

GET THERE

Florida's Workforce Education Initiative

Fall 2021

CTSO

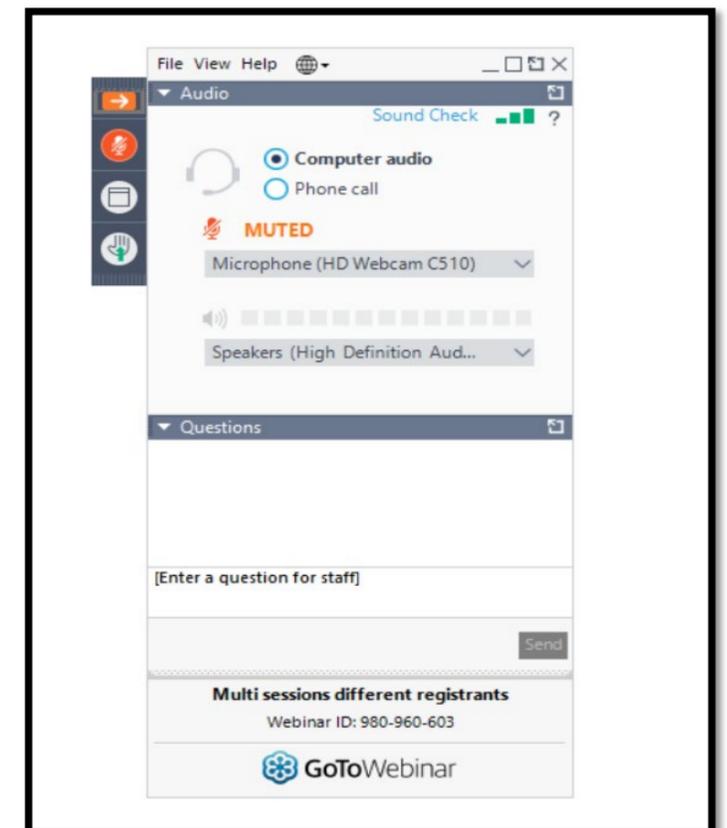
Provider Training



FLORIDA DEPARTMENT OF
EDUCATION
CAREER AND ADULT EDUCATION

Webinar Logistics

- Welcome and thank you for joining us
- PowerPoint presentation (pdf version) titled “*Fall 2021 CTSO Provider Training*” is available at <http://www.fldoe.org/academics/career-adult-edu/compliance>
- All participants will be muted
- Please type your question in the question box



Purpose of the Webinar

- To provide participants with information regarding Quality Assurance and Compliance in the following areas:
 - Areas of Focus
 - Regulatory Requirements
 - Risk Assessment
 - Provider Selection, 2021-22
 - Monitoring Process (how we work)
 - Tools and Resources
- Describe the pre-monitoring, desk review, and post-monitoring activities.
- Share examples of findings and concerns
- Answer general questions.



Areas of Focus

Grant Programs to be monitored:

Carl D. Perkins (CTE)

Career and Technical Student Organizations

Fiscal Years (FY) monitored:

2018-19, 2019-20, 2020-21 and 2021-22

Regulatory Requirements



Regulatory Requirements

Federal and state 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)

Carl D. Perkins - The Strengthening Career and Technical Education for the 21st Century Act (Perkins V)

Risk Assessment



Implementation of a Risk-Based System

- Based on project and provider risk;
- Collaborative in nature;
- Recognizes positive practices;
- Identifies findings and concerns related to program quality and compliance; and
- Supports systemic and continuous program improvement

Risk Assessment Factors 2021-22

Risk Matrix – Operational Risk Factors (Metrics)

- Last monitoring review
- Number of grants
- Total budget of the Perkins V CTSO grant
- Unexpended grant funds
- Change in executive director

Risk Assessment Process

- Risk score divided into quartiles
- Balanced weight between data elements

| | |
|-----------------------|---|
| Upper Quartile/Higher | 7 |
| Upper Middle | 5 |
| Lower Middle | 3 |
| Lower Quartile | 1 |
| Zero | 0 |

Risk Assessment Process

Calculation of the Risk Score:

Point Value Assigned X Weight = Total Metric Point

Sum of all Metric Points = Agency Risk Score

IMPORTANT! A high risk assessment score should NEVER be interpreted as a negative reflection on the provider.

**Risk Scores Matrix for a Non-College or Non-School District Receiving
Career and Technical Education (CTE)
Carl D. Perkins Grants**

Target Year: 2020-202

Monitoring Year: 2021-2022

| Metric | Scaling | Point Value | Points Assigned | Weight | Total Metric Points |
|---|-----------------|-------------|-----------------|-------------|---------------------|
| Number of Years Since Last Monitored | 7 or More Years | 7 | 3 | <u>X 10</u> | 30 |
| | 5-6 | 5 | | | |
| | 3-4 | 3 | | | |
| | 0-2 | 1 | | | |
| Total Budget for all Perkins Grants Combined | Upper Quartile | 7 | 5 | <u>X 8</u> | 40 |
| | Upper Middle | 5 | | | |
| | Lower Middle | 3 | | | |
| | Lower Quartile | 1 | | | |
| Number of Perkins Grants | 4 or More | 7 | 1 | <u>X 8</u> | 8 |
| | 3 | 5 | | | |
| | 2 | 3 | | | |
| | 1 | 1 | | | |
| Agency CTE Program Director Change from Previous Fiscal Year | Yes | 7 | 7 | <u>X 6</u> | 42 |
| | No | 0 | | | |
| Unexpended Funds from all Perkins Grants Combined | Upper Quartile | 7 | 5 | <u>X 4</u> | 20 |
| | Upper Middle | 5 | | | |
| | Lower Middle | 3 | | | |
| | Lower Quartile | 1 | | | |
| | 0 | 0 | | | |
| AGENCY RISK SCORE: | | | | | 140 |

