



**Quality Assurance and Compliance
Desk Monitoring Review
for
Perkins Career and Technical Student Organizations**

Florida DECA, Inc.

September 7, 2017

Final Report

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Florida Department of Education
Division of Career and Adult Education

Florida DECA, Inc.
Career and Technical Education
Quality Assurance and Compliance Monitoring Report

I. INTRODUCTION

The Florida Department of Education (FLDOE), Division of Career and Adult Education (division), in carrying out its roles of leadership, resource allocation, technical assistance, monitoring and evaluation, is required to oversee the performance and regulatory compliance of recipients of federal and state funding. The Quality Assurance and Compliance section is responsible for the design, development, implementation and evaluation of a comprehensive system of quality assurance including monitoring. The role of the quality assurance system is to assure financial accountability, program quality and regulatory compliance. As stewards of federal and state funds, it is incumbent upon the division to monitor the use of workforce education funds and regulatory compliance of providers on a regular basis.

II. AUTHORITY

The FLDOE receives federal funding from the U.S. Department of Education (USDOE) for Career and Technical Education (CTE) under the Carl D. Perkins (Perkins) Career and Technical Education Act of 2006 and for Adult Education (AE) under the Adult Education and Family Literacy Act of 1998. FLDOE awards subgrants to eligible providers to administer local programs. FLDOE must monitor providers to ensure compliance with federal requirements, including Florida's approved state plans for CTE and adult education/family literacy. Each state shall have procedures for reviewing and approving applications for subgrants and amendments to those applications, for providing technical assistance, for evaluating projects, and for performing other administrative responsibilities the state has determined are necessary to ensure compliance with applicable statutes and regulations pursuant to 34 CFR 76.770, Education Department General Administrative Regulations (EDGAR) and the Uniform Grant Guidance (UGG) for grant awards issued on or after December 26, 2014. The Florida Department of Education, Division of Career and Adult Education is required to oversee the performance of subgrantees in the enforcement of all laws and rules (Sections 1001.03(8) and 1008.32, Florida Statutes).

Additional citations noting pertinent laws and regulations and authority to monitor are located in the 2016-2017 Quality Assurance Policies, Procedures, and Protocols, Module A, Section 1.

III. QUALITY ASSURANCE POLICIES, PROCEDURES, AND PROTOCOLS

The Quality Assurance Policies, Procedures, and Protocols manual was revised in the 2016-17 program year. The manual is provided to each provider prior to the monitoring visit. The manual provides a summary of each facet of the monitoring design and the process. It also contains protocols that may be used as agencies are monitored or reviewed. References may be made to the manual in this document; it is located on the division's website at <http://fldoe.org/academics/career-adult-edu/compliance>.

IV. PROVIDER SELECTION

Various sources of data are used throughout the implementation of the quality assurance system. The monitoring component of the system is risk-based.

Risk assessment is a process used to evaluate variables associated with the grants and assign a rating for the level of risk to the department and the division. A risk matrix, identifying certain operational risk factors is completed for each provider. The risk matrix for each program monitored is located in Appendix A. The results of the risk assessment process and consideration of available resources are used to determine one or more appropriate monitoring strategy(ies) to be implemented.

The monitoring strategy for Florida DECA, Inc. was determined to be a desk monitoring review. Notification was sent to Mr. Arlen Mizell, chairman, Florida DECA, Inc. on January 13, 2017. The designated representative for the agency was Ms. Lynore Levenhagen, executive director, Florida DECA, Inc.

The desk monitoring review for the agency was conducted on April 10- 14, 2017, by a representative of the Quality Assurance and Compliance section of the division: Mr. Michael Swift, program specialist.

V. FLORIDA DECA, INC.

The provider was awarded the following grants for FYs 2014 -15, 2015-16 and 2016 -17:

2014-2015

<u>Grant</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended Funds</u>
Perkins – CTSO Leadership	187-1625A-5PL01	\$ 27,840.00	\$ 6,813.76

2015-2016

<u>Grant</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended Funds</u>
Perkins – CTSO Leadership	187-1626A-6PL01	\$ 26,038.00	\$ 3,351.06

2016-2017

<u>Grant</u>	<u>Grant number</u>	<u>Grant Amount</u>	<u>Unexpended Funds</u>
Perkins – CTSO Leadership	187-1627A-7PL01	\$ 28,188.00	N/A

Additional information about the provider may be found at the following web address:

www.fldeca.org

VI. MONITORING ACTIVITIES

The desk monitoring review activities included administrative, financial, review of deliverables and an exit conference call.

