



**Disaster Recovery Dislocated Worker Grant (DR-DWG) Subrecipient Pre-Award Risk Assessment**

**LWDB Name:** \_\_\_\_\_  
**Dates of Review:** \_\_\_\_\_ **Last Review:** \_\_\_\_\_  
**Proposed DR-DWG Grant(s):** \_\_\_\_\_ **Proposed Grant Amount(s):** \_\_\_\_\_

#	Category	Low Risk 1 Point	Medium Risk 2 Point	High Risk 3 Points	Score
1	Compliance	The DR-DWG Project Narrative includes no known violations of statutes, regulations, or grant terms.	The DR-DWG Project Narrative includes minor compliance issues, but corrective action is underway.	The DR-DWG Project Narrative includes multiple or significant violations of statutes, regulations, or grant terms.	
2	Deliverables and Targets	The DR-DWG Project Narrative includes a realistic Project Timeline and attachment, Projected Enrollments and Costs, to meet all program and financial goals.	The DR-DWG Project Narrative includes a mostly realistic Project Timeline the attachment, Projected Enrollments and Costs, to meet all program and financial goals.	The DR-DWG Project Narrative includes an unrealistic Project Timeline and attachment, Projected Enrollments and Costs, to meet all program and financial goals.	
3	Written Procedures	LWDB has a local operating policy and/or procedural guide to administer Disaster Recovery that covers the requirements listed in Question 2 of the Disaster Recovery Process Management Tool.	The LWDB needs to make minor updates or modifications to enhance existing DR-DWG operating procedures and implementation.	The LWDB has no or inadequate written DR-DWG operating procedures.	
4	Organization Experience	The LWDB has previously managed a DR-DWG and has written processes to include DR-DWG outreach & recruitment, business engagement, local partnerships, and disaster-relief employment.	The LWDB has previously managed a DR-DWG but does not have some of the written processes of the low-risk category.	The LWDB has never managed a DR-DWG or does not have any of the written processes of the low-risk category.	
5	Leadership Experience	The LWDB has no vacancies and key leadership positions are filled by experienced individuals.	The LWDB has a few vacancies in key leadership positions.	The LWDB has numerous vacancies or key leadership positions are filled by individuals with limited grant experience.	

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6	Past Performance	The LWDB has previously demonstrated success operating DR-DWG projects of similar scope and scale.	The LWDB has a limited history of operating DR-DWG projects of a similar scope.	The LWDB has no prior record of operating a DR-DWG project of a similar scope.	
7	Nature of the Project	The proposed DR-DWG project approach is well established and not unique.	The proposed DR-DWG project includes some new methods but builds on established practices.	The proposed DR-DWG project is experimental or new.	
8	Number of Grants	The LWDB is managing only this grant.	The LWDB is managing more than two grants at the same time but has previously demonstrated success managing multiple grants.	The LWDB is managing more than two grants at the same time without previously demonstrated success managing multiple grants.	
9	Budget Controls	The LWDB employs budget control mechanisms; financial information is routinely shared with program staff.	The LWDB has ineffective budget control mechanisms; financial information is inconsistently shared with program staff.	The LWDB does not have budget control mechanisms; financial information is not shared with program staff.	
10	Time & Effort Tracking	The LWDB has a system to effectively track staff time spent on the grant.	The LWDB has an ineffective system to track staff time spent on the grant.	The LWDB does not have a system to track staff time spent on the grant.	
11	Pattern of Prior Monitoring Findings and/or Audit Findings	The LWDB does not have any unresolved DR-DWG monitoring findings for the past 2 years.	There is no evidence of the LWDB's progress toward resolving DR-DWG monitoring findings in the prior years.	There is evidence of multiple unresolved monitoring findings for prior years.	
12	Continuing Operations	The disaster will have minimal impact on the enrollment and management of participants and staff involvement; Continuity of Operations Plans (COOP) are adequate and in place.	The disaster will temporarily impact the enrollment and management of participants and staff operations for a period not to exceed six months; a COOP is in place but lacks provisions for certain key areas.	The disaster has halted enrollment and management of participants; staff operations have ceased and a date to restart services is yet to be determined; a COOP is not in place.	

**TOTAL SCORE**

Low Risk 12 – 16 points	
Medium Risk 17 – 24 points	
High Risk Above 24 points	