



# Fall 2020 Provider Training Quality Assurance and Compliance Virtual Desk Monitoring Review



# Fall 2020 Provider Training Webinar

August 20, 2020

2:00 PM – 4:00 PM (EST)

Webinar registration link:

- <https://attendee.gotowebinar.com/register/6025531936140493072>

Call number: 1-877-309-2074

Participant Access Code: 441-707-965 then press #



# Minimize Background Noise

- 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 \*5 to enter conference mode, unlock call at end of presentation.

# FACILITATOR

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# Purpose of the Webinar

- To provide participants with information regarding Quality Assurance and Compliance in the following areas:
  - Vision
  - Risk Assessment
  - Monitoring Strategies
  - Targeted Providers, 2020-21
  - Areas of Focus
- Describe the pre-monitoring, desk review, and post-monitoring activities.
- Share examples of findings and concerns
- Answer general questions.



# Vision

Implementation of a risk-based system that is:

- Collaborative in nature;
- Recognizes positive practices;
- Identifies findings and concerns related to program quality and compliance; and,
- Continuous program improvement.

# Webinar Topics

- Fiscal Years and Programs Monitored
- Regulatory requirements
- Risk Assessment
- Agencies selected for Fall 2020 monitoring
- Monitoring process
- Monitoring report's
- Examples of monitoring findings
- Tools and Resources
- General Q & A

# Fiscal Years and Programs Monitored

Fiscal Years (FY) monitored:

2018-19, 2019-20 and 2020-21

Grant Programs to be monitored:

Adult Education (AE)

Carl D. Perkins (CTE)





# Regulatory Requirements

# Regulatory Requirements

- Federal and state requirement
  - 2 C.F.R. Part 200, Uniform Grant Guidance (link below)  
<http://www.ecfr.gov/cgi-bin/text-idx?SID=704835d27377ef5213a51c149de40cab&node=2:1.1.2.2.1&rgn=div5>
- 2 C.F.R. Part 200.61 and 200.62 (Internal Controls)
- Workforce Innovation and Opportunity Act of 2014 (WIOA)
- Carl D. Perkins - The Strengthening Career and Technical Education for the 21st Century Act (Perkins V)

# What is Our Way of Work?

Implementation of a risk-based system that is:

- Based on project and provider 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

# Risk Assessment Factors 2020-21

## Risk Matrix – Operational Risk Factors (Metrics)

- Adult Education Program Improvement Plan (AE only)
- Perkins Program Improvement Plan (CTE only)
- Change in Management Information System (MIS)
- Last monitoring review
- Amount of grants
- Total budget of all Perkins V or WIOA grants combined
- Number of grant funds remaining
- Audit/monitoring findings
- Change in director

# Risk Assessment Process

- 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

# Risk Assessment Process - Cont'd

## Calculation of the Risk Score:

- $\text{Point Value Assigned} \times \text{Weight} = \text{Total Metric Point}$
- $\text{Sum of all Metric Points} = \text{Agency Risk Score}$

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

**(Sample) Risk Matrix for Colleges and School Districts**

**Carl D. Perkins Grants**

Agency Name: Sunshine State College

Target Year: 2018-2019 (Monitoring Year 2020-2021)

Metric	Scaling	Point Value	Point Value Assigned (PVA)	Weight	Total Metric Points (PVA X Weight)
<b>Number of Years Since the Agency Was Last Monitored</b>	7 or more years	7	5	X 10	50
	5-6 Years	5			
	3-4 Years	3			
	0-2 Years	1			
<b>Total Budget for all Perkins Grants Combined</b>	Upper Quartile	7	5	X 8	40
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
<b>Number of Perkins Grants</b>	4+	7	7	X 8	56
	3	5			
	2	3			
	1	1			
<b>Change in Management Information System (MIS) from Previous Fiscal Year</b>	Yes	7	0	X 6	0
	No	0			
<b>Agency CTE Program Director Change from Previous Fiscal Year</b>	Yes	7	7	X 6	42
	No	0			
<b>Unexpended Funds from all Perkins Grants Combined</b>	Upper Quartile	7	1	X 4	4
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
<b># OAG Audit Findings</b>	Upper Quartile	7	3	X 4	12
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
<b>AGENCY RISK SCORE:</b>					<b>204</b>



(Sample) Risk Matrix for Colleges and School Districts

Adult Education Grants

Agency Name: Sunshine State College

Target Year: 2018-2019 (Monitoring Year 2020-2021)

