Quality Assurance and Compliance

Desk Monitoring Review for
Adult Education and Family Literacy Grants

NAME OF AGENCY HERE

Quality Assurance and Compliance Team

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INTRODUCTION

The Florida Department of Education (FDOE), 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 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 Adult Education (AE) federal funds and regulatory compliance of providers on a regular basis.

AUTHORITY

The FDOE receives federal funding from the U.S. Department of Education (USDOE) for 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 plan for 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). 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).

QUALITY ASSURANCE POLICIES, PROCEDURES, AND PROTOCOLS

The Quality Assurance Policies, Procedures and Protocols (PPP) manual was revised for the 2019-2020 program year. The manual provides a summary of each facet of the monitoring design and process. It also contains protocols that may be used as agencies are monitored or reviewed. References to the manual may be made in this document, which is located on the division's website at http://fldoe.org/academics/career-adult-edu/compliance.

ELIGIBLE RECIPIENT SELECTION

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 FDOE 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

FDOE 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 your FDOE 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: *Title II of the Workforce Innovation and Opportunity Act of 2014 (WIOA), Adult Education and Family Literacy Act (AEFLA), 29 U.S.C. § 3321*

	Effectiveness Or Compliance	FDOE Use Only
1. Does your agency verify that all AE or English Literacy students:		
a) Have attained 16 years of age? ☐YES ☐NO ☐N/A	C	
b) Are not enrolled or required to be enrolled in secondary school under law? ☐YES ☐NO ☐N/A	C	
c) Lack sufficient mastery of basic educational skills to enable them to function effectively in society? ☐YES ☐NO ☐N/A	C	
d) Do not have a secondary school diploma or it's recognized equivalent, and have not achieved an equivalent level of education. ☐YES ☐NO ☐N/A	C	
e) Are unable to speak, read or write the English language? ☐YES ☐NO ☐N/A	C	
2. Does your agency have staff development? If yes, provide documentation such as a schedule of events, agendas, sign-in sheets, etc. ☐YES ☐NO ☐N/A	E	
3. How does your agency ensure that it is serving individuals in the community who are the most in need of literacy services, including individuals who are low-income or have learning disabilities?	C	
4. What are your agency's program recruitment, outreach and retention strategies? Click here to enter text.	E	
5. Does your agency adhere to the State Plan for AE programs? ☐YES ☐NO ☐N/A	C	
6. Does your agency provide for the needs of persons with limited or non-English proficiency? If yes, what accommodations are provided? Click here to enter text. ☐YES ☐NO ☐N/A	C	
7. 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. ☐YES ☐NO ☐N/A	C	
8. Where are classes located? Please attach a list of addresses where all AE services are offered.	E	
9. Does your agency offer flexible schedules for classes, along with local support services such as; transportation, child care, career planning, etc. If yes, what services are offered for students? Click here to enter text. ☐YES ☐NO ☐N/A	C	

DATA AND ASSESSMENT

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

Statutory Authority: 29 U.S.C. § 3141; EDGAR (34 C.F.R. § 76.770); 34 C.F.R. part 462; UGG (2 C.F.R. §§ 200.328, 200.331, 200.338); also see the current Adult Education Assessment Technical Assistance Paper

		Effectiveness Or Compliance	FDOE 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.	☐YES ☐NO ☐N/A	C	
11. Does your agency have specific staff (positions) with clear responsibilities for data collection? If yes list the job positions below. Please provide a job description as an attachment. Click here to enter text.	☐YES ☐NO ☐N/A	E	
12. Is your agency's policies and procedures for collecting and reporting data on student progress consistent with the Florida curriculum frameworks?	☐YES ☐NO ☐N/A	C	
13. What data collection software does your agency use for its electronic management information system (MIS)/institutional research? Click here to enter text.		C	
14. How is student attendance tracked and reported in your data system? What system is used? Click here to enter text.		E	
15. Has agency staff been provided training on data and assessment requirements? If so, which staff members receive this training? Click here to enter text.	☐YES ☐NO ☐N/A	C	
16. What is the role of the AE administrator in the verification of data prior to submission to FDOE? Click here to enter text.		E	
17. How is data used for program management and improvement? Click here to enter text.		E	
18. A list of AGE completers and AGE non-completers has been provided to you. Please verify this data and return verification documents to team lead.		E	
19. How long does your agency retain data records? Click here to enter text.		C	
20. 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.	☐YES ☐NO ☐N/A	E	
21. What standardized assessments does your agency use when pretesting students? Provide a list of assessments. Click here to enter text.		C	
22. Does your agency have basic skills requirements before students can enroll in an AE program? If yes, provide a list of these requirements? Click here to enter text.	☐YES ☐NO ☐N/A	C	

23. 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.

