



Risk Assessment Tool	
Subrecipient Name	University of Texas Rio Grande Valley
Project Title	Assistance to University of Texas Rio Grande Valley School of Medicine
ARPA Project Number	23-124-327
Fiscal Impact	\$177,000.00
Grant Period	2023
Monitor Period	2023-2031

Authorized Grantee Representative	
Individual who is appropriately authorized to attest to the accuracy of the information below.	
Name: Thomas Spencer	Title: Assoc VP of Research Ops
Phone Number: 956-665-3002	Email: Thomas.Spencer@UTRGV.edu
Signature	

#	Question	Response - Select from Dropdown	Comments
1	Does your organization have any grant experience? (If yes, provide types of grants and grant names.	Yes	https://www.utrgv.edu/research/_files/documents/reports/fy-22-reports/award-and
2	Has your organization managed federally funded grant programming in the last 24 months? (If yes, provide a list of current grants)	Yes	https://www.utrgv.edu/research/_files/documents/reports/fy-22-reports/award-and
3	Was your organization subject to financial and/or single audits in the last 24 months? If Yes, provide copies of audits.	Yes	https://sao.texas.gov/SAOReports/ReportNumber?id=22-555
4	Is your organization free of any audit findings within the last 5 years? If No, provide findings, management responses and status of findings.	No	see links in question 5
5	Has your organization taken appropriate and timely action to remedy prior findings?	Yes	* https://sao.texas.gov/reports/main/22-320.pdf * https://sao.texas.gov/reports/main/21-015.pdf
6	Has your organization undergone any annual Federal or State Compliance or monitoring related activities?	Yes	
7	Does your organization have the capacity to manage and implement federal regulations, such as 2 CFR 200, segregation of duties, cash handling, contracting procedures, and personnel and travel policies? (2 CFR 200.303 - Internal Controls)	Yes	
8	Does your organization have written policies and procedures in place that are in alignment with 2 CFR 200 for the items below?	Yes	HOP 07-200 Sponsored Projects: https://www.utrgv.edu/hop/policies/adm-07-200.pdf
8	1) Ethics/ Professional Conduct (Provide copy.)	Yes	HOP 04-101, Standards of Conduct: https://www.utrgv.edu/hop/policies/ADM-04-101.pdf Standards of Conduct Guide: https://www.utrgv.edu/compliance/_files/documents/utrgv-standards-of-conduct-guide.pdf
8	2) Conflict of Interest Policy (Provide copy.)	Yes	* Policy for the Management and Reporting of Financial Conflicts of Interest in Research: https://www.utrgv.edu/research/_files/documents/research/research-division-policy-on-cois-in-research.pdf ; * UTS 180 Conflicts of Interest, Conflicts of Commitment and Outside Activities: https://www.utsystem.edu/sites/policy-library/policies/uts-180-conflicts-of-interest-conflicts-of-commitment-and-outside-activities ; * UTS 175 Conflicts of Interest, Conflicts of Commitment, and Outside Activities: https://www.utsystem.edu/sites/policy-library/policies/uts-175-disclosure-of-significant-financial-interests-and-management-and-reporting-of-financial-conflicts-of-interest-research
8	3) Purchasing/Procurement (Provide copy.)	Yes	* HOP 10-403, Centralized Purchasing: https://www.utrgv.edu/hop/policies/adm-10-403.pdf ; * HOP 10-410, Procurement Card Program: https://www.utrgv.edu/hop/policies/adm-10-410.pdf ; * HOP 10-602, Travel Policy: https://www.utrgv.edu/hop/policies/adm-10-602.pdf
8	4) Segregation of Duties (Provide copy.)	Yes	* HOP 10-403, Centralized Purchasing: https://www.utrgv.edu/hop/policies/adm-10-403.pdf ; * HOP 10-701, Cash and Credit Handling Reporting: https://www.utrgv.edu/hop/policies/adm-10-701.pdf
8	5) Monitoring the use of grant funds (Provide copy.)	Yes	HOP 10-703, Accounting Policy: https://www.utrgv.edu/hop/policies/adm-10-703.pdf ; HOP 07-303, Cost Transfers for Sponsored Projects: https://www.utrgv.edu/hop/policies/adm-07-303.pdf ; HOP 07-103, Managing and Certifying Effort on Sponsored Projects: https://www.utrgv.edu/hop/policies/adm-07-103.pdf
9	Has key staff been instrumental in the funds process and generally remained stable in the past 2 years?	No	Chief Financial Officer has changed in the past two years
10	Does your organization have the necessary personnel to ensure that documents and/or status reports are provided to the County as required?	Yes	
11	Does your organization maintain an inventory of federal government property that, at a minimum, identifies purchase date, cost, vendor, description, serial number, location and disposition of equipment? (If Yes, provide a copy of the inventory log.)	Yes	https://www.utrgv.edu/financial-services-comptroller/departments/assets-managem
12	Has your organization's financial or grant management system (technology or other) remained unchanged in the last 12 months? If changes were made, please explain in the comments section.	Yes	
13	Does your organization's accounting system segregate expenditures by funding source? (Per 2 CFR 200.302, systems must be sufficient to permit the preparation of reports and tracing of funds.)	Yes	
14	Does your organization have an active SAM.gov account that is not debarred, suspended or federal debt delinquent? (If Yes, provide a copy from SAM.gov .)	Yes	see image
15	Does your entity maintain central file locations for all grants, loans or other types of financial assistance?	Yes	
16	Has your entity been consistent and timely with prior program reporting requirements?	Yes	
17	Have your entity's financial reports for any previous programming been adequate, accurate and timely?	Yes	

Entity Information

UNIVERSITY OF TEXAS RIO GRANDE VALLEY ● Active Registration

Unique Entity ID: L3ATVUTZKXK7

Your registration was activated on 2023-01-24. It expires on 2024-01-20, which is one year after you submitted it for processing. To update or renew your registration, begin from your Entities Workspace.