



**Quality Assurance and Compliance
Onsite Monitoring Visit**

**Adult Education and Family Literacy
and
Career and Technical Education**

Florida Department of Corrections

January 11-12, 2016

Final Report



State Board of Education

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March 15, 2016

Mr. John Howle, Assistant Bureau Chief
Education Services
Florida Department of Corrections
501 South Calhoun Street
Tallahassee, Florida 32399-2500

Dear Mr. Howle:

We are pleased to provide you with the final monitoring report for the adult education and career and technical education programs at the Florida Department of Corrections. 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/sm

Enclosure

cc: Mr. Steven Byer, Director
Mr. Mac Crockett, Supervisor, Senior Management Analyst
Gloria Spradley-Brown, bureau chief, Grants Administration and Compliance
Tashi D. Williams, director, Quality Assurance and Compliance
Dr. Shahrokh Massoudi, 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

**Florida Department of Corrections
Adult Education and Family Literacy
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 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 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 sub grantees 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 Florida Department of Corrections (DOC) was determined to be an onsite visit. Notification was sent to Mr. John Howle, assistant bureau chief, on November 23, 2015. The designated representatives for the agency were Mr. Steve Byer, academic education administrator and Mr. McKinley (Mac) Crockett, Jr., vocational education programs administrator.

The onsite visit to the agency was conducted January 11-12, 2016 by two representatives of the Quality Assurance and Compliance section of the division: Program Specialists, Dr. Shahrokh Massoudi and Michael Swift.

V. FLORIDA DEPARTMENT OF CORRECTIONS

ENROLLMENT (possible duplications at the program level):
Fiscal Year (FY) 2013-14

- **AE Programs**
 - Adult Basic Education- 11,064
 - Adult Secondary Education- 750
 - English as a Second Language- n/a

- **CTE programs:**
CTE Postsecondary*
 - Largest enrollment: Brick and Masonry (140), Cabinetry (123), Heating, Ventilation and Air Conditioning (HVAC) (121)
 - Smallest enrollment: Electronic Technology (20), Commercial Class B driving (18), and Environmental Services (14)

**Due to the unusual nature of the DOC, they are not required to provide us with enrollment numbers/data. Above shows a snapshot of the 3 largest and smallest enrollments within the programs.*

The provider was awarded the following grants for FYs 2013-14, 2014-15 and 2015-16:

FY 2013-14

<u>Grants</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended</u>
AE and Family Literacy	708-1914A-4CC01	\$1,173,524.00	\$.00
CTE Perkins	708-1624A-4CL01	\$ 460,000.00	\$ 18,782.66

FY 2014-15

<u>Grants</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended</u>
AE and Family Literacy	708-1915A-5CC01	\$1,000,000.00	\$ 38,192.11
CTE Perkins	708-1625A-5CL01	\$ 500,000.00	\$ 18,088.55

FY 2015-16

<u>Grants</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended</u>
AE and Family Literacy	708-1916B-6CC01	\$1,000,000.00	\$ N/A
CTE Perkins	708-1626A-6CL01	\$ 500,000.00	\$ N/A

Additional information about the provider may be found at the following web address:
<http://www.dc.state.fl.us/index.html>

VI. MONITORING ACTIVITIES

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

Onsite Visits

The entire monitoring process for DOC took place at the state headquarters in Tallahassee, although we did have to meet with the DOC finance team at a different location than the main office.

Entrance and Exit Conferences

The entrance conference for DOC was conducted on January 11, 2016, and the exit conference was conducted on January 12, 2016. The participants are listed below:

Name	Title	Entrance Conference	Exit Conference
Eunice Fadale	Government Operations Consultant I	X	X
Mac Crockett, Jr.	Vocational Education Programs Administrator	X	X
Diane Fuller	Government Operations Consultant I	X	X
Kristina Hartman	Chief of Education	X	X
Michael Deariso	Chief of Finance	X	
Mike Burle	Data Administrator	X	
Lori Nolting	Data Administrator	X	
Steve Byer	Academic Education Administrator	X	X
FDOE MONITORING TEAM			
Michael Swift (Team lead)	Program Specialist IV, FDOE	X	X
Dr. Shahrokh Massoudi	Program Specialist IV, FDOE	X	X

Interviews

Interviews were conducted during the course of the visit with selected administrative staff.

