



SPRING 2017 Provider Training

Quality Assurance and Compliance Monitoring



FLORIDA DEPARTMENT OF
EDUCATION
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Spring 2017 Provider Training Webinar

December 15, 2016

10:00 AM – 12:00 PM (EST)

Webinar registration link:

www.gotomeeting.com/webinar/homepage

Call number: 1-888-670-3525

Participant Access Code: 4632608161 then
press #

Please minimize background noise during the webinar.

- Please keep your phone on mute to listen to the webinar. This eliminates background noise and discussions from disrupting the webinar.
- If your phone does not have a mute button, press *6
- Press *6 to unmute.

FACILITATOR

Tashi Williams, Compliance Director



Quality Assurance and Compliance Section
Division of Career and Adult Education
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Objectives of Conference Call

To provide participants with information regarding grant program monitoring scheduled for Fiscal Year 2016-17



Fiscal Years and Programs Monitored

- Fiscal Years (FY) monitored:
 - 2014-15, 2015-16 and 2016-17
- Grant Programs to be monitored:
 - Adult Education (AE)
 - Carl D. Perkins (CTE)

Topics to be Covered on the Call

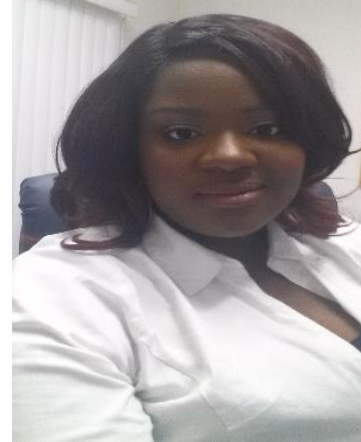
- Why do we monitor and what is our way of work?
- Enhancements to the Risk Assessment
- How do we select agencies to monitor?
- Agencies selected for spring 2017 monitoring
- Monitoring strategies and areas of focus
- Pre-visit, on-site/desk review, and post-visit activities
- Items to have available for the monitoring review
- Program of Study Requirement
- Post-visit monitoring report
- Examples of findings and concerns found during the monitoring review
- Team introduction
- General Q & A

Quality Assurance and Compliance Team

Dr. Shahrokh Massoudi



LaStacia Spencer



Judieth Taylor



Michael Swift



Why do We Monitor?

- Federal and state requirement
- Accountability – program and fiscal
- Opportunity for needed corrections
- Continuous improvement and positive changes
- Recognition

What is Our Way of Work?

Implementation of a risk-based system that is:

- Based on project risk
- Collaborative in nature;
- Recognizes positive practices;
- Identifies findings and concerns related to program quality and compliance; and,
- Supports systemic and continuous program improvement

Risk Assessment Factors 2016-17

Risk Matrix – Operational Risk Factors (Metrics)

- Number of grants
- Total amount of agency funding
- Number of grant funds remaining
- Perkins Program Improvement Plan (PIP)*
- Audit/monitoring findings
- Change in director

* Denotes new data element as of 2014-2015

2016-17 Quality Assurance Enhancements

- Perkins PIP Index
- Risk score divided into quartiles
- Balanced weight between data elements

Upper Quartile/Higher	7
Upper Middle	5
Lower Middle	3
Lower Quartile	1
Zero	0

2016-17 Risk Assessment Process

Calculation of the Risk Score:

- Point Value Assigned X Weight = Total Metric Point
- Sum of all Metric Points = Agency Risk Score

(Sample) Risk Matrix for Colleges, Districts, Non-College/Non-District Receiving Carl D. Perkins Grants

Agency Name: Sunshine State College

Target Year: 2014-2015 (Monitoring Year 2016-2017)

