



FLORIDA DEPARTMENT OF
EDUCATION
fldoe.org

Quality Assurance and Compliance

Desk Monitoring Review for Career and Technical Education Grants

NAME OF AGENCY HERE

Quality Assurance and Compliance Team

Tashi Williams

Director

Tashi.Williams@fldoe.org

850-245-9033

LaStacia Spencer
Program Specialist IV

[Lastacia.Spencer@fldoe.org](mailto>Lastacia.Spencer@fldoe.org)

850-245-9036

Michael Swift
Program Specialist IV

Michael.Swift@fldoe.org

850-245-9051

Christine Walsh
Program Specialist IV

Christine.Walsh@fldoe.org

850-245-9056

INTRODUCTION

The Florida Department of Education (FLDOE), Division of Career and Adult Education, 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 division's 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 and compliance section 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 Carl D. Perkins funds and regulatory compliance of eligible recipients on a regular basis.

AUTHORITY

The Florida Department of Education receives federal funding from the United States Department of Education (USDOE) for Career and Technical Education (CTE) under the Carl D. Perkins Career and Technical Education Act of 2006. FLDOE awards sub grants to eligible providers to administer local programs. FLDOE must monitor providers to ensure compliance with federal requirements, including Florida's approved state plans for Career and Adult Education, as specified in the Education Department General Administrative Regulations (EDGAR) 34 CFR § 76.770, the Uniform Grant Guidance (UGG) § 200.328, § 200.501 audit requirements and § 215.86, Florida Statutes.

Section 113 of the Carl D. Perkins Career and Technical Education Act of 2006 (Perkins IV) establishes and supports the development of a state and local accountability system that will assess the effectiveness of the state and local funding recipients in achieving progress in CTE. State-developed performance measures must consist of the core indicators listed below, any additional valid and reliable indicators that the state determines, and the "state adjusted levels of performance" for the indicators. These levels of performance must be expressed in percentage or numerical form and require continual improvement in the performance of CTE students. Information regarding the performance measures must be included in the State Plan. The revised State Plan for Florida is submitted to the U.S. Secretary of Education annually.

QUALITY ASSURANCE POLICIES, PROCEDURES, AND PROTOCOLS

The Quality Assurance Policies, Procedures, and Protocols (PPP) manual was revised in the 2016-17 program year. 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>

ELIGIBLE RECIPIENT SELECTION

Various sources of data are used throughout the implementation of the quality assurance and compliance 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 FLDOE and the division. A risk matrix, identifying certain operational risk factors, is completed for each eligible recipient. The risk matrix for each program monitored is located in Module A, in the PPP manual. 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.

Instructions for Completing a Desk Monitoring Review

FLDOE has implemented this desk monitoring review for agencies to complete and return as part of the Desk Monitoring Process. It will be used to obtain information and supporting documentation required to complete an official review of your sub grant as well as your agency's grant management practices and project activities.

Once this desk monitoring review is completed, determination of compliance (C) or effectiveness (E) will be made by the Team Leader of the Quality Assurance and Compliance section. After the desk monitoring review is completed, including receipt of requested information, a draft report is forwarded to the provider for review and recommendations. If a resolution plan is required, the provider must complete and sign the resolution plan. Once the draft is returned, 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-edu/compliance/archives.stml>.

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

If you have any questions regarding this desk monitoring review, instructions for completing the desk monitoring review, or any other general grant related topics please contact the team lead. Please return the completed desk monitoring review to address: 325 W. Gaines St, Suite 720, Tallahassee, FL 32399. A final report will be issued to the agency head and the agency designee once the desk monitoring review is complete.

GENERAL INFORMATION

NAME OF AGENCY HEAD: Click here to enter text. **TITLE:** Click here to enter text.

NAME OF AGENCY CONTACT: Click here to enter text.

TITLE: Click here to enter text. **TELEPHONE NUMBER:** Click here to enter text.

AGENCY PHYSICAL ADDRESS: Click here to enter text.

Click here to enter text.

Click here to enter text.

AGENCY MAILING ADDRESS: (IF DIFFERENT): Click here to enter text.

Click here to enter text.

Click here to enter text.

