

# FACTE 2009



## Quality Assurance System

Division of Career and Adult Education  
Bureau of Grants Administration and Compliance  
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# Quality Assurance System

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## 2009 Strategy

Implementation of a **risk-based**  
**Quality Assurance System**  
for **Career and Adult Education**  
grants and contracts programs

# Quality Assurance System

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## Role of Quality Assurance

- Program quality and improvement
- Assure financial accountability
- Regulatory compliance

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## Way of Work

- Accountability
- Collaboration
- Targeted Technical Assistance
- Continuous Improvement
- Positive Systemic Change

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## Stakeholder Involvement

- Commitment
- Participants
- Advisory Council
- Focus Groups
- Peer Monitors

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Quality Assurance  
Policies, Procedures, and Protocols

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## Provider Selection

- Risk Assessment Process
- Use of Data
  - 2007-08
- Performance Measures / Indicators
  - Targeted providers

# Risk Assessment

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Risk Assessment is a process used to evaluate variables associated with the grants and assign a rating for the level of risk to the Florida Department of Education and the Division of Career and Adult Education.

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## Provider Selection

- Operational Risk Factors – Risk Matrix
  - Amount of the grants
  - Number of grants
  - Audit findings regarding internal controls previous 3 years
  - Number of grants with unexpended funds >10%
  - Experience and organizational changes
  
- Flexibility to monitor

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## Monitoring Strategies

- Strategies are determined upon results of the Risk Assessment Process
- Continuum of activities based according to level of risk
- Range from conference calls to on-site visits
- Multiple strategies often apply

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## Preparation activities

- Conference Calls
- Designated leads
- Review of Data
- Student population and programs
- Organizational structure

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## On-Site Monitoring Activities

- Notification
- Initial Conference
- Interviews
- Observations
- Records Review
- Data Verification
- Exit Conference

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## Post-Visit Activities

- Secure documentation
- Draft Report
- Final Report
- Program Improvement Plan
- Corrective Action Plan
- Targeted Technical Assistance
- Tracking and closure

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## Protocols

- Interviews
- Observations
- Self-Assessment

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## Tools - Resources

- Carl D. Perkins Career and Technical Education Act of 2006 (Perkins IV)
- State Statutes and Rules
- OMB Circulars

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## Tools and Resources

- Education Department General Administrative Regulations (EDGAR)
- Award Terms and Conditions

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## Quality Assurance Team

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<http://www.fldoe.org/workforce/compliance.asp>