

# Provider Training

## Quality Assurance and Compliance 2011-12

Bureau of Grants Administration and Compliance  
Division of Career and Adult Education  
850-245-9031

# Objectives

- To provide participants with information regarding Quality Assurance and Compliance in the following areas:
  - Vision
  - Risk Assessment
  - Monitoring Strategies
  - Targeted Providers, 2011-12
  - Areas of Focus
  
- Describe the pre-visit, onsite visit and post visit activities and items to have available.
  
- Share findings and concerns found in onsite monitoring
  
- Answer general questions

# Quality Assurance

## 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,
- ❑ Supports systemic and continuous program improvement.

# Risk Assessment

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

# Risk Assessment Process

## Operational Risk Factors

- Number of grants
- Total amount of agency funding
- 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

# Risk Assessment Process 2011-12

- The operational risk factors applied to each provider...DOE completes the Risk Matrix

Risk Factor	Criteria Scale	Value	Risk Factor Weight	Total Points
Total amount of Agency funding from grants (2009-10)	\$2,000,001+	8	x 6	= _____
	\$700,001-\$2 million	6		
	\$300,001-\$700,000	5		
	< \$300,000	4		

# Risk Assessment Process

- ❑ 2009-10 grant data was used for 2011-12 risk assessment.
- ❑ Onsite monitoring will address grants from 2009-10 through current year.
- ❑ 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.

# Quality Assurance

## **IMPORTANT!**

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

*For example, the allocation of one million dollars carries significant more risk than one thousand dollars; a seasoned director presents less risk than one who is new to the responsibilities of the position; or, the higher number of grants the provider administers, the higher the risk.*

# Quality Assurance

- Monitoring Strategies – Everyone Does It!
  - Phone calls
  - RFA / RFP reviews
  - Records reviews
  - Self-assessment
  - Technical assistance

# Quality Assurance

- Monitoring Strategies-Everyone Does It!
  - Program improvement plans
  - Corrective action plans
  - Referral for fiscal review
  - Referral for data review
  - Verification activities
  - Investigations
  - Onsite visit

# Provider Selection 2011-12

- Risk Assessment scores are gathered by type of agency.
- Cyclical monitoring applies to CBOs, CTSOs, and governmental agencies.
- Location of provider may influence a visit.

# Quality Assurance

## Targeted Providers for 2011-12 Onsite Monitoring September –January

- FAMU
  - CTE - August
- Hillsborough County School District
  - AE - September
- Baker County School District
  - CTE and AE - September
- Suwannee County School District
  - CTE September

# Quality Assurance

## Targeted Providers for 2011-12 Onsite Monitoring September –January

- Sante Fe College
  - AE and CTE October
- Miami Dade College
  - AE and CTE November
- Monroe County School District
  - AE and CTE - November
- Florida Keys Community College
  - CTE - November

# Quality Assurance

## Targeted Providers for 2011-12 Onsite Monitoring September –January

- Charlotte County School District
  - CTE – December
- Desoto County School District
  - CTE – December
- Pinellas County School District
  - CTE – January
- FACTE
  - CTE - June

# Quality Assurance

Targeted Providers for 2011-12 Onsite Monitoring  
**February – June**

- Martin County Schools
  - AE and CTE – February
- Hendry County Schools
  - AE – February
- St. Johns County Schools
  - AE and CTE – March
- Seminole State College of Florida
  - AE - April

# Quality Assurance

Targeted Providers for 2011-12 Onsite Monitoring  
**September –January**

- College of Central Florida
  - CTE and AE – April
- Nassau County Schools
  - AE – May
- Pensacola State College
  - AE and CTE – May
- FACTE
  - CTE - June

# Pre-visit Activities

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

# Pre-visit Activities

The co-leader will request the following:

- Organizational chart
- List of Administrative staff with duties relevant to these grants; including location and contact numbers.
- Location of some or all Adult Education and Family Literacy and/or Career and Technical Education program sites including name, address, phone, principal or director name, and hours of operation. A form will be provided for this information.

# Onsite Activities

- Entrance Conference
  - Provider presentations
- Interviews
  - Administrators
  - Teachers
  - Students – Arrange groups
- Observations
- Records Review
  - Student
  - Finance
  - Personnel
- Exit Conference

# Have available....on the first day

- Access to records for 2009-10 through the current year
- Policy/handbook for employees
- Handbooks and materials for students; include student enrollment packet; attendance policies; recruitment efforts
- General policies and procedures; Governing Board and Advisory Committee(s) related documents, (may be a procedures manual)

# Have available...on the first day...

- Promotional activities and materials for your programs
- Written criteria or policies regarding non-discrimination
- Financial policies and procedures including those related to purchasing and procurement of equipment and supplies
- Local data procedures

## Have available...on the first day...

- ❑ An **inventory of equipment** purchased with the grant(s) funds, by site, must be provided to the team at the entrance conference.
- ❑ **Maps** must be available to the team at each site visited indicating the location of Adult Education or Career and Technical Education classes.
- ❑ Alert your Finance and MIS Directors and other appropriate administrators or principals that we will be visiting and will be conducting interviews, observations, and record reviews.

