



FLORIDA DEPARTMENT OF
EDUCATION
CAREER AND ADULT EDUCATION

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

Sumter County School District

April 23 - 25, 2018

Final Report

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Florida Department of Education
Division of Career and Adult Education

**Sumter 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 (QAC) 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 Workforce Innovation and Opportunity Act (WIOA) of 2014. 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 2017-2018 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 2017-18 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 Quality Assurance and Compliance section may apply any specific monitoring strategy to any federal or state-funded provider at any time. There may be circumstances that may warrant onsite monitoring, desk monitoring review or other strategies regardless of a provider’s risk matrix score.

The monitoring strategy for the Sumter County School District (SCSD) was determined to be an onsite visit. Notification was sent to Mr. Richard Shirley, superintendent, on November 17, 2017. The designated representative for the agency was Ms. Christine Burk, coordinator, Career and Adult Education.

The onsite visit to the agency was conducted April 23, 2018 through April 25, 2018. The two representatives of the division present during the visit were program specialists, Ms. Christine Walsh and Ms. LaStacia Spencer.

V. SUMTER COUNTY SCHOOL DISTRICT

ENROLLMENT:

Fiscal Year (FY) 2015-16

AE: 260

CTE (possible duplication at program level): Secondary: 4,389 Postsecondary: 35

The provider was awarded the following grants for FY’s 2015-16, 2016-17 and 2017-18:

FY 2015-16

<u>Grants</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended</u>
CTE Perkins Secondary	600-1616A-6CS01	\$ 76,286.00	\$ 0.00
Adult General Education (AGE)	600-1916B-6CG01	\$ 141,877.00	\$ 0.00
Civics	600-1936B-6CE01	\$ 29,622.00	\$ 7,505.24
Corrections	600-1916B-6CC01	\$ 67,768.00	\$ 11,255.21

FY 2016-17

<u>Grants</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended</u>
CTE Perkins Secondary	600-1617A-7CS01	\$ 71,593.00	\$ 0.00
AGE	600-1917B-7CG01	\$ 141,877.00	\$ 2,566.20
Civics	600-1937B-7CE01	\$ 29,622.00	\$ 583.79
Corrections	600-1917B-7CC01	\$ 7,768.00	\$ 2,908.13

FY 2017-18

<u>Grants</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended</u>
CTE Perkins Secondary	600-1618A-8CS01	\$ 70,023.00	\$ N/A
Leadership Non-Traditional	600-1648A-8C001	\$ 10,000.00	\$ N/A
AGE	600-1918B-8CG01	\$ 133,000.00	\$ N/A
Corrections	600-1918B-8CC01	\$ 62,080.00	\$ N/A

Additional information about the provider may be found at the following web address:
<https://www.sumter.k12.fl.us>

VI. MONITORING ACTIVITIES

The monitoring activities included pre and post visit planning, an entrance and exit conference, records review and interviews with administrators.

Onsite Visits

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

- Sumter County School District Main Office
- South Sumter High School
- Wildwood Middle/High School

Entrance and Exit Conferences

The entrance conference for the SCSD was conducted on April 23, 2018. The exit conference was conducted on April 25, 2018. The participants are listed below:

Name	Title	Entrance Conference	Exit Conference
Christine Burk	Career and Adult Education Coordinator	X	X
Christina McKinney	Principal, South Sumter High School	X	
Debbie Moffitt	Senior Director, Curriculum and Instruction		X
Deborah Smith	Senior Director, Business and Institutional Services	X	
Shirley Revels	Accountant	X	X
David Trick	Coordinator, Technology Services and Property	X	
Brian Huff	Coordinator, MIS/Data Processing	X	
Casey Ferguson	Intern, Career and Adult Education	X	X
Sharon Tatman	K-12 Curriculum Supervisor, The Villages Charter School	X	
Eileen Goodson	Coordinator, Student Services and Assessment	X	
Katherine Dustin	Director, ESE Programs	X	
FDOE Monitoring Team			
Christine Walsh	Program Specialist, QAC, FDOE	X	X
LaStacia Spencer	Program Specialist, QAC, FDOE	X	X

Interviews

Interviews were conducted with the administrative staff. All interviews were held during the course of the visit.

