Quality Assurance and Compliance Monitoring

Adult Education and Family Literacy

Seminole State College

Final Report
June 6, 2012

FLORIDA DEPARTMENT OF EDUCATION

Gerard Robinson
Commissioner of Education

Rod Duckworth, Chancellor
Division of Career and Adult Education

Just Read,
Florida!

June 6, 2012

Dr. E. Ann McGee, President
Seminole State College
100 Weldon Boulevard
Sanford, Florida 32773

Dear Dr. McGee:

We are pleased to provide you with the Final Report of Monitoring of the Adult Education programs from our visit on April 3-5, 2012. 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,

Rod Duckworth

RD/ela

Enclosure

C: Dr. Terri Daniels
        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 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 *2011-12 Quality Assurance Policies, Procedures, and Protocols*, Module A, Section 1.

III.   QUALITY ASSURANCE POLICIES, PROCEDURES, AND PROTOCOLS

The *2011-12 Quality Assurance Policies, Procedures, and Protocols* 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 Seminole State College was determined to be an onsite visit. Notification was sent to Dr. E. Ann McGee, President, on November 4, 2011. The designated representative for the agency was Dr. Terri Daniels, Dean, School of Academic Foundations, and Ms. Toni De Maglio, Coordinator, Grants Support and Effectiveness.

The onsite visit to the agency was conducted April 2-5, 2012, 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.   SEMINOLE STATE COLLEGE

The total student enrollment for Adult Education in 2009-10 is 4,198. The total student enrollment for Adult Education in 2010-11 is 4,128.

The provider was awarded the following grants:

ADULT EDUCATION GRANTS

2009-10

Grant Number	Type	Total	Unexpended Funds
592-1910A-0CG01	Adult General Education	$311,609	$1,828.33
592-1930A-0CE01	English Literacy/Civics	$114,985	$ 68.71

2010-11

Grant Number	Type	Total	Unexpended Funds
592-1911A-1CG01	Adult General Education	$311,609	$4,126.95
592-1931A-1CE01	English Literacy/Civics	$114,985	$ 310.69

2011-12

Grant Number	Type	Total
592-1912A-2CG01	Adult General Education	$389,256
592-1932A-2CE01	English Literacy/Civics	$138,502
592-1912A-2CC01	Corrections	$100,000

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

VI.   MONITORING ACTIVITIES

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

Onsite Visits
Members of the team made onsite visits to the following locations:

- Three of the four college campuses:
    - Sanford/Lake Mary
    - Oviedo
    - Altamonte Springs
- Six outreach sites:
    - Seminole County Library (Casselberry)
    - The Grove Academy (Winter Springs)
    - Seminole Behavioral Healthcare Center (Sanford)
    - John Polk Correctional Center (Sanford)

o Seminole County Youth Build (Sanford)
o Seminole Work Opportunity Program (Winter Springs)

Entrance Conference
The entrance conference for the Seminole State College was conducted on April 2, 2012, and included:
- Dr. Terri Daniels, Dean, School of Academic Foundations
- Frank Bonjione, Associate Dean, Center for Secondary Studies for Adults
- Beth Larson, Associate Dean, English Language Studies
- Toni DeMaglio, Coordinator, Grants Support and Effectiveness
- Elizabeth Gombash, Executive Director, Strategic Grants Planning and Development
- William Elshoff, Program Specialist, ESOL
- Arthur Aponte, Coordinator, ABE/GED
- Shelia Dixon, Coordinator, Farmworker Jobs and Education Program
- Laura Ross, Interim Chief Academic Officer
- Magone C. Steele, Administrative Assistant, Adult Education
- Eileen L. Amy, Director, 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 administrative staff, instructional staff, program and transition specialists, and students. 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. 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 Seminole State College was conducted on April 5, 2012, and included:
- Dr. Terri Daniels, Dean, School of Academic Foundations
- Frank Bonjione, Associate Dean, Center for Secondary Studies for Adults
- Beth Larson, Associate Dean, English Language Studies
- Toni DeMaglio, Coordinator, Grants Support and Effectiveness
- Elizabeth Gombash, Executive Director, Strategic Grants Planning and Development
- Shelia Dixon, Coordinator, Farmworker Jobs and Education Program
- Eileen L. Amy, Director, Quality Assurance and Compliance
- Tashi Williams, Program Specialist, Quality Assurance and Compliance
- Sheryl Walden, Program Specialist, Quality Assurance and Compliance

VII.   RESULTS

SEMINOLE STATE COLLEGE
April 2-5, 2012

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

- The Adult Education program is a part of the Academic Foundations at the College.
- The leadership was positively recognized by many parties during the visit.
- The new Director, Dean Terri Daniels, has been in the position four months.
- A strategic planning process at the College provided a strong basis for the vision and goals of the department.
- Administrative policies and procedures are in place.

