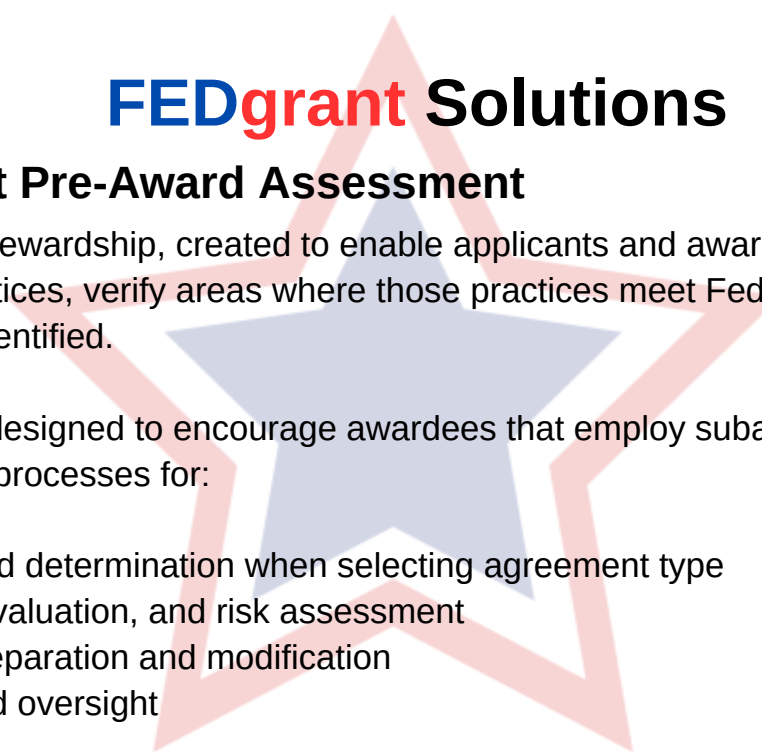




FEDgrant Solutions

Weighted Subrecipient Pre-Award Assessment

This tool is to facilitate award stewardship, created to enable applicants and awardees the ability to assess their subrecipient management practices, verify areas where those practices meet Federal requirements, and identify and remedy any deficiencies identified.

Specifically, this checklist was designed to encourage awardees that employ subawards under federal awards to ensure they have documented processes for:

- Contract versus subaward determination when selecting agreement type
- Subrecipient selection, evaluation, and risk assessment
- Subaward agreement preparation and modification
- Subaward monitoring and oversight
- Reporting requirements.

For additional guidance, please refer to following: 2 CFR 200: Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance)

- Subrecipient Monitoring and Management [Section 331 Subrecipient and contractor determinations](#), [Section 332 Requirements for pass-through entities](#), and [Section 333 Fixed amount subawards](#)
- Specific Conditions [Section 208](#)
- Remedies for noncompliance [Section 339](#) and Termination [Section 340](#)
- Audit Requirements [Subpart-F](#)
- Additional specific Federal Agency Grant Policies & Regulations

A. General Information

Subrecipient Name:	
Subrecipient DUNS/UEI:	
Subrecipient Address:	
Project Title:	
Period of Performance:	
Total Award Amount:	

B. Risk Assessment

Instructions for Scoring: Using this weighted approach allows you to objectively assess the subrecipient's risk level based on specific criteria, with more critical areas carrying greater influence on the overall score.

- **Score (1-5):** Rate each item based on your assessment, where 1 = Poor/High Risk and 5 = Excellent/Low Risk.
- **Weighted Score:** Multiply the score by the weight to get the weighted score for each category.
- **Total Weighted Score:** Add up all the weighted scores to get the final assessment score.

Category	Weight	Score (1-5)	Weighted Score (Weight x Score)	Guidance for Scoring (1-5)
1. Financial Stability	20%			1: Significant financial instability, recent audit findings; 5: Excellent financial health, no findings.
2. Internal Controls	25%			1: Weak or no internal controls; 5: Strong, documented internal controls and procedures.
3. Personnel	15%			1: Inexperienced staff, insufficient personnel; 5: Highly experienced staff, well-resourced team.
4. Past Performance	15%			1: Poor past performance, significant compliance issues; 5: Strong history of successful, compliant projects.
5. Subrecipient Monitoring	10%			1: No monitoring systems or poor past monitoring; 5: Effective monitoring systems with positive results.
6. Compliance with OMB Uniform Guidance	10%			1: History of non-compliance, unresolved findings; 5: Strong compliance history, timely resolution of findings.
7. Cost Sharing and Program Income	5%			1: No policies or poor tracking of cost-sharing/program income; 5: Clear, effective policies in place.

C. Average Weighted Score (Sum of all weighted scores/7) = _____

D. Risk Level Determination

- **Low Risk:** 4.0 - 5.0
- **Moderate Risk:** 3.0 - 3.9
- **High Risk:** Below 3.0

E. Mitigation Strategies (if any - recommended for those with moderate to high risk scores):

Additional monitoring or reporting requirements:	
Training or technical assistance:	
Adjustments to the agreement terms:	

Completed by (name): _____

Date: ____/____/____