

Subaward Notification, Preaward Approval and Subrecipient Risk Assessment

Checklist

Completed by:

Approved by:

Grant Title:

Grant Number:

Subrecipient:

- Check Organization on SAM.gov for exclusions.

- Results:

Ensure that every subaward is clearly identified to the subrecipient as a subaward along with sharing key information on the award following §200.331 guidelines:

- (1) Federal Award Identification.
 - (i) Subrecipient name (which must match the name associated with its unique entity identifier);
 - (ii) Subrecipient's unique entity identifier;
 - (iii) Federal Award Identification Number (FAIN);
 - (iv) Federal Award Date (see §200.39 Federal award date) of award to the recipient by the Federal agency;
 - (v) Subaward Period of Performance Start and End Date;
 - (vi) Amount of Federal Funds Obligated by this action by the pass-through entity to the subrecipient;
 - (vii) Total Amount of Federal Funds Obligated to the subrecipient by the pass-through entity including the current obligation;
 - (viii) Total Amount of the Federal Award committed to the subrecipient by the pass-through entity;
 - (ix) Federal award project description, as required to be responsive to the Federal Funding Accountability and Transparency Act (FFATA);
 - (x) Name of Federal awarding agency, pass-through entity, and contact information for awarding official of the Pass-through entity;
 - (xi) CFDA Number and Name; the pass-through entity must identify the dollar amount made available under each Federal award and the CFDA number at time of disbursement;
 - (xii) Identification of whether the award is R&D; and
 - (xiii) Indirect cost rate for the Federal award (including if the de minimis rate is charged per §200.414 Indirect (F&A) costs).

- Include following terms in contract as per §200.331 guidelines:
 - (2) All requirements imposed by the pass-through entity on the subrecipient so that the Federal award is used in accordance with Federal statutes, regulations and the terms and conditions of the Federal award;
 - (3) Any additional requirements that the pass-through entity imposes on the subrecipient in order for the pass-through entity to meet its own responsibility to the Federal awarding agency including identification of any required financial and performance reports;
 - (4) An approved federally recognized indirect cost rate negotiated between the subrecipient and the Federal Government or, if no such rate exists, either a rate negotiated between the pass-through entity and the subrecipient (in compliance with this part), or a de minimis indirect cost rate as defined in §200.414 Indirect (F&A) costs, paragraph (f);
 - (5) A requirement that the subrecipient permit the pass-through entity and auditors to have access to the subrecipient's records and financial statements as necessary for the pass-through entity to meet the requirements of this part; and
 - (6) Appropriate terms and conditions concerning closeout of the subaward.
- Perform risk assessment to determine appropriate level of procedures for subrecipient monitoring.
 - Risk Assessment: **LOW/HIGH**
 - Reasoning to support risk level:
 - Does organization have prior experience as primary recipients of NSF and NIH funds, and/or similar subawards?
 - Does organization regularly receive a Single Audit? Have past audits reported findings?
 - Does organization have established systems for grant management?

Monitoring Recommendation: If determined to be low risk may use BSA's standard yearly subaward monitoring report to document monitoring procedures:

https://cms.botany.org/file.php?file=SiteAssets/policy/Annual_Subrecipient_Monitoring_Report.pdf

For high-risk subrecipients describe additional high-risk monitoring needed here: