



Subrecipient Profile Questionnaire

How to use: The questionnaire is used to help determine a subrecipient organization's financial and management strength, which helps assess risk and dictates the monitoring plan for domestic subrecipients. The questionnaire must be completed and signed by the subrecipient prior to the issuance of a subaward.

Section A: LATEch Proposal Information (LATEch Use Only)

LATEch Proposal Number: _____

Name of LATEch PI: _____

LATEch PI Department: _____

Prime Sponsor: _____

Project Title: _____

LATEch Account Number (if known): _____

Section B: Subrecipient Eligibility

Is your organization or your organization's principals presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in this transaction by any federal department or agency?

Yes No

If yes, please skip the rest of the questionnaire, sign and return the questionnaire to allisonm@latech.edu.

Section C: Subrecipient Determination

Is your organization properly categorized as a subrecipient in accordance with 2CFR200.330?

Yes No

Section D: Subrecipient Organization Information

Please fill out the information below, as appropriate.

1. Complete address and contact information:

Name of Your Organization: _____

Address: _____

Phone: _____ Fax: _____

Email: _____ URL: _____

Incorporated in: _____ Incorporated Date: _____

Number of Employees: _____ Congressional District: _____

DUNS Number: _____ EIN: _____

Registered in SAM? Yes No Expiration Date of Current registration: _____

Administrative Contact:

Name: _____

Address: _____

Telephone: _____

Fax: _____

Email: _____

Principal Investigator:

Name: _____

Address: _____

Telephone: _____

Fax: _____

Email: _____

Financial Contact:

Name: _____

Address: _____

Telephone: _____

Fax: _____

Email: _____

Authorized Official:

Name: _____

Address: _____

Telephone: _____

Fax: _____

Email: _____

2. Type of organization (check all that apply):

University

Louisiana State

Other State (non-LA)

Non-Profit Org

For-Profit Org

Foundation

Federal Government

Foreign Entity

Other: _____

3. Organization classification (if applicable):

Large Business

Small Business

Historically Black College / University

Small Disadvantaged Business

Historically Underutilized Business Zone

Woman-Owned

Minority Institution / Owned

Individual

Tribal

Volunteer Organization

Veteran-Owned

Other: _____

4. Fiscal year dates (month and year): _____

5. Name of designated federal cognizant agency, if applicable: _____

6. Negotiated Federal Facilities and Administrative rate (F&A):

Yes No

If yes, please attach a copy of your current rate agreement or provide the URL. If no, a de minimis rate of 10% of MTDC will be used in accordance with 2CFR200.414.

7. Required to comply with OMB Uniform Guidance Subpart F – Single Audit Requirements:

Yes No

Audit Contact Name and Title: _____

Address: _____

Email: _____

Auditee Name Filed Under: _____

EIN Filed Under: _____

URL of Audit Report: _____

8. Has your organization received any audit findings or have any material weaknesses been identified in either of the two preceding fiscal years?

Yes No

If Yes, please provide a copy of or link to your audit report.

9. Does organization have on-going direct Federal awards? (2CFR200.331)

Yes No

If Yes, do any such federal awards come from the same Federal awarding agency which funds this project?

Yes No

If your organization has no on-going direct federal awards, do you have on-going indirect federal awards (i.e. federally funded subawards)?

Yes No

If Yes, please provide the name of the Federal agency, the prime recipient, project title, subaward period and subaward amount for at least five of these subawards. _____

10. Do policies and/or procedures exist that address:

- a. Pay Rates and Benefits? Yes No
- b. Time and Attendance? Yes No
- c. Leave? Yes No
- d. Travel? Yes No
- e. Purchasing? Yes No
- f. Use of Animals/HumanSubjects/Recombinant DNA? Yes No
- g. Conflict of Interest? Yes No
- h. Export Control? Yes No

11. The organization certifies that its financial system is in accordance with generally accepted accounting principles and:

- Has the capability to identify, in its accounts, all federal awards received and expended and the federal programs under which they were received,
- Maintains internal controls to assure that it is managing federal awards in compliance with applicable laws, regulations, and the provisions of contracts or grants,
- Complies with applicable laws and regulations,
- Can prepare appropriate financial statements, include the schedule of expenditures of federal awards,
- There are no outstanding audit findings which would impact project costs. If there are findings, submit a copy of the report that describes the finding and steps to be taken to correct the finding.

12. Does Subrecipient's scope of work involve regulatory compliance considerations (e.g. IRB, IACUC, Export Control, etc.)?

- Yes No

If yes, please explain: _____

13. Describe the method by which labor and fringe benefits are assessed on sponsored projects

14. Is Government property inventory maintained that identifies purchase date, cost, vendor, description, serial number, location, and ultimate disposition data?

Yes

No

15. Has any new system been recently put in place or has there been any change to the existing system (e.g. accounting, information, management, etc.)? (2CFR200.331)

Yes

No

If Yes, please explain: _____

16. Federal Funding Accountability and Transparency Act (FFATA) Information:

The names and total compensation of the five most compensated officers of the entity must be listed if the entity in the preceding fiscal year received:

- (1) 80 percent or more of its annual gross revenues in federal awards (federal contract and subcontracts, loans, grants and subgrants, and cooperative agreements; AND
- (2) \$25,000,000 or more in annual gross revenues from Federal awards; AND
- (3) The public does not have access to information about the compensation of the senior executives or the entity through periodic reports filed under section 13(a) or 15(d) of the Securities and Exchange Act of 1934 (15 U.S.C. 78o(d) or section 6104 of the Internal Revenue Code of 1986.

Check if subaward is exempt from reporting executive compensation. If not exempt, please complete the information below.

Officer 1 Name: _____ Compensation: _____

Officer 2 Name: _____ Compensation: _____

Officer 3 Name: _____ Compensation: _____

Officer 4 Name: _____ Compensation: _____

Officer 5 Name: _____ Compensation: _____

17. Certification Regarding Lobbying:

The organization certifies that:

- No federal appropriated funds have been paid or will be paid, by or on behalf of the Subrecipient, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or intending to influence an officer or employee in connection with Federal funding, the Subrecipient shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," to the Pass-through Entity.

NOTE: Answer the remaining questions below only if answer to questions 6 or 7 is "No"

18. Has organization in the preceding fiscal year expended any federal funds in either direct or indirect Federal awards?

Yes

No

If Yes, please indicate the expenditure amount:

19. Have annual financial statements been audited by an independent audit firm? If yes, provide a copy of the statements for the most current fiscal year.
<input type="checkbox"/> Yes <input type="checkbox"/> No
20. Does organization adhere to Subpart E - Cost Principles of 2CFR200 under the proposed subaward?
<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
21. Does organization have a financial management system that provides records that can identify the source and application of funds for award-supported activities?
<input type="checkbox"/> Yes <input type="checkbox"/> No
22. Does the financial system provide for the control and accountability of project funds, property, and other assets?
<input type="checkbox"/> Yes <input type="checkbox"/> No
Proposal Document Checklist:
The following documents have been submitted:
<input type="checkbox"/> Statement of Work (Required) <input type="checkbox"/> Subrecipient Profile Questionnaire (Required)
<input type="checkbox"/> Budget & Budget Justification (Required) <input type="checkbox"/> Biosketches
<input type="checkbox"/> Approved F&A Rate Agreement (Required) <input type="checkbox"/> Other support documents of all key personnel
<input type="checkbox"/> Approved Fringe Rate Agreement (Required) <input type="checkbox"/> Other: _____
Authorized Organizational Official:
The information, certification, and representations above have been read, signed, and made by an authorized official of the subrecipient named herein. The appropriate programmatic and administrative personnel involved in this application are aware of these policies. Any work begun and/or expenses incurred prior to the execution of a subaward agreement are at the subrecipient's own risk.
Name: _____
Title: _____
Signature: _____
Date: _____