# Post-visit Activities

- Post visit meeting –DOE staff
- Thank you letters
- Evaluation Survey
- Reports
  - Draft – sent to director for feedback
  - Final
- Resolution activities
  - Corrective Action / Action Plans
  - Follow-up communication
- Closure

# Onsite Monitoring

- Reporting - Areas of Focus
  - Administration
  - Data
  - Program and Learning Environments
  - Financial
  - Facilities and Equipment
  - Technology
  - Collaboration
  - Access and Equity

*Celebrate what you want to  
see more of.*

*Tom Peters*



# Satisfaction Survey

- Onsite monitoring
  - 9 visits in 2008-09
  - 21 in 2011-12
- After visit, before report
- 47 responses, 28 comments
- Ratings: Excellent, Good, Fair, Poor

# Satisfaction Survey

2008-09....2010-11

- Communication
  - 58.8%          Excellent          80.9 %
  - 41.2%          Good                19.1%
  
- Arrangements/Logistics
  - 52/9%          Excellent          76.6%
  - 47.1%          Good                23.4%
  
- Comprehensive nature of activities
  - 52.9%          Excellent          91.5%
  - 47.1%          Good                6.4%
  - Fair                  2.1%

# Satisfaction Survey

2008-09....2010-11

- Interaction with participants
  - 80.9%      Excellent      91.5%
  - 19.0%      Good            6.4%
  - Fair             2.1%
  
- Collaboration
  - 62.5%      Excellent      91.5%
  - 37.5%      Good            8.5%
  
- Overall rating
  - 62.5%      Excellent      88.9%
  - 37.5%      Good            11.5%

When you confront a problem, you  
begin to solve it.

--Rudy Giuliani

# Findings and Concerns

- ❑ Non-discrimination statements must indicate all the protected classes required by law - race, color, sex, religion, national origin, marital status, age or disability.
- ❑ Non-discrimination statements must be broadly posted and available to students, parents, visitors, and staff. Place the notices across the campus, in varied locations, in policies, handbooks, brochures, etc.
- ❑ Verification of time and effort or certification statements for personnel charged to the grant(s).
- ❑ Teacher certification

# Findings and Concerns

- Safety and Security
  - eliminate exposed wires and extension cords
  - Locations
  - Lack of safety rules posted (auto, welding)
  
- Unexpended funds , 2009-10
  - AE – \$1,433,681
  - CTE – \$2,359,048
  
- Last minute spending...students must benefit from expenditures made during the grant award program period. Consider if internal controls are in place to keep major parties informed regarding fund availability.

# Findings and Concerns

- ❑ Lack of local data procedures
- ❑ Inventory and equipment issues
- ❑ Websites out of date
- ❑ Space issues in some classrooms and empty space and idle computers in others
- ❑ Programs – some lack structure, others fully developed, significant contrasts within single school environment
- ❑ ESOL – students need more practice (teachers talk less...students more)

# Findings and Concerns

- ❑ Equipment and technology replacement plans some exist, some do not. For some locations there seem to be an abundance of computers and empty classrooms.
- ❑ Leadership succession plans – some exist, some do not
- ❑ Encourage ‘triage’ approach among MIS/data, program and financial professionals
- ❑ Keep policies and procedures current
- ❑ Review textbook, technology, and materials needs at off-site programs

When you aim for perfection  
you discover it's a  
moving target.

--George Fisher

# Quality Assurance Team

Eileen L. Amy  
Robin Mueller-Ryan  
Rick Lockenbach  
Shahrokh Massoudi  
Sheryl Walden  
Tashi Williams

