



Quality Assurance and Compliance Monitoring

Adult Education and Family Literacy

Bay County School District

Final Report
February 23, 2011

FLORIDA DEPARTMENT OF EDUCATION



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February 23, 2011

Mr. William V. Husfelt, Superintendent
Bay County School District
1311 Balboa Avenue
Panama City, Florida 32405

Dear Mr. Husfelt:

We are pleased to provide you with the Final Report of Monitoring of the Adult Education and Family Literacy programs from our visit on January 10-12, 2011. The report will also be placed on our website at <http://www.fldoe.org/workforce/compliance.asp>.

We appreciate the leadership and professionalism demonstrated by your staff during the review process. If we can be of any assistance, please contact Eileen L. Amy, Director of Quality Assurance and Compliance. Ms. Amy may be reached at 850/245-9033, or via electronic mail at Eileen.Amy@fldoe.org.

Thank you for your continuing commitment to improve services for Florida's students.

Sincerely,

A handwritten signature in cursive script, appearing to read "Loretta Costin".

Loretta Costin

LBC/ela

Enclosure

CC: Michael Heptinstall
Eileen L. Amy
Shahrokh Massoudi

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Florida Department of Education
Division of Career and Adult Education

**Bay County School District
Adult Education and Family Literacy
Quality Assurance Monitoring Report**

I. INTRODUCTION

The Florida Department of Education (FDOE), Division of Career and Adult Education (Division), in carrying out its roles of co-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 section of the Bureau of Grants Administration and Compliance (Bureau) 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 Florida Department of Education receives federal funding from the U.S. Department of Education for Adult Education and Family Literacy under the Adult Education and Family Literacy Act of 1998. 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 plan for Adult Education. 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 necessary to ensure compliance with applicable statutes and regulations (34 CFR 76.770). The Florida Department of Education, Division of Career and Adult Education is required to oversee the performance of district school boards in the enforcement of all laws and rules (Sections 1001.03(8) and 1008.32, Florida Statutes (F.S.)).

Additional cites noting authority to monitor and pertinent laws and regulations are located in the 2010-11 *Quality Assurance Policies, Procedures, and Protocols*, Module A, Section 1.

III. QUALITY ASSURANCE POLICIES, PROCEDURES, AND PROTOCOLS

The draft *Quality Assurance Policies, Procedures, and Protocols* (Manual) was provided to agencies during September 2010 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://www.fldoe.org/workforce/compliance.asp>.

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 Florida Department of Education and the Division of Career and Adult Education. A Risk Matrix, identifying certain operational risk factors, is completed for each provider. The Risk Matrix 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 monitoring strategy for Bay County School District (BCSD) was determined to be an on-site visit. Notification was sent to Mr. William V. Husfelt, Superintendent, on July 28, 2010. The designated representative for the agency was Mr. Michael Heptinstall, Director, Haney Technical Center.

The on-site visit to the agency was conducted on January 10-12, 2011, by two representatives of the Quality Assurance Section of the Division: Dr. Shahrokh Massoudi and Rick Lockenbach, J.D.

V. BAY COUNTY SCHOOL DISTRICT

Currently there are 19 elementary schools, five (5) middle schools, six (6) high schools and one (1) special purpose school. Haney Technical Center is a designated postsecondary technical training institution and M.K. Lewis School serves as a special purpose school.

The Adult Education Program offers Family Literacy, ABE, ESOL and GED. As a result of reorganization in the 2009-10 school year, Shaw Adult Education Center was closed and all programs were combined with Haney Technical Center.

According to the District 2008-09 NRS Report, the District reported 1,316 students were enrolled in Adult Education programs, with 928 enrolled in Adult Basic Education (ABE), 331 in Adult Secondary Education (ASE), and 57 enrolled in English for Speakers of Other Languages (ESOL).

The provider was awarded the following grants for FY 2008-09 and 2009-10:

2008-2009 ADULT EDUCATION GRANTS

<u>Grant Number</u>	<u>Type</u>	<u>Total</u>	<u>Unexpended Funds</u>
030-1919A-9CG01	Adult General Education	\$ 184,840	\$ 69,503.21
030-1919A-9CC03	Adult General Education	\$ 100,000	\$ 14,319.26
030-1919A-9CH02	Adult General Education	\$ 150,000	\$ 62,330.59

2009-2010 ADULT EDUCATION GRANTS

<u>Grant Number</u>	<u>Type</u>	<u>Total</u>	<u>Unexpended Funds</u>
030-1910A-0CG01	Adult General Education	\$182,510	\$0

Additional information about the provider may be found at the following web address:
<http://www.bay.k12.fl.us>.

VI. MONITORING ACTIVITIES

The monitoring activities included pre-visit planning conference calls, entrance conference, interviews with administrators, teachers, and students, observations, record reviews, and an exit conference.

On-site Visits

Members of the team made on-site visits to Adult Education and Family Literacy programs in the following locations:

- Haney Technical Center
- Rescue Mission, Inc.
- Bay County Jail
- Callaway Assembly of God
- Non-Secure Programs, Inc.

Entrance Conference

The entrance conference for the Bay County School District was conducted on January 10, 2011, and included: District staff Michael Heptinstall, Director of Adult Education Programs; Antonius Barnes, Assistant Principal; Ginny Brock, Data Entry; Tina Sanders-Moormann, Internal Bookkeeper; Le Anna Miller, Administrative Assistant; Frances Hentz, Resource Teacher; Kim Jones, Financial Aid Administrator; Don Baughn, Guidance Counselor; Robin York, District Bookkeeper; and FDOE staff Mr. Rick Lockenbach and Dr. Shahrokh Massoudi.

Interviews/Observations

Interviews were conducted with 18 administrative staff, instructional staff, and students; seven (7) observations were conducted. All interviews and observations took place during the course of the visit.

Records Review

Program, financial, and administrative records were reviewed. A complete list is provided in Section VIII, G. Some policies and procedures were reviewed at the agency's website and discussed during the on-site visit.

Exit Conference

The exit conference for the Bay County School District was conducted on January 12, 2011, and included: Michael Heptinstall, Director of Adult Education Programs; Le Anna Miller, Administrative Assistant; Frances Hentz, Resource Teacher; Don Baughn, Guidance Counselor; Robin York, District Bookkeeper; and FDOE staff Mr. Rick Lockenbach and Dr. Shahrokh Massoudi.

VII. RESULTS

Bay County School District
January, 10-12, 2011

A. ADMINISTRATION refers to the management and/or supervision of programs, grant oversight, access and equity and other administrative areas.

- A positive relationship was evident between director and staff.
- The director is enthusiastic and trying to find ways to improve programs and enrollment.
- New administrative staff appears to be committed to the mission of the Tech Center and Adult Education.
- The director continues to process the closing of Shaw Adult Center.
- The director has initiated new Adult Education classes and expanded satellite sites.
- Teachers and administrators are enthusiastic.
 - One teacher volunteered at work after her contract ended for the year.
- There are efforts for team building through competitive teams and tailgate parties for school games.
- Staff could be more familiar with TechNet, including curriculum resources and regional staff development.
- The District is recruiting students through billboards and radio promotions.
- Haney Technical Center has a School Advisory Committee that meets every quarter to discuss the school's programs and progress.

FINDINGS

No findings of non-compliance were noted at this time.

CONCERNS AND RECOMMENDATIONS

1. Concern: Pre-service training is needed for new teachers and new administrators.

Recommendation: Consider a staff development plan for new teachers and administrators.

2. Concern: The District's website is not current and may limit potential recruitment of students and participation by the community.

Recommendation: Review the website; keep current with locations and times of programs and additional available services; include the Adult Education program at Haney Technical Center.

- B. DATA** refers to all the components of the data system, including data collection, entry, and reporting. The use of data in program decision-making is also explored and commented upon.

