



SUBRECIPIENT RISK ASSESSMENT FORM

Subaward Information

Rutgers PD/PI:

Prime Sponsor:

Subrecipient Name:

Subrecipient PD/PI:

Subaward ID:

Project ID:

Amount this Action:

Total Amount:

Risk Level Assigned:

Instructions

1. Risk analysis assessment procedure must be applied each time a new subaward is issued or a modification is made to an existing award.
2. Existing subawards will need to be assessed and/or monitored as new modifications are requested or required.
3. The weighted score will determine actions required.
4. Financial thresholds are cumulative. Therefore, modifications may trigger the need to re-assess risk.
5. RSP / RCS is responsible for gathering initial information on whether or not that subrecipient requires additional monitoring.
6. RFS is responsible for requesting and reviewing annual 2 CFR 200 audit reports.
7. RFS will make determinations on how to address any issues after this review and notify RSP / RCS.
8. Any circumstance not covered in this version of the risk assessment can be marked in the notes section of this form. The circumstances may increase the assessed risk of the subaward.

Important

Select a response for each of the questions on pages two (2) and three (2).

Each response will contribute to a weighted score that will determine the overall Risk Level

The form can only be signed once the overall Risk Level is determined.

Signature

Reviewer Signature:

Reviewer Name:

Date Signed:



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Threshold Questions (Not Scored)

1. Is the Subrecipient presently debarred or suspended?

2. Is the Subrecipient's PI presently debarred or suspended?

3. Does the Subrecipient indicate or show in SAM with "delinquent federal debt"?

4. If the sponsor requires a conflict of interest policy, does the Subrecipient have a compliant policy in place?

5. Does the Subrecipient have an acceptable accounting system?

6. Does the Subrecipient have an acceptable procurement system?

Other Considerations

7. Does the project include work covered by ITAR or EAR?

8. Is there a potential or identified conflict of interest?

9. Is cost-share required or included?

10. Does Rutgers have prior experience with this Subrecipient?

11. Have other risks been identified (provide detail in notes section)?

Institutional Questions

12. Where is the Subrecipient located?

13. What is the Subrecipient Organization type?

14. What is the Subrecipient's experience level with serving as a subrecipient on sponsored projects?

15. How the Subrecipient apply indirect costs?



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Audit Questions

16. Did the Subrecipient file a 2 CFR 200 audit for the most recent fiscal year under A-133/UG (or similar, such as a recurring annual audit) with satisfactory results?

17. Did the Subrecipient qualify as a low-risk auditee for Federal Awards for the latest fiscal year audit?

Project Specific Questions

18. How complex are the Prime Award's reporting requirements?

19. What is the Prime Award type?

20. What is the total Amount of Outgoing Funds to the Subrecipient?

21. What is the total % of the Prime Award being subcontracted?

22. Does Subrecipient work require IRB/IACUC/hESC approval?

23. How critical are the Subrecipient's deliverables to the project?

24. Where is research being conducted (Place of Performance)?

Risk Rating

Risk Level Assigned:

Total Score:

Notes