

# FORDHAM UNIVERSITY

## Subrecipient Invoice Monitoring Guide

As a prime recipient and a pass-through entity of Federal awards, Fordham University is responsible for monitoring subrecipients to ensure proper stewardship of Federal funds. Subrecipient monitoring is required to be performed by the Principal Investigator (PI), the Office of Sponsored Programs, and the Controller's Officer at all stages of the subagreement from proposal to award closeout.

This guide is a list of 12 questions for the PI to consider and answer, when monitoring subrecipient invoices for completeness and compliance with Fordham's policies and in accordance with the Uniform Guidance.

Note: Fordham will only process the subrecipient invoice for payment after this form is completed and when ALL the below questions are answered. Please follow-up with the subrecipient until all items are appropriately resolved. If you answer NO to any of the below items, please explain thoroughly in an attached document.

**Fordham Principal Investigator Name:** \_\_\_\_\_

**Project Title** \_\_\_\_\_

**FUND Code** \_\_\_\_\_ **ORG Code** \_\_\_\_\_ **PROGRAM Code** \_\_\_\_\_

**Subrecipient Business Name** \_\_\_\_\_

**DUNS #** \_\_\_\_\_

**Funding period** \_\_\_\_\_

***Required for Principal Investigator review of subagreement invoices***

1. Are the expenses allowable per the subagreement and the prime award requirements and budget restrictions flow down to the subrecipient.	<b>YES</b> _____ <b>NO</b> _____
2. Are the invoiced expenses included in the subagreement budget? The subrecipient should only invoice for approved expenses per the subagreement or ask for approval of budget changes when necessary to modify the original terms/budget.	<b>YES</b> _____ <b>NO</b> _____
3. Are the expenses in the agreement consistent with the programmatic plan or work completed to date? The expenses invoiced should agree with the work incurred.	<b>YES</b> _____ <b>NO</b> _____
4. Is the subrecipient's Principal Investigator's (PI) signature on the invoice.	<b>YES</b> _____ <b>NO</b> _____
5. Were all the expenses incurred within the subagreement start and end dates? Ensure that the dates on the invoice are within the subagreement award period dates.	<b>YES</b> _____ <b>NO</b> _____
6. Are the cumulative expenses within the overall approved budget amount? Ensure that subrecipients are <b>not</b> invoicing for amounts <b>over</b> the approved budget.	<b>YES</b> _____ <b>NO</b> _____
7. Are the invoiced expenses per budget category in agreement with the budgeted amount per line item category?	<b>YES</b> _____ <b>NO</b> _____
8. Do expenses appear to be based on actual expenses? Cost reimbursable subcontracts require invoicing based on actual expenses only.	<b>YES</b> _____ <b>NO</b> _____
9. Does the subrecipient's invoice total correctly?	<b>YES</b> _____ <b>NO</b> _____

10. Are the Facilities & Administration (F&A) costs calculated correctly with the correct and agreed upon rate for the subrecipient? Ensure the calculated F&A agrees with the methodology in the budget.

YES \_\_\_ NO \_\_\_

11. Have you verified that the subrecipient or its principals are not suspended or debarred by checking the Excluded Party List System via [www.sam.gov](http://www.sam.gov) ? Non-Federal entities are prohibited from contracting with or making subawards under covered transactions to parties that are suspended or debarred or whose principals are suspended or debarred. —Covered transactions include those procurement contracts for goods and services awarded under a nonprocurement transaction (e.g. grant or cooperative agreement) that are expected to equal or exceed \$25,000.

YES \_\_\_ NO \_\_\_

Date Last Checked \_\_\_\_\_

12. Does the invoice include a certification, signed by an official who is authorized to legally bind the non-Federal entity, which reads as follow: **“By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).”**

*(Requirement of OMB Uniform Guidance)*

YES \_\_\_ NO \_\_\_

**REMEMBER:** Most invoices do not include a large amount of detail. Ask the subrecipient for back-up documentation on specific budget line items if something does not appear correct. **ALSO, IF THERE ARE ANY QUESTIONS ON THE INVOICES, PLEASE DO NOT APPROVE UNTIL ALL ITEMS ARE APPROPRIATELY RESOLVED.**

***I certify that the above responses are accurate and the payment requested for the above listed subrecipient are for appropriate purposes and in accordance with the agreements set forth in the application and award documents.***

Signature of Certifying PI: \_\_\_\_\_

Date: \_\_\_\_\_