



The Research Foundation for

The State University of New York

## Subrecipient Risk Analysis

Subrecipient Name: \_\_\_\_\_  
 Prime Sponsor: \_\_\_\_\_  
 Subaward #: \_\_\_\_\_

Date: \_\_\_\_\_  
 Contract Officer: \_\_\_\_\_  
 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
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 \$					
RPS Screening for Non-Academic Entities	Not mentioned on any list	Mentioned on list			
				<b>Total Risk Score</b>	<b>0.0</b>



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**General Notes:**

- 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.

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"> <li>• require detailed invoicing for subrecipient</li> <li>• seek guidance from PI, and/or Office of Grants &amp; Contracts on complex contract or compliance issues</li> </ul>
High 51-83	As appropriate: <ul style="list-style-type: none"> <li>• require detailed invoicing for subrecipient</li> <li>• seek guidance from PI, Office of Grants &amp; Contracts, Legal and/or the Compliance Office on complex contract or compliance issues</li> <li>• more frequent/detailed financial and/or programmatic reporting, etc. including how and by whom the monitoring will be done.</li> </ul>
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:	
Changes for Amendment:	

Reviewer Initials \_\_\_\_\_ Date \_\_\_\_\_