Metric	Scaling	Point Value	Point Value Assigned (PVA)	Weight	Total Metric Points (PVA X Weight)
Total Budget for all Perkins Grants Combined	Upper Quartile	7	5	X 10	50
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
Number of Perkins Grants	4+	7	7	X 8	56
	3	5			
	2	3			
	1	1			
*3-year Perkins Improvement Plan (PIP) Index	7.50 – 10.00	7	0	X 8	0
	5.00 – 7.49	5			
	2.50 – 4.99	3			
	0<index<2.50	1			
	0	0			
Agency CTE Program Director Change from Previous Fiscal Year	Yes	7	7	X 6	42
	No	0			
Unexpended Funds from all Perkins Grants Combined	Upper Quartile	7	1	X 4	4
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
# OAG Audit Findings	Upper Quartile	7	3	X 4	12
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
AGENCY RISK SCORE:					164

Risk Assessment Process

- 2014-15 grant data was used for risk calculations
- Monitoring will address grants from 2014-15 through 2016-17
- Additional programs in the geographical area may also be reviewed/monitored

IMPORTANT!

- A high risk assessment score should NEVER be interpreted as a negative reflection on the provider.



Provider Selection 2016-17

- Agencies with the highest risk matrix may be targeted for monitoring
- Monitor both CTE and AE
- Various monitoring strategies are implemented

Quality Assurance

Spring 2017 targeted providers for on-site or desk monitoring:

- Miami-Dade College
- Hillsborough County School District
- Pinellas County School District
- Palm Beach County School District
- Osceola County School District
- South Florida State College
- Florida Department of Corrections
- St. Petersburg College

Monitoring Process

- Pre-visit, on-site/desk review and post-visit/desk review activities
- Records and data reviews (all phases)
- Direct observation (on-site)
- Interviews (on-site and conference call)
 - Phone calls, emails
 - Referrals
- Resolution Plans:
 - Corrective Action Plans (Findings)
 - Action Plan (Concerns)

Pre-visit Activities

- Notification (personal and correspondence)
- Webinar training for providers
- Team leader coordination
- Coordination with Quality Assurance and Compliance

Team Leader:

- Confirmation of agency contact (preferably one designee per agency for AE and CTE programs)
- Coordination and communication with DOE team leader
- Develop site visit schedule (onsite)
- Submit Program of Study Materials as requested

Information Required

- Organizational chart
- List of administrative staff with duties relevant to these grants; including location and contact numbers
- If available, a map of the district/county indicating locations of program sites
- List of all AE and/or CTE program sites including:
 - Name, address, and zip code
 - Principal/Dean/Director name and phone number
 - Hours of operation
- Agency's list of documents (AE and CTE related) that are required to be contained in a student's record
- Program of Study Materials as requested

Desk Monitoring Activities

- Desk monitoring review instrument is sent via email to the provider designee:
 - and Fiscal Allowable Cost Protocol
- Provider returns completed desk monitoring review
 - Review of desk monitoring instrument
- Exit Conference by phone
- Draft report is emailed to the provider for feedback
 - Resolution Plan if applicable
- Final Report is mailed to the provider
- Closure letter is sent to the provider

On-site Activities

- Entrance Conference – 1 hour maximum
 - Provider presentations optional
 - Discussion of monitoring
- Interviews
 - Administrators
 - Teachers/Instructors
 - Students (group)
 - Staff/Faculty
- Observations
- Records Review (2014-15, 2015-16 and 2016-17):
 - Student
 - Financial
 - Personnel
 - Data

On-site Activities - continued

- Equipment Inventory
 - According to EDGAR specifications – (2014-15 and 2016-17 grants)
 - According to the Uniform Grant Guidance (UGG) – (2015-16 grants)
The final rule implementing the UGG was published in the Federal Register on December 19, 2014, and becomes effective for new and continuation awards issued on or after December 26, 2014.
- Perkins Program Improvement Plans (if applicable)
- Program of Study Conference Call
- Exit conference

Have Available on the First Day (on-site)...

