FLORIDA DEPARTMENT OF
EDUCATION
CAREER AND ADULT EDUCATION

Quality Assurance and Compliance
Onsite Monitoring Visit
for
Adult Education and Career and Technical Education

South Florida State College

November 18-21, 2019

Final Report

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Florida Department of Education
Division of Career and Adult Education

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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 the design, development, implementation and evaluation of a comprehensive system of quality assurance 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).

Additional citations noting pertinent laws and regulations and authority to monitor are located in the 2019-2020 Quality Assurance Policies, Procedures and Protocols, Module A, Section 1.

III.   QUALITY ASSURANCE POLICIES, PROCEDURES AND PROTOCOLS

The Quality Assurance Policies, Procedures and Protocols manual was revised in the 2019-20 program year. The manual is provided to each provider prior to the monitoring visit. 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.

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 South Florida State College (SFSC) was determined to be an onsite visit. Notification was sent to Dr. Thomas Leitzel, president, South Florida State College on August 7, 2019. The designated representatives for the agency were Mr. Erik Christensen, dean, Applied Sciences and Technology and Ms. Courtney Green, director, Adult Education and Technical Dual Enrollment.

The onsite visit to the agency was conducted on November 18-21, 2019. The two representatives of the division present during the visit were program specialists Mr. Michael Swift and Mrs. Christine Walsh of the QAC section.

V.   SOUTH FLORIDA STATE COLLEGE

ENROLLMENT:

Fiscal Year (FY) 2017-18
CTE (possible duplication at program level): Postsecondary – 3,708
AE: 904

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

Finance
FY 2017-18

Grants	Grant Number	Grant Amount	Unexpended
Adult General Education	282-1918B-8CG01	$ 43,156.00	$ 0.00
Adult General Education	282-1918B-8CG02	$ 206,223.00	$ 0.00
Adult Education – Civics	282-1938B-8CE01	$ 43,156.00	$ 0.00
Adult Education – Civics	282-1938B-8CE02	$ 30,900.00	$ 0.00
Perkins CTE Rural	282-1618A-8CR01	$ 101,790.00	$ 0.00
Perkins CTE Postsecondary	282-1618A-8CP01	$ 152,062.00	$ 0.00

FY 2018-19

Grants	Grant Number	Grant Amount	Unexpended
Adult General Education	282-1919B-9CG01	$ 38,560.00	$ 0.00
Adult General Education	282-1919B-9CG02	$ 206,223.00	$ 0.00
Adult Education – Civics	282-1939B-9CE01	$ 43,156.00	$ 0.00
Adult Education – Civics	282-1939B-9CE02	$ 30,900.00	$ 0.00
Perkins Rural	282-1619B-9CR01	$ 101,496.00	$ 0.00
Perkins CTE Postsecondary	282-1619B-9CP01	$ 197,959.00	$ 0.00

FY 2019-20*

Grants	Grant Number	Grant Amount		Unexpended	
Adult General Education	282-1910B-0CG01	$	38,560.00	$	N/A
Adult General Education	282-1910B-0CG02	$	206,223.00	$	N/A
Adult Education – Civics	282-1930B-0CE01	$	43,156.00	$	N/A
Adult Education – Civics	282-1930B-0CE02	$	30,900.00	$	N/A
Perkins Rural	282-1610B-0CR01	$	103,425.00	$	N/A
Perkins CTE Postsecondary	282-1610B-0CP01	$	208,663.00	$	N/A

* FY 2019-20 final project disbursement reports will not be available until the end of the program year

Additional information about the provider may be found at the following web address:
https://www.southflorida.edu/

VI. MONITORING ACTIVITIES

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

Onsite Visits
Members of the team made onsite visits to the following locations:
- SFSC Highlands Campus
- SFSC DeSoto Campus

Entrance and Exit Conferences
The entrance conference for SFSC was conducted on November 18, 2019. The exit conference was conducted on November 21, 2019. The participants are listed below:

Name	Title	Entrance Conference	Exit Conference
Tom Leitzel	President, SFSC	X	X
Glenn Little	Vice President, Administrative Services	X	X
Sid Valentine	Vice President, Academic Affairs and Student Services	X	X
Erik Christensen	Dean, Applied Sciences and Technology	X	X
Courtney Green	Director, Adult Education and Technical Dual Enrollment	X	X
April Ricker	Coordinator, Grants and Foundation Accounting	X	X
Melissa Lee	Controller	X	X
Angie Noonon	Admissions Records and Registration Specialist	X	
Tara Hufton	Administrative Assistant	X	X
FDOE Monitoring Team			
Michael Swift	Program Specialist, QAC, FDOE	X	X
Christine Walsh	Program Specialist, QAC, FDOE	X	X

<u>Interviews</u>
Interviews were conducted with the administrative staff. All interviews were held during the course of the visit.

