



FLORIDA DEPARTMENT OF  
**EDUCATION**

CAREER AND ADULT EDUCATION

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

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

**September 6 – October 19, 2023**

**Final Report**

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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 (Department), Division of Career and Adult Education (Division), in carrying out its roles of leadership, resource allocation, technical assistance, monitoring and evaluation, oversees 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 for Career and Technical Education (CTE) under the Carl D. Perkins (Perkins) Strengthening Career and Technical Education for the 21<sup>st</sup> Century Act, and for Adult Education (AE) under the Workforce Innovation and Opportunity Act 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 and the Uniform Grant Guidance 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).

## **III. QAC CORE MONITORING GUIDE**

The Core Monitoring Guide is intended to be used broadly by any reviewer conducting an onsite or desk monitoring of any program currently administered by the division. The guide provides a summary of each facet of the monitoring design and the process. It also contains objectives that may be used as agencies are monitored or reviewed. 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.

QAC section may apply any specific monitoring strategy to any federal or state-funded provider at any time. Some circumstances 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 virtual desk monitor review (VDMR). A notification was sent to Mary Keen, President, ACE of Florida Foundation on September 11, 2023. The designated representative for the agency was Ms. Julie Roberts, Executive Director, ACE of Florida Foundation.

The review for the agency was conducted September 12- October 19, 2023. The representative of the division present during the review was program specialist Mr. Charles Davis 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 2020-21, 2021-22 and 2022-23:

**Finance**

**FY 2020-21**

<u>Grants</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended</u>
Adult Education State Leadership	91W-1921B-1PL01	\$ 1,018,569.00	\$ 87,073.77

**FY 2021-22**

<u>Grants</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended</u>
Adult Education State Leadership	91W-1922B-2PL01	\$ 628,505.00	\$167,955.91

**FY 2022-23**

<u>Grants</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended</u>
Adult Education State Leadership	91W-1923B-3PL01	\$ 426,538.00	\$ 102,257.32

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-review planning, an entrance and exit meeting, a records review, an inventory review (if applicable), and interviews with administrators.

**Entrance and Exit Conferences**

The entrance conference for ACE was conducted on September 12, 2023. The exit conference was conducted on October 19, 2023. The participants are listed below:

<b>Name</b>	<b>Title</b>	<b>Entrance Conference</b>	<b>Exit Conference</b>
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Julie Roberts	Executive Director, Ace of Florida Foundation	X	X
<b>FDOE Monitoring Team</b>			
Charles Davis	Program Specialist, QAC, FDOE	X	X

Interviews

No interviews were required as part of the VDMR. ACE submitted thorough and qualitative documentation and records via the FDOE ShareFile.

Records Review

Program, financial and administrative 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. Observation**

- A. **ADMINISTRATION** refers to the management and/or supervision of programs, 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** refer 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 its inventory, tags equipment and utilizes a sign-out sheet if the equipment is removed from its location.
  - There are no reports of lost or stolen equipment.
- C. **EQUAL ACCESS** refers to compliance with the requirements of federal non-discrimination laws’ requirements relating to recruitment, enrollment, participation and completion of programs.
- ACE included the necessary policies required by the General Education Provisions Act, which ensures equal access and participation in programs regardless of sex, race, national origin, color, disability or age.
- 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.

Items reviewed during the OSMR included, but were not limited to:

- ACE operational and financial policies and procedures
- 2020-21, 2021-22, 2022-23 quarterly deliverables submitted to the Department

- Training schedules, records and resources
- Travel documentation
- Inventory records
- Calendar of statewide training events
- The completed VDMR Core Activities
- Time and Effort 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. RESULTS

ACE was not found to be out of compliance. All items reviewed were compliant in accordance with applicable local, state and federal laws and/or policies and procedures.

## IX. SUMMARY

Once the monitoring review is completed, including receipt of additional requested information when applicable, a preliminary report is forwarded to the provider for review. Comments are accepted and will be considered at the discretion of the FDOE monitoring team lead. Once the final report is approved, it will be forwarded to the agency head with a copy sent to the provider's designated contact person. The final report will be posted on the department's website at the following address:  
<http://fldoe.org/academics/career-adult-edu/compliance>.

Finally, the Division issues a closure letter to the agency head and designated contact person. This letter indicates that all outstanding corrective action plan items have been completed, when applicable, and that no further action is required. This letter will officially end your monitoring process.

The monitoring team extends its appreciation to all participants of the ACE monitoring review on behalf of the department. Special thanks are offered to Ms. Julie Roberts for her participation and leadership during this process.

## APPENDIX A

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

<b>Risk Scores Matrix for a Non-College or Non-School District Receiving Adult Education (AE) Grants</b>					
Agency Name: ACE OF FLORIDA FOUNDATION Program Type: AE Monitoring Year: 2023-2024					
Metric	Scaling	Point Value	Points Assigned	Weight	Total Metric Points
<b>Number of Years Since Last Monitored</b>	7 or More Years	7	<b>3</b>	<u>X 10</u>	<b>30</b>
	5-6	5			
	3-4	3			
	0-2	1			
<b>Total Budget for all Adult Education Grants Combined</b>	Upper Quartile	7	<b>3</b>	<u>X 8</u>	<b>24</b>
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
<b>Number of Adult Education Grants</b>	4 or More	7	<b>1</b>	<u>X 8</u>	<b>8</b>
	3	5			
	2	3			
	1	1			
	No	0			
<b>Agency Adult Education Program Director Change from Previous Fiscal Year</b>	Yes	7	<b>0</b>	<u>X 6</u>	<b>0</b>
	No	0			
<b>Unexpended Funds from all Adult Education Grants Combined</b>	Upper Quartile	7	<b>7</b>	<u>X 4</u>	<b>28</b>
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
<b>Adult Education Program Improvement Plan (AEP/IP)</b>	Target Not Met on 3 of 3 Indicators	5	<b>0</b>	<u>X 6</u>	<b>0</b>
	Target Not Met on 2 of 3 Indicators	3			
	Target Not Met on 1 of 3 Indicators	1			
	All Targets Met	0			
<b>AGENCY RISK SCORE:</b>					<b>90</b>

Data sources used for calculations: Prior to July 1, 2022



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