- Access to records for:
 - FY 2014-15
 - FY 2015-16
 - FY 2016-17
- Policy/handbook for employees
- **PLEASE DO NOT MAKE COPIES!**
- Handbooks and materials for students (include student enrollment packet)
- Attendance policies
- Recruitment efforts
- General policies and procedures
- Governing board and advisory committee(s) related documents (may be a procedures manual)

First Day - continued

- Recruitment activities and materials for agency's programs
- Financial policies and procedures including those related to purchasing and procurement of contractual services, equipment and supplies
- Travel and purchasing records
- Local data procedures
- An **inventory of equipment** purchased with the grant funds, **by site**
- **Maps** to each AE and/or CTE class location
- Staff to alert to our visit:
 - Finance Director
 - MIS Director/Institutional Research
 - Staff involved with the Program of Study
 - Other appropriate administrator(s), dean(s) or principal(s)
- **P.S. We pay for our own food and drink!**

Inventory Guidelines

The following elements are required on the inventory of all equipment purchased.

2 C.F.R. 200, Uniform Grant Guidance, 200.313 Equipment: Property records must be maintained that include:

- Description of Property
- Serial Number/ID Number
- The source of the funding
- Title Holder
- Acquisition Date
- Cost of Property
- Percentage of Federal Participation
- Location of Property
- Use and Condition of Property
- Sale Price
- Date of Disposal

Sample Property Inventory List

SUNSHINE STATE COLLEGE

Property Inventory List

Serial Number/ ID Number	Description of Property	Source of Funding	Title Holder	Acquisition Date	Cost of Property	Sale Price	Manufacturer	Location of Property/ Room	Date of Disposal
F415661D9HD4	COMPUTER IMAC 27"	ADULT BASIC	JOHN STEWART	05/30/15	\$4,534.21	N/A	APPLE	456	N/A
F45892S3589	6 BURNER GAS RANGE	CARL PERKINS	PAMELA BROWN	08/05/14	\$5,423.54	\$4,562.01	US RANGE GARLAND	125	2/15/2016
S6D3356V23	WARMING CABINET	CARL PERKINS	MARIE OLIVER	05/18/15	\$245.21	N/A	VULCAN	124	N/A
FG541S226	STORAGE CABINET	ADULT BASIC	STEPHEN GRAY	06/24/15	\$4,587.23	\$1,542.25	GMI	163	N/A
F5G65623SD	DRONE HELICOPTER	ADULT BASIC	LYLE GOLDEN	06/08/16	\$451.24	N/A	DJI	214	N/A
465.54L56	COMPUTER IMAC 27"	CARL PERKINS	JAMES HARRIS	08/07/13	\$5,685.51	N/A	APPLE	321	5/30/2015
298556	TABLE W/ WHEELS	CARL PERKINS	MICHAEL JONES	10/15/13	\$4,876.55	\$3,453.25	EAGLE GROUP	325	12/7/2015
5545600	WORKING TABLE	ADULT BASIC	ELIZABETH REYS	12/07/15	\$8,756.25	N/A	EAGLE GROUP	323	N/A
NONE	PRINTER	ADULT BASIC	JASON BORNE	03/10/15	\$5,543.14	N/A	HP	154	N/A
UHKJ554521	MOBILE LAB CHART	CARL PERKINS	VALERIE HODGE	09/21/15	\$5,463.24	N/A	SPECTRUM	245	6/22/2016
NONE	COMPUTER IMAC 27"	ADULT BASIC	MELINDA JONES	11/24/15	\$5,513.15	N/A	APPLE	186	N/A
87456.45.456	DEEP FRYER	CARL PERKINS	HAROLD WHITE	09/24/13	\$2,685.00	\$745.25	PITCO	152	4/24/2016

Sample Program Of Study Materials

- Copy of POS Form outlining pathway for students to move from secondary to postsecondary and into the workforce from the 2014-15 Request for Application (RFA)
- Copy of Local Articulation Agreements for this Program of Study
- Responses to Program of Study narrative section of monitoring protocol
- Other materials as requested to validate Program of Study

