



COLORADO

Department of Transportation

Office of the Chief Engineer

Engineering Specialty Services
Project Development Services Branch,
Local Agency Support Services Office

Subrecipient Risk Assessment Submission

Subrecipient (Local Agency) Risk Self-Assessment Submission

This workflow is for a Subrecipient of Federal funds to submit a Subrecipient Risk Self-Assessment to the Colorado Department of Transportation (CDOT). 2 CFR 200 requires CDOT, as a Pass-Through Entity (PTE), to assess the risk that a subrecipient of Federal funds poses related to the expenditure of those funds. The Subrecipient Risk Self-Assessment is a step in CDOT's process to assess this risk. Once complete, including a risk assessment portion by CDOT, the subrecipient will be designated as a low, medium, or high risk in the case of the applicable Federal award. Further subrecipient oversight actions by CDOT will be scaled based on risk level.

Instructions

1. The CDOT Project Manager assigned to oversee your project will begin the first step of the Subrecipient Oversight Process by filling in an internal CDOT tool called the Subrecipient Determination Tool. If this tool determines that you will be acting in the role of "Subrecipient" in the case of your Federal award, you will receive an email from 'noreply@onbaseonline.com' containing next steps and basic project information.
2. Click on the link given within the email. An additional internet tab should open.



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CDOT SUBRECIPIENT RISK ASSESSMENT

3. If not already selected, click the "Risk Self Assessment tab.

Risk Self Assessment

Instructions



4. If you need to circulate the questions to others within your organization to gather information, the “Print to PDF” button is available at the top of the page to save a PDF version.

Print to PDF

5. Fill in the Grantee Entity, Project Details, and Risk Assessment Header Sections. Basic project information will be contained in the email. Coordinate with your CDOT contact regarding questions on additional project information.
6. For the “Grant Program Awarded” field, you may select a program from the dropdown, or type in a program name.
7. Answer all questions in the Assessment Sections including adding additional information when prompted. Click the Instructions tab at the top of the page for further instructions.

Instructions

8. Additional sections will pop-up when additional documentation is required to be attached. Attach any necessary additional documentation. Please note to attach any documents that are available for your organization related to questions 21 to 22e.
9. Include any additional needed comments.
10. Once information is satisfactory, and has been confirmed within your organization, click the affirmation at the bottom of the page, “[I have confirmed with the Chief Administrative Officer or Chief Financial Officer of this entity to certify that this information is true and correct](#)”.
11. Click the “Submit” button, and the information will be sent to CDOT.

Submit

An automated email will be sent to the Local Agency Project Manager (based on the entered email address) letting the LA Project Manager know that the Risk Self-Assessment has been submitted to CDOT. Included in this is a PDF version of the Risk Self-Assessment answers. It is recommended that this be saved for your records.

In addition, an automated email will be sent to the CDOT Project Manager (based on the entered email address) letting the CDOT Project Manager know that a Risk Self Assessment has been submitted to CDOT and is ready for further processing.

Contact the CDOT Project Manager with any questions.

