



FLORIDA DEPARTMENT OF
EDUCATION
CAREER AND ADULT EDUCATION

**Quality Assurance and Compliance
Virtual Desk Monitoring Review
for
Adult Education**

Florida Literacy Coalition, Inc.

September - October, 2023

Final Report

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Florida Department of Education
Division of Career and Adult Education
Florida Literacy Coalition, Inc.
Adult Education
Quality Assurance and Compliance Monitoring Report

I. INTRODUCTION

The Florida Department of Education (Department), 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) office 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 Department receives federal funding from the U.S. Department of Education for Career and Technical Education under the Carl D. Perkins Strengthening Career and Technical Education (CTE) for the 21st Century Act and for Adult Education (AE) under the Workforce Innovation and Opportunity Act of 2014. The department awards sub-grants to eligible providers to administer local programs. The Department 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 Code of Federal Regulations 76.770, Education Department General Administrative Regulations and the Uniform Grant Guidance 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. QAC CORE MONITORING GUIDE

The Core Monitoring Guide 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 office 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 Florida Literacy Coalition, Inc. (FLC) monitoring strategy was determined to be a virtual desk monitoring review (VDMR). Notification was sent to Mr. Gregory Smith, Executive Director, on September 11, 2023. The designated representative for the agency was also Mr. Smith. The Division's representative conducting the VDMR was Program Specialist Michael Swift, of the Quality Assurance and Compliance section.

V. FLORIDA LITERACY COALITION

Finance

The provider was awarded the following grants for fiscal years (FY) 2020-21, 2021-22 and 2022-23:

FY 2020-21

<u>Grants</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended</u>
Adult Education - Leadership	764-1921B-1PL01	\$ 218,200.00	29,457.58

FY 2021-22

<u>Grants</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended</u>
Adult Education - Leadership	764-1922B-2PL01	\$ 220,000.00	\$ 29,571.59

FY 2022-23

<u>Grants</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended</u>
Adult Education - Leadership	764-1923B-3PL01	\$ 220,000.00	\$ 18,156.40

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

<https://floridaliteracy.org>

VI. MONITORING ACTIVITIES

The monitoring activities included pre and post-review planning, an entrance and exit meeting, records review and interviews with administrators, if necessary. No inventory review was performed during this monitoring process.

Onsite Visits

N/A

Entrance and Exit Conferences

The entrance conference for FLC was conducted on September 13, 2023. The exit conference was conducted on October 16, 2023. The participants are listed below:

Name	Title	Entrance Conference	Exit Conference
Gregory Smith	Executive Director, Florida Literacy Coalition, Inc.	X	X
Division Monitoring Team			
Michael Swift	Program Specialist, QAC	X	X

Charles Davis	Program Specialist, QAC	X	X
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Interviews

No interviews were conducted as part of the VDMR. FLC submitted thorough and qualitative documentation and evidence to support QAC Core Activities, and to fulfill their quarterly deliverables requirements.

Records Review

Program, financial and administrative records were reviewed. Due to the nature of the FLC grant, quarterly deliverables submitted to the Division were also reviewed. In addition, policies and procedures were reviewed during the monitoring process.

VII. OBSERVATION

A. ADMINISTRATION refers to the management and supervision of programs, the structure of programs and services, grant oversight and other administrative areas.

- The Executive Director is responsible for the overall management of FLC’s state leadership grants, in addition to the day to day operations of the organization. Grant-related duties include, but are not limited to the following:
 - Develop the overall objectives of the grant and ensure consistency with the vision of FLC.
 - Ensure all grant deliverables are completed and submitted in a timely manner to the Division.
 - Work with the bookkeeper to ensure all grant-funded expenditures align with their approved grant budget narrative.
 - When applicable, submit grant amendments if deviations from the originally approved budget narrative arise.
 - Responsible for the overall support and leadership of AE professional development and learning objectives set forth by the Division.
- The Education Training Coordinator and Resource and Communications Specialist are responsible for scheduling and coordinating state-wide training and professional learning events. Additionally, they are responsible for promoting the services of FLC across Florida.
- FLC works with many stakeholders throughout the state to ensure the dissemination of modern and up to date teaching and learning methods.

B. DATA AND ASSESSMENT refer to all the data and assessment system components, including test administration, test security, data collection, entry, reporting and procedures. The use of data in program decision-making is also explored and commented on.

- Due to the monitored grants being State Leadership grants, FLC does not have direct contact with students and is not responsible for any data reporting to the Division.

C. CURRICULUM AND INSTRUCTION refer to those elements that contribute to student learning and skill acquisition.

- The overall goal of FLC is to provide in-person and web-based training and professional training opportunities for adult and family literacy practitioners across Florida.

