



FLORIDA DEPARTMENT OF
EDUCATION
fldoe.org

Quality Assurance and Compliance

Desk Monitoring Review for Career and Technical Student Organization Grants

NAME OF AGENCY HERE

Quality Assurance and Compliance Team

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INTRODUCTION

The Florida Department of Education (FLDOE), 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 and compliance section 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 Carl D. Perkins funds and regulatory compliance of eligible recipients on a regular basis.

AUTHORITY

The Florida Department of Education receives federal funding from the United States Department of Education (USDOE) for Career and Technical Education (CTE) under the Carl D. Perkins Career and Technical Education Act of 2006. FLDOE awards sub grants to eligible providers to administer local programs. FLDOE must monitor providers to ensure compliance with federal requirements, including Florida's approved state plans for Career and Adult Education, as specified in the Education Department General Administrative Regulations (EDGAR) 34 CFR § 76.770, the Uniform Grant Guidance (UGG) § 200.328, § 200.501 audit requirements and § 215.86, Florida Statutes.

Section 113 of the Carl D. Perkins Career and Technical Education Act of 2006 (Perkins IV) establishes and supports the development of a state and local accountability system that will assess the effectiveness of the state and local funding recipients in achieving progress in CTE. State-developed performance measures must consist of the core indicators listed below, any additional valid and reliable indicators that the state determines, and the "state adjusted levels of performance" for the indicators. These levels of performance must be expressed in percentage or numerical form and require continual improvement in the performance of CTE students. Information regarding the performance measures must be included in the State Plan. The revised State Plan for Florida is submitted to the U.S. Secretary of Education annually.

QUALITY ASSURANCE POLICIES, PROCEDURES, AND PROTOCOLS

The Quality Assurance Policies, Procedures, and Protocols (PPP) manual was revised in the 2016-17 program year. The manual provides a summary of each facet of the monitoring design and the process. It also contains protocols that may be used as agencies are monitored or reviewed. References may be made to the manual in this document; it is located on the division's website at <http://fldoe.org/academics/career-adult-edu/compliance>.

ELIGIBLE RECIPIENT SELECTION

Various sources of data are used throughout the implementation of the quality assurance and compliance 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 FLDOE 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

FLDOE 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-du/compliance>.

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 applicable).

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 the 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: The Carl Perkins Career and Technical Education Act of 2006, Perkins IV, Section 123 (b), 124 (b)

		Effectiveness Or Compliance	FLDOE Use Only
1. How does your agency track the flow of federal funds as it applies to the operation of your Career and Technical Student Organization (CTSO)? Click here to enter text.		C	
2. Does your agency have staff development? If yes, provide documentation such as a schedule of events, agendas, sign-in sheets, etc.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	E	
3. Is training provided to advisors and guidance counselors on CTE requirements? If yes, provide documentation such as a schedule of events, agendas, sign-in sheets, etc.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	
4. 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.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	
5. Do you ensure that the needs of special populations are being met? If yes, how? Click here to enter text.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	
6. Do you have an advisory committee? a) When was the last time it met? Attach a sample of minutes, agenda, and attendance for your most recent meeting Click here to enter text.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	

FINANCIAL MANAGEMENT

Refers to aspects of federal fiscal requirements that eligible recipients 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. § 200.80, § 200.300, § 200.307 Statutory and National Policy Requirements § 200.331, § 200.338

Please submit a copy of your agency’s general ledger or financial spreadsheet(s). Supporting documentation may be required as requested by the FLDOE team leader, such as purchase orders, invoices, canceled checks, payroll ledgers, dates/descriptions of training, etc.

		Effectiveness Or Compliance	FLDOE Use Only
7. 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.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	
8. Does your agency have a fiscal grant manager assigned to this federal grant project?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	E	
9. How do you ensure all purchases with federal funds are reasonable, allocable, allowable and necessary? Click here to enter text.		C	
10. How do you assure that grant dollars are spent efficiently throughout the year to minimize grant balances at the end of the fiscal year? Click here to enter text.		C	
11. How long does your agency maintain accounting records? Click here to enter text.		C	
12. Do you have any purchase service contracts? If yes, provide a list.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	E	
13. Explain the procurement procedures for contracting of goods or services using grant funds. (if applicable) Click here to enter text.		C	
14. 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.		C	
15. Does your agency have agreements in place to maximize purchasing potential? If yes, please provide these agreements. Click here to enter text.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	
16. How does your agency practice economical purchasing? Click here to enter text.		E	
17. Were any personnel costs (salary, benefits) charged to this grant?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	
18. Were there any personnel charged to this grant that worked on multiple cost objectives?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	
a) Was a distribution of their salary or wages supported by personnel activity reports (PARs)?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A		
b) Do these PARs reflect an after-the-fact distribution of the actual activity of each employee?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A		

		Effectiveness Or Compliance	FLDOE Use Only
19. Does personnel work on single activities or cost objectives? a) Was a semi-annual certification completed for all of these employees? If yes, please provide documentation.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	C	
20. Provide sample time and effort reports for one (1) month. (month to be determined by team leader)		C	

CAREER AND TECHNICAL STUDENT ORGANIZATIONS

Ref
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to student organizations for individuals enrolled in a CTE program that engages in career and technical education activities as an integral part of the CTE program.