EMAIL: Click here to enter text.

ADMINISTRATION

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

Statutory Authority: The Carl Perkins Career and Technical Education Act of 2006, Perkins IV, Section 123 (b), 124 (b)

		Effectiveness Or Compliance	FLDOE Use Only
1. How does your agency track the flow of federal funds as it applies to the operation of a program? Click here to enter text.		E	
2. Does your agency have staff development? If yes, provide documentation such as a schedule of events, agendas, sign-in sheets, etc.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	E	
3. Is training provided to advisors and guidance counselors on CTE requirements? If yes, provide documentation such as a schedule of events, agendas, sign-in sheets, etc.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	
4. Does your registration/application form include a section for students who wish to self-declare a disability? What documentation do you require or accept for accommodations? Click here to enter text.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	
5. Do you ensure that the needs of special populations are being met? If yes, how? Click here to enter text.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	
6. Do you evaluate the CTE programs? If so, please explain how. Click here to enter text.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	E	
7. Do you have an advisory committee? a) When was the last time it met? Attach a sample of minutes, agenda, and attendance for your most recent meeting Click here to enter text.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	
8. Do you have career and technical student organizations? Provide a list of offerings. Click here to enter text.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	E	
9. Describe how career guidance and academic counseling will be provided to CTE students, including linkage to future education and training opportunities. Click here to enter text.		E	

DATA AND ASSESSMENT

Refers to all the components of the data and assessment system, including test administration, test security, data collection, staff development, data entry, and reporting, as well as policies and procedures. The use of data in program decision-making is also explored and commented upon.

Statutory Authority: The Carl Perkins Career and Technical Education Act of 2006, *Perkins IV, Section 123 (b), Section 124 (b) EDGAR 34 CFR part 462, Subpart D; and 34 CFR 76.770, UGG § 200.328, § 200.338*

		Effectiveness Or Compliance	FLDOE Use Only
10. Does your agency have written policies and procedures for data collection? Please provide a copy (or website location) of the policies and procedures as an attachment.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	
11. Does your agency have specific staff (positions) with clear responsibilities for data collection? If yes, list job positions below. Please provide a job description as an attachment.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	E	
12. Was your agency required to develop and implement a Program Improvement Plan (PIP) within the last 3 years? a) Which indicators are addressed in the agency's PIP? Click here to enter text. b) What efforts or strategies are being used to close performance gaps for students? Click here to enter text. c) Describe any reasons for performance gaps. Click here to enter text. d) How will the provider evaluate its outcomes as specified in the strategic plan? Click here to enter text. e) Has progress been made on meeting targets for this measure? Click here to enter text. f) If no progress has been indicated, what adjustments to the PIP will be made in the future? Click here to enter text.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	
13. Is your agency's policies and procedures for collecting and reporting data on student progress consistent with the Florida curriculum frameworks? Click here to enter text.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	
14. What data collection software does your agency use for its electronic management information system (MIS)/institutional research? Click here to enter text.		C	
15. How is student attendance tracked and reported in your data system? What system is used? Click here to enter text.		E	
16. What is the role of the CTE administration in the verification of data prior to submission to FLDOE? Click here to enter text.		E	

17. Has agency staff been provided training on data and assessment requirements? If so, which staff members receive this training? Click here to enter text.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	
		Effectiveness Or Compliance	FLDOE Use Only
18. Do staff members participate in Management Information Systems Advisory Task Force (MISATFOR) and Workforce Education and District Data Advisory Council (WEDDAC) meetings? (districts and colleges) Provide documentation of attendance. Click here to enter text.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	E	
19. How is data used for program management and improvement? Click here to enter text.		E	
20. A list of occupational completion points (OCPs) and industry certifications has been provided to you. Please verify and return verification documents to team lead.		E	
21. What standardized assessments does your agency use when pretesting students? Provide a list of assessments. Click here to enter text.		C	
22. Do you have basic skills requirements before students can enroll in a CTE program? If yes, provide a list of these requirements? Click here to enter text.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	
23. Are students evaluated/tested within six (6) weeks of entering the program? If no, please include documentation for exemptions. Click here to enter text.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	
24. What are your procedures to secure storage of all testing materials before and after a student takes a test/assessment? Click here to enter text.		E	

CURRICULUM AND INSTRUCTION

Refers to those elements which contribute to student learning and skill acquisition.

