

## PI CHECKLIST FOR SUBRECIPIENT MONITORING - SUBRECIPIENT PAYMENTS & PERFORMANCE

CUNY PI \_\_\_\_\_ Performance Period \_\_\_\_\_  
RFCUNY PRSY \_\_\_\_\_ Checklist Prepared By \_\_\_\_\_  
Subrecipient \_\_\_\_\_ Checklist Completion Date \_\_\_\_\_

Upon audit or sponsor request, the PI may be requested to provide documentation that subrecipient monitoring has occurred. This document is to assist in the monitoring of subrecipient payments and performance. This worksheet outlines how to adequately (1) review invoices before approving payments to subawardees and (2) monitor satisfactory subawardee performance towards programmatic goals. However, it does not supersede sponsor requirements.

### Subrecipient Payments: Review and Approve Invoices

- Does the invoice format adhere to subagreement specifications, which requests inclusion of the following:
  - RFCUNY AccountNumber/PRSY
  - Line-Item Detail for Expenditures
  - Current and Cumulative Expenditure Totals
  - Signed Certification Statement by the Subawardee’s Authorized Institutional Official
  - Billing Period Start/End Dates
- Are expenditures allowable per subagreement and sponsor-specific terms and conditions?
  - Are expenditures reported in accordance with the approved budget?
  - Are variances in expenditures between budget categories reasonable and allowable?
  - Do expenditures fall within the allowable project period start and end dates?
  - Do F&A amounts accurately reflect the rate/percentage specified in the subagreement?
  - Do expenditures exclude unallowable charges such as alcohol, meals, entertainment, postage, office supplies, etc. unless explicitly stated otherwise in the subagreement?
  - Is adequate clarification provided for unusual, miscellaneous or other charges?
  - The PI or authorized individual may also periodically request detailed support for selected invoices for categories such as payroll, travel, consultants, sole source justification forms, etc. as contained in the subagreement.
  - If applicable, are cost-sharing amounts included as line-item detail?
  - If applicable, is the foreign exchange rate reasonable?
- Is the spending/burn rate reasonable compared to the amount of work completed?
- Are invoices received in a timely manner according to any outlined due dates?
- Have adequate steps been taken during project completion, including:
  - Are final reports/deliverables received prior to approval of the final invoice?
  - Is the final invoice clearly marked “FINAL”?

### Subrecipient Performance: Confirm Satisfactory Work Progress

- Has the subawardee demonstrated satisfactory project performance and progress?
- Is the subawardee’s performance consistent with the scope of work outlined in the subagreement?
  - Does the subawardee have proper control of property?
  - Is the subawardee continuing to meet compliance requirements?
  - Where necessary, have prior approvals been obtained by the subawardee?
- Has communication between the CUNY PI and Subrecipient PI been consistent and adequate?
  - Meeting notes and agendas with date and time are evidence showing communication between the PI and subrecipient.
- Are technical reports/deliverables received in a timely manner according to the scheduled due dates?
- Is the subawardee’s work expected to be finished on-time for project completion?
  - If yes, will final reports/deliverables and the final invoice be submitted on-time?
  - If no, has a No Cost Extension been requested? Will the No Cost Extension be passed-through to the subawardee if obtained?