Spring 2019 Provider Training

Quality Assurance and Compliance Desk Monitoring Review for

Carl D. Perkins Career and Technical Student Organizations

FLORIDA DEPARTMENT OF
EDUCATION
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Spring 2019 Provider Training Webinar

Date: December 13, 2018

Time: 2:00 PM – 4:00 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.

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FACILITATOR

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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:
  - 2016-17 , 2017-18 and 2018-19

- 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
- Records Retention

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
- 2016-17 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: 2016-2017 (Monitoring Year 2018-2019)

Metric	Scaling	Point Value	Points Assigned	Weight	Total Metric Points
*Last Monitored	7 years or more	7	7	X10	70
	5 – 6 years	5			
	3 – 4 years	3			
	0 – 2 years	1			
Total Perkins Budget Allocated Value	Upper Quartile	7	**7**	X 10	**70**
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
# Perkins Grants Value	4+	7	**1**	X 8	**8**
	3	5			
	2	3			
	1	1			
	0	0			
Perkins Director Change Value	Yes	7	**0**	X 6	**0**
	No	0			
Perkins Funds Remaining Point Value	Upper Quartile	7	**0**	X 4	**0**
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
				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 2019 targeted providers for desk monitoring review:
- Florida Association and Foundation of the Family, Career and Community Leaders of America (FCCLA), Inc.
- Florida Association of Health Occupations Students of America (HOSA)

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
  - Resolution 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

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

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[Q & A]

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

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