Risk Assessment for CDBG Grants

## Grantee: Grant Number:

# FACTOR 1: FINANCIAL TOTAL \_\_\_\_\_\_\_ of 23 Possible

1. **Dollar Amount of Current Grant**

|  |  |  |
| --- | --- | --- |
| **Factor** | **Factor Score Possible** | **Factor Score Actual** |
| $700,000 and above | 4 |  |
| $500,000 to $699,999 | 3 |  |
| $100,000 to $499,999 | 2 |  |
| $99,999 to $1.00 | 1 |  |
| **TOTAL** | **4** |  |

**Comments:**

1. **Total Dollar Amount of All Open Grants**

|  |  |  |
| --- | --- | --- |
| **Factor** | **Factor Score Possible** | **Factor Score Actual** |
| $1,000,000 and above | 4 |  |
| $700,000 to $999,999 | 3 |  |
| $100,000 to $699,999 | 2 |  |
| $99,999 to $1.00 | 1 |  |
| **TOTAL** | **4** |  |

**Comments:**

1. **Drawdown Rate/Expenditure Rate (Note: Somewhat Subjective)**

|  |  |  |
| --- | --- | --- |
| **Factor** | **Factor Score Possible** | **Factor Score Actual** |
| Below Expectations | 2 |  |
| Meets Expectations | 1 |  |
| Above Expectations | 0 |  |
| **TOTAL** | **3** |  |

**Comments:**

1. **Tendency to Drawdown 30% or More of Administrative Dollars Before Program Activity Dollars**

|  |  |  |
| --- | --- | --- |
| **Factor** | **Factor Score Possible** | **Factor Score Actual** |
| Often | 2 |  |
| Seldom | 1 |  |
| Never/Reasonable Drawdown Based on Grant Type | 0 |  |
| **TOTAL** | **3** |  |

**Comments:**

1. **Program Income**

|  |  |  |
| --- | --- | --- |
| **Factor** | **Factor Score Possible** | **Factor Score Actual** |
| Grantee received program Income **over $100,000** **per year** directly generated from the use of CDBG funds during the most recently completed program year. | 2 |  |
| Grantee received program income of **$25,000 to $100,000 per year** directly generated from the use of CDBG funds during the most recently completed program year. | 1 |  |
| Grantee **did not receive program income** or **received less than $25,000** and used the program income on a current CDBG project. | 0 |  |
| **TOTAL** | **3** |  |

**Comments:**

1. **Outstanding Audits (2 CFR, Part 200)**

|  |  |  |
| --- | --- | --- |
| **Factor** | **Factor Score Possible** | **Factor Score Actual** |
| DCA has **NOT** Received audits for the most recent required period. | 2 |  |
| DCA has received audits for the most recent required period **BUT** corrective actions identified in the audit have **NOT** been addressed to DCA’s satisfaction. | 1 |  |
| DCA has received audits for the most recent required period **AND** corrective actions identified in the audit have been addressed to DCA’s satisfaction. | 0 |  |
| **TOTAL** | **3** |  |

**Comments:**

1. **Funds De-obligated**

|  |  |  |
| --- | --- | --- |
| **Factor** | **Factor Score Possible** | **Factor Score Actual** |
| Funds De-Obligated by DCA or Grantee by DCA’s Initiation | 2 |  |
| Funds De-Obligated by Grantee | 1 |  |
| Funds Expended as Proposed by Grantee/Not Applicable | 0 |  |
| **TOTAL** | **3** |  |

**Comments:**

# FACTOR 2: CDBG MANAGEMENT EXPERIENCE TOTAL \_\_\_\_\_\_\_ of 19 Possible

**A. Local Unit of Government: Number of Years Experience with CDBG Programs**

|  |  |  |
| --- | --- | --- |
| **Factor** | **Factor Score Possible** | **Factor Score Actual** |
| New (1 Year or Less) | 3 |  |
| Moderate (2-5 Years) | 2 |  |
| Very Experienced (6 or More Years) | 1 |  |
| **TOTAL** | **4** |  |

