

Subrecipient Risk Analysis - High/Low Risk Entities

Section A: General Instructions

- Complete the risk analysis using the information provided in the proposal, the information in the Sponsor award document and the Subrecipient Audit Risk Summary (located in Perceptive Content Portal).
- Proceed to Section B & C if the Subrecipient Audit Risk Summary is in the SPS Subrecipient Monitoring Portal. Use Audit information found in SPS Subrecipient Monitoring Portal for Section B-1 & B-2.
- If there is no Subrecipient Audit Risk Summary found in the Portal for this Subrecipient email rqa@purdue.edu to have this subrecipient reviewed and updated. **Make sure to include the Subrecipient number and name in this email (you do not have to send this form).** The template email can be found here: K:_DeptAll\POSTAWARD\Subrecipients\Subrecipient Audit Risk Summary not found
 - Once RQA has uploaded the Subrecipient Audit Risk Summary, they will notify the Administrator that the Subrecipient Audit Risk Summary Form has been uploaded. You can then proceed with the Risk Analysis Section B & C.

Note: The risk analysis must be applied each time a new subaward is issued or a modification is made to an existing award. Any circumstance not covered in this version of the risk assessment can be marked in the comments section of this form.

[Subrecipient Risk Analysis Form Instructions](#)

Subrecipient Name: _____ Date: _____
 Subrecipient Number: _____ Post Award Reviewer: _____
 Subaward #: _____ Prime Sponsor: _____
 Sponsored Program # _____

Section B: Low-Risk Assessment: [Not applicable for Non-Federal Subcontracts (skip to Section C)]

- 1) Does Subrecipient have a current Single Audit report in the Federal Audit Clearinghouse? Yes No
(refer to the Subrecipient Audit Risk Summary)
- 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 flow down issues that need to be further assessed? Yes No
- 5) Has the Subrecipient been designated as high risk on the Subrecipient Audit Risk Summary? 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

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	
Is the Subrecipient Organization a Start-up?	Mature	Start-up	
Is percent of Award Subawarded > or = 50%?	Total cost is <50%	Total cost is >or = 50%	
Are there established Accounting Systems?	Yes	No	
Prior experience with Subrecipient?	Previous positive experience	New Subrecipient, or previous negative experience	
Does PI have a relationship with subrecipient and potential for conflict of interest?	No existing or former relationship to PI	PI's relationship	
Regulatory Considerations: Export controls; Human Subjects; Vertebrate Animals; Human Trafficking (Indicate which regulatory considerations is flagged in SAP)	No	Yes	
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/busin/ess/sps/pdf/Subrecipient_Risk_Analysis_Glossary.pdf	

- **Post Award uploads this form and the Snagit document of the Subrecipient Tab in SAP to Perceptive Content once Sections A-C are complete and routes to manager for review. Manager will then route to contracting (via SAP).**

Section D: Additional information for Contracting:

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

A large, empty rectangular box with a black border, intended for providing comments from Post-Award (additional information for Contracting).