Records Review

Program, financial, administrative and student records were reviewed. A complete list is provided in section VII, item F. A minimum of 30 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.
- Professional development opportunities are offered to all staff within the district and participation in conferences are encouraged as funding allows. AE and Post Secondary Adult Vocational (PSAV) teachers are also invited to participate in the K12 offerings like Ed Camp over the summer or Microsoft® Office 365® trainings.
 - The CTE coordinator is very knowledgeable about the districts programs and is forward thinking about program growth and sustainability. There were several discussions about programs that were opened at the request of local agencies, only to find that the enrollment could not support the programs. After a short time those programs were closed.
 - The AE/CTE coordinator is preparing to retire. The district is taking proactive measures to prepare for succession. She is being shadowed by her replacement so the transition will be smooth and transparent.
 - Due to the smaller size of the district, it is truly a collaborative effort in which administrators often work in multiple rolls and multiple areas of student and grant support.
 - There were no instances of fraudulent activities identified during this monitoring review.
- 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.
- Data is used to develop marketing strategies, determine target audiences, analyze program sustainability and program needs, determine if new programs are necessary, as well as to assess student progress and teacher effectiveness.
 - Florida Education and Training Placement Information Program (FETPIP) completion and placement data is used in the annual application to have SCSD programs put on the CareerSource Central Florida (CSCF) training matrix.
 - SCSD utilizes Skyward School Software for the collection of student data. An attendance program has been developed using Excel. This attendance program allows them to track student attendance and course/program participation.
 - Data staff and administration regularly attend the Workforce Education District Data Advisory Council (WEDDAC), FDOE data training workshops and vendor sponsored trainings.
 - The district uses the FDOE edit reports and other reports provided on the Workforce Education Data Systems (WEDS) SharePoint site to help identify data issues. Thus allowing them to “clean up” the data prior to survey close
- C. CURRICULUM AND INSTRUCTION:** refers to those elements that contribute to student learning and skill acquisition.
- SCSD has several programs that provide real work experience for the students. For example: The students actively run a branch of the Suncoast Credit Union on two high school campuses. The students who are employed at this branch are under the supervision of a teacher. This

provides work experience and enables the student to be job ready for entry level or mid-level banking positions upon graduation.

- Last year, CSCF provided funds for up to 20 high school students to work in a variety of settings. They worked for seven weeks over the summer at various businesses in the local community. This year the partnership will continue with a focus on medical academy students and at risk youth placed at the alternative school.
- CSCF has a career consultant housed at the Sumter Adult Education Center (SAEC). This consultant is accessible as needed by students.
- CSCF, United Way of Lake Sumter, Lake Sumter State College and Rec Ministries all provide opportunities for students to attain scholarship money to continue their education with the SCSD and their AE programs.

D. TECHNOLOGY AND EQUIPMENT: refers to a review of the technology and equipment used by students and instructors in the classroom; addresses access, availability, innovation, use and condition.

- Inventory is conducted twice annually with the spring inventory being the official inventory of record.
- Inventory records contained all of the criteria set forth by EDGAR and the UGG.
- The district has policies and procedures for the safeguarding of grant funded inventory and equipment.
- Equipment located was determined to meet district, state and federal inventory requirements.
- The district has not had a report of any missing or stolen equipment in the last two years.
- SCSD maintains an electronic inventory system within the districtwide Skyward data system.
- The district has moved to an electronic scanning method for conducting spring inventory.

