able to withstand audit scrutiny.

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