

SECTION A Basic Information

Date:
 Prime Sponsor:
 AU PI/PD:
 Proposed Subrecipient:
 Subrecipient EIN:
 Check Suspended/Debarred List (name):
 Audit Reviewed (name):

Date Checked:
 Date Reviewed:

SECTION B Risk Analysis Rubric

Criteria	Lower Risk	Higher Risk	Weight	Assessment (0 low, 1 med, 2=high)	Weighted Score
Foreign or Domestic	Domestic	Foreign			
Maturity of Organization	Mature	Start-Up			
Organization Type	University or Non-Profit	Industry/For-Profit Company			
Amount of Subaward	Total < \$250,000	Total > \$500,000			
AU Prime Sponsor	Non-Federal or Routine Federal (NSF, NIH)	Government- Owned/Contractor Operated			
Accounting systems established that can provide control & accountability of funds	Yes	No			
Negotiated F&A Rate Agreement	Yes	No			
Subject to 2 CFR §200.501 Audit?	Yes	No			
Audit Report	2 CFR §200.501	No Audit Report Available			
Prior experience working with AU?	Prior Positive Experience	New Subrecipient or Prior Negative Experience			
Project-specific financial conflict of interest?	All Senior Personnel submitted "No" fCOI forms	At least one Senior Personnel submitted a "Yes" fCOI form			
Special Considerations: up to an additional 8 points, e.g. audit findings, high \$ subaward, etc.					
				Total Risk Score	>

Risk Scoring Guidelines (check one):

Low = 0-20

Moderate = 21-35

High = 36-49

Likely Disqualifying = 50+

Completed By:

Reviewed By: