



Quality Assurance and Compliance Monitoring

Adult Education and Family Literacy

Florida Department of Corrections

Final Report
April 7, 2010

FLORIDA DEPARTMENT OF EDUCATION



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March 31, 2010

Eric Gaines, Director
Florida Department of Corrections
2601 Blair Stone Road
Tallahassee, Florida 32399-2500

Dear Mr. Gaines:

We are pleased to provide you with the Final Report of Monitoring of the Career and Technical Education Programs from our visit on November 17-18, 2009. The report will also be placed on our Web site at <http://www.fldoe.org/workforce/compliance.asp>.

We appreciate the leadership and professionalism demonstrated by you and your colleagues during the review process. If my staff can be of any assistance, please contact Eileen L. Amy, Director of Quality Assurance and Compliance. Mrs. Amy may be reached at 850/245-9031, 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 black ink, appearing to read "Loretta Costin".

Loretta Costin
Interim Chancellor

LBC/ela

Enclosure

Cc: Eileen L. Amy
Shahrokh Massoudi

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**Florida Department of Corrections
Adult Education and Family Literacy and Career and Technical Education
Quality Assurance Monitoring Interim 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 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 career and adult 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 Career and Technical Education (CTE) under the Carl D. Perkins Career and Technical Education Act of 2006 and 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 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 (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 2009-10 *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 2009-10 program year. The draft Manual was provided to each provider prior to the monitoring visit. The final 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 Web site at <http://www.fldoe.org/workforce/cte0910.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 that is used to evaluate variables associated with the grants for the purpose of assigning 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 then

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 monitoring strategy for Florida Department of Corrections (FLDOC) was determined to be on-site visits to FLDOC headquarters in Tallahassee and four selected correctional institutions statewide in conjunction with scheduled visits for other selected providers for 2009-2010. Notification was sent to Mr. Walter A. McNeil, FLDOC secretary, on October 9, 2009. The designated representative for the agency is Mr. Eric Gaines, Bureau Chief of Education and Initiatives. The on-site visit to the agency was conducted on November 17-18, 2009 by three DOE Bureau staff members, Ms. Eileen L. Amy, Director of Quality Assurance and Compliance, and Program Specialists, Dr. Shahrokh Massoudi, and Mr. Rick Lockenbach.

V. Florida Department of Corrections

FLDOC offers 84 academic and vocational programs to inmates in thirty-two facilities of Florida's prison system. The purpose of the educational programs is to prepare inmates for return to society upon their release from prison. The following educational services are provided at various facilities:

- Adult Basic Education
- Career and Technical Education
- Mandatory Literacy
- General Educational Development (GED)
- Exceptional Student Education (ESE)
- Library Services
- Title I Services (a federal program to supplement education for individuals after s/he turns 22 for the remainder of the school year)
- Specialized Education programs (offered to inmates who are separated from the general inmate population in close management)
- Volunteer Literacy programs (trained inmates volunteer to tutor inmates who want to improve their education, but who do not want to attend class, or who are unable to attend class due to job assignment, length of sentence, etc.)
- Wellness programs
- Distance Education program services
- Teacher Certification/Training

The total student enrollment for Career and Adult Education in 2007-08 is:

CTE Postsecondary	5,023
Adult General Education	<u>12,544</u>
Total	17,567

FLDOC was awarded the following grants for FY 2007-08 and 2008-09:

2007-2008 ADULT EDUCATION GRANTS

<u>Grant Number</u>	<u>Type</u>	<u>Total</u>	<u>Unexpended</u>
708-1918A-8CC01	AEFL, Corrections	\$1,022,722.00	0.00
708-1918A-8CH02	AEFL, Households	<u>\$70,085.00</u>	<u>\$31,338.16</u>
		\$1,092,807.00	

2007-2008 PERKINS GRANT

<u>Grant Number</u>	<u>Type</u>	<u>Total</u>	<u>Unexpended</u>
708-1528A-8CL01	Perkins, State Leadership	\$500,000.00	<u>\$85,006.36</u>

2008-2009 ADULT EDUCATION GRANTS

<u>Grant Number</u>	<u>Type</u>	<u>Total</u>	<u>Unexpended</u>
708-1919A-9CC02	AEFL, Corrections	\$1,000,000.00	0.00
708-1919A-8CH02	AEFL, Households	\$70,000.00	\$28,711.40
		\$1,070,000.00	

2008-2009 PERKINS GRANT

<u>Grant Number</u>	<u>Type</u>	<u>Total</u>	<u>Unexpended</u>
708-1629A-9CL01	Perkins, State Leadership	\$500,000.00	\$8,813.18

Additional information about FLDOC may be found at the following Web address: www.dc.state.fl.us

VI. MONITORING ACTIVITIES

The monitoring activities included pre-visit planning conference calls; pre-staffing meeting; entrance conference; interviews with administrators; record reviews; and exit conference. FLDOC correctional facilities are located in different parts of the state. The plan for the on-site visits to four selected Correctional Institutions was established in order for visits to occur in conjunction with site visits to other providers. The plan for the on-site visits to each of the selected sites consisted of interviews with administrators, teachers, and students by the DOE staff. The plan also includes visits to the classrooms for observation and verification of equipment inventory. Following is the list of selected sites and the range of dates in which the visit will occur:

- Calhoun Correctional Institution - December 8, 2009
- Broward Correctional Institution - April 13-16, 2010
- Polk Correctional Institution - February 2-5, 2010
- Wakulla Correctional Institution - May 25-28, 2010

Members of the DOE team made an on-site visit to FLDOC headquarters in Tallahassee on November 17-18, 2009.

Entrance Conference

The entrance conference for the FLDOC was conducted on November 17, 2009, in FLDOC headquarters in Tallahassee with Eric Gaines, Bureau Chief of Education and Initiatives; Allen Overstreet, Assistant Bureau Chief, Adult Education Programs; McKinley Crockett, Assistant Bureau Chief, Vocational Programs; Gwen Jordan Thomas, Operations and Management Consultant II; Ayopa Sawyer, Director of Finance; April Kalnin, Research and Training Specialist; Steven Byer, Manager, Academic Program; and Eric Potlock, Testing Coordinator.

Interviews

Administrative interviews were conducted with administrators for Adult and Career and Technical Education programs (4). Interviews were also conducted with Educational Property Administrators (2), Director of Finance, Staff Development Coordinator, Assistant Bureau Chief of Inmate Transition, and an administrator from the Bureau of Research and Data Analysis. All interviews were held during the course of the visit.

Records review

The following records were reviewed during the FLDOC visit:

- Policies and procedures for Academic programs
- Operating Capital Outlay Department Data Collection System
- Bureau of Inmate Transition Policy
- Policies and Procedures
- Expenditures Reports
- Educational properties
- Invoices
- Travel
- List of Teachers and staff paid from the funded grants

Exit Conference

The exit conference for the Florida Department of Corrections was conducted on November 18, 2009 and included DOE staff and the following FLDOC personnel:

- Eric Gaines, Bureau Chief of Education and Initiatives
- Allen Overstreet, Assistant Bureau Chief, Adult Education Programs
- McKinley Crockett, Assistant Bureau Chief, Vocational Programs
- Gwen Jordan Thomas, Operations and Management Consultant II
- Ayopa Sawyerr, Director of Finance
- April Kalnin, Research and Training Specialist
- Steve Byer, Manager Academic Programs
- Eric Potlock, Testing Coordinator

