

Division:	Career, Technical and Agricultural Education
Program/Procedure:	Perkins IV Federal Grantee Risk Assessment
CFDA: 84.048 Sec. 112	

The state educational agency (SEA) has the responsibility to monitor high risk local educational agencies (LEAs). The Georgia Department of Education (Department) defines high risk as:

- LEAs showing evidence of serious or chronic compliance/performance problems.
- LEAs with financial audit findings.
- LEAs with complaints from parents and other stakeholders about fraudulent use of funds.

In addition, other elements may cause an LEA to be determined as high risk:

- LEAs failure to meet required deadlines.
- LEAs having new personnel not familiar with program requirements.
- LEAs having directors not attending (GaDOE CTAE) training sessions.
- Other items as listed on the *Monitoring and Risk Assessment Checklist*.

Thus, a high risk assessment does not necessarily mean an LEA is not meeting the requirements of the program, federal regulations, or administrative procedures. It does mean that an LEA may be at a higher risk of having program elements that could lend themselves to causing an LEA not to perform the activities associated with the federal rules, regulations, and administrative procedures in a manner that keeps the LEA in compliance.

The CTAE Accountability and Finance Unit conducts a monitoring and risk assessment of the following Perkins IV areas:

- Monitoring and Risk Assessment Checklist results
- Core Indicators of Performance data
- Financial review status

Determining a Rating

The CTAE Accountability & Finance Unit will conduct a monitoring and risk assessment review each year to determine if an LEA is considered high risk.

Each year, all LEAs will be asked to complete the Monitoring and Risk Assessment Checklist. The completed checklist will be emailed to LPlan (lplan@doe.k12.ga.us) with a copy sent to their CTAE Region Coordinator by the established deadline.

The following High Risk Intervention Elements will be used to determine each LEAs score. Those LEAs with a score between 0 to 40 points will be determined low risk. The LEAs with a score between 50 to 90 points will be determined medium risk. The LEAs with a score of 100 or greater will be determined high risk. The goal for an LEA will be to have a low risk rating score. Intervention Risk Assessment Strategies have been determined for each risk rating group and are on the page 3.

High Risk Intervention Elements	
Elements	Point Values
1. Has the current CTAE Director been in the position since July 1, 2014?	<ul style="list-style-type: none"> • Yes = 0 points • No = 10 points
2. Did the CTAE Director attend two or more CTAE sponsored workshops: Winter Conference, GACTE, or Technical Assistance Meeting?	<ul style="list-style-type: none"> • Yes = 0 points • No = 10 points
3. Did the CTAE System Director complete the training for New CTAE Directors?	<ul style="list-style-type: none"> • Yes = 0 points • No = 10 points
4. Did the LEA meet its Perkins IV local budget match requirement? (As reported on the FTE/QBE Perkins Expenditure Chart)	<ul style="list-style-type: none"> • Yes = 0 points • No = 50 points
5. Did the LEA submit all budget amendments to the Program Improvement Grant prior to the deadline of June 6, 2015?	<ul style="list-style-type: none"> • Yes = 0 points • No = 10 points
6. Did the LEA submit all Perkins IV Grants (Program Improvement, Perkinsplus, & Carryover) Completion Reports by the July 31, 2015, deadline?	<ul style="list-style-type: none"> • Yes = 0 points • No = 30 points
7. Did the LEA meet Core Indicator 2S1 (Technical Skill Attainment) on the <u>most recently published</u> data?	<ul style="list-style-type: none"> • Yes = 0 points • No = 10 points
8. Did the LEA sign off on the Program Improvement Grant application through the consolidated application process by May 15, 2015?	<ul style="list-style-type: none"> • Yes = 0 points • No = 10 points
9. Did the LEA sign off on the Program Improvement Grant budget detail through the consolidated application process by September 30, 2015?	<ul style="list-style-type: none"> • Yes = 0 points • No = 10 points

High Risk Intervention Elements	
Elements	Point Values
10. Did the LEA use the state recommended equipment inventory management form, or did the form used by the LEA have all the required information?	<ul style="list-style-type: none"> • Yes = 0 points • No = 10 points
11. Did the LEA “draw down” funds from Grants Accounting Online Reporting System (GAORS) on a timely basis?	<ul style="list-style-type: none"> • Yes = 0 points • No = 10 points
12. <i>Did the LEA have Perkins IV federal funds greater than \$300.00 (combined total of Program Improvement and Carryover) left unspent after June 30, 2015?</i>	<ul style="list-style-type: none"> • Yes = 20 points • No = 0 points
13. <i>Did the LEA report EOPA testing irregularities for the most recent fiscal year?</i>	<ul style="list-style-type: none"> • Yes = 10 points • No = 0 points

Determining an LEA’s Final Risk Rating

An LEA’s final risk rating is determined by using both its risk rating from the CTAE Accountability & Finance Unit and the GaDOE Office of Financial Review Division.

The final review is based upon a combination of the CTAE Accountability & Finance Unit risk rating and the GaDOE Financial Review Division risk rating (CTAE Unit: two-thirds of the total score; Financial Review: one-third of the total score). Those LEAs with a final risk score between:

- 0 to 40 points will be determined low risk.
- 50 to 90 points will be determined medium risk.
- 100 or greater will be determined high risk.

Regardless of the LEA’s final risk score, an LEA with four (4) or more financial statement findings within the past 24 months will be automatically be considered “high risk.”

Intervention Risk Assessment Strategies

Once an LEA’s risk is assessed, CTAE Regional Coordinators must monitor the LEA based on the risk intervention strategies, in the chart below:

Risk Group	Intervention(s)
High Risk 100 or greater	The LEA is subject to an on-site monitoring and risk assessment visit from the appropriate CTAE Regional Coordinator and monitoring team. The LEA will be required to submit documentation on all elements found deficient.
Medium Risk 50-90 points	The LEA is subject to monitoring at least every five years by the CTAE Accountability and Finance Unit. In the interim years of medium risk, the LEA may be asked to submit documentation on all deficient elements to their Regional Coordinator. Documentation will also be uploaded as an attachment to the current Con App “Attachment Tab.”
Low Risk 0-40 points	The LEA will be monitored a minimum of once every five years by the CTAE Accountability and Finance Unit.