



FLORIDA DEPARTMENT OF
EDUCATION
CAREER AND ADULT EDUCATION

**Quality Assurance and Compliance
Desk Monitoring Review
for
Perkins Career and Technical Student Organizations**

Florida Health Occupations Students of America, Inc.

March 11-13, 2019

Final Report

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**Florida Health Occupations Students of America (HOSA), Inc.
Career and Technical Education
Quality Assurance and Compliance Monitoring Report**

I. INTRODUCTION

The Florida Department of Education (FLDOE), 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 FLDOE 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. FLDOE awards subgrants to eligible providers to administer local programs. FLDOE 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 2018-2019 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 2018-19 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 HOSA, Inc. (HOSA) was determined to be a desk monitoring review. Notification was sent to the agency’s designated representative Mr. Lloyd DeVault, executive director/state advisor, HOSA on November 19, 2018.

The desk monitoring review for the agency was conducted on March 11-13, 2019 by a representative of the Quality Assurance and Compliance section of the division: Mr. Andrew Goldsmith, program specialist.

V. HOSA, Inc.

The provider was awarded the following grants for FYs 2016 -17, 2017-18 and 2018 -19:

2016-2017

<u>Grant</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended Funds</u>
Perkins – CTSO Leadership	184-1627A-7PL01	\$ 40,696.00	\$ 0.00

2017-2018

<u>Grant</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended Funds</u>
Perkins – CTSO Leadership	184-1628A-8PL01	\$ 42,431.00	\$ 0.00

2018-2019

<u>Grant</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended Funds</u>
Perkins – CTSO Leadership	184-1629B-9PL01	\$ 42,395.00	N/A

Additional information about the provider may be found at the following web address:

<http://www.flhosa.org/home>

VI. MONITORING ACTIVITIES

The desk monitoring review activities included administrative, financial, review of deliverables and an exit conference call.

Exit Conference

The exit telephone conference was conducted via conference call on April 10, 2019. The participants are listed below:

Name	Title	Exit
Lloyd DeVault	State Advisor	X
FLDOE		
Tashi Williams	Director, FDOE	X
Andrew Goldsmith	Program Specialist, FDOE	X

Records Review

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

VII. RESULTS

A. **ADMINISTRATION** refers to the management and/or supervision of programs, structure of programs and services, grant oversight and other administrative areas.

- The day to day operation of Florida HOSA is run by a board approved state advisor. State leadership is provided by a Board of Directors. Voting members of the Board include Regional Advisors from each region, elected student officers and at-large alumni.
- The Board of Directors serves as an advisory committee.
- The state advisor is responsible for managing the FDOE Perkins grant, submitting complete quarterly deliverables to FDOE, as well as other duties detailed within the provider's approved grant application.
- Florida HOSA provides officer and leadership training to staff.
- Florida HOSA students may self-declare a disability upon registration. Upon request, special accommodations are provided.
- Florida HOSA retains accounting records for five years within their financial management system. Physical copies of all records are held in accordance with state law.

B. **RECORDS REVIEW** refers to a review of the records and documents that demonstrate compliance with federal and state rules and regulations. Samples of financial and programmatic records are reviewed.

- Purchasing and procurement policies and procedures
- All deliverables submitted to FDOE
- Time and effort certifications for the state advisor
- The completed Desk Monitoring Review packet
- Bank statements

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.

- The sole use of the federal grant award money is for the services of the Florida HOSA State Advisor.
- Although their Perkins federal grant only pays for the services of the state advisor, Florida HOSA has detailed financial policies and procedures.
- An annual budget is prepared by the state advisor prior to the beginning of each fiscal year and submitted to their Board for approval.
- All fiscal transactions conform to applicable federal regulations and laws of the State of Florida governing the operation of non-profit corporations with respect to all grants, agreements, and contributions, and to generally accepted accounting procedures.
- All quarterly deliverables for the fiscal years reviewed were submitted to FDOE in a timely manner and contained all of the required deliverables and appropriate documentation.
- All deliverables were approved by FDOE, and resulted in full payment of their federal award. There were no unexpended funds or rejected deliverables.

VIII. REQUIRED RESOLUTION ACTIVITIES

CAREER TECHNICAL EDUCATION

1. Corrective Action Plan (findings) – Florida HOSA is not required to complete a corrective action plan.

IX. SUMMARY

Once the desk monitoring review is completed, including receipt of requested information, a preliminary report will be forwarded to the provider for review. Comments are accepted and considered. The final report will be completed, forwarded to the President of the Board of Directors 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>.

The division will issue a closure notice to the President of the Board of Directors and contact designee once all outstanding resolution items have been completed, if applicable.

On behalf of the department, Mr. Andrew Goldsmith extends his appreciation to all participants in the Florida HOSA desk monitoring review. Special thanks is offered to Mr. Lloyd DeVault for his participation in this process.

APPENDIX A
HOSA, Inc.
Career and Technical Education
Risk Matrix

**Risk Scores Matrix for a Non-College or Non-School District Receiving
Career and Technical Education (CTE)
Carl D. Perkins Grants**

Agency Name: **FLORIDA ASSOCIATION OF HEALTH OCCUPATIONS
OF AMERICA**

Program type: **CTE**

Target Year: **2016-2017**

Monitoring Year: **2018-2019**

Metric	Scaling	Point Value	Points Assigned	Weight	Total Metric Points
Number of Years Since Last Monitored	7 or More Years	7	1	<u>X 10</u>	10
	5-6	5			
	3-4	3			
	0-2	1			
Total Budget for all Perkins Grants Combined+	Upper Quartile	7	3	<u>X 8</u>	24
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
Number of Perkins Grants	4 or More	7	1	<u>X 8</u>	8
	3	5			
	2	3			
	1	1			
Agency CTE Program Director Change from Previous Fiscal Year	Yes	7	0	<u>X 6</u>	0
	No	0			
Unexpended Funds from all Perkins Grants Combined	Upper Quartile	7	0	<u>X 4</u>	0
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
AGENCY RISK SCORE:					42

Data sources used for calculations: Prior to July 1, 2017