VII. RESULTS

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

Adult Education

- The program has regional offices with a program manager responsible for each of the Adult Education and academic programs
- Currently 89 teachers are teaching in ABE programs
- 70 teachers are paid from the general revenue funds and 19 from Adult Education grants
- Offers Inmate teacher aide training programs to student inmates
- Offers Teacher Certification programs
- Over 300 teaching certificates have been awarded
- Policies and procedures in place for Academic Education, Teacher Certification, in-service, Equal Employment Opportunity, and Anti-harassment programs
- CTE teachers are being TABE certified
- Teachers receive in-service points for being TABE certified
- Conducted a needs assessment to prioritize staff development activities
- Teachers are attending train the trainers at STAR, GED math, and National Center for Construction Education and Research training
- Provides a quarterly report record of staff development

Career and Technical Education

- There are four regional offices statewide with a program manager responsible for CTE programs.
- FLDOC communicates regularly with regional managers including bi-monthly conference calls.
- FLDOC offers 84 Career and Technical Education programs in Correctional Institutions.
- A monitoring tool is used to evaluate CTE programs annually; the tool is sent to the program supervisors in the field and then distributed to all the teachers for use.

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

Adult Education Programs

- Student inmates are required to take the TABE test
- Tests are conducted every four weeks to measure student progress
- Established accountability measures are in place for programs to measure the program success and teacher productivity
- Each correctional institution is reviewed quarterly based on the curriculum frameworks and number of certificates achieved
- Monthly evaluation reports are reviewed on each correctional facility based on enrollment and student assessment

- In cooperation with the Bureau of Inmate Transition, the student inmate is guaranteed to receive 100 hours of training mandated by the legislature that covers job readiness and life management skills
- Facilities endeavor to provide inmates with linkages for a seamless re-entry process to the community
- 1,733 inmates earned a GED in FY 2007-2008
- In FY 2007-2008, 1,405 inmates were identified as Hispanic or Latino and were enrolled in CTE programs.

FINDINGS

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

CONCERNS AND RECOMMENDATIONS

Concern: 2007-2008 NRS report indicated over 10% of student inmates enrolled in Adult Basic Education were Hispanic or Latino; English is not their native language. No ESOL classes are established or available

Recommendation:

Contact Philip Anderson, Adult ESOL program specialist at 245-9450 to learn about the Adult ESOL Curriculum Standards and its application. A conference call was scheduled and held with DOE and DOC staff to further discuss this concern. Philip Anderson discussed the availability of the following resources:

Career and Technical Education Programs

- CTE programs have entrance standards.
- Monthly reports of student progress are submitted to the state office by regional offices.
- Four institutions offer non-traditional CTE programs for females including automotive at Homestead and drafting in Lowell
- No online classes are offered because of security issues, but can do closed-loop instruction
- Correspondence classes for wastewater treatment are used and certified by DEP twice a year.
- Labor market data is used to develop new programs for the correctional facilities.
- Limited program offerings due to the nature of the facilities and safety issues
- Special population students are required to take the TABE test.
- Student plans are developed after TABE test results; guidance counselor and teachers are involved in the process.
- In January 2010 teachers will be attending training for NATEF to assure the Advanced Automotive programs are certified.
- In FY 2007-08, 2,037 vocational certificates were awarded to students.
- Integration of academics with CTE programs is an ongoing process between academic and CTE teachers.

FINDINGS

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

CONCERNS AND RECOMMENDATIONS

Concern:

CTE program administrator needs more information about industry certification by students

Recommendation:

Information for industry certification descriptions by title is available on the following Department of Education, Division of Career and Adult Education web site: www.Fldoe.org/workforce.com.

Bureau of Inmate Transition

- The Florida Department of Corrections provides job readiness and life management skills to inmates within the 12 months prior to release
- The Florida Department of Corrections provides re-entry seminars that are open to the adult and youthful offenders
- The Florida Department of Corrections has contracted with Tallahassee Community College to provide facilitators to teach employability skills programs;
- Bridges to Success Initiative is a \$750,000 federal grant awarded to Duval County to provide intensive pre-release services to 200 inmates and prepare them for transition back into the community.
- The Florida Department of Corrections has also been rewarded a \$450,000 federal grant, titled Bridges to Success that also targets Duval County releases.

