

Subaward Monitoring Checklist

A checklist for subaward processing and monitoring follows. Please retain this checklist with your departmental paperwork for the life of the subaward.

Department: Upon Receipt of the Subaward Agreement

- Prepare a tracking system to monitor invoice amounts, dates and cumulative totals.
- Prepare a tracking system for technical reports due from the subawardee.
- Prepare a tracking system for required cost share from the subawardee.

Department: Processing APV or IFV

- Update departmental tracking systems for current invoice.
- Prepare APV or IFV using appropriate object codes. See coding info emailed to dept with sub agreement.
- Does the PI approve of the payment? Has the subrecipient submitted technical reports, if required. A dept will want to hold payment and notify SPA if technical reports or other issues with subrecipient performance are causing the PI concern.
- Are all of the fields of the APV description tab in eForms complete? All info required in the description area is provided by SPA in the email attachment containing the original sub agreement.
- Is the FIS project balance sufficient to cover the payment?

Sponsored Programs: Review of Invoices & Approval of Payment Docs

- Does vendor on APV/IFV match invoice?
- Is remittance info on APV/IFV correct and descriptive for proper deposit by subawardee?
- Open spreadsheet at *OneDrive: Historic\4-Sponsored Programs Accounting\Subawards\Subaward Spreadsheets* and enter expenditures by budget category.
- Is the time period reflected on the invoice? Does it match APV/IFV description area time periods?
- Is the time period subsequent to the previous invoice period?
- Is the time period within the subaward contract period?
- Are expenses charged to the proper budget categories? Are they within allowable variances?
- Are the costs allowable (ie. office supplies, subscriptions, etc)?
- Does the invoice total add correctly? Does it match the APV/IFV? Does cumulative amount match?
- Is the cumulative amount less than or equal to the subaward total?
- Does IDC/F&A calculate correctly?
- Use FIS control total on spreadsheet. Type in the project # from the APV into the FIS Budget – Grant by Project parameters to make sure the proper project # is being charged. Type amount paid from APV to ensure that APV amts match invoice expenses already entered into spreadsheet by budget categories.
- Is description area of APV/IFV accurate? Check the original info sheet that was sent to dept.
- Is the subaward number referenced on the invoice? Does it match subaward # listed on APV/IFV?
- Is proper object code charged? First \$25,000 should be charged to E80*0.
- Is the required cost share reported on the invoice?
- Does the invoice include the required certification statement?
- Is the invoice signed?

Sponsored Programs: Before Approving Final Payments

- Has the PI Certification Form been received?
- Are patent reports submitted or enclosed, if required?
- Are property reports submitted or enclosed, if required?
- Are MBE/WBE reports submitted or enclosed, if required?
- If cost sharing is required, has that been met?
- Is the final invoice marked “FINAL”?