Statutory Authority: The Carl Perkins Career and Technical Education Act of 2006, *Perkins IV, Section 124 (c)(4)*

Copies of the requested evidence of acceptable documentation (deliverables) found on pages 6-11 are housed within the Florida Department of Education. Please do not submit any evidence of acceptable documentation (deliverables).

Performance Measures	Minimum Level of Service Task	Evidence of Acceptable Documentation (Deliverables)	Compliance (C)	FLDOE Use Only
1. MEMBERSHIP SERVICES maintenance for the state and national organizations according to the constitution/ bylaws and any other operational guidelines of the CTSO.	1.1 Collect dues, make deposits into CTSO account, and issue receipts for _____ members.	1.1 Documentation of dues collected and deposited, including a recent bank statement.	C	
	1.2 Process _____ membership affiliations and distribute membership items to members.	1.2 Documentation of the type and number of membership items distributed to members.	C	
	1.3 Conduct membership recruitment for the organization as required. List membership goals below: State membership _____ National membership _____ Special needs students _____ Minority students _____	1.3 Documentation of student recruitment activities and the number of students for: a) state, b) national, c) special needs, and d) minority membership	C	
2. FISCAL ACCOUNTS MANAGEMENT for accounting procedures that ensure proper disbursement of CTSO funds.	2.1 Prepare an operating budget for the CTSO program year for the approval of the governing body.	2.1 Submit verification that the operating budget was approved by the Board.	C	

			Compliance (C)	FLDOE Use Only
	2.2 Collect and disburse funds as required to conduct the business and activities of the CTSO as approved by the governing body and submit financial forms accordingly.	2.2 Documentation of receipt and disbursement of grant funds on a final FA399.	C	
	2.3 Maintain the collection and distribution of any scholarship funds, investment accounts, or any other special accounts as approved by the governing body within the established deadlines. Make reports or account documentation available upon request.	2.3 Documentation of scholarship fund, investment accounts, and special accounts established.	C	
3. PARTNERSHIPS of continuing and new partners.	3.1 Contact current business/ education partners to elicit continued support of CTSO activities. Number of continuing partners _____	3.1 Documentation of continued partners.	C	
	3.2 Actively seek _____ new partners.	3.2 Documentation of outreach to seek new partners.	C	
	3.3 Develop and disseminate to perspective partners or interested parties a public relations document which includes information regarding the state and national competitive event winners.	3.3 A copy of the public relations document and documentation of its dissemination.	C	
4. COMMUNICATION with the teachers, students, and other interested stakeholders such as parents, supervisors, principals, career and technical directors, superintendents, legislators, and business and community members.	4.1 Prepare and disseminate information necessary to the effective and efficient operation of the CTSO to each member, school/chapter, appropriate district personnel, and other stakeholders involved with the CTSO, including supervisors and Board of Directors.	4.1 Documentation of mail-outs and materials disseminated.	C	
	4.2 Provide technical assistance/ leadership to stakeholders regarding competitive events, CTSO operational issues, legislative activities or other assistance, as requested.	4.2 Documentation reflecting technical assistance/leadership to stakeholders for competitive events and other issues as requested.	C	

			Compliance (C)	FLDOE Use Only
	4.3 In accordance with the constitution and/or the by-laws, prepare and disseminate newsletters as specified.	Copies of newsletters.	C	
	4.4 Develop and disseminate a calendar of events, activities and deadlines to each member school/chapter, appropriate district personnel and other stakeholders for the program period of July 1, 2014 through June 30, 2015.	4.4 Copy of events calendar.	C	
5. STATE OFFICER ACTIVITIES charged with the responsibility of developing and implementing a plan of work and providing student leadership for the CTSO.	5.1 Coordinate and conduct according to the constitution and by-laws, the election of state officers by providing applications, testing potential candidates, providing election guidelines, and documenting who won the election.	5.1 Documentation of activities, testing, guidelines, and applications of students seeking the position of a state officer and names of the winning candidates.	C	
	5.2 Plan, coordinate, and conduct a leadership training workshop for the state officers prior to their term of office or within the first quarter of their term of office.	5.2 Documentation reflecting the training of all new officers including dates of the term(s) in office.	C	
	5.3 Coordinate the activities of the state officers to include travel arrangements and preparation for workshops, conferences, and other activities as required.	5.3 Documentation of state officer activities	C	
6. LEADERSHIP TRAINING including workshops, conferences, legislative and other activities designed to develop future leaders.	6.1 Plan, coordinate, and conduct leadership activities as specified by the governing board. Number of activities planned _____	6.1 Documentation of number and type of activities planned.	C	
7. COMPETITIVE EVENTS designed to develop and enhance occupational competency. These events are conducted at the district, regional, state, and national levels. The role of the recipient will vary depending on the specific CTSO.	7.1 Encouragement of the participation of students seeking state and national officer positions.	7.1 Documentation of students seeking state and/or national officer positions.	C	

