Risk Assessment Questionnaire

Subrecipient Institution	
Subject to Single Audit?	Yes ☐ No ☐
Relevant Findings?	Yes ☐ No ☐
Internal Project Identifier	
Prime Sponsor	
DUNS	
FAC EIN	
See other tab for	*guidance and frequently asked questions*

Threshold Questions (Not Scored)

	Yes	No
If yes to 1, 2, or 3, consider alternatives to initiating agreement:		
1. Is the Subrecipient Institution presently debarred or suspended?	☐	☐
2. Is the Subrecipient Institution's PI presently debarred or suspended?	☐	☐
3. Does the Subrecipient show "delinquent federal debt" in SAM?	☐	☐
If no to 4, 5, 6, or 7, consider alternatives to initiating agreement:		
4. If required by the sponsor, does the Subrecipient have a compliant conflict of interest policy?	☐	☐
5. Does the Subrecipient have an acceptable accounting system?	☐	☐
6. Does the Subrecipient have an acceptable procurement system?	☐	☐
7. If required, has the Subrecipient completed audit under A-133 or Uniform Guidance for the most recent fiscal year?	☐	☐

Other Considerations (Not Scored)

8. Has there been a PTE-issued management decision on audit findings that may affect this award?	☐	☐
9. Does the Subrecipient have a negotiated indirect cost rate (or experience setting up such a rate)?	☐	☐
10. Does the project include work covered by ITAR or EAR (at Subrecipient, or Subrecipient accessing at PTE?)	☐	☐
11. Is there a potential or identified conflict of interest?	☐	☐
12. Is cost-share required or included?	☐	☐
13. Is participant support included in the Subrecipient's budget?	☐	☐
14. Does the Subrecipient have adequate experience receiving same or similar federal awards?	☐	☐
15. Have other risks been identified? *If yes, explain in Notes below.*	☐	☐

Institution Questions (Scored) **Score**

16. Is the Subrecipient institution foreign or domestic?
<click to select>
17. What is the Subrecipient Organization type?
<click to select>
18. Does the Subrecipient have a Negotiated IDC Rate Agreement?
<click to select>
19. Were the results of the most recent Single audit (or similar) satisfactory?
<click to select>
20. Is the Subrecipient Institution mature?
<click to select>
21. Does the Subrecipient Institution have experience with determining conflicts of interest (evidence of an acceptable COI Policy)?
<click to select>

Project Questions (Scored)

22. What is the Prime Sponsor type?
<click to select>
23. What is the Prime Award type?
<click to select>
24. Amount of Outgoing Funds?
<click to select>
25. What is the percentage of the Prime Award being subcontracted (specific to this Subrecipient—not total)?
<click to select>
26. Does the work include Human Subjects, Animal Subjects, or Embryonic stem cells?
<click to select>
27. What are the Subrecipient's Scope of Work/Deliverables?
<click to select>
28. Where is the Place of Performance?
<click to select>

Assessment Performed:

Initials	Date

Assessment Incomplete

Assessed Risk	Score
Institution	0
Project	0
Total	0

Notes: