Risk Assessment Questionnaire

**Institution/Organization (“Subrecipient”)**

Name: DUNS:

Internal Project Identifier: FAC EIN:

Prime Sponsor:

Project Title:

**Threshold Questions (not scored)**

**SAM questions (If yes to 1, 2, or 3, consider alternative to initiating agreement)**

1. Is the Subrecipient Institution presently debarred or suspended?
   1. Yes
   2. No
2. Is the Subrecipient Institution’s PI presently debarred or suspended?
   1. Yes
   2. No
3. Does the Subrecipient indicate or show in SAM with “delinquent federal debt”?
   1. Yes
   2. No

**(If no to 4, 5, 6 or 7, consider alternative to initiating agreement)**

1. If the sponsor requires a conflict of interest policy, does the Subrecipient have a compliant policy in place?
   1. Yes
   2. No
2. Does the Subrecipient have an acceptable accounting system?
   1. Yes
   2. No
3. Does the Subrecipient have an acceptable procurement system?
   1. Yes
   2. No
4. If required, has the Subrecipient completed an audit under A-133 or the Uniform Guidance for the most recent fiscal year?
   1. Yes
   2. No

**Other Considerations**

1. Has there been a PTE-issued management decision on audit findings that may affect this award?
   1. Yes
   2. No
2. Does the Subrecipient have a negotiated indirect cost rate or experience setting up a rate?
3. Yes
4. No
5. Does the project include work covered by ITAR or EAR (at Subrecipient, or Subrecipient accessing ITAR/EAR work done at Prime Institution)?
6. Yes
7. No
8. Is there a potential or identified conflict of interest?
9. Yes
10. No
11. Is cost-share required or included?
12. Yes
13. No
14. Is participant support included in the Subrecipient’s budget?
15. Yes
16. No
17. Does the Subrecipient have adequate experience receiving same or similar federal awards?
    1. Yes
    2. No
18. Have other risks been identified?
19. Yes
20. No

**Institutional Questions**

1. Is the Subrecipient institution foreign or domestic? SCORE
   1. Subrecipient is a U.S. based institution 0
   2. Subrecipient is a foreign location with stable government and financial systems 3
   3. Subrecipient is a foreign location with unstable government or financial systems 6
   4. Subrecipient is in a restricted foreign location 9
2. What is the Subrecipient Organization type?
3. University 0
4. Other non-profit 4
5. Industry 6
6. Does the Subrecipient have a Negotiated Indirect Cost Rate Agreement?
7. Yes 0
8. No 3
9. Were the results of the most recent audit under A-133/the Uniform Guidance (or similar)

satisfactory?

1. Yes, audit is clean (no findings) or no relevant findings 0
2. A-133/UG audit has findings but no significant deficiencies or material weaknesses 1
3. A-133/UG audit has qualified or adverse opinions. 4
4. No A-133/UG audit, but completed mini-audit (or similar audit) with no problem(s) 2
5. No A-133/UG audit, but has alternative recurring annual audit with no findings 1
6. No A-133/UG audit, but successfully completed an audit or major review 2

by a federal agency

1. No A-133/UG audit, and mini-audit (or similar audit) identified problem(s) 6
2. No audit 6
3. Is the Subrecipient Institution mature?
4. Subrecipient experience 10+ years 0
5. Subrecipient experience 5-9 years 2
6. Subrecipient experience 1-4 years 4
7. Subrecipient is start-up (less than 1 year) 6
8. Does the Subrecipient Institution have experience with determining conflicts of interest

(evidence of an acceptable Conflict of Interest Policy)?

1. Yes 0
2. No 6

**Institutional subtotal \_\_\_\_\_**

**Project Specific Questions**

1. What is the Prime Sponsor type? SCORE
   1. Foundation or Routine Granting Agency 0
   2. State, Corporate, or more stringent Federal Sponsor 4
   3. Federal Contracting Agency 4
   4. Corporate Sponsor flowing down Federal Prime 6
   5. Government Owned/Contractor Operated 6
   6. Foreign sponsor or other very stringent sponsor (from any funding source) 8
2. What is the Prime Award type?
3. Grant 0
4. Grant with conditions 2
5. Contract or Subcontract 6
6. Amount of Outgoing Funds?
7. Outgoing Funds > $650,000 3
8. Outgoing Funds $150,000 – $649,999 2
9. Outgoing Funds $25,000 - $149,999 1
10. Outgoing Funds $1 - $24,999 0
11. What is the percentage of the Prime Award being subcontracted (specific to this

Subrecipient—not total)?

1. 0-24% 0
2. 25-49% 3
3. 50% + 9
4. Does the work include Human Subjects, Animal Subjects or Embryonic stem cells?
5. No 0
6. Human or Animal Subjects approved by Subrecipient IRB or IACUC 1
7. Embryonic stem cells 4
8. Sponsor must approve 6
9. Subrecipient using Prime Recipient’s IRB or IACUC 9
10. Scope of Work/Deliverables
11. The Subrecipient will only submit progress reports 0
12. The Subrecipient is responsible for tangible products 1
13. The PTE’s PI’s work is dependent upon Subrecipient’s work 3
14. The PTE’s work is dependent upon Sub’s work and continuation funding 6

is tied to performance.

1. Where is the Place of Performance?
2. All work will be performed at the Subrecipient’s Institution 0
3. Some work will be performed at the PTE’s Institution 4
4. All work will be performed at the PTE’s Institution 6

**Project subtotal \_\_\_\_\_**

**Grand total (Institutional + Project subtotals) \_\_\_\_\_**