Career Cluster: Health Science				CTE Program: Nursing Assistant (8417210)				
Career Cluster Pathway: Therapeutic Services				Industry Certification: Certified Nursing Assistant (FDMQA002)				
District Logo	16 CORE CURRICULUM CREDITS					8 ADDITIONAL CREDITS		
	ENGLISH 4 credits	MATH 4 credits	SCIENCE 3 credits, 2 with lab	SOCIAL STUDIES 3 credits	OTHER REQUIRED COURSES FINE ARTS (1 credit) PHYSICAL EDUCATION (1 credit)	CAREER AND TECHNICAL EDUCATION COURSES	RECOMMENDED ELECTIVES (ALIGNED WITH COMMUNITY COLLEGE & STATE UNIVERSITY SYSTEM PROGRAMS)	
HIGH SCHOOL	<ul style="list-style-type: none"> Students are encouraged to begin planning for careers and postsecondary options by exploring resources at mycareershines.org. Students are also encouraged to participate in dual enrollment courses which may be used to satisfy high school graduation or Bright Futures Gold Seal Vocational Scholars course requirements. Students planning to enroll in any postsecondary <i>degree</i> program should take the Postsecondary Education Readiness Test (PERT) in eleventh grade if they do not earn college-ready scores on the FCAT, FCAT 2.0, or subject area end-of-course exam. 							
	9th	English 1 or H	Alg. 1 or H, or Geometry or H	Physical Science or Biology H	None or AP Human Geography	Physical Education (1 credit)	Principles of Biomedical Science	Foreign Language 1
	10th	English 2 or H	Geometry or H, or Alg. 2 or H	Biology H or AP,	World History, H or AP		Health Science Anatomy & Physiology	Foreign Language 2
	11th	English 3, H, AP Language,	Alg. 2 or H, or Analysis of Function	Chemistry, H or AP	American History, H or US History AP	Practical Arts or Fine Arts course (1 credit)	Health Science Foundations	Other elective
	12th	English 4, H, or AP Literature	Trig/Analytical Geometry or Calculus, H or AB	Physics, H, AP or IB, or student choice of science, H or AP	Economics, H or AP and American Government, H or AP	Computing for College and Careers	Nursing Assistant 3	Home Health Aide
POSTSECONDARY	Based on the Career Cluster of interest and identified career and technical education program, the following postsecondary options are available.							
	TECHNICAL CENTER PROGRAM(S)		COMMUNITY COLLEGE PROGRAM(S)			UNIVERSITY PROGRAM(S)		
	[Tech Center] Nursing Assistant Practical Nursing		[Community College] Nursing (AS) Practical Nursing (LPN)			[State University] Nursing (AS, BSN) Health Science (BSN)		
CAREER	Sample Career Specialties (The Targeted Occupations List may be used to identify appropriate careers)							
	Certified Nursing Assistant Licensed Practical Nurse		Registered Nurse Nursing Professional			Registered Nurse Nurse Educator		
CREDIT	Articulation and CTE Dual Enrollment Opportunities							

CREDIT	Articulation and CTE Dual Enrollment Opportunities		
	Secondary to Technical Center (PSAV) (Minimum # of clock hours awarded) [Tech Center] Licensing Practical Nurse, Nursing Assistant – Basic Health Care Worker (90 clock hours for Health Science Foundations)	Secondary to College Credit Certificate or Degree (Minimum # of clock or credit hours awarded) [College(s)] 3 credit hours of HSC2531 awarded from passing [College] Medical Terminology Exemption Exam for the Registered Nurse Program	PSAV/PSV to AAS or AS/BS/BAS (Statewide and other local agreements may be included here) AS to BSN Registered Nurse (120-128 hours - Statewide)
Career and Technical Student Association			
HOSA			
Internship/Work Experience Recommendations			
Work, volunteer, intern, shadow at hospitals, clinics, nursing and rehabilitation facilities and school nurse or district or community clinics.			

