# 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: * 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: * 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.
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| 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