850-245-9031

Kathleen Taylor, Interim Chancellor  
Division of Career and Adult Education

Gloria Spradley-Brown, Bureau Chief  
Grants Administration and Compliance

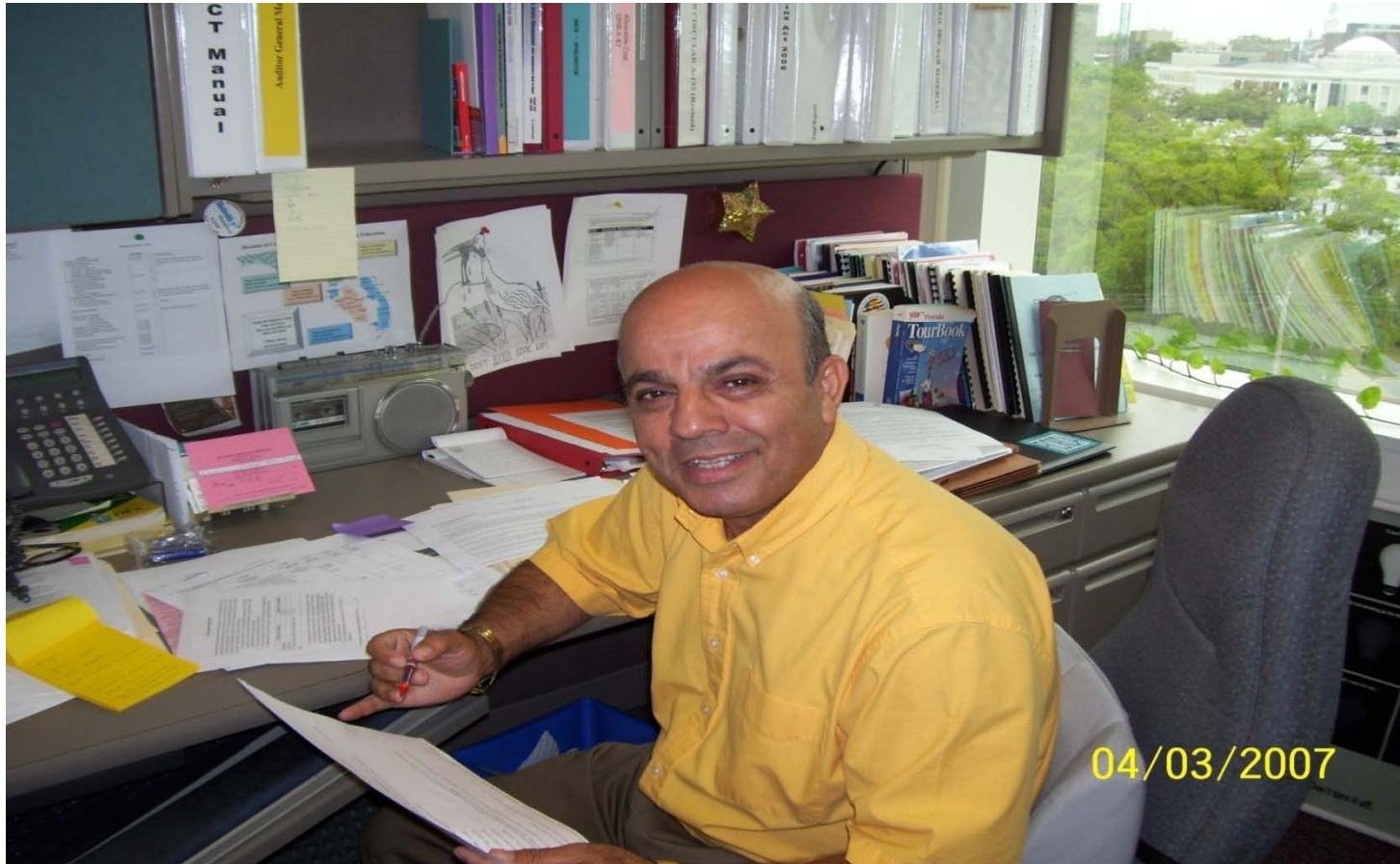
# Robin Mueller-Ryan



# Rick Lockenbach



# Shahrokh Massoudi



# Sheryl Walden



# Tashi Williams



We appreciate your support.

We welcome your comments,  
feedback, and suggestions

Thank you!

# Tools and Resources

- Carl D. Perkins Career and Technical Education Act of 2006  
[http://www.fldoe.org/workforce/perkins/pdf/Perkins\\_IV\\_text.pdf](http://www.fldoe.org/workforce/perkins/pdf/Perkins_IV_text.pdf)
- U.S. Office of Management and Budget (OMB) Circulars  
<http://www.whitehouse.gov/omb/circulars/>
- Education Department General Administrative Requirements (EDGAR)  
<http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>
- Quality Assurance Policies, Procedures, and Protocols  
<http://www.fldoe.org/workforce/compliance.asp>

# Tools and Resources

- A-133 Compliance Supplement

[www.whitehouse.gov/omb/circulars/a133\\_compliance/06/06toc.html](http://www.whitehouse.gov/omb/circulars/a133_compliance/06/06toc.html)

- Florida Department of Education, Career and Adult, Compliance

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

- Florida Department of Education “Green Book”

<http://www.fldoe.org/comptroller/gbook.asp>

- Grant Award-Terms, Conditions, and Assurances