Statutory Authority: The Carl Perkins Career and Technical Education Act of 2006, Public Law 109-270(Perkins IV)
(Section 240) **Florida Statute:** Sec 1004.02(26)

		Effectiveness Or Compliance	FLDOE Use Only
25. Does your agency have one or more program of study (POS) that incorporates secondary education and post-secondary education elements?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	
26. Provide one POS that meets the requirements of Carl D. Perkins.			
27. Is the POS fully implemented?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	
28. How long has the POS been in place? Click here to enter text.		C	
29. What is the current enrollment for this POS? Click here to enter text.		C	
30. Does the POS provide coursework that prepares students (secondary only) for postsecondary programs?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	
31. How successful have students been in this POS (e.g., technical skill attainment, retention, completers, percentage passing certification exams, placement?) Click here to enter text.		C	
32. How does your agency integrate academics with CTE programs? Explain. Click here to enter text.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	
33. How do you provide students with strong experience in and understanding of all aspects of industry? (Field trips, guest speakers, internships, etc.) Click here to enter text.		E	
34. What academic and CTE training/instruction do you offer that prepares students to be successful in the use of modern technology? Click here to enter text.		C	
35. Does your agency serve individuals in state correctional institutions? If yes, where are these sites located and what CTE programs are offered? Click here to enter text.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	E	

TECHNOLOGY AND EQUIPMENT

Refers to a review of the technology and equipment used by students and teachers/instructors in the classroom; addresses property management, access, availability, innovation, use and condition.

Statutory Authority: UGG, Equipment § 200.33, § 200.12, § 200.20, § 200.48, § 200.58, § 200.89, § 200.94, § 200.311, § 200.313, and § 200.439, Equipment and other capital expenditures.

		Effectiveness Or Compliance	FLDOE Use Only
36. What staff position is responsible for property inventory management? Attach policies and procedures for this job description. Click here to enter text.		C	
37. Is there a property records system in place to track the purchase, use, and disposal of equipment? a) Does inventory contain all aspects of the requirements outlined in the UGG? b) Please attach a copy of your inventory listings for FY _____.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	
38. How often does your agency conduct equipment inventory? Click here to enter text.		C	
39. How often does your agency conduct a physical inventory of property purchased with grant funds? Click here to enter text.		E	
40. What internal controls are in place to protect technology and equipment acquired with grant funds? Click here to enter text.		E	
41. Do you use property transfer forms? How do you ensure that property is used solely for authorized purposes? Click here to enter text.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	
42. How does the agency dispose of equipment acquired under a grant that is no longer needed for the original project or program? Click here to enter text.		C	
43. Does your agency reconcile any discrepancies between current and previous inventory at least every two years? If yes, provide a copy of your most recent reconciliation report. Click here to enter text.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	E	
44. Have there been any reports of loss, damage or theft in the last 12 months? If yes, include police report or loss of property report. Click here to enter text.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	
45. What is your monetary threshold for tagging property and equipment items? Click here to enter text.		E	
46. Is classroom technology and equipment current and adequate for instructional purposes?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	E	

FINANCIAL MANAGEMENT

Refers to aspects of federal fiscal requirements that eligible recipients must meet when expending federal funds, including financial management, procurement, inventory management and allowable costs.

Statutory Authority: UGG - Post Federal Award Requirements Standards for Financial and Program Management. § 200.80, § 200.300, § 200.307 Statutory and National Policy Requirements § 200.331, § 200.338

Please submit a copy of your agency’s general ledger or financial spreadsheet(s). Supporting documentation may be required as requested by the FLDOE team leader, such as purchase orders, invoices, canceled checks, payroll ledgers, dates/descriptions of training, etc.

