



FLORIDA DEPARTMENT OF
EDUCATION
CAREER AND ADULT EDUCATION

**Quality Assurance and Compliance
Desk Monitoring Review
for Adult Education**

**Adult & Community Educators of Florida
Foundation, Inc.**

April 13, 2020

Final Report

TABLE OF CONTENTS

I.	Introduction	1
II.	Authority	1
III.	Quality Assurance Policies, Procedures and Protocols	1
IV.	Provider Selection	1
V.	Adult & Community Educators of Florida Foundation, Inc.	2
VI.	Monitoring Activities	2
VII.	Results	3
VIII.	Required Resolution Activities	4
IX.	Summary	4
	Appendix A.....	5

Florida Department of Education
Division of Career and Adult Education

Adult & Community Educators of Florida Foundation, Inc.
Adult Education
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 (QAC) 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) Strengthening Career and Technical Education for the 21st Century Act, and for Adult Education (AE) under the Workforce Innovation and Opportunity Act (WIOA) of 2014. FDOE awards sub-grants 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 sub-grants 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 sub-grantees 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 2019-2020 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 2019-20 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 Quality Assurance and Compliance section may apply any specific monitoring strategy to any federal or state-funded provider at any time. There may be circumstances that may warrant onsite monitoring, desk monitoring review or other strategies regardless of a provider’s risk matrix score.

The monitoring strategy for Adult & Community Educators of Florida Foundation, Inc. (ACE) was determined to be a desk review, due to the COVID-19 pandemic. A notification was sent to Melanie Stefanowicz, president, ACE of Florida Foundation on December 15, 2019. The designated representative for the agency was Ms. Julie Roberts, executive director, ACE of Florida Foundation.

The review for the agency was conducted on April 13, 2020. The representative of the division present during the review was program specialist Mr. Andrew Goldsmith of the Quality Assurance and Compliance section.

V. ADULT & COMMUNITY EDUCATORS OF FLORIDA FOUNDATION, INC.

ENROLLMENT: ACE does not enroll any students.

The provider was awarded the following grants for FY’s 2017-18, 2018-19 and 2019-20:

Finance

FY 2017-18

<u>Grants</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended</u>
Adult Education State Leadership	91W-1928B-8PL01	\$ 353,000.00	\$ 100,572.92

FY 2018-19*

<u>Grants</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended</u>
Adult Education State Leadership	91W-1929B-9PL01	\$ 353,000.00	\$ *

FY 2019-20*

<u>Grants</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended</u>
Adult Education State Leadership	91W-1920B-0PL01	\$ 354,334.00	\$ *

*FY 2018-19 and 2019-20 project disbursement reports not yet available
 Additional information about the provider may be found at the following web address:
<https://www.aceoffloridafoundation.org/>

VI. MONITORING ACTIVITIES

The monitoring activities included pre and post visit planning, an entrance and exit conference, records review, inventory review and interviews with administrators.

Entrance and Exit Conferences

The entrance conference for ACE was conducted on April 13, 2020. The exit conference was conducted on June 16, 2020. The participants are listed below:

Name	Title	Entrance Conference	Exit Conference
Julie Roberts	Executive Director	X	X
FDOE Monitoring Team			
Andrew Goldsmith	Program Specialist, QAC, FDOE	X	X

Interviews

Interviews were conducted with the administrative staff. All interviews were held during the course of the review.

Records Review

Program, financial, administrative and student records were reviewed. A complete list is provided in section VII, item D. Policies and procedures were reviewed and discussed at various times during the visit.

VII. RESULTS

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

- ACE is managed by a board approved executive director.
- Administrative staff and equipment as well as travel are supported by grant funds.
- The executive director is responsible for managing the grant and submitting invoice packages to the Department for review including deliverables.
- ACE has met the required records retention standards.
- ACE provides professional development to its staff as well as to educators as part of their leadership functions.

B. **TECHNOLOGY AND EQUIPMENT:** refers to a review of the technology and equipment used by students and instructors in the classroom; addresses access, availability, innovation, use and condition.

- ACE tracks their inventory, tags equipment and utilizes a sign-out sheet if equipment is removed from its location.
- There are no reports of lost or stolen equipment.

C. **ACCESS AND EQUITY:** refers to compliance with the requirements of federal non-discrimination laws as relating to recruitment, enrollment, participation and completion of programs.

- The Office of Equal Educational Opportunity (OEEO) for school districts is responsible for monitoring and overseeing civil rights compliance obligations. Should you have any questions or concerns, please contact the OEEO at 850-245-0511.

D. 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.

- ACE operational and financial policies and procedures
- 2017-18 and 2018-19 quarterly deliverables submitted to FDOE
- Training schedules, records and resources
- Travel documentation
- Inventory records
- Calendar of statewide training events
- The completed Desk Monitoring Review packet and Leadership protocol
- Time and Efforts reports

E. 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.

- ACE reviews all grant funded purchases before they are made.
- Equipment is accounted for and receipts are kept for review.
- Time and Effort reports are accurate and reflect correct salary payments.
- Invoice packages including deliverables were reviewed for completeness and accuracy.
- ACE spending reports were reviewed for accuracy.

VIII. REQUIRED RESOLUTION ACTIVITIES

ACE is not required to complete a required action plan.

IX. SUMMARY

Once the fieldwork is completed, including receipt of requested information when applicable, a preliminary report is forwarded to the provider for review. Comments are accepted and considered at the discretion of the FDOE Quality Assurance and Compliance section. 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>.

Finally, the division issues a closure notice to the agency head and designated contact person. This notice indicates that all outstanding resolution items have been completed when applicable or that no further action is required.

On behalf of the department, the monitoring team extends our appreciation to all participants in the ACE onsite monitoring visit. Special thanks is offered to Ms. Julie Roberts for her participation and leadership during this process.

APPENDIX A

Adult & Community Educators of Florida Foundation, Inc.
Risk Matrix

Risk Scores Matrix for a Non-College or Non-School District Receiving Adult Education (AE) Grants					
Agency Name: ACE OF FLORIDA FOUNDATION					
Program Type: AE					
Target Year: 2017-2018					
Monitoring Year: 2019-2020					
Metric	Scaling	Point Value	Points Assigned	Weight	Total Metric Points
Number of Years Since Last Monitored	7 or More Years	7	3	<u>X 10</u>	30
	5-6	5			
	3-4	3			
	0-2	1			
Total Budget for all Adult Education Grants Combined	Upper Quartile	7	7	<u>X 8</u>	56
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
Number of Adult Education Grants	4 or More	7	1	<u>X 8</u>	8
	3	5			
	2	3			
	1	1			
	No	0			
Agency CTE Program Director Change from Previous Fiscal Year	Yes	7	7	<u>X 6</u>	42
	No	0			
Unexpended Funds from all Adult Education Grants Combined	Upper Quartile	7	7	<u>X 4</u>	28
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
Adult Education Program Improvement Plan (AEPiP)	Target Not Met on 3 of 3 Indicators	5	0	<u>X 6</u>	0
	Target Not Met on 2 of 3 Indicators	3			
	Target Not Met on 1 of 3 Indicators	1			
	All Targets Met	0			
AGENCY RISK SCORE:					164