



**Quality Assurance and Compliance
Desk Monitoring Review
for
Adult Education and Career and Technical Education**

Florida Department of Corrections

September 25, 2017

Final Report

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Florida Department of Education
Division of Career and Adult Education

**Florida Department of Corrections
Adult Education and Career and Technical Education
Quality Assurance and Compliance Monitoring Report**

I. INTRODUCTION

The Florida Department of Education (FLDOE), 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 FLDOE 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. FLDOE awards subgrants to eligible providers to administer local programs. FLDOE 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 2016-2017 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 2016-17 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 Florida Department of Corrections (FDC) was determined to be a desk monitoring review. Notification was sent to Mr. John Howle, assistant bureau chief of education services, on November 21, 2016. The designated representatives for the agency were Mr. Steven Byer, director, Adult Education and Mr. McKinley Crockett, senior management analyst, Career and Technical Education.

The desk monitoring review for the agency was conducted on May 1-5, 2017, by a representative of the Quality Assurance and Compliance section of the division: Mr. Michael Swift, program specialist.

V. FLORIDA DEPARTMENT OF CORRECTIONS

The provider was awarded the following grants for FYs 2014 -15, 2015-16 and 2016 -17:

2014-2015

<u>Grant</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended Funds</u>
Adult General Education	708-1915A-5CC01	\$ 1,000,000.00	\$ 38,192.11
Perkins State Leadership	708-1625A-5CL01	\$ 500,000.00	\$ 18,088.55

2015-2016

<u>Grant</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended Funds</u>
Adult General Education	708-1916B-6CC01	\$ 1,000,000.00	\$ 3,570.29
Perkins State Leadership	708-1626A-6CL01	\$ 500,000.00	\$ 61,307.37

2016-2017

<u>Grant</u>	<u>Grant number</u>	<u>Grant Amount</u>	<u>Unexpended Funds</u>
Adult General Education	708-1917B-7CC01	\$ 1,000,000.00	N/A
Perkins State Leadership	708-1627A-7CL01	\$ 500,000.00	N/A

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

<http://www.dc.state.fl.us/>

VI. MONITORING ACTIVITIES

The desk monitoring review activities included administrative, financial, review of deliverables and an exit conference call.

Exit Conference

The exit telephone conference was conducted via conference call on September 22, 2017. The participants are listed below:

Name	Title	Exit
Steven Byer	Director, Adult Education	X
Kristina Hartman	Chief of Programs	X
April Kalnin	Bureau Chief, Career and Technical Programs	X
FLDOE Monitoring Team		
Tashi Williams	Director, FLDOE	X
Michael Swift	Program Specialist IV, FLDOE	X

Records Review

Program, financial and administrative records were reviewed. A complete list is provided in section VII, item E. Policies and procedures were also reviewed.

VII. RESULTS

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

- FDC tracks the flow of federal funds by utilizing a multi-tier checks and balances system. Program funds are accounted for by the education supervisor, lead educator and finance/accounting personnel. Additionally, the grant manager maintains a running balance of expenses.
- The CTE program conducted their first program advisory committee meeting during the spring of 2017. This was a direct result of the Resolution Action Plan from the 2015/16 FDOE on-site monitoring visit.
- Students are able to declare a disability, but all inmates under the age of 22 are screened to determine whether or not they are eligible for services under the Individuals with Disabilities in Education Act (IDEA).
- FDC is accredited by the American Correctional Association whose standards include compliance with the Americans with Disabilities Act (ADA) and the IDEA within state correctional facilities. This insures that inmates with disabilities are offered equal access to education opportunities.
- All CTE teachers receive 40 hours of in-service training annually. Additionally teachers attend the Instructional Certification Training Program sponsored by the National Center for Construction and Education Research (NCCER).
- FDC creates bi-weekly recruitment and enrollment reports for program managers. This gives an up to date snapshot of students as they enter or leave a program.

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

- Policies and procedures are in place for data collection and reporting.
- The CTE program had one program improvement plan for the fiscal year (FY) 2014-15. The agencies plan was reviewed and discussed with the CTE program manager.
- Due to the unique nature of the FDC, student data is collected within the Offender Based Information System (OBIS).

- Both CTE and AE programs have individuals trained in data collection policies and procedures.
- FDC is provided quarterly reports from the Bureau of Research and Data. These reports, in addition to inmate test scores, allow program managers to better analyze the effectiveness of their instructional methods.

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

- Inmates participate in the Compass 100 program which is a transition skills program providing them with fundamental resources in the areas of employment, life skills training, job placement and access to other support services in order to appreciably increase the likelihood of the inmate's successful reentry into society.
- AE programs are offered during two, three hour sessions per day, five days a week.
- Inmates in the CTE program have the opportunity to participate in specific courses that will prepare them for the successful use of modern technology in the workforce. These courses include digital design, technical support services and web development.

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

- FDC has enforced strict measures to ensure that property is accounted for at all times. These measures include utilization of property transfer forms and strict adherence to the secure storage and protection of equipment and supplies.
- During our on-site visit the previous FY, FDC demonstrated that all equipment and inventory adheres to the requirements of state and federal law.

E. **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.

- Complete travel records
- Complete purchasing records
- FDC website
- CTE advisory board documentation- attendance records and minutes
- Training materials and sign-in sheets
- Payroll reports

F. **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.

- FDC has thorough financial policies and procedures that are in place and being followed.
- Sample travel records for teachers and staff were reviewed and followed proper state guidelines.
- FDC provided complete purchasing records that were reviewed by the monitoring staff. The records showed that the agencies policies and procedures for purchasing are being followed.
- All purchases must be reviewed at a local and regional level, in addition to review by the grant manager.

- Program grant managers are provided monthly financial reports that allow them to track grant expenditures. This affords enough time for potential reallocation of any funds that may not be used for its original purpose as stated in the grant.

G. COLLABORATION: refers to the collaborative agreements, partnerships or memoranda of understanding (MOU) that are in place to benefit an agency's programs and students.

- Northeast Florida Builders Association
- Polk State College w/Polk Correctional Institution (CI) industrial machinery program
- FDC has contracted with Bridges of America to provide transition services through the Miami Dade Portal Project. This program provides inmates with targeted job readiness training specific to the Miami-Dade region.
- FDC has a MOU with Baker County Schools to provide adult academic services at Baker CI Work Camp.
- FDC has a MOU with St Johns River State College to provided adult academic services at Putnam CI.

VIII. REQUIRED RESOLUTION ACTIVITIES

CAREER TECHNICAL EDUCATION

1. Corrective Action Plan (findings) –FDC is not required to complete a corrective action plan.

IX. SUMMARY

Once the desk monitoring review is completed, including receipt of requested information, a draft report will be forwarded to the provider for review. Comments are accepted and considered. The final report will be completed, forwarded to the Chairman of the Board of Directors 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>.

The division will issue a closure notice to the agency head and contact designee(s). This notice will indicate the conclusion of the desk monitoring process.

On behalf of the department, the monitor, Mr. Michael Swift, extends his appreciation to all participants in the FDC desk monitoring review. Special thanks is offered to Mr. Steven Byer and Mr. McKinley Crockett Jr. for their participation in this process.

APPENDIX A
 Florida Department of Corrections
 Career and Technical Education
 Risk Matrix

Risk Scores Matrix for Non-Colleges Receiving Career and Technical Education (CTE) Carl D. Perkins Grants					
Agency Name: Florida Department of Corrections					
Program type: Career and Technical Education					
Target Year: 2014-2015					
Monitoring Year: 2016-2017					
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	1	<u>X 8</u>	8
	3	5			
	2	3			
	1	1			
	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			
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
AGENCY RISK SCORE:					106

*Compliance monitoring last visit: Spring 2016

*Data sources used for calculations: Prior to July 1, 2015

Florida Department of Corrections
 Adult Education
 Risk Matrix

Risk Scores Matrix for Non-College/Districts Receiving Adult Education (AE) Grants					
Agency Name: Florida Department of Corrections					
Program type: Adult Education					
Target Year: 2014-2015					
Monitoring Year: 2016-2017					
Metric	Scaling	Point Value	Points Assigned	Weight	Total Metric Points
Total AE Budget Allocated Value	Upper Quartile	7	7	X 10	70
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
# AE Grants Value	4+	7	1	X 8	8
	3	5			
	2	3			
	1	1			
AE Director Change Value	Yes	7	0	X 6	0
	No	0			
AE Funds Remaining Point Value	Upper Quartile	7	7	X 4	28
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
OAG Findings Value	Upper Quartile	7	0	X 4	0
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
AGENCY RISK SCORE:					106

*Compliance monitoring last visit: Spring 2016

*Data sources used for calculations: Prior to July 1, 2015

