



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

Florida Association for Career and Technical Education

October 6, 2015

Final Report



State Board of Education

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Division of Career and Adult Education

November 2, 2015

Ms. Marsan Carr, M.Ed., 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 monitoring report for the career and technical education program at the Florida Association for Career and Technical Education (FACTE). The final report will also be placed on the Quality Assurance and Compliance website at <http://fldoe.org/academics/career-adult-edu/compliance>.

We appreciate the leadership and professionalism demonstrated by your staff during our visit. If we can be of any assistance, please contact Tashi D. Williams, director of Quality Assurance and Compliance, at 850-245-9033 or via electronic mail at Tashi.Williams@fldoe.org.

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

Sincerely,

Rod Duckworth

RD/jb

Enclosure

cc: Gloria Spradley-Brown, bureau chief, Grants Administration and Compliance
Tashi D. Williams, director, Quality Assurance and Compliance
Joycelyn Brinson, program specialist, Quality Assurance and Compliance
Dr. Shahrokh Massoudi, program specialist, Quality Assurance and Compliance

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**Florida Association for Career and Technical Education
(FACTE)
Quality Assurance and Compliance 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 and Compliance 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 (Perkins) Career and Technical Education Act of 2006 and for Adult Education (AE) under the Adult Education and Family Literacy Act of 1998. FDOE awards subgrants to eligible providers to administer local programs. FDOE must monitor providers to ensure compliance with federal requirements, including Florida's approved state plans for CTE and adult education/family literacy. Each state shall have procedures for reviewing and approving applications for subgrants 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 pursuant to 34 CFR 76.770, Education Department General Administrative Regulations (EDGAR) and the Uniform Grant Guidance (UGG) for grant awards issued on or after December 26, 2014. The Florida Department of Education, Division of Career and Adult Education is required to oversee the performance of subgrantees in the enforcement of all laws and rules (Sections 1001.03(8) and 1008.32, Florida Statutes).

Additional citations noting pertinent laws and regulations and authority to monitor are located in the 2015-2016 Quality Assurance Policies, Procedures, and Protocols, Module A, Section 1.

III. QUALITY ASSURANCE POLICIES, PROCEDURES, AND PROTOCOLS

The Quality Assurance Policies, Procedures, and Protocols manual was revised in the 2015-16 program year. The manual is 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://fldoe.org/academics/career-adult-edu/compliance>.

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 department 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 strategy(ies) to be implemented. The monitoring strategy for the Florida Association for Career and Technical Education was determined to be an onsite visit. Notification was sent to Ms. Marsan Carr, director, on August 11, 2015. The designated representative for the agency was also Ms. Marsan Carr. The onsite visit to the agency was conducted October 6, 2015, by two representatives of the Quality Assurance and Compliance section of the division: program specialists, Joycelyn Brinson and Dr. Shahrokh Massoudi.

V. FLORIDA ASSOCIATION FOR CAREER AND TECHNICAL EDUCATION

The provider was awarded the following grants for FYs 2013-14, 2014-15 and 2015-16:

2013-2014

Career and Technical Education

<u>Program</u>	<u>Grant Number</u>	<u>Total</u>	<u>Unexpended Funds</u>
Leadership	194-1624A-4P001	\$ 390,061.00	\$ 243,433.00
Leadership	194-1624A-4PL01	\$ 20,240.00	\$ 6,498.64

2014-2015

Career and Technical Education

<u>Program</u>	<u>Grant Number</u>	<u>Total</u>	<u>Unexpended Funds</u>
Leadership	194-1625A-5P001	\$ 257,600.00	\$ 136,783.26
Leadership	194-1625A-5PL01	\$ 25,000.00	\$ 0.00

2015-2016

Career and Technical Education

<u>Program</u>	<u>Grant Number</u>	<u>Total</u>	<u>Unexpended Funds</u>
Leadership	194-1626A-6PL01	\$ 25,000.00	N/A

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 administrators, record reviews, and an exit conference.

Onsite Visit

Members of the team made an onsite visit to FACTE located in Tallahassee, Florida.

Entrance and Exit Conferences

The entrance and exit conferences for FACTE was conducted on October 6, 2015.

The participants are listed below:

Name	Title	Entrance Conference	Exit Conference
FACTE			
Marsan Carr	Executive Director	X	X
FDOE MONITORING TEAM			
Joycelyn Brinson	Program Specialist IV Quality Assurance and Compliance	X	X
Dr. Shahrokh Massoudi	Program Specialist IV, Quality Assurance and Compliance	X	X

Records Review

Program, financial, and administrative records were reviewed. A complete list is provided in section VII, item B.

VII. RESULTS

- A. ADMINISTRATION** refers to the management and/or supervision of programs, structure of programs and services, grant oversight, and other administrative areas.
- FACTE is governed by its board of directors, officers and executive director.
 - The board of directors are elected by members from each CTE division around the state of Florida.
 - Employed are three part-time individuals who work on an hourly basis.
 - The executive director has been employed with FACTE for 14 years.
 - The executive director reports directly to the President and Board of the Organization.
 - The executive director is well experienced in representing the Organization with the Florida Legislatures.
 - Board meetings are held a minimum of four times a year.
 - FACTE has approximately 750 members on record that pay dues on an annual basis.
 - Memberships are open to any persons who have an interest in CTE (Predominantly consisting of teachers and instructors).
 - In 2015, at the annual FACTE conference, participants made numerous presentations, highlights include:
 - Over 500 attendees
 - Over 80 consecutive sessions, related to CTE.
 - The state Board of Education Chair, Marva Johnson, was in attendance and presented.
 - The American Association of Career and Technical Education (ACTE) policy director Alisha Hyslop was a presenter.
- B. 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.
- Conference Program (schedule and description of all workshops)
 - FACTE policy manual
 - Online Course Catalog 2015-16
 - Independent Audit report for 2013-14
 - Invoices for Office Supplies

- Employee Timesheets
- Salary Expenditures
- Board Meeting Schedule
- Survey Monkey results from staff development
- Collaboration evidence with Florida State University
- Contractual Agreement for services
- Travel Vouchers
- Advisory Committee agendas and samples of meetings
- FACTE website
- Personnel Activity Reports and Certifications

C. **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.

- Sample of invoices and deliverables for 2013-14 grants were reviewed.
- Documentation of expenditures were organized and completed.
- A Certified Public Accountant (CPA) reviews all expenditures, 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 review conducted by the CPA was available and contained no findings.
- An independent audit is conducted annually by another firm.

D. **COLLABORATION** refers to the collaborative agreements, partnerships, or memoranda of understanding (MOUs) that are in place to benefit an agency's programs and students.

- Collaborations exist with the following:
 - Florida State University
 - Florida School Districts
 - State College Systems
 - Florida Department of Education

VIII. REQUIRED RESOLUTION ACTIVITIES

CAREER AND TECHNICAL EDUCATION

1. Corrective Action Plan (findings) – Florida Association for Career and Technical Education is not required to complete a corrective action plan.
2. Action Plan (concerns) – Florida Association for Career and Technical Education is not required to complete an action plan.

IX. SUMMARY

Once the fieldwork is completed, including receipt of requested information, a draft report is forwarded to the provider for review. Comments are accepted and considered. The final report is completed, forwarded to the agency head with a copy to the appropriate parties, and is posted on the department's website at the following address: <http://fldoe.org/academics/career-adult-du/compliance>.

Finally, the division issues a closure notice to the agency head and contact designees. This notice indicates all outstanding resolution items if applicable, have been completed.

On behalf of the department, the monitoring team extends our appreciation to all participants in the FACTE onsite monitoring visit. Special thanks is offered to Marsan Carr for her participation and leadership in this process.

APPENDIX A

Florida Association for Career and Technical Education (FACTE)
 Career and Technical Education
 Risk Matrix

Risk Scores Matrix for Non-Colleges Receiving Career and Technical Education (CTE) Carl D. Perkins Grants					
Agency Name: Florida Association for Career and Technical Education (FACTE)					
Program type: Career and Technical Education					
Target Year: 2013-2014					
Monitoring Year: 2014-2015					
Metric	Scaling	Point Value	Points Assigned	Weight	Total Metric Points
Total Perkins Budget Allocated Value	Upper Quartile	7	7	<u>X 10</u>	70
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
# Perkins Grants Value	4+	7	3	<u>X 8</u>	24
	3	5			
	2	3			
	1	1			
	5.00 – 7.49	5			
	2.50 – 4.99	3			
	0<index<2.50	1			
	0	0			
Perkins Director Change Value	Yes	7	0	<u>X 6</u>	0
	No	0			
Perkins Funds Remaining Point Value	Upper Quartile	7	7	<u>X 4</u>	28
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
AGENCY RISK SCORE:					122

*Compliance monitoring last visit: **CTE, Fall 2012**

*Data sources used for calculations: **Prior to July 1, 2014**