

CDBG MONITORING

RISK ASSESSMENT SHEET

Organization Name _____ Contract Award _____

Program Name: _____ Program Year _____

FACTORS	SCORE	RANK OR WEIGHT	TOTAL POINTS
CONTRACTED DOLLARS	8 POINTS		
\$60,000 - Above	10		
\$45,000 - \$59,999	8		
\$30,000 - \$44,999	6		
\$15,000 - \$29,000	4		
\$0 - \$14,999	2		
PROGRAM OVERSIGHT	8 POINTS		
Audit with moderate to serious findings	10		
No Audit Although Required	10		
Financial Audit and/or Compliance Audit Available	1		
Audit with minor findings	1		
TYPE OF CONTRACT	6 POINTS		
Public Service	10		
Economic Development	8		
Neighborhood Revitalization	8		
Acquisition/Construction	8		
Public facilities, planning, infrastructure	4		
NUMBER OF CLIENTS SERVED	6 POINTS		
100+	8		
50-99	6		
Less than 50	4		
KEY ORGANIZATIONAL CHANGE	6 POINTS		
Executive Director & Financial Manager	10		
Executive Director and/or Financial Manager	7		
Program Director/Manager	4		
None	2		
GOALS	6 POINTS		
Essential to accomplish HCD goals	10		
Not-essential for accomplishment of HCD goals	2		
PROGRAM PARTICIPANTS	6 POINTS		
CDBG Program did not begin on schedule/delayed	10		
CDBG Program began on schedule	2		
PERFORMANCE MEASUREMENTS	6 POINTS		
Subrecipient has history of not submitting reports timely	10		
Subrecipient has history of submitting reports timely	4		

FACTORS	SCORE	RANK OR WEIGHT	TOTAL POINTS
CONTRACT EXPERIENCE HISTORY	5 POINTS		
New Provider	10		
1 - 3 years	5		
4 years +	2		
LAST MONITORING VISIT	6 POINTS		
New Provider	10		
2 Years of More	7		
Less than 2 Years	4		
CORRECTIVE ACTION (ANY MONITORING)	4 POINTS		
New Program	0		
Current Major Findings: Findings that would affect services, clients, or potential for payment error	10		
Current Concerns: Findings that require provider's action.	5		
No Findings	0		

Signature _____ Total Points _____
Monitoring and Compliance

DETERMINATION OF THE RISK CATEGORIES

Before the risk assessment is calculated, the cut-off points for high, medium, and low risk levels should be determined. The Monitoring table below shows how this is done. The lowest possible score is 148 arrived at by multiplying the points times the rank/weight. The highest score is 658. This creates a range of 148-658.

LEVEL OF RISK

426-658 = HIGH RISK

High risk projects will receive priority for monitoring. High priority activities will generally be monitored annually within the first 6 months of the program year. High-risk subrecipients may also be required to submit additional documentation as needed with quarterly reports to allow for closer evaluation of the project through desk monitoring.

326-425=MEDIUM RISK

Medium Risk Activities will be monitored via internal bi-annual desk monitorings and on-site monitoring no less than every two years. The on-site monitoring review will be conducted preferably within the first six months of the chosen program year. Based upon the results of the monitoring visit, HCD staff will determine the need for and frequency of additional technical assistance visits and/or on-site compliance reviews. These activities will generally be monitored after high priority activities have been adequately addressed.

128-325=LOW RISK

Low risk designates a minimum amount of monitoring. Activities under this category will be monitored primarily via internal desk monitoring procedures on an annual basis, unless situations dictate otherwise. On-site monitoring will generally take place at least once every two years.

COMMENTS:

