



FLORIDA DEPARTMENT OF
EDUCATION
CAREER AND ADULT EDUCATION

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

Lake-Sumter State College

February 23-24, 2022

Final Report

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Florida Department of Education
Division of Career and Adult Education
Lake-Sumter State College
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. QAC CORE MONITORING GUIDE

The Core Monitoring Guide (CMG) is intended to be used broadly by any reviewer conducting an on-site 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. Therefore, circumstances may warrant on-site monitoring, desk monitoring, or other strategies regardless of a provider's risk matrix score.

Lake-Sumter State College's (LSSC) monitoring strategy was determined to be an on-site monitoring review (OSMR). Notification was initially sent to Dr. Stanley M. Sidor, President, on November 1, 2021. The designated representative for the agency was Dr. Amy Albee-Levine. The division's representative conducting the OSMR was the program specialist, Charles Davis, of the Quality Assurance and Compliance section.

V. Lake-Sumter State College

ENROLLMENT:

CTE (possible duplication at program level): Postsecondary – 979

Finance

The provider was awarded the following grants for fiscal years (FY) 2018-19, 2019-2020 and 2020-21:

FY 2018-19

<u>Grants</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended</u>
Perkins Post-secondary	352-1619B-9CP01	\$151,425.00	\$19,837.74

FY 2019-20

<u>Grants</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended</u>
Perkins Post-secondary	352-1610B-0CP01	\$149,633.00	\$50.59

FY 2020-21

<u>Grants</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended</u>
Perkins Post-secondary	352-1611B-1CP01	\$147,718.00	\$190,553.85

CARES Act - Rapid Credentialing	352-1230A-1CR01	\$266,305.00	N/A
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Additional information about the provider may be found at the following web address:

<https://www.lssc.edu/>

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.

On-site Visits

The monitoring team visited the following campuses:

- Leesburg Campus
- South Lake Campus
- Sumter Campus

Entrance and Exit Meeting

The entrance meeting for LSSC was conducted on February 23, 2022. The exit meeting was conducted on February 24, 2022. The participants are listed below:

Name	Title	Entrance Conference	Exit Conference
Dr. Amy Albee	Dean of Workforce Development	x	x
Dr. Mark Duslak	Executive Director, Process Improvement & Institutional Research	x	x
Melinda Barber	Associate VP Financial Services & Controller	x	x
Tammy Castello	Data Analyst	x	x
Everlena Richardson	Associate Controller	x	x
Debra Hampton	Director of Accounting	x	x
FDOE Monitoring Team			
Chuck Davis	Program Specialist, QAC, FDOE	x	x
Orion Price	Program Specialist, QAC, FDOE	x	x

Interviews

LSSC administrators were available for interviews, if necessary.

Records Review

Program, financial, administrative and student records were reviewed. A complete list is provided in section VII, section F. A minimum of 24 student records were checked. In addition, policies and procedures were examined and discussed at various times during the monitoring review.

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 Dean of Workforce Development is responsible for applying for the Perkins Grant. Some grants may be applied for and administered through other relevant units of the college. Grants Accounting, Grants Development and Purchasing Department meet for grant proposal and for post-award when needed.
- As a recipient of grant award funds, LSSC follows all of the rules, regulations, and other requirements that apply to those funds. The College is responsible for administering and supervising all awarded grants in accordance with the terms and conditions of each award. Federal regulations require that processes are consistent across the College. As a state college, they follow Florida statutes. In any situation where Florida statutes are more restrictive or more limiting than federal regulations, the Florida statutes are complied with.
- For the required comprehensive local needs assessment (CLNA), CTE administrative staff consulted with Dr. Rhonda Tracy and with numerous individuals and entities across the college's service area. Those stakeholders included but were not limited to; students, teachers; CareerSource Central Florida; and multiple local business and community leaders. Mechatronics was identified as a course of need.

- Postsecondary students learn about CTE program offerings through online ads, Lake Tech's Career Techxpo, National Lineworkers Appreciation Day, and Follow Your Heart college and career readiness expo. In addition, the LSSC website has a page dedicated to articulated credit for students to find a quicker way through their Program of Study. The website also includes wage information for occupations attached to each credential as well as the academic pathway for each program.

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.

- LSSC utilizes Banner® as their integrated Student Information System (SIS) and Workforce Development Information System (WDIS).
- Under the terms of the Family Educational Rights and Privacy Act (FERPA), the College has established the following as directory information:
 1. Student's name
 2. Major
 3. Date(s) of enrollment
 4. Degree(s) and honors earned with dates awarded
 5. Participation in officially recognized activities or sports
 6. Enrollment status (e.g., full-time or part-time student status)
 7. Previous colleges attended
 8. Photographs
 9. Awards
- The current Student Database Data Directory was provided as evidence of procedures for the collection, verification, analysis and reporting of student data.
- All of the data elements required of their local Management Information System (MIS) were included in the system and verified during the desk review.
- Samples of CTE student data was reviewed and verified for accuracy as part of the OSMR. All student records were provided by LSSC.
- LSSC adheres to the Florida statutes (General Records Schedule GS1-SL for State and Local Government Agencies) records of all activities relating to grant-funded projects, including the application process and receipt and expenditure of grant funds, must be retained for a period of five fiscal years after the project completion. Files include, but are not limited to, grant applications; contracts; agreements; grant status, narrative, and financial reports; and supporting documentation.

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

- Across three campuses, Leesburg, South Lake, and Sumter, LSSC offers more than 35 academic programs, from career training to university transfer options to bachelor's degrees. All new students are required to meet with an academic advisor and complete a new student orientation before registering for classes. Many of their career-focused programs offer industry-recognized certifications to get the student into the workforce quickly. Their associate degree transfer plans prepare the student for their major at a university or at LSSC. LSSC offers two baccalaureate degrees and is part of the Direct Connect program through the University of Central Florida.

- At LSSC, advisors are assigned to a new student and they are retained for their whole academic career based on their chosen major area of interest. Also, they are required to attend student orientation, advising, registration (SOAR). Starfish is a program that sends the advisors updated information on the students' progress.
- CTE instructors participate in ongoing trainings provided by FDOE, as well as annual professional development seminars such as Florida Association for Career and Technical Education (FACTE) and Health Information Management Society (HIMS). Also, LSSC hosts an annual Counselors Conference and Lake Hawk Preview day.
- If a student self identifies that they are classified as part of the Special Population group, and seeks assistance, the first step is to work with their Dean of Students. The Dean assists them in finding resources.

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.

- All inventory criteria set forth by federal, state and local guidelines are included within the inventory management system. The inventory management system was verified during the VDMR.
- The College's Receiving department is responsible for the maintenance of the tangible personal property (TPP) records. Financial Services & Controller office are responsible for maintaining all other subsidiary records and for the financial recording of capital outlay expenditures to capital asset control accounts. Capitalized Personal Property represents any movable personal property (furniture, machinery, fixtures, equipment, supplies and similar items) costing \$5,000 or more with an expected useful life of one year or more. These items are formally capitalized on the college's general ledger and depreciated over their useful life.

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

- The Office of Equal Educational Opportunity (OEEO) 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 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.

- Size, scope and quality review
- CLNA –Local Market Alignment
- MIS data quality checklists
- Policies and procedures for finance and procurement
- Technology plan
- WDIS user guide
- Student and employee handbooks
- Inventory and procurement records
- Memorandums of Understanding (MOUs) and articulation agreements
- Advisory committee records – agendas, sign-in sheets, etc.

- Professional development and training records – agendas, sign-in sheets, training materials, etc.
- CTE student data review

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.

- Banner® is used as the college's Enterprise Resource Planning (ERP) system.
- The college's Financial Services & Controller Department Procedures ensure the efficient management of CTE grant funds.
 - Financial reporting
 - Internal Controls
 - Audit requirements
 - Training
- Purchase orders \$5,000 and below are approved by the Director of Workforce Development, \$15,000 and below is Vice President of Academic Affairs, \$25,000 and below is the President, and \$25,000 and above is the Cabinet.
- LSSC complies with the Federal statutes prohibiting the use of Federal grant funds to take the place of, or substitute for, state or local funds for services required by law. Federal funds must supplement (add to, expand, enhance, increase, extend) programs and services offered with state and local funds. Federal funds are not permitted to be used to supplant the state and local funds used to offer those programs and services.
- The College does not use Perkins grant-funded purchasing cards.

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

- LSSC has numerous collaborations and MOUs within the local community. They often offer additional educational and job experiences to students within the district. The list of partners include, but are not limited to:
 - Sumter County School District
 - Lake Technical College
 - Lake County Schools
 - UF Health Leesburg Hospital
 - Geographic Chambers of Commerce
 - Florida Virtual School

VIII. RESULTS

Finding Number	1
Area	Financial
Finding Summary	The provider failed to request a budgetary amendment for an expenditure not previously approved in their original grant application.
Finding Detail	Monitoring staff conducted a grant budget analysis of LSSC FDOE grants. Upon review, errors were discovered within the CTE Perkins 2018-19, 2019-20, 2021-22 budget narratives, resulting in the DOE 399 (final expenditure reports) to include payments towards object codes that FDOE did not approve. As a result, no budgetary amendment was submitted to FDOE for approval. Although it was an error in the budget narrative, the discovery will still result in a finding. Therefore, no repayment of funds is required at this time.
Citation	Violation of the Project Application and Amendment Procedures for Federal and State Programs (Green Book), Section B "Project Amendments."
Recommended/ Anticipated Corrective Action	The Director of Workforce Development shall provide a memo of attestation stating the college accepts the finding.
Anticipated completion date:	4/5/2022
Name(s) and Title(s) responsible for corrective action:	Dr. Amy Albee Director Workforce Development
Plan accepted by: Chuck Davis Date: 4/5/2022	

Finding Number	2
Area	Technology and Equipment
Finding Summary	Equipment not properly kept in the location indicated on the inventory record.
Finding Detail	During the monitoring review, several pieces of equipment were not in the location indicated on the inventory record.
Citation	

	This is in violation of 2 CFR 200, UGG §200.313.
Recommended / Anticipated Corrective Action	Equipment purchased with grant funds must be properly tagged with an asset identification number and kept in the location listed in the inventory management system in order to comply with state and federal requirements. Updated inventory records that include correct locations for all pieces of grant-funded equipment shall be provided.
Anticipated completion date:	4/5/2022
Name(s) and Title(s) responsible for corrective action:	Dr. Amy Albee Director Workforce Development
Plan accepted by: Chuck Davis	Date: 4/5/2022
Status of Action Plan (to be completed by FDOE staff)	
Status of CAP: Complete	Date: 4/5/2022

IX. SUMMARY

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

The monitoring team extends its appreciation to all participants of the Lake-Sumter State College monitoring review on behalf of the department. Special thanks is offered to Dr. Amy Albee for her participation and leadership during this process.

APPENDIX A

Lake-Sumter 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: Lake- Sumter State College					
Program Type: CTE					
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	1	<u>X 8</u>	8
	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			
Change in Management Information Systems (MIS) from Previous Fiscal Year	Yes	7	0	<u>X 6</u>	0
	No	0			
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	1	<u>X 4</u>	4
	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	<u>X 4</u>	28
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
AGENCY RISK SCORE:					120

Data sources used for calculations: Prior to July 1, 2020

Please address inquiries regarding this report to:

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