



Quality Assurance and Compliance Monitoring

Career and Technical Education
and
Adult Education and Family Literacy

Lake County School District

Final Report
December 29, 2010

FLORIDA DEPARTMENT OF EDUCATION



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December 29, 2010

Dr. Susan Moxley, Superintendent
Lake County School District
201 West Burleigh Boulevard
Tavares, Florida 32778-2496

Dear Dr. Moxley:

We are pleased to provide you with the Final Report of Monitoring of the Career and Adult Education programs from our visit on October 12-15, 2010. The report will also be placed on our website at <http://www.fldoe.org/workforce/compliance.asp>.

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

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

Sincerely,

A handwritten signature in cursive script that reads "Loretta Costin".

Loretta Costin

LBC/ela

Enclosure

CC: Maggie Teachout
Diane Culpepper
Eileen L. Amy
Rick Lockenbach

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**Lake County School District
Career and Technical Education and Adult Education and Family Literacy
Quality Assurance Monitoring Report**

I. INTRODUCTION

The Florida Department of Education (FDOE), Division of Career and Adult Education (Division), in carrying out its roles of co-leadership, resource allocation, technical assistance, monitoring and evaluation, is required to oversee the performance and regulatory compliance of recipients of federal and state funding. The Quality Assurance section of the Bureau of Grants Administration and Compliance (Bureau) is responsible for the design, development, implementation and evaluation of a comprehensive system of quality assurance including monitoring. The role of the Quality Assurance System is to assure financial accountability, program quality and regulatory compliance. As stewards of federal and state funds, it is incumbent upon the Division to monitor the use of workforce education funds and regulatory compliance of providers on a regular basis.

II. AUTHORITY

The Florida Department of Education receives federal funding from the U.S. Department of Education for 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. 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 the district school boards and community 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 draft *Quality Assurance Policies, Procedures, and Protocols* (Manual) was provided to agencies during September 2010 prior to the monitoring visit. The Manual provides a summary of each facet of the monitoring design and the process. It also contains protocols that may be used as agencies are monitored or reviewed. References may be made to the Manual in this document; the final document will be located on the Division's website at <http://www.fldoe.org/workforce/cte1011.asp>.

IV. PROVIDER SELECTION

Various sources of data are used throughout the implementation of the Quality Assurance System. The monitoring component of the system is risk-based.

Risk Assessment is a process used to evaluate variables associated with the grants and assign a rating for the level of risk to the Florida Department of Education and the Division of Career and Adult Education. A Risk Matrix, identifying certain operational risk factors, is completed for each provider. The

Risk Matrix is located in Appendix A. The results of the Risk Assessment process and consideration of available resources are used to determine one or more appropriate monitoring strategy(ies) to be implemented.

The monitoring strategy for Lake County School District (LCSD) was determined to be an on-site visit. Notification was sent to Dr. Susan Moxley, LCSD Superintendent, on July 28, 2010. The designated representative for the agency was Dr. Maggie Teachout, LCSD Director of Career-Technical, Adult Education, and Community Education.

The on-site visit to the agency was conducted October 12-15, 2010, by three representatives of the Quality Assurance Section of the Division: Ms. Eileen L. Amy, Director of Quality Assurance and Compliance, and Program Specialists, co-leader Rick Lockenbach, J.D., and Dr. Shahrokh Massoudi.

V. LAKE COUNTY SCHOOL DISTRICT

According to the Florida Department of Education student vocational and Workforce Development Information System (WDIS) data bases for 2008-09, LCSD reported 20,520 secondary and 1,287 Postsecondary Adult Vocational (PSAV) enrollments in CTE programs and 409 Adult Education students. According to the district 2008-09 NRS Report, LCSD reported 1,408 Adult Education student enrollments.

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

2008-2009 ADULT EDUCATION GRANTS

<u>Grant Number</u>	<u>Type</u>	<u>Total</u>	<u>Unexpended Funds</u>
350-1919A-9CG01	Adult General Education	\$295,909	\$ 515.07
350-1939A-9CE01	EL/Civics	\$ 38,706	\$10,327.70

2008-09 CAREER AND TECHNICAL EDUCATION GRANTS

<u>Grant Number</u>	<u>Type</u>	<u>Total</u>	<u>Unexpended Funds</u>
350-1619A-9CP01	Perkins Postsecondary	\$138,036	\$1,594.91
350-1578A-9CT01	Perkins Secondary	\$390,284	\$1,164.22
350-1518A-9CCP1	Perkins Consortium	\$ 48,956	\$ 8.74

2009-2010 ADULT EDUCATION GRANTS

<u>Grant Number</u>	<u>Type</u>	<u>Total</u>
350-1910A-0CG01	Adult General Education	\$292,010
350-1930A-0CE01	EL/Civics	\$ 52,816

2009-2010 CAREER AND TECHNICAL EDUCATION GRANTS

<u>Grant Number</u>	<u>Type</u>	<u>Total</u>
350-1619A-0CP01	Perkins Postsecondary	\$136,317
350-1610A-0CS01	Perkins Secondary	\$406,803

Additional information about the provider may be found at the following web address:

<http://www.lake.k12.fl.us/lakeschools/site/default.asp>.