- As evidenced by their quarterly deliverables, FLC successfully offered multiple learning and training events throughout the year and across the state. Those documented events include, but are not limited, to the following:
 - In-person training events – FLC provided documents supporting no fewer than six training events aimed at tutors, teachers, adult learners and volunteers.
 - Literacy Leadership Institute – The agenda, list of presenters and training materials for the two day event were provided by FLC as part of their quarterly deliverables.
 - Online tutor training – Training for adult basic literacy is provided as multiple online courses for Community Based Organizations throughout the state. Evidence submitted in support of these trainings included registration lists and post-training surveys.
 - Virtual Training – Virtual events are offered via distance learning, but include live speakers and presenters. Multiple adult literacy topics are addressed over the course of the virtual sessions. FLC presented contractual agreements for all individuals participating as presenters in the trainings. A list of attendees was also provided.
 - Florida Literacy Conference – This is largest adult literacy conference hosted by FLC. The annual conference attracts upwards of 400 registered participants, including AE program administrators and teachers from across the state. In addition to a multitude of learning sessions, exhibitors are also on site to promote the newest breakthroughs in learning technology. FLC provided vendor contracts, conference schedules and travel records for FLC personnel in attendance.
- In addition to the previously mentioned virtual and in-person events, FLC also provides educational and technical resource sharing through telephone and online referral services. An audit report provided the exact numbers of referrals that passed through FLC.

D. TECHNOLOGY AND EQUIPMENT refer to a review of the technology and equipment used by students and instructors in the classroom; addresses access, availability, innovation, use and condition.

- No capitalized equipment was purchased during the program years monitored.
- No onsite inventory review was required.

E. EQUAL ACCESS refers to compliance with federal non-discrimination laws' requirements relating to recruitment, enrollment, participation and completion of programs.

- FLC included the necessary policies required by the General Education Provisions Act, which ensures equal access and participation in programs regardless of sex, race, national origin, color, disability or age.

F. RECORDS REVIEW refers to reviewing the records and documents that evidence compliance with federal and state rules and regulations. In addition, a sampling of financial and programmatic records is reviewed.

- Items reviewed during the VDMR included, but were not limited to:
 - Monthly general ledger finance reports
 - Quarterly invoices and Project Disbursement Reports
 - State-wide training materials – calendar of events, agendas, learning materials, sign-in sheets, etc.
 - Website traffic audits
 - Contractual consulting agreements
 - E-literacy news publication

- Time and effort reports
- Travel and reimbursement reports
- QAC Core Activities for Financial Management and AE
- FLC routinely submits thorough and timely quarterly deliverables to the Division.

G. 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 FLC’s financial management system and also handles their payroll.
- An in-house bookkeeper is responsible for managing the fiscal aspects of the grant. This individual is responsible for general ledger reconciliations; the preparation of operating budgets; accounts payables/receivables; and maintaining all required financial reports. This position is also responsible for assisting the Executive Director in monitoring grant expenditures.
- FLC does have multiple “general consulting agreements” in place with individuals contracted to conduct various training and professional learning events for webinars and conferences throughout the state. Samples of those contracts were reviewed as part of the monitoring process.
- FLC does use grant-funded purchasing cards for minor purchases (<\$5,000). It is the responsibility of the bookkeeper to reconcile those charges against the appropriate funding source.
- FLC provided additional fiscal records such as bank statements, un-capitalized procurement records, employee payroll and travel records. All documents were in accordance with applicable local, state and federal law.

H. COLLABORATION refers to the collaborative agreements, partnerships or memoranda of understanding (MOU) that are in place to benefit an agency's programs and students.

- FLC has numerous collaborations, partnerships and MOUs throughout the state of Florida. These partnerships aid in the expansion and implementation of the core objectives of FLC. The list of partners includes, but is not limited to:
 - Manatee Reads!
 - Family Literacy Academy of Immokalee
 - Literacy Council of Sarasota
 - Volusia Literacy Council

VIII. RESULTS

FLC was not found to be out of compliance. All items reviewed were compliant in accordance with applicable local, state and federal laws and/or policies and procedures.

IX. SUMMARY

After completing the monitoring review and receiving any additional information requested, a preliminary report is sent to the provider for their review. The Division monitoring team lead may consider comments at their discretion. Once the final report is approved, it will be sent to the agency head and a copy will be sent to the provider's designated contact person. The final report will also be posted on the Department's website, which you can find at:

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

Once all outstanding corrective action plan items have been completed (when applicable), the Division will issue a closure letter to the agency head and designated contact person. This letter will signify the end of the monitoring process and that no further action is required.

The monitoring team would like to extend their appreciation to all participants in the Florida Literacy Coalition, Inc. monitoring review on behalf of the Department. A special thanks is offered to Mr. Gregory Smith for his participation and leadership during this process.

APPENDIX A

Florida Literacy Coalition, Inc.
Adult Education
Risk Matrix

Risk Scores Matrix for a Non-College or Non-School District Receiving AE Grants					
Agency Name: Florida Literacy Coalition					
Program Type: AE					
Monitoring Year: 2023-24					
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 Adult Education Grants Combined	Upper Quartile	7	1	<u>X 8</u>	8
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
Number of Adult Education Grants	4 or More	7	1	<u>X 8</u>	8
	3	5			
	2	3			
	1	1			
	No	0			
Agency AE Program Director Change from Previous Fiscal Year	Yes	7	0	<u>X 6</u>	0
	No	0			
Unexpended Funds from all Adult Education Grants Combined	Upper Quartile	7	3	<u>X 4</u>	12
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
Adult Education Program Improvement Plan (AEPiP)	Target Not Met on 3 of 3 Indicators	5	n/a	<u>X 6</u>	n/a
	Target Not Met on 2 of 3 Indicators	3			
	Target Not Met on 1 of 3 Indicators	1			
	All Targets Met	0			
AGENCY RISK SCORE:					58

Data sources used for calculations: Prior to July 1, 2022



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