



FLORIDA DEPARTMENT OF
EDUCATION
CAREER AND ADULT EDUCATION

**Quality Assurance and Compliance
Virtual Desk Monitoring Review
for
Career and Technical Education**

Florida Association for Career and Technical
Education

June 14 - 18, 2021

Final Report

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**Florida Association for Career and Technical Education
Career and Technical Education
Quality Assurance and Compliance Monitoring Report**

I. INTRODUCTION

The Florida Department of Education (FDOE), Division of Career and Adult Education (division), 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 Quality Assurance and Compliance (QAC) section is responsible for designing, developing, implementing, and evaluating a comprehensive quality assurance system, 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 (USDOE) for Career and Technical Education (CTE) under the Carl D. Perkins (Perkins) Strengthening Career and Technical Education for the 21st Century Act, and for Adult Education (AE) under the Workforce Innovation and Opportunity Act (WIOA) 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 (EDGAR) and the Uniform Grant Guidance (UGG) 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. QUALITY ASSURANCE CORE MONITORING GUIDE

The Core Monitoring Guide (CMG) 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.

The QAC section may apply any specific monitoring strategy to any federal or state-funded provider at any time. There may be circumstances that may warrant onsite monitoring, desk monitoring review or other strategies regardless of a provider’s risk matrix score.

The monitoring strategy for Florida Association for Career and Technical Education (FACTE) was determined to be a virtual desk monitoring review (VDMR). A notification letter was sent to Martha Compton, president, Florida Association for Career and Technical Education on December 15, 2019. The designated representative for the agency was Marsan Carr.

Due to the timing of FACTE’s monitoring review, their VDMR was postponed because of the COVID 19 pandemic. The postponement resulted in the VDMR being included with the 2020-21 monitoring year.

The representative of the division conducting the VDMR was program specialist, Mr. Michael Swift of the Quality Assurance and Compliance section.

V. FLORIDA ASSOCIATION FOR CAREER AND TECHNICAL EDUCATION

The provider was awarded the following grants for FY’s 2017-18, 2018-19 and 2019-20:

Finance

FY 2017-18

<u>Grants</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended</u>
Perkins Leadership	164-1628A-8PL01	\$ 25,000.00	\$ 0.00
Perkins Special Project	164-1628A-8P001	\$ 165,000.00	\$ 52,703.82

FY 2018-19

<u>Grants</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended</u>
Perkins Leadership	164-1629B-9PL01	\$ 25,000.00	\$ 1,143.84
Perkins Special Project	164-1629B-9P001	\$ 285,000.00	\$106,337.42

FY 2019-20

<u>Grants</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended</u>
Perkins Leadership	164-1620B-0PL01	\$ 25,000.00	\$ 2,193.93
Perkins Special Project	164-1620B-0P001	\$ 406,500.00	\$ 26,406.13

Additional information about the provider may be found at the following web address:

<https://www.facte.org/>

VI. MONITORING ACTIVITIES

The monitoring activities included pre and post-visit planning, an entrance and exit telephone conference, records review and interviews with administrators, if necessary.

Onsite Visits

No onsite visits were made during the VDMR process.

Entrance and Exit Telephone Conferences

An introductory meeting with Marsan Carr took place on June 9, 2021 at FDOE. Electronic communication was provided to Marsan Carr on July 2, 2021 to inform her of the final standing of the monitoring review.

Interviews

The FACTE Executive Director (Marsan Carr) was available via teleconference for interviews, if necessary.

Records Review

Due to the unique nature of the FACTE grants, only the provider's FDOE fiscal protocols and submitted deliverables/supporting documentation were reviewed during the VDMR.

VII. OBSERVATION

- A. **ADMINISTRATION:** refers to the management and/or supervision of programs, structure of programs and services, grant oversight and other administrative areas.
- The FACTE CTE grant is managed by Ms. Marsan Carr, executive director. An office manager and office assistant work alongside Ms. Carr to ensure all aspects of their grant(s) are achieved in a timely and efficient manner. The executive director reports to the FACTE president.
 - The role of the Executive Director includes, but is not limited to: work directly with the Board of Directors; maintain correspondence with other state education agencies; supervise state-wide membership and enrollment; coordinate state conferences and workshops; and work directly with private and public groups with interests in career and technical education. The Executive Director is also the direct contact between FACTE and the FDOE project manager assigned to their federal grants.
 - The president of FACTE, Martha Compton, and the Board of Directors govern the everyday operations across the state. Board meetings are to take place no less than twice per fiscal year.
 - All members of the Board of Directors are expected to participate in the annual state conference, local CTE associations and attend regional/district workshops.
 - The annual Association of Career and Technical Education (ACTE) conference is attended by the President and Executive Director. Other training events sponsored by the national association are also attended by executive leadership. New information attained at the training events and conferences are then disseminated to FACTE board members and state administrators during local training events.
- B. **CURRICULUM AND INSTRUCTION:** refers to those elements that contribute to student learning and skill acquisition.
- FACTE offers CTE professional development and training workshops throughout the State of Florida. All CTE instructors and administrators have the opportunity to join the organization.
 - FDOE requires a specific number of in-person and virtual training events to take place over the course of a given fiscal year. Targeted training events take place, as necessary.
 - There are over 20 professional learning communities (PLC) across Florida that are part of the FACTE network.
 - FACTE bylaws specify that no fewer than six sub-committees will work towards the goal of the association. Individuals on these committees work towards local association chapters, regional workshops, legislative concerns, awards; student organizations and other special projects deemed necessary by the President and Board of Directors.

