Subaward
Risk Assessment

Subrecipient:

Subaward Description

Brief Description of Prime Award Activities	
Brief Description of Subrecipient's Role	

Complexity of Subaward Funding

1	2	3	4	5

1 = Technically straight-forward
5 = Technically complex, requiring highly specialized skills

Complexity of Subaward Programmatic Work

1	2	3	4	5

1 = Easy to manage (no match, no administrative cost caps, no special funding limitations)
5 = Difficult to manage (numerous issues of match, administrative costs, and special funding limitations)

Prior Experience with Subrecipient

Prior Subawards to Subrecipient	
Total Length of Prior Relationship with Subrecipient	
Prior Compliance Concerns (If Any)	

Suspension, Debarment, and Exclusion

Database	Date (or N/A)	Result
SAM.gov EPLS check		
If federal funding is from an HHS "Health Care" Program, OIG Exclusion List check		

Subrecipient Capacity Indicators

Does Subrecipient Receive Direct Federal Awards?	Y / N
Does Subrecipient Perform Similar Awards to the Subaward Under Consideration?	Y / N
Assessment of Subrecipient Questionnaire (Consideration of Strengths and Weaknesses)	

Overall Risk Assessment Rating

1	2	3	4	5

1 = Low Risk Subaward to Low Risk Subrecipient
5 = High Risk Subaward to High Risk Subrecipient

Risk Mitigation Measures

For Overall Risk Ratings of 4 and 5, Tailored Measures to Mitigate Risk	

Additional Comments (If Any):

Reviewed:

________________________ _________
[Insert] Date
[Finance Dept Rep]

________________________ _________
[Insert] Date
[Grant Management / Compliance / Operations Rep]

Subrecipient Questionnaire

Subrecipient Entity			
Entity Name			
UEI Number			
Address			
Point of Contact	Name: Title: Email: Phone:		
Year Established		Approx. No. of Employees	
Type of Entity	Nonprofit // IHE // State Gov. // Local Gov. // Tribal Gov. // Other		
Fiscal Year End			
Description of Entity Business Activities			

Audit History	
In any of the last three years, has your entity expended $750,000 ($1,000,000 for fiscal years beginning on or after October 1, 2024) or more in Federal Awards?	
If "yes" to the question above, did your entity obtain a Single Audit Act audit for that year?	
In any such audits, were any compliance findings, questioned costs, material weaknesses, or significant deficiencies identified in the audit report? (If "yes," please explain below)	
Explanation (if applicable):	

Financial Statements	
Does your entity maintain audited financial statements?	Y / N
When was the last financial statement audit conducted?	Y / N
Did the auditors find the financial statements fairly presented, in all material respects, the financial position of your entity?	Y / N
If audited financial statements are not maintained, are unaudited (compiled) financial statements prepared in accordance with GAAP?	Y / N / NA

Other Proceedings	
Is your entity currently undergoing any government inquiry, investigation, or enforcement action involving business functions relevant to the proposed subaward? For purposes of this question, please construe "business functions relevant to the proposed subaward" as including: (i) activities of departments or divisions to be involved in direct performance of the proposed subaward and (ii) grant management-related functions regardless of department or division. (If "yes," please explain below)	Y / N
Is your entity, or any principal who may be involved in performance of the proposed subaward, undergoing any processing for potential suspension or debarment from participation in federal contracts or awards or exclusion from federal health care programs? (If "yes," please explain below)	Y / N
Explanation(s) (if applicable):	

Policies/Procedures	
Does your entity maintain the following policies and/or procedures?	
Financial Management/Accounting	Y / N
Grant Draw Down / Requests for Federal Cash Advances	Y / N
Time and Effort	Y / N
Travel	Y / N
Incentive Compensation	Y / N
Does your entity maintain discrete fund-accounts that are used (or which will be used) to account for federal revenues and expenditures by grant/cooperative agreement? Please briefly describe.	
What is your entity's capitalization threshold?	
Describe your entity's approach to time and effort documentation	

Indirect Cost / Overhead / General & Administrative	
How does your entity allocate and recover overhead and/or G&A costs? (select)	☐ Negotiated Indirect Cost Rate Agreement (NICRA) ☐ *De Minimis* Rate (2 C.F.R. § 200.414(f)) ☐ Direct Allocation/Distribution (2 C.F.R. § 200.405(d))

Integration of Proposed Subaward Activities	
Briefly describe how the proposed subaward activities will be integrated into your entity's existing activities.	
Will any personnel split their time between the activities funded under the proposed subaward and your entity's existing activities?	
Does your entity plan to acquire or improve any equipment (including information technology systems) with funds provided under the proposed subaward?	
What are the most significant management or performance issues your entity will work to manage in integrating the subaward activities into your entity's existing activities?	