



COUNTY OF SAN LUIS OBISPO
 DEPARTMENT OF PLANNING & BUILDING
 Monitoring Risk Assessment Tool

HSG-3005
 07/25/2018

Subrecipient:		Date:		
Grant Management				NOTES:
A. Subrecipient Reporting	High	Med	Low	
<i>Have the requested reports been completed in a timely manner?</i>	Has not submitted on time	Has submitted some reports on time	Submits all reports on time	
<i>Have the requested reports provided accurate information?</i>	Poor accuracy in report data	adequate accuracy in report data	very accurate data	
B. Subrecipient Staff Capacity and Program Design	High	Med	Low	
<i>Does the Subrecipient have an adequate number of staff to implement project and comply with regulations?</i>	No	-	Yes	
<i>Has there been a turnover in staff within the last three years in at least one key position?</i>	Yes	-	No	
<i>Has there been any upgrades or changes to the software/program/accounting systems within the last year?</i>	No		Yes	
<i>Is the current program design too complex for current staff programmatic knowledge/ capacity?</i>	Yes	-	No	
C. Program Complexity	High	Med	Low	

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<i>How many activities is the subrecipient undertaking?</i>	Two or more types of activities, OR has implemented at least two new activities in its program (considering the last three years)	Two or fewer activities	One activity
<i>Are the activities new to the subrecipient?</i>	Yes	-	No
<i>Will the activities pose a challenge to the subrecipient?</i>	Yes	-	No
<i>Does the subrecipient have a highly complex intake system?</i>	Yes - strains staff resources	somewhat - may strain staff	No
<i>What activity is the subrecipient performing?</i>	Activities that require income documentation, or construction that triggers additional labor requirements	-	Short term construction projects (ADA)
<i>Does the subrecipient's project trigger additional regulations such as Davis Bacon Related Acts?</i>	Yes, Construction projects over \$2,000	-	No
D. Open or Stalled Activities	High	Med	Low
<i>Timeliness</i>	Has not performed any tasks in timely manner	-	Performs all tasks in a timely manner
E. Findings	High	Med	Low
<i>Has the subrecipient had any formal monitoring findings or concerns within the last 3 years?</i>	2 or more	-	none
<i>Are any of the past findings unresolved?</i>	Yes	-	No

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<i>Has the subrecipient been monitored within the last three years?</i>	No	-	Yes	
F. Subrecipient Management of Contractors/Subs	High	Med	Low	
<i>Does the subrecipient use contractors and subcontractors to complete the activities?</i>	Yes	-	No	
<i>Has there been a lack of subrecipient monitoring the work of the contractor/subs?</i>	Yes	-	No	
<i>Has there been a late or inaccurate reporting of activities?</i>	Yes	-	No	
<i>Missing or inaccurate accomplishments?</i>	Yes	-	No	
<i>Record keeping system?</i>	No	-	Yes	
OTHER				
<i>Does the subrecipient receive grants from multiple programs? (CDBG, HOME, ESG, etc)</i>	Yes	-	No	

Financial Management				NOTES:
A. Financial Staff Capacity	High	Med	Low	
<i>Does staff have the knowledge and capacity to administer financial management responsibilities?</i>	Yes	-	No	
<i>Has the staff had any violations or deficiencies in meeting applicable regulations?</i>	Yes	-	No	

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<i>Has the subrecipient applied grants to ineligible costs?</i>	Yes		No
B. Findings resulting in repayment or grant reduction	High	Med	Low
<i>Has the subrecipient been required to repay or reduce grant?</i>	Yes	-	No
C. Grant Amount	High	Med	Low
<i>Is the subrecipient receiving more than \$200,000 in federal grants?</i>	Yes	-	No
D. Program Income	High	Med	Low
<i>Will the project generate program income?</i>	Yes	-	No
<i>Has the subrecipient complied with program income requirements per the agreement??</i>	No	-	Yes
E. Audit (per CDBG, HOME, ESG regulations)	High	Med	Low
<i>Is the subrecipient maintaining a positive budget?</i>	No	-	Yes
<i>Does the subrecipient's single audit indicate its performance is in accordance with accounting principles generally accepted in the U.S.?</i>	No	-	Yes
F. Long-term Budget	High	Med	Low
<i>Has the subrecipient maintained a steady and reliable source of income to continue operation and maintenance?</i>	No	-	Yes

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Services & Satisfaction				NOTES:
A. Citizen complaints		High	Med	Low
<i>Citizen complaints have been received within the last three years:</i>	Project found to be in violation of HUD regs	-	Project not found in violation of HUD regs	
B. Responsiveness		High	Med	Low
<i>Subrecipient addressed complaints or inquiries</i>	Failed to address	-	Has addressed appropriately	

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