

Subrecipient Risk Analysis

Subrecipient Name		Date	
Prime Sponsor		Reviewer Name	
Prime Sponsor Grant Number		Risk Level Assigned	
CSU Grant Number		CFDA No	

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

CRITERIA	LOWER RISK	HIGHER RISK	WEIGHT	Assessment 0= low 1= medium 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 < \$299K	Total Cost is > \$300K	3	0	0
Percentage of CSU Award Subcontracted	Total Cost is < 45%	Total Cost is > 46%	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 CSU?	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 CSU Campus	2	0	0
CSU Sponsor Type	Private or Foundation	Government Owned & Contractor Operated	3	0	0
Relationship of subrecipient to PI and potential for conflict of interest	Not 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 \$				0	0
NOTES:				Total Risk Score	0

General Instructions

- *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
- *PI, OGRA Office, the Deans and Departments of the responsible colleges are responsible for gathering initial information on whether or not that subrecipient requires additional monitoring
- *OGRA is responsible for requesting and reviewing annual A-133 audit reports. OGRA may review all audited statements with material findings, qualified opinions and for foreign institutions. OGRA will make determinations on how to address any issues with this review and notify PI. PI and OGRA work closely on these matters
- *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 07/01/2019. Existing subawards will need to be assessed and/or monitored as new modifications are requested or required
- *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 _____