Metric	Scaling	Point Value	Point Value Assigned (PVA)	Weight	Total Metric Points (PVA X Weight)
Number of Years Since the Agency Was Last Monitored	7 or more years	7	5	X 10	50
	5-6 Years	5			
	3-4 Years	3			
	0-2 Years	1			
Total Budget for all Adult Education Grants Combined	Upper Quartile	7	5	X 8	40
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
Number of Adult Education Grants	4+	7	7	X 8	56
	3	5			
	2	3			
	1	1			
Change in Management Information System (MIS) from Previous Fiscal Year	Yes	7	0	X 6	0
	No	0			
Agency Adult Education Program Director Change from Previous Fiscal Year	Yes	7	7	X 6	42
	No	0			
Adult Education Performance Improvement Plan (AEPiP) *  *New metric for 2019-20	Upper Quartile	7	5	X 4	20
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
Unexpended Funds from all Adult Education 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:

224

# Risk Assessment Process - Cont'd

- 2018-19 grant data was used for risk calculations
- Risk scores are ranked highest to lowest
- Monitoring will address grants from 2018-19 through 2020-21

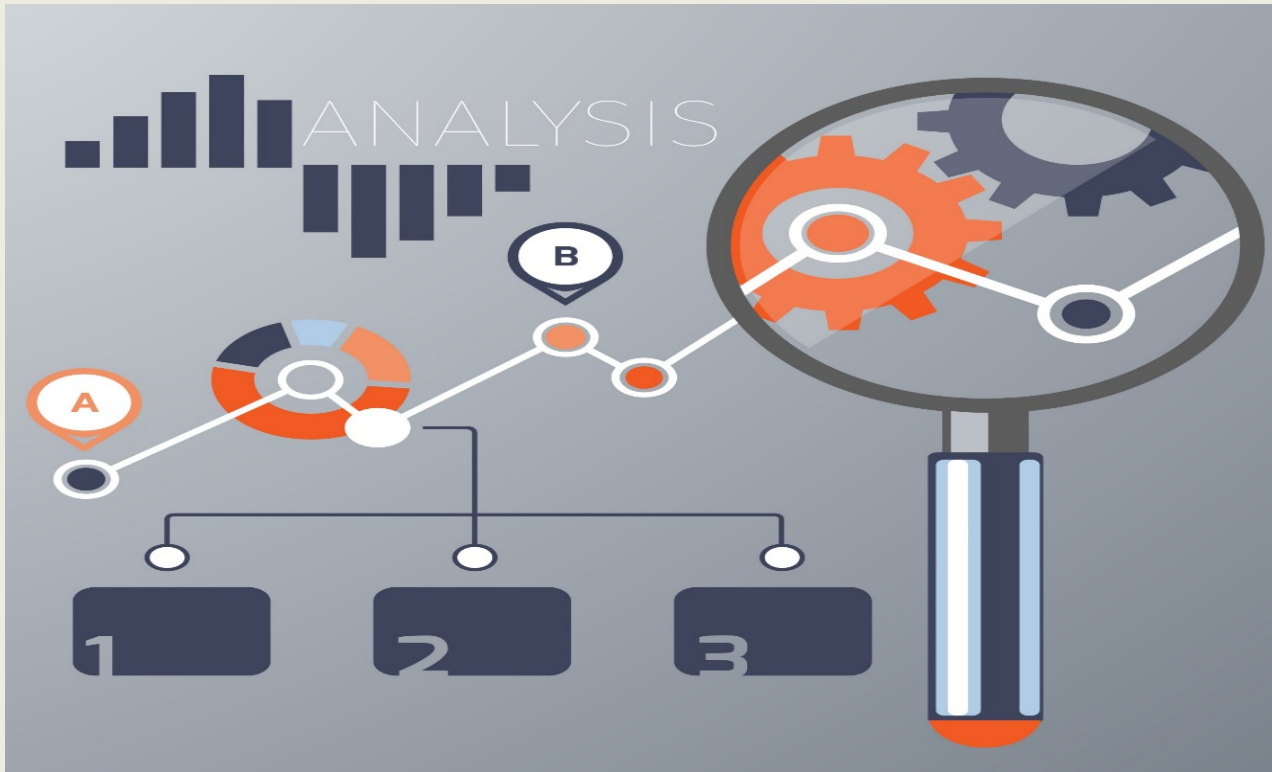




# Provider Selection 2020-21

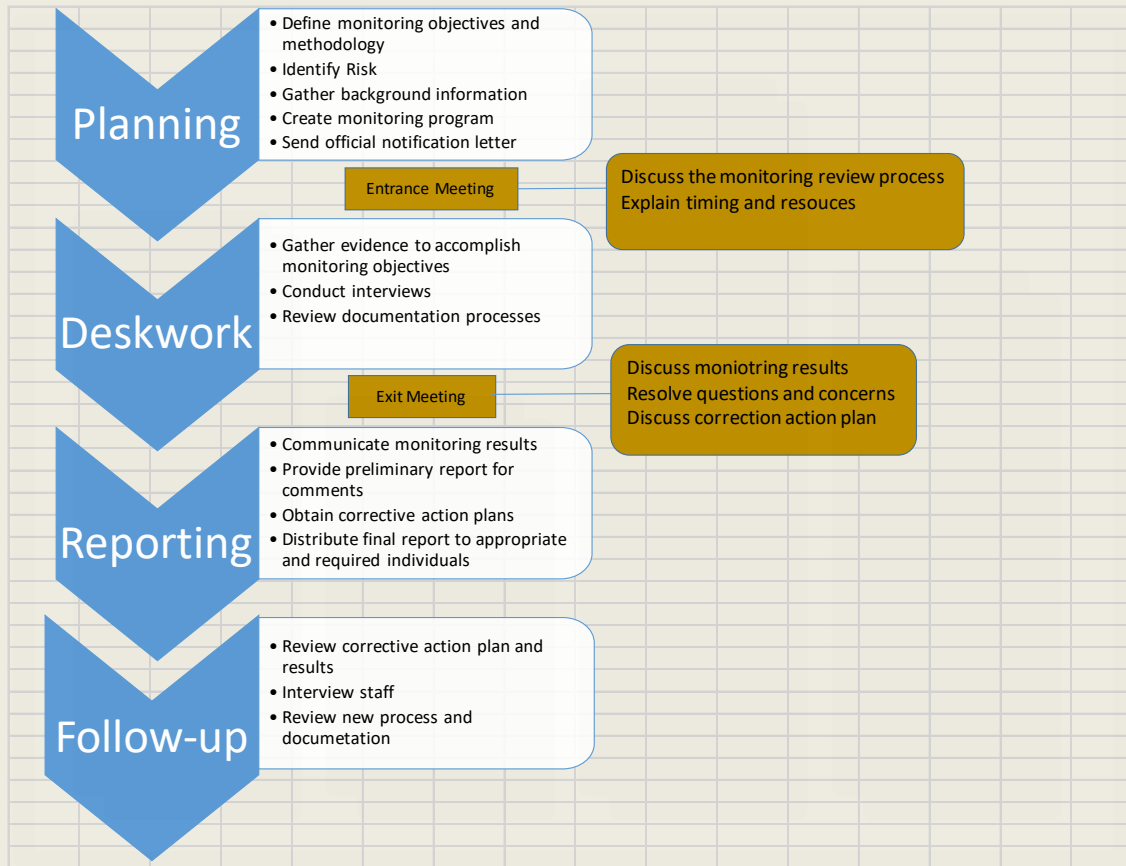
# Fall Provider Selection 2020-21

- Brevard County SD
- DeSoto County SD
- Dixie County SD
- Eastern FL State College
- FL School Deaf & Blind
- Franklin County SD
- Glades County SD
- Jefferson County SD
- Northwest FL State College
- Okaloosa County SD
- Palm Beach SD
- Palm Beach State College
- Santa Rosa SD
- St John SD
- Tallahassee Community College
- Taylor County SD



# MONITORING PROCESS

# Flow Chart



# Monitoring Strategies

- Phone calls
- RFA / RFP reviews
- Records reviews
- Self-Assessment
- Technical assistance
- Program improvement plans
- Referral for fiscal review
- Referral for data review
- Verification activities
- Investigations
- On-site visit
- Desk review
- Corrective action plans

# Pre-Monitoring Activities

- Notification (personal and correspondence)
  - Personal contact with Director of program
  - Letter from Chancellor to Agency Head
  - Memorandum from Director of Quality Assurance and Compliance
- Conference calls
  - Training for providers (August and December)
  - Individual calls with providers
- Pre-visit meeting with FDOE staff



# Pre-Monitoring Activities

- Designation of agency contact  
(one person per agency)
- Coordination and communication with agency contact and Lead Reviewer
- Finalize the schedule
- ShareFile created