VI. MONITORING ACTIVITIES

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

On-site Visits

Members of the team made on-site visits to the following locations:

- Lake Technical Center, including the Institute for Public Safety
- Eustis, Leesburg, and Tavares High Schools
- Genesis Center, Leesburg

Entrance Conference

The entrance conference for LCSD was conducted on October 12, 2010, and included Dr. Maggie Teachout from LCSD and Dr. Diane Culpepper, Lake Tech Center Director, and

- LCSD employees: Nancy Velez, LCSD Chief of Academics, Bob Carlisle, Patti Pearson, and Julie Summerlin
- Lake Tech Center staff: Brent Stubbs, Melissa Stephan, Jack Miller, Cathy Peterson, and Tom Netherton
- FDOE staff: Ms. Eileen L. Amy, Rick Lockenbach, J.D., and Dr. Shahrokh Massoudi.

Interviews/Observations

Interviews were conducted with the administrative staff, instructional staff, and students. Seventy-five persons were interviewed and eleven observations were conducted. A minimum of five interviews were conducted 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 VIII, G. Some policies and procedures are reviewed at the agency's website and discussed during the on-site visit.

Exit Conference

The exit conference for LCSD was conducted on October 15, 2010, and included the same persons who attended the entrance conference, Robert Zehner from Lake Technical Center, and Sue Prescott from the school district office, and FDOE staff Ms. Eileen L. Amy, Rick Lockenbach, J.D., and Dr. Shahrokh Massoudi.

VII. RESULTS

Lake County School District
October 12-15, 2010

- A. ADMINISTRATION** refers to the management and/or supervision of programs, grant oversight, and other administrative areas.
- The district CTE director oversees the secondary CTE program
 - Lake Technical Center is a charter center that operates Adult Education and postsecondary CTE programs
 - Center employees are also LCSD employees.
 - Adult Education classes are located at the charter center and five satellite sites.
 - CTE Support from the District administrator was evident at both the district- and school-level including principals, instructors and students.
 - District and Lake Technical Center administration for Adult Education and CTE showed a strong collaborative spirit.
 - Support for improvement of instructors is given high priority, and mediocrity is not deemed acceptable.
 - There is an emphasis on strategic planning, including the need for specific CTE programs.
 - Lake Technical Center is working to address the shortage of postsecondary CTE offerings in areas that are remote from its central location.
 - Secondary CTE teachers are encouraged to obtain reading endorsements.

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.
- There is an ability to capture appropriate information in reports for decision-making purposes.
 - Involvement in data seemed appropriate to position and responsibility.
 - District CTE staff enter CTE student data such as occupational completion points and industry certifications to ensure data accuracy; staff review enrollments at the beginning of the semester to ensure students have been enrolled in the proper program sequence.
 - Staff at different levels demonstrated proficiency with data and systems.
 - High school guidance staff readily access data from the student database to assist students, and data entry staff was able to explain the data on various “screens.”
 - According to FDOE’s Consolidated Annual Report (CAR) for 2008-09, LCSD CTE Perkins performance exceeded state performance levels for all secondary and postsecondary core measures.
 - According to 2008-09 National Reporting System (NRS) data, district Adult Education students had a higher completion rate overall than the average statewide rate for school districts; however, district ESL (English as a Second Language) completion rates for all ESL levels other than ESL Beginning Literacy were lower than the average statewide district rate.
 - Adult Education assessment practices were reviewed and determined consistent with state guidelines.
 - TABE-PC is used to assess Adult Education students electronically, and a paper version of TABE is available for persons who desire not to take the electronic version.
 - Frequency of administration of TABE post-testing is appropriate.

FINDINGS

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

CONCERNS AND RECOMMENDATIONS

None.

