

State Public Charter School Authority

Risk-Assessment Tool: Fiscal Year 2022



Risk Tier Criterion	Indicators of High Risk	Indicators of Moderate Risk	Indicators of Low Risk
Criterion A – <u>New Charter Holder Open < 2 years</u> will receive an automatic designation of high-risk for both fiscal and program areas. -OR- <u>New Charter School Campus</u> 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.	<input type="checkbox"/>		
Criterion B – Currently under a Corrective Action Plan (CAP) issued during the previous year of monitoring. Schools under a CAP will automatically be deemed high-risk until the CAP is closed out satisfactorily.	<input type="checkbox"/>		
Criterion C – Schools with a high-risk designation from the previous year’s monitoring, who also have unresolved action items will automatically be given a minimum designation of moderate-risk in the subsequent year; unless the risk assessment determines the designation of “high-tier” is warranted. Note: Additional high-risk indicators scored on this tool may place the school or campus into the high-risk tier.		<input type="checkbox"/>	
Criterion D - 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"> - Findings on the Single Audit; or - Single Audit required and not conducted 	<input type="checkbox"/>		

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Risk Tier Criterion	Indicators of High Risk	Indicators of Moderate Risk	Indicators of Low Risk
Criterion 1 – Required Grant Reporting - Quality (Program – Campus Level)	Highest percentage of reviewed documents not submitted or submitted and not accepted/approved on first submission. <input type="checkbox"/>		Highest percentage of reviewed documents submitted and accepted/approved on first submission. <input type="checkbox"/>
Criterion 2a –Key Personnel Turnover (Program – Campus level)	49% or less stability in program personnel. <input type="checkbox"/>	50% to 74% stability in program personnel. <input type="checkbox"/>	75% or higher stability in identified program personnel. <input type="checkbox"/>
Criterion 2b – Key Personnel Turnover (Fiscal – Charter Holder Level)	49% or less stability in program personnel. <input type="checkbox"/>	50% to 74% stability in program personnel. <input type="checkbox"/>	75% or higher stability in identified program personnel. <input type="checkbox"/>
Criterion 3a – Fiscal Grants Reporting Compliance – Quality (Fiscal – Charter Holder Level)	Any reviewed reimbursement request not accepted/approved on first submission – major deficiencies <input type="checkbox"/>	No major deficiencies and highest percentage of reviewed reimbursement requests not accepted/approved on first submission – minor deficiencies <input type="checkbox"/>	No major deficiencies and highest percentage of reviewed reimbursement requests submitted and accepted/approved on first submission. <input type="checkbox"/>
Criterion 3b – Fiscal Grants Reporting Compliance – Timeliness (Fiscal – Charter Holder Level)	Highest percentage of reviewed documents not submitted or submitted 15 days or more after the documented due date. <input type="checkbox"/>	Highest percentage of reviewed document submitted 1 to 14 days after the documented due date. <input type="checkbox"/>	Highest percentage of reviewed documents submitted on-time or early. <input type="checkbox"/>

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Criterion 4a – Subaward Performance (Fiscal – Charter Holder Level) *WAIVED for the Risk Assessment conducted in the fall of 2021.	School is unable to provide any evidence of progress toward stated SMART Goals and/or lacks a plan to monitor progress towards meeting SMART Goals. <input type="checkbox"/>	School has a plan to monitor progress toward meeting SMART goals but is unable to provide sufficient evidence of that progress. <input type="checkbox"/>	School shows they have made satisfactory performance toward meeting SMART goals and can provide sufficient evidence of that progress. <input type="checkbox"/>
Criterion 4b – Fiscal Performance (Fiscal – Charter Holder Level) *WAIVED for the Risk Assessment conducted in the fall of 2021.	41% or more of allocated funds are unspent during the period of performance. <input type="checkbox"/>	16% - 40% of allocated funds unspent during period of performance. <input type="checkbox"/>	15% or less funds unspent in the period of performance. <input type="checkbox"/>
Criterion 5a – Training Participation (Program - Campus level) *WAIVED for the Risk Assessment conducted in the fall of 2021.	Attended less than 25% live mandatory trainings. <input type="checkbox"/>	Attended 26% to 74% live trainings. <input type="checkbox"/>	Attended 75% or more live trainings. <input type="checkbox"/>
Criterion 5b – Training Participation (Fiscal - Charter holder level)	Attended less than 25% live mandatory trainings. <input type="checkbox"/>	Attended 26% to 74% live trainings. <input type="checkbox"/>	Attended 75% or more live trainings. <input type="checkbox"/>

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*WAIVED for the Risk Assessment conducted in the fall of 2021.			
Criterion 6 – Management Systems (Fiscal – Charter holder level) *WAIVED for the Risk Assessment conducted in the fall of 2021.	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"/>	The written responses provided indicate a few areas at potential risk of non-compliance or information provided does not detail the entire process leaving out key components. <input type="checkbox"/>	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"/>
Criterion 7 - Targeted Support & Improvement (TSI) / Comprehensive Support and Improvement (CSI) & Additional Targeted Support & Improvement (ATSI) (Program – Campus Level)	CSI <input type="checkbox"/>	TSI/ATSI <input type="checkbox"/>	Does not apply <input type="checkbox"/>
Criterion 8 – Timely submissions of materials into Epicenter – Timeliness (Program – Campus Level)	Highest percentage of reviewed items outstanding or submitted 15 or more days late. <input type="checkbox"/>	Highest percentage of reviewed items submitted 1 to 14 days late. <input type="checkbox"/>	Highest percentage if reviewed items submitted on-time or early. <input type="checkbox"/>
Criterion 9 – Total Number of Federal Grant Programs administered by the school (including emergency relief funds) (Fiscal – Charter Holder Level)	5 or more Federal programs. <input type="checkbox"/>	3 to 4 Federal programs. <input type="checkbox"/>	1 to 2 Federal programs. <input type="checkbox"/>

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Criterion 10 – Special Education Compliance (Program – Campus Level)	Verified evidence of non-compliance with special education requirements including one or more of the following: <ul style="list-style-type: none"> - Verified Due Process Complaint - Verified Office of Civil Rights Complaint - State Special Education Audit resulted in a Corrective Action Plan. <div style="text-align: center;">□</div>		No verified evidence of non-compliance with special education requirements. <div style="text-align: center;">□</div>
Criterion 11 - Percent growth of relevant student groups <ul style="list-style-type: none"> - Economically Disadvantaged (Title IA) - Students with Special Education Individualized Education Plans' (IDEA-B) - English Language Learners (Title III – ELL) (Program – Campus Level)	75% or more growth, with an increase of 26 students or more in any of the identified student groups (whichever is higher) <div style="text-align: center;">□</div>	51% to 74% growth in any of the identified student groups with an increase of less than 26 students (whichever is higher). <div style="text-align: center;">□</div>	50% increase or less, no increase, or a decrease in any of the identified student groups <div style="text-align: center;">□</div>

Throughout this document where the term “highest percentage” is used, in the event of a tie for the highest percentage, the indicator will default to the higher risk level tied for the highest percentage.

Results

Overall Risk Tier Designation:			
Total Number of Checked Boxes:	High:	Moderate:	Low:
SPCSA Reviewer / Date:			