**Comments:**

**B. Local Unit of Government: Turnover is Staff Positions**

|  |  |  |
| --- | --- | --- |
| **Factor** | **Factor Score Possible** | **Factor Score Actual** |
| Change in a major staff position such as Town/County/City Manager, Town/City Clerk, Finance Director | 2 |  |
| Unknown | 1 |  |
| No Major Turnover in Key Staff Positions | 0 |  |
| **TOTAL** | **2** |  |

**Comments:**

**C. Local Unit of Government: Change in Local Goals or Direction**

|  |  |  |
| --- | --- | --- |
| **Factor** | **Factor Score Possible** | **Factor Score Actual** |
| A Significant change in a local focus that may cause an ambitious CDBG expectation, a neglectful approach to CDBG, or take attention away from the program. Examples: impact of a natural disaster, financial crisis, a leader with an agenda that does not align with program regulations. | 3 |  |
| Unknown | 2 |  |
| No Significant change in a local focus that may cause an ambitious CDBG expectation, a neglectful approach to CDBG, or take attention away from the program. | 1 |  |
| **TOTAL** | **3** |  |

**Comments:**

**D. Grant Administrator/Consultant/Council of Government: Number of Years Experience with CDBG Programs**

|  |  |  |
| --- | --- | --- |
| **Factor** | **Factor Score Possible** | **Factor Score Actual** |
| New (1 Year or Less) | 3 |  |
| Moderate (2-5 Years) | 2 |  |
| Experienced (6 or 10 Years) | 1 |  |
| Very Experienced (10+ Years) | **0** |  |
| **TOTAL** | **3** |  |

**Comments:**

**E. Grant Administrator/Consultant/Council of Government: Number of Years Experience with CDBG Programs**

|  |  |  |
| --- | --- | --- |
| **Factor** | **Factor Score Possible** | **Factor Score Actual** |
| New (5 Years or Less) | 3 |  |
| Moderate (6-10 Years) | 2 |  |
| Very Experienced (11or More Years) | 1 |  |
| **TOTAL** | **4** |  |

**Comments:**

**F. Grant Administrator/Consultant/Council of Government: Overall Effectiveness**

|  |  |  |
| --- | --- | --- |
| **Factor** | **Factor Score Possible** | **Factor Score Actual** |
| Grant Administrator **EFFECTIVELY and EFFICIENTLY** administer CDBG grants that **DOES NOT Meet DCA EXPECTATIONS** by providing timely service, maintaining communication with Local Unit of Government and DCA, adhering to schedule, and keeping minimal extensions. | 3 |  |
| Grant Administrator **EFFECTIVELY and EFFICIENTLY** administers grants **that CONSISTENTLY Meets DCA Expectations to EFFECTIVELY and EFFICIENTLY** by providing timely service, maintaining communication with Local Unit of Government and DCA, adhering to schedule, and keeping minimal extensions. | 2 |  |
| Grant Administrator **EFFECTIVELY and EFFICIENTLY** administers grants **that CONSISTENTLY EXCEED DCA Expectations** by providing timely service, maintaining communication with Local Unit of Government and DCA, adhering to schedule, and keeping minimal extensions. | 0 |  |
| **TOTAL** | **3** |  |

**Comments:**

# FACTOR 3: CDBG GRANT PROGRAM TYPE AND DESIGN TOTAL \_\_\_\_\_\_\_ of 7 Possible

**A. Type of CDBG Grant**

|  |  |  |
| --- | --- | --- |
| **Factor** | **Factor Score Possible** | **Factor Score Actual** |
| High Risk Grants: Grants under a Pilot/Demonstration Program, Economic Development/SBEA, Community Revitalization, Scattered Sites Grants with High Number of Rehabilitation Units | 3 |  |
| Moderate Risk Grants: Infrastructure, Housing Development, Scattered Sites with a primary Clearance, Relocation, and/or Replacement Unit Focus) | 2 |  |
| Low Risk Grants: Capacity Building, Infrastructure Hook-ups, IDA | 1 |  |
| **TOTAL** | **3** |  |