- A number of new initiatives are being implemented:
  - Parents of ESOL students from Seminole County Public Schools are invited to visit SSC one day per year.
  - Video-recordings of lessons are posted online so that students may review them.
  - Online classes are an option for students.
  - "Smart" classrooms - Technology is being upgraded in all classrooms.
  - "90 second elevator speech" - Students are encouraged to prepare and deliver a ninety-second autobiographical speech detailing their strengths.
- "Discover Seminole State" is an event sponsored by the College that brings students together to explore the College offerings and includes representatives from counseling, financial aid, and postsecondary opportunities.
- The Advisory Council is being used by the administration as it begins new initiatives and identifies community needs.

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.

- The College produces publications on an annual basis that summarizes all available data regarding programs, services, and student accomplishments.
- The staff uses data in decision-making.
- Data is accessible to faculty and administrators.

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.

- The programs follow the established FLDOE Frameworks.
- Testing is completed using the TABE and the CASAS.
- The FLDOE Assessment Policy is followed.
- Teachers' demeanor and approach to students seem to compliment the unique class cultures and environments.
- Staff development is available to instructors.
- Many classes were full on the College campuses; waiting lists were discussed at one campus.
- Distance Learning is also incorporated as an instructional alternative for students.

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

CONCERNS AND RECOMMENDATIONS
1. Concern: The managed enrollment seemed to present barriers for Adult Education students at some of the community sites.

   Recommendation: The College might review its policy on managed enrollment, given the reduction in attendance due to the new requirements; open enrollment may also increase access for students, especially in the Corrections and community sites.

Agency Response: …The College has already completed extensive research and has given serious consideration to the advantages and disadvantages of an open enrollment approach; SSC's decision to change from open enrollment to one that coordinates with the traditional academic term was based on a relatively recent review of applicable policies and procedures, and ultimately the decision to change was based on the determination that the current approach would provide participants with a stronger learning experience in terms of academic and transition preparation. As with any changes in policy and procedure, it takes some time to comprehensively measure impact; as part of its formative evaluation process, the College continues to monitor the outputs and outcomes data resulting from this change, and will make further adjustments based on its analysis of these results.

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.

- The College made very few purchases during the last few years.
- Inventories were conducted annually for items over $1,000.00; individual departments are responsible for tracking equipment below the College threshold of $1,000.00.
- The Academic Foundations is in the process of updating and enhancing technology in the classrooms.
- Computer labs were available to students at most sites visited.
- Teachers were using technology in most of the sites visited.

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.

- The classrooms accommodated students, providing space for varied activities.
- Most classrooms lacked any type of décor such as motivational posters/literature.
- Classes are held throughout the day and evening and, in some sites, on Saturday, allowing easy access to students.
- Student engagement was very high in the classes observed.
- Individual and group activities were conducted and observed.
- The teachers were experienced and seemed highly motivating for students.
- The physical environments were clean and bright and in good repair; custodial and maintenance staff should be recognized for their efforts.
- Signage at some sites could be improved, to increase easy access for students.

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.

- The non-discrimination notice was not visible at many of the sites visited by the team.
- The policy did contain the required elements, as noted in the College's Policy Statements.
- Students with disabilities were observed to have easy access to programs and services.

- Accommodations are provided as required.
- The classrooms served a diverse population of students.
- As mentioned, the availability of classes at all times of the day and on weekends supported student access.

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

CONCERNS AND RECOMMENDATIONS
1. Concern: There was a lack of non-discrimination notices posted throughout the College sites. Notices should be widely posted and available to students, families, and faculty. Brochures did not contain the non-discrimination policy.

    Recommendation: Post the non-discrimination policies throughout the campuses and the community sites. Include the policy statement when brochures and forms are re-published.

    Agency Response: SSC complies with non-discrimination requirements by posting notices of non-discrimination on the College's website. Physical notices were posted prior to the team's departure and the College agrees to include a non-discrimination statement when printed program materials are re-published.

2. Concern: Classrooms are labeled with student performance levels, for example, "low intermediate". This labeling may be considered demeaning.

    Recommendation: Consider re-labeling classrooms using more positive language, such as Adult Education – ABE or ESOL,100, 200, or 300.

    Agency Response: SSC labels classrooms using the NRS functioning levels terminology that the Institutional Effectiveness and Research department reports to FLDOE and USDOE. The College acknowledges the classroom sign wording as described, and in response to the Concern/Recommendation will take prompt action to change the signs using wording that is more sensitive and objective.

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.

- Financial Policies and Procedures
- Annual Planning Process
- Annual Assessment, Planning, and Budgeting Cycle
- Discrimination Complaint Process (Personnel policy)
- General Admission Requirements for Adult Education
- Student Records, including enrollment, attendance, grades, tests taken, and test results
- Property Handbook
- Inventory of equipment purchased with Federal Adult Education funds
- PeopleSoft - standardization of student records across program areas
- Student Rights and Responsibilities for Adult High School handbook
- ABE/GED counseling and Advisement Student handbook
- Transition Services/Career Pathways flyer

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.

