



Quality Assurance and Compliance Monitoring

Adult Education

University of South Florida

Final Report
January 19, 2011

FLORIDA DEPARTMENT OF EDUCATION



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January 19, 2011

Dr. Judy Genshaft, President
University of South Florida
4202 East Fowler Avenue
ADM 241
Tampa, Florida 33620

Dear Dr. Genshaft:

We are pleased to provide you with the Final Report of Monitoring of the Adult Education programs from our visit on October 27-29, 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: Grace Wang
Eileen L. Amy
Sheryl Walden

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**University of South Florida
Adult Education and Family Literacy - Leadership
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 and Family Literacy Act of 1998. 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 revised in the 2010-11 program year. 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. 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 the University of South Florida was determined to be an onsite visit. Notification was sent to Dr. Judy Genshaft, President, University of South Florida (USF), on September 8, 2010. The designated representative for the agency was Grace Wang, Research Administrator, University of South Florida, College of Education/David C. Anchin Center (Anchin Center).

The onsite visit to the agency was conducted October 27-29, 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, Mr. Tashi Williams, and Ms. Sheryl Walden.

V. UNIVERSITY OF SOUTH FLORIDA

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 (rounded)</u>
291-1929A-9PL01	Adult Leadership	\$100,000	\$ 17,468
291-1929A-9PL02	Adult Leadership	\$ 96,999	\$ 8,036
291-1929A-9PL03	Adult Leadership	\$100,000	\$ 6,881
291-1949A-9PL01	EL/Civics Leadership	\$ 25,000	\$ 2,909
291-1949A-9PL02	EL/Civics Leadership	\$ 77,999	\$ 9,315
291-1949A-9PL03	EL/Civics Leadership	\$ 24,999	\$ 7,197

2009-2010 ADULT EDUCATION GRANTS

<u>Grant Number</u>	<u>Type</u>	<u>Total</u>	<u>Unexpended Funds (rounded)</u>
291-1920A-0PL01	Adult Leadership	\$ 99,860	\$ 4,369
291-1920A-0PL02	Adult Leadership	\$ 99,860	\$12,412
291-1940A-0PL02	EL/Civics Leadership	\$ 25,000	\$ 6,217
291-1940A-0PL01	EL/Civics Leadership	\$ 25,000	\$ 6,724

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

<http://anchin.coedu.usf.edu/>

VI. MONITORING ACTIVITIES

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

Onsite Visits

Members of the team made an onsite visit to the Anchin Center, College of Education, at the University of South Florida.

Entrance Conference

The entrance conference for USF/Anchin Center was conducted on October 27, 2010 and included: Ms. Marilyn Kline, Director; Ms. Patricia Linder, Director; Mr. Michael Melanson, Unit Research Administrator; Ms. Grace Wang, Unit Research Administrator; Ms. Cathy Hsieh, Fiscal Specialist; Ms. Linda Peterson, Controller; Ms. Beth Dhondt, Assistant Controller; Ms. Laura L. Beagles, Sponsored Research Administrator; Ms. Eileen L. Amy, Director of Quality Assurance and Compliance, and Program Specialists, Mr. Tashi Williams, and Ms. Sheryl Walden.

Interviews/Observations/Records Review

Interviews were conducted with the administrative, instructional, and program staff. All interviews and observations were held during the course of the visit. Administrative, financial, and program records were reviewed. A complete list is provided in Section VII-G. Some policies and procedures were reviewed on the USF web site and discussed during the onsite visit.

Exit Conference

The exit conference for the University of South Florida was conducted on October 29, 2010 and included: Ms. Marilyn Kline, Director; Ms. Patricia Linder, Director; Ms. Grace Wang, Unit Research Administrator;

Ms. Beth Dhondt, Assistant Controller; Ms. Eileen L. Amy, Director of Quality Assurance and Compliance, and Program Specialists, Mr. Tashi Williams, and Ms. Sheryl Walden.

VII. RESULTS

University of South Florida October 27-29, 2010

For the 2010-11 project year, USF was awarded two Adult Education and Family Literacy Leadership grants (\$200,000 total) and two EL/Civics Leadership grants (\$100,000 total). These grants assist in funding the Regional Training Councils (RTCs) in Regions II and IV. The RTCs work in conjunction with the Florida Department of Education, ACE of Florida, Florida's Adult and Family Literacy Resource Center, TechNet, and other literacy providers to identify needs and conduct teacher training and staff development workshops for adult educators. In addition, the RTCs develop an annual regional training plan for addressing EL/Civics and adult education professional development based on a needs assessment for staff development events, provide ongoing and intensive training and professional development opportunities, and travel assistance to adult and community education practitioners in a specific region of the state.