# Virtual Desk Monitoring Activities

- Entrance Conference – 1 hour maximum
  - Provider presentations (optional)
  - Overview of the monitoring process
- Virtual Interviews
  - Administrators
  - Staff/Faculty if needed
- Records Review (2018-19, 2019-20 and 2020-21)
  - Student level – Literacy Completion Points, Occupational Completion Points, Industry Certifications, etc.
  - Finance – Travel, Procurement/Purchasing, etc.
  - Personnel – Employee time and effort verifications

# Virtual Desk Monitoring Activities

- Records Review (2018-19, 2019-20 and 2020-21)
  - Data Quality Standards
  - Size, Scope and Quality requirements for CTE
- Equipment Inventory
  - Complete Inventory of equipment purchased with grant funds, by site.
  - Reviewer will select a sample for further review
  - Pictures will be uploaded to the ShareFile
- Exit Interviews

# Post-Monitoring Activities

- Post visit meeting with FDOE staff
- Thank you letters
- Evaluation Survey
- Monitoring Report
  - Preliminary Draft – sent to Director for feedback
  - Final Report- sent to Agency Head
- Resolution activities
  - Corrective Action / Action Plans
  - Follow-up communication
- Closure

# Example Monitoring Schedule

Date	Activity
<b>Monday, August 31, 2020</b>	
9:00 a.m. – 10:00 a.m.	Virtual Entrance Meeting
10:00 a.m. – 5:00 p.m.	<b>Core Activity 1: Career and Technical Education</b> Objective 1.a: Accountability Objective 1.b: Local Application Objective 1.c: Local Use of Funds
<b>Tuesday, September 1, 2020</b>	
8:00 a.m. – 5:00 p.m.	<b>Core Activity 2: Adult Education</b> Objective 2.a: Performance Accountability System Objective 2.b: Local Application Objective 2.c: Leadership Activities
<b>Wednesday, September 2, 2020</b>	
8:00 a.m. – 5:00 p.m.	<b>Core Activity 3: Financial Management</b> Objective 3.a: Statutory and National Policy Requirements Objective 3.b: Contracts and Procurement
<b>Thursday, September 3, 2020</b>	
8:00 a.m. – 5:00 p.m.	<b>Core Activity 3: Financial Management</b> Objective 3.c: Equipment: Objective 3.d: Allowable Cost: Objective 3.e: COVID-19 Response
<b>Friday, September 4, 2020</b>	
8:00 a.m. – 2:30 p.m.	Questions, Provide Possible Technical Assistance and Wrap Up
2:30 a.m. – 3:30 p.m.	Virtual Exit Meeting

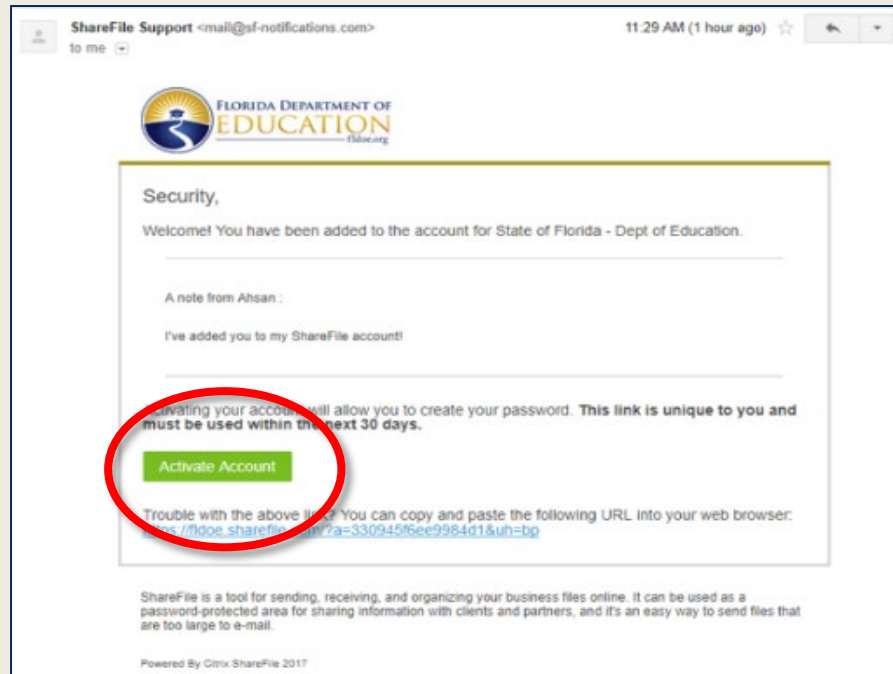
# FDOE ShareFile

## Purpose

- Citrix ShareFile® is the Florida Department of Education's (FDOE) cloud-based secure file transfer solution. This solution is used to transfer files that are confidential, as well as too large and/or too numerous to send in a single email.
- Maintain compliance with The Family Education Rights and Privacy Act (FERPA).

