



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

Polk County School District

November 16-19, 2015

Final Report



State Board of Education

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Division of Career and Adult Education

December 3, 2015

Dr. Kathryn LeRoy, Superintendent
Polk County School District
1915 S. Floral Avenue
Bartow, Florida 33830

Dear Dr. LeRoy:

We are pleased to provide you with the final monitoring report for the adult education and career and technical education programs at the Polk County School District. The final report will also be placed on the Quality Assurance and Compliance website at <http://fldoe.org/academics/career-adult-edu/compliance>.

We appreciate the leadership and professionalism demonstrated by your staff during our visit. If we can be of any assistance, please contact Tashi D. Williams, director of Quality Assurance and Compliance, at 850-245-9033 or Tashi.Williams@fldoe.org.

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

Sincerely,

Rod Duckworth

RD/twd/dw

Enclosure

cc: John Small, assistant superintendent of Multiple Pathways Education
Gloria Spradley-Brown, bureau chief, Grants Administration and Compliance
Tashi, D. Williams, director, Quality Assurance and Compliance
Donna Waller, program specialist, Quality Assurance and Compliance
Michael Swift, program specialist, Quality Assurance and Compliance

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Florida Department of Education
Division of Career and Adult Education

**Polk County School District
Adult Education and Career and Technical Education
Quality Assurance and Compliance 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 and Compliance 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 (Perkins) Career and Technical Education Act of 2006 and for Adult Education (AE) 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 subgrants 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 pursuant to 34 CFR 76.770, Education Department General Administrative Regulations (EDGAR) and the Uniform Grant Guidance (UGG) for grant awards issued on or after December 26, 2014. 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 2015-2016 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 2015-16 program year. The manual is 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://fldoe.org/academics/career-adult-edu/compliance>.

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 department 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 Polk County School District was determined to be an onsite visit. Notification was sent to Dr. Kathryn LeRoy, superintendent of the Polk County School District, on August 7, 2015. The designated representative for the agency was Mr. John Small, assistant superintendent of Multiple Pathways Education for adult education and career and technical education programs.

The onsite visit to the agency was conducted November 16, 2015 through November 19, 2015, by two representatives of the Quality Assurance and Compliance section of the division: Program Specialists Mr. Michael Swift and Ms. Donna Waller.

V. POLK COUNTY SCHOOL DISTRICT

Enrollment: (possible duplications at the program level):

ENROLLMENT:

Fiscal Year (FY) 2013-14:

Adult Education
1,929

CTE Secondary
51,437 (possible duplication at program level)

CTE Postsecondary
1,459 (possible duplication at program level)

The provider was awarded the following grants for FY's 2013-14, 2014-15 and 2015-16.:

FY 2013-14

<u>Grants</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended</u>
Adult General Education	530-1914A-4CG01	\$ 1,103,469.00	\$ 86,567.00
English Literacy/Civics Education	530-1934A-4CE01	\$ 155,339.00	\$ 18,762.43
CTE Perkins Secondary	530-1614A-4CS01	\$ 944,921.00	\$ 6,056.93
CTE Postsecondary	530-1614A-4CP01	\$ 216,495.00	\$ 12,530.85

FY 2014-15

<u>Grants</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended</u>
Adult General Education	530-1915A-5CG01	\$ 1,209,735.00	\$ 77,787.44
English Literacy/Civics Education	530-1935A-5CE01	\$ 171,834.00	\$ 17,418.85
CTE Perkins Secondary	530-1615A-5CS01	\$ 1,008,129.00	\$ 61,470.57
CTE Perkins Postsecondary	530-1615A-5CP01	\$ 231,828.00	\$ 39,964.31

FY 2015-16

<u>Grants</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended</u>
Adult General Education	530-1916B-6CG01	\$ 1,209,735.00	\$ 1,102,618.13
English Literacy/Civics Education	530-1936B-6CE01	\$ 171,834.00	\$ 64,409.93
CTE Perkins Secondary	530-1616A-6CS01	\$ 1,075,120.00	\$ N/A
CTE Perkins Postsecondary	530-1616A-6CP01	\$ 213,561.00	\$ N/A

Additional information about the provider may be found at the following web address:
www.Polk-fl.net/

VI. MONITORING ACTIVITIES

The monitoring activities included pre-visit planning conference calls, an entrance conference, interviews with administrators, teachers, students, observation, records review, inventory and an exit conference.

Onsite Visits

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

- Polk County School District Office
- Lakeland High School
- Traviss Career Center
- East Area Adult Center
- West Area Adult Center
- Bartow High School

Entrance and Exit Conferences

The entrance conference for the Polk County School District was conducted on November 16, 2015; the exit conference was conducted on November 19, 2015. The participants are listed below:

Name	Title	Entrance Conference	Exit Conference
Mr. John Small	Assistant Superintendent of Multiple Pathways Education	X	X
Ms. Laura Hartman	Teacher Resource Specialist/Trainer	X	X
Mr. Derrick Woodard, Sr.	Teacher Resource Specialist/Trainer	X	X
Ms. Teresa Griffin	Analyst, Technical Support Facilitator	X	X
Ms. Faye Reddick	Vocational/WDIS Support Specialist	X	X

Ms. Ann Everett	Director of Information Services	X	X
Mr. Jason Pitts	Director of Budget	X	X
Mr. J.D. Fout	Budget Analyst	X	X
Mr. Clifton Kahler	Budget Coordinator	X	X
Ms. Jacqueline Byrd	Deputy Superintendent	X	X
Ms. Jacqueline Bowen	Chief Academic Officer	X	X
Ms. Jessica Hall	Analyst, Technical Support Facilitator	X	X
FDOE MONITORING TEAM			
Mr. Michael Swift	Program Specialist, FDOE	X	X
Ms. Donna Waller	Program Specialist, FDOE	X	X

Interviews/Observations

Interviews and/or observations were conducted during the course of the visit with selected administrative staff, teachers, and students. A minimum of 25 interviews and observations were held during the course of the visit.

Records Review

Program, financial, administrative records and student records were reviewed. A complete list is provided in section VII, item G. A minimum of 20 student records were reviewed. Policies and procedures were reviewed and discussed at various times during the 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.

- Florida's curriculum framework is used for all AE and CTE programs.
- Members of all levels of administration work cooperatively and collaboratively toward the goals of the district.
- Administration is known and their presence is visible throughout the school campuses.
- The district conducts staff development for all teachers once a month.
- Mr. John Small, assistant superintendent of multiple pathways education, is committed to the success of the adult education and career and technical education programs.

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.

- Verification of AE and CTE student data and occupational completion point (OCP) were reviewed and verified during the onsite visit.
- Communications between the district data staff and program staff is evident.
- The data staff works with the program staff to assure effective processes.
- Data is used in evaluation of the AE and CTE programs.
- THE FOCUS system is currently being used for data collection including attendance and grades for the adult and career centers.

- C. **CURRICULUM AND INSTRUCTION** refers to those elements which contribute to student learning and skill acquisition. It also addresses student and instructor observations.
- The AE and CTE programs are composed of experienced, qualified teachers and staff that are passionate about their respective classes with work experience related to their subject areas.
 - Students were making progress toward obtaining their GED® and/or industry certifications.
 - Technology is incorporated into the teaching process.
 - The technology available to the students is state of the art and their accomplishments are known nationally.
 - Programs are a blend of instructional and practical experiences for students.
 - The team observed a variety of instruction taking place: Group learning, lectures, individualized instruction via computers/software and textbook reviews.
 - The curriculum and teaching materials used in the classrooms are current and adequate for the number of students.
- 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 is inventoried on a biannual basis.
 - The inventory contained all the required elements of the Education Department General Administrative Regulations (EDGAR).
 - Technology was integrated into instruction.
 - The district has a technology replacement plan.
- 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 students receive individualized instruction in class, if needed.
 - The physical environment of the classes and campuses were inviting and conducive for learning.
 - The school campus, classrooms and grounds were well maintained.
 - Students were enthusiastic about their learning environment and the classes they were attending.
- 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 Office of Equal Educational Opportunity (OEEO) for school districts is responsible for monitoring and overseeing civil rights compliance obligations. Should you have any questions or concerns, please contact the OEEO at 850-245-9556.
- 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.

- Organizational chart
- District policies and procedures
- Student registration and enrollment forms
- Student handbook and code of conduct
- Staff employee handbook
- Program course standards
- Curriculum frameworks
- School board policy acknowledgement
- Schedule of classes
- Promotional program brochures
- AE equipment inventory
- CTE Perkins inventory
- Student records
- Financial records
- Purchasing records
- Verification of student industry certifications
- Verification of occupational completion points
- Verification of AE completers and noncompleters
- Completed AE grant applications
- AE and CTE grants 2013-14 through 2015-16
- Final disbursement reports (DOE 499's)
- School district website

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 systems applications and products (SAP) software and the district's enterprise data warehouse (EDW) system is used for the purpose of financial, purchasing and data collection.
- Purchasing procedures are in place and are being followed.
- An approval process for expenditures is currently in place and is being followed.
- Internal procedures were efficient and tracking was easily verified on multiple levels.

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.

- In 2015-2016 the Polk County School District has the following articulation agreements with postsecondary colleges/universities listed below:
- Polk State College – Winter Haven and Lakeland
- Coalition for the Homeless
- Keiser University – Lakeland
- Southeastern University – Lakeland
- South Florida State College – Avon Park
- Tampa Bay Area Regional Career Pathways Consortium (Hernando, Hillsborough, Manatee, Pasco, Pinellas, Polk and Sarasota Counties)

- J. PERKINS LOCAL PROGRAM IMPROVEMENT PLAN** – A Perkins local Program Improvement Plan (PIP) is required when an agency does not meet 90% of its agreed-upon goals for individual performance measures.

Secondary Measures:

- In 2013-14 the agency met or exceeded all secondary measures except for the following therefore; a local program improvement plan (PIP) was required for the following:
 - 6S1 Non-traditional enrollment: Local Actual 37.83% vs. 43.37% Local Agreed

Postsecondary Measures:

- In 2013-14, the agency met or exceeded all postsecondary measures therefore, a PIP was not required.

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

- Students in the Polk County School District represent diverse cultures and ages.
- Information regarding financial aid and other resources are readily available for students.
- Students were enthusiastic about their instructional programs.
- Students were complimentary of teachers, counselors and the administration.
- Students appreciate the individualized instruction that they receive from their teachers.
- Students expressed pride in their programs.
- Students acknowledged the time and location of the programs are convenient.

VIII. REQUIRED RESOLUTION ACTIVITIES

ADULT EDUCATION

1. Corrective Action Plan – Polk County School District is not required to complete a Corrective Action Plan.
2. Action Plan – Polk County School District is not required to complete an Action Plan.

CAREER AND TECHNICAL EDUCATION

1. Corrective Action Plan – Polk County School District is not required to complete a Corrective Action Plan.
2. Action Plan – Polk County School District is not required to complete an Action Plan.

IX. 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, forwarded to the agency head with a copy to the appropriate parties, and is posted on the department's website at the following address: <http://fldoe.org/academics/career-adult-du/compliance>.

Finally, the division issues a closure notice to the agency head and designated contact person. This notice indicates all outstanding resolution items have been completed.

On behalf of the department, the monitoring team extends our appreciation to all participants in the Polk County School District onsite monitoring visit. Special thanks are offered to Mr. John Small, assistant superintendent of Multiple Pathways Education, Ms. Laura Hartman, teacher resource specialist/trainer and Mr. Derrick Woodard Sr., teacher resource specialist/trainer for their participation and leadership in this process.

APPENDIX A

Polk County School District
Adult Education and Family Literacy
Risk Matrix

Risk Scores Matrix for Districts Receiving Adult Education (AE) Grants					
Agency Name: POLK COUNTY SCHOOL DISTRICT					
Program type: ADULT EDUCATION					
Target Year: 2013-2014					
Monitoring Year: 2015-2016					
Metric	Scaling	Point Value	Points Assigned	Weight	Total Metric Points
Total AE Budget Allocated Value	Upper Quartile	7	7	<u>X 10</u>	70
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
# AE Grants Value	4+	7	3	<u>X 8</u>	24
	3	5			
	2	3			
	1	1			
AE Director Change Value	Yes	7	0	<u>X 6</u>	0
	No	0			
AE Funds Remaining Point Value	Upper Quartile	7	7	<u>X 4</u>	28
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
OAG Findings Value	Upper Quartile	7	7	<u>X 4</u>	28
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
AGENCY RISK SCORE:					150

*Compliance monitoring last visit: **AE, Spring 2010**

*Data sources used for calculations: **Prior to July 1, 2014**

**Risk Scores Matrix for Districts Receiving Career and Technical Education (CTE)
Carl D. Perkins Grants**

Agency Name: **POLK COUNTY SCHOOL DISTRICT**
 Program type: **CAREER AND TECHNICAL EDUCATION**
 Target Year: **2013-2014**
 Monitoring Year: **2015-2016**

Metric	Scaling	Point Value	Points Assigned	Weight	Total Metric Points
Total Perkins Budget Allocated Value	Upper Quartile	7	7	<u>X 10</u>	70
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
# Perkins Grants Value	4+	7	5	<u>X 8</u>	40
	3	5			
	2	3			
	1	1			
Perkins PIP Index Value	7.50 – 10.00	7	0	<u>X 8</u>	0
	5.00 – 7.49	5			
	2.50 – 4.99	3			
	0<index<2.50	1			
	0	0			
Perkins Director Change Value	Yes	7	0	<u>X 6</u>	0
	No	0			
Perkins Funds Remaining Point Value	Upper Quartile	7	7	<u>X 4</u>	28
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
OAG Findings Value	Upper Quartile	7	7	<u>X 4</u>	28
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
AGENCY RISK SCORE:					166

*Compliance monitoring last visit: **CTE, Spring 2010**

*Data sources used for calculations: **Prior to July 1, 2014**