

# Risk Based Monitoring: Risk Assessment Tool Fiscal Year 2023



## Onsite Monitoring Focus:

Each year, every school is assessed and assigned a risk level. If there are limited indicators of high risk, the school will be deemed high risk, but onsite monitoring will be targeted towards the indicators that flagged as high risk.

Comprehensive Program/Fiscal Review: Failure to perform in three or more areas OR 3-year cyclic review OR new school in first year

Targeted Program/Fiscal Review: Failure to perform in one or two specific areas

**Note: If a school has indicators that result in an Automatic High Risk (Table 1) determination, Risk Tier Criteria (Table 2) will not be assessed.**

Table 1		
Automatic High-Risk Criteria If one or more of each of the criteria below exist below, a school will be deemed high risk.	Indicators of High Risk	Indicators of Low Risk
<p><b>Criterion A – New Charter Holder Open &lt; 2 years</b> will receive an automatic designation of high-risk for both fiscal and program areas.</p> <p>-OR-</p> <p><b>New Charter School Campus</b> will receive an automatic designation of high-risk for program only as the fiscal score is assessed at the Charter Holder level and not the campus level.</p> <p>-OR-</p> <p><b>New Program at an existing charter holder</b> will receive an automatic designation of high-risk for program only with a focus on the new program.</p>	<p><input checked="" type="checkbox"/> First year (comprehensive)</p> <p><input type="checkbox"/> Second year (may be targeted)</p> <p>Areas of concern from prior onsite monitoring:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Fiscal</li> <li><input type="checkbox"/> IDEA</li> <li><input type="checkbox"/> Title I</li> <li><input type="checkbox"/> Title II</li> <li><input type="checkbox"/> Title III</li> <li><input type="checkbox"/> Title IV</li> </ul> <p><input type="checkbox"/> New Program (may be targeted)</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Title I</li> <li><input type="checkbox"/> Title III</li> <li><input type="checkbox"/> Title IV</li> </ul>	
<p><b>Criterion B – Currently under a Corrective Action Plan (CAP) issued during the previous year of monitoring.</b> Schools under a CAP will automatically be deemed high-risk.</p>	<p><input type="checkbox"/> Under CAP (may be targeted)</p> <p>Areas of concern from prior onsite monitoring:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Fiscal</li> <li><input type="checkbox"/> IDEA</li> <li><input type="checkbox"/> Title I</li> <li><input type="checkbox"/> Title II</li> </ul>	

	<input type="checkbox"/> Title III <input type="checkbox"/> Title IV	
<b>Criterion C</b> - Single Audit Report (2 CFR 200.501)  Single Audit Required if the charter holder receives \$750,000 or more combined in Federal grant funds during the charter holder’s fiscal year.  Note: Any of these circumstances will automatically be deemed high-risk <ul style="list-style-type: none"> <li>- Findings on the Single Audit; or</li> <li>- Single Audit required and not conducted</li> </ul>	Findings on the single audit; or single audit required and not conducted  <input type="checkbox"/> Fiscal	
<b>Criterion D</b> – Designated as Comprehensive Support and Improvement (CSI)  Schools designated at CSI will automatically be deemed high-risk for program, in the area of Title I.	Comprehensive Support and Improvement  <input type="checkbox"/> Title I	