# New Accounts

- You will receive an email to create your Citrix ShareFile® account. Click on the activation link:



# Password

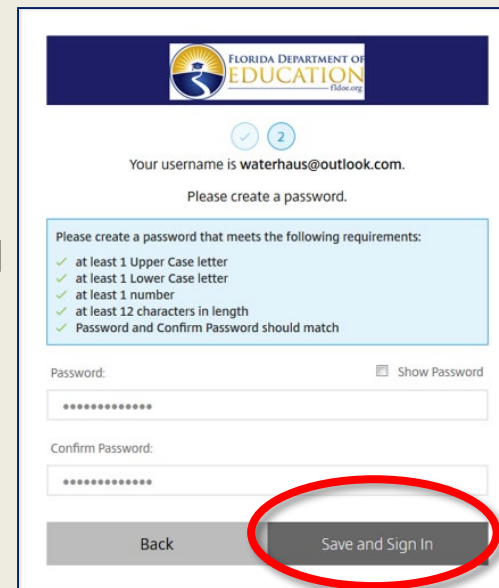
You will be prompted to change and confirm a new password.

Password requirements:

- Upper and lower case letters
- At least one number
- At least 12 characters in length
- Password and confirm password should match

For security reasons, your password:

- Is not stored
- Is not retrievable
- Expires after 180 days
- Cannot be the same as your last two passwords
- After five failed login attempts, you are locked out.
- Try again in five minutes or call the Help Desk at 850-245-9444.
- Click Save and Sign In.

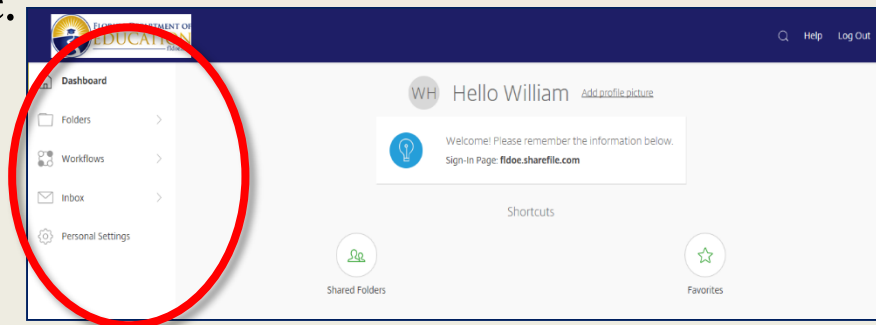


The screenshot shows the Florida Department of Education's password creation page. At the top, the logo and name 'FLORIDA DEPARTMENT OF EDUCATION' are displayed. Below the logo, the user's username 'waterhaus@outlook.com' is shown. The main heading is 'Please create a password.' A light blue box lists the password requirements: at least 1 Upper Case letter, at least 1 Lower Case letter, at least 1 number, at least 12 characters in length, and Password and Confirm Password should match. Below this, there are two input fields: 'Password:' and 'Confirm Password:', both with masked characters. A 'Show Password' checkbox is next to the Password field. At the bottom, there are two buttons: 'Back' and 'Save and Sign In'. The 'Save and Sign In' button is circled in red.



# Dashboard

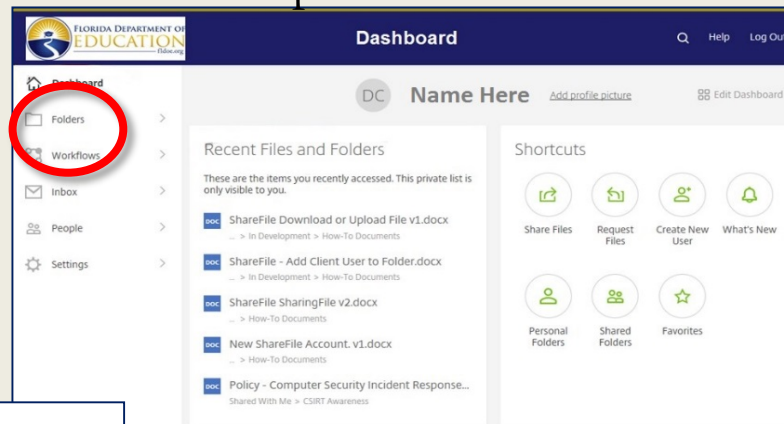
- The dashboard is the first page you see when signing into your account. Menu items and buttons displayed depend on your account permissions and abilities as set by the Administrator.
- Access folders, people and settings are located on the left side of the dashboard.
- Once you sign into the site, you should see the welcome page.