- C. CURRICULUM AND INSTRUCTION** refers to those elements which contribute to student learning and skill acquisition. It also addresses student and instructor observations.
- Instruction is individualized to student needs and tied to curriculum frameworks.
 - Use of learning materials is varied (technology, texts, lecture, questions and answers, and independent work).
 - Textbooks and other learning materials are available and current.
 - The district is expanding CTE industry certification opportunities for teachers and students and is committed to helping students earn certifications to maximize weighted funding for Career and Professional Education (CAPE) academies to use this funding to improve CTE academies.
 - According to the WDIS Student Database for 2009-10, LCSD postsecondary CTE students earned the largest number of industry certifications of any Florida school district, and students had a 100% passing rate.
 - The district uses privately-raised funds to pay certification testing fees for secondary students who have earned at least a 3.0 GPA in CTE programs.
 - 61% of secondary CTE instructors are industry certified.
 - Numerous efforts support CTE and academic integration at the secondary level, including academies and small learning communities, common planning time, reading courses taken by CTE teachers, CTE teacher participation in county in-service for academic remediation and usage of student academic data, and class projects that integrate academics and CTE.

- The *CTE High School Planning Guide* is produced annually with information on programs of study, articulations, location of programs, and other pertinent CTE information and is an integral part of orienting eighth grade students to secondary CTE offerings.
- Efforts to ensure that secondary CTE teachers have lesson plans were evident.

FINDINGS

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

CONCERNS AND RECOMMENDATIONS

None.

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

- Equipment appeared to be up-to-date.
- Appropriate use of technology within the classroom by teachers and students was observed.
- There are written procedures for CTE equipment needs determination, purchases, repair, and replacement.
- The district has provided the CTE director a budget from district funds for equipment repair and replacement.
- There were no observed student safety issues.
- Lake Technical Center is developing distance education courses.
 - Center staff receive monthly technology tips from technology staff.
- Adult Education staff has developed an innovative comprehensive electronic system that records attendance electronically, incorporates student records and curriculum, and provides timely feedback for instruction.
- Lake Technical Center posts online master plans of instruction for postsecondary CTE and Adult Education programs.

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.

- Classrooms were neat and well maintained, and buildings were immaculate.
- Conduct rules were routinely posted.
- Classrooms appeared to be conducive to a good learning environment.
- Equipment in culinary environments visited was clean and in good condition.
- Teachers and administrators were enthusiastic about their Adult Education and CTE programs, as were their students.
- Student demeanor and attire reflected respect for established standards of conduct.

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 relating to recruitment, enrollment, participation, and completion of programs.

- The district provides non-discrimination training for employees on an ongoing basis, including annual secondary CTE in-service.
- Staff is familiar with the process for addressing complaints of discrimination.
- Non-discrimination language covering the protected classes required by law is routinely incorporated within district literature, including the home pages of the district's Career-Technical, Adult, and Community Education Department and Lake Technical Center.
- Non-discrimination notices are posted broadly throughout the sites visited, including classrooms.
- Single parents and displaced homemakers receive career counseling (provided by four Teen Resource Parent Teachers and guidance counselors) about CTE programs of study leading to high-skill, high-wage, or high-demand occupations.
- Secondary students, teachers, and administrators were familiar with Gold Seal and other Bright Futures Scholarships for students.

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.

- Electronic and paper student records for Adult Education and CTE students
- Professional development plans, individual staff development plans, and conference attendance
- Student handbook
- Articulation agreements
- Program brochures for postsecondary CTE programs
- Programs of Study
- *Career-Technical Education 2010 High School Planning Guide*
- *Lake Tech Catalog 2010-2011*
- Master Plans of Instruction for various CTE and Adult Education programs
- LCSD Fall 2009 Career-Technical, Adult Education, and Community Education newsletter
- Financial policies and procedures
- Employee handbook
- District school board policies
- Personnel Activity Reports (PARs)

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.

- Travel documentation was complete with appropriate signatures, and district policies and procedures were followed.
- Property acquired with grant funds was purchased and managed according to district procedures and federal and state requirements.
 - Documentation for purchase of equipment was reviewed, as well as procedures for purchase of equipment, including bidding procedures.
 - Inventory for equipment purchased with Perkins grant funds was provided and available electronically.

- Division staff was able to readily locate equipment in the classroom from the equipment inventory.
- Property disposition records were reviewed.
- Payroll records and Pcard purchases and procedures were reviewed.
- The issue of greater than 10% unexpended funds for one federal AEFLA grant for 2008-09 was discussed with district staff.
 - Directors of programs now have access to expenditure reports on a monthly basis.
- The approval process for procurement and contracts is comprehensive.
- A state-of-the-art inventory system for the Lake Technical Center is comprehensive and user-friendly, captures capital outlay of \$100 or more, and provides images of inventoried items.
 - This system has been adopted by the school district CTE Department for school programs.
- Certification statements for employees paid 100% with grant funds and personnel activity reports for employees paid in part with grant funds were reviewed.

