



DEPARTMENT OF HOMELESSNESS AND SUPPORTIVE HOUSING RISK ASSESSMENT

The HSH Risk Assessment tool provides a quantitative analysis of key risk factors that drive the department's monitoring plan for the year. The HSH team will complete the Risk Assessment tool on each individual project in the portfolio on an annual basis. The results of the tool will be used to develop a monitoring schedule and inform the type of monitoring that a project may receive.

The Risk Assessment tool tracks project competency in key areas of performance and compliance valued by both HUD and HSH including:

- Performance/Reporting
- Fiscal Compliance
- Program Management
- Grants Management
- Data
- Coordinated Entry
- Equal Access.

RISK ASSESSMENT TOOL

The risk assessment tool weights all compliance indicators equally. Each project will receive a score based on their performance on the indicators. Results are grouped by percentages into scoring ranges:

1. Low Risk grantees receive a score of 0-15%
2. Moderate Risk grantees receive a score of 16%-40%
3. High Risk grantees receive a score of 41%-100%

Low Risk grantees will not receive a monitoring visit. However after two years of Low risk designations, these sub-recipients will receive an on-site monitoring.

Moderate Risk grantees will receive a desk monitoring. They may receive a program desk monitoring which will be completed by the Program Manager or a fiscal desk monitoring which will be completed by finance. If serious issues are identified during either desk audit an onsite monitoring may occur.

High Risk grantees will all receive an on-site monitoring visit.





RISK ASSESSMENT

SUBRECIPIENT
EVALUATOR(S): Program Team

FISCAL YEAR REVIEW: 2019
Date:

PURPOSE: The Risk Assessment process guides HSH in developing a monitoring schedule for the year. The answers to the questions provided herein become the basis for developing an individual sub-recipient monitoring strategy. This includes: identifying which grantees will be monitored; establishing a schedule that reflects sub-recipient need; indicating a method of monitoring (on-site or remote); describing the scope of monitoring (program, finance, both) and projected timeframes for completion. This tool will be implemented at the beginning of HSH contract year and may be updated periodically throughout the year.

	RISK INDICATOR	No	Yes	N/A	COMMENTS
1.	PERFORMANCE/REPORTING: The Sub-Recipient completed an accurate Annual Performance Report and submitted it in a timely manner? (Previous fiscal year)				
2.	FISCAL COMPLIANCE: The Sub-Recipient completed and submitted in a timely manner, an annual audit or A 1-33 (if applicable) with no major findings? (Previous fiscal year)				
3.	PERFORMANCE/REPORTING: The Sub-recipient operates its program using Housing First Principles and Low Barrier approaches to engagement?				
4.	PROGRAM: Over the last two years, the sub-recipient has resolved all problems, findings and/or concerns identified by HSH to our satisfaction?				
5.	PROGRAM: This sub-recipient has experienced a stable staffing pattern that ensures quality program continuity				
6.	FISCAL: The sub-recipient submits timely monthly financial remittance packages for payment?				
7.	DATA: This sub-recipient generally completes HMIS data entry within the timeframe identified in the HMIS Policies and Procedures?				
8.	DATA: This sub-recipient generally has good data quality as defined by the HMIS Policies and Procedures?				
9.	FISCAL COMPLIANCE: In the last two years, this sub-recipient has expended 95% or more of its project award?				

Total Questions	9	
Total "No" Responses	0	
Total "Yes" Responses	0	
Total "N/A" Responses	0	
Total "No" Percentage	0%	
Total "Yes" Percentage	0%	
Total "N/A" Percentage	0%	
Risk Level Based on # of "No"	Low Risk	
0% - 15%	Low Risk	No monitoring this year
16% - 40%	Moderate Risk	Program/Fiscal Desk Audit
41% - 100%	High Risk	Onsite Monitoring