

**State of Rhode Island
Subrecipient Risk Assessment Form
Updated 2/1/2024**

Introductory Information

Generally, this risk assessment, as well as GMS registration, UEI, and debarment checks are **only required for entities that have been tentatively selected** for a subaward.

If the applicant has **never** submitted an Annual Organization Registration, refer them to the GMS website to complete an Annual Organization Registration [<https://controller.admin.ri.gov/grants-management/grant-management-system-gms/subrecipients/funding-opportunities>]

If the applicant's Annual Organization Registration is out of date, contact GMO to have it returned to the applicant for an update. Encourage the applicant to update it asap to prevent delays in subaward issuance.

Contact GMO if you need access to the review portal for the Annual Org Registration.

Required Section

Financial Risk Form tab

Agencies may NOT modify this form, except to adjust high/medium/low threshold values.

Recommended Section

Program Risk Form tab

Agencies may modify this form, or use an alternative specific to the program.

Financial Risk Assessment Form

<u>Subrecipient Name</u>	<u>Financial Risk Rating</u>	<u>Organization Financial Score</u>
<u>Reviewer Name</u>	<u>Review Date</u>	<u>Score Range</u>
		High ≥ Medium Low ≤

Field Name	Dropdown Options	Score	Required Field
Verify the entity's UEI in SAM.gov	UEI with active SAM registration UEI with inactive SAM registration UEI only; no SAM registration No UEI and no SAM registration Unable to determine Did not check		Y
Are there any Active Exclusions (suspensions or debarments) in SAM.gov?	Yes No		Y
Has your agency reviewed the applicant's current GMS Annual Organization Registration?	Yes No No current Annual Org Registration available		Y
Is the required Entity Certification and Non-Disclosure Form signed by the authorized official?	Yes No		Y
Is the FFATA form complete?	Yes No		Y
Is the most recent single audit filed with the Federal Audit Clearinghouse?	Yes No N/A, entity receives less than \$750,000 in federal funds from all sources		Y
Has it been more than one year since the recipient had a single audit completed or met the applicable audit requirements in RI Subaward Appendix I, part 1.19?	Yes No Unknown/Unable to Determine		Y
Is the entity new to operating or managing state and/or federal funds?	Yes No Unknown/Unable to Determine		Y
Does the entity appear to have effective policies, procedures and controls?	Yes No Unknown/Unable to Determine		Y
Do the entity's financial reports indicate cash flow problems?	Yes No Unknown/Unable to Determine		Y
Does the Balance Sheet indicate that the organization pays its bills?	Yes No Unknown/Unable to Determine		Y
Has the organization operated at a loss for the current or past periods?	Yes No Unknown/Unable to Determine		Y
Do financial statements or management letters disclose potential financial problems?	Yes No Unknown/Unable to Determine		Y
Has the State or other authority placed the entity in a special financial status or special financial conditions? If yes, please comment and/or attach documentation.	Yes No Unknown/Unable to Determine		Y
Briefly describe areas of high risk that programmatic staff should be aware of during subaward issuance, if any.			N
List any recommended special requirements programmatic staff should consider adding to any subawards issued to this recipient in the next 12 months.			N
Other reviewer comments			N

Programmatic Risk Assessment Form

<u>Subrecipient Name</u>	<u>Programmatic Risk Rating</u>	<u>Organization Programmatic Score</u>
<u>Reviewer Name</u>	<u>Review Date</u>	<u>Score Range</u>
		High ≥ Medium Low ≤

Field Name	Dropdown Options	Score	Required Field
How many subawards for this program (or similar ones) has the applicant received in the past three years? (Generally, similar programs are programs administered by your agency/division with related/overlapping objectives.)	None 1-2 3-4 More than 4		Y
Rate the applicant's timeliness in submitting reports, payment requests, and responding to state agency requests.	Extremely timely and responsive (never miss deadlines) Very timely and responsive (rarely miss deadlines) Responses sometimes delayed (sometimes miss deadlines) Responses frequently delayed (often miss deadlines) NA, no recent subawards		Y
How many times has the applicant been monitored or audited by your agency or division in the past three years?	None 1-2 3-4 More than 4		Y
How many open/unresolved programmatic findings does the applicant have on this or similar programs?	None 1-2 3-4 More than 4		Y
In the past three years, what is the value of the applicant's budget carryover and/or unspent funds on this or similar programs?	\$0 - \$9,999 \$10,000 - \$49,999 \$50,000 - \$99,999 \$100,000 - \$249,999 \$250,000 - \$499,999 \$500,000 or more		Y
In the past three years, has your agency received credible evidence of fraud, waste, mismanagement or abuse by this applicant (e.g. specific, detailed media reports; DOJ press releases; complaints under investigation by state and/or federal authorities; etc.)?	Yes No		Y
In the past three years, has your agency suspended or terminated an agreement with this applicant for cause?	Yes No		Y
Program Specific Attachment: Rate accordingly			N
Program Specific Attachment: Rate accordingly			N
Other reviewer comments			N