**Comments:**

**B. Grantees Undertaking Grant Based on Related Experience**

|  |  |  |
| --- | --- | --- |
| **Factor** | **Factor Score Possible** | **Factor Score Actual** |
| Grantees Undertaking on Grant Activities for the First-time | 4 |  |
| Grantees Undertaking on Grants for the First-time that Have Multiple Activities that are outside of Grantee’s Known Experience | 3 |  |
| Grantees Undertaking Grants with Experience and a Without a Successful Track Record | 1 |  |
| Grantees Undertaking Grants with Experience and with a Successful Track Record | 0 |  |
| **TOTAL** | **4** |  |

**Comments:**

# FACTOR 4: PREVIOUS GRANTEE PERFORMANCE TOTAL \_\_\_\_\_\_\_ of 14 Possible

**A. Adherence to Performance Based Contract/Schedule/Overall Timeliness**

|  |  |  |
| --- | --- | --- |
| **Factor** | **Factor Score Possible** | **Factor Score Actual** |
| Performs Below Timeliness/Schedule Expectations | 2 |  |
| Performs At Timeliness/Schedule Expectations | 1 |  |
| Performs Above Timeliness/Schedule Expectations | 0 |  |
| **TOTAL** | **2** |  |

**Comments:**

**B. Submission of Required Reports**

|  |  |  |
| --- | --- | --- |
| **Factor** | **Factor Score Possible** | **Factor Score Actual** |
| Never or Seldom Submits Timely, Complete, and Accurate Reports | 3 |  |
| Often Submits Timely, Complete, and Accurate Reports | 2 |  |
| Nearly Always or Always Submits Timely, Complete, and Accurate Reports | 1 |  |
| **TOTAL** | **3** |  |

**Comments:**

**C. Monitoring and Audit Findings**

|  |  |  |
| --- | --- | --- |
| **Factor** | **Factor Score Possible** | **Factor Score Actual** |
|  | 3 |  |
|  | 2 |  |
|  | 1 |  |
| **TOTAL** | **3** |  |

**Comments:**

**D. Product Quality**

|  |  |  |
| --- | --- | --- |
| **Factor** | **Factor Score Possible** | **Factor Score Actual** |
|  | 3 |  |
|  | 2 |  |
|  | 1 |  |
| **TOTAL** | **3** |  |

**Comments:**

**E. Nature and Number of Complaints**

|  |  |  |
| --- | --- | --- |
| **Factor** | **Factor Score Possible** | **Factor Score Actual** |
|  | 3 |  |
|  | 2 |  |
|  | 1 |  |
| **TOTAL** | **3** |  |

**Comments:**

# FACTOR 5: REDD STAFFING AND BUDGETING IMPACT TOTAL \_\_\_\_\_\_\_ of 3 Possible

**A. DCA Impact Due to Staffing and/or Budgeting**

|  |  |  |
| --- | --- | --- |
| **Factor** | **Factor Score Possible** | **Factor Score Actual** |
| New (5 Years or Less) Grant Administrator or High Grant to Rep Ratio | 3 |  |
| Experienced (6-10 Years) Grant Management Representative and/or moderate Grant Number to Rep Ratio | 2 |  |
| Very Experienced (11 or More Years) Grant Management Representative and/or Low Grant Number to Rep | 1 |  |
| **TOTAL** | **3** |  |

**Comments:**

# OVERALL RISK ASSESSMENT

|  |  |  |
| --- | --- | --- |
| **FACTOR** | **Factor Score Possible** | **Factor Score Actual** |
| FINANCIAL | 23 |  |
| CDBG MANAGEMENT EXPERIENCE | 19 |  |
| PREVIOUS GRANTEE PERFORMANCE | 14 |  |
| CDBG GRANT PROGRAM TYPE AND DESIGN | 7 |  |
| REDD STAFFING AND BUDGET IMPACT | 3 |  |
| **TOTAL** | **3** |  |

**Comments:**

\_\_\_\_\_ HIGH: 69-46 \_\_\_\_ MEDIUM: 45-22 \_\_\_\_\_LOW: 22 or Less