




# Annual Risk Assessment | Project Name

<b>Key</b>	 High	 Medium	 Low
------------	---	---	--

Subrecipient/Successful Applicant:
Name

Project Objective:

Project Amount:

Annual Applicant Risk Assessment	Project Risk Assessment	Annual Risk Assessment
		

**SAMPLE – APPLICANT RISK ASSESSMENT**  
**All CDBG-DR Projects**

Criteria	Description	High Risk	Medium Risk	Low Risk
<b>Funding</b> (Weighted 5%)	Subrecipient or Successful Applicant's total amount of funds awarded from all combined CDBG-DR projects.	<b>7 points</b>	<b>5 points</b>	<b>3 points</b>
		\$1,300,000+	\$650,000 - \$1,300,000	Less than \$650,000
<b>Number of Projects</b> (Weighted 20%)	The number of approved projects.	<b>7 points</b>	<b>5 points</b>	<b>3 points</b>
		5+ Projects	2-5 Projects	2 or Fewer Projects
<b>Percent Expended</b> (Weighted 5%)	Subrecipient or Successful Applicant's percentage of total funds expended to total funds awarded from all combined CDBG-DR projects.	<b>7 points</b>	<b>5 points</b>	<b>1 point</b>
		21-40%	41-80%	81-100% (0-20% = 0 Points)
<b>Past Monitoring History</b> (Weighted 70%)	The Subrecipient or Successful Applicant's past compliance review history of CDBG-DR programs.	<b>7 points</b>	<b>5 points</b>	<b>3 points</b>
		No past monitoring	Evidence of prior monitoring above the prior year	Evidence of prior monitoring within the current or prior year
<p><b>High Risk:</b> More than 5 Points <b>Medium Risk:</b> 3-5 Points <b>Low Risk:</b> Less than 3 Points</p>				

**SAMPLE – PROJECT RISK ASSESSMENT**  
**CDBG-DR Housing Projects**

<b>Criteria</b>	<b>High Risk</b>	<b>Medium Risk</b>	<b>Low Risk</b>
<b>Complexity</b>	<b>7</b>	<b>5</b>	<b>3</b>
	<b>10+ units</b>	<b>4-10 units</b>	<b>3 or fewer units</b>
<b>Project Timeframe</b>	<b>7</b>	<b>5</b>	<b>3</b>
	<b>Completion over 24 months</b>	<b>Completion 12 – 24 months</b>	<b>Completion under 12 months</b>
<b>Project Funding</b>	<b>7</b>	<b>5</b>	<b>3</b>
	<b>Project is &gt;2 million or over 50% of total grant amount</b>	<b>Project is less than \$2 million and greater than \$750,000.</b>	<b>Project is less than \$750,000.</b>
<b>Compliance History</b> <b>(in the last 5 years)</b>	<b>7</b>	<b>5</b>	<b>3</b>
	<b>5 or more findings or issues identified in past monitoring by state or federal agencies</b>	<b>2-4 findings, concerns, and/or issues</b>	<b>1 or less finding, concerns, and/or issues</b>

**SAMPLE – PROJECT RISK ASSESSMENT**  
**CDBG-DR PA Infrastructure Projects**

<b>Criteria</b>	<b>High Risk</b>	<b>Medium Risk</b>	<b>Low Risk</b>
<b>Complexity</b>	<b>7</b>	<b>5</b>	<b>3</b>
	<b>50+ projects</b>	<b>25-50 projects</b>	<b>Less than 25 projects</b>
<b>Project Timeframe</b>	<b>7</b>	<b>5</b>	<b>3</b>
	<b>Completion over 24 months</b>	<b>Completion 12 – 24 months</b>	<b>Completion under 12 months</b>
<b>Project Funding</b>	<b>7</b>	<b>5</b>	<b>3</b>
	<b>Project is &gt;2 million or over 50% of total grant amount</b>	<b>Project is less than \$2 million and greater than \$750,000.</b>	<b>Project is less than \$750,000.</b>
<b>Compliance History (last 5 years)</b>	<b>7</b>	<b>5</b>	<b>3</b>
	<b>5 or more findings or issues identified in past monitoring by State or Federal Agencies</b>	<b>2 to 4 findings, concerns, and/or issues</b>	<b>One or less findings, concerns, and/or issues</b>

**SAMPLE – PROJECT RISK ASSESSMENT**  
**CDBG-DR HMGP Infrastructure Projects**

<b>Criteria</b>	<b>High Risk</b>	<b>Medium Risk</b>	<b>Low Risk</b>
<b>Complexity</b>	<b>7</b>	<b>5</b>	<b>3</b>
	<b>5+ HMGP &amp; PA Activities</b>	<b>3-4 HMPG &amp; PA Activities</b>	<b>1-2 HMGP &amp; PA Activities</b>
<b>Project Timeframe</b>	<b>7</b>	<b>5</b>	<b>3</b>
	<b>Completion over 24 months</b>	<b>Completion 12 – 24 months</b>	<b>Completion under 12 months</b>
<b>Project Funding</b>	<b>7</b>	<b>5</b>	<b>3</b>
	<b>Project is &gt;2 million or over 50% of total grant amount</b>	<b>Project is less than \$2 million and greater than \$750,000.</b>	<b>Project is less than \$750,000.</b>
<b>Compliance History</b> <b>(in the last 5 years)</b>	<b>7</b>	<b>5</b>	<b>3</b>
	<b>5 or more findings or issues identified in past monitoring by state or federal agencies and/or private audits</b>	<b>2-4 findings, concerns, and/or issues</b>	<b>1 or no findings, concerns, and/or issues</b>

**SAMPLE - PROJECT RISK ASSESSMENT**  
**CDBG-DR Planning Projects**

<b>Criteria</b>	<b>High Risk</b>	<b>Medium Risk</b>	<b>Low Risk</b>
<b>Plan Timeline</b>	<b>7</b>	<b>5</b>	<b>3</b>
	<b>Plan timeline 5+ years</b>	<b>Plan timeline 3-5 years</b>	<b>Plan timeline 1-3 years</b>
<b>Activities in Plan</b>	<b>7</b>	<b>5</b>	<b>3</b>
	<b>More than 5 activities in a Plan</b>	<b>3-5 activities in a Plan</b>	<b>1-2 activities in a Plan</b>
<b>Project Timeframe</b>	<b>7</b>	<b>5</b>	<b>3</b>
	<b>Completion over 24 months</b>	<b>Completion 12 – 24 months</b>	<b>Completion under 12 months</b>
<b>Project Funding</b>	<b>7</b>	<b>5</b>	<b>3</b>
	<b>Project is &gt;2 million or over 50% of total grant amount</b>	<b>Project is less than \$2 million and greater than \$750,000.</b>	<b>Project is less than \$750,000.</b>
<b>Compliance History (last 5 years)</b>	<b>7</b>	<b>5</b>	<b>3</b>
	<b>Several open findings or issues identified in past monitoring by State of Federal Agencies</b>	<b>A few issues identified but easily resolved</b>	<b>Few Issues</b>