<b>Table 2</b>		
<b>Risk Tier Criteria:</b> If the majority of a school’s indicators in a particular area for criteria below are indicated as high, a school or campus will be deemed high risk for that area. Otherwise, a school or campus will be deemed low risk.	<b>Indicators of High Risk</b>	<b>Indicators of Low Risk</b>
<b>Criterion 1</b> – Required Grant Reporting - Quality  (Program – Campus Level)	Failure to submit desktop monitoring documents  <input type="checkbox"/> IDEA <input type="checkbox"/> Title I <input type="checkbox"/> Title III	Desktop monitoring documents submitted  <input type="checkbox"/> IDEA <input type="checkbox"/> Title I <input type="checkbox"/> Title III
<b>Criterion 2a</b> – Key Program Personnel Turnover  (Program – Campus Level)	Change in program lead since last school/fiscal year  <input type="checkbox"/> IDEA <input type="checkbox"/> Title I <input type="checkbox"/> Title III (ELL)	No change in program lead since last school/fiscal year  <input type="checkbox"/> IDEA <input type="checkbox"/> Title I <input type="checkbox"/> Title III (ELL)
<b>Criterion 2b</b> – Key Fiscal Personnel Turnover  (Fiscal – Charter Holder Level)	50% or more turnover in key personnel since last school/fiscal year.  <input type="checkbox"/> Fiscal	<50% turnover in key personnel since last school/fiscal year.  <input type="checkbox"/> Fiscal

**Table 2**

<p><b>Risk Tier Criteria:</b> If the majority of a school’s indicators in a particular area for criteria below are indicated as high, a school or campus will be deemed high risk for that area. Otherwise, a school or campus will be deemed low risk.</p>	<p><b>Indicators of High Risk</b></p>	<p><b>Indicators of Low Risk</b></p>
<p><b>Criterion 3a</b> – Fiscal Grants Reporting Compliance – Quality  (Fiscal – Charter Holder Level)  *WAIVED for the Risk Assessment conducted in the fall of 2022.</p>	<p>Any reviewed reimbursement request not accepted/approved on first submission – major deficiencies  <input type="checkbox"/> Fiscal</p>	<p>No major deficiencies and majority of reviewed reimbursement requests submitted and accepted/approved on first submission.  <input type="checkbox"/> Fiscal</p>
<p><b>Criterion 3b</b> – Fiscal Grants Reporting Compliance – Timeliness  (Fiscal – Charter Holder Level)</p>	<p>The school failed to submit one or more monthly reimbursement request  <input type="checkbox"/> Fiscal</p>	<p>The school submitted every monthly reimbursement request  <input type="checkbox"/> Fiscal</p>
<p><b>Criterion 4a</b> – Subaward Performance  (Program – Charter Holder Level)  *WAIVED for the Risk Assessment conducted in the fall of 2022.</p>	<p>School is unable to provide any evidence of progress toward stated SMARTIE Goals and/or lacks a plan to monitor progress towards meeting SMARTIE Goals.  <input type="checkbox"/> IDEA <input type="checkbox"/> Title I <input type="checkbox"/> Title II <input type="checkbox"/> Title III <input type="checkbox"/> Title IV</p>	<p>School shows they have made satisfactory performance toward meeting SMARTIE goals and can provide sufficient evidence of that progress.  <input type="checkbox"/> IDEA <input type="checkbox"/> Title I <input type="checkbox"/> Title II <input type="checkbox"/> Title III <input type="checkbox"/> Title IV</p>
<p><b>Criterion 4b</b> - Fiscal Performance  (Fiscal – Charter Holder Level)  *WAIVED for the Risk Assessment conducted in the fall of 2022.</p>	<p>41% or more of allocated funds are unspent during the period of performance.  <input type="checkbox"/> Fiscal</p>	<p>15% or less funds unspent in the period of performance.  <input type="checkbox"/> Fiscal</p>

