Quality Assurance and Compliance Monitoring

Adult Education and Family Literacy

Indian River State College

**Final Report
March 24, 2011**

FLORIDA DEPARTMENT OF EDUCATION

Dr. Eric J. Smith
Commissioner of Education

Loretta Costin, Chancellor
Division of Career and Adult Education

Just Read, Florida!

March 24, 2011

Dr. Edwin R. Massey, President
Indian River State College
3209 Virginia Avenue
Fort Pierce, Florida 34981-5596

Dear Dr. Massey:

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 24-28, 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,

Loretta Costin

LBC/ela

Enclosure

CC: Anthony Iacono
       Eileen L. Amy
       Tashi Williams

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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 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 (AE) 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 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 college boards of trustees 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 *Quality Assurance Policies, Procedures, and Protocols* (Manual) was provided to all agencies during September 2010 prior to the monitoring visit. The draft Manual was provided to each provider 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 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 Indian River State College (IRSC) was determined to be an on-site visit of its AE programs. Notification was sent to Dr. Edwin R. Massey, President of Indian River State College, on July 28, 2010. The designated representative for the College was Dr. Anthony J. Iacono, Associate Dean of Developmental Education.

The on-site visit to the College was conducted January 24-28, 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, Ms. Sheryl Walden, and Mr. Tashi Williams.

V. INDIAN RIVER STATE COLLEGE

The total AE student enrollment data for 2008-09 is 6,394.

The provider was awarded the following grants for FY 2008-09, 2009-10 and 2010-11:

2008-2009 ADULT EDUCATION GRANTS

Grant Number	Type	Total	Unexpended Funds
562-1919A-9CG01	Adult General Education	$ 80,280	$ 0.00
562-1919A-9CG03	Adult General Education	$ 286,551	$ 0.00
562-1919A-9CG04	Adult General Education	$ 69,564	$ 0.00
562-1939A-9CE01	EL/Civics	$ 55,471	$ 0.00
562-1939A-9CE02	EL/Civics	$ 34,004	$ 0.00
562-1939A-9CE03	EL/Civics	$ 27,398	$ 0.00
562-1929A-9PL01	Leadership	$ 100,000	$ 30,562
562-1949A-9PL01	Leadership	$ 50,000	$ 26,508
562-1919A-9CC02	Corrections	$ 54,687	$ 0.00

2009-2010 ADULT EDUCATION GRANTS

Grant Number	Type	Total	Unexpended Funds
562-1910A-0CG01	Adult General Education	$ 75,540	$ 0.00
562-1910A-0CG02	Adult General Education	$ 93,500	$ 0.00
562-1910A-9CG03	Adult General Education	$ 282,785	$ 0.00
562-1930A-0CE01	EL/Civics	$ 44,189	$ 0.00
562-1930A-0CE02	EL/Civics	$ 82,354	$ 0.00
562-1930A-0CE03	EL/Civics	$ 33,033	$ 0.00
562-1920A-0PL01	Leadership	$ 100,000	$ 0.00
562-1940A-0PL01	Leadership	$ 75,000	$ 0.00
562-1920A-0PL02	Leadership	$ 225,000	$ 0.00
562-1910A-0CC01	Corrections	$ 54,844	$ 0.00

2010-2011 ADULT EDUCATION GRANTS

Grant Number	Type	Total
562-1911A-1CG01	Adult General Education	$ 93,500
562-1911A-1CG02	Adult General Education	$ 75,540

562-1911A-1CG03	Adult General Education	$ 282,785
562-1931A-1CE01	EL/Civics	$ 82,354
562-1931A-1CE02	EL/Civics	$ 44,189
562-1931A-1CE03	EL/Civics	$ 33,033
562-1921A-1PL02	Leadership	$ 475,000
562-1911A-1CC01	Corrections	$ 54,844

Additional information about the provider may be found at the following web address: http://www.irsc.edu/.

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.