	Effectiveness Or Compliance	FDOE Use Only
24. Does the curriculum include a variety of instructional approaches such as technology application, phonemic awareness, systematic phonics, fluency and reading comprehension? Provide a sample lesson plan. ☐YES ☐NO ☐N/A	C	
25. How are the State of Florida Curriculum Frameworks used in the classroom?	C	
26. Does the program curriculum you are using align with the standards listed in the frameworks? ☐YES ☐NO ☐N/A	C	
27. How does your agency use performance measures for AE to evaluate your program? Click here to enter text.	E	
28. Does the agency ensure that its program is of sufficient intensity and duration for participants to achieve substantial learning gains? If yes, please explain how. ☐YES ☐NO ☐N/A Click here to enter text.	E	
29. How does the agency ensure that all students have access to career exploration and planning? Click here to enter text.	C	
30. Does the program use instructional practices, that research has proven to be effective, in teaching individuals to read? If yes, what are these practices? ☐YES ☐NO ☐N/A Click here to enter text.	E	
31. What workforce preparation activities does your agency provide students to prepare them for a successful transition into and completion of postsecondary education, training or employment? Click here to enter text.	C	

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, § 200.313, and § 200.439, Equipment and other capital expenditures

		Effectiveness Or Compliance	FDOE Use Only
32. What staff position is responsible for property inventory management? Attach policies and procedures for this job description. Click here to enter text.		C	

33. 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 _____.
	☐YES ☐NO ☐N/A
	
	 ☐YES ☐NO ☐N/A
		C	

34. How often does your agency conduct equipment inventory? Click here to enter text.		C	
35. How often does the agency conduct a physical inspection of equipment purchased with grant funds? Click here to enter text.		E	
36. Have there been and reports of loss, damage or theft in the last 12 months? If yes, include the police report or loss of property report. Click here to enter text.	☐YES ☐NO ☐N/A	C	
37. 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	
38. 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.	☐YES ☐NO ☐N/A	E	
39. What internal controls are in place to protect technology and equipment acquired with federal funds? Click here to enter text.		E	
40. Do you use property transfer forms? How do you assure that property is used solely for authorized purposes? Click here to enter text.	☐YES ☐NO ☐N/A	C	
41. What is your monetary threshold for tagging property and equipment items? Click here to enter text.		E	
42. Is classroom technology and equipment current and adequate for instructional purposes?	☐YES ☐NO ☐N/A	E	

FINANCIAL MANAGEMENT

Refers to aspects of federal fiscal requirements that providers 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. § 200.300 Statutory and National Policy Requirements

Please submit a copy of you agency's general leger or financial spreadsheet(s). Supporting documentation may be required as requested by the FDOE team lead, such as purchase card/orders, invoices, canceled checks, travel documentation, payroll, dates/descriptions of training, etc. In addition, please complete the attached fiscal allowable cost protocol.

		Effectiveness Or Compliance	FDOE Use Only
43. 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.	☐YES ☐NO ☐N/A	C	
44. Does your agency have a fiscal grant manager assigned to this federal grant project?	☐YES ☐NO ☐N/A	E	
45. How long does your agency maintain accounting records? Click here to enter text.		C	
46. How do you assure that grant dollars are spent efficiently throughout the year to minimize grant balances at the end of the year? Who is the individual responsible for this? Click here to enter text.		C	
47. What staff positions are responsible for approving expenditures made under the grant? Provide position title(s) and job description(s). Click here to enter text.		E	
48. How do you ensure if grant purchases are reasonable, allowable and allocable? Click here to enter text.		C	
49. Were any personnel costs (salary, benefits) charged to this grant?	☐YES ☐NO ☐N/A	C	
50. Were there any personnel charged to this grant that worked on multiple cost objectives? a) Was a distribution of their salary or wages supported by personnel activity reports (PARs)? b) Do these PARs reflect an after-the-fact distribution of the actual activity of each employee?	☐YES ☐NO ☐N/A ☐YES ☐NO ☐N/A ☐YES ☐NO ☐N/A	C	
51. Does personnel work on single activities or cost objectives? a) Was a semi-annual certification completed for all of these employees? If yes, please attach documentation.	☐YES ☐NO ☐N/A ☐YES ☐NO ☐N/A	C	
52. Provide sample time and effort reports for one (1) month. (month to be determined by team lead)		C	