FINDINGS

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

CONCERNS AND RECOMMENDATIONS

None

- C. 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.
- The Information Management System in use at FLDOC includes student, teacher, and financial records.
 - In 1995 legislators ordered FLDOC to review and improve quality of data collection.
 - Designed and developed procedures and prepared manuals for data collection statewide.
 - Developed individual screens for each demographic information and educational programs.
 - Each correctional facility is required to collect data.
 - Data collected in each facility is due by 20th of each month to the Bureau of Research and Data Analysis.
 - Provided AGE and CTE program managers with educational monthly reports
 - Audit reports are provided to each educational program manager
 - Electronic Student Records are available to teachers and administrators

FINDINGS

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

CONCERNS AND RECOMMENDATIONS

Concern: Data system only tracks students in AAMCO programs and not other industry certifications earned by students.

Recommendation:

Contact Dr. Mark Baird, Director of research and best practices at 245-9060 or via Email at Mark.Baird@fldoe.org to ensure that appropriate tracking is completed.

- D. TECHNOLOGY AND EQUIPMENT** refers to a review of the technology and equipment used by students and teachers in the classroom; addresses access, availability, innovation, use and condition.
- FLDOC follows State of Florida purchasing procedures.
 - FLDOC follows State of Florida guidelines for inventory and surplus.
 - Each of the four regional offices has a staff to handle inventory and equipment.
 - Central master files for educational properties are used by regional directors to input information.
 - Inventory will be reviewed at each of the four facilities to be visited.

FINDINGS

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

CONCERNS AND RECOMMENDATIONS

None

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

- FLDOC as a state agency follows state and federal mandated guidelines
- FLDOC has established policies and procedures for equal opportunity and anti-harassment.

FINDINGS

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

CONCERNS AND RECOMMENDATIONS

None

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

- It was noted that nineteen teachers and five part-time staff were paid from the grant.
- Staff participated in FLDOC workshops.
- Staff participated in FACTE and ACE of Florida annual conferences.
- Developed procedures and policies for CTE programs for Inmates, Academic Education programs, Teacher Certification and In-service, Anti-Harassment, Inmate Teaching Assistant, Voluntary Literacy Programs, and Research and Data Analysis

FINDINGS

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

CONCERNS AND RECOMMENDATIONS

None

G. 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.

- Operating Capital Outlay (OCO) policies and procedures
- Monthly expenditure reports for the ABE and CTE grants
- Educational property acquisition procedures and policies dealing with purchase orders to receipt and billing
- Appropriate approval signatures were in place
- Program managers are receiving expenditure reports
- Sample quarterly reports
- Sample of travel expenditures were reviewed

FINDING

No record for time and effort for the staff paid partially from Perkins and Adult Education grants or certification statements from those staff who are paid solely from a grant.

A Corrective Action Plan will be required to address the finding.

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

- FLDOC has partnerships with Florida Masonry Apprentice and Educational Foundation Inc.
- FLDOC has partnerships with Florida Departments of Children and Families, Revenue, and Health

FINDINGS

No findings of non-compliance were noted

CONCERNS AND RECOMMENDATIONS

None

VIII. REQUIRED RESOLUTION ACTIVITIES

1. Corrective Action Plan – The Florida Department of Corrections is required to complete a Corrective Action Plan (Appendix C) to address the finding noted in the financial section of this report regarding the completion of time and effort reports.
2. Action Plan - The Florida Department of Corrections must provide an Action Plan (Appendix C) to address the concerns noted in the focus areas of this report.

Once the Corrective Action or Action Plan is submitted, reviewed, and approved, if appropriate, the co-leader of the on-site visit is responsible for the regular follow-up with the agency's designated representative to ensure that resolution is complete.

IX. TARGETED TECHNICAL ASSISTANCE

Targeted technical assistance may be provided to support full compliance and systemic change for program improvement. Staff is encouraged to contact Division staff to assist their efforts toward systemic change.