E. 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.

F. 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.

- District Financial Policies and Procedures
- Fraud Policy
- Conflict of Interest Policy
- Middle and High School Code of Conduct Handbook
- Data Collection Instructions
- Program promotional material
- District Property Record Manual
- Program Advisory Committee Guidelines, Meeting Agendas and Minutes
- Employment and Earnings Outcomes for Students documents
- Verification student Industry Certifications
- Verification student Occupational Completion Point (OCP) attainment
- Verification student AE Non-completers

- Verification student Literacy Completion Point (LCP) attainment
- AE Faculty and Staff Handbook
- Financial Records (Travel, Purchasing and Procurement)
- Employee Time and Effort Reports
- Data Reporting Procedures
- District Website

G. 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.

- Financial and inventory records are processed and maintained using the Skyward data system.
- Any grant funded expenditure must go through a multi-tiered approval process prior to being authorized for purchase.
- SCSD has established policies and procedures for cash management regarding grant funds that includes purchasing and procurement, allowability of costs, travel, conflict of interest and fraud disclosure that were reviewed during the visit.
- The program coordinator reviews expenditure reports to ensure that grant funds are expended throughout the year in accordance to the CTE and AE grants.
- The monitoring team reviewed requisition data, purchase orders and travel reimbursements and found these documents to be in accordance with local, federal and state policies.
- During the review, it was noted that budget revisions had occurred without approved budget amendments.

FINDINGS AND ACTION

- Finding G1: During the review it was noted that the final grant expenditure reports for AE and CTE were not consistent with the original grant budgets. The addition of unapproved object codes and the reallocation of funds between object codes is in violation of the UGG 200.308 “Revision of budget and program plan” and 200.331 “Requirements for pass-through entities” and the FDOE Green Book section B page 4 “Reason for Amendment.”
 - The following funds were moved between object codes without an amendment:
 - Project 600-1916B-6CG01 line item 5400-750. The original grant budget for this item was \$46,800.00. The total amount reflected on the FA 499 for this item was \$63,900.00, a difference of \$17,400.00.
 - Project 600-1616A-6CS01 line item 5300-361. The original grant budget for this item was \$7,000.00. The total amount reflected on the FA 399 for this item was \$21,872.81, a difference of \$14,872.81. The increase in the rental expense was due to software licensing for industry certification exam software.
 - Project 600-1917B-7CC01 line item 5400-120 and 5400-750. The original grant budget for 5400-120 was \$14,600.00. The total amount reflected on the FA 499 for this item was \$28,068.75, a difference of \$13,468.75. The original grant budget for 5400-750 was \$31,900.00. The total budgeted amount reflected on the FA 499 was \$23,747.71. The amount of funds reallocated without approval was \$8,152.29.
 - The following object codes were added and were not in the original budget:
 - Project 600-1916B-6CG01 line item 6400-750 and 6400-221. Function-Object 6400-221 was added to move funds that were incorrectly budgeted and approved in the

original grant application, to 6400-260. This object code change was not submitted to FDOE for approval.

Object code 260 has not been listed as an approved code in the FDOE Red Book as far back as 2013 (See page 4-6 Financial and Program Cost Accounting and Reporting for Florida Schools for year 2013).

The agency internally uses 6400-750 – Other Personal Services when accounting for their part time staff. At or towards the end of the year the funds in this account are moved to 5400-750 – Other Personal Services. The 5400-750 is an approved original grant budget item. The agency neglected to finish moving the funds and those funds appeared on the agencies FA 499 as an unapproved budget item.

- Project 600-1916B-6CC01 line item 6400-750. The agency internally uses 6400-750 – Other Personal Services when accounting for their part time staff. At or towards the end of the year the funds in this account are moved to 5400-750 – Other Personal Services. The 5400-750 is an approved original grant budget item. The agency neglected to finish moving the funds and those funds appeared on the agencies FA 499 as an unapproved budget item.

