Quality Assurance and Compliance Monitoring

Adult Education and Family Literacy

Hillsborough County School District

Final Report
November 30, 2011

FLORIDA DEPARTMENT OF EDUCATION

Gerard Robinson
Commissioner of Education

Kathleen Taylor, Interim Chancellor
Division of Career and Adult Education

Just Read,
Florida!

November 30, 2011

Ms. MaryEllen Elia, Superintendent
Hillsborough County Public Schools
901 East Kennedy Boulevard
P.O. Box 3408
Tampa, Florida 33601

Dear Superintendent Elia:

We are pleased to provide you with the Final Report of Monitoring of the Adult Education and Family Literacy programs from our visit on September 12-15, 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,

Kathleen Taylor

KT/ela

Enclosure

C: Marc Hutek
       Sheryl Walden

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I.   INTRODUCTION

The Florida Department of Education (FDOE), Division of Career and Adult Education (Division), in carrying out its roles of leadership, resource allocation, technical assistance, monitoring and evaluation, is required to oversee the performance and regulatory compliance of recipients of federal and state funding. The Quality Assurance 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 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 2011-12 *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) 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 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 Hillsborough County Public Schools (HCPS) was determined to be an onsite visit. Notification was sent to Ms. MaryEllen Elia, Superintendent of Hillsborough County Public Schools, on July 18, 2011. The designated representative for the agency was Marc Hutek, Director of Adult Education.

The onsite visit to the agency was conducted September 12-15, 2011, by three representatives of the Quality Assurance Section of the Division: Ms. Eileen L. Amy, Director of Quality Assurance and Compliance and Program Specialists, Mr. Tashi Williams and Ms. Sheryl Walden.

V.   HILLSBOROUGH COUNTY PUBLIC SCHOOLS

The total student enrollment for Adult General Education in 2009-10 is 16,607.

The provider was awarded the following grants for FY 2009-10 AND 2010-11:

2009-2010 ADULT EDUCATION GRANTS

Grant Number	Type	Total	Unexpended Funds
290-1910A-0CG01	Adult Geographical	$1,180,556	-0-
290-1930A-0CE01	EL/Civics	$345,326	-0-
290-1910A-0CC01	Corrections	$100,000	-0-

2010-2011 ADULT EDUCATION GRANTS

Grant Number	Type	Total	Unexpended Funds
290-1910A-0CG01	Adult Geographical	$1,180,556	-0-
290-1931A-0CE01	EL/Civics	$345,326	-0-
290-1911A-0CC01	Corrections	$100,000	-0-

Additional information about the provider may be found at the following Web address: http://www.sdhc.k12.fl.us/.

VI.   MONITORING ACTIVITIES

The monitoring activities included pre-visit planning conference calls; an 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:

- Brandon Adult and Community School
- Chamberlain Adult and Community School
- Kimmins Family Learning Center
  - Brewster Technical Center
  - GED Testing Office
- Aparicio-Levy Technical Center
- University Area Community Center (UACC)
- Tampa Workforce Alliance Center
- Project Craft
- Leto Adult and Community School
- Falkenberg Road Jail

- Dover-San Jose Mission Learning Center

Entrance Conference
The entrance conference for the Hillsborough County Public Schools was conducted on September 12, 2011, and included:

- Marc Hutek, Director of Adult Education
- Mark E. Kenney, Supervisor of Adult Instruction
- Karen Crescenzi, Accountant 3
- J. Michelle Loango, Community School Administrator
- Iowana Whitman-Tims, District Resource Teacher
- Ed Cristiano, Administrator, Brandon Adult and Community School
- Eileen L. Amy, Director of Quality Assurance and Compliance
- Tashi Williams, Program Specialist, Quality Assurance and Compliance
- Sheryl Walden, Program Specialist, Quality Assurance and Compliance

Interviews/Observations
Interviews were conducted with the administrative staff, instructional staff/program and transition specialists and students. Twenty interviews and twenty observations were conducted. A minimum of two interviews and observations were completed at each site. All interviews and observations were held during the course of the visit.

Records Review
Program, financial, and administrative records were reviewed. A complete list is provided in Section VII, Section G. A minimum of 15 student records were reviewed. Some policies and procedures were reviewed at the agency's website and discussed at various times during the onsite visit.