<u>On-site Visits</u>
Members of the team made on-site visits to the following locations:

- Main Campus
- Chastain Campus
- Mueller Campus
- R. Duke Nelson Human Development and Resources Centre, Blackburn Building

<u>Entrance Conference</u>
The entrance conference for Indian River State College was conducted on January 24, 2011, and included Dr. Anthony Iacono, Associate Dean of Developmental Education; Ms. Donna Roberts, Department Chair of Adult Basic Education (ABE)/General Educational Development (GED)/Adult High School (AHS); Ms. Keara Sodano, Adult Secondary Education Program Coordinator; Ms. Suzanne Ensmann, Director of Program Effectiveness; Ms. Theresa Canoy, Grants Specialist; Ms. Judy Martin-Hall, English as a Second Language (ESL) Department Chair; Mr. Joe Mazur, Assistant Dean of Finance; Mr. Gerald Mock, Dean of Research and Reports; Ms. Edith Pacacha, Assistant Controller; Ms. Lori Starling, Administrative Assistant; Ms. Maureen Nash, Administrative Assistant; Ms. Eileen L. Amy, Director of Quality Assurance and Compliance; and Program Specialists, Ms. Sheryl Walden and Mr. Tashi Williams.

<u>Interviews/Observations</u>
Interviews were conducted with the administrative staff, instructional staff/program and students. A host of interviews/group interviews and observations were completed at each site. All interviews and observations were held during the course of the visit.

<u>Records Review</u>
Administrative, Financial, Program and Student records were reviewed. A complete list is provided in Section VIII, Section G. Some policies and procedures were reviewed on the College's website and discussed at various times during the on-site visit.

<u>Exit Conference</u>
The exit conference for Indian River State College was conducted on January 28, 2011 and included Dr. Anthony Iacono, Associate Dean of Developmental Education; Dr. Henri Sue Bynum, Vice President of Academic Affairs; Ms. Donna Roberts, Department Chair, ABE/GED/AHS; Ms. Keara Sodano, Adult Secondary Education Program Coordinator; Ms. Suzanne Ensmann, Director of Program Effectiveness; Ms. June Rall, ESL Program Developer/Trainer; Ms. Elaine Howell, Developmental Education Specialist; Mr. Thomas Manwaring, Developmental Education Specialist; Ms. Theresa Canoy, Grants Specialist; Ms. Judy Martin-Hall, ESL Department Chair; Mr. Gerald Mock, Dean of Research and Reports; Mr. Ryan

McMillan, Research Analyst; Ms. Edith Pacacha, Assistant Controller; Ms. Maureen Nash, Administrative Assistant; Ms. Eileen L. Amy, Director of Quality Assurance and Compliance; and Program Specialists, Ms. Sheryl Walden and Mr. Tashi Williams.

VII.   RESULTS

Indian River State College
January 24-28, 2011

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

- Dr. Edwin R. Massey took time to be with the monitoring team, sharing the College's vision and culture, touring the campus, and viewing the innovative career opportunities and programs that are available for students.
- Dr. Iacono provided an overview of the College, its goals, structure, and staff. The Adult Career Pathways approach to the programs and interactions with students was progressive and fully developed on the campuses visited.
- The culture on campus is characterized by a mentoring environment and support for one another.
- Staff was close-knit and it was evident that they communicate among themselves.
- An expectation from staff is that neither a high school diploma nor a GED is an endpoint but the beginning of a student's higher education tenure.
- All aspects of the College's environment are centered around students.
- Everyone speaks the same language; administration, students and programs.
- Staff Development:
  o New teachers attend a seven-week paid training which provides hands-on classroom experience while working with a veteran teacher.
  o Staff meetings are conducted weekly.
  o Inter-department training is in place.
  o The College encourages continuing education for staff.
  o Florida Adult and Technical Distance Education Consortium (FATDEC), Regional Training Councils and TechNet are used as additional sources of staff development.
  o IRSC offers tuition reimbursement for staff.
  o Staff may take classes at IRSC for free.
- The community is involved in decision making as it relates to the College's success.

FINDINGS
No findings of non-compliance were noted.

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.

- Reporting content and formats are responsive to program needs.
- The Dean of Research and Reports and designated staff work closely with the Director of Program Effectiveness to produce user-friendly and effective reports.
- All reports are accessible to managers and staff.
- The effect of managed enrollment appears to produce data results that are more certain.
  o An Office Skills class is offered to those who are unable to enroll immediately in Adult Education classes. This class increases the skills that a student will need for education and work, such as Microsoft Word, Excel and PowerPoint.
  o Data seems more reliable and management is able to make better planning decisions.

- o Instructors are assigned specific students for whom they are responsible.
- o Attendance is monitored through AccuTrack, and students are contacted regarding absences; dedicated staff provides follow-up services to ensure continued attendance.

FINDINGS
No findings of non-compliance were noted.

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.

