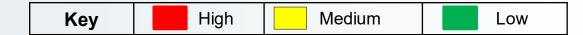
Annual Risk Assessment | Project Name



Subrecipient/Successful Applicant:	Project Objective:	Project Amount:
Name		

Annual Applicant Risk Assessment	Project Risk Assessment	Annual Risk Assessment	



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

Criteria	Description	High Risk	Medium Risk	Low Risk
Funding (Weighted 5%)	Subrecipient or Successful Applicant's total amount of funds awarded from all combined CDBG-DR projects.	7 points	5 points	3 points
		\$1,300,000+	\$650,000 - \$1,300,000	Less than \$650,000
Number of Projects (Weighted 20%)	The number of approved projects.	7 points	5 points	3 points
(1101g1100 _070)		5+ Projects	2-5 Projects	2 or Fewer Projects
Percent Expended (Weighted 5%)	Subrecipient or Successful Applicant's percentage of total funds expended to total funds awarded from all combined CDBG-	7 points	5 points	1 point
	DR projects.	21-40%	41-80%	81-100% (0-20% = 0 Points)
Past Monitoring History (Weighted 70%)	History past compliance review history of CDBG-	7 points	5 points	3 points
		No past monitoring	Evidence of prior monitoring above the prior year	Evidence of prior monitoring within the current or prior year
High Risk: More than 5 Points <i>Medium Risk</i> : 3-5 Points <i>Low Risk</i> : Less than 3 Points				

SAMPLE – PROJECT RISK ASSESSMENT CDBG-DR Housing Projects

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

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

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

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

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