

UNIVERSITY OF NEW ORLEANS OFFICE OF RESEARCH

Risk Assessment Form

AGENCY INFORMATION SUMMARY

Subrecipient Name: _____

TIN: _____

Street Address: _____

Contact Person: _____

City, State, Zip: _____

Telephone Number: _____

DUNS # _____

List previous subcontracts with subrecipient:

Project/Grant Number	Principal Investigator	Period of Performance	Contract Amount

Date of Last Risk Assessment: _____

Last Assessment Performed by: _____

DEBARMENT LIST ([HTTPS://WWW.SAM.GOV/SAM/PAGES/PUBLIC/SEARCHRECORDS/SEARCH.JSF](https://www.sam.gov/sam/pages/public/searchrecords/search.jsf))

Is the subcontractor on the debarment list? No Yes

Date checked: _____

Checked by: _____

Signature

Printed Name

FEDERAL SINGLE AUDIT ([HTTP://HARVESTER.CENSUS.GOV/FACWEB/](http://harvester.census.gov/facweb/))

Does the subcontractor receive more than \$750,000 federal funds in a year? No Yes

Date checked: _____

Checked by: _____

Signature

Printed Name

RISK CATEGORIES

		SCORE
1. Results of Prior Relationships		
• No significant problems	= 1	
• Some minor problems	= 2	
• Moderate problems or no relationships	= 3	
• Some significant problems	= 4	
• Many significant problems	= 5	_____
2. Size/Scope of Subcontract in Relation to Prime – Dollar		
• Very small proportion (0% – 20%)	= 1	
• Small proportion (21% – 40%)	= 2	
• Moderate proportion (41% – 60%)	= 3	
• High proportion (61% – 80%)	= 4	
• Very high proportion (81% – 100%)	= 5	_____
3. Results of Prior Audits		
• No findings	= 0	
• No significant findings	= 1	
• Some minor findings	= 2	
• Moderate findings or no prior audit	= 3	
• Some significant findings	= 4	
• Many significant findings	= 5	_____
4. Type of Contract for the Period Being Monitored		
• Fixed Price	= 1	
• Cost Reimbursable	= 5	_____
5. Is the subrecipient foreign or domestic?		
• Domestic	= 1	
• Foreign	= 5	_____
6. Does the contract have export controls?		
• No	= 1	
• Yes	= 5	_____
7. Does the contract have publication restrictions?		
• No	= 1	
• Yes	= 5	_____
8. Does the contract require e-verification?		
• No	= 1	
• Yes	= 5	_____
9. Does the subcontract contain cost share?		
• No	= 1	
• Yes	= 5	_____

RESULT OF RISK ASSESSMENT

Total: _____

Check the risk level that applies:

- Low Risk (score less than 15)
- Medium Risk (score between 15 and 30)
- High Risk (score more than 30)

Assessed by: _____
Signature

Reviewed by: _____
Signature

Printed Name

Printed Name

Date: _____

Date: _____