- C. **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.
- FACTE’s quarterly deliverables for the years 2017-18 and 2018-19 were examined as part of their monitoring review. The following items comprised the deliverables submitted to the FDOE grant manager:
 - Financial and bank statements
 - State conference records
 - Board of Director meeting minutes, agendas, etc.
 - Annual operating budgets
 - Travel records
 - Community and stakeholder outreach
 - Membership applications and materials
 - Correspondence between FACTE and state-wide stakeholders
 - State-wide training materials
 - FACTE operating and policies manual
 - Grant budget analyses for all years monitored
- D. **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.
- QuickBooks® is used as the accounting system for FACTE. The Executive director manages all records associated with grant expenditures, and works with a certified public accountant (CPA) to ensure all records are maintained within QuickBooks®.
 - FACTE has policies and procedures for accounting practices, budgeting and reporting of financial data.
 - It is rare for FACTE to make capitalized equipment purchases charged to their CTE grants, but there are policies in place for the procurement of inventory and maintenance of inventory records.
 - FACTE is unique in that FDOE and DCAE dictate their scope of work for a given program year, and assigns a weighted dollar value to each task (deliverable). FACTE is eligible for reimbursement upon the submission of all deliverables (and accompanying invoices) to their FDOE program manager. Payment is only provided for approved deliverables.
 - Contracted vendors or services are thoroughly vetted prior to entering into any agreement with FACTE. Once a contract agreement is in place, a scope of work is agreed upon and the contractor is paid based of the completion of the approved tasks.
- E. **COLLABORATION:** refers to the collaborative agreements, partnerships or memoranda of understanding (MOU) that are in place to benefit an agency’s programs and students.
- FACTE has numerous collaborations and partnerships throughout the state of Florida. These partnerships act in the interest of CTE educators and administrators. The list of partners include, but are not limited to:
 - Florida Leadership for Career and Technical Education
 - Florida Association of Agriculture Educators
 - Florida Association of Jr. Reserve Officers Training Corps Personnel
 - Florida Business Technology Education Association
 - Florida Educators of Family and Consumer Sciences

- Health Occupations Educators Association of Florida
- Florida Apprenticeship Association
- Occupational Specialist/Guidance Association
- Florida Association of Marketing Educators
- Florida Association of Industrial and Technology Educators
- Florida Technology Education Association
- Florida Career Pathways Network
- Public Services
- Career Academy Division
- Florida Department of Education
- Florida College System
- Florida Public School systems

VIII. RESULTS

SkillsUSA Florida was not found to be out of compliance. Documentation was up to date and deliverables were submitted within a reasonable timeframe to the FDOE.

IX. SUMMARY

Once the VDMR 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 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 resolution items have been completed, when applicable, and that no further action is required. This letter will officially end your monitoring process.

On behalf of the department, the monitoring team extends its appreciation to all participants in the Florida Association for Career and Technical Education virtual desk monitoring review. Special thanks is offered to Ms. Marsan Carr for her participation and leadership during this process.

APPENDIX A

Florida Association for Career and Technical Education
 Career and Technical Education
 Risk Matrix

Risk Scores Matrix for a Non-College or Non-School District Receiving Career and Technical Education (CTE) Carl D. Perkins Grants					
Agency Name: Florida Association for Career and Technical Education					
Program type: CTE					
Monitoring Year: 2019-2020					
Metric	Scaling	Point Value	Points Assigned	Weight	Total Metric Points
Number of Years Since Last Monitored	7 or More Years	7	1	<u>X 10</u>	10
	5-6	5			
	3-4	3			
	0-2	1			
Total Budget for all Perkins Grants Combined	Upper Quartile	7	7	<u>X 8</u>	56
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
Number of Perkins Grants	4 or More	7	7	<u>X 8</u>	56
	3	5			
	2	3			
	1	1			
Agency CTE Program Director Change from Previous Fiscal Year	Yes	7	0	<u>X 6</u>	0
	No	0			
Unexpended Funds from all Perkins Grants Combined	Upper Quartile	7	7	<u>X 4</u>	28
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
AGENCY RISK SCORE:					150

Data sources used for calculations: Prior to July 1, 2018



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