Corrective Action G1: SCSD is required to work with their FDOE project manager to make sure all budget expenditures for the current year 2017-18 are approved and any budget revisions are supported by an approved amendment. Copies of the submitted and approved amendments are to be forwarded to the compliance monitor as evidence to satisfy this finding.

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

- SCSD has strong partnerships with area business and industry organizations and corporations in order to address labor market need and enhance the student learning experience, including:
 - Sumter County Public Health Department
 - Sumter County Sheriff's Office
 - Suncoast Credit Union
 - United Way of Lake Sumter
 - CareerSource Central Florida
 - Langley Health Center
 - Sumter County Government
 - Lake Sumter State College
 - The Villages Rehab and Nursing Center
 - Promise Hospital
 - City of Bushnell
 - Sumter Chamber of Commerce
 - And other area businesses that serve as guest speakers, advisory group members and provide internship opportunities for students
- CTE dual enrollment is offered in partnership with Withlacoochee Technical College and academic dual enrollment is offered in partnership with Lake Sumter State College. SCSD has Career Pathways articulation agreements with Lake Sumter State College, Santa Fe College, College of Central Florida and Lake Technical College.

I. PERKINS LOCAL PROGRAM IMPROVEMENT PLAN: A Perkins local PIP is required when an agency does not meet 90% of its agreed-upon goals for individual performance measures.

- SCSD has implemented the following strategies in order to address their local program improvement plan:
 - CSCF is providing a career consultant for all students awarded a scholarship and follows the student through program completion
 - A formal orientation for the health sciences program was implemented.
 - OCP checklists were developed for the Heating Ventilation and Air Conditioning (HVAC) program. Students use this checklist to monitor progress and consult with the teacher.
 - Additional lab time has been added to the nursing assistant schedule for extra skills practice.
 - Practice tests have been provided to each program to strengthen preparation for credential exams.
- Low enrollment continues to be a challenge in all programs.

Secondary Measures 2015-16

In 2015-16 the agency met or exceeded all secondary measures; therefore a PIP was not required:

Postsecondary Certificate Performance Indicators 2015-16

In 2015-16 the agency met or exceeded all postsecondary measures except for the following; therefore a PIP was required:

- 1A1 Technical Skills: Local Actual of 85% vs. Local Agreed of 100%
- 2A1 Completion: Local Actual of 38.46% vs. Local Agreed of 100%
- 3A1 Retention: Local Actual of 0.0% vs. Local Agreed of 57.06%
- 4A1 Placement: Local Actual of 60% vs. Local Agreed 76.27%
- 5A1 Non-traditional enrollment: Local Actual 3.33% vs. Local Agreed 13%
- 5A2 Non-traditional completion: Local Actual 0.0% vs. Local Agreed 25%

J. PROGRAMS OF STUDY: As part of the new division assistance process, all agencies selected for a monitoring visit each project year will receive special technical assistance on Programs of Study (POS) and their development and implementation. The section of the monitoring protocol concerning POS has been expanded and the narrative and supporting materials for this section were collected prior to the onsite visit. During the monitoring visit to SCSD, Cathy Hammond, Bruce Harrington, Lee Chipps-Walton and Heather Conley of the Federal and State Initiatives (FSI) section of the division discussed via a conference call, submitted narrative and materials on POS with SCSD staff on April 24, 2018. A summary of the conference call discussion compiled by the FSI team appears below.

Program of Study: Administrative Office Specialist (Secondary)/ Administrative Office Specialist PSAV, Business Administration A.S. and Office Administration A.S. (Postsecondary)

Program Identification and Development

- A review of the targeted occupation list by school-based personnel, postsecondary partners and district CTE Advisory Group members showed that business operations specialists were

