Spring 2018 Provider Training

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

www.FLDOE.org
Spring 2018 Provider Training Webinar

Date: December 7, 2017
Time: 2:00 PM – 3:00 PM

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 *6 to unmute
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:
  o 2015-16, 2016-17 and 2017-18

• Grant Program to be monitored:
  o 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
  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
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)

<table>
<thead>
<tr>
<th>Metric</th>
<th>Scaling</th>
<th>Point Value</th>
<th>Points Assigned</th>
<th>Weight</th>
<th>Total Metric Points</th>
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</thead>
<tbody>
<tr>
<td>*Last Monitored</td>
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<td></td>
<td></td>
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<tr>
<td>7 years or more</td>
<td></td>
<td>7</td>
<td>7</td>
<td>X10</td>
<td>70</td>
</tr>
<tr>
<td>5 – 6 years</td>
<td></td>
<td>5</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>3 – 4 years</td>
<td></td>
<td>3</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>0 – 2 years</td>
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<td>1</td>
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<tr>
<td>Total Perkins Budget Allocated Value</td>
<td>Upper Quartile</td>
<td>7</td>
<td>7</td>
<td>X10</td>
<td>70</td>
</tr>
<tr>
<td></td>
<td>Upper Middle</td>
<td>5</td>
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<tr>
<td></td>
<td>Lower Middle</td>
<td>3</td>
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<td>Lower Quartile</td>
<td>1</td>
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<tr>
<td># Perkins Grants Value</td>
<td>4+</td>
<td>7</td>
<td>1</td>
<td>X8</td>
<td>8</td>
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<tr>
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<td>3</td>
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<td>2</td>
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<tr>
<td>Perkins Director Change Value</td>
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<td>7</td>
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<td>X6</td>
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<tr>
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<td>No</td>
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<td>Perkins Funds Remaining Point Value</td>
<td>Upper Quartile</td>
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<td>Lower Middle</td>
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<td>Lower Quartile</td>
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<td>0</td>
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</tbody>
</table>

**AGENCY RISK SCORE:** 148
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
  o Administration, Financial Management and Scope of Work
• Instructions for completing the Desk Monitoring Review
Pre Monitoring cont’d

Information to be submitted

• Pre monitoring
  o Organizational chart
  o Most recent copy of board policies, procedures and bylaws
• Have available upon request
  o Employee position description and handbook
  o Student handbook and membership information
  o Student registration forms
  o Financial policies and procedures
  o Recruitment and outreach plans, brochures and literature
  o Roster of board members
  o 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

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!