Exit Conference

The exit telephone conference was conducted via conference call on June 30, 2017. The participants are listed below:

Name	Title	Exit
Lynore Levenhagen	Executive Director	X
FLDOE		
Tashi Williams	Director, FLDOE	X
Michael Swift	Program Specialist IV, FLDOE	X

Records Review

Program, financial and administrative records were reviewed. A complete list is provided in section VII, item B. Policies and procedures were also reviewed.

VII. RESULTS

A. **ADMINISTRATION** refers to the management and/or supervision of programs, structure of programs and services, grant oversight and other administrative areas.

- The day to day operations of DECA is run by a board approved executive director. The executive director is a contracted position that is renewed annually.
- The executive director is responsible for managing the FLDOE grant, submitting completed quarterly deliverables to FLDOE, as well as other duties detailed in the executive director’s contract.
- DECA is governed by a Board of Directors that includes the president and chairman; and a Board of Advisors that include district advisors from throughout the state.
- DECA does not have staff development training, but multiple training opportunities are provided to district advisors and school guidance counselors.
- Although the DECA student registration form does not include a location for students to self-declare a disability, they are made aware of any special accommodations that students may need from school guidance counselors.
- DECA retains records for a minimum five years.

B. **RECORDS REVIEW** refers to a review of the records and documents that demonstrate compliance with federal and state rules and regulations. Samples of financial and programmatic records are reviewed.

- DECA policies and procedures
- 2014/15 and 2015/16 quarterly deliverables submitted to FLDOE
- The executive director annual contract
- Board of Advisors meeting minutes, agenda and list of attendees
- DECA membership forms and conference registration forms
- Travel expense and reimbursement vouchers
- Contractual agreements for services provided during a state conference
- Bank statements and checks showing items paid by the executive director
- The completed Desk Monitoring Review packet

C. **FINANCIAL** refers to aspects of the federal fiscal requirements that providers must meet when expending federal funds, including financial management, procurement, inventory management, and allowable costs.

- The sole use of the federal grant award money is for the salary of the executive director.
- DECA was denied payment for the following deliverables:

- Deliverable 1.3 lacked evidence of recruitment activities.
- Deliverable 7.1 payment was requested in a prior quarter so no funds were approved.
- DECA has financial policies and procedures.
- The executive director has signature authority on purchases below \$5000 and requires board approval for any expenses over that threshold.
- Records of signed checks and invoices were made available to the monitoring staff. Checks above \$5000 were signed by two individuals.

VIII. REQUIRED RESOLUTION ACTIVITIES

CAREER TECHNICAL EDUCATION

1. Corrective Action Plan (findings) –DECA is not required to complete a corrective action plan.

IX. SUMMARY

Once the desk monitoring review is completed, including receipt of requested information, a draft report will be forwarded to the provider for review. Comments are accepted and considered. The final report will be completed, forwarded to the Chairman of the Board of Directors with a copy to the appropriate parties, and is posted on the department's website at the following address: <http://fldoe.org/academics/career-adult-du/compliance>.

The division will issue a closure notice to the Chairman of the Board of Directors and contact designee once all outstanding resolution items have been completed.

On behalf of the department, the monitor, Mr. Michael Swift, extends his appreciation to all participants in the Florida DECA, Inc. desk monitoring review. Special thanks is offered to Ms. Lynore Levenhagen for her participation in this process.

APPENDIX A
 Florida DECA, Inc.
 Career and Technical Education
 Risk Matrix

Risk Scores Matrix for Non-Colleges Receiving Career and Technical Education (CTE) Carl D. Perkins Grants					
Agency Name: FL DECA ASSOCIATION & FOUNDATION INC					
Program type: CAREER AND TECHNICAL EDUCATION					
Target Year: 2014-2015					
Monitoring Year: 2016-2017					
Metric	Scaling	Point Value	Points Assigned	Weight	Total Metric Points
Total Perkins Budget Allocated Value	Upper Quartile	7	3	<u>X 10</u>	30
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
# Perkins Grants Value	4+	7	1	<u>X 8</u>	8
	3	5			
	2	3			
	1	1			
	5.00 – 7.49	5			
	2.50 – 4.99	3			
	0<index<2.50	1			
	0	0			
Perkins Director Change Value	Yes	7	0	<u>X 6</u>	0
	No	0			
Perkins Funds Remaining Point Value	Upper Quartile	7	5	<u>X 4</u>	20
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
AGENCY RISK SCORE:					58

*Compliance monitoring last visit: N/A

*Data sources used for calculations: Prior to July 1, 2015