Region II RTC serves Alachua, Baker, Bradford, Citrus, Clay, Columbia, Dixie, Duval, Gilchrist, Hamilton, Jefferson, Lafayette, Levy, Madison, Marion, Nassau, Putnam, St. Johns, Suwannee, Taylor and Union Counties.

Region IV RTC serves Charlotte, Collier, DeSoto, Glades, Hardee, Hendry, Hernando, Highlands, Hillsborough, Lee, Manatee, Pasco, Pinellas, Polk, and Sarasota Counties.

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

- USF provided a comprehensive and thorough response to requests for information.
- Project directors were mutually supportive of each other and their respective projects.
- It was obvious that programs, finance, grants, and administration staff work together to ensure success of these programs through:
 - Regular meetings and
 - Cross-departmental communication.
- A thorough grant review process is in place.
 - Checks and balances were evident.
 - Multiple reviews of budget/expenditures are conducted.
 - Approval process travels through many levels.

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.

- Although the RTC collects various forms of data (attendance at meetings, feedback, transfer of learning), there was no comprehensive data management system in place to keep track of all data collected. Data is currently maintained on Excel spreadsheets, prepared by RTC and FDOE staff.

FINDINGS

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

CONCERNS AND RECOMMENDATIONS

1. Concern: No comprehensive data management system in place to manage data collected by the RTCs.

Recommendation: RTC's should explore options for developing a comprehensive data management system to manage data from the adult education leadership and EL/Civics projects. Perhaps this might be a potential focus/project for the Regional Training Council.

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

- conducts needs assessments to determine training offered;
- provides assistance with travel costs;
- provides technical assistance and referrals;
- relies on feedback from participants and trainers for continuous program improvement;
- offers trainings/workshops in a variety of locations to facilitate attendance and to meet training needs; and,
- provides follow-up for transfer of learning.

FINDINGS

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

CONCERNS AND RECOMMENDATIONS

1. Concern: Evaluation of services

Recommendation: Implement an evaluation of the entire scope of services provided by the RTC to facilitate the generation of an annual report.

D. TECHNOLOGY/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.

- Trainers use a variety of technology in trainings/workshops.
 - Computers, projectors, Smart Boards, calculators
- SurveyMonkey is utilized for participant registration and evaluation of training.
- Skype is used for meetings.

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.

- Various sites/locations are used for trainings/workshops throughout the two regions; these sites were not observed during this visit.

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.

- Staff is aware of federal non-discrimination laws.
- USF has a “Diversity and Equal Opportunity: Discrimination and Harassment” policy.
- Non-discrimination language appears in grant applications.
- Multiple references to ADA compliance were noted on documents.
- Non-discrimination statements were not observed on bulletin boards in the Anchin Center or any other part of the campus.

FINDINGS

Although staff was aware of the requirements of federal non-discrimination laws and could readily access them online, we did not find statements of non-discrimination to be broadly posted so they were visible to students, staff, or the visitors to the University as required by law, rule, or regulation as noted below:

(Title VI of the Civil Rights Act of 1964 [PL. 88-352]; Title IX of the Education Amendments of 1972 as amended [20 U.S.C. 1681-1683 and 1685-1686]; Section 504 of the Rehabilitative Act of 1973, as amended [29 U.S.C. 794]; Section 1000.05, Florida Statutes: “The Florida Educational Equity Act”; Section 760.10, Florida Statutes: “Unlawful Employment Practices”; “Implementation of the Nondiscrimination and Equal Opportunity Provisions of the Workforce Investment Act of 1998 (WIA)” [29CFR37].)

A Corrective Action Plan is required.

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:

- Financial records (see Section H – Financial for detailed list)
- Grant deliverables
 - Workshop/training attendance
 - Invoice documentation
 - Schedule of trainings/workshops
 - RTC meeting announcements and agendas
 - Results of needs assessments

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.

The following financial records were reviewed:

- Time and effort records
- Summary of expenditures
- RSA- Remaining Spending Authority
- Travel

- Allowable costs
- Job descriptions (standard/generic)
- Review of purchases/invoices
- P-card expense report

In 2008-09, for the six Leadership grants totaling \$424,997, \$51,806 was unexpended; in 2009-10 for four grants totaling \$249,720, \$29,740 was unexpended.

FINDINGS

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

CONCERNS AND RECOMMENDATIONS

1. Concern: Unexpended funds – In 2008-09 and 2009-10 more than 10% of funds were unexpended each year.

Recommendation: Closely monitor grant-funded purchases, contracts, and balances to better facilitate timely expenditure of grant funds.

Agency Response: As reported by the Comptroller at the time of the on-site visit, regular reviews and reports are being completed to limit unexpended funds and insure expenditures are made to use funds as intended by the grant. No additional actions are necessary at this time.

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

- RTC membership includes both Adult Education and CTE practitioners
- Collaborative agreements address:
 - Career Pathways
 - Transition from literacy to employment
 - Transition from GED to postsecondary (colleges and universities)

FINDINGS

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

CONCERNS AND RECOMMENDATIONS

None

VIII. REQUIRED RESOLUTION ACTIVITIES

ADULT EDUCATION

1. Corrective Action Plan – The University is required to complete a Corrective Action Plan to address the finding regarding non-discrimination notices as noted in the focus area F above.
2. Action Plan - The University must provide an Action Plan to address the concerns noted in the focus areas B and C above.

Once the Corrective Action or 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. Division staff may be asked to assist their efforts toward systemic change. Various websites and/or program or contract staff may be listed.

X. 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 University of South Florida's onsite monitoring visit. Special thanks to Ms. Grace Wang and to Ms. Linda Peterson for their participation and leadership in this process.

Appendix A
University of South Florida
Risk Matrix for Adult Education and Family Literacy

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 (6)	2	X 6	= 72
Number of grants with 10% or more of unexpended funds (2008-09)	Per grant (4)	5	X 4	= 80
Audit findings relevant to internal control weaknesses during three (3) previous years for targeted agency.	16 + findings (20)	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	10	X 4	= 0
TOTAL Level of Risk Score				282

**Appendix B
University of South Florida
Resolution Plans**

Career and Technical Education

Corrective Action Plan

Adult Education

Action Plan

	Strategies	Person Responsible	Projected Date of Completion
<p>CORRECTIVE ACTION PLAN Citation/Finding(s): Although staff was aware of the requirements of federal non-discrimination laws and could readily access them online, we did not find statements of non-discrimination to be broadly posted so they were visible to students, staff, or the visitors to the University. <u>Statutory Authority</u>: Title VI of the Civil Rights Act of 1964 [PL. 88-352]; Title IX of the Education [20 U.S.C. 1681-1683 and 1685-1686], Section 504 of the Rehabilitative Act of 1973, as amended [29 U.S.C. 794 [42 U.S.C. 6101-6107].</p>	<p>The University of South Florida makes available on their website non-discrimination flyers (see link: http://usfweb2.usf.edu/human-resources/pdfs/employee-relations/florida-law-prohibits-discrimination.pdf) for posting throughout the University.</p>	<p>Dr. Bruce Jones, Director David C. Anchin Center</p>	<p>The flyer has been posted prominently within the Anchin Center.</p> <p>Completed</p>
<p>ACTION PLAN Concerns:</p> <ol style="list-style-type: none"> 1. RTC and FDOE staff invest considerable time and effort collecting information (meeting attendance data, feedback, transfer of learning), which is then compiled into Excel spreadsheets or other documents. This is necessary because no comprehensive data management system in place to manage data collected by the RTCs. 2. Although a needs assessment occurs, implementation of an evaluation of the entire scope of services provided by the RTC could provide additional input for the needs assessment. 3. In 2008-09 and 2009-10 more than 10% of funds were unexpended. (<i>Agency has responded</i>) 	<ol style="list-style-type: none"> 1. Facilitators of RTC II and IV will share findings with the RTC Program Director at the Florida Department of Education and, at the direction of the Program Director, work collaboratively with the other RTC Facilitators around the state to explore options for developing a comprehensive data management system to manage data from the adult education leadership and EL/Civics projects. 2. Facilitators of RTC II and IV will share findings with the RTC Program Director at the Florida 	<p>Marilyn Kline and Patricia Linder</p>	<p>January 31, 2011</p>

	<p>Department of Education and, at the direction of the Program Director, work collaboratively with the other RTC facilitators around the state to refine the current quarterly reporting system and implement an evaluation of the entire scope of services provided by the RTC to facilitate the generation of an annual report.</p>		
<p>Technical Assistance Needed and/or Provided:</p>			
<p>Date and Status of Action:</p>			
<p>Plan submitted by: Grace Wang, Research Administrator, USF College of Education</p>		<p>Date: 01/14/2011</p>	
<p>Plan accepted by: Eileen L. Amy, Director, Quality Assurance and Compliance</p>		<p>Date: 01/18/2011</p>	

Appendix C
University of South Florida
Anchin Center



The **mission** of the David C. Anchin Center is to promulgate mutually beneficial institutional relationships that advance research, advocacy and information dissemination on best practices in education.

Through our mission statement, initiatives of the Center fall under three broad themes:

1. Conduct interdisciplinary research that brings together multiple institutions to collectively address educational issues.
2. Advance equity and social justice in the work of the Center.
3. Promote entrepreneurship and innovation in the field of K-12 and higher education.

Anchin initiatives include:

Teacher Leadership and Development

- The **PROMiSE Initiative** – Focuses on Florida’s Next Generation State Sunshine Standards in math and science. Public school teachers in all of Florida’s 67 counties are provided professional development in these standards through this initiative.
- The Anchin Center administers the largest **Advanced Placement Training Program** for teachers in the southeast United States. Through this program an estimated 1,000 teachers are provided advanced-level professional development training in an array of subject areas that include mathematics, literacy, geology, physics, chemistry, biology, civics and history.
- Throughout Hillsborough County teachers are provided professional development in **cultural competence** through support from the federally funded Teacher Incentive Fund, CHOICE and Magnet initiatives, and Smaller Learning Communities initiative.
- Professional development for adult education practitioners in more than half of Florida’s 67 counties is facilitated through Anchin Center administration of **state leadership initiatives**. Focused on improving literacy levels among adult learners, the professional development embodies research-based practices which integrate literacy instruction and occupational skills training, and promote linkages with industry.

School Administrator Leadership Development

- The **Executive Leaders Program** training for school principals, central office personnel and superintendents throughout the state.
- **Cultural competency** training for school leaders through support from the federally funded Teacher Incentive Fund (TIF), CHOICE and Magnet initiatives, and Smaller Learning Communities initiative.

Research & Information Dissemination

- The **Anchin Educational Policy Book Series** through Information Age Publishers allows educational researchers to publish books and disseminate information about what is viewed as best practices in public education.
- **Anchin Educational Policy Briefs** are published through the Anchin Center and in partnership with Hillsborough County Public Schools. The Policy Briefs serve as a critical venue for Anchin researchers and USF faculty to co-publish with school teachers, central office personnel and administrators.
- Periodic **summits and policy roundtables** on a range of educational issues with K-12, business and philanthropy and other higher education constituents.

Parental Involvement and Community Advancement

- The Anchin Center administers the statewide (federally sponsored) **Parent Involvement Resource Center (PIRC)**, which focuses on ensuring that parents are able to work effectively with school teachers on student achievement goals.
- The Anchin Center administers the Assisted Living Facilities examination to individuals who are interested in becoming certified to serve as administrators at Assisted Living Facilities.

Quality Assurance Monitoring Visit: Adult Education and Family Literacy – Leadership

Consistent with the organizational mission, the adult literacy enterprise is a vital programmatic feature of the Anchin Center. Through the work of Anchin Associates Patricia Linder and Marilyn Kline, over one million state dollars has provided training support for individuals who serve adult students in education and family literacy program areas, including full- and part-time teachers, volunteer tutors, paraprofessionals, pre-service teachers, program administrators, and guidance counselors. These individuals represent a wide range of educational providers that include public school districts, community colleges, volunteer literacy programs, community-based organizations, faith-based organizations, workforce programs, vocational and technical centers, and correctional facilities.

The adult education practitioners engage in professional development through multiple delivery methods. In this regard, training may come to fruition in virtual environments, traditional face-to-face workshops, or hybrid models that provide blended delivery formats. Since 2006, Kline and Linder have facilitated over 400 trainings that provided free professional development for more than 5,800 participants in these various formats.

The literacy trainings of the Center are constantly evolving as the diverse needs of adult learners are identified. For example, literacy training over the last four years has been transformed from a single, comprehensive math workshop scenario to a four-session training series addressing the most missed assessment test questions in the areas of: (1) Calculation and computation, (2) Graphs and tables, (3) Geometry and measurement, and (4) Algebraic thinking and problem solving. As a result, there has been marked improvement in these areas as evidenced by new lists of most missed questions.

As facilitators of Regional Training Councils (RTCs) for two of the five regions of the state, Kline and Linder convene leadership from local adult education and volunteer literacy programs in quarterly meetings to develop a regional training calendar of topics based on identified needs and assist in securing host sites for the face-to-face trainings. Additionally, the RTCs provide a platform for regional leadership to network with other adult education professionals to share successful policies, programs, and best practices; discuss common issues; and collaborate to address challenges.

Anchin Associates Kline and Linder persist in providing expertise in adult literacy education and professional development throughout the state, aspiring to encourage adult learners to “acquire the basic skills necessary to function in today’s society so that they can benefit from the completion of secondary school, enhanced family life, attaining citizenship and participating in job training and retraining programs (Anchin Today, Summer 2010).