

COLUMBIA UNIVERSITY SUBRECIPIENT RISK ASSESSMENT QUESTIONNAIRE

Subrecipient Institution:

DUNS:

Prime Principal Investigator:

Prime Sponsor:

Project ID:

If the response to any of the questions below is "YES" the subrecipient is considered a "High Risk" entity. Please notify RPIC.

	<u>YES</u>	<u>NO</u>
1. Is the subrecipient institution currently debarred or suspended?	Y	N
2. Is the subrecipient Principal Investigator currently debarred or suspended?	Y	N
3. Does the subrecipient institution appear in SAM with the federal debt flag?	Y	N
4. Has it been determined that the subrecipient institution does not have a compliant PHS Financial Conflict of Interest Policy?	Y	N
5. Has it been determined that the subrecipient institution does not have an established accounting system?	Y	N
6. Has it been determined that the subrecipient institution does not have an acceptable procurement system?	Y	N
7. Is there a management decision on audit findings that may affect this award?	Y	N
8. Is cost share required or included?	Y	N
9. Did the most recent audit under A-133/Uniform Guidance or similar result in unsatisfactory findings?	Y	N
10. Is the subrecipient institution a foreign entity?	Y	N
11. Do the total outgoing funds exceed \$750, 000?	Y	N
12. Does the percentage of the prime award being subcontracted exceed 50%?	Y	N
13. Have other risks been identified?	Y	N

COMPLETED BY: _____ **DATE COMPLETED:** _____ **DATE NOTIFIED RPIC:** _____