



**Quality Assurance and Compliance
Onsite Monitoring Visit
For
Career and Technical Education**

Florida Association for Career and Technical Education
November 28, 2012

**Final Report
January 8, 2013**

FLORIDA DEPARTMENT OF EDUCATION



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January 8, 2013

Ms. Marsan Carr, Executive Director
Florida Association for Career
and Technical Education
1220 N. Paul Russell Road
Tallahassee, Florida 32301

Dear Ms. Carr:

We are pleased to provide you with the Final Report of the onsite monitoring of the Career and Technical Education programs from our visit on November 28, 2012. The report will also be placed on our website at: <http://www.fldoe.org/workforce/compliance.asp>.

We appreciate the leadership and professionalism demonstrated by your staff during the review process. If we can be of any assistance, please contact Gloria Spradley-Brown, Bureau Chief, Grants Administration and Compliance. Ms. Spradley-Brown may be reached at 850/245-9053, or via electronic mail at Gloria.Spradley@fldoe.org.

Thank you for your continuing commitment to improve services for Florida's students.

Sincerely,

A handwritten signature in black ink, appearing to read "Rod Duckworth".

Rod Duckworth

RD/pr

Cc: Dan Davis

Enclosure

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**Florida Association for Career and Technical Education (FACTE)
Quality Assurance Monitoring Report**

I. INTRODUCTION

The Florida Department of Education (FDOE), 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 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 FDOE receives federal funding from the U.S. Department of Education (USDOE) for Career and Technical Education (CTE) under the Carl D. Perkins Career and Technical Education Act of 2006. FDOE awards sub grants to eligible providers to administer local programs. FDOE must monitor providers to ensure compliance with federal requirements, including Florida's approved state plan for CTE. Each state shall have procedures for reviewing and approving applications for sub grants 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 (34 CFR 76.770). Additional cites noting authority to monitor and pertinent laws and regulations are located in the *2012-13 Quality Assurance Policies, Procedures, and Protocols*, Module A, Section 1.

III. QUALITY ASSURANCE POLICIES, PROCEDURES, AND PROTOCOLS

The *2012-13 Quality Assurance Policies, Procedures, and Protocols* (Manual) was revised in the 2012-13 program year. The Manual was 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://www.fldoe.org/workforce/compliance.asp>.

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 FDOE 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 strategies to be implemented.

In some cases, specifically with Community- and Faith-Based Organizations (CBOs and FBOs) including Career and Technical Student Organizations (CTSOs), the evaluations of the risk factors result in similar scores. Therefore, such organizations may be evaluated on a periodic and/or cyclical basis as determined appropriate by the Division.

The monitoring strategy for FACTE was determined to be an onsite visit. Notification was sent to Mr. Dan Davis, President, on July 14, 2012. The designated representative for the agency was Marsan Carr, Executive Director of FACTE.

The onsite visit to the agency was conducted November 28, 2012, by two representatives of the Quality Assurance section of the Division: Program Specialists, Rick Lockenbach and Dr. Shahrokh Massoudi.

V. Florida Association for Career and Technical Education

The provider was awarded the following grants:

FY 2010-11

<u>Type</u>	<u>Total</u>	<u>Unexpended Funds</u>
Leadership	\$508,750	\$204,780.48
Leadership	\$ 75,870	\$ 14,758.02

FY 2011-12

<u>Type</u>	<u>Total</u>	<u>Unexpended Funds</u>
Leadership	\$331,450	unavailable
Leadership	\$ 75,000	\$ 2,654.48

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

<http://www.facte.org>.

VI. MONITORING ACTIVITIES

The monitoring activities included pre-visit planning conference calls; an entrance conference; interviews with Marsan Carr and the agency certified public accountant; record reviews; and an exit conference.

Onsite Visits

Members of the team made the onsite visit to the FACTE office in Tallahassee.

Entrance and Exit Conferences

The entrance and exit conferences for the FACTE were conducted on November 28, 2012. The participants are listed below:

Participants	Title	Entrance	Exit
Marsan Carr	Executive Director	11/28/2012	11/28/2012
FDOE			
Shahrokh Massoudi	Program Specialist	11/28/2012	11/28/2012
Rick Lockenbach	Program Specialist	11/28/2012	11/28/2012

Interviews/Observations

Two interviews were conducted. All interviews were held during the course of the visit.

Records Review

Program, financial, and administrative records were reviewed. A complete list is provided in Section VIII. Some policies and procedures were reviewed at the agency's website and discussed at various times during the onsite visit.

