FALL 2017 Provider Training

Quality Assurance and Compliance Monitoring

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Fall 2017 Provider Training Webinar

September 5, 2017
10:00 AM – 12:00 PM (EST)

Webinar registration link:
www.gotomeeting.com/webinar/homepage

Call number: 1-888-670-3525

Participant Access Code: 4632608161 then press #
Please minimize background noise during the webinar.

• Please keep your phone on mute to listen to the webinar. This eliminates background noise and discussions from disrupting the webinar.
• If your phone does not have a mute button, press *6
• Press *5 to enter conference mode, unlock call at end of presentation.
FACILITATOR

Tashi Williams, Compliance Director
Quality Assurance and Compliance Section
Division of Career and Adult Education
850-245-9033
Objectives of Webinar

To provide participants with information regarding grant program monitoring scheduled for Fiscal Year 2017-18
Fiscal Years and Programs Monitored

- Fiscal Years (FY) monitored:
  - 2015-16, 2016-17 and 2017-18

- Grant Programs to be monitored:
  - Adult Education (AE)
  - Carl D. Perkins (CTE)
Topics to be Covered on the Webinar

• Regulatory requirements
• Why do we monitor?
• What is our way of work?
• Enhancements to the Risk Assessment
• How do we select agencies to monitor?
• Agencies selected for fall 2017 monitoring
• Monitoring strategies and areas of focus
• Pre-visit, on-site, and post-visit
• Items to have available for review
• Program of Study Requirement
• Post-visit monitoring report
• Examples of findings and concerns found during monitoring review
• General Q & A

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Regulatory Requirements

• Federal and state requirement
  o 2 C.F.R. Part 200, Uniform Grant Guidance (link below)
    http://www.ecfr.gov/cgi-bin/text-idx?SID=704835d27377ef5213a51c149de40cab&node=2:1.1.2.2.1&rgn=div5

• 2 C.F.R. Part 200.61 and 200.62 (Internal Controls)
Policies and Procedures that Must be in Writing

- Conflict of Interest
- Fraud
- Travel
- Inventory/equipment
- Procurement
- Allowability
- Gratuity
- Cash Management
Why Do We Monitor?

• Opportunity for needed corrections
• Continuous improvement and positive changes
• Recognition
What is Our Way of Work?

Implementation of a risk-based system that is:

• Based on project risk
• Collaborative in nature;
• Recognizes positive practices;
• Identifies findings and concerns related to program quality and compliance; and,
• Supports systemic and continuous program improvement
Risk Assessment Factors 2017-18

Risk Matrix – Operational Risk Factors (Metrics)
• Last monitoring review*
• Number of grants
• Total amount of agency funding
• Number of grant funds remaining
• Perkins Program Improvement Plan (PIP)
• Audit/monitoring findings
• Change in director

* Denotes new data element as of 2017-2018
2017-18 Risk Assessment Process

- Risk score divided into quartiles
- Balanced weight between data elements

<table>
<thead>
<tr>
<th>Risk Category</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Upper Quartile/Higher</td>
<td>7</td>
</tr>
<tr>
<td>Upper Middle</td>
<td>5</td>
</tr>
<tr>
<td>Lower Middle</td>
<td>3</td>
</tr>
<tr>
<td>Lower Quartile</td>
<td>1</td>
</tr>
<tr>
<td>Zero</td>
<td>0</td>
</tr>
</tbody>
</table>
2017-18 Risk Assessment Process Continued

Calculation of the Risk Score:

• Point Value Assigned X Weight = Total Metric Point

• Sum of all Metric Points = Agency Risk Score
### (Sample) Risk Matrix for Colleges, Districts, Non-College/Non-District Receiving Carl D. Perkins Grants

**Agency Name:** Sunshine State College  
**Target Year:** 2015-2016 (Monitoring Year 2017-2018)

<table>
<thead>
<tr>
<th>Metric</th>
<th>Scaling</th>
<th>Point Value</th>
<th>Point Value Assigned (PVA)</th>
<th>Weight</th>
<th>Total Metric Points (PVA X Weight)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of Years Since the Agency Was Last Monitored</td>
<td>7 or more years</td>
<td>7</td>
<td>5</td>
<td>X 10</td>
<td>50</td>
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<tr>
<td></td>
<td>5-6 Years</td>
<td>5</td>
<td></td>
<td></td>
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<td></td>
<td>3-4 Years</td>
<td>3</td>
<td></td>
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</tr>
<tr>
<td></td>
<td>0-2 Years</td>
<td>1</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Budget for all Perkins Grants Combined</td>
<td>Upper Quartile</td>
<td>7</td>
<td>5</td>
<td>X 8</td>
<td>40</td>
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<tr>
<td></td>
<td>Upper Middle</td>
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<tr>
<td></td>
<td>Lower Quartile</td>
<td>1</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Number of Perkins Grants</td>
<td>4+</td>
<td>7</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>3</td>
<td>5</td>
<td>7</td>
<td>X 8</td>
<td>56</td>
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<td>2</td>
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<td></td>
<td></td>
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<tr>
<td></td>
<td>1</td>
<td>1</td>
<td></td>
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<tr>
<td>3-year Perkins Improvement Plan (PIP) Index</td>
<td>7.50 – 10.00</td>
<td>7</td>
<td>0</td>
<td>X 8</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>5.00 – 7.49</td>
<td>5</td>
<td></td>
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<td>2.50 – 4.99</td>
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<tr>
<td>Agency CTE Program Director Change from Previous Fiscal Year</td>
<td>Yes</td>
<td>7</td>
<td>7</td>
<td>X 6</td>
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<tr>
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<tr>
<td>Unexpended Funds from all Perkins Grants Combined</td>
<td>Upper Quartile</td>
<td>7</td>
<td>1</td>
<td>X 4</td>
<td>4</td>
</tr>
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<td>Upper Middle</td>
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<td>Lower Middle</td>
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<td></td>
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<tr>
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<td>0</td>
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<tr>
<td># OAG Audit Findings</td>
<td>Upper Quartile</td>
<td>7</td>
<td>3</td>
<td>X 4</td>
<td>12</td>
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<td></td>
<td>Upper Middle</td>
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<tr>
<td></td>
<td>0</td>
<td>0</td>
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</tr>
</tbody>
</table>

**Agency RISK Score:** 204
Risk Assessment Process

• 2015-16 grant data was used for risk calculations
• Monitoring will address grants from 2015-16 through 2017-18
• Additional programs in the geographical area may also be reviewed/monitored
Provider Selection 2017-18

• Agencies with the highest risk matrix may be targeted for monitoring
• Monitor both CTE and AE
• Various monitoring strategies are implemented
Quality Assurance

Fall 2017 targeted providers for on-site monitoring:

- Walton County School District
- Lake County School District
- Lake Sumter College
- Suwanee County School District
- Florida Gateway College
- Charlotte County School District
- Gulf Coast Technical College
Monitoring Process

• Pre-visit, on-site and post-visit activities
• Records and data reviews (all phases)
• Interviews
  o Phone calls, emails
  o Referrals
• Resolution Plans:
  o Corrective Action Plans (Findings)
  o Action Plan (Concerns)
Pre-visit Activities

• Notification (personal and correspondence)
• Webinar training for providers
• Team leader coordination
• Coordination with DOE Team Leader:
  o Confirmation of agency contact (preferably one designee per agency for AE and CTE programs)
  o Coordination and communication with DOE team leader
  o Develop site visit schedule for inventory (onsite)
  o Submit Program of Study Materials as requested
Information Required

- Organizational chart
- List of administrative staff with duties relevant to these grants; including location and contact numbers
- If available, a map of the district/college indicating locations of program sites
- List of all AE and/or CTE program sites including:
  - Name, address, and zip code
  - Principal/Dean/Director name and phone number
  - Hours of operation
- Agency’s list of documents (AE and CTE related) that are required to be contained in a student’s record
On-site Activities

• Entrance Conference – 1 hour maximum
  o Provider presentations optional
  o Discussion of monitoring
• Interviews
  o Administrators
  o Staff/Faculty if needed
• Records Review (2015-16, 2016-17 and 2017-18):
  o Student
  o Finance
  o Personnel
  o Data
On-site Activities - continued

• Equipment Inventory
  o According to EDGAR specifications – (2015-16 through 2017-18 grants)
  o According to the Uniform Grant Guidance (UGG) –
    The final rule implementing the UGG was published in the Federal Register on December 19, 2014, and became effective for new and continuation awards issued on or after December 26, 2014.

• Perkins Program Improvement Plans (if applicable)
• Programs of Study Conference Call
• Exit conference
Have Available on the First Day (on-site)...

- Access to records for:
  - FY 2015-16
  - FY 2016-17
  - FY 2017-18
- Policy/handbook for employees
- **PLEASE DO NOT MAKE COPIES!**
- Handbooks and materials for students (include student enrollment packet)
- Attendance policies
- Recruitment efforts
- General policies and procedures
- Governing board and advisory committee(s) related documents (may be a procedures manual)
First Day - continued

• Recruitment activities and materials for agency’s programs
• Financial policies and procedures including those related to purchasing and procurement of contractual services, equipment and supplies
• Travel and purchasing records
• Local data procedures
• An **inventory of equipment** purchased with the grant funds, **by site**
• **Maps** to each AE and/or CTE location
• Staff to alert to our visit:
  o Finance Director
  o MIS Director/Institutional Research
  o Staff involved with the 2015-16 Program of Study
  o Other appropriate administrator(s) or principal(s)
• **P.S. We pay for our own food and drink!**
Inventory Guidelines

The following elements are required on the inventory of all equipment purchased.

2 C.F.R. 200, Uniform Grant Guidance, 200.313 Equipment: Property records must be maintained that include:

- Description of Property
- Serial Number/ID Number
- The source of the funding
- Title Holder
- Acquisition Date
- Cost of Property
- Percentage of Federal Participation
- Location of Property
- Use and Condition of Property
- Sale Price
- Date of Disposal
### Sample Property Inventory List

<table>
<thead>
<tr>
<th>Serial Number/ID Number</th>
<th>Description of Property</th>
<th>Source of Funding</th>
<th>Title Holder</th>
<th>Acquisition Date</th>
<th>Cost of Property</th>
<th>Sale Price</th>
<th>Manufacturer</th>
<th>Location of Property/Room</th>
<th>Date of Disposal</th>
</tr>
</thead>
<tbody>
<tr>
<td>F415661D9HD4</td>
<td>COMPUTER IMAC 27&quot;</td>
<td>ADULT BASIC</td>
<td>JOHN STEWART</td>
<td>05/30/15</td>
<td>$4,534.21</td>
<td>N/A</td>
<td>APPLE</td>
<td>456</td>
<td>N/A</td>
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<tr>
<td>F45892S3589</td>
<td>6 BURNER GAS RANGE</td>
<td>CARL PERKINS</td>
<td>PAMELA BROWN</td>
<td>08/05/14</td>
<td>$5,423.54</td>
<td>$4,562.01</td>
<td>US RANGE GARLAND</td>
<td>125</td>
<td>2/15/2016</td>
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<tr>
<td>S6D3356V23</td>
<td>WARMING CABINET</td>
<td>CARL PERKINS</td>
<td>MARIE OLIVER</td>
<td>05/18/15</td>
<td>$245.21</td>
<td>N/A</td>
<td>VULCAN</td>
<td>124</td>
<td>N/A</td>
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<tr>
<td>FG541S226</td>
<td>STORAGE CABINET</td>
<td>ADULT BASIC</td>
<td>STEPHEN GRAY</td>
<td>06/24/15</td>
<td>$4,587.23</td>
<td>$1,542.25</td>
<td>GMI</td>
<td>163</td>
<td>N/A</td>
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<tr>
<td>F5G665623SD</td>
<td>DRONE HELICOPTER</td>
<td>ADULT BASIC</td>
<td>LYLE GOLDEN</td>
<td>06/08/16</td>
<td>$451.24</td>
<td>N/A</td>
<td>DJI</td>
<td>214</td>
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<td>465.54L56</td>
<td>COMPUTER IMAC 27&quot;</td>
<td>CARL PERKINS</td>
<td>JAMES HARRIS</td>
<td>08/07/13</td>
<td>$5,685.51</td>
<td>N/A</td>
<td>APPLE</td>
<td>321</td>
<td>5/30/2015</td>
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<tr>
<td>298556</td>
<td>TABLE W/ WHEELS</td>
<td>CARL PERKINS</td>
<td>MICHAEL JONES</td>
<td>10/15/13</td>
<td>$4,876.55</td>
<td>$3,453.25</td>
<td>EAGLE GROUP</td>
<td>325</td>
<td>12/7/2015</td>
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<tr>
<td>5545600</td>
<td>WORKING TABLE</td>
<td>ADULT BASIC</td>
<td>ELIZABETH REYS</td>
<td>12/07/15</td>
<td>$8,756.25</td>
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<td>NONE</td>
<td>PRINTER</td>
<td>ADULT BASIC</td>
<td>JASON BORNE</td>
<td>03/10/15</td>
<td>$5,543.14</td>
<td>N/A</td>
<td>HP</td>
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<tr>
<td>UHKJ554521</td>
<td>MOBILE LAB CHART</td>
<td>CARL PERKINS</td>
<td>VALERIE HODGE</td>
<td>09/21/15</td>
<td>$5,463.24</td>
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<td>87456.45.456</td>
<td>DEEP FRYER</td>
<td>CARL PERKINS</td>
<td>HAROLD WHITE</td>
<td>09/24/13</td>
<td>$2,685.00</td>
<td>$745.25</td>
<td>PITCO</td>
<td>152</td>
<td>4/24/2016</td>
</tr>
</tbody>
</table>
Program of Study

Bruce Harrington
Program of Study Conference Call

• POS Conference call conducted first day of visit

• Conducted by staff of the Federal and State Initiatives (FSI) section of the DCAE

• Prior to call, all relevant agencies will complete the Program of Study section of the protocol and return to your team leader, based on 2015-16 primary POS

• Email sent prior to visit outlining materials needed and suggested stakeholders to be present on call
Program of Study Conference Call

Background Materials for Call

• Copy of Program of Study (POS) Form outlining pathway for students to move from secondary to postsecondary and into the workforce from the 2015-16 Perkins RFA

• Copy of Local Articulation Agreements for this POS

• Responses to Program of Study narrative section of monitoring protocol

• Other materials as requested to validate POS
Program of Study Conference Call

Purpose of Call

• Review aspects of the agency’s primary 2015-16 Program of Study (POS) from that year to present

• Address questions or need for further information based on submitted responses to POS narrative section of monitoring protocol

• By discussing this particular POS, also hope to gain an understanding of the processes in place at your agency for identification, development, implementation and review of your POS
FSI Program of Study Team Members

Bruce Harrington, Director
Federal and State Initiatives (FSI)
850-245-0949

Cathy Hammond
Heather Conley
Post-visit Activities

Tashi Williams
Post-visit Activities

• Thank you letters & evaluation survey

• Monitoring Report
  o Preliminary Draft – sent to director for feedback
  o Final Report - sent to agency head and director

• Resolution activities
  o Corrective Action Plan – for Findings
  o Action Plan – for Concerns
  o Follow-up communication

• Closure letter
Monitoring Report

Areas of Focus:

- Administration
- Data
- Curriculum and Instruction
- Financial
- Records Review
- Programs of Study
- Technology and Equipment
- Collaboration
Common Findings Discovered in Onsite Monitoring Visits to Agencies

• Lack of Advisory Committee in CTE programs
  o Absence of statements
  o Lack of advisory committee implementation and involvement
  o Lack of business and industry relationships with programs and parental involvement

• Safety and Security findings
  Authority/Law: Life Safety Code 101 (includes schools and colleges), Florida Fire Prevention Code, National Fire Protection Association 1 (NFPA1) - Chapter 60 and 66
  o Exposed wires and extension cords
  o Safety rules not posted (e.g., auto, welding)
  o Lack of ramp for wheelchair accessibility
Common Findings, continued

• Property inventory findings
  Authority/Law: 2 C.F.R. 200, Uniform Grant Guidance, 200.313
  Equipment and EDGAR, Section 80.32 Equipment, (d) (1)
  o Incomplete or lack of inventory for equipment
  o Property not properly tagged
  o Lack of procedures for properly disposing certain inventory items

• Procurement findings
  Authority/Law: 34 CFR 80.36(b) – Procurement Standards
  o Lack of policies and procedures for contracting and/or purchasing goods and services
  o Timesheets were not signed by the employee or the supervisor
  o Executive director approved his/her own travel authorization forms
  o Several checks exceeded $10,000 and were signed only by the executive director
Common Findings, continued

• Inadequate data quality/reporting findings
  Authority/Law: Proviso language in the annual General Appropriations Act Workforce Education, Aid to Local Governments Workforce Development from General Revenue Fund
  o Lack of timely and accurate reporting of Workforce Development Information System (WDIS) data
  o Over-reporting of instructional hours

• Student records findings
  o Student records were not accessible to compliance team
Common Concerns

• Last minute spending...students must benefit
• No staff development plans
• No leadership succession plans
• Lack of coordination among MIS/data, program and financial professionals
• Outdated policies and procedures
Common Concerns - continued

- Lack of attention to off-site location resource needs
- Websites out-of-date
Common Best Practices Discovered in Onsite Monitoring Visits to Agencies

• Innovative uses of technology
• Continued collaboration with business and industry
Monitoring Reports

• Monitoring reports are available online:
  http://fldoe.org/academics/career-adult-edu/compliance
Tools and Resources

• Carl D. Perkins Career and Technical Education Improvement Act of 2006

• Workforce Innovation and Opportunity Act of 2014
  http://www.doleta.gov/WIOA/

• Education Department General Administrative Requirements (EDGAR)
Tools and Resources - continued

• Federal Uniform Grant Guidance (Uniform Administrative Requirements, Cost Principles, and Audit Requirement for Federal Awards)
  
  https://www.federalregister.gov/articles/2013/12/26/2013-30465/uniform-administrative-requirements-cost-principles-and-audit-requirements-for-federal-awards

• Florida Department of Education, Quality Assurance and Compliance
  
  http://fldoe.org/academics/career-adult-edu/compliance

• Florida Department of Education “Green Book”
  
  http://www.fldoe.org/finance/contracts-grants-procurement/grants-management
Quality Assurance and Compliance Team

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Rod Duckworth, Chancellor
Division of Career and Adult Education
Gloria Spradley-Brown, Chief
Bureau of Grants Administration and Compliance
[ Q & A]

We welcome your comments, feedback, and suggestions
Thank you!

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