

## Risk Assessment Resources

This is a guide to some of the resources used by the Harvard Extended Assessment Team (HEAT) when performing subrecipient risk assessments. The intent of this tool is to provide departments with a mechanism to perform a voluntary, cursory review of a potential subrecipient.

Resource	Purpose	Tips & Tricks
<b>Internal Resources</b>		
<b>HEAT will review these resources first. If there is a risk assessment and business history, OSP/SPA will not review external resources.</b>		
<a href="#">GMAS</a>	Houses key information about subrecipient, including any new subrecipient questionnaires and any audits received as part of the annual review process.  Also, records subrecipient organizational risk level.	Use <i>organizational tab</i> to lookup specific subrecipient.  *Not everyone has access to the complete details contained in the <i>organizational tab</i> .
<b>External Resources</b>		
<b>In addition to the new subrecipient questionnaire (sent by OSP), Central Office(s) may review the following resources as part of a risk assessment.</b>		
<a href="https://www.sam.gov/">https://www.sam.gov/</a>	Records organizations and individuals debarred or excluded from doing business with the federal government.	Either the legal name or the DUNS number is required to look up the organization.
<a href="https://www.fapiis.gov">https://www.fapiis.gov</a>	Records past performance information, such as termination for failure to comply. Federal awarding agencies must check here prior to making an award to a non-federal entity.	For foreign organizations, it is helpful to have the DUNS in case of transliteration issues from foreign alphabet.
<a href="https://www.usaspending.gov">https://www.usaspending.gov</a>	Lists all recipients and subrecipients of federally funded grants and contracts. Includes information on foreign and for-profit entities.	Publicly accessible resource: no username or password is required to perform a search or review information.
<a href="#">Federal Audit Clearinghouse</a>	Public database of single audits submitted under Uniform Guidance (2 CFR 200 et seq.) to the Office of Management and Budget.	The search function here is very finicky.  Recommend single word searches or use of EIN.
<a href="#">FDP Expanded Clearinghouse Pilot</a>	This FDP repository provides detailed institutional facts, including compliance and assurance information.	FDP members are typically low risk.  This is a pilot, so the available list of institutions and information may be limited.

Subrecipient's website	Provides information on potential subrecipient's organizational structure, resources and programs.	Lack of a developed website could be an indication of limited infrastructure and/or organization.
Online search	May provide additional information, such as recent news articles or information on current and past litigation.	If it is a foreign organization that uses an alternative alphabet or accent marks, try several iterations of the name to avoid issues with transliteration.
<a href="#">Secretary of the Commonwealth of Massachusetts</a> All states will have a similar resource. Use when reviewing for-profit, US companies	Provides information leadership and sometimes provides documents such as annual reports or articles of incorporation.	Some entities may be registered in one state and have their primary business offices in another state.