VII. RESULTS

Florida Association for Career and Technical Education
November 28, 2012

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

- All positions are contracted; there are no salaried positions.
- The agency board, composed of an executive committee and a representative for each division, provides financial and program oversight.
 - There are numerous board meetings, many of which are web-based and recorded for records purposes.
- The Executive Director has extensive program and grants experience.
 - As an experienced CTE educator, the Executive Director is a valuable resource regarding programs, services, and initiatives for CTE providers.
- The agency has a comprehensive Policies and Procedures Manual.
- This is a cost-effective operation, with limited staffing and other administrative support.
- This statewide CBO supports CTE educators and currently has more than 750 members.
- Staff development supports the Division's priorities in areas such as reading, career academies, classroom management, and technology.
 - The agency has provided targeted staff development for CTE teachers in energy and biotechnology.
 - FACTE coordinates the annual statewide FACTE Conference, attended by 436 CTE practitioners in 2011-12.
 - Staff development has an evaluation component that is utilized for program improvement purposes, such as determining future presenters.
 - With federal grant leadership funds, FACTE has developed an extensive number of webinars for CTE practitioners.
 - FACTE provides logistical assistance, including reimbursement for travel and meeting planning, for numerous Division initiatives.
- The agency's representatives make numerous presentations, including Alachua Economic Development Council and Northeast Florida Education Consortium (NEFEC).
- The Executive Director attends legislative hearings, meets with legislative staff, and provides legislative information to CTE providers on a regular basis.

FINDINGS

No findings of non-compliance were noted at this time.

CONCERNS AND RECOMMENDATIONS

None.

B. ACCESS AND EQUITY refers to compliance with the requirements of federal non-discrimination laws as relating to recruitment, enrollment, participation, and completion of programs.

- A non-discrimination notice is posted in the office.

- The agency's non-discrimination policy is incorporated within the Policies and Procedures Manual.

FINDINGS

No findings of non-compliance were noted at this time.

CONCERNS AND RECOMMENDATIONS

Concern: Program materials for CTE do not uniformly contain non-discrimination notices, and some notices did not cover all protected classes, including the genetic information protection as stated in the Genetic Information Nondiscrimination Act (GINA).

Recommendation: FACTE must include the complete notice when publications are reprinted.

- C. RECORDS REVIEW** refers to a review of the records and documents that evidence compliance with federal and state rules and regulations. Samples of financial and programmatic records are reviewed. Records reviewed included:

- Staff development course schedule
- Policies and Procedures Manual
- Agency website
- Board meeting minutes
- Course evaluations
- Contracts for services
- Annual report
- Invoices

FINDINGS

No findings of non-compliance were noted at this time.

CONCERNS AND RECOMMENDATIONS

None.

- D. 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 invoices and deliverables for 2011-12 were reviewed; all grant deliverables were met.
- Travel documentation meets established guidelines.
- Documentation of expenditures was organized and complete.
- A Certified Public Accountant (CPA) reviews all expenditures and signs all checks, assuring internal control.
 - Accounting software captures each grant by expenditure, allowing the CPA to review expenditures to ensure consistency with approved grants.
- The annual agency audit contained no findings.
- The issue of unexpended funds was discussed, and actions have been taken to address the issue by the organization.

FINDINGS

No findings of non-compliance were noted at this time.

CONCERNS AND RECOMMENDATIONS

None.

- E. COLLABORATION** refers to the collaborative agreements, partnerships, or Memoranda of Understanding (MOUs) that are in place to benefit an agency's programs and students.

FACTE collaborates with the following entities:

- School Districts
- State Colleges
- Career and Technical Student Organizations (CTSOs)
- Workforce Development Boards
- Workforce Florida, Inc. (WFI), this grant promotes greater private sector and other community involvement in CTE programs.
- CTE Deans and Directors
- Florida legislators and legislative staff

FINDINGS

No findings of non-compliance were noted at this time.

CONCERNS AND RECOMMENDATIONS

None.

VIII. REQUIRED RESOLUTION ACTIVITIES

CAREER AND TECHNICAL EDUCATION

1. Corrective Action Plan: There were no findings during the visit. Therefore, FACTE is not required to complete a Corrective Action Plan.
2. Action Plan: The agency must provide an Action Plan (Appendix A) to address the concern noted in the Focus Area B, Section VII of this report.

Once the Action Plan is submitted, reviewed, and approved, the co-leader of the onsite visit is responsible for the regular follow-up with the agency's designated representative to ensure that resolution is complete.

IX. SUMMARY

Once the field work, including receipt of requested information is completed, a draft report is forwarded to the provider for review. Comments are accepted and considered. The final report is completed and forwarded to the Agency Head with a copy to the appropriate parties. Finally, once all concerns are addressed, the Division issues a Closure Notice to the Agency Head and designated contact person. This notice indicates all outstanding items have been completed.

We want to extend our appreciation to all of the participants in FACTE's onsite monitoring visit. Special thanks to Executive Director Marsan Carr for her participation and leadership in this process.

Appendix A
Action Plan - FACTE

Type of Plan	Strategies	Person Responsible	Projected Date of Completion
Corrective Action Plan Findings: None			
Action Plan Concern: 1. Program materials for CTE do not uniformly contain non-discrimination notices, and some notices did not cover all protected classes, including the genetic information protection under the Genetic Information Nondiscrimination Act (GINA).	Include complete non-discrimination notices on all training notifications and posted in the office.	Marsan Carr	January 15, 2013
Technical assistance needed and/or provided:			
Plan submitted by (name and title): <u>Marsan Carr, Executive Director, FACTE</u> Date: <u>1/3/13</u> Plan accepted by: <u>Gloria Spradley-Brown, Bureau Chief, Grants Administration and Compliance</u> Date: <u>1/2/13</u>			