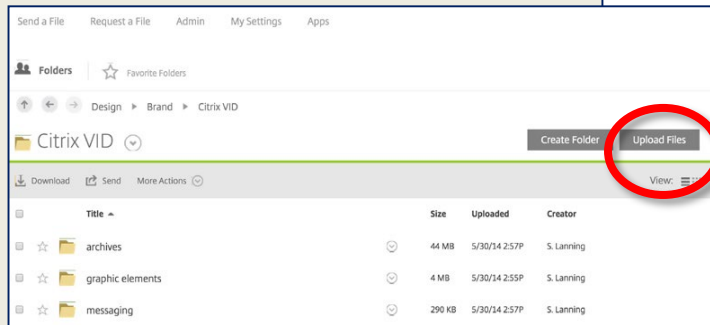
# Upload

## Upload Files to Folders

- Navigate to the folder to upload a file. You can only upload a file that you have permission to upload in the folder under Shared Folders.



- Click Upload Files button, located in the upper right corner of the page.

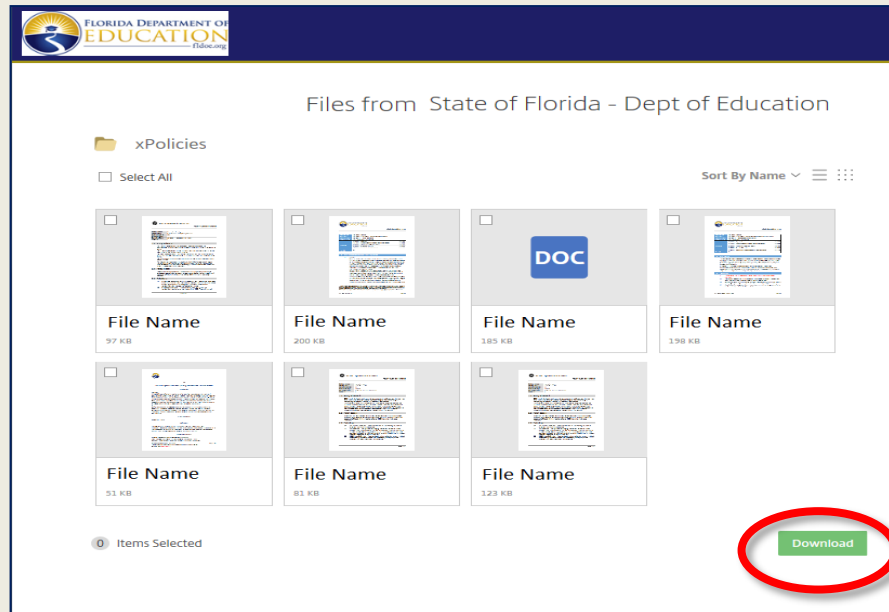


- On the next screen, drag and drop the files you wish to upload from your computer folder or desktop to the box on the screen.

