

NDE Risk Assessment Scoring System

NDE developed 24 risk indicators grouped into the five categories listed below. Seven of the twenty-four indicators were deferred in this initial cycle. Based on these indicators, NDE prepared a comprehensive annual Risk Assessment, which evaluates and **scores** the programmatic performance and financial stability of each subrecipient. Composite scores for each of the five categories are combined into a single score and percentage representing a subrecipient’s overall level of risk.

Weighted Risk Indicator Scoring System

Scoring rubrics were developed for each individual risk indicator. Thirteen (13) of the risk indicators are scored on a scale of 0-3, with zero representing the least risk. Four (4) of the risk indicators are scored “double”, 0 to 6 points due to the significance of the indicators weight toward overall risk. Again, “0” represents the lowest level of risk. This combination of fiscal and programmatic indicators represents the most pivotal components that must be addressed to either eliminate reversions or substantially reduce carryover funds and improve academic achievement.

Scoring Methodology

- a. An overall Risk Level and Risk Score are given as a percentage and points for each subrecipient. Points are awarded from a maximum of 63. (Note: The 63 points is based on 17 indicators; 7 were deferred in FY2019. This will change in future years). It is important to note that all risk indicators are scored “as applicable”. The indicators that do not apply to a subrecipient are subtracted from the total. The lower number of points assigned to each subrecipient per category, the lower the risk percentage and score.
- b. These Risk calculations generate a Risk Percentage and a designated Risk Level of **Low, Medium, or High**.
 - Example, if a subrecipient had a score of 14 points out of 63, their Risk Score would be 22% (14/63), resulting in being designated as a “**Low Risk**”.
- c. Each category of risk indicators also includes a rubric with the methodology and metrics NDE used in scoring by indicators and category.

Risk Assessment Results Example

Low Risk	Scores between 1-29%
Medium Risk	Scores between 30-46%
High Risk	Scores above 47%

Points	Max Points	Risk Level	Risk Score
14	63	LOW	22%

Risk Indicators weighted scoring by category.

(1) Category 1 – Audit Performance – 18 points

1. Outcomes of Federal and State Fiscal Audits (as available). Findings, Evaluation and Material Findings - 6 points (double)
2. Single Audit (OMB Super Circular) Results - 6 points (double)
3. Title I Comparability Audits - 6 points (double)

(2) Category 2 – Academic Achievement – 24 points

4. Comprehensive Support and Improvement (CSI)/Targeted Support and Improvement (TSI)/Additional Targeted Support and Improvement (ATSI) Schools - 3 points
5. English Language Assessment. World Class Instructional Design and Assessment (WIDA) and Adequate Growth Potential (AGP) - 3 points
6. Index Scores - 3 points
7. College and Career Readiness -3 points
8. Chronic Absenteeism - 6 points (double)
9. Graduation Rate - 3 points
10. Equitable Service/Consultation Process – 3 points

(3) Category 3 – Reporting Timeliness and Accuracy - 9 points

11. Federal Grant Closeout Reports - 3 points
12. Federal Grant Funding Applications Submissions Timeliness - 3 points
13. General Statement of Assurance (GSA) - 3 points
14. Stale Claims – DEFERRED
15. Federal Grant Desktop Monitoring – DEFERRED

(4) Category 4 – Grant Management – 3 points

16. Carryover of Federal Grant Funds -DEFERRED
17. Timeliness and Accuracy of Reimbursement Request Submissions - DEFERRED
18. Amendment Requests - 3 points
19. New Personnel and New or substantially Changed Systems - DEFERRED

(5) LEAs District Performance Plan (DPP)/ School Performance Plan (SPP) – 9 points

20. LEAs District Performance Plan (DPP) - 3 points
21. LEAs School Performance Plan (SPP) - 3 points
22. Evidence-based – DDP – DEFERRED
23. Evidence-based – SPP – DEFERRED
24. Equitable Distribution of Teachers Plan – 3 points