Provider Selection

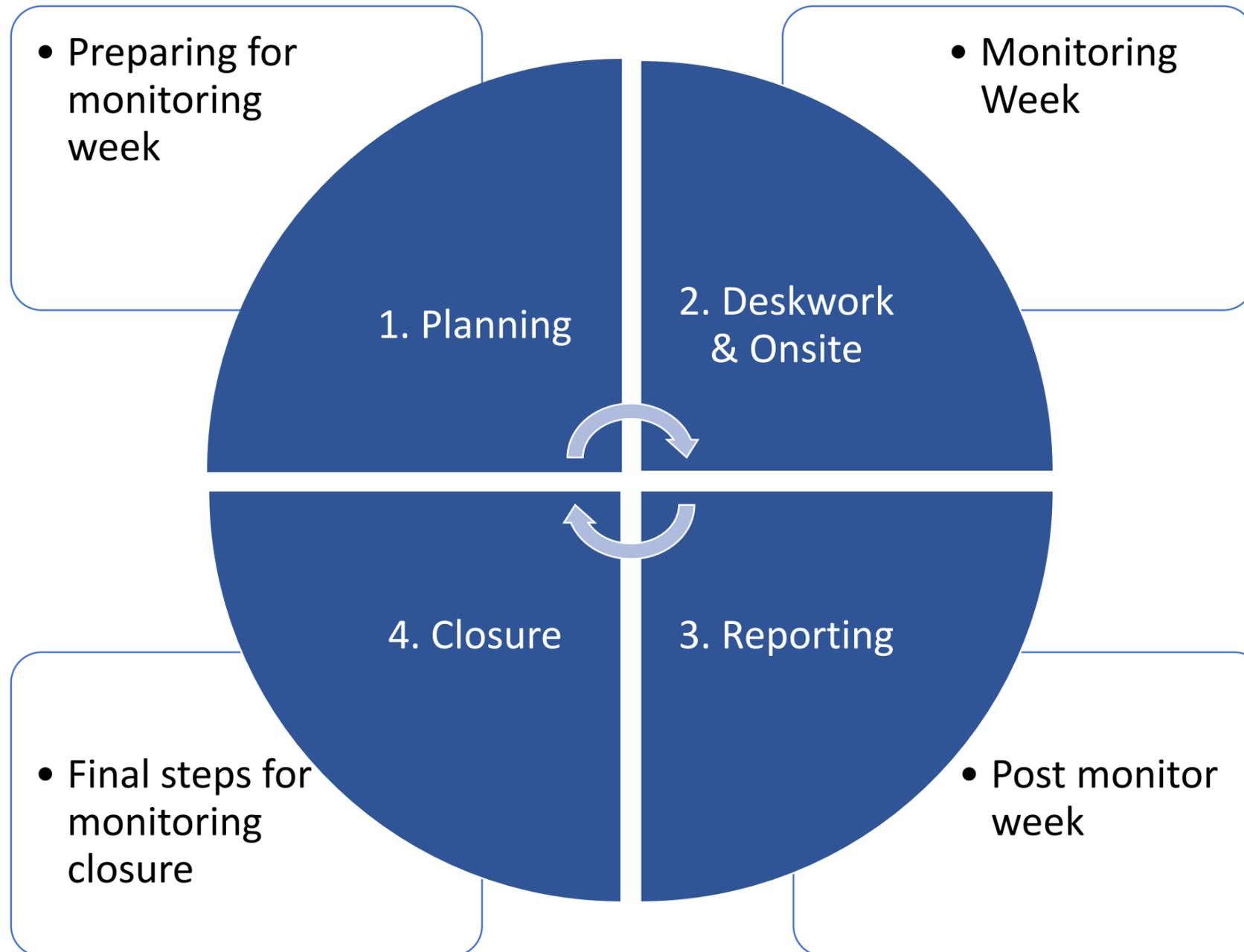


Fall 2021 CTSO Provider Selection

- Florida SkillsUSA
- Florida DECA Association and Foundation, Inc.
- Florida Association of Future Farmers of America, Inc.

Monitoring Process

Monitoring Circle of Life:



Monitoring Strategies

- Phone calls
- RFA / RFP reviews
- Records reviews (quarterly deliverables)
- Technical assistance
- Corrective action plans (if necessary)
- Referral for fiscal review
- Verification activities
- Investigations

Pre-Monitoring Activities

- Notification (personal and letter correspondence)
 - Personal contact with Director of CTSO
 - Letter from Chancellor to Agency Head
 - Memorandum from Director of Quality Assurance and Compliance
- Conference calls
 - Training for providers (August and December)
- Pre-visit meeting with FDOE staff

FDOE ShareFile

Purpose

- Citrix ShareFile® is the Florida Department of Education's (FDOE) cloud-based secure file transfer solution. This solution is used to transfer files that are confidential, as well as too large and/or too numerous to send in a single email.
- Maintain compliance with The Family Education Rights and Privacy Act (FERPA).

Virtual Desk Monitoring Activities

- Virtual Interviews
 - Executive leadership (if necessary)
- Records Review (2018-19, 2019-20, 2020-21 and 2021-22)
 - Evidence of acceptable documentation (deliverables)
 - Supporting documentation that may not be included with the quarterly deliverables
- Exit Conference

Post-Monitoring Activities

- Post monitoring meeting with FDOE staff
- Thank you letters
- Evaluation Survey
- Monitoring Report
 - Preliminary Draft – sent to provider contact for feedback
 - Final Report- sent to Agency Head
- Resolution activities
 - Corrective Action / Action Plans
 - Follow-up communication
- Closure

Monitoring Report

Previous monitoring reports are available to review online:
<http://fldoe.org/academics/career-adult-edu/compliance>

Examples of Monitoring Findings



Examples of Monitoring Findings

- Records retention – no access to records and/or backup documentation
- Evidence of acceptable documentation not submitted in a timely manner
- Receiving payment for deliverables that are non-existent or incomplete

General Concerns

- Not meeting goals as defined in your grant application and/or not adhering to the agreed upon evidence of acceptable documentation.
- Missing documentation and records
- Continuous need for time extensions and delays in submitting deliverables

Tools and Resources

- The Strengthening Career and Technical Education for the 21st Century Act (Perkins V) <http://www.fldoe.org/academics/career-adult-edu/funding-opportunities/PerkinsV.shtml>
- Education Department General Administrative Requirements (EDGAR) <https://www2.ed.gov/policy/fund/reg/edgarReg/edgar.html>

Tools and Resources

- 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, Quality Assurance and Compliance <http://fldoe.org/academics/career-adult-edu/compliance>

Questions & Answers



Frequently Asked Questions

- Will the monitoring team need access to anyone other than the designated provider contact?
- Will we still be required to upload documentation once our actual monitoring week has concluded?
- If requested documentation and/or records are located within the deliverables do I still need to provide them in the ShareFile?
- What happens if we are issued a finding over the course of the monitoring period?

Compliance Team



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THANK YOU!