



**Quality Assurance and Compliance
Onsite Monitoring Visit
for
Adult Education and Family Literacy
and
Career and Technical Education**

Union County School District
October 16-18, 2013

Final Report

FLORIDA DEPARTMENT OF EDUCATION



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January 27, 2014

Mr. Carlton Faulk, Superintendent
Union County School District
55 S.W. 6th St.
Lake Butler, Florida 32054-2599

Dear Mr. Faulk:

We are pleased to provide you with the final report of monitoring of the adult education programs from our visit. 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 Ellen McCarron, director of Quality Assurance and Compliance, at 850-245-9033 or via electronic mail at Ellen.McCarron@fldoe.org.

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

Sincerely,

Rod Duckworth

RD/gpf

Enclosure

cc: Mr. Barry Sams, director, Personnel and Secondary Education
Gloria Spradley-Brown, bureau chief, Grants Administration and Compliance
Ellen McCarron, director, Quality Assurance and Compliance
Dr. Shahrokh Massoudi, program specialist, Quality Assurance and Compliance

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Florida Department of Education
Division of Career and Adult Education

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

I. INTRODUCTION

The Florida Department of Education (FDOE), Division of Career and Adult Education, 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 division's Quality Assurance section 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 FDOE receives federal funding from the U.S. Department of Education (USDOE) 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 subgrants 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 subgrantees in the enforcement of all laws and rules (Sections 1001.03(8) and 1008.32, Florida Statutes).

Additional citations noting pertinent laws and regulations and authority to monitor are located in the 2012-2013 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 revised in the 2012-13 program year. The 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 FDOE and the division. 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 the district was determined to be an onsite visit. Notification was sent to Mr. Carlton Faulk, superintendent, on August 12, 2013. The designated representative for the agency was Mr. Barry Sams, director of personnel and secondary education.

The onsite visit to the agency was conducted on October 16-18, 2013, by two representatives of the Quality Assurance and Compliance section of the division: Program Specialists Dr. Shahrokh Massoudi and Mr. Rick Lockenbach J.D.

V. UNION COUNTY SCHOOL DISTRICT

ENROLLMENT:

Fiscal Year: 2011-12

<u>CTE Secondary</u>	<u>Adult General Education</u>	<u>Total</u>
375	86	461

The provider was awarded the following grants for FY 2011-12 and 2012-13:

2011-12

<u>Program</u>	<u>Total</u>	<u>Unexpended Funds</u>
Adult Education	\$45,852	0.00
Career and Technical Education	\$46,106	0.00

2012-13

<u>Program</u>	<u>Total</u>	<u>Unexpended Funds</u>
Adult Education	\$45,852	0.00
Career and Technical Education	\$46,260	0.00

Additional information about the provider may be found at the following web address:
www.unioncounty.k12.fl.us

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:

- District office
- Adult High School

- Union County High School (UCHS)

Entrance and Exit Conferences

The entrance conference for the district was conducted on October 16, 2013; the exit conference was conducted on October 18, 2013. The participants are listed below:

	Title	Entrance Conference	Exit Conference
Barry Sams	Director of Personnel and Secondary Education	X	X
Caitlyn Stalnaker	Accountant	X	
FDOE Monitoring Team			
Dr. Shahrokh Massoudi	Program Specialist	X	X
Rick Lockenbach, J.D.	Program Specialist	X	X

Interviews/Observations

Interviews were conducted with the administrative staff, instructional staff, 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, item G. A minimum of 10 student records were reviewed. Some policies and procedures were reviewed at the agency’s website and discussed at various times during the onsite visit.

VII. RESULTS

A. ADMINISTRATION refers to the management and/or supervision of programs, structure of programs and services, grant oversight, and other administrative areas.

- The director was well organized and prepared for the visit.
 - He has multiple other responsibilities and is very knowledgeable about and experienced in adult education and CTE programs.
- The district administration is supportive of adult education and CTE programs.
- Administrators were welcoming, friendly and cooperative.
- Staff development plans include in-service conferences and workshops.
 - The district encourages teachers to attend statewide conferences, which many instructors are attending.
- Both CTE and adult education programs have career specialists, who are very knowledgeable and committed to each student’s continuing education.
- The district uses CHOICES online with adult education and CTE students for career decision-making.

B. DATA AND ASSESSMENT refers to all the components of the data and assessment system, including test administration, test security, data collection, entry, and reporting, as well as procedures. The use of data in program decision-making is also explored and commented upon.

- The process for data collection and reporting was reviewed.

- A sample of students who earned industry certifications for Certified Nursing Assistant (CNA) and Microsoft and occupational completion points in the student data base was reviewed.
- The district is using SKYWARD[®] software for data collection and finance.
- Administrators and teachers are using data for student performance purposes.
- The district Management Information System director participates in statewide workforce education district data advisory committee meetings.
- Ongoing communication occurs between the CTE and adult education director and data staff.
- The CTE and adult education director is reviewing CTE and adult education data during the submission period.
- The district MIS director is experienced and innovative.
 - An example is using SKYWARD[®] software and phone applications to communicate with students and parents and to provide access to student records.

CONCERNS AND RECOMMENDATIONS

Concern: The district lacks written policies for data collection and reporting.

Recommendation: The district needs to develop written policies and procedures for data collection and reporting for CTE and adult education programs.

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

- Teachers are committed to their students.
- Teachers and students are active in career and technical student organizations for most CTE programs.
- Agriscience students have received many regional, state and national awards in Future Farmers of America (FFA).
 - This program has an annual plant and baby chick sale to raise funds for FFA.
- The business program is raising substantial funds from fundraisers to defer student costs to attend a Future Business Leader of America (FBLA) competition.
- The business program runs a school-based business selling school supplies and other items.
- The health programs at UCHS are growing and expanding, as the electrocardiograph aide and home health aide certifications have been recently added.
- CNA passing rates have been over 90 percent for several years.
- Adult education has a strong emphasis on creating career pathways for students to pursue postsecondary education and jobs, in addition to addressing a wide range of student needs that includes tutoring.
- The adult education program coordinator welcomes all students before they attend class and shares with them the activities for the day.
- There are two parent nights a year for community outreach and awareness; parents of students of all grades can attend.

CONCERNS AND RECOMMENDATIONS

Concerns: There are dated textbooks in several adult education classes, several in excess of 10 years-old.

Agency response: The district is buying additional textbooks with federal adult education roll forward funds.

Recommendation: The district needs to evaluate existing textbooks and purchase newer textbooks for adult education where appropriate.

Concern: The teacher in the Teacher Cadet Academy is teaching two CTE programs during the same class periods.

Recommendation: Determine which CTE program(s) will be offered based on a needs analysis.

Concern: Students at UCHS have limited awareness of postsecondary CTE opportunities.

Recommendation: Review existing information sharing and increase efforts to inform students of these educational opportunities.

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 district has a \$750 threshold for capitalized equipment.
- The district conducts an annual equipment inventory.
- There are procedures for disposal of equipment.
- Closed circuit cameras are used to monitor equipment and provide other security.
- Classroom equipment is current and is being utilized by teachers and students.
- A wide range of technology is being used.
- The district has a technology replacement plan.
- TABE assessment is administered online.

CONCERNS AND RECOMMENDATIONS

Concern: There are a limited number of computers for students enrolled in Agriculture, Food, and Natural Resources programs, given the number of students.

Recommendation: Evaluate the existing technology for student use and purchase additional computers for students in those CTE programs, if appropriate.

Concern: Computers purchased with adult education federal grant funds were not properly tagged, as markers were used for tagging.

Recommendation: Follow the district inventory guidelines for tagging these computers.

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.

- Buildings are well-maintained and classrooms are inviting.
- Classroom walls in adult education contain appropriate rules and other information.
- Students appear to be receiving the individual attention they need in the classroom.
- Eye-catching hallway signs and the code of conduct broadly posted at the high school promote appropriate student conduct.

CONCERNS AND RECOMMENDATIONS

Concern: There is a lack of posted safety rules in CTE classes in the Agriculture, Food, and Natural Resources cluster and in the carpentry class.

Recommendation: Post safety notices for these classes.

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 were broadly posted.
- District personnel are aware of the policies relating to the non-discrimination policy and who to contact with access, equity, discrimination and harassment issues.
- The district conducts annual workshops to address access and equity issues.
- The CTE program substantially enrolls non-traditional students by gender.

CONCERNS AND RECOMMENDATIONS

Concern: Genetic identity has not been incorporated as a protected class in the district's non-discrimination policy.

Recommendation: The district needs to include genetic identity as a protected class in the agency non-discrimination policy.

Concern: Non-discrimination notices are not consistently included in CTE and adult education publications.

Recommendation: The district needs to add these notices when publications are reprinted and notices should include genetic identity as a protected class.

G. RECORDS REVIEW refers to a review of the records and documents that evidence compliance with federal and state rules and regulations. Samples of financial and programmatic records are reviewed.

- Travel
- Equipment inventory
- Agency website
- Personnel time certifications
- Purchasing and other finance policies and procedures
- Student records
- Non-discrimination policy
- District student handbook
- Board policies and procedures

H. FINANCIAL refers to aspects of the federal fiscal requirements that providers must meet when expending federal funds, including financial management, procurement, inventory management, and allowable costs.

- The purchasing process was reviewed, as well as a sample of purchases.
- A sample of travel and the district process was reviewed.

- Agency personnel certifications for personnel paid 100 percent under one federal cost objective are in order.
- All expenditures are reviewed and approved by the district finance director.

FINDING

The district was not able to provide adequate documentation for actual time and effort distribution for a career specialist in the CTE program, that is funded from multiple federal cost objectives. The adult education director indicated that this person devotes considerably less time to providing Perkins–related CTE support, than the 80 percent of her total salary specified in the two Perkins grant budgets in 2013-14.

I. COLLABORATION refers to the collaborative agreements, partnerships, or Memoranda of Understanding (MOUs) that are in place to benefit an agency’s programs and students.

- The University of Florida Institute of Food and Agricultural Sciences program provides extensive support for students enrolled in CTE programs in the Agriculture, Food and Natural Resources cluster.
- Gateway State College has agreed to make available a number of slots in their postsecondary CTE programs for secondary CTE and adult education graduates.
- The adult education program has partnerships with the Florida Department of Juvenile Justice and local judges, who are using referrals to the adult education program as a potential alternative to conventional sentencing practices.

J. PERKINS PROGRAM IMPROVEMENT PLAN – A program improvement plan (PIP) is required when an agency does not meet 90 percent of its agreed-upon goals for individual performance measures. PIP is required for the performance levels that did not meet at least 90 percent of each agreed-upon target and is included in the grant.

- The district met or exceeded 90 percent of all agreed-upon targets; therefore, a PIP was not required for 2012-2013.

K. STUDENT PERSPECTIVE – The team meets with groups of students; their perspective is presented as a portion of this report.

- Students were very satisfied with their programs of instruction.
- Students were complimentary of their teachers and administration.
- Students are interested in continuing with their CTE programs after graduation.
- Adult education students believe they are making great progress in their classes.
- Students were well-mannered.

VIII. REQUIRED RESOLUTION ACTIVITIES

ADULT EDUCATION

1. Corrective Action Plan – Union County School District is not required to complete a corrective action plan.
2. Action Plan – Union County School District is required to complete an action plan to address the concerns noted in focus areas B, C, D and F documented in Section VII above.

CAREER AND TECHNICAL EDUCATION

1. Corrective Action Plan – Union County School District is required to complete a corrective action plan to address the finding noted in focus area H documented in Section VII above.
2. Action Plan – Union County School District is required to complete an Action Plan to address the concerns noted in focus areas B, C, D, E and F documented in Section VII above.

Once the corrective action plan and action plan are submitted, reviewed, and approved, the 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 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 and compliance team regarding the monitoring visit:

The teacher in the agriscience program has obtained a \$50,000 Florida Department of Agriculture and Consumer Services grant to build a greenhouse for the agriscience program.

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. Finally, the division 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 Union County School District onsite monitoring visit. Special thanks is offered to Mr. Barry Sams for his participation and leadership in this process.

Appendix A
Career and Technical Education Risk Matrix

Risk Factor	Criteria Scale	Value	Risk Factor Weight	Total Points
Total amount of agency funding from grants	\$ 2,000,001+	8	6	24
	700,001 – 2,000,000	6		
	300,001 - 700,000	5		
	< 300,000	4		
Number of grants per agency	Number of grants	x 2	x 6	24
Number of grants with 10% or more of unexpended funds	Number of grants	x 5 =	x 4	0
Audit findings relevant to internal control weaknesses during three (3) previous fiscal years for targeted agency.	16 + findings	10	x 10	100
	11-15 findings	8		
	5-10 findings	6		
	1-4 findings	4		
Change in director within the last two (2) fiscal years.	Yes = 1 No = 0	x 10	x 4	40
TOTAL Level of Risk Score				188

Adult Education Risk Matrix

Risk Factor	Criteria Scale	Value	Risk Factor Weight	Total Points
Total amount of agency funding from grants	\$ 2,000,001+	8	6	24
	700,001 – 2,000,000	6		
	300,001 - 700,000	5		
	< 300,000	4		
Number of grants per agency	Number of grants	x 2	x 6	12
Number of grants with 10% or more of unexpended funds	Number of grants	x 5 =	x 4	0
Audit findings relevant to internal control weaknesses during three (3) previous fiscal years for targeted agency.	16 + findings	10	x 10	100
	11-15 findings	8		
	5-10 findings	6		
	1-4 findings	4		
Change in director within the last two (2) fiscal years.	Yes = 1 No = 0	x 10	x 4	40
TOTAL Level of Risk Score				176

APPENDIX B
 Union County School District
 Adult Education and Career and Technical Education

Type of Plan	Strategies	Person Responsible	Projected Date of Completion
<p>Corrective Action Plan Finding: Law: Office of Management and Budget (OMB) Circular A-87, Attachment B,8h; 34 Code of Federal Regulations (CFR) 80.43(a)(5)</p> <p>The district was not able to provide adequate documentation for actual time and effort distribution for a career specialist funded from multiple federal cost objectives. The career specialist devotes considerably less time to providing Perkins–related CTE support than the 80 percent of her total salary specified in the two Perkins grant budgets in 2013-14.</p>	<p>The district has already changed the funding amount for the Career Specialist that is attributed to the Perkins grants. We have changed the funding percentage for this position from 80 percent to 20 percent that is attributed to the Perkins grants. This percentage was recommended by DOE reviewers. We are in the process of amending our Perkins grants to reflect this change.</p>	<p>Barry Sams</p>	<p>Changes to funding are complete. Grant amendments were mailed to DOE on January 17, 2014.</p>
<p>Action Plan Concern(s):</p> <ol style="list-style-type: none"> 1. District lacks policies and procedures for data collection and reporting. 	<p>The district does have policies and procedures for data reporting.</p>	<p>Barry Sams</p>	<p>January 17, 2014.</p>
<ol style="list-style-type: none"> 2. Several textbooks in adult education are older than 10 years. 	<p>We have ordered new textbooks for Adult Education Students. We were waiting for the new GED 2014 Series to begin.</p>	<p>Barry Sams</p>	<p>January 17, 2014.</p>
<ol style="list-style-type: none"> 3. The instructor in the Cadet Teacher Assisting Academy is teaching two CTE programs at the same time. 	<p>The focus of the Teacher Cadet academy has been changed back to only concentrating on Teacher Assisting only.</p>	<p>Barry Sams</p>	<p>January 17, 2014.</p>
<ol style="list-style-type: none"> 4. Students at UCHS have limited awareness of 	<p>CTE staff from Florida Gateway College are coming</p>	<p>Barry Sams</p>	<p>May 2014</p>

post-secondary CTE opportunities.	to UCHS to meet with counselors and CTE teachers to discuss CTE programs at FGC and share literature with teachers for the secondary students. This meeting is scheduled for February. Teachers will start incorporating CTE postsecondary awareness in their classroom discussions.		
5. There are a limited number of computers for students in the Agriculture, Food and Natural Resources cluster, given the number of students.	We have increased the number of computers in the Agriculture building from 12 to 20.	Barry Sams	January 17, 2014.
6. Adult education computers purchased with federal grant fund were not properly tagged, as markers were used for tagging.	All computers in the Adult Education center have been tagged.	Barry Sams	January 17, 2014.
7. Lack of safety rules in Agriculture, Food and Natural Resources cluster and carpentry classes	Safety rules posters will be developed and displayed in Agriculture and Carpentry labs.	Barry Sams	May 2014
8. Genetic identity has not been incorporated as a protected class in the district's non-discrimination policy.	The non-discrimination policy has been amended to include genetic identity as a protected class.	Barry Sams	January 17, 2014.
9. Program materials for CTE do not uniformly contain non-discrimination notices, and some notices did not cover all protected classes, including the genetic identity protection under the Genetic Identification Nondiscrimination Act (GINA).	CTE materials will be updated to include the New non-discrimination policy. The new non-discrimination policy contains GINA protections.	Barry Sams	May 2014
Technical assistance needed and/or provided:			
Plan submitted by (name and title): Barry Sams, director of Personnel and Secondary Education _____ Date: <u>1/17/2014</u>			
Plan accepted by (name and title): Ellen McCarron, director of Quality Assurance and Compliance _____ Date <u>1/22/2014</u>			

Status of Resolution Plan (to be completed by DOE staff)	
Date	Status of Plan Completion