Exit Conference
The exit conference for the Hillsborough County Public Schools was conducted on September 15, 2011 and included:

- Marc Hutek, Director of Adult Education
- Mark E. Kenney, Supervisor of Adult Instruction
- Donna Wilson, Manager, Divisional Program Services
- Iowana Whitman-Tims, District Resource Teacher
- Eileen L. Amy, Director of Quality Assurance and Compliance
- Tashi Williams, Program Specialist, Quality Assurance and Compliance
- Sheryl Walden, Program Specialist, Quality Assurance and Compliance

VII.   RESULTS

Hillsborough County Public Schools
September 12-15, 2011

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

- Leadership is knowledgeable, passionate about the mission and student-focused.
- Strong oversight of programs was evident, yet innovation was encouraged.
- District Resource Teachers are available to sites in key areas.
- The District is aware of succession planning, has leadership training available, and encourages mentoring.
- Administrators are located at each site, in addition to the Community School Administrators (CSAs).

- Adult Education sites included churches, community centers, missions, technical centers and high schools and were located throughout the community.
- Classes were accessible to the community during the day and evening.

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

CONCERNS AND RECOMMENDATIONS
None

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.

- Student attendance is kept as instructional time.
- It was evident throughout the programs that data is a priority.
- All staff members are trained about data and their role in the data process.
  - Administrators and teachers use data; reports are available and accessed frequently.
  - Teachers know the importance of data and are focusing instruction accordingly.
- Sites are flexible with providing testing; this is important to keep students.
- Many staff members are trained and available for testing students if needed.

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

CONCERNS AND RECOMMENDATIONS
None

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

- Textbooks were current and available to students.
- Learning materials were plentiful and varied.
- Varied instructional methods were observed.
- Teachers interacted consistently and frequently with students.
  - Many of the teachers were animated in their interactions with students.
- Students in ESOL classes were given many opportunities to speak English.
- Prescriptive software was being used, using pre- and post-testing results.
- Use of Contemporary SAMS modules provides sequential learning mileposts, with pre- and post-testing results.

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

CONCERNS AND RECOMMENDATIONS
None

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

- The inventory list was complete with all the required elements as required by EDGAR.
- Completing the monitoring inventory process was expedited by the organized tool that was provided to monitoring staff.
- Technology is available, accessible and current.

- Computer labs were observed in various locations, both in separate classrooms and within the classroom environments.
- Technology was being used by both students and teachers.

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

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.

- All of the environments observed were spacious and furnished appropriately for students.
- All campuses felt secure; resource officers were visible.
- Site Administrators had the flexibility to hire security if needed.
- Additional signage would be helpful, enhance the program, and perhaps increase community participation.

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

CONCERNS AND RECOMMENDATIONS
1. Concern: It was often difficult to locate Adult Education and ESOL classes at various sites.

   Recommendation: Post additional signs to make it easier to locate the buildings/rooms where Adult Education and ESOL classes meet.

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

- Buildings were accessible for public use.
- Non-discrimination notices were broadly posted throughout the sites and on the HCPS website.
- Teachers knew how and to whom to report issues of discrimination.
- All brochures and District materials reflected the non-discrimination statement.
  - All required protected classes were listed in the statement.

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

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 were reviewed:

- Student handbook
- Student Intake Procedure and forms
- Assessment manual
- Various staff development/training manuals
- Professional Development Plans
- Brochures and other printed materials

- Purchase orders
- Purchasing card (P-card) records
- Non-Discrimination Statements, both posted and in printed materials
- Electronic and hard copy student records (admission/enrollment forms, test results, student class schedule)
- Financial and Board Policies and Procedures
- Personnel Activity Reports (PARS) and Certification Statements
- Monthly ledgers
- Travel requests, authorizations and reimbursement documentation
- Articulation Agreements
- Inventory lists by campus and room number

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

CONCERNS AND RECOMMENDATIONS
None

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.

- Samples of purchasing card transactions, travel documentation and staff development transactions were reviewed.
- The staff was reminded to use appropriate actions to correct entries: one line strike-through, initial and date. This will ensure that all information, including approvals, is current.
- Representatives from the District office provided significant input through a telephone conference; systems were explained, policies reviewed, and any initial concerns previously noted were eliminated.
- Personnel Activity Reports (PARs) were reviewed with the reminder to ensure that the employee signs certification statements; current ones were completed appropriately.
- Financial policies and procedures are available on the Web, and procedures were followed as demonstrated by the records reviewed.
- The onsite bookkeeper was organized and very helpful; all files were complete and available for review.

