



Subrecipient Risk Assessment Questionnaire

Project Information	
Subaward #:	Subaward Period of Performance:
Project Title:	Prime Award Type (grant, contract, etc.):
Subrecipient's PI:	Prime Recipient's PI:
Subaward Amount: \$	Prime Award #/Sponsor:
Subrecipient Chief Financial Officer or Equivalent (Name/Title):	
Subrecipient Information	
Legal Name of Entity:	
UEI #:	
EIN (Employer ID Number):	
Fiscal Year End date:	
Founded in:	
Number of employees:	
Address:	
Telephone:	
Website:	
Type of Organization: <input type="checkbox"/> Government <input type="checkbox"/> Nonprofit Corporation <input type="checkbox"/> Other Industry <input type="checkbox"/> Individual <input type="checkbox"/> University	
Classification (check all that apply):	
<input type="checkbox"/> Large Business	
<input type="checkbox"/> Small Business	
<input type="checkbox"/> Small disadvantaged Business	
<input type="checkbox"/> Women-owned Business	
<input type="checkbox"/> Tribal	
<input type="checkbox"/> Historically Black College/University	
<input type="checkbox"/> Historically underutilized business zone	
<input type="checkbox"/> Minority Institution	
<input type="checkbox"/> Other	

Part I. 2 CFR 200.

The 2 CFR 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Award, Subpart F requires that non-Federal entities that expend \$750,000 or more during the non-Federal entity's fiscal year in Federal awards must have a single or program-specific audit conducted for that year.

We need positive assurance that you are either not subject to these requirements or that you follow these requirements.

- A. We are not subject to the requirements of 2 CFR 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Award, Subpart F because (check one and explain if necessary):

<input type="checkbox"/>	We have less than \$750K in expenses on awards subject to 2 CFR 200
<input type="checkbox"/>	Other (explain):
<input type="checkbox"/>	A copy of our most recent audited financial statement is attached

- B. We are subject to 2 CFR 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for federal Award, Subpart F and (check one and complete as appropriate)

<input type="checkbox"/>	A copy of our audit from the previous year is attached.
<input type="checkbox"/>	The following is a link to our audit:
<input type="checkbox"/>	We have not completed the audit. We will forward you a copy when we have completed it. We expect to complete the audit on:
<input type="checkbox"/>	There were findings or questioned costs in the last two (2) fiscal years. If checked, explain any findings or questioned costs with respect to an award or subaward similar to the proposed subaward agreement.

Part II. Financial System Assessment.

If you are subject to 2 CFR 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for federal Award, Subpart F requirements or you are not subject to 2 CFR 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for federal Award, Subpart F and are unable to provide audited financial statements, please answer the following:

1. Do you have knowledge of the 2 CFR 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for federal Award and other relevant Federal guidelines that are applicable to the subaward agreement?
 Yes No
2. Do you review and categorize in your accounting system all costs to ensure that costs deemed unallowable, per the Federal guidelines noted above, are excluded from the amount billed to the NMC under this subaward agreement?
 Yes No
3. Do you review and categorize in your accounting system direct and indirect costs are identified and billed in a consistent manner, per the above noted Federal guidelines?
 Yes No
4. Subaward agreements that are cost reimbursable should be billed per agreement for expenses that are allowable in the format of the budget in the agreement; identifying current charges and showing cumulative invoiced amounts. Fixed price agreements should be billed in accordance to the schedule in the subaward agreement.
 Check box to acknowledge
5. Expenses for this agreement will be kept in a separate account.
 Check box to acknowledge
6. Has your organization received an award or subaward similar to this proposed subaward agreement in the last two (2) fiscal years?
 Yes (provide a list of all such awards and subawards) No
7. Does your financial system provide for effective control over and accountability for all funds, property, and other assets, including but not limited to (1) comparison of expenditures with budget amounts for each award, (2) recording of each grant/contract by budget cost categories shown in the approved budget?
 Yes No
8. Are all disbursements properly documented with evidence of receipt of goods or performance of services?
 Yes No
9. Are all bank accounts reconciled monthly?
 Yes No
10. In the last 12 months, have you hired new senior management personnel (e.g., Executive Director/CEO, CFO) and or program personnel who would be working on this proposed subaward?
 Yes (explain):
 No
11. In the last 12 months, have you implemented new or substantially changed systems related to your federal grant management?
 Yes (explain): No
12. Do you have written procurement policies and procedures?
 Yes No (explain):
13. Do you have a negotiated indirect cost agreement?
 Yes (attach to this form) No (explain):
14. Do you have a system in place to determine that it has met its cost sharing goals, if applicable?
 Yes No
15. Do you have an effective system of authorizing and approval capital equipment expenditures?
 Yes No
16. Do you keep detailed records of individual capital assets and periodically reconcile such records with the general ledger accounts?
 Yes No
17. Do you have effective procedures for authorizing and accounting for the disposal of property and equipment?
 Yes No
18. Do you periodically check your detailed property records against physical inventory?
 Yes No

Part III. Legal Assessment.

1. Are you presently debarred, suspended, proposed for debarment, or declared ineligible for the award of contracts by any Federal Agency?

Yes

No

2. Have you, within a three-year period preceding this offer, been convicted of or had a civil judgment rendered against you for: commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, state, or local) contract or subcontract; violation of Federal or state antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, violating Federal criminal tax laws, or receiving stolen property?

Yes

No

Part IV. COI.

Your organization has its own financial conflict of interest (FCOI) policy.

Yes, a copy is attached

No, the subrecipient's organization agrees to adhere by the NMC's PHS FCOI policy.

Part V. Other

By Its Authorized Signatory Below, Subrecipient hereby certifies and attests to the accuracy of the above responses and all corresponding information attached.

Name/Title of the person completed this form:	
Signature: (Electronic Signature Permitted)	
Phone:	E-mail:
Date:	

Please return this form to: research@newmexicoconsortium.org