Program of Study Graduation Requirements: <http://www.fldoe.org/academics/graduation-requirements>

Post-visit Activities

- Thank you letters & evaluation survey
- Monitoring Report
 - Draft – sent to director for feedback
 - Final – sent to agency head
- Resolution activities
 - Corrective Action Plan – for Findings
 - Action Plan – for Concerns
 - Follow – up communication
- Closure letter

Monitoring Report

Areas of Focus:

- Administration
- Data
- Learning Environments
- Student Perspective
- Curriculum and Instruction
- Financial
- Records Review
- Program of Study
- Technology and Equipment
- Collaboration

Common Findings Discovered in Onsite Monitoring Visits to Agencies

- Lack of Advisory Committee in CTE programs
 - Absence of statements
 - Lack of advisory committee implementation and involvement
 - Lack of business and industry relationships with programs and parental involvement
- Safety and Security findings

Authority/Law: Life Safety Code 101 (includes schools and colleges), Florida Fire Prevention Code, National Fire Protection Association 1 (NFPA1) – Chapter 60 and 66

 - Exposed wires and extension cords
 - Safety rules not posted (e.g., auto, welding)
 - Lack of ramp for wheelchair accessibility

Common Findings, continued

- Property inventory findings
Authority/Law: 2 C.F.R. 200, Uniform Grant Guidance, 200.313
Equipment and EDGAR, Section 80.32 Equipment, (d) (1)
 - Incomplete or lack of inventory for equipment
 - Property not properly tagged
 - Lack of procedures for properly disposing certain inventory items
- Procurement findings
Authority/Law: 34 CFR 80.36(b) – Procurement Standards
 - Lack of policies and procedures for contracting and/or purchasing goods and services
 - Timesheets were not signed by the employee or the supervisor
 - Executive director approved his/her own travel authorization forms
 - Several checks exceeded \$10,000 and were signed only by the executive director

Common Findings, continued

- Inadequate data quality/reporting findings
Authority/Law: Proviso language in the annual General Appropriations Act Workforce Education, Aid to Local Governments Workforce Development from General Revenue Fund
 - Lack of timely and accurate reporting of Workforce Development Information System (WDIS) data
 - Over-reporting of instructional hours
- Student records findings
Authority/Law: The Family Educational Rights and Privacy Act (FERPA)(34 Code of Federal Regulations (CFR) Part 99.31
 - Student records were not accessible to compliance team

Common Concerns

- Last minute spending...students must benefit
- No staff development plans
- No leadership succession plans
- Lack of coordination among MIS/data, program and financial professionals
- Outdated textbooks
- Lack of classroom supplies
- Outdated policies and procedures

Common Concerns - continued

- Lack of attention to off-site location resource needs
- Websites out-of-date
- Physical storage space issues

Common Best Practices Discovered in Onsite Monitoring Visits to Agencies

- Innovative uses of technology
- Varied teaching/instructional practices
- Continued collaboration with business and industry

Monitoring Reports

- Monitoring reports are available online:

<http://fldoe.org/academics/career-adult-edu/compliance>

Tools and Resources

- Carl D. Perkins Career and Technical Education Improvement Act of 2006

http://fldoe.org/core/fileparse.php/3/urlt/perkins_iv_text.pdf

- Workforce Innovation and Opportunity Act of 2014

<http://www.doleta.gov/WIOA/>

- Education Department General Administrative Requirements (EDGAR)

<http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>

Tools and Resources - continued

- Federal Uniform Grant Guidance (Uniform Administrative Requirements, Cost Principles, and Audit Requirement for Federal Awards)

<https://www.federalregister.gov/articles/2013/12/26/2013-30465/uniform-administrative-requirements-cost-principles-and-audit-requirements-for-federal-awards>

- Florida Department of Education, Quality Assurance and Compliance

<http://fldoe.org/academics/career-adult-edu/compliance>

- Florida Department of Education “Green Book”

<http://www.fldoe.org/finance/contracts-grants-procurement/grants-management>

Quality Assurance and Compliance Team

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[Q & A]

We welcome your comments,
feedback, and suggestions
Thank you!





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