- Financial Policies and Procedures
  - o Travel Policy
  - o College Property Inventory and manual
  - o Purchasing Card (Pcard) policy and manual, use of Pcard seemed to be minimal.
- Verification of Grant Personnel Time Distribution (PARs)
- Ledger from January through March, 2012 was reviewed.
- Sample purchase orders and invoices were reviewed.
- Policies and Procedures were available online.
- Finance staff was available to provide information and answer questions.
- The approval processes were in place and were followed.
- The College provides a scholarship fund to benefit students.
- The Planning Process includes a review of expenditures and planned purchasing.

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

CONCERNS AND RECOMMENDATIONS
1. Concern: Some policies appear to have not been reviewed for a number of years. For example, for one policy reviewed, the last date noted was 6/10/97, over 15 years ago. For others, the Statute cited no longer exists, or the Statute number has changed.

   Recommendation: The College might consider a regular review of policies and procedures to ensure that they are current, applicable and necessary. Dates of reviews are not readily apparent in the review of a policy by the public.

   Agency Response: SSC would like to clarify that the last date noted on a policy indicates when the last change to that policy was approved by SSC's Board of Trustees. The College already has systems in place to review policies regularly. New policies are developed and existing policies are changed in response to need, including when required by law.

   FDOE: See required resolution in the Action Plan, Attachment B.

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

- The College has developed and nurtured relationships with the following colleges and universities:
  - o Seminole County Schools
  - o University of Central Florida (UCF)
  - o College of Central Florida (CCF)
- A Resource Manual indicating community contacts is available.
- The College has a close relationship with the Teachers of English to Speakers of Other Languages (TESOL) Master's Program at UCF.
  - o The College hosts the annual TESOL Conference for area teachers.

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

CONCERNS AND RECOMMENDATIONS
None

VIII.   REQUIRED RESOLUTION ACTIVITIES

<u>ADULT EDUCATION</u>

Action Plan – The Agency is required to complete an Action Plan (Appendix B) to address the concerns noted in the focus areas C, F, and H in Section VII of this report.

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

IX.   TARGETED TECHNICAL ASSISTANCE

Targeted technical assistance may be provided to support full compliance and systemic change for program improvement. Staff are 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:
- The College has demonstrated a significant investment in Adult Education; its integration into the strategic plan and campus life is commendable.
- The Annual Planning Process is comprehensive and incorporates Adult Education.
- The Academic Foundations leadership team is well on its way to implementing the strategic plan and putting in place many new initiatives.
- The College has developed a video library for students who need to review classroom instruction.

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 extend our appreciation to all participants in the Seminole State College onsite monitoring visit. Special thanks to Dr. Terri Daniels and Ms. Toni DeMaglio for their participation and leadership in this process.

Appendix A
Seminole State College
Risk Matrix for Adult Education

Risk Factor	Criteria Scale	Value (V)	Risk Factor Weight	Total Points
Total amount of agency funding from grants (2009-10)	$ 2,000,001+	8	X 6	= 30
	700,001 - 2 million	6		
	300,001 - 700,000	**5**		*(total points)*
	< 300,000	4		
Number of grants per agency (2009-10)	Per grant (**2**)	**2**	x 6	= 24
Number of grants with **10%** or more of unexpended funds (2009-10)	Per grants (**0**)	**5**	x 4	= 0
Audit findings relevant to internal control weaknesses during three (3) previous years for targeted agency.	16 + findings	10	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 4	= 0
TOTAL Level of Risk Score				114

Appendix B
Seminole State College Resolution Plan

☒ Adult Education   ☒ Action Plan

Concerns:	Strategies/Actions to be Taken	Person Responsible	Projected Date of Completion
1. The managed enrollment seemed to present barriers for students at some of the community sites.	1. College responded within the body of the report. No further action required.	Dr. Terri Daniels will be responsible for the follow-up of all items.	N/A
2. Lack of non-discrimination notices posted throughout the College sites. Notices should be widely posted and available to students, families, and faculty. Brochures did not contain the non-discrimination policy.	2. Physical notices were posted prior to the team's departure and the College agrees to include a non-discrimination statement when printed program materials are re-published.		N/A
3. Classrooms are labeled with student performance levels, for example, "low intermediate". This labeling may be considered demeaning.	3. The College will take prompt action to change the signs using wording that is more sensitive and objective as indicated in the body of the report.		August 31, 2012
4. Some policies appear to have not been reviewed for a number of years. For example, for one policy reviewed, the last date noted was 6/10/97, over 15 years ago. For others, the Statute cited no longer exists or the Statute number has changed.	4. Agency must provide a listing of the college's policies and procedures reviewed (with dates of review) for the FY 2011-12.		August 31, 2012

Technical Assistance Needed and/or Provided:

Date and Status of Action – Completed/Pending

Plan submitted by:_____Date:_____

Plan accepted by:_____ Date:_____