FINDINGS

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

CONCERNS AND RECOMMENDATIONS

None.

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

- The District has a Career, Adult Education, and Community Education Advisory Council and numerous program advisory committees.
 - *CTE Program Advisory Committees Policies and Procedures* provides guidance to advisory committees.
 - The Lake Technical Center Institute of Public Safety appears to have successful collaborations.
 - Law Enforcement and Corrections programs operated by the Lake County Sheriff's Department provide all training for the Lake County Sheriff's Department, and the salaries of three Institute employees are paid by the sheriff's department.
- The Institute's Firefighter's Academy uses donated fire trucks for instruction.
- Culinary Arts students at local high schools prepare, deliver, and serve meals to local homeless and needy persons on weekends.
 - Culinary Arts students at one high school prepared and served a meal that simulated a "soup line" for a Service Learning project that raised funds to support local charities.
- In 2009, the Lake County Homebuilders Association awarded two \$500 postsecondary scholarships to Tavares High School Architectural Drafting students.
- Health programs at the Tech Center and Lake-Sumter Community College have agreed to have clinicals for students on different days of the week to ensure enough clinical slots.
- A hospital has donated \$10,000 to support high school health science programs.

FINDINGS

No findings of non-compliance were noted.

CONCERNS AND RECOMMENDATIONS

None.

VIII. REQUIRED RESOLUTION ACTIVITIES

CAREER AND TECHNICAL and ADULT EDUCATION

1. Corrective Action Plan – No Corrective Action Plan is required.
2. Action Plan – No Action Plan is required.

IX. TARGETED TECHNICAL ASSISTANCE

Targeted technical assistance may be provided to support full compliance and systemic change for program improvement. There has been consultation with division program staff regarding specific technical assistance needs. Staff is encouraged to contact Division staff to assist their efforts toward systemic change:

- For improved performance for ESOL students, Phil Anderson at philip.anderson@fldoe.org or 850/245-9450. Go to Florida TechNet for teacher and student materials for ESOL at <http://www.floridatechnet.org/lib-esol.html> or EL/Civics at <http://www.floridatechnet.org/lib-elcivics.html>.
- For family literacy efforts to promote greater parent involvement with their children's education, Linda Palmer at linda.palmer@fldoe.org or 850/ 245-9907. Go to <http://www.floridatechnet.org/familiteracy> for family literacy resources.

X. REMARKS

The following are additional comments made by the Quality Assurance Team in regard to the monitoring visit: The district should be commended for the obvious high level of enthusiasm of Adult Education and CTE administrators, teachers, and students observed during the visit. Visiting staff also noted the locally-developed electronic system used in the Adult Education program that integrates student records and the curriculum. Visiting DOE staff appreciated the comprehensive program overview provided during the entrance conference.

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 LCSD's on-site monitoring visit. Special thanks to Dr. Maggie Teachout and Dr. Diane Culpepper for their participation and leadership in this process.

**Appendix A
Lake County School District
Risk Matrix for Career and Technical Education**

Risk Factor	Criteria Scale	Value	Risk Factor Weight	Total Points
Total amount of agency funding from grants (2008-09)	\$ 2,000,001+	8	X 6	= 30 <i>(total points)</i>
	700,001 - 2 million	6		
	300,001 - 700,000	5		
	< 300,000	4		
Number of grants per agency (2008-09)	Per grant (3)	2	X 6	= 36
Number of grants with 10% or more of unexpended funds (2008-09)	Per grant (0)	5	X 4	= 0
Audit findings relevant to internal control weaknesses during three (3) previous years for targeted agency.	16 + findings	10	X10	=100
	11-15 findings	8		
	5-10 findings	6		
	1-4 findings	4		
Key organizational change within the last two (2) years.	Director (0)	10	X 4	= 0
TOTAL Level of Risk Score				166

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

Risk Factor	Criteria Scale	Value	Risk Factor Weight	Total Points
Total amount of agency funding from grants (2008-09)	\$ 2,000,001+	8	X 6	= 30 <i>(total points)</i>
	700,001 - 2 million	6		
	300,001 - 700,000	5		
	< 300,000	4		
Number of grants per agency (2008-09)	Per grant (2)	2	X 6	= 24
Number of grants with 10% or more of unexpended funds (2008-09)	Per grant (1)	5	X 4	= 20
Audit findings relevant to internal control weaknesses during three (3) previous years for targeted agency.	16 + findings	10	X10	=100
	11-15 findings	8		
	5-10 findings	6		
	1-4 findings	4		
Key organizational change within the last two (2) years.	Director (1)	10	X 4	= 40
TOTAL Level of Risk Score				214