		Effectiveness Or Compliance	FDOE Use Only
53. Do you have any purchase service contracts? If yes, provide a list. Click here to enter text.	☐YES ☐NO ☐N/A	E	
54. Explain the procurement procedures for contracting of goods or services using grant funds. (if applicable) Click here to enter text.		C	
55. 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	

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: Adult Education and Family Literacy Act of 2014, Section 202

56. Do you have articulation agreements with any postsecondary institution(s)? If yes, please explain and provide documentation. Click here to enter text.	☐YES ☐NO ☐N/A	C
57. Do you have internship programs with local businesses and industries? If yes, provide a list of internships offered. Click here to enter text.	☐YES ☐NO ☐N/A	E
58. Are you involved with CareerSource of Florida? If yes, explain your relationship. Click here to enter text.	☐YES ☐NO ☐N/A	C
59. Do you offer dual enrollment? If yes, please explain and provide a list of locations. Click here to enter text.	☐YES ☐NO ☐N/A	C
60. Are you in partnership with any businesses in your local community?	☐YES ☐NO ☐N/A	E
61. Do you have any unique programs or partnerships with any educational institutions in the area? If yes, please explain. Click here to enter text.	☐YES ☐NO ☐N/A	E

FLORIDA DEPARTMENT OF EDUCATION
DESK MONITORING REVIEW CERTIFICATION

Please return to: Florida Department of Education Career and Adult Education Compliance Office, Room 720 325 West Gaines Street Tallahassee, FL 32399-0400 Telephone: (850) 245-9031	**FDOE USE ONLY** **Date Received: STAMP HERE**
Name and Address of Agency: Click here to enter text. Click here to enter text. Click here to enter text.	**Project(s) Number (FDOE Assigned):** Click here to enter text.

Applicant Contact & Business Information	
Contact Name: Click here to enter text.	Telephone Number: Click here to enter text.
Mailing Address: Click here to enter text. Click here to enter text. Click here to enter text.	Email Addresses: Click here to enter text.
	DUNS number: Click here to enter text. FEIN number: Click here to enter text.

CERTIFICATION

I, Click here to enter text. , as the official, do hereby certify that all facts, figures, and representations made in this Desk Monitoring Review are true, correct, and consistent with the statement of general assurances and specific programmatic assurances for this grant. I am aware that any false, fictitious or fraudulent information or the omission of any material fact may subject me to criminal, or administrative penalties for the false statement, false claims or otherwise.

_____ _____ _____
     Signature Agency Head   Title   Date

******FOR FDOE USE ONLY*****

COMMENTS / NOTES / DOCUMENTS PROVIDED

DATE MONITORING PACKET RECEIVED FROM SUBRECIPIENT: _____

DATE FINAL REPORT COMPLETED   _____

FDOE Team Lead Signature   _____

QUICK REFERENCE GUIDE
View FDOE website: http://fldoe.org/academics/career-adult-edu/compliance

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

ADMINSTRATION

☐ Satellite sites where Adult Education services are provided

DATA AND ASSESSMENT

☐ Data Policy and Procedures (local)
☐ Position Descriptions for Data Assessment employees
☐ Blank student registration form

CURRICULUM AND INSTRUCTION

☐ Sample lesson plan

TECHNOLOGY AND EQUIPMENT

☐ Inventory of Equipment
☐ Technology Plan

FINANCIAL MANAGEMENT

☐ General Ledger or Financial Spreadsheet for **FIRST** expenditure
☐ Purchasing Policies and Procedures
☐ FIRST expenditure backup documentation (maximum 2 samples)
   • Invoices
   • Purchase Card Documentation
   • Sample of Travel Documentation (from requisition to payment)
   • Cancelled Checks
   • Payroll documents
☐ Sample of Time and Effort reports (as it pertains to the Allowable Cost Attachment)
   • Personnel Activity Reports (PARS) for split funded employees
   • Certifications (100%) for employees paid from one source
☐ Fiscal/Allowable Cost Protocol