

Subrecipient Risk Assessment Form

Prepared By: _____ Date: _____

Instructions: This form is to be completed by Sponsored Projects Administration (SPA) as part of their assessment of potential Subrecipient risk. This form should be used in conjunction with the Risk Analysis Matrix for Subrecipients (see Exhibit 2).

SECTION A:

Subrecipient Name			
Project Title			
Project Sponsor			
Project Period		Total Award Amount:	
PI Name			
PI Phone & E-mail			

CHECK THE APPROPRIATE BOX

2 CFR 200 Audit filed and compliant?	Yes		No	
For Profit, publicly traded?	Yes		No	

If both answers are "No", then complete Section B.

SECTION B:

Measure	Low	High
Foreign vs Domestic		
Maturity of Organization		
Subrecipient Organization Type		
Award Type		
Relative Subaward size		
Financial & Administrative Systems		
Negotiated Indirect Cost Rate Agreement		
Audit Report		
Prior Experience		
Service Site Location		

Analysis: SPA with consultation from the PI, will determine the classification of the potential Subrecipient (i.e., low-risk or high-risk). A case-by-case review is required so that an informed decision can be made regarding whether heightened monitoring is required and, if so, what type of additional monitoring should occur.

Debarred Entity (see www.epls.gov/): ☐ Yes ☐ No

Final Risk Rating: ☐ Low Risk ☐ High Risk

Heightened Monitoring: Identify all appropriate heightened monitoring that is warranted for this Subrecipient (check all that apply):

- ☐ As a condition of NMIMT payment, submit copies of supporting documentation.
- ☐ Technical performance reports submitted to NMIMT ☐ Quarterly ☐ Monthly ☐ Other: _____.
- ☐ Submission of trip reports within __ days of travel to substantiate purpose of travel related to project activities.
- ☐ Site visit by PI or project director to evaluate both compliance with the scientific and technical objective of the project and the appropriateness of the Subrecipient's administrative systems, processes, and charges.
- ☐ Audit of Subrecipient at Subrecipient's expense.
- ☐ Other: _____

Comments/Justifications:

Filing instructions: SPA to place copy of completed form in project file.