

**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 send completed RAQ form to subrecipientmonitoring@columbia.edu

	<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. Is cost share required or included?	Y	N
6. Is the subrecipient institution a foreign entity?	Y	N
7. Do the total outgoing funds exceed \$750, 000?	Y	N
8. Does the percentage of the prime award being subcontracted exceed 50%?	Y	N
9. Has it been determined that the subrecipient institution does not have an	Y	N

established accounting system?

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| 10. Has it been determined that the subrecipient institution does not have an acceptable procurement system? | Y | N | |
| 11. Is there a management decision on audit findings that may affect this award? | Y | N | |
| 12. Did the most recent audit under A-133/Uniform Guidance or similar result in unsatisfactory findings? | Y | N | NA |

COMPLETED BY:

DATE COMPLETED:

DATE NOTIFIED RPIC