# Download

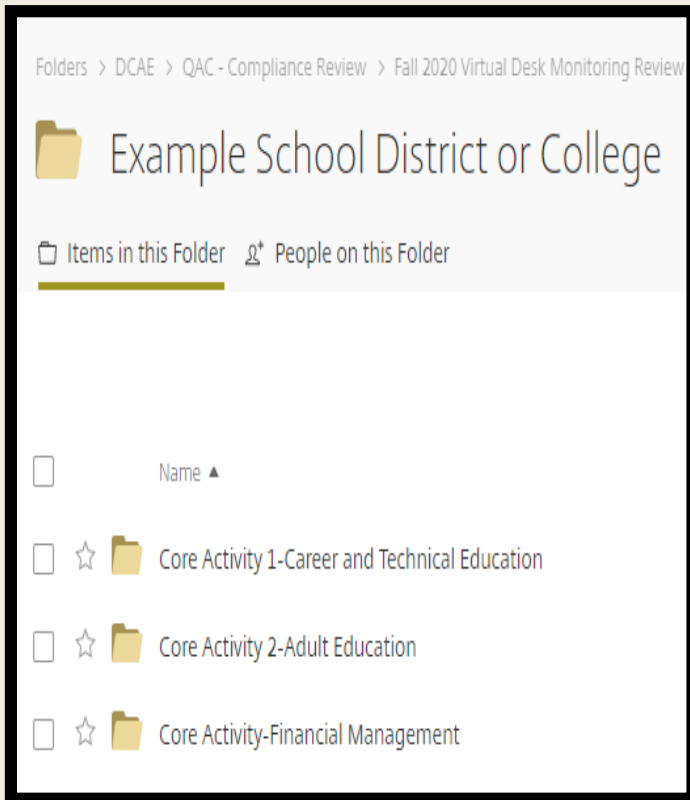
## Download Files from a Folder

- Navigate to the folder in your Citrix ShareFile® account that contains the file to download.
- In the drop-down menu select the files, click Download.

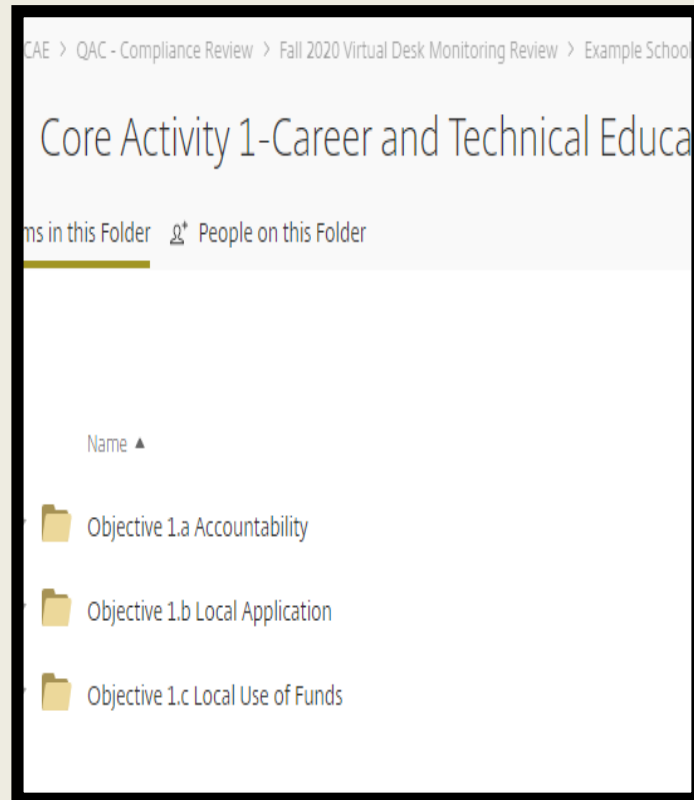


# What to Expect in the ShareFile

Each folder will be set up by  
**Core Activity**  
(grants being monitored)



The Core Activity folder will  
have sub folder for the  
**Objectives (protocols)**



# Objective's

## Core Activity 1- Career and Technical Education Objective 1.a - Accountability

Provider Review Protocol	C / E	Citation(s)	Methods of Collection/ of Documentary Evidence	Notes
1. Does the provider use approved student assessment systems upon a student's enrollment into a C.T.E. program?	C	Perkins Sec. 113 F.S. 1004.91(2) F.A.C. 6A-6.014	Interview Document review: <ul style="list-style-type: none"> <li>• Student records (selection to be provided by FDOE)</li> <li>• Test proctor certifications</li> </ul>	
2. Does the provider require basic skills requirements for entry into a C.T.E. program?	C	Perkins Sec. 113 F.A.C. 6A-6.014	Interview Document Review: <ul style="list-style-type: none"> <li>• Course catalog for C.T.E. programs</li> </ul>	
3. Does the provider have written procedures for the collection, verification, analysis and reporting of student data?	C	UGG 200.328(b)(2)	Interview Document Review: <ul style="list-style-type: none"> <li>• Policies and procedures on data collection and reporting</li> </ul>	

# Internal Control Policies and Procedures

- Conflict of Interest
- Fraud
- Travel
- Inventory/equipment
- Procurement
- Allowability
- Gratuity
- Cash Management
- Retention of Records