Records Review

Program, financial, administrative and student records were reviewed. A complete list is provided in section VII, item E. A minimum of 10 student's data 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 administration is dedicated to the quality of the AE and CTE programs.
- The AE administrator is well experienced and has knowledge and expertise in program offerings.
- The CTE administrator is well experienced and has knowledge and expertise in program offerings.
- The Florida DOC masonry teachers serve as judges for the Florida Skills contest and Masonry Association of Florida state contest.
- All CTE teachers receive 40 hours of in-service training annually.

- New vocational teachers attend the Instructional Certification Training Program which is sponsored by the National Center for Construction and Education Research (NCCER).
- The administrators are dedicated to the success of students.

FINDING

Finding A1: The CTE program did not have an advisory committee as required by the State Plan for Carl D. Perkins Career and Technical Education Act of 2006, Public Law 109-270 [Sec. 122(c)(5)]

Recommendation A1: To form an advisory committee for the CTE program in accordance with what is required by the State Plan for Carl D. Perkins Career and Technical Education Act of 2006, Public Law 109-270 [Sec. 122(c)(5)].

Agency Response: Although not a finding, the AE administration agreed to form an AE advisory board. The purpose of this advisory board will be to make recommendations for the delivery of quality adult education and literacy programs and services throughout the DOC.

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.

- DOC has policies and procedures in place for data collection and reporting.
- The data team is well organized and knowledgeable in regards to data collection and the storage process.
- Data is well organized and easily accessible when needed to compile program reports.
- The AE program analyzes the results of the data collected for program expansion and evaluation of quality of programs.
- Perkins core measures for CTE was discussed with CTE administrator for measures in which 90% attainment was not satisfied.
- The CTE Program Improvement Plan (PIP) was reviewed with the program administrator for the 2013-14 measures.

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

- Students in CTE programs requiring remediation in core subject areas are assigned to academic refresher half-a-day sessions to participate in educational testing prep sessions for the Tests of Adult Basic Education (TABE) and General Education Development (GED®).
- All inmates receive 100 hours of a transition skills program providing them with certain fundamental resources in the areas of employment, life skills training, job placement and access to as many support services as possible in order to appreciably increase the likelihood of the inmate's successful reentry into society.
- The DOC Adult Basic Education (ABE)/CTE programs follow state curriculum framework.
- The DOC follows NCCER curriculum for constructional technology programs.
- The DOC offers the Inmate Teaching Assistant (ITA) program that pairs inmates with certified ITA tutor trainers.
- Accommodations are provided for students with special needs in conjunction with the special education department.
- The ABE/CTE programs are following the curriculum frameworks as established by the FDOE.

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.

- All equipment purchased with grant funds are inventoried annually.
- All inventory is tagged, reported, and documented in accordance with EDGAR requirements.
- Students have absolutely no access to equipment for safety of teachers and Corrections Officers.
- Only teachers and staff are allowed to collect and disburse supplies and equipment.

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

- Literacy Completion Points (LCP) samples were verified
- Florida DOC website
- Samples of equipment and inventory reports
- Financial policies and procedures
- Use of Purchasing Cards (P-cards)
- Financial records, payroll, time and effort reports, purchase orders, travel and expenditures
- Final disbursement reports (FA399 and FA499) for AE and CTE grants
- Program policies and procedures

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.

- Purchasing procedures are in place and are being followed.
- Financial policies and procedures were reviewed with the finance team.
- Approval process is thorough and is being followed.
- Meetings are held regularly to discuss AE and Perkins grants.
- Documentation of payroll, time and effort reports, purchase orders, travel and expenditures was comprehensive, organized and systematic.
- The DOC has policies and procedures for financial accounting systems; Florida Accounting Information Resource (FLAIR), MyFlorida Workplace and PeopleFirst.
- The DOC follows state of Florida guidelines for purchasing and procurement.
- Sample travel vouchers for teachers and staff were reviewed and followed proper state guidelines.
- The presentation of reports showed a clear chain of events that coincided with state guidelines.

G. 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 DOC has a partnership with the Florida Masonry Apprentice and Educational Foundation in conjunction with their CTE programs.
- The DOC has a partnership with the Florida Thoroughbred Retirement Foundation in conjunction with their CTE programs.
- The Commercial Foods and Culinary Arts program at Lowell CI has partnered with Le Cordon Bleu School of Orlando and teachers from the school have participated in meal preparation instruction and judged entrees prepared by students.
- The DOC has partnerships with Baker County School Board and St. Johns River State College to provide academic education at Baker Work Camp, and Putnam CI, respectively

H. 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.

- Pursuant to the Carl D. Perkins Career and Technical Education Improvement Act of 2006 (Perkins IV), Section 123(b) (2), if a state finds that a local eligible agency has failed to meet agreed upon target levels as described in Section 113(b) (4) of the Act and is not making substantial progress in meeting the goals, the state will work with the agency to help implement improvement activities. Additionally, Section 123(b)(4)(A) of the law specifies that “If a local eligible agency fails to meet at least 90% of an agreed upon State adjusted level of performance for the same core indicator of performance for three (3) consecutive years then the state is required to provide technical assistance.”

The PIP’s were reviewed and discussed during the visit to Florida DOC with the CTE program administrator, and efforts are being made to meet or exceed all measures. The purpose of the review was to determine whether the strategies contained in the plan were measurable and verifiable during the visit.

- **Postsecondary Measures 2013-14:**

In 2013-14 the agency met or exceeded all postsecondary certificate measures except for the following; therefore a PIP was required:

- 1A1 Technical Skills: Local Actual 47.20% vs. Local Agreed 82.50%
- 2A1 Completion: Local Actual 64.96% vs. Local Agreed 73.99%

VIII. REQUIRED RESOLUTION ACTIVITIES

ADULT EDUCATION AND FAMILY LITERACY

1. Action Plan (concerns) – The Florida Department of Corrections is required to complete an action plan.

CAREER AND TECHNICAL EDUCATION

1. Corrective Action Plan (findings) - The Florida Department of Corrections is required to complete a corrective 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 contact designees. This notice indicates all outstanding resolution items if applicable, have been completed.

On behalf of the department, the monitoring team extends our appreciation to all participants in the Florida Department of Corrections onsite monitoring visit. Special thanks are offered to Mr. Steve Byer, academic education administrator and Mr. Mac Crockett, Jr., vocational education programs administrator, for their participation and leadership 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: 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	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

Florida Department of Corrections
 Adult Education
 Risk Matrix

Risk Scores Matrix for Non-Colleges Receiving Adult Education (AE) Grants					
Agency Name: FLORIDA DEPARTMENT OF CORRECTIONS					
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	1	<u>X 8</u>	8
	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	0	<u>X 4</u>	0
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
AGENCY RISK SCORE:					78

*Compliance monitoring last visit: AE, Fall 2009

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

APPENDIX B

Florida Department of Corrections
Resolution Action Plan

Corrective Action(s) and/or Action(s)	Action or Strategy to Address Findings or Concerns	Agency Response	Person Responsible	Projected Date of Completion
Corrective Action (finding):				
Finding A1: The Career and Technical Education program did not have an advisory committee as required by the State Plan for Carl D. Perkins Career and Technical Education Act of 2006, Public Law 109-270 [Sec. 122(c)(5)]	Recommendation A1: To form an advisory committee for the Career and Technical Education program in accordance to what is required by the State Plan for Carl D. Perkins Career and Technical Education Act of 2006, Public Law 109-270 [Sec. 122(c)(5)]	We accept the finding and will establish an advisory committee pursuant to the requirement of the Perkins CTE act of 2006	McKinley Crockett Jr.	September 30, 2016
Action (concern):				
Concern A1: The Adult Education program does not have an advisory committee	Recommendation A1: To form an AE advisory board to make recommendations for the delivery of quality adult education and literacy programs and services throughout the DOC.			
Plan submitted by: McKinley Crockett Jr., vocational administrator Date: February 29, 2016				
Plan accepted by: Michael Swift, program specialist IV, quality assurance and compliance Date: February 29, 2016				
Status of Action Plan (to be completed by DOE staff)				
Date:	Status of Plan Completion:			