			Compliance (C)	FLDOE Use Only
	<p>7.2 Preparation and dissemination to appropriate parties of a list of Florida students elected to state and national office. Indicate if national election is n/a.</p>	<p>7.2 List of the elected individuals to: a) state office b) national office and documentation of dissemination of lists to appropriate parties.</p>	C	
	<p>7.3 Development of district, state and/or national competitive events.</p>	<p>7.3 Documentation of the development of each competitive event as appropriate.</p>	C	
	<p>7.4a Dissemination of chapter/district competitive event information to appropriate stakeholders in each district by the specified deadlines.</p>	<p>7.4a Documentation of information dissemination about chapter/district competitive events to appropriate stakeholders.</p>	C	
	<p>7.4b Dissemination of state competitive event information to appropriate stakeholders in each district by the specified deadlines.</p>	<p>7.4b Documentation of information dissemination about state competitive events to appropriate stakeholders.</p>	C	
	<p>7.4c Dissemination of national competitive event information to appropriate stakeholders in each district by the specified deadlines.</p>	<p>7.4c Documentation of information dissemination about national competitive events to appropriate stakeholders.</p>	C	
<p>8. STATE LEADERSHIP CONFERENCE as a capstone experience for student members. These conferences generally include a program of competitive events as well as the election of state officers.</p>	<p>8.1 Plan a state leadership/competitive event conference according to the specifications of the CTSO that results in the identified outcomes stated for the state conference. All conference activities shall have the approval of the governing board and competitive events must meet state/national guidelines.</p>	<p>8.1 Documentation of statewide conference planning.</p>	C	

			Compliance (C)	FLDOE Use Only
	8.2 Coordinate, and conduct a state leadership/competitive event conference.	8.2 Documentation of coordination and leadership associated with the state leadership/competitive event conference.	C	
	8.3 Collect registration fees for the state leadership/competitive event conference, compile a registration and mailing list, and deposit registration fees into CTSO account. Student Registration Goal_____	8.3 Documentation of: number of students registered, registration fees collected, amount of each registration, and deposits into the CTSO account. Include a recent bank statement.	C	
9. ACTIVITIES WITH NATIONAL ORGANIZATIONS -- with the exception of Florida Public Service Association, Inc. (FPSA) – affiliated activities.	9.1a By the established deadline, plan state participation in national activities in accordance with the state and national by-laws.	9.1a Documentation of national planning activities.	C	
	9.1b By the established deadline, coordinate state participation in national activities in accordance with the state and national by-laws.	9.1b Documentation of national coordination activities.	C	
	9.2 Attend and participate in national activities in accordance with the state and national by-laws.	9.2 Documentation of national activities attendance and participation	C	
10. BOARD ACTIVITIES of the CTSO governing body responsible for ensuring that the policies and procedures outlined in each CTSO’s constitution and/or bylaws pertaining to the operation of the CTSO are implemented and adhered to. The composition of these governing bodies is addressed in the constitution/bylaws and may consist of teachers, students and/or appropriate stakeholders.	10.1 Plan, coordinate, and implement board meetings as required or requested.	10.1 Documentation of planning, coordinating, and implementation of board meetings.	C	

			Compliance (C)	FLDOE Use Only
	10.2 Maintain written communication with the governing body through the keeping of minutes and notification of board meetings.	10.2 Copy of board meeting minutes.	C	

FLORIDA DEPARTMENT OF EDUCATION DESK MONITORING 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	FLDOE 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 (FLDOE 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 FLDOE USE ONLY*****

COMMENTS / NOTES / DOCUMENTS PROVIDED

DATE MONITORING PACKET RECEIVED FROM SUBRECIPIENT: _____

DATE FINAL REPORT COMPLETED _____

QUICK REFERENCE GUIDE

- View FLDOE website: <http://fldoe.org/academics/career-adult-edu/compliance>

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

ADMINISTRATION

- Policies and Procedures

FINANCIAL MANAGEMENT

- Expenditure Ledger Detail Reports for **FIRST** expenditure
- Procurement policies and procedures for purchasing equipment
- FIRST expenditure backup documentation (maximum 3 samples)
 - Invoices and purchase orders
 - Purchase Card Documentation
 - Sample of Travel Documentation (from requisition to payment)
- A sample of Time and Effort reports
 - Personnel Activity Reports (PARS) for split funded employees
 - Semi- annual certifications for 100% funded employees

CAREER AND STUDENT TECHNICAL ORGANIZATIONS

- Provide any requested documentation