



Department of
**Finance &
Administration**

GRANTS WORKSHOP

PC 79 Form and Risk Assessment Template

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WORKSHOP AGENDA



Workspace Overview



Public Chapter 79



Risk Assessment Template

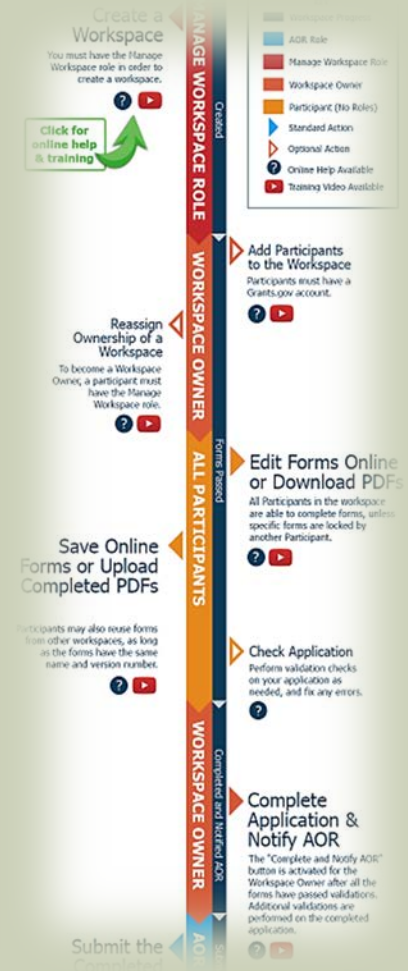


Future Training Opportunities

GRANTS.GOV WORKSPACE OVERVIEW

➤ Grants.Gov Workspace

1. Multiple users can complete the application forms.
2. Existing Workspace forms can be reused or copied.
3. Upfront validation allows applicants to correct application errors prior to submission.
4. Seamless integration between online webforms and offline PDF forms.
5. Immediately reflected changes to the Opportunity Package.



PC 79 (TCA 4-4-113)

❖ Public Chapter 79 ([TCA 4-4-113](#)):

1. Requires all State Departments receiving federal financial assistance to report any official notice related to noncompliance received.
2. Developed the [PC79 Form](#) to assist with compliance of the notification requirements.
3. A Public Chapter 79 guideline document.



PC 79 TEMPLATE DEMO

❖ How to fill out [PC79 Form](#)

➤ Section I General information

1. Your agency name
2. CFDA Number, see [CFDA website](#) if you do not see it on your notice letter from Federal agency or cognizant agency.
3. Federal Program name
4. Is this a follow-up notification to a previously reported item?

PC 79 TEMPLATE DEMO-CONTINUED

❖ How to fill out [PC79 Form](#)

➤ Section II

1. Federal entity providing notification
2. Name of reporting federal agency
3. Federal reference number, if provided
4. Form of notification received, If other, please describe:
5. Date Notification received:
6. Does this involve a litigation matter?
7. Estimated disallowance or other loss
8. Amount is not estimable:
9. Description of noncompliance or deficiency and cause:
10. Possible effects of noncompliance: choose all that applicable

PC 79 TEMPLATE DEMO-CONTINUED

❖ How to fill out [PC79 Form](#)

➤ Section III Information on agency plan

1. Describe the plan for determining immediate and long-term corrective action:

➤ Section IV Contact information

1. Provide contact information:

WHY PRE-AWARD RISK ASSESSMENT

- ❖ Oversight and internal control to provide reasonable assurance grants are awarded properly, recipients are eligible, and federal grant funds are used as intended.
- ❖ 25 Single Audit Findings in FY 2016 pertained to subrecipients.
- ❖ Proactive approach vs. reactive approach.
- ❖ Result in a more efficient and effective approach to grants management.
- ❖ [Department of Education Case Study.](#)



PRE-AWARD RISK ASSESSMENT BENEFITS

1. Decide which of several prospective subrecipients to select for a particular activity.
2. Identify early training and technical assistant to provide to potential subrecipients lacking previous experience.
3. Develop subaward agreement that implements appropriate oversight and monitoring mechanisms.
4. Provides information needed to effectively target resources to grantees that pose the greatest risk to the integrity of the programs.
5. Reduce the risk of major compliance related problems including waste, fraud, and abuse.
6. Increase the potential for success.

RISK ASSESSMENT TEMPLATE DEMO

- ❖ How to fill out [Risk Assessment Template](#) :
 - ❖ Subrecipient checklist:
 - Part I. provide general information for eligibility
 - Part II. Provide financial information

RISK ASSESSMENT TEMPLATE DEMO-CONTINUED

❖ How to fill out Risk Assessment Template :

❖ Risk assessment tool:

➤ Part I. General eligibility

1. Determine an eligibility

➤ Part II. Risk assessment for the applicant/subrecipient

1. Evaluate the risk proposed by applicant
2. Assessment for accounting system, staff changes, financial management, past performance to reporting & budget.

RISK ASSESSMENT TEMPLATE DEMO-CONTINUED

- ❖ How to fill out [Risk Assessment Template](#) :
 - ❖ Monitoring activities of the subrecipient tool: [200.331\(d\)](#)
 - Monitoring Activities: Low
 1. Basic monitoring procedures
 - Monitoring Activities: Medium
 1. Basic monitoring procedures
 2. Some additional procedures

RISK ASSESSMENT TEMPLATE DEMO-CONTINUED

❖ How to fill out [Risk Assessment Template](#) :

❖ Monitoring tool:

➤ Monitoring Activities: High

1. Basic monitoring procedures
2. More additional procedures

UPCOMING GRANTS WORKSHOP

➤ AR Reconciliation:

- Monday, January 22, 2018, 8:00 to 9:30 A.M.
- Monday, January 22, 2018, 10:00 to 11:30 A.M.
- Monday, January 22, 2018, 12:30 to 2:00 P.M.

➤ Rate Sets and Accounting Rules:

- Thursday, February 15, 2018, 8:00 to 9:30 A.M.
- Thursday, February 15, 2018, 10:00 to 11:30 A.M.

QUESTIONS



CONTACT INFORMATION

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