

Subrecipient Risk Analysis - High/Low Risk Entities

General Instructions

- Complete the risk analysis using the completed Subrecipient Risk Assessment Questionnaire provided by the subrecipient.
- The risk analysis must be applied each time a new subaward is issued or a modification is made to an existing award.
- This procedure applies to any subaward activity initiated after December 26, 2014. Existing subawards will need to be assessed and/or monitored as new modifications are requested or required.
- The weighted score will determine actions required.
- Financial thresholds are cumulative. Therefore, modifications may trigger the need to reassess risk.
- Campus is responsible for gathering information on whether or not the subrecipient requires additional monitoring.
- Any circumstance not covered in this version of the risk assessment can be marked in the *notes section of this form. The circumstance may increase the assessed risk of the subaward.

Subrecipient Name: _____

Date: _____

Prime Sponsor: _____

Contract Officer: _____

Subaward #: _____

Risk Level Assigned: _____

Assign an assessment rating (0, 1 or 2) for each Criteria listed below.

Criteria	Lower Risk	Higher Risk	Weight	Assessment Rating 0 = low 1 = med 2 = high	Weighted Score (Weight X Assessment Rating)
Foreign or Domestic	Domestic	Foreign	4		0
Maturity of Subrecipient's Organization	Mature	Start-up	4		0
Organization Type	University or non-profit	Industry	4		0
Award type	Grant	Contract or Subcontract	4		0
Amount of Subaward	Total cost is <\$499,999	Total cost is >\$500K	3		0
Percentage of RF Award Subawarded	Total cost is <48.9%	Total cost is >49%	2		0
Cost Sharing obligation	NO Cost Sharing	Cost Sharing	2		0
Established Accounting Systems	Yes	No	2		0
Procurement Systems	approved	Not approved / ad hoc	2		0
Negotiated Indirect Cost Rate Agreement	Yes	No	2		0
Single Audit Report on File	OMB Regulations (2 CFR Part 200.331(f) or A-133)	No Audit Report	2		0
Prior experience working with RF?	Previous positive experience	New Subrecipient, or previous negative experience	2		0
ITAR/EAR Type of work	No	Yes	2		0

Criteria	Lower Risk	Higher Risk	Weight	Assessment Rating 0 = low 1 = med 2 = high	Weighted Score (Weight X Assessment Rating)
IACUC/IRB Compliance	No	Yes	2		0
Location of Work	At subrecipient's facility	On SUNY campus	2		0
Sponsor Type	Private or Foundation	Government Owned & Contractor Operated	3		0
Relationship of subrecipient to PI and potential for conflict of interest	No existing or former relationship to PI	PI's relationship	1		0
SOW & Deliverables	Report only	Tangible products; pivotal to success of project	4		0
Special Considerations: up to an additional 8 points; e.g. high \$					
			Total Risk Score		0.0

Risk Level Assignment & Actions (circle risk level assigned)	
Low 0-11	No action necessary.
Medium 12-50	As appropriate: <ul style="list-style-type: none"> require detailed invoicing for subrecipient seek guidance from PI, and/or Office of Grants & Contracts on complex contract or compliance issues
High 51-83	As appropriate: <ul style="list-style-type: none"> require detailed invoicing for subrecipient seek guidance from PI, Office of Grants & Contracts, Legal and/or the Compliance Office on complex contract or compliance issues more frequent/detailed financial and/or programmatic reporting, etc. including how and by whom the monitoring will be done.
Very High >=84	Monitoring and management discussions with PI, Office of Grants & Contracts, Legal and/or the Compliance Office are required prior to issuance of a subaward.
Notes:	

Reviewer Initials _____ Date _____