- in demand in the region and the state. Business, CSCF, and postsecondary partners confirmed the need for employees with office productivity skills in many occupational areas.
- All stakeholders reviewed curriculum, facility, equipment, and personnel requirements of the Administrative Office Specialist (AOS) program to determine feasibility of moving to a program of study and long term sustainability. The POS was created to include required CTE courses, rigorous high school graduation academic and CTE elective requirements, relevant certifications and recommended electives.
 - District and school personnel collaborated to review curriculum, purchase additional resources, prepare facilities, schedule teacher professional development and industry credential testing, as needed, and schedule students.
 - The local postsecondary institution was engaged to review the program for articulation and provide the number of credits which could be awarded by completing the pathway and earning the certification. Middle, high, and college teachers met to review the curriculum and find opportunities for articulation.
 - Business partners collaborated to offer work-based experiences for students on and off campus (Suncoast Credit Union Student-Run Branch).

Program Outcomes

Industry Certifications

- SCSD reports that the AOS program integrates the Internet Business Associate (IBA) certification because it aligns well with program coursework and is desired by industry. It also serves as an incentive to students to achieve something and improve their skills for future employment.
- Passage rates for the IBA certification have been low, however (roughly 25% in 2015-16 and 2016-17). A vendor was contracted to help improve passage rates, which has helped increase passage rates in subsequent years. Also, multiple practice exams are now offered and projects that are skill building for the exams have improved.
- In addition to the IBA certification, the Microsoft Office Specialist (MOS) certification is also offered. Passage rates in 2015-16 and 2016-17 for the MOS were 100% and 73%, respectively. Like the IBA, MOS is very desired by regional employers.

Partnerships and Collaboration

Secondary and Postsecondary Articulation

- Articulation agreements are in place for most CTE programs in SCSD and are primarily with Lake-Sumter State College (LSSC) and Lake Technical College, but also Santa Fe College and the College of Central Florida. To receive course credit beyond that awarded through FDOE's Gold Standard Career Pathways Articulation Agreement, students articulating to any of these three institutions have to take a college credit exam. The number of students that take and pass these exams, thus earning articulated credit, is very low. To improve passage rates and the amount of articulated credit students earn, SCSD staff and faculty have been modifying coursework to align better with exams and working to have the exams offered on high school campuses, as opposed to LSSC's campus.
- CTE teachers within SCSD have been offering multiple practice opportunities and modifying coursework to better align with these exams to improve passage rates.

Suncoast Bank Partnership and Work-Based Experiences for AOS Students

- Suncoast Bank has a student run branch and ATM on a SCSD high school campus. Suncoast interviews high school students, hires them as volunteers, provides training, and allows students to shadow corporate office Suncoast employees. Several days a week, students take deposits under the supervision of AOS instructors and Suncoast staff, offer consumer

education to student customers, and service ATMs. This work-based experience can be applied to work hours needed for the Future Business Leaders of America (FBLA) program.

Involvement of AOS Students in FBLA

- A number of AOS students are engaged in FBLA conferences and competitions. Two students from the program received first place state awards and traveled to the FBLA national competition.

Programs of Study Overall

Program Development and Availability

- New programs are developed based on feedback from the advisory and workforce boards, local employer interest and willingness to offer work-based experiences, school staff availability, and surveys of student program interests. Student interest is a key factor in deciding to develop, revise and/or close a program.
- Future POS that may be soon developed include manufacturing and construction.

Program Offerings

- SCSD offers 17 CTE programs and aims to make CTE courses available to all students in the district.
- Although not all CTE programs include all of the elements to be a full POS, the students at Wildwood and South Sumter High have opportunities to be involved in a career pathway, which includes the ability to complete three courses in a sequence within a CTE program, earn certifications and the possibility of becoming eligible for articulated credit after passing an exam.

Career Planning and the Freshman Transition Course

- SCSD students are required to take a “Freshman Transition Course.” This course has students create a career plan and receive a POS presentation that includes the FDOE POS form.
- Some CTE teachers object to this course as it uses up one elective that could otherwise be used for CTE courses, thus reducing CTE program completion.