- Adult Education Career Pathways is strong and flourishing on all campuses.
- The curriculum frameworks were being followed.
- Baccalaureate degrees are tailored to community needs.
- Many teachers are involved in developing curriculum.
- Varied instructional strategies were observed during the visit.
- College-wide recognition of Individual Learning Styles of teachers and students is evident and utilized to ensure that individual learning occurs.
- Career Pathways Academy information sessions are held once a week to introduce students to various career programs.
  - o Sessions address the following Academies: Public Service, Business, Technology, Industrial, Health Sciences, and Education, in addition to the Building Excellence Survey where students evaluate their particular learning style.
  - o Presenters are available from the College and the community to address specific career and employment opportunities in various fields.
- ESL programs are offered throughout the day and evening.
  - o Numerous countries are represented among students.
  - o Citizenship and EL/Civics classes are also available for students.
  - o The college attempts to bridge the gap with ESL students to provide opportunities for blended learning; students participate in initial certificate programs while learning English.

FINDINGS
No findings of non-compliance were noted.

CONCERNS AND RECOMMENDATIONS
None

Adult Education Career Pathways Academy Coordinators:
The monitoring team met with the Coordinators to address the implementation of the Adult Education Career Pathways.

- Teachers focus on the learning styles of students to tailor learning opportunities to the individual and incorporate a variety of teaching strategies.
- Students are oriented to potential careers; they use the Comprehensive Heuristic Occupational Information Computer Exploration System (CHOICES) program for career planning.
- Student orientation includes: Introduction to the school; school's culture; speakers from various academies; and field trips to see potential careers in process such as labs and hospitals for health science careers.
- If an instructor wants new equipment or an innovative program implementation, he/she must do the research and make a case for the investment on the part of the College.
- Some of the challenges that students face include low self-esteem, parental support for education and transportation.

- The transition to online learning requires assistance to ensure that students are not left out of this opportunity.
- ESL courses must be relevant and rigorous to prepare students for learning.
- The focus is loving, caring and customized services for students.

GED, AHS and ESL students:
The monitoring team met with a group of students from the GED, Adult High School and ESL programs to discuss the program services and to share their personal stories and goals.

- Reasons for students leaving "regular" high school and/or enrolling in GED programs include:
  - family issues (economics, pregnancy, transportation, etc.)
  - boredom or lack of discipline at previous school
  - issues with life skills and self-esteem
  - lack of support at home
  - legal issues
  - need to learn English for employment and socialization
  - followed their friends
  - liked the College campus better, felt safer
- Students shared their personal goals, such as:
  - pursue specific careers of interest
  - dually enroll in CTE programs
  - lead to better employment or education
  - wanted to keep going on education path
  - get GED and then more education
  - become a chef, cosmetologist, registered nurse, join the Army and Air Force and other professions
  - make their children and families proud
  - many are the first in their family to start college
- Adult Education students were complimentary about the services they receive at the College:
  - They loved their teachers and the people who help them.
  - People care; they help students get scholarships.
  - Staff never sends students wandering all over campus to get answers.
  - Teachers encourage students to do and be better.
  - The campus is welcoming; ESL students never feel less important than others.
  - Academies help to link GED and AHS students in success and clubs.

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.

- State-of-the-art and up-to-date technology and equipment was available to all classes.
- Netbooks are delivered to many classes and available to students during class.
- All equipment purchased with the grants was located and tagged.
- The inventory contains all required elements and is completed on an annual basis.
- Inventory is done using a scanning gun to increase accuracy.
- Teachers and students are using technology effectively.

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.

- Technology is up-to-date and prolific.
- The buildings, classrooms, and grounds are immaculate and reflect a competent and caring staff.
- Most buildings on the various campuses involve partnerships with a public or private entity.
- Students were often assisting other students. "Graduate" Adult Education students mentor new students.
- Facilitators are present and available on all campuses to assist in student planning, access resources and communicate with students and families.
  - Students are referred for Tests of Adult Basic Education (TABE) testing; the facilitator will enter the student's application and TABE results.
  - Students are notified, and an appointment is made for registering for classes.
  - The facilitator sets up a student folder and reviews rules of attendance.
  - An individual student prescription of coursework is completed between the instructor and the student in the GED lab classes.
  - Student identification numbers are used instead of social security numbers.
  - Students are linked with the financial aid office; facilitators assist students with the completion of the Free Application for Federal Student Aid (FAFSA).
- CHOICES is used by staff and students for career planning as a part of orientation.
- A family environment that is focused on student needs and progress is pervasive across programs and campuses.
- Accessibility of teachers, administrators and staff to students was noteworthy.
  - Instructors are available to students; posted office hours are strictly maintained.
- Faculty and staff encourage the promotion of independence as students grow and obtain skills.
- An Enrichment/Career Fair is held for students; Adult Education students attend and may locate information regarding over 170 programs.
- Tours are scheduled on a regular basis; speakers representing varied careers are available to students; students receive encouragement from their peers through the mentoring programs.
- College-wide reading initiatives are implemented across classes; special events and speakers are available to focus on designated reading materials.

