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Quality Assurance

Conference Calls: July 29-30, 2008
Adult Education and Family Literacy

Workforce Education
Florida Department of Education
Bureau of Grants Administration and Compliance
Eileen L. Amy, Director of Quality Assurance

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Quality Assurance

2008 Workforce Education Strategy

Implementation of a risk-based
Quality Assurance System
for Workforce Education
grants and contracts programs

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Quality Assurance

Role of Quality Assurance

- Assure financial accountability
- Program quality
- Regulatory compliance

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Quality Assurance

- ❑ Way of Work
 - Accountability
 - Collaboration
 - Targeted Technical Assistance
 - Continuous Improvement
 - Positive Systemic Change

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Quality Assurance

- ❑ Stakeholder Involvement
 - Commitment
 - Participants
 - Focus Groups
 - Peer Monitors

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Quality Assurance

Adult Education and Family Literacy
Quality Assurance Advisory Council

Representatives: School Districts, Colleges
and Universities, Community Colleges,
Community-and Faith-Based Organizations, and DOE staff

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Quality Assurance

- ❑ Roles and Responsibilities
 - Serve in an advisory capacity to the Quality Assurance Section, Bureau of Grants Administration and Compliance (Bureau)
 - Represent perspective of providers of Adult Education and Family Literacy programs and services.
 - Provide feedback to the Bureau in regard to the policies and procedures pertinent to quality assurance and compliance.

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Quality Assurance

- Identify and recognize best practices.
- Identify regional/statewide areas of need for technical assistance.
- Represent individual area of expertise in focus groups.

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Quality Assurance

- ❑ Provider Selection
 - Risk Assessment Process
 - Use of Data
 - 2006-07
- ❑ Performance measures
 - Performance Score
 - Adult Basic Education - % completers

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Risk Assessment

- Agencies ranked into 4 quartiles of performance
- Each quartile assigned a tier with corresponding points:

First quartile Tier 1 = 5 points
 Second quartile Tier 2 = 10 points
 Third quartile Tier 3 = 15 points
 Fourth quartile Tier 4 = 20 points

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Risk Assessment

- Operational Risk Factors
 - Risk Matrix
 - Total amount of agency funding
 - Number of grants
 - Number of grants with 10% or more of unexpended funds
 - Audit / monitoring findings relevant to internal control during three previous years
 - Change in director within the last two years

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Risk Assessment

- Risk factors applied to each provider

Risk Factor	Criteria Scale	Value	Risk Factor Weight	Total Points
Total amount of Agency funding from grants (2006-07)	\$2,000,001+	8	x6	=___
	\$700,001-\$2 million	6		
	\$300,001-\$700,000	5		
	< \$300,000	4		

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Risk Assessment

- Calculation-Risk Assessment Score

$$\begin{array}{l} \text{Performance Score +} \\ \text{Operational Risk Factors Score =} \\ \text{AE Risk Assessment Score} \end{array}$$

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Risk Assessment

- Once a Risk Assessment is completed for a provider, additional programs operated by the provider may be reviewed.
- Additional programs in the geographical area may also be reviewed/monitored.

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Quality Assurance

Critical Factors – Professional Judgment

- Input from DOE personnel
 - Number of amendments seems excessive
 - Repeated requests for information
 - Invoices follow established schedule
 - Timeliness of reports
 - Budget amendments allowable, reasonable, and allocable

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Quality Assurance

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

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Quality Assurance

- Monitoring Strategies
 - Phone calls
 - RFA / RFP reviews
 - Records reviews
 - Video conferences
 - Self-Assessment
 - Technical assistance

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Quality Assurance

- Monitoring Strategies
 - System improvement plans
 - Corrective action plans
 - Referral for fiscal review
 - Referral for data review
 - Verification
 - On-site visit

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Quality Assurance

On-Site Monitoring

- Notification
- Initial Conference
- Interviews
- Observations
- Records Review
- Survey
- Exit Conference

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Quality Assurance

- Protocols – What 's expected...
 - Module
 - Authority
 - Requirements
 - Questions
 - Response
 - Evidence
 - Compliance – Yes or No

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Quality Assurance

- Interviews- Protocols
 - Administrators
 - Financial Managers
 - Professionals
 - Students and Families

- Observations-Protocols

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Quality Assurance

- Targeted Technical Assistance
 - National and State Trends
 - Compliance Issues
 - Auditing Issues

 - Provided by:
 - Workforce Education Staff
 - Regional Training Centers
 - Associations

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Quality Assurance

- Self-Assessment-Protocols
 - Provider completes
 - Full or partial
 - Routine or required

- Correspondence and Reporting
 - Timely
 - Focused

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Quality Assurance

- Resolution Activities
 - System Improvement Plan
 - Corrective Action Plan
 - Tracking and Closure

- Enforcement

- Evaluation

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Quality Assurance

- Division Systems and Processes
- Integration of Quality Assurance throughout the Division
- Investigations
- Response to audits/monitoring

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Quality Assurance

Tools and Resources

- Adult Education and Family Literacy Act of 1998
- State Statutes
- OMB Circulars

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Quality Assurance

Tools and Resources

- Grant Award-Terms, Conditions, and Assurances
- Education Department General Administrative Regulations (EDGAR)
- QA Policies, Procedures, and Protocols

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Quality Assurance Team

Eileen L. Amy
James Hargreaves
Rick Lockenbach
Shahrokh Massoudi
Sheryl Walden

850-245-9031

Lucy Hadi, Chancellor

Gloria Spradley-Brown, Chief
Bureau of Grants Administration and Compliance