# Subrecipient Risk Analysis - High/Low Risk Entities

# Section A: General Instructions

# Complete the risk analysis using the information provided by Pre-Award, the information in the Sponsor award document and the Subrecipient Risk Assessment Portal

# The risk analysis must be applied each time a new subaward is issued or a modification is made to an existing award (refer to Glossary <https://www.purdue.edu/business/sps/pdf/Subrecipient_Risk_Analysis_Glossary.pdf> )

* Any circumstance not covered in this version of the risk assessment can be marked in the comments section of this form.

# Use Audit information from Portal for Section B.1. If there is no Audit referenced in the portal, please email the Operations Coordinator to have this updated. Make sure this form is uploaded in the COEUS IP record and include that COEUS number in the email to the Operations Coordinator.

**Subrecipient Name: Date:**

**Subrecipient Number: Post Award Reviewer:**

**Subaward #: Prime Sponsor:**

**Section B: Low-Risk Assessment:**

1. Does Subrecipient have a current Single Audit report in the Federal Audit Clearinghouse? Yes  No
2. Does the Subrecipient receive direct Federal funds? Yes  No
3. Is the Subrecipient presently debarred or suspended? Yes  No
4. Is there any Prime project flowdown issues that need to be further assessed Yes  No
5. Has the Subrecipient been designated as high risk in the portal Yes  No

* If answer to 1 & 2 is Yes and 3, 4 & 5 are No, Purdue has determined the Subrecipient to be a Lower risk
* For all other combination of responses, proceed to Section C below

***(Post Award routes to Contracting and loads the completed form into IP record and Perceptive Content)***

**Section C: Determine if the Criteria is High Risk:**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Criteria** | **Low Risk (L)** | **High Risk (H)** | **Mark Box**  **(click for L or H)** |  |
| Is the Subrecipient Foreign? | Domestic | Foreign | Choose an item. | Y |
| Is the Subrecipient Organization a Start-up? | Mature | Start-up | Choose an item. |  |
| Is percent of Award Subawarded > or = 50%? | Total cost is <50% | Total cost is >or = 50% | Choose an item. |  |
| Are there established Accounting Systems? | Yes | No | Choose an item. |  |
| Prior experience with Subrecipient? | Previous positive experience | New Subrecipient, or previous negative experience | Choose an item. |  |
| Does PI have a relationship with subrecipient and potential for conflict of interest? | No existing or former relationship to PI | PI's relationship | Choose an item. |  |
| Regulatory Considerations: Export controls; Human Subjects; Vertebrate Animals; Human Trafficking (Indicate which regulatory considerations is flagged in SAP) | No | Yes | Choose an item. |  |
| Special Considerations: Contracting comments in post award notes, Advanced payment requirement, **Fee vs IDC**, Disallowance of fringes and or fee remits, Milestone payment schedule, Approval of milestone reports and final report before payment, Atypical-reporting requirements. ( Please describe in Post award comments on next page) |  | If there are special considerations please refer to glossary: <https://www.purdue.edu/business/sps/pdf/Subrecipient_Risk_Analysis_Glossary.pdf> | Choose an item. |  |

* ***Post Award will upload this completed form in to the Institute Proposal Attachments.***
* ***Coeus Number:***

**Section D: Additional information for RAC and Contracting:**

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| --- |
| Comments from Post-Award (additional information for RAC and Contracting): |

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| --- |
| Comments from Contract Analyst: |

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| --- |
| Comments to be included in Subrecipient Portal: |