\*All items listed **MUST** be in writing

# 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

## Perkins-Funded Equipment Inventory 2 CFR 200.313

Acquisition Date	Description of Item	Serial Number	Model Number	Other Identification Number	Unit Cost	Funding Source(s) including the FAIN	Who holds the title?	% of Cost by Source	Location of Item	Use and Condition	Date of Inventory	Disposition Data	COVID 19 Donated or Loaned
9/28/18	Camcorder	1140512	HDC-CX250	TAG # 1	\$1,098.00	Perkins Grant 103-	First Name. Last Name	100%	Sunshine School 123 Flag Street, Tall FL 32399 Room 223 B	New	7/1/20		
9/28/18	Camcorder	1140513	HDC-CX250	Tag #2	\$1,098.00	Perkins Grant 103-	First Name. Last Name	100%	Sunshine School 123 Flag Street, Tall FL 32399 Room 223 B	New	7/1/20		
9/28/18	Camcorder	1140514	HDC-CX250	Tag # 3	\$1,098.00	Perkins Grant 103-	First Name. Last Name	100%	Sunshine School 123 Flag Street, Tall FL 32399 Room 223 B	New	7/1/20		
4/15/19	3-D Printer	1142425	HDC-CX250	Tag #4	\$1,230.00	Perkins Grant 103-	First Name. Last Name	100%	Sunshine School 123 Flag Street, Tall FL 32399 Room 223 B	New	7/1/20		
1/19/18	iss Mobile PreK Classpack	1135750	HDC-CX250	Tag #5	\$1,040.00	Perkins Grant 103-	First Name. Last Name	100%	Sunshine School 123 Flag Street, Tall FL 32399 Room 223 B	New	7/1/20		
1/19/18	iss Mobile PreK Classpack	1135751	HDC-CX250	Tag #6	\$1,040.00	Perkins Grant 103-	First Name. Last Name	100%	Sunshine School 123 Flag Street, Tall FL 32399 Room 223 B	New	7/1/20		
1/19/18	iss Mobile PreK Classpack	1135752	HDC-CX250	Tag# 7	\$1,040.00	Perkins Grant 103-	First Name. Last Name	100%	Sunshine School 123 Flag Street, Tall FL 32399 Room 223 B	New	7/1/20		
3/21/19	Elec. Countertop Fryer	1142120	HDC-CX250	Tag# 8	\$1,593.59	Perkins Grant 103-	First Name. Last Name	100%	Sunshine School 123 Flag Street, Tall FL 32399 Room 223 B	New			



# Monitoring Report

## Components:

- Administration
- Data
- Curriculum and Instruction
- Financial
- Records Review
- Technology and Equipment
- Collaboration

Previous monitoring reports are available to review online:

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



# Examples of Monitoring Findings

# Example - Monitoring Findings

- Failure to accurately report student data to FDOE: UGG 2 CFR 200.328 Monitoring and reporting program performance, F.S. 1008.43 Career program reporting requirements.

# Example - Monitoring Findings

- Testing administrators (TABE and CASAS) not adhering to certification/recertification requirements set forth by law and FDOE:WIOA Section 231(e)(9) Qualified instructors and staff, 2016-2017 Florida Adult Education Assessment Technical Assistance Paper, F.A.C. 6A-10.042 Maintenance of test security, F.S. 1008.24 Test administration and security.

# Example - Monitoring Findings

- Property control and inventory findings:  
Authority/Law: 2 C.F.R. 200, Uniform Grant Guidance, 200.313 Equipment and EDGAR, Section 80.32 Equipment, (d)(1) .

# Example - Monitoring Findings

- Procurement findings: Authority/Law: 34 CFR 80.36(b) – Procurement Standards
  - Lack of policies and procedures for contracting and/or purchasing goods and services
  - Unauthorized purchases made against the federal grant
    - Spending federal grant dollars prior to approval of requested grant amendments.
    - Spending federal grant dollars **WITHOUT** approval of requested grant amendments.

# General 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 policies and procedures
- Lack of attention to off-site location resource needs
- Incomplete MOU and contract service agreements

# Best Practice

- Innovative uses of technology
- Continued collaboration with business and industry
- Integration of academics with career themed curriculum
- Effective use of advisory boards
- Effective communication between administrative, program and support staff



# Tools and Resources

- Workforce Innovation and Opportunity Act of 2014  
<https://www.doleta.gov/WIOA/>
- The Strengthening Career and Technical Education for the 21st Century Act (Perkins V)  
<http://www.fldoe.org/academics/career-adult-edu/funding-opportunities/PerkinsV.shtml>
- Education Department General Administrative Requirements (EDGAR)  
<https://www2.ed.gov/policy/fund/reg/edgarReg/edgar.html>

# Tools and Resources

- 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>

# [ Q & A ]

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



## Quality Assurance and Compliance Team

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