

## MONITORING PROCESSES

Purpose: Compliance monitoring provides the Department with information necessary to assess the fiscal and programmatic accountability of its providers. This chapter outlines the expectations for, and activities of, compliance monitoring. Activities may take place onsite or offsite.

### COMPLIANCE MONITORING IMPLEMENTATION

#### Major Activities

The following activities may be included as part of the monitoring process:

- Communication and Notification
- Interviews: administrative, finance, instructors, students and families, etc.
- Observations: classroom instruction, campus and events
- Records review: administrative, program, personnel, financial
- Student case studies
- Surveys
- Reporting
- Targeted Technical Assistance
- Corrective Action/Continuous Improvement Plans
- Verification and Closure

### COMMUNICATION

In order to ensure consistent communication between the FLDOE Quality Assurance Team and the individual provider, guidelines for the communication process are established. By designating specific coordinating personnel for each party and by setting timelines, each party will be informed of the expectations for completing the specific tasks required to implement the monitoring processes effectively. All written communications will be directed to the Provider's Agency Head and copied to the designated contact person. Although reference is made to communication regarding onsite visits, similar activities may be incorporated into the offsite monitoring strategies. Any exceptions or issues that arise from a monitoring strategy should be addressed with the team leader and the Director of Quality Assurance.

Notification Providers may be notified of a pending monitoring activity by a phone call from the Director of Compliance to the Provider Head/Administrator within a reasonable time of a scheduled activity. This call will be followed by written notification. Additional phone calls will be held to coordinate the activity and ensure that the provider is informed of the monitoring components. Electronic mail is considered written notification when used.

Designation of Provider Contact The provider is requested to designate a person to act as the primary contact for all monitoring functions.

Designation of Workforce Education Monitoring Contact A team leader is designated to coordinate the processes specific to a provider or group of providers. The team leader reports to the Workforce Education Director of Quality Assurance.

Quality Assurance Team The Quality Assurance Team is the designated group of persons to complete the monitoring processes.

Length of Monitoring Activity The length of the visit may be determined by several factors including the number of grants to be monitored, the location(s) of the program(s), the complexity of the systems or documentation, as well as available resources.

Pre-monitoring Communication Prior to a monitoring activity the designated site team leader will conduct a phone interview with the provider-designated contact person. The team leader will identify persons involved with the activity with the provider. The provider will have the opportunity to clarify any issues concerning the data used as a basis for determining the site selection. Finally, the agency will be asked to provide any other information regarding its programs,

procedures, or geographic area that may influence activities during monitoring process. Additional documents may need to be forwarded to the Quality Assurance Section of the Bureau prior to the activity. Training will be provided to targeted providers regarding the monitoring policies, procedures, and protocols.

Entrance Conference The Quality Assurance Team conducts an entrance conference with the provider's official representative(s). The following items may be addressed:

- A brief overview by the provider regarding the programs, services and systems which operate with the grant funds
- A discussion of the monitoring activities by the team leader
- The team leader may request those records covering the monitoring period. However, given that some reviews happen early in the grant year and that many grants are multi-year grants, this is a guideline rather than an absolute requirement. Any records from a previous monitoring period may be reviewed relative to the requirements that existed during that period
- Interviews, when used, may be set up in advance if the individuals are not readily available at the site; the provider will make every effort to ensure that persons to be interviewed are present on the scheduled day

Daily Debriefing The Quality Assurance Team leader will provide a debriefing to the provider's designated representative at the end of each day of monitoring. The team leader will discuss any issues or concerns found during the monitoring activities and address any provider concerns. This debriefing also enables the provider to locate any additional documentation that may be necessary to substantiate compliance.

Exit Conference Upon the conclusion of the monitoring activity an exit conference is held. In attendance are the Quality Assurance Team and the provider's designated representative. The provider may invite other persons as appropriate. The purpose of the meeting is to exchange information about the provider's strengths and concerns and to report on the general results of the compliance monitoring. The exit conference allows the persons present an opportunity to review and discuss any issues addressed during the course of the monitoring activity.

Requests for additional time to submit documentation following the exit conference must be approved by the Director of Quality Assurance.

**PROMISING PRACTICES**

While the purpose of a monitoring activity is to assess compliance with grant requirements, during the review process, the Quality Assurance Team may identify strengths or promising practices that produce measurable, high quality results that may be helpful to other providers. When these practices are identified, the Quality Assurance Team should obtain provider cooperation to describe the process used and the result generated and the provider's permission for this information to be shared with others; the Quality Assurance Team may request a summary of the promising practice or activity.

Florida Department of Education  
Workforce Education

Agency Monitoring Conference Call  
**Agenda**

Provider Name\_\_\_\_\_

Date\_\_\_\_\_

Team Leader\_\_\_\_\_

Date(s) of Monitoring\_\_\_\_\_

Monitoring Strategy\_\_\_\_\_

1. Introductions

- Team Leader
- Designated provider contact
- Participants

2. Overview of Monitoring

- Quality Assurance Process and Procedures

3. Monitoring steps

- Entrance conference
- Interviews
- Observations
- Records review
- Exit conference

4. Preparation of materials for the activity

5. Logistics

- Dates
- Sites, location, travel

Florida Department of Education  
Workforce Education

**Records Review Checklist**

√	<b>Documents Requested from Provider</b>  <input type="checkbox"/> On-site <input type="checkbox"/> Off-site	Date Provided to Compliance Team	Date Received from Provider
	Copy of completed self-assessment		
	Copy of approved DOE 101 (budget narrative) for each grant to be reviewed		
	Copy(ies) of approved amendment(s)		
	Copy of final FA 399 or FA 499 for each grant to be reviewed		
	Copy of mid year financial report (if available)		
	Copy of purchasing procedures		
	Copy of purchase orders for equipment purchased with grant funds during the fiscal year to be reviewed		
	Equipment inventory (item purchased, property number if applicable, and location of item)		
	Copy of procedures for equipment disposal		
	List of staff whose salary was paid from the grants to be reviewed		
	List of approved travel by staff during grant period for the grants being reviewed		
	Sample copy of notice of a vacancy and usual location where posted		
	Copy of the NRS report		
	Copy of the district policy handbook for employees		
	Copy of the district policy handbook for students		
	Written policy and procedures regarding student recruitment efforts		
	Promotional activities and materials for your Adult Education and/or Career and Technical programs		
	Copy of written criteria or policies regarding "student enrollment packet"		
	Copy of written criteria or policies regarding non-discrimination		
	Copy of Completed Accessibility Worksheet		
	Copy of written criteria or policies regarding student attendance		
	Documentation of race /national origin composition of the agency service area		
	Additional documents, as requested		

Note: This checklist may be used to review documents prior to an on-site visit or during the course of conducting off-site monitoring activities.