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

CONCERNS AND RECOMMENDATIONS
None

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.

- Non-discrimination notices containing the eight protected classes were posted.
- Additional classes were considered protected.
- Some brochures contained appropriate notice.
- Upon reprinting, the College should ensure that all notices and appropriate forms contain the non-discrimination notice.
- All staff knew whom to contact if issues arose.
- Procedures were in place to address non-discrimination, if necessary.

FINDINGS
No findings of non-compliance were noted.

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 were reviewed:

- Student handbook, 2010/11
- College Catalog, 2010/11
- Brochures
- Purchase Orders
- Non-Discrimination Statement
- Electronic Student Records: Attendance, Grades, Tests/Test Results
- Student Records
- Financial and Board Policies and Procedures
- Personnel Activity Reports (PARS) and Certification Statements
- Monthly ledgers (viewed online)
- Travel requests, authorizations and reimbursement documentation

FINDINGS
No findings of non-compliance were noted.

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.

- Finance staff was continually communicating with program staff.
- Financial policies and procedures, though not accessible to the public, were made available for review.
- Processes were clearly defined and, based on the records review, were followed.
- The approval process is extensive and followed for all purchases.
- All levels of staff are involved in the budgeting process.
- The use of P-Cards and other purchasing was completed according to policy.
- Grants and purchasing areas review all expenditures including paper and electronic approvals.
- Deans working with management teams look at proposed expenditures and potential reductions; priorities are also evaluated.
- Each area looks at its budgets intensely through strategic planning online, and then discusses them with department chairs.
- There is a strong team spirit and open communication both within finance and outside finance.
- Personnel Activity Reports (PARs) and Certification Statements were available for all applicable staff.
  - Teacher certifications are completed four times a year.
  - PARs and timesheets are completed at the same time.
  - Personnel activity report denotes time, effort and funding source.

FINDINGS
No findings of non-compliance were noted.

CONCERNS AND RECOMMENDATIONS
None

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

- IRSC collaborates with the school district and local government agencies to contribute to student achievement; for example, a library was built by the city on the Vero Beach campus and is shared by students and the community.
- The School's Foundation is a strong motivator for donors.
  - The Foundation provides scholarships to students.
  - Donors come from throughout the community and across the state.
  - Donors are recognized; many classrooms, meeting rooms and buildings reflect the names of major donors.
  - Payroll deduction enables the College's faculty and staff to contribute to scholarship funds.
- Conversations regarding financial aid are integrated into interactions with students as appropriate.
  - Personnel at all levels works with students to obtain scholarships or other financial assistance to eliminate barriers to attending school.
  - Students are recognized for receiving scholarships.
- The Early Learning Coalition will reimburse students for child care if they remain in school for a specified number of hours.

FINDINGS
No findings of non-compliance were noted.

CONCERNS AND RECOMMENDATIONS
None

VIII.   REQUIRED RESOLUTION ACTIVITIES

Adult Education and Family Literacy

1. Corrective Action Plan – None required

2. Action Plan – None required

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

The following are additional comments made by the Quality Assurance Team in regard to the monitoring visits: Indian River State College demonstrates a student-centered environment; a culture of caring is demonstrated by all positions and programs throughout the College. Continuing education is encouraged for students, faculty and staff. The Adult Career Pathways initiative is being implemented throughout the college.

XI.   SUMMARY

Once the field work is completed, including receipt of requested information, 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 acknowledge all of the participants in the Indian River State College on-site monitoring visit. Special appreciation is extended to Dr. Edwin R. Massey, Dr. Anthony J. Iacono and Suzanne Ensmann for their leadership and participation in this process.

Appendix A
Indian River State College
Risk Matrix for Adult Education and Family Literacy

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 (#-9)	(9) x 2 = V	V x 6	= 108
Number of grants with **10%** or more of unexpended funds (2008-09)	Number of grants (#-2)	(2) x 5 = V	V x 4	= 40
Audit findings relevant to internal control weaknesses during three (3) previous years for targeted agency.	16 + findings	10	V x 10	= 60
	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 x (#) = V	V x 4	= 0
			TOTAL Level of Risk Score	244