FINDINGS
None

CONCERNS AND RECOMMENDATIONS
1. Concern: In reviewing financial records, numerous entries were crossed out or changed with the use of white out; it is unclear who made the changes and if the employee signatures or supervisor signatures/approvals were completed before or after the changes.

   Recommendation: Review with employees and supervisors the appropriate way to make corrections; provide evidence of the review/training.

VIII.   REQUIRED RESOLUTION ACTIVITIES

ADULT EDUCATION

1. Corrective Action Plan – Hillsborough County Public Schools (HCPS) is not required to complete a Corrective Action Plan (Appendix B) as there were no findings noted in the focus areas in Section VII of this report.

2. Action Plan - The District must provide an Action Plan (Appendix B) to address the concern noted in the focus areas E - Learning Environment and H - Financial, 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. Staff is encouraged to contact Division staff to assist their efforts toward systemic change.

X.   REMARKS or POSITIVE PRACTICES

The following are additional comments made by the Quality Assurance Team in regard to the monitoring visits. Monitoring staff noted the following innovative programs and strategies during the visit to Hillsborough County Public Schools:
- Project Craft
- San Jose Mission
- Greenhouse at the Falkenberg Jail
- Underage GED Program
- District Resource Teachers (DRTs)
- Use of websites www.mathtv.com and www.edtogo.com
- Spanish version of the website

XI.   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 Hillsborough County Public Schools' onsite monitoring visit. Special thanks to Marc Hutek for his participation and leadership in this process.

Appendix A
RISK MATRIX

Risk Factor	Criteria Scale	Value (V)	Risk Factor Weight	Total Points
Total amount of agency funding from grants (2008-09)	$ 2,000,001+	8	V x 6	= 36
	700,001 – 2 million	6		
	300,001 - 700,000	5		*(total points)*
	< 300,000	4		
Number of grants per agency (2008-09)	Number of grants (#)	(#) x 2 = V	V x 6	= 36
Number of grants with **10%** or more of unexpended funds (2008-09)	Number of grants (#)	(#) x 5 = V	V x 4	= 0
Audit findings relevant to internal control weaknesses during three (3) previous years for targeted agency.	16 + findings	10	V x 10	= 80
	11-15 findings	8		
	5-10 findings	6		
	1-4 findings	4		
Key organizational change within the last two (2) years.	Director (#) Yes = 1 No = 0	10 x (#) = V	V x 4	= 40
			TOTAL Level of Risk Score	192

RESOLUTION PLAN

☐ Career and Technical Education   ☐ Corrective Action Plan

☒ Adult Education   ☒ Action Plan

	Strategies	**Person Responsible**	**Projected Date of Completion**
CORRECTIVE ACTION PLAN Citation/Finding(s): None.			
ACTION PLAN Concern(s**):** 1. It was often difficult to locate Adult Education and ESOL classes at various sites.	Post additional signs to make it easier to locate the buildings/rooms where Adult Education and ESOL classes meet.	**Marc Hutek-Director**	11/04/2011
2. In reviewing financial records, numerous entries were crossed out or changed with the use of white out; it is unclear who made the changes and if the employee signatures or supervisor signatures/approvals were completed before or after the changes.	Review with employees and supervisors the appropriate way to make corrections; provide evidence of the review/training.	**Marc Hutek-Director**	10/31/2011
Do you have a program improvement plan in place? If yes, provide copy. No-Two Items Above Addressed with Strategies Listed.			
Technical Assistance Needed and/or Provided: Director comfortable implementing action plan, no additional technical assistance needed.			
Date and Status of Action – Completed/Pending #1 Directives placed to community school administrators on 10/31/11 with strategies to be completed 11/04/2011. #2 Employees involved in financial purchasing/recordkeeping were provided directions in making corrections on auditable items.			
Plan submitted by: Marc Hutek, Director Date: 10/31/2011 Plan accepted by : Eileen L. Amy Date: 11/16/2011			