



# Spring 2018 Provider Training

Quality Assurance and Compliance Desk Monitoring Review for  
Carl D. Perkins Career and Technical Student Organizations



FLORIDA DEPARTMENT OF  
**EDUCATION**  
fldoe.org

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# Spring 2018 Provider Training Webinar

Date: December 7, 2017

Time: 2:00 PM – 3:00 PM

Webinar registration link:

[www.gotomeeting.com/webinar/homepage](http://www.gotomeeting.com/webinar/homepage)

Call number: 1-888-670-3525

Participant Access Code: 4632608161 then press #

# **Please minimize background noise during the webinar.**

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- If your phone does not have a mute button, press \*6
- Press \*6 to unmute

# **FACILITATOR**

Michael Swift, Program Specialist IV

Quality Assurance and Compliance Section  
Division of Career and Adult Education  
850-245-9051

# Objectives of Webinar

To provide eligible recipients with information regarding Carl D. Perkins Career and Technical Student Organization (CTSO) Federal Grant program desk monitoring review requirements.



# Fiscal Years and Programs Monitored

- Fiscal Years (FY) monitored:
  - 2015-16, 2016-17 and 2017-18
- Grant Program to be monitored:
  - Carl D. Perkins (Perkins) Career and Technical Education(CTE) for CTSOs

# Topics to be Covered

- Regulatory Requirements
- Risk Assessment Elements
- Stages of the process
  - Pre Monitoring
  - Desk Monitoring
  - Post Monitoring
- Tools and Resources
- General Q & A

# Regulatory Requirements

- Federal requirement
  - 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

## Risk Assessment Elements

- Risk Matrix – Operational Risk Factors (Metrics)
  - Total Perkins budget
  - Number of grants
  - Change in director
  - Grant funds remaining
  - Last monitored
- 2015-16 grant data was used for risk calculations

**(Sample) Risk Scores Matrix for CTSOs Receiving Career and Technical Education (CTE) Carl D. Perkins Grants**

**Agency name: Career and Technical Students of America**

**Target Year: 2015-2016 (Monitoring Year 2017-2018)**

Metric	Scaling	Point Value	Points Assigned	Weight	Total Metric Points
<b>*Last Monitored</b>	7 years or more	7	7	X10	70
	5 – 6 years	5			
	3 – 4 years	3			
	0 – 2 years	1			
<b>Total Perkins Budget Allocated Value</b>	Upper Quartile	7	7	X 10	70
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
<b># Perkins Grants Value</b>	4+	7	1	X 8	8
	3	5			
	2	3			
	1	1			
	0	0			
<b>Perkins Director Change Value</b>	Yes	7	0	X 6	0
	No	0			
<b>Perkins Funds Remaining Point Value</b>	Upper Quartile	7	0	X 4	0
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
<b>AGENCY RISK SCORE:</b>					<b>148</b>

## Stages of the Process

- Pre Monitoring
- Desk Monitoring
- Post Monitoring

# Pre Monitoring

## Provider selection

- Agencies with the highest risk scores may be targeted for monitoring

## Spring 2018 targeted provider for desk monitoring review:

- Florida Future Business Leaders of America-Phi Beta Lambda, Inc.

## Previously monitored (Fall 2017) providers include:

- Florida Business Professionals of America, Inc.

## Pre Monitoring cont'd

### Notification and correspondence

- Notification memo sent to the CTSO
- Provider training webinar
- Coordination between the FDOE team leader and the provider's designated contact
- Timeline of events to complete the Desk Monitoring Review instrument

### Desk Monitoring Review instrument

- Topics to be discussed within the instrument
  - Administration, Financial Management and Scope of Work
- Instructions for completing the Desk Monitoring Review

## Pre Monitoring cont'd

### Information to be submitted

- Pre monitoring
  - Organizational chart
  - Most recent copy of board policies, procedures and bylaws
- Have available upon request
  - Employee position description and handbook
  - Student handbook and membership information
  - Student registration forms
  - Financial policies and procedures
  - Recruitment and outreach plans, brochures and literature
  - Roster of board members
  - Travel documents such as hotel contracts and purchasing card documentation



# Desk Monitoring

## **Review of SIGNED and completed Desk Monitoring Review instrument**

- Provider returns the completed Desk Monitoring Review packet with the required documentation for all questions

## **Receipt and review of requested items**

- Assessment of any items that were returned with the Desk Monitoring Review instrument
- Clarification and/or additional requests for documentation

## **Verification of the agencies quarterly deliverables**

- Scope of work and the grant activity report

# Post Monitoring

## Exit conference call

- Telephone exit conference
- Thank you letter and survey

## Preliminary draft, final report and resolution plan (if required)

- Preliminary draft
  - Timeline
  - Corrective Action Plan – for Findings
  - Opportunity for provider to review the draft and recommend changes
- Final report
  - Final report is approved by FDOE, submitted to the organization head and posted online

## Post Monitoring cont'd

### Closure letter

- Issued once all outstanding resolution items have been completed (if applicable)

## Tools and Resources

- Monitoring reports are available online (including non-desktop reports):  
<http://fldoe.org/academics/career-adult-edu/compliance>
- Florida Department of Education, Quality Assurance and Compliance  
<http://fldoe.org/academics/career-adult-edu/compliance>
- Education Department General Administrative Requirements (EDGAR)  
<http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>
- Carl D. Perkins Career and Technical Education Improvement Act of 2006  
[http://fldoe.org/core/fileparse.php/3/urlt/perkins\\_iv\\_text.pdf](http://fldoe.org/core/fileparse.php/3/urlt/perkins_iv_text.pdf)

## Tools and Resources cont'd

- 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 “Green Book”

<http://www.fldoe.org/finance/contracts-grants-procurement/grants-management>

# Quality Assurance and Compliance Team

LaStacia Spencer – (850) 245-9036

Michael Swift – (850) 245-9051

Christine Walsh – (850) 245-9056

Rod Duckworth, Chancellor

Division of Career and Adult Education

Gloria Spradley-Brown, Chief

Bureau of Grants Administration and Compliance

Tashi Williams, Director

Quality Assurance and Compliance

## [ Q & A ]

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





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