		Effectiveness Or Compliance	FLDOE Use Only
47. Do you have purchasing policies and procedures that include standard accounting practices, budgeting and documenting and reporting procedures? Attach a copy of your purchasing policies and procedures, or include the website location.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	
48. Does your agency have a fiscal grant manager assigned to this federal grant project?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	E	
49. How do you ensure all purchases with federal funds are reasonable, allocable, allowable and necessary? Click here to enter text.		C	
50. How do you assure that grant dollars are spent efficiently throughout the year to minimize grant balances at the end of the fiscal year? Click here to enter text.		C	
51. How long does your agency maintain accounting records? Click here to enter text.		C	
52. Do you have any purchase service contracts? If yes, provide a list.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	E	
53. Explain the procurement procedures for contracting of goods or services using grant funds. (if applicable) Click here to enter text.		C	
54. What internal controls are in place to guarantee that grants/contracts meet the State of Florida contract services agreement requirements? Click here to enter text.		E	
55. Does your agency have agreements in place to maximize purchasing potential? If yes, please provide these agreements. Click here to enter text.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	
56. How does your agency practice economical purchasing? Click here to enter text.		E	
57. Were any personnel costs (salary, benefits) charged to this grant?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	
58. Were there any personnel charged to this grant that worked on multiple cost objectives?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	
a) Was a distribution of their salary or wages supported by personnel activity reports (PARs)?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A		
b) Do these PARs reflect an after-the-fact distribution of the actual activity of each employee?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A		

		Effectiveness Or Compliance	FLDOE Use Only
59. Does personnel work on single activities or cost objectives? a) Was a semi-annual certification completed for all of these employees? If yes, please provide documentation.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	
60. Provide sample time and effort reports for one (1) month. (month to be determined by team leader)		C	
61. Does your CTE program receive income from services offered to the local community? a) How is this income used? Click here to enter text.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	E	

COLLABORATIONS

Refers to the collaborative agreements, partnerships, or memoranda of understanding (MOU) that are in place to benefit an agency's programs and students.

Statutory Authority: Carl D. Perkins Career and Technical Education Act of 2006, Section Sec. 114 (d)(4)(A), Sec. 135 (b)(3)

		Effectiveness Or Compliance	FLDOE Use Only
62. Do you have articulation agreements with any postsecondary institution(s)? If yes, please explain and provide documentation. Click here to enter text.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	
63. Do you have internship programs with local businesses and industries? If yes, provide a list of internships offered. Click here to enter text.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	E	
64. Are you involved with CareerSource of Florida? If yes, explain your relationship. Click here to enter text.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	
65. Do you offer dual enrollment? If yes, please explain and provide a list of locations. Click here to enter text.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	
66. Are you in partnership with any businesses in your local community?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	E	
67. Do you have any unique CTE programs or partnerships with other educational institutions in the area? If yes, please explain. Click here to enter text.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	E	
68. Does your CTE program offer community services such as cosmetology, automobile repair, etc.? a) If yes, what services are provided?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	E	

QUICK REFERENCE GUIDE

- View FLDOE website: <http://fldoe.org/academics/career-adult-edu/compliance>

*Please provide the following documents, as it pertains to your awarded grant:

ADMINISTRATION

- Policies and Procedures
- List of all the sites where CTE services are provided

DATA AND ASSESSMENT

- Data Policy and Procedures (local)
- Industry certifications and OCPs
- Provide Position Descriptions for Data Assessment employees.
- Provide a blank student registration form
- Provide documentation of any trainings, meetings, seminars, conferences, etc.

CURRICULUM AND INSTRUCTION

- Provide a sample lesson plan

TECHNOLOGY AND EQUIPMENT

- Inventory of Equipment
- Police and/or theft reports for any lost or stolen equipment
- Provide the job descriptions for staff responsible for equipment
- Technology Plan

FINANCIAL MANAGEMENT

- Expenditure Ledger Detail Reports for **FIRST** expenditure
- Procurement policies and procedures for purchasing equipment
- FIRST expenditure backup documentation (maximum 3 samples)
 - Invoices and purchase orders
 - Purchase Card Documentation
 - Sample of Travel Documentation (from requisition to payment)
- A sample of Time and Effort reports
 - Personnel Activity Reports (PARS) for split funded employees
 - Semi- annual certifications for 100% funded employees

COLLABORATIONS

- Provide any articulation agreements you have with any post-secondary institutions
- List of all dual enrollment schools