<u>Records Review</u>
Program, financial, administrative and student records were reviewed. A complete list is provided in section VII, item F. A minimum of 40 student records were reviewed. Policies and procedures were reviewed and discussed at various times during the visit.

VII.   RESULTS

A.   <u>ADMINISTRATION:</u> refers to the management and/or supervision of programs, structure of programs and services, grant oversight and other administrative areas.

- The CTE and AE administrative staff for SFSC have multiple years of experience within their respective program areas. This leads to very little staff turnover, and allows everyone to work as one cohesive unit. The management of their grants extends well beyond just the administrative side, as both the CTE dean and the AE director are involved in the daily activities on the programmatic side.
- There is a clear separation of duties between the administrative side of grant management and the programmatic side, but the smaller size of the college allows program administrators to be involved in all aspects of their program management in areas such as finance, data and assessment and inventory management.
- The grant writing process includes feedback from instructors, other program personnel and advisory councils. The CTE advisory committees will play a pivotal role on the creation of the required comprehensive local needs assessment (CLNA) that is required for Perkins V grant applications.
- Program and administrative staff attend FDOE sponsored training events as required, and instructors are encouraged to stay abreast of program specific trainings and certifications.

B.   <u>DATA AND ASSESSMENT:</u> refers to all the components of the data and assessment system, including test administration, test security, data collection and entry and reporting, as well as procedures. The use of data in program decision-making is also explored and commented upon.

- The college uses BANNER® as their integrated management information system (MIS). All of the data elements required by the national reporting system (NRS) were included in the system and verified while onsite.
- There is a multi-tiered review/verification process that takes place prior to submitting student data to FDOE. Student level data is entered into BANNER®, then data reports are run in a separate database that uses preset validation parameters to determine student gains and completion point attainment. Once a final review takes place, these reports are then sent to FDOE. If any data errors are reported, there are multiple points of contact at the local level to assist with the reconciliation of erroneous data.
- Tests of adult basic education (TABE) and the comprehensive adult student assessment system (CASAS) are used for student skill level assessment. All test proctors are certified as required by each testing agency and FDOE. Certifications were verified by the monitoring staff while onsite.
- Student and program data is utilized for program management and improvement. Educational Program Assessments are conducted annually to help gauge the likelihood of achieving grant

requirements, offer insight into the success rates of teachers within the classroom and offer the college a chance to identify exemplary programs, as well as those that may be struggling.

- SFSC stores hard copies of records for the necessary period of time as required by law, and electronic copies are kept indefinitely.
- The data staff have been working together for a number of years, and have a good working relationship with the CTE and AE programs. Data seminars and trainings are attended on a regular basis, and localized training takes place annually.
- Student level data was reviewed and verified for accuracy against data submitted to FDOE. All student level data was made available to the FDOE monitoring staff while onsite.

C.   **CURRICULUM AND INSTRUCTION:** refers to those elements that contribute to student learning and skill acquisition.

- SFSC has disability coordinators that serve and cater to the needs of those students who have self-declared a disability with the college. In no instance would the college refuse special accommodations for a student with a documented need(s), but SFSC does recognize that prohibitions may exist with some CTE and AE testing and certification requirements.
- The CTE programs are supported by strong advisory committees. These committees play a pivotal role in improving the quality of the CTE programs by offering insight on current industry trends, current job outlooks and recommendations for industry specific equipment needs.
- There are numerous support systems for students such as CareerSource Heartland, the tutoring and learning center, the learning resource center and the career development center. They provide students with services that range from tutoring to learning employability skills and preparing students for the transition from the classroom to the workplace.
- The monitoring staff verified that CTE programs supported by Perkins V grant funds are of sufficient size, scope and quality (SSQ). Documentation was provided to the monitoring team and verified while onsite.
- SFSC supports CTE and AE services to Hardee and Highlands counties. While only CTE services are provided to Desoto County.
- Unlike other providers, SFSC reports that acquiring and retaining quality CTE instructors is not a concern. Ample training and professional development is offered to all instructors.

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

- All equipment over $1000 is assigned an asset identification profile within the systems, applications and products (SAP) system. This information is used for tracking of inventory during the college's annual inventory. All inventory criteria set forth by EDGAR and the UGG is included within the inventory management system.
- Each piece of equipment is assigned to a local equipment manager at each program site, but the business office is responsible for all college-wide inventory.
- The college has a technology plan that includes policies on new equipment requests, equipment safety/storage and disposal of old inventory.
- Technology and equipment was reviewed and inventoried as part of the FDOE monitoring process, and is up to date and is being used specifically for CTE programs.
- There have been no reports of stolen or lost equipment over the previous three fiscal years.

E. **ACCESS AND EQUITY:** refers to compliance with the requirements of federal non-discrimination laws as relating to recruitment, enrollment, participation and completion of programs.

- The Office of Equal Educational Opportunity (OEEO) for colleges is responsible for monitoring and overseeing civil rights compliance obligations. Should you have any questions or concerns, please contact the OEEO at 850-245-0511.

