UNIVERSITY OF ALASKA
UNIFORM GUIDANCE WORKING GROUP

Section Number & Name: 200.328 Monitoring and reporting program performance
Old Language: A110.C51

BACKGROUND INFORMATION:

A. Does the revised guidance contain new language? ☒ Y ☐ N

Specifically describe the new language and how it differs: See attached.

Monitoring and reporting program performance All language under A-110 section .50 through section .51 is replaced by A-102 section .40, Monitoring and reporting program performance):

- Specifies that performance reports are subject to the Paperwork Reduction Act requirements

- Federal awarding agencies should utilize OMB approved standard government wide information collections (see also ***200.206***)
- Submission frequency requirements remain largely unchanged
- No less frequently than annually, nor more frequently than quarterly.
- New language added, however, which permits more the Federal awarding agency to require more frequent reporting where necessary for the effective monitoring of the Federal award or could significantly affect program outcomes.

B. Is the new guidance more or less restrictive than university processes? ☐ More ☐ Less

Specifically describe how it is more or less restrictive: Neither more nor less

C. Cite any relevant system-wide policies/regulations/procedures:
None Found
D. Cite any MAU-level relevant processes or manuals:
None Found
E. Is there an impact to electronic systems (Banner HR/Finance, Web Timesheets, Effort Reporting, etc.)? ☐ Y ☒ N

List specific system(s) impacted and method of impact:

ACTION PLAN: Is specific action needed? ☐ Y – see below ☒ N – no action needed

UA responsible area for documentation of compliance: Rosemary Mandick, Heather Paulsen, Barbara Hyde

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(a) Recipients are responsible for managing and monitoring each project, program, subaward, function or activity supported by the award. Recipients shall monitor subawards to ensure subrecipients have met the audit requirements as delineated in Section ___.26.

200.328 Monitoring and reporting program performance.

(a) *Monitoring by the non-Federal entity.* The non-Federal entity is responsible for oversight of the operations of the Federal award supported activities. The non-Federal entity must monitor its activities under Federal awards to assure compliance with applicable Federal requirements and performance expectations are being achieved. Monitoring by the non-Federal entity must cover each program, function or activity. See also §200.331 Requirements for pass-through *entities.*

(b) *Non-construction performance reports.* The Federal awarding agency shall prescribe the frequency with which the performance must use standard, OMB-approved data elements for collection of performance information (including performance progress reports shall , Research Performance Progress Report, or such future collections as may be submitted. Except as provided in paragraph ___.51(f),approved by OMB and listed on the OMB Web site).

(1) The non-Federal entity must submit performance reports shall not be at the interval required by the Federal awarding agency or pass-through entity to best inform improvements in program outcomes and productivity. Intervals must be no less frequent than annually nor more frequentlyfrequent than quarterly or, less frequently than annually.except in unusual circumstances, for example where more frequent reporting is necessary for the effective monitoring of the Federal award or could significantly affect program outcomes. Annual reports shallmust be due 90 calendar days after the grant yearreporting period; quarterly or semi-annualsemiannual reports shallmust be due 30 calendar days after the reporting period. Alternatively, the Federal awarding agency or pass-through entity may require annual reports before the anniversary dates of multiple year Federal awards in lieu of these requirements. The final performance reports are report will be due 90 calendar days after the expiration or termination of the awardperiod of performance end date. If a justified request is submitted by a non-Federal entity, the Federal agency may extend the due date for any performance report.

(c) If inappropriate, a final technical or performance report shall not be required after completion of the project.

~~(d) When required, performance~~ (2) The non-Federal entity must submit performance reports using OMB-approved governmentwide standard information collections when providing performance information. As appropriate in accordance with above mentioned information collections, these reports ~~shall generally~~will contain, for each Federal award, brief information on ~~each of~~ the following~~.~~ unless other collections are approved by OMB:

~~(1~~(i) A comparison of actual accomplishments ~~with~~to the ~~goals and~~ objectives of the Federal award established for the period~~, the findings of the investigator, or both. Whenever appropriate and the output of programs or projects can be readily quantified, such quantitative data~~. Where the accomplishments of the Federal award can be quantified, a computation of the cost (for example, related to units of accomplishment) may be required if that information will be useful. Where performance trend data and analysis would be informative to the Federal awarding agency program, the Federal awarding agency should ~~be related to cost data for computation of unit costs.~~ include this as a performance reporting requirement.

~~(2)~~(ii) The reasons why established goals were not met, if appropriate.

~~(3) Other~~(iii) Additional pertinent information including, when appropriate, analysis and explanation of cost overruns or high unit costs.

~~(e) Recipients shall not be required to submit more than the original and two copies of performance reports.~~

~~(f) Recipients shall immediately notify the Federal awarding agency of~~ (c) *Construction performance reports.* For the most part, onsite technical inspections and certified percentage of completion data are relied on heavily by Federal awarding agencies and pass-through entities to monitor progress under Federal awards and subawards for construction. The Federal awarding agency may require additional performance reports only when considered necessary.

(d) *Significant developments.* Events may occur between the scheduled performance reporting dates that have ~~a~~ significant impact ~~on~~upon the ~~award~~ supported ~~activities. Also, notification shall be given in~~activity. In such cases, the ~~case of~~non-Federal entity must inform the Federal awarding agency or pass-through entity as soon as the following types of conditions become known:

(1) Problems, delays, or adverse conditions which will materially impair the ability to meet the ~~objectives~~objective of the Federal award. This ~~notification shall~~disclosure must include a statement of the action taken, or contemplated, and any assistance needed to resolve the situation.

~~(g) Federal awarding agencies~~ (2) Favorable developments which enable meeting time schedules and objectives sooner or at less cost than anticipated or producing more or different beneficial results than originally planned.

(e) The Federal awarding agency may make site visits~~,~~ as warranted by program needs.

(f) The Federal awarding agency may waive any performance report required by this part if not needed.

~~(h) Federal awarding agencies shall comply with clearance requirements of 5 CFR part 1320 when requesting performance data from recipients.~~

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