

# Department Checklist for Subrecipient Monitoring

## Subrecipient Payments and Performance



**RUTGERS**  
UNIVERSITY

Rutgers PI:	Performance Period:
Rutgers Award Title:	Checklist Prepared By:
Subrecipient:	Checklist Completion Date:

This checklist provides guidance on how to adequately (1) review invoices before approving payments to subawardees and (2) monitor satisfactory subawardee performance towards programmatic goals.

Please verify the following items when monitoring subrecipient payments and performance:

Subrecipient Payments: Review and Approve Invoices	
<input type="checkbox"/> Does the invoice <b>format</b> adhere to subagreement specifications, which require inclusion of the following: <ul style="list-style-type: none"> <li>▪ Rutgers PO Number</li> <li>▪ Rutgers Account/Index Number</li> <li>▪ Line-Item Detail for Expenditures</li> <li>▪ Current and Cumulative Expenditure Totals</li> <li>▪ Signed Certification Statement by the Subawardee's Authorized Institutional Official</li> <li>▪ Billing Period Start/End Dates</li> </ul>	
<input type="checkbox"/> Are all included expenditures <b>allowable</b> per subagreement and sponsor-specific terms and conditions? <ul style="list-style-type: none"> <li>▪ Are expenditures reported in accordance with the approved budget?</li> <li>▪ Are variances in expenditures between budget categories reasonable and allowable?</li> <li>▪ Do all expenditures fall within the allowable project period start and end dates?</li> <li>▪ Are F&amp;A amounts calculated accurately per the rate/percentage specified in the subagreement?</li> <li>▪ Do expenditures exclude unallowable charges such as alcohol, meals, entertainment, postage, office supplies, etc. unless explicitly stated otherwise in the subagreement?</li> <li>▪ Is adequate clarification provided for unusual, miscellaneous or other charges?</li> <li>▪ If applicable, is additional backup documentation provided for categories such as payroll, travel, consultants, etc. as required per the subagreement?</li> <li>▪ If applicable, are cost-sharing amounts included at a line-item detail?</li> <li>▪ If applicable, is the foreign exchange rate reasonable?</li> </ul>	
<input type="checkbox"/> Is the spending/burn rate <b>reasonable</b> compared to the amount of work completed?	
<input type="checkbox"/> Are invoices received in a <b>timely</b> manner according to the required frequency/due dates?	
<input type="checkbox"/> Have adequate steps been taken during project <b>completion</b> , including: <ul style="list-style-type: none"> <li>▪ Are all final reports/deliverables received prior to approval of the Final invoice?</li> <li>▪ Is the Final invoice clearly marked "FINAL"?</li> </ul>	
Subrecipient Performance: Confirm Satisfactory Work Progress	
<input type="checkbox"/> Has the subawardee demonstrated <b>satisfactory</b> project performance and progress?	
<input type="checkbox"/> Is the subawardee's performance consistent with the <b>scope</b> of work outlined in the subagreement? <ul style="list-style-type: none"> <li>▪ Does the subawardee have proper control of property?</li> <li>▪ Is the subawardee continuing to meet compliance requirements?</li> <li>▪ Have any required prior approvals been obtained by the subawardee?</li> </ul>	
<input type="checkbox"/> Has <b>communication</b> between the Rutgers PI and Subrecipient PI been consistent and adequate?	
<input type="checkbox"/> Are technical reports/deliverables received in a <b>timely</b> manner according to the required schedule/due dates?	
<input type="checkbox"/> Is the subawardee's work expected to be finished on-time for project <b>completion</b> ? <ul style="list-style-type: none"> <li>▪ If yes, will all required final reports/deliverables and the final invoice be submitted on-time?</li> <li>▪ If no, has a No Cost Extension been requested? Will the No Cost Extension be passed-through to the subawardee if obtained?</li> </ul>	