



UNIVERSITY OF NORTH FLORIDA
OFFICE OF RESEARCH AND SPONSORED PROGRAMS

SUBRECIPIENT RISK ASSESSMENT FORM (for Internal Use Only)

The University of North Florida ORSP Contract Administration unit will complete this form. Once completed, the form should be forwarded to the Grants Accounting and Financial Management unit.

SUBRECIPIENT INFORMATION

Legal Name: _____ PI Name _____

Total Funds Requested: _____ Total Project Budget: _____ Performance Period: From _____ To _____

UNIVERSITY OF NORTH FLORIDA INFORMATION

PI Name _____ Prime Sponsor _____

Category	Low Risk (0)	Medium Risk (1)	High Risk (2)	Weight		Score		Weighted Score
1. Foreign vs. Domestic	U.S. based	Foreign location with stable government and financial systems	Foreign location with unstable government or financial systems or restricted location	3	X		=	
2. Subrecipient Organization Type	University or non-profit subject to federal audit requirements	Non-profit not subject to federal audit requirements	Industry or other for-profit organization not subject to federal or other audit regulations	2	X		=	
3. Maturity of Organization	Mature (more than 10 years)	Mature, but not research oriented	Start up, no fiscal controls in place yet	2	X		=	
4. Subrecipient's prior experience with similar subawards or awarding agency	Subrecipient has prior experience with the same/similar subawards	Subrecipient does not have prior experience with type of award, or subrecipient does not receive federal awards or is unfamiliar with awarding agency's requirements	Subrecipient does not have prior experience with the type of research or programmatic deliverables required by subaward	2	X		=	
5. UNF's prior experience with subrecipient	Previous positive experience as UNF subrecipient	Previous experience as UNF subrecipient but may have some minor concerns	New subrecipient or previous negative experience	5	X		=	
6. Audit results and accounting	Has annual audit with unqualified opinion	Has annual third-party financial audit or subrecipient has a new or substantially changed systems or personnel for project administration	Has not had a financial audit by a third party or current audit has material weaknesses, reportable conditions or findings	5	X		=	

7. Amount/percentage passed-through	Lower funding levels or percentage of total funds allocated to subrecipient is less than 20%	Funding allocated to subrecipient is a large part of the total award or is >20% < 49%	Funding level is >\$250,000 or >49% of award	4	X		=	
8. Scope of work and project deliverables	Objectives are easily identified (e.g. reports); progress based on milestones or observable outcomes	Subrecipient has no defined deliverables	Deliverables necessary in order to achieve project success; no reporting until end of the project, no measurable or observable milestones or outcomes	2	X		=	
9. Compliance	No compliance issues involved (e.g. IRB, export control, IACUC)	Subrecipient has protocols in place to meet compliance requirements	Compliance requirements are in place but subrecipient does not have protocols approve/monitor the requirements; project involves export controlled material, data or technical reports	3	X		=	
10. Cost sharing	Subrecipient has not made commitment to cost share	Subrecipient has committed to fund project costs not paid by the award or subaward	Subrecipient has committed to fund substantial project costs not paid by the award or subaward	4	X		=	
TOTAL								

CIRCLE RISK ASSESSMENT OF SUBRECIPIENT

LOW (0-10)	PI certifies payment for services
MEDIUM (11-40)	As appropriate, require detailed invoicing from subrecipient, invoice on a monthly or quarterly basis, and PI certifies payment for services
HIGH (41 OR MORE)	As appropriate, require detailed invoicing, require copies of organizational ledgers, invoice on a monthly or quarterly basis, PI certifies payment for services, and provides expenditure supporting documentation (e.g. payroll ledgers and/or cancelled checks)

Signature of Reviewer _____ Date _____