



Subrecipient Risk Assessment Evaluation Form

UPR Form Handling Information:		
Completed by:	Office	Date (mm/dd/yyyy)

Institution/Organization ("Subrecipient") Information:
Name: _____
UFIS Project Number: _____
Prime Sponsor: _____
Project Title: _____
CFDA Number: _____
DUNS: _____
FAC EIN: _____

I. Threshold Questions (not scored)
SAM questions (If yes to 1, 2, or 3, consider alternative to initiating agreement)
<p>1. Is the Subrecipient institution currently debarred or suspended?</p> <p>_____ Yes</p> <p>_____ No</p>
<p>2. Is the Subrecipient institution's PI presently debarred or suspended?</p> <p>_____ Yes</p> <p>_____ No</p>
<p>3. Does the Subrecipient indicate or display in SAM with "delinquent federal debt"?</p> <p>_____ Yes</p> <p>_____ No</p> <p><i>(If no to 4, 5, 6 or 7, consider alternative to initiating agreement)</i></p>
<p>4. If the sponsor requires a Conflict of Interest Policy, does the Subrecipient have a compliant policy in place?</p> <p>_____ Yes</p> <p>_____ No</p>
<p>5. Does the Subrecipient have an acceptable accounting system?</p> <p>_____ Yes</p> <p>_____ No</p>

6. Does the Subrecipient have an acceptable procurement system?

Yes

No

7. If required, has the Subrecipient completed an audit under A-133 or the Uniform Guidance for the most recent fiscal year?

Yes

No

II. Other Considerations (Use this section to enhance risk management plan)

1. Does the project include work covered by ITAR or EAR (at Subrecipient, or Subrecipient accessing ITAR/EAR work done at Prime Institution)?

Yes

No

2. Is there a potential or identified conflict of interest? (If yes, include mitigation plan and supporting documentation)

Yes

No

3. Is cost-share required or included?

Yes

No

4. Is participant support included in the Subrecipient's budget?

Yes

No

5. Does the Subrecipient have adequate experience receiving same or similar federal awards?

Yes

No

III. Institutional Questions

	Score
1. Is the Subrecipient institution foreign or domestic?	
a. Subrecipient is a U.S. based institution	0
b. Subrecipient is a foreign location with stable government and financial systems	3
c. Subrecipient is a foreign location with unstable government or financial systems	6
d. Subrecipient is in a restricted foreign location	9
2. What is the Subrecipient Organization type?	
a. University	0
b. Other non-profit	4
c. Industry	6

3. Does the Subrecipient have a Negotiated (F&A) Indirect Cost Rate Agreement?	
<input type="checkbox"/> Yes	0
<input type="checkbox"/> No	3
4. Were the results of the most recent audit under A-133/the Uniform Guidance (or similar)	
a. Yes, audit is clean (no findings) or no relevant findings	0
b. A-133/UG audit has findings but no significant deficiencies or material weaknesses	1
c. A-133/UG audit has qualified or adverse opinions.	4
d. No A-133/UG audit, but has alternative recurring annual audit with no relevant findings	1
e. No A-133/UG audit, but successfully completed an audit or major review by a federal agency	2
f. No A-133/UG audit, but has alternative recurring annual audit with relevant findings	6
g. No audit	6
5. Is the Subrecipient Institution mature?	
a. Subrecipient experience 10+ years	0
b. Subrecipient experience 5-9 years	2
c. Subrecipient experience 1-4 years	4
d. Subrecipient is start-up (less than 1 year)	6
6. Does the Subrecipient Institution have experience with determining conflicts of interest (evidence of an acceptable Conflict of Interest Policy)?	
<input type="checkbox"/> Yes	0
<input type="checkbox"/> No	6
Institutional subtotal	
IV. Project Specific Questions	
1. What is the Prime Award type?	
a. Grant	0
b. Contract	6
2. Amount of Outgoing Funds?	
a. Outgoing Funds > \$650,000	3
b. Outgoing Funds \$150,000 – \$649,999	2
c. Outgoing Funds \$25,000 - \$149,999	1
d. Outgoing Funds \$1 - \$24,999	0

3. What is the percentage of the Prime Award being subcontracted (specific to this Subrecipient-not total)?	
a. 0-24%	0
b. 25-49%	3
c. 50% +	9
4. Does the work include Human Subjects, Animal Subjects or Embryonic stem cells?	
a. No	0
b. Human or Animal Subjects approved by Subrecipient IRB or IACUC	1
c. Embryonic stem cells	4
d. Sponsor must approve	6
e. Subrecipient using Prime Recipient's IRB or IACUC	9
5. Scope of Work/Deliverables	
a. The Subrecipient will only submit progress reports	0
b. The Subrecipient is responsible for tangible products	1
c. The UPR's PI's work is dependent upon Subrecipient's work	3
d. The UPR's work is dependent upon Subrecipient's work and continuation funding for UPR's is tied to performance.	6
6. Where is the Place of Performance?	
a. All work will be performed at the Subrecipient's Institution	0
b. Some work will be performed at the PTE's Institution	4
c. All work will be performed at the PTE's Institution	6
	Project subtotal _____
	Grand total (Institutional + Project subtotals) _____