Exhibit 3

Subrecipient Risk Assessment Form

Prepared By: _____   Date: _____

Instructions: This form is to be completed by Sponsored Project Administration (SPA) ... of potential Subrecipient risk. This form should be used in conjunction with the Risk Analysis Matrix for Subrecipients (see Exhibit 2).

SECTION A:

Subrecipient Name	
Project Title	
Project Sponsor	
Project Period	Total Award Amount
PI Phone & E-mail	

CHECK THE APPROPRIATE BOX

2 CFR 200 Audit'ned and compliant and recipient?	Yes		No		If both answers are "No", then complete	
For Profit, publicly traded?	Yes		No		Section B.	

SECTION B:

Measure	Low	High
Foreign vs Domestic		
Maturity of Organization		
Subrecipient Organization Type		
Award Type		
Relative Subaward size		
Financial & Administrative Systems		
Negotiated Indirect Cost Rate Agreement		
Audit Report		
Prior Experience		
Service Site Location		

Analysis: SPA with consultation from the PI, will determine the classification of the potential Subrecipient (i.e., low-risk or high-risk). A case-by-case review is required so that an informed decision can be made regarding whether heightened monitoring is required and, if so, what type of additional monitoring should be ...

Debarred Entities/200... reviewed? ☐ Yes ☐ No

Final Risk Rating: ☐ Low Risk ☐ High Risk

Heightened Monitoring: Identify all appropriate heightened monitoring that is warranted for this Subrecipient (check all that apply):

☐ As a condition of NMIMT payment, submit copies of reporting documentation

☐ Technical performance reports submitted to NMIMT ☐ Quarterly ☐ Monthly ☐ Other: _____

☐ Submission of trip reports within ___ days of travel to substantiate purpose of travel related to project activities

☐ Site visit by PI or project director ...

☐ Audit of Subrecipient at Subrecipient's expense.

☐ Other: _____

Comments/Justifications: _____

Filing Instructions: SPA to place a copy of completed form in project file.