

Subrecipient Risk Analysis - High/Low Risk Entities

Subrecipient Name: _____
 Prime Sponsor: _____
 Subaward #: _____

Date: _____
 Contract Officer: _____
 Risk Level Assigned: _____

Instructions to Contract Officer: Assign an assessment rating (0, 1 or 2) for each Criteria listed below.

| Criteria | Lower Risk | Higher Risk | Weight | Assessment 0 = low 1 = med 2 = high | Weighted Score |
|---|--|---|--------|--|----------------|
| Foreign or Domestic | Domestic | Foreign | 4 | 0 | 0 |
| Maturity of Subrecipient's Organization | Mature | Start-up | 4 | 0 | 0 |
| Organization Type | University or non-profit | Industry | 4 | 0 | 0 |
| Award type | Grant | Contract or Subcontract | 4 | 0 | 0 |
| Amount of Subgrant/Subcontract | Total cost is <\$499,999 | Total cost is >\$500K | 3 | 0 | 0 |
| Percentage of UAF Award Subcontracted | Total cost is <48.9% | Total cost is >49% | 2 | 0 | 0 |
| Accounting Systems Established | Yes | No | 2 | 0 | 0 |
| Procurement Systems | approved | Not approved / ad hoc | 2 | 0 | 0 |
| Negotiated Indirect Cost Rate Agreement | Yes | No | 2 | 0 | 0 |
| A-133 or Audit Report on File | A-133 | No Audit Report | 2 | 0 | 0 |
| Prior experience working with UAF? | Previous positive experience | New Subrecipient, or previous negative experience | 2 | 0 | 0 |
| ITAR/EAR Type of work | No | Yes | 2 | 0 | 0 |
| IACUC/IRB Compliance | No | Yes | 2 | 0 | 0 |
| Location of Work | At subrecipient's facility | On UAF campus | 2 | 0 | 0 |
| UAF Sponsor Type | Private or Foundation | Government Owned & Contractor Operated | 3 | 0 | 0 |
| Relationship of subrecipient to PI and potential for conflict of interest | No existing or former relationship to PI | PI's relative | 1 | 0 | 0 |
| SOW & Deliverables | Report only | Tangible products; pivotal to success of project | 4 | 0 | 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; as appropriate, seek guidance from PI, P&CS and/or OG&CA on complex contract or compliance issues. |
| High 51-83 | As appropriate, seek guidance from PI, P&CS, OG&CA, Legal and/or Risk Management on complex contract or compliance issues and the additional monitoring that should be put in place such as more detailed invoices, 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, P&CS, OG&CA, Legal and Risk Management are required prior to issuance of a subaward. |
| Notes: | |

General Instructions

- *Risk analysis assessment procedure 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 11-01-2009. 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.
- *Current reports are considered each time the procedure is applied.
- *P&CS & OG&CA are responsible for gathering initial information on whether or not that subrecipient requires additional monitoring.
- *Accounting Services, UA System, is responsible for requesting and reviewing annual A-133 audit reports. Accounting Services may review all audited statements with material findings, qualified opinions and for foreign institutions. Accounting Services will make determinations on how to address any issues after this review and notify P&CS & OG&CA. Accounting Services, P&CS & OG&CA work closely on these matters.
- *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.

Reviewer Initials _____ Date _____

Agency Risk: 0 Agency Risk: 1 Agency Risk: 2
 EPA; NSF; DOE; CAs; private funding; Contracts
 NASA; USDA; NIH; DOL; USDI; State or
 Army; Navy; DoEd Local Govts; Quasi-
 agreements; HUD;
 DOJ; FEMA; HS; DOT