

**NDOT-Highway Safety Office**  
**Pre-Award Risk Assessment & Suspension/Debarment Verification Form**  
(See current copy of Highway Safety Program Management Manual, Chapter 4)

**Contract Applicant/Contractor:** \_\_\_\_\_

**Federal Fiscal Year:** \_\_\_\_\_ **Completed By:** \_\_\_\_\_ **Date:** \_\_\_\_\_

1. **Is the contract applicant/contractor in active status on SAM.gov website?** Yes    No  
Expiration Date: \_\_\_\_\_  
Yes    No    N/A
2. **Determine if the applicant had prior experience with same or similar sub-awards?**  
a. Has the applicant had prior experience with federal, state or municipal grants?    \_\_\_    \_\_\_  
b. Has the applicant had at least 3 years of experience with federal grants?    \_\_\_    \_\_\_
3. **Determine the results of previous audits.**  
a. Did the applicant receive a single audit in accordance with 2 CFR Part 200 Subpart F?    \_\_\_    \_\_\_  
b. Was the same or similar grant/sub-award audited last year?    \_\_\_    \_\_\_    \_\_\_  
c. Was the audit opinion unqualified?\*  
*(\*No to this question signifies automatic medium or high risk.)*    \_\_\_    \_\_\_    \_\_\_
4. **Determine if the applicant has new personnel or new/substantially changed systems?**  
a. Has the applicant's staff remained essentially unchanged during the previous year?    \_\_\_    \_\_\_  
b. Has the applicant's organization remained unchanged during the previous year?    \_\_\_    \_\_\_  
c. Is the applicant's accounting system the same as the previous year?    \_\_\_    \_\_\_    \_\_\_
5. **Determine if the applicant has been consistently on time and accurate in the submission of the following:**  
a. Progress (monthly) Reports    \_\_\_    \_\_\_    \_\_\_  
b. Claim for Reimbursements    \_\_\_    \_\_\_    \_\_\_  
c. Change Requests/Revisions (if applicable)    \_\_\_    \_\_\_    \_\_\_  
d. Annual Evaluation Report    \_\_\_    \_\_\_    \_\_\_

**Total of "No" Responses**   

**Rating Scale**

No = 0 - 3	Applicant is considered low risk for monitoring	Low
No = 4 - 6	Applicant is considered medium risk for monitoring	Medium
No = 7 -12	Applicant is considered high risk for monitoring	High

Supervisor's Approval    \_\_\_\_\_    Date: \_\_\_\_\_

Administrator's Approval    \_\_\_\_\_    Date: \_\_\_\_\_