

# Technical Assistance for the SBMHQGP

## LEA Fiscal Risk Self-Assessment

The purpose for the Fiscal Risk Self-Assessment form is to help guide the fiscal monitoring team to determine which Local Education Agencies (LEAs) could benefit from additional guidance and trainings in order to maintain compliance with program guidelines and rules, and with federal and state law. The form focuses on several risk factors that have been identified as components which may contribute to an LEAs potential non-compliance with state or federal statute and rule. As a fiscal monitor for the Utah State Board of Education (USBE) it is my responsibility to ensure that LEAs are compliant with the laws and rules that govern how state and federal funds are utilized, and with the unique requirements of each program. The Fiscal Risk Self-Assessment form is one of the tools used to accomplish that goal.

Once the Fiscal Risk Self-Assessment form is completed, the results of the form will be submitted into the Utah Grants program under the Risk Assessments section for each LEA that completes the form. After the fiscal monitoring team has reviewed the risk assessment, your LEA will receive a risk level score of either low, medium, or high. There will be a separate Risk Self-Assessment form for each grant program that is monitored by USBE. For example, your LEA may have completed Fiscal Risk Self-Assessment forms for other programs like Title 1 or IDEA. If your LEA receives a high risk score you may be eligible for a fiscal monitoring visit to ensure your LEA is compliant with the laws and rules governing the grant program funding, and to reduce the risk of suspension of your LEAs funding from the grant program.

The authority and responsibility of the state of Utah to monitor funds can be found in federal and state law, and in USBE's administrative rules. Federal authority is found in title 2 of the code of federal regulations (CFR), specifically in 2CFR part 200 and part 180. USBE generally follows the federal guidance for federally and state funded programs. The state authority can be found in title 53E-3-401(4) and (8)(c). Finally, in board rule the authority to monitor state funds can be found in R277-114.

The Fiscal Risk Self-Assessment may not have been a component of your program application in the past. This is because Utah is one of the first states to implement fiscal monitoring of state funded programs! As such, many Utah state funded programs do not utilize standard monitoring procedures. The reason you are being asked to complete this form now is because this program has met the criteria for fiscal monitoring. Thank you for doing your part to ensure your LEA continues to enjoy the benefits of state and federally funded grant programs. Please feel free to contact USBE's Fiscal Monitoring Team with any compliance questions you may have regarding your program.

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