F. **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.

- CTE and AE quality assurance and compliance protocols
- Advisory committee minutes, agendas and sign-in sheets
- College procurement/purchasing records
- Grant funded travel records
- Size, scope and quality checklist review
- MIS data quality checklists
- College policies and procedures for finance and procurement
- College technology plan
- Student and employee handbooks
- Policies and procedures on inventory/equipment management
- Student data records
- Internal control policies
- TABE and CASAS certifications
- Memorandums of Understanding (MOUs) and articulation agreements
- Grant funded employee time and effort (T&E) reports
- Inventory records for all grant funded equipment purchases

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.

- The college has financial policies and procedures in place to ensure the efficient cash management of CTE and AE grants funds.
- The capital asset manager within the BANNER® system is used to track grant expenditures. Program managers and financial secretaries review grant expenditures on a frequent basis. This information is shared regularly with program staff and administrators.
- The college has precise and thorough procedures for the procurement of equipment and inventory that is funded by its federal grants.
- The monitoring team reviewed multiple financial records for compliance including: grant funded employee time and effort certifications, grant funded employee travel and grant funded procurement records. All were in compliance with federal, state and college requirements.
- The CTE and AE administrative staff host regular reconciliation meetings to review budget expenditures and to gauge budget utilization moving forward. These meetings allow for reallocation of funds, via amendment, if the opportunity exists.

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.

- SFSC has numerous collaborations and MOUs within the local region. They often offer additional educational and job experiences to students within the college. The list of partners include, but are not limited to:
  o CareerSource Heartland
  o CareerSource Polk
  o CareerSource Southwest Florida
  o Central Florida Healthcare, Inc.
  o Florida Heartland Medical Center
  o The School Board of Highlands County
  o The School District of Hardee County
  o Florida Polytechnic University
  o Weber International University
  o Arcadia, Wauchula, Bowling Green and Lake Placid police departments
  o Highlands, Hardee and DeSoto sheriff's offices
  o Highlands County Master Gardeners
  o Fish Branch Tree Farm
  o Florida Fertilizer Company
  o Hardee and Polk County fire and rescue

VIII.   REQUIRED RESOLUTION ACTIVITIES

CAREER AND TECHNICAL EDUCATION
1. Required Action Plan – SFSC is not required to complete a CTE Corrective Action Plan.

ADULT EDUCATION
1. Required Action Plan – SFSC is not required to complete an AE Corrective Action Plan.

IX.   SUMMARY

Once the fieldwork 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 along with a copy to the provider's 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 SFSC onsite monitoring visit. Special thanks is offered to Mr. Erik Christensen and Ms. Courtney Green for their participation and leadership during this process.

APPENDIX A

South Florida State College
Career and Technical Education
Risk Matrix

Risk Scores Matrix for Colleges Receiving Career and Technical Education (CTE) Carl D. Perkins Grants

Agency Name: **SOUTH FLORIDA STATE COLLEGE**
Program Type: **CTE**
Target Year: **2017-2018**
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	X 10	10
	5-6	5			
	3-4	3			
	0-2	1			
Total Budget for all Perkins Grants Combined	Upper Quartile	7	1	X 8	8
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
Number of Perkins Grants	4 or More	7	3	X 8	24
	3	5			
	2	3			
	1	1			
Change in Management Information Systems (MIS) from Previous Fiscal Year	Yes	7	0	X 6	0
	No	0			
Agency CTE Program Director Change from Previous Fiscal Year	Yes	7	7	X 6	42
	No	0			
Unexpended Funds from all Perkins Grants Combined	Upper Quartile	7	0	X 4	0
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
Number of Findings from the Office of the Auditor General	Upper Quartile	7	1	X 4	4
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
				AGENCY RISK SCORE:	**88**

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

South Florida State College
Adult Education
Risk Matrix

Risk Scores Matrix for Colleges Receiving Adult Education (AE) Grants

Agency Name: **SOUTH FLORIDA STATE COLLEGE**
Program Type: **AE**
Target Year: **2017-2018**
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**	X10	**10**
	5-6	5			
	3-4	3			
	0-2	1			
Total Budget for all Adult Education Grants Combined	Upper Quartile	7	**3**	X 8	**24**
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
Number of Adult Education Grants	4 or More	7	**7**	X 8	**56**
	3	5			
	2	3			
	1	1			
Change in Management Information Systems (MIS) from Previous Fiscal Year	Yes	7	**0**	X 6	**0**
	No	0			
Agency AE Program Director Change from Previous Fiscal Year	Yes	7	**7**	X 6	**42**
	No	0			
Unexpended Funds from all Adult Education Grants Combined	Upper Quartile	7	**0**	X 4	**0**
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
Number of Findings from the Office of the Auditor General	Upper Quartile	7	**7**	X 4	**28**
	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	**5**	X 6	**30**
	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	**190**

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