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<p><b>Risk Tier Criteria:</b> If the majority of a school’s indicators in a particular area for criteria below are indicated as high, a school or campus will be deemed high risk for that area. Otherwise, a school or campus will be deemed low risk.</p>	<p><b>Indicators of High Risk</b></p>	<p><b>Indicators of Low Risk</b></p>
<p><b>Criterion 5a – Training Participation</b>  (Program - Campus level)  *WAIVED for the Risk Assessment conducted in the fall of 2022.</p>	<p>Did not attend all mandatory trainings (synchronous or asynchronous).   <input type="checkbox"/> IDEA  <input type="checkbox"/> Title I  <input type="checkbox"/> Title II  <input type="checkbox"/> Title III  <input type="checkbox"/> Title IV</p>	<p>Attended all mandatory trainings (synchronous or asynchronous).   <input type="checkbox"/> IDEA  <input type="checkbox"/> Title I  <input type="checkbox"/> Title II  <input type="checkbox"/> Title III  <input type="checkbox"/> Title IV</p>
<p><b>Criterion 5b – Training Participation</b>  (Fiscal - Charter holder level)  *WAIVED for the Risk Assessment conducted in the fall of 2022.</p>	<p>Did not attend all mandatory trainings (synchronous or asynchronous).   <input type="checkbox"/> Fiscal</p>	<p>Attended all mandatory trainings (synchronous or asynchronous).   <input type="checkbox"/> Fiscal</p>
<p><b>Criterion 6 – Management Systems</b>  (Fiscal – Charter holder level)  *WAIVED for the Risk Assessment conducted in the fall of 2022.</p>	<p>The written response provided indicated significant areas at potential risk of non-compliance OR not enough information was provided in multiple areas and SPCSA is unable to determine processes.   <input type="checkbox"/> Fiscal</p>	<p>All written responses provided indicate minimal to no risk of non-compliance for any of the topics selected and sufficient detail was provided.   <input type="checkbox"/> Fiscal</p>
<p><b>Criterion 7 - Designated as Targeted Support &amp; Improvement (TSI) or Targeted Support &amp; Improvement/Additional Targeted Support &amp; Improvement (TSI/ATSI)</b>  (Program – Campus Level)</p>	<p>TSI or TSI/ATSI   <input type="checkbox"/> TSI  <input type="checkbox"/> Economically Disadvantaged (Title I)  <input type="checkbox"/> Special Education (IDEA)  <input type="checkbox"/> ELL (Title III)   <input type="checkbox"/> TSI/ATSI  <input type="checkbox"/> Economically Disadvantage (Title I)  <input type="checkbox"/> Special Education (IDEA)  <input type="checkbox"/> ELL (Title III)</p>	<p>Does not apply   <input type="checkbox"/> School is not TSI or TSI/ATSI</p>

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<b>Criterion 8 – Special Education Compliance</b>  (Program – Campus Level)	Verified evidence of non-compliance with special education requirements including one or more of the following: <input type="checkbox"/> Verified Due Process Complaint <input type="checkbox"/> Verified State Complaint <input type="checkbox"/> Verified Office of Civil Rights Complaint <input type="checkbox"/> State Special Education Audit resulted in a Corrective Action Plan <input type="checkbox"/> Repeated, verified special education concerns from parents (three or more) reported to SPCSA  <input type="checkbox"/> IDEA	No verified evidence of non-compliance with special education requirements.          <input type="checkbox"/> IDEA
<b>Criterion 9 - Percent growth of English Language Learners (Title III – ELL)- WIDA Growth</b>  (Program – Campus Level)  *Future Risk-Assessment Tools will use NSPF data rather than NDE Quartiles for this Criterion.	Lowest quartile (based on Nevada SY2020-21 Quartiles WIDA ACCESS AGP)  <input type="checkbox"/> Title III	Not lowest quartile          <input type="checkbox"/> Title III

## Results

Totals by Indicator of High Risk (from Table 2)	Fiscal _____ IDEA _____	Title I _____ Title II _____ Title III _____ Title IV _____
Totals by Indicator of Low Risk (from Table 2)	Fiscal _____	Title I _____ Title II _____

	IDEA _____	Title III _____ Title IV _____
<b>Overall Risk Tier Designation:</b>		
Type of monitoring to be performed:	<input type="checkbox"/> Comprehensive onsite monitoring <input type="checkbox"/> Comprehensive 3-year cyclic onsite monitoring <input type="checkbox"/> Desktop monitoring	<input type="checkbox"/> Targeted onsite monitoring
Focus of onsite monitoring (if applicable):		
SPCSA Program Reviewer/Date:		
SPCSA Program Reviewer/Date:		
SPCSA Fiscal Reviewer / Date:		