- Staff appeared experienced.
- Staff was very familiar with TERMS software and it was used at all levels.
- Staff has participated in WEDDAC (Workforce Education District Data Advisory Council) meetings.
- The District has developed a document to help guidance counselors understand and more fully utilize the data system.
- Staff from the Tech Center and the District needs to work together more closely to ensure data accuracy.
- NRS data for 2008-09 ESOL data reveals that there were no completions documented for ESOL Intermediate Level students compared to a state rate of 25%.
- In 2008-09, there were 57 ESOL students; this number is expected to increase this year due to an additional ESOL class.
- The director should get data reports for program improvement purposes on an ongoing basis.

FINDINGS

No findings of non-compliance were noted at this time.

CONCERNS AND RECOMMENDATIONS

None.

- C. CURRICULUM AND INSTRUCTION** refers to those elements which contribute to student learning and skill acquisition. It also addresses student and instructor observations.

- There is an up-to-date and adequate supply of materials.
- Teachers are following curriculum frameworks.
- Teachers want to expand teaching strategies.
- There needs to be more emphasis on Adult Career Pathways, including Tech Center programs, and the District might pursue Adult Career Pathways grant funding for this purpose.

FINDINGS

No findings of non-compliance were noted at this time.

CONCERNS AND RECOMMENDATIONS

None

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

- District capital threshold is \$1,000.00.
- Items not capitalized are not tagged or included in inventory system.
- Staff is familiar with the process of reporting missing equipment.
- Technology is integrated into student instruction.
- More technology could be used for group instruction.
- Equipment appeared to be current.

FINDINGS

No findings of non-compliance were noted.

CONCERNS AND RECOMMENDATIONS

None

E. **LEARNING ENVIRONMENT** encompasses all aspects of the physical environment where classes are held. Describing the learning environment may also attempt to capture the vision, philosophy, and character that is observed on the campus or in the classroom.

- The students interviewed were positive about their classroom experience.
- The building and classrooms were clean, well-maintained and inviting.
- Students were well-mannered and focused on school.
- Classroom walls had posters, rules, and other good information for students.
- Assembly of God and Rescue Mission Adult Education students could benefit from computers as part of their learning tools.
- A variety of instructional materials are available for students in the classroom.
- The Adult Education program is following policy regarding withdrawals after six (6) consecutive absences.

FINDINGS

No findings of non-compliance were noted at this time.

CONCERNS AND RECOMMENDATIONS

1. Concern: Computers at the Non-Secure Programs, Inc., purchased with the federal grant funds, were not being used due to the lack of electrical outlets.

Recommendation: District must work with the organization to ensure that computers are available and accessed by students; use rooms with available electrical outlets or consider moving the equipment to a program where students will benefit.

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

- Non-discrimination notices were posted broadly, including at the jail; the notice was also posted in the classrooms and on mobile utility/computer carts.
- Students with disabilities are provided access to services.
- Teachers and administrators are aware of the process for addressing complaints of discrimination.
- District has an Equity Coordinator.

FINDINGS

None

CONCERNS AND RECOMMENDATIONS

None.

G. **RECORDS REVIEW** refers to a review of the records and documents that evidence compliance with federal and state rules and regulations. Both financial and programmatic records are reviewed.

The following records/documents were reviewed:

- Programs of study, student assessment, student progress notes, schedules, and student grades, both hard copy and electronic.
- Teachers update attendance records every 20 days.
- Teachers send no-show e-mails to students.
- Organizational chart and job descriptions

- ABE/GED Student Contract
- GED Intake Form
- ABD/GED Student Attendance Policy
- Individual Education Plan (IEP)
- Haney Technical Center Student Handbook 2010-11
- Financial policies and procedures
- Written agreements for services with partners

H. **FINANCIAL** refers to aspects of the federal fiscal requirements that providers must meet when expending federal funds, including a financial management system, a procurement system, and an inventory management system.