Industry Certification: This site will be the primary source for information related to industry certifications and will be updated as the information for each certification is validated. The descriptions currently displayed are from the current Adult Education list, approved by the State Board of Education.

Communication with Chancellor's Office: CTE program leadership may want to consider participating in the Division of Career and Adult Education regular statewide conference calls to get updates on statewide issues and initiatives. The following Web site provides the schedule for the 2010 program year:
<http://www.fldoe.org/workforce/conf-call.asp>.

X. REMARKS AND PROMISING PRACTICES

The Quality Assurance Team recognizes the following:

- The Department and the Data Administrator are commended for a practical and comprehensive data collection system including regular review of data by all levels of staff.
- Prison Rehabilitative Industries and Diversified Enterprises (PRIDE) trained 3,640 inmates who worked almost four million hours in 39 diverse industries, farms, and operations located in 20 correctional institutions. According to PRIDE's 2007 Annual Report recidivism study, only 16% of PRIDE's former workers returned to prison.

XI. SUMMARY

Once the field work, including receipt of requested information is completed, a draft interim report is forwarded to the provider for review. Comments are accepted and considered. An interim report will be provided to the Florida Department of Corrections. The final report will be forwarded (once all site visits are completed) to the correctional institutions 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 of the participants in the Florida Department of Corrections on-site monitoring visit, especially Mr. Eric Gaines for his participation and leadership in this process.

Florida Department of Corrections
Adult Education Risk Matrix
2007-2008

Risk Factor	Criteria Scale	Value	Risk Factor Weight	Total Points
Total amount of agency funding from grants (2007-08)	\$ 2,000,001+	8	X6	36
	700,001 - 2 million	6		
	300,001 - 700,000	5		
	< 300,000	4		
Number of grants per agency (2007-08)	Per grant	2	X 6	24
Number of grants with 10% or more of unexpended funds (2007-08)	Per grant	5	X4	20
Audit findings relevant to internal control weaknesses during three (3) previous years for targeted agency.	16 + findings	10	X10	80
	11-15 findings	8		
	5-10 findings	6		
	1-4 findings	4		
Key organizational change within the last two (2) years.	Director	10	X 4	40
TOTAL Level of Risk Score				200

Florida Department of Corrections
C T E Risk Matrix
2007-2008

Risk Factor	Criteria Scale	Value	Risk Factor Weight	Total Points
Total amount of agency funding from grants (2007-08)	\$ 2,000,001+	8	6	30
	700,001 - 2 million	6		
	300,001 - 700,000	5		
	< 300,000	4		
Number of grants per agency (2007-08)	Per grant	2	6	12
Number of grants with 10% or more of unexpended funds (2007-08)	Per grant	5	4	0
Audit findings relevant to internal control weaknesses during three (3) previous years for targeted agency.	16 + findings	10	X10	80
	11-15 findings	8		
	5-10 findings	6		
	1-4 findings	4		
Key organizational change within the last two (2) years.	Director	10	X 4	40
TOTAL Level of Risk Score				162

Florida Department of Education
 Division of Career and Adult Education

Career and Technical Education

Adult Education

Corrective Action Plan

System Improvement Plan

Action Plan

<input checked="" type="checkbox"/> Citation/Finding(s) <input checked="" type="checkbox"/> Indicator/Current Data <input checked="" type="checkbox"/> Concern(s)	Strategies	Person Responsible	Projected Date of Completion (if applicable)
<p>CORRECTIVE ACTION PLAN</p> <p>Finding 1: Adult Education programs and Vocational Education programs did not report time and effort by the staff that have been paid from the grants</p>	<p>DOE will work with DOC to identify specific reports to complete for compliance</p>	<p>Eric Gaines Eileen Amy</p>	

ACTION PLAN

How will you address each concern listed in the report?

Concern 1:

Concern 2: