Workforce education

FLORIDA DEPARTMENT OF EDUCATION

Quality Assurance and Compliance Monitoring

Career and Technical Education
Adult Education and Family Literacy

Daytona State College

Final Report
June 30, 2009

FLORIDA DEPARTMENT OF EDUCATION

June 30, 2009

Dr. Kent D. Sharples, President
Daytona State College
1200 West International Speedway Boulevard
Daytona Beach, Florida 32114

Dear President Sharples:

We are pleased to provide you with the Final Report of Monitoring of the Adult Education and Family Literacy and Career and Technical Education Programs in Daytona State College. 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 Associate Vice Presidents Kristy Presswood, Gerald Frisby and Nicole Whetstine throughout the monitoring 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,

Loretta Costin

LBC/ela

Enclosure

Cc: Gloria Spradley-Brown
        Eileen Amy
        Kristy Presswood
        Gerald Frisby
        Nicole Whetstine

Daytona State College
Quality Assurance Monitoring Report
Final Report

I.   PURPOSE

The Florida Department of Education (FLDOE), Division of Workforce 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 workforce education funds and regulatory compliance of providers on a regular basis.

II.   AUTHORITY

The Florida Department of Education receives federal funding from the US 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. FLDOE awards sub grants to eligible providers to administer local programs. FLDOE 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 Workforce Education is required to oversee the performance of district school boards and community college board of trustees in the enforcement of all laws and rules (Sections 1001.03(8) and 1008.32, Florida Statutes (F.S.)).

For the Federal awards it makes, a pass-through entity shall monitor the activities of sub recipients as necessary to ensure that Federal awards are used for authorized purposes in compliance with laws, regulations, and the provisions of contracts or grant agreements and that performance goals are achieved. OMB Circular, A-133§___.400

Each state agency and the judicial branch as defined in §216.011, F.S. shall establish and maintain management systems and controls that promote and encourage compliance; economic, efficient, and effective operations; reliability of records and reports; and safeguarding of assets. Accounting systems and procedures shall be designed to fulfill the requirements of generally accepted accounting principles. §215.86, Florida Statutes (F.S.)

III.   QUALITY ASSURANCE POLICIES, PROCEDURES, AND PROTOCOLS

The Quality Assurance Policies, Procedures and Protocols (Monitoring Manual) were provided to all agencies during the summer of 2008. The Monitoring 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.

IV.   STATE PLANS

The State Plan required by the Carl D. Perkins Act of 2006 (Perkins IV), provides assurances that the eligible agency will comply with the requirements of Perkins IV and the provisions of the Florida State Plan.

The State Plan for Adult Education and Family Literacy programs is an agreement between the State of Florida and the federal government to assure that the administration of such programs is consistent with the state's goals, policies and objectives, and with federal laws and regulations. As stated in the Plan, the Compliance Monitoring Team (Quality Assurance Team) has the responsibility of monitoring and conducting program compliance and performance evaluations to adequately assess progress toward achieving stated goals and objectives.

V.   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 Process - Adult Education
The Risk Assessment process is applied to all providers to determine appropriate monitoring strategies. Providers are ranked on performance indicators first; operational risk factors are then assessed by using the Risk Matrix. The results of the Risk Assessment Process are used to determine the appropriate monitoring strategy(ies) to be implemented.

In the initial selection process, 17 providers were ranked in the lowest quartile of performance in Adult Education and therefore, were identified as targeted providers. The Risk Matrix was completed on providers, ranked high to low, and six of the providers with the highest total Risk Assessment score were designated to receive an onsite monitoring visit. Appendix A provides a consolidated explanation of the Risk Assessment Process and is also contained in the Quality Assurance Policies, Procedures, and Protocols, Section E.

It was determined that Daytona State College's (DSC) Adult Education and Family Literacy Program would receive an onsite visit. The college was in Tier 4 of Adult Education providers based on the 2006-07 student performance data submitted on the Final-Year Performance Reporting Form, see Appendix A. The college's Risk Assessment score was 268, resulting in one of the highest scores in Tier 4.

The Quality Assurance team proceeded to complete the risk assessment process:

Adult Education Risk Assessment Score	Points
Performance Score –Tier 4	20
Operational Risk Factors Score – Risk Matrix	248
TOTAL Adult Education Risk Assessment Score	268

Once a Risk Assessment is completed for a targeted provider, additional programs operated by the provider may be reviewed. In order to utilize resources effectively, the Career and Technical Education (CTE) program and grants implemented by the college were also monitored.

The Quality Assurance team completed the Risk Assessment Process for CTE:

Career and Technical Education Risk Assessment Score	Points
Performance Score – No Data	0
Operational Risk Factors Score – Risk Matrix	108
TOTAL Risk Assessment Score	108

Since 2006-07 student performance data was used to rank Career and Technical Education (CTE) providers, and Daytona State College serves postsecondary CTE students, there was no data for DSC available at the time the Risk Assessment was performed. Factors that contributed to the Total Risk Assessment Score were: number and amount of grants awarded, unexpended funds, prior audit and/or monitoring findings, and a key organizational change within the last two years.

VI.   DAYTONA STATE COLLEGE

In 1957, the Florida Legislature authorized Daytona Beach Junior College (DBJC) as the state's first comprehensive community college. In 1965, Volusia County Community College merged with DBJC. In 1971, DBJC was renamed Daytona Beach Community College (DBCC). Over the years, the college has evolved from a single small campus to a multi-campus institution providing educational and cultural programs for the citizens and students of Volusia and Flagler Counties.

In 2006, the College was authorized to begin offering its first bachelor's degree, the Bachelor of Applied Science in Supervision and Management. In 2008, Daytona State College became the new name when the College joined eight other colleges selected to be part of Florida's first state college pilot project.

Beginning Spring semester 2009, DSC will also begin offering seven specialized bachelor's degrees in Education. The College serves more than 33,000 students annually, with adult education, career and technical education, and college credit programs.

Daytona State College CTE and Adult Education total student enrollment for 2006-07:

CTE Secondary	CTE Postsecondary	Adult General Education	Total
0	7173	6409	13582

DSC was awarded the following grants for FY 2006-07 and 2007-08:
2006-2007 ADULT EDUCATION GRANTS

Grant Number	Type	Total	Unexpended
642-1917A-7CG01	Geographical	$ 374,639.00	$ 11,457.72
642-1917A-7CC02	Adult Corrections	$ 74,416.00	$ 4,996.75
642-1937A-7CE02	English Literacy and Civics	$ 59,319.00	$ 15,974.66
642-1937A-7CE01	English Literacy and Civics	$ 40,811.00	$ 11,090.04
642-1927A-7PL01	Adult Leadership	$ 134,925.00	$ 17,708.77
642-1927A-7PL02	Adult Leadership	$ 100,000.00	$ 27,000.00
		$1,907,312.00	**$ 90,171.63**

2006-2007 PERKINS GRANT

Grant Number	Type	Total	Unexpended
642-1517A-7CP01	Postsecondary	**$1,123,202.00**	**$ 1,943.69**

2007-2008 ADULT EDUCATION GRANTS

Grant Number	Type	Total	Unexpended
642-1918A-8CG05	Geographical	$ 594,069.00	$ 0.00
642-1918A-8CC04	Adult Corrections	$ 104,469.00	$ 8,155.82
642-1938A-8CE02	English Literacy and Civics	$ 56,028.00	$ 10,628.26
642-1918A-8CH01	Literacy Ed for Households	$ 77,704.00	$ 53,247.66
642-1918A-8CH03	Literacy Ed for Households	$ 82,519.00	$ 64,806.07
642-1928A-8PL01	Adult Leadership	$ 97,222.23	$ 1,901.76
		$1,012,011.20	**$138,739.57**

2007-2008 PERKINS GRANTS

Grant Number	Type	Total	Unexpended
642-1518A-8CP01	Postsecondary	**$1,249,284.00**	**$ 0.00**

Information about Daytona State College may be found at the following web address:
        http://www.daytonastate.edu/

VII.   MONITORING ACTIVITIES

Notification
The monitoring strategy for Daytona State College was determined to be an onsite visit. Notification was sent to Dr. D. Kent Sharples, Daytona State College President, on August 7, 2008. The designated representatives for the agency were Gerald Frisby, Associate Vice-President for Workforce Education and Kristy Presswood, Associate Vice-President for Adult Education. The on-site visit to the agency was conducted March 17-20, 2009 by three Bureau staff members, Ms. Eileen L. Amy, Director of Quality Assurance and Compliance and Program Specialists, Mr. Tashi Williams, and Ms. Sheryl Walden.
The monitoring activities included pre-visit planning conference calls; entrance conference; interviews with administrators, teachers, students; observations; record reviews; and an exit conference.

Onsite Visits
Members of the team made onsite visits to the following locations and programs:
- Daytona State College (Main Campus) – ABE Reading; ABE Math; Fresh Start Men's Program
- Volusia County Correctional Facility – Corrections Adult Education/GED programs (men's and women's classes)
- Daytona State College (Deltona Campus) – Cosmetology; ESOL
- Advanced Technology College (ATC) – Digital Media; Manufacturing Technology; Drafting and Design Technology with Computer Aided Design (CAD); Automotive Service Management Technology; Automotive Collision Repair and Refinishing; and the Robotics Lab and Computer Lab

Entrance Conference
The entrance conference for the DSC was conducted on March 17, 2009 and included the Associate Vice-President for Workforce Development, the Associate Vice-President for Adult Education and other administrative staff.

Interviews/Observations
Administrative interviews were conducted with the Associate Vice-President for Workforce Development, the Associate Vice-President for Adult Education and other administrative staff (8). Interviews were conducted with 12 instructional staff/program and transition specialists and eight students. Sixteen observations were completed. All interviews and observations were held during the course of the visit.

VIII.   RESULTS

ADMINISTRATIVE refers to the management and/or supervision of programs, staff, facilities and activities.

Administrative refers to the management or supervision of programs, staff, facilities and activities.

- Administrators are everywhere!
  - o Actively involved in programs and classes
  - o Dedicated to students and their performance
    - Ability to make changes on the spot to benefit students
  - o "Cheerleaders" for programs and services
    - Nothing unachievable

- All Administrative Staff
  - o Totally student oriented
  - o Experienced, credentialed with longevity with the college
  - o Forthcoming and cooperative
  - o Cheerfully inspiring
  - o Personal commitment demonstrated through volunteer work

- Teamwork inspired program development and enrichment
  - o Team permeates instruction
  - o Problem solving is encouraged
  - o Equal playing field for all levels of staff
  - o Supportive of staff, no intimidation, collegiality, and team mentality

FINDINGS
No findings of non-compliance were noted

CONCERNS AND RECOMMENDATIONS
None

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.

- Data used for risk assessment does not reflect the accomplishments of DSC
- Information Management System in use at DSC (Ed Plan) includes student, teacher, and financial records
  - o Data can be filtered by student, teacher, class, etc.

On May 21, 2009, the Division of Workforce Education received the Adult Education Monitoring Report from the U.S. Office of Vocational and Adult Education (OVAE). In order to be responsive to the findings in the OVAE monitoring report, for those Workforce Education reports not yet finalized or disseminated, additional time was taken to provide more in-depth discussion regarding the data processes, procedures, and issues of the agency. For this additional information, see Appendix B.

FINDINGS
No findings of non-compliance were noted

CONCERNS AND RECOMMENDATIONS

None

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.

- Calm and quiet
- Mature atmosphere
- Students in class, not loitering
- Student Dress
    - Appropriate for work
    - Reflects work orientation
- Clean, well maintained campus and facilities
- Technology is evident
- Supplies are available
- Classes and instruction offered at various times (evenings, early mornings, days)
- Innovative
- Utilizes skills of staff
- Students return to contribute to classes and programs
- User and learning friendly
- State-of-the-art equipment/content/training tools
- Uses partnerships with vendors to benefit programs
- Café 101 showcases hotel management/culinary program

FINDINGS
No findings of non-compliance were noted

CONCERNS AND RECOMMENDATIONS
None

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

- Non-discrimination statements were posted on bulletin boards and in common areas accessible to students, parents, visitors, and staff.
- Additionally, non-discrimination statements were observed in DSC recruitment materials and other DSC publications available to students, parents, visitors, and staff, **as required by federal non-discrimination laws.** Statutory Authority**:** Title VI of the Civil Rights Act of 1964 [PL. 88-352]: (Title VI of the Civil Rights Act of 1964 [P.L. 88-352]. Title IX of the Education [20 U.S.C. 1681-1683 and 1685-1686], Section 504 of the Rehabilitative Act of 1973, as amended [29 U.S.C. 794 [42 U.S.C. 6101-6107]

FINDINGS
No findings of non-compliance were noted

CONCERNS AND RECOMMENDATIONS
None

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 were reviewed while visiting the Daytona State College:
  - Personnel Activity Reports (PARs) for part-time employees
  - Certifications for 100% employees
  - Credentials of teachers/resumes
  - Position Descriptions
  - Student Handbook
  - Individual Notebooks for Transition specialists
  - Formats for Individual Performance Reviews
  - VPI enrollment, sequences, all inclusive documentation of program including data
  - Adult Education student handbook
  - Brochures for individual programs and recruitment; testing
  - Advisory Committee Meeting Minutes
  - Men's Fresh Start Program/EL Civics
  - Fresh Start ABE Manual
  - Continuous replenishment of equipment
    - Cycled through various programs

FINDINGS
No findings of non-compliance were noted

CONCERNS AND RECOMMENDATIONS
None

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.

- Property and inventory followed policy
- Property identified with grants – observed to be tracked and tagged
- Financial Management System Self Assessments complete
- Fixed Assets records provided
- Reconciliation/General Ledger and Database report
- Payroll records – sample provided
- Travel documentation – sample provided

FINDINGS
No findings of non-compliance were noted

CONCERNS AND RECOMMENDATIONS
None

TECHNOLOGY/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.

- State-of-the-art equipment/training tools in CTE classes
- Computers available in classrooms as well as labs
- Large learning labs with variety of educational software

<u>FINDINGS</u>
No findings of non-compliance were noted

<u>CONCERNS AND RECOMMENDATIONS</u>
None

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

- Collaborative agreements, partnerships, or memoranda of understanding to benefit programs existed with the following:
  - Flagler and Volusia Counties
  - Community/City for internships
  - Hospitals for clinicals
  - Automobile Dealerships provide cars
  - Police Department
  - HAAS – equipment agreement
  - Pick N Pull provides old cars
  - Community Centers
    - Community Events held in ATC building
  - NASCAR provides automotive support

<u>FINDINGS</u>
No findings of non-compliance were noted

<u>CONCERNS AND RECOMMENDATIONS</u>
None

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

- Instructional Staff
  - Enthusiastic
  - Demonstrated commitment to program
  - Used various methods of instruction and styles
    - One-to-one, small group, large group
    - Use of technology
- Students
  - Range of age
  - Culturally diverse
  - Selection of instructors and content masters to choose from
  - Orientation process not intimidating
  - Easy access to resources
  - Ability to make up assignments/previous assignments
- Instructional Materials
  - Plentiful
  - Variety of software
    - Sam's modules/McGraw Hill
    - Rosetta Stone
    - Microsoft Office
    - Crossroads Café
    - Learning Lab

<u>FINDINGS</u>
No findings of non-compliance were noted

<u>CONCERNS AND RECOMMENDATIONS</u>
None

PROGRAMS refers to the review of the various programs offered by the agency: Adult Education and Family Literacy, Career and Technical Education, English Literacy and Civics Education, and/or Corrections programs.

- Innovative
- Use skills of staff
- Integration of academics with CTE course content evident through common lesson plans and planning times
- Students return to contribute
- User and learning friendly
- DSC Program Guides
    - Information about each program, costs, requirements, eligibility criteria, list of classes
    - Program and placement tests, with qualifying TABE scores for certificates
    - Explanation of charges
    - Number of minority students currently enrolled
- Career and Technical Education
    - Scholarships available for students enrolled in programs whose length is too short to qualify for financial aid
- Adult Education and Family Literacy
    - Challenges of working with students
        - Retention
        - Transportation issues
        - Childcare so that student is able to attend class
        - Poverty mentality
        - Lack of support
- Corrections
    - Lead Supervisor is knowledgeable, experienced, focused, enthusiastic
    - Teachers interact with students enthusiastically
    - Students are engaged and attentive
    - Jail classes, have limited use of computers (no Internet)

<u>FINDINGS</u>
No findings of non-compliance were noted

<u>CONCERNS AND RECOMMENDATIONS</u>
None

OVERALL FINDINGS
None

IX.   REQUIRED RESOLUTION ACTIVITIES

<u>Career and Technical Education</u>
None

<u>Adult Education and Family Literacy</u>
None

X.   REMARKS

The following are additional comments made by the Quality Assurance Team in regard to the monitoring visits:
- Leadership from the top down is positive, supportive, and very involved.
- Those interviewed were cooperative and forthcoming; they were proud of their AE and CTE programs and welcomed an opportunity to share information concerning them.
- Teachers are qualified, engaged and enthusiastic.
- The variety of programs was impressive.
- Students were attentive and actively engaged.
- DSC has demonstrated a commitment to the use of technology by students and staff.
- Teachers have opportunities to attend conferences for staff development.
- Integration of academics with CTE course content was demonstrated consistently.

XI.   SUMMARY

Once the field work, including receipt of requested information is completed, a draft report is forwarded to the College 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 team 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.

Florida Department of Education
Division of Workforce Education

Consolidated Risk Assessment Process
Career and Technical Education

Purpose: To identify the process used by the Quality Assurance Team to select Workforce Education providers for specific monitoring strategies.

A Risk Assessment process is used to determine appropriate monitoring strategies. In the initial selection process, providers ranked in the fourth quartile of performance in Career and Technical Education, were identified as targeted providers. The targeted providers with the highest risk assessment scores may be subject to onsite monitoring.

Performance Score - Given the performance data available, providers' performance was divided into four quartiles and assigned tiers and points. The scale based on quartile of performance (from highest to lowest performance) for career and technical education:

- First quartile   Tier 1 = 5 points (highest performance)
- Second quartile   Tier 2 = 10 points
- Third quartile   Tier 3 = 15 points
- Fourth quartile   Tier 4 = 20 points (lowest performance)

Performance data utilized for Career and Technical Education: 2006-07 (or most recent and available) adult basic education (ABE) performance data.

Operational Risk Factors Score

- The following operational risk factors are used:
  - Total amount of agency funding for 2006-07 (or current year)
  - Number of grants for 2006-07 (or current year)
  - Number of grants with 10% or more of unexpended funds for 2006-07 (or current year)
  - Audit and/or monitoring findings relevant to internal control weaknesses during three (3) previous years for provider
  - Change in director within the past two (2) years
- A value is assigned for each of these operational risk factors
- The value is multiplied by the risk factor weight, resulting in a total number of points for the specific operational risk factor
- The risk factors are added for an Operational Risk Factors Score

Total Risk Assessment Score - totals the following factors for targeted providers to provide separate scores for Career and Technical Education:

> Performance Score +
> Operational Risk Factors Score =
> **TOTAL Risk Assessment Score**

Example: Provider A is a targeted provider because this agency was in the lowest quartile (Tier 4) for career and technical education performance. The Quality Assurance team proceeds to complete the risk assessment process:

Career and Technical Education Risk Assessment Score	Points
Performance Score – highest quartile+	20
Operational Risk Factors Score – Risk Matrix=	100
TOTAL Career and Technical Education Risk Assessment Score	130

Provider Selection Calculation

The monitoring strategies to be applied to targeted providers are determined by calculating a total of the Level of Performance Score and the Risk Matrix Score. Provider totals will be ranked and divided into tiers. Each tier will be assigned appropriate monitoring strategy(ies). Onsite monitoring visits may be implemented for agencies at the greatest level of risk.

Once a risk assessment is completed for a targeted provider, additional programs operated by the provider may be reviewed. Additional grants or contracts in the geographical area may also be reviewed during an onsite monitoring visit to use resources effectively.