- Policies for purchasing and travel are in place and being followed.
- Certification of personnel time and payroll were reviewed.
- The location of equipment purchased with the grant was verified.
- A sample of five (5) purchases was reviewed with supporting documents.
- A Pcard has not been used in this program.
- Expenditures reviewed appeared to be reasonable and otherwise in compliance with grant-related requirements.
- In 2008-09, the District failed to expend more than 10% of grant funds, and efforts are being taken to ensure that grant funds are being expended in a timely fashion; finance office provides reports of expenditures on a continuing basis to the center director.
- Policies and procedures are available on the website.

FINDINGS

No findings of non-compliance were noted at this time.

CONCERNS AND RECOMMENDATIONS

None

I. **COLLABORATION** refers to the collaborative agreements, partnerships, or memoranda of understanding to benefit an agency's programs and students.

- An articulation agreement with Gulf Coast State College is in place.
- Classes at satellite sites include Rescue Mission, Calloway Assembly of God, Bay County Jail and Non-Secure Programs, Inc.
- The District is recruiting Adult Education students through area high schools.
- Bay County Sheriff's Department is an active partner, and the Jail Warden is very supportive of the program.

FINDINGS

No findings of non-compliance were noted.

CONCERNS AND RECOMMENDATIONS

None

VIII. REQUIRED RESOLUTION ACTIVITIES

ADULT EDUCATION

1. Corrective Action Plan – None required
2. Action Plan – The District must provide an Action Plan (Appendix B) to address the concerns noted in the focus areas: Administration and Learning Environment in Section VII of this report.

IX. TARGETED TECHNICAL ASSISTANCE

Targeted technical assistance may be provided to support full compliance and systemic change for program improvement. There has been consultation with the Division's program staff regarding specific technical assistance needs. Staff is encouraged to contact Division staff to assist their efforts toward systemic change. Mr. Craig Winger, Program Specialist, is the Division's contact for NRS, and may be reached at Craig.Winger@fldoe.org or 850-245-0720 if additional resources are needed.

X. SUMMARY

Once the field work, including receipt of requested information is completed, a draft report is forwarded to the provider for review. Comments are accepted and considered. The final report is completed and forwarded to the Agency Head with a copy to the appropriate parties. The Bureau's site visit co-leader monitors and conducts follow-up activities to assure issues have been satisfactorily completed within the stated timelines. Finally, the Bureau issues a Closure Notice to the Agency Head and designated contact person. This notice indicates all outstanding items have been completed.

We want to extend our appreciation to all participants in the on-site monitoring visit. Special thanks to Mr. Michael Heptinstall for his participation and leadership in this process.

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**Appendix A
Bay County School District
Risk Matrix for Adult Education**

Risk Factor	Criteria Scale	Value (V)	Risk Factor Weight	Total Points
Total amount of agency funding from grants (2008-09)	\$ 2,000,001+	8	6	30
	700,001 - 2 million	6		
	300,001 - 700,000	5		
	< 300,000	4		
Number of grants per agency (2008-09)	Number of grants (3)	2	6	36
Number of grants with 10% or more of unexpended funds (2008-09)	Number of grants (3)	5	4	60
Audit findings relevant to internal control weaknesses during three (3) previous years for targeted agency.	16 + findings	10	10	100
	11-15 findings	8		
	5-10 findings	6		
	1-4 findings	4		
Key organizational change within the last two (2) years.	Director (0) Yes = 1 No = 0	10	4	40
TOTAL Level of Risk Score				266

**APPENDIX B
Bay County School District
Resolution Plans**

Career and Technical Education

Corrective Action Plan

Adult Education

Corrective Action Plan

	Strategies	Person Responsible	Projected Date of Completion
CORRECTIVE ACTION PLAN Citation/Finding(s):	.	Administrative Staff	
ACTION PLAN Concerns:			
Technical Assistance Needed and/or Provided:			
Date and Status of Action:			
Plan submitted by:		Date:	
Plan accepted by:		Date:	