Partnerships and Collaboration

District-wide CTE Advisory Group

- There is one overarching CTE advisory board that oversees CTE for SCSD and meets twice a year to review POS and discuss workforce demand and emerging industries.
- Membership on the advisory board includes district and school personnel, businesses, LSSC, CSCF and, on an occasional basis, parents, students, and Lake Technical College.
- SCSD’s postsecondary Perkins allocation is received through a consortium with LSSC.

Partnerships with Local Business

- SCSD reports very strong relationships with local businesses. Businesses are involved in providing resources, curriculum review and program evaluation, as well as offering work-based experiences.
- Many POS within the SCSD offer work-based experiences. This includes programs in the areas of health care, agriculture, business, and criminal justice.
- Transportation to work experiences can be a problem for students. Short term trips using buses to job shadow increases the number of students able to be involved.
- Feedback from employers, particularly criminal justice and health care, has steered SCSD to focus more on educating students in soft skills.

- SCSD has helped educate local businesses about what certifications to look for in students graduating from high school that ensure they are hiring qualified applicants.

Postsecondary Trends

- The SCSD reports that many students continue with postsecondary education at LSSC or at a university after graduating from high school. Very few students continue on at technical centers.
- SCSD has started raising awareness of technical center program offerings through field trips for teachers and students.

Definition of Program of Study

- SCSD staff on the call defined a POS as a program having all eight FDOE required POS elements. They also said that it offers an industry certification and rigorous academics. Furthermore, it puts students on a career pathway where individuals can earn a living wage and have opportunities for growth through postsecondary education.
- SCSD distinguishes between CTE programs that offer industry certifications by giving them the designation of ‘CAPE Academies.’ CTE programs that do not offer certifications are referenced as ‘Career Academies.’
- The POS form can be used to plan for completion of the program pathway from the necessary secondary sequence of courses to available certifications and postsecondary options.

Regional Perceptions of CTE

- SCSD staff on the call reported that there is a high community demand for CTE programs due, in part, to a workforce shift. Local awareness that CTE is rigorous academically and different from former vocational models is increasing through SCSD press releases, Career Day school events, and other forms of information dissemination. The FDOE POS form is used by SCSD as promotional and advising material and is even used for non-CTE programs, like Junior Reserve Officers’ Training Corps (JROTC).

**VIII. REQUIRED RESOLUTION ACTIVITIES
CAREER AND TECHNICAL EDUCATION**

1. Corrective Action Plan – The Sumter County School District is required to complete a CTE Corrective Action Plan.
2. Corrective Action Plan – The Sumter County School District is required to complete an AE Corrective Action Plan

IX. SUMMARY

Once the fieldwork is completed, including receipt of requested information when applicable, a preliminary report is forwarded to the provider for review. Comments are accepted and considered at the discretion of the FDOE Quality Assurance and Compliance section. 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-edu/compliance>.

Finally, the division issues a closure notice to the agency head and designated contact person. This notice indicates that all outstanding resolution items have been completed when applicable or that no further action is required.

On behalf of the department, the monitoring team extends our appreciation to all participants in the SCSD onsite monitoring visit. Special thanks are offered to Ms. Christine Burk for her participation and leadership during this process.

APPENDIX A

Sumter County School District
Adult Education
Risk Matrix

Risk Scores Matrix for Districts Receiving Adult Education (AE) Grants					
Agency Name: SUMTER COUNTY DISTRICT SCHOOL BOARD					
Program type: AE					
Target Year: 2015-2016					
Monitoring Year: 2017-2018					
Metric	Scaling	Point Value	Points Assigned	Weight	Total Metric Points
*Last Monitored	7 or More	7	7	<u>X 10</u>	70
	5-6	5			
	3-4	3			
	0-2	1			
Total AE Budget Allocated Value	Upper Quartile	7	5	<u>X 8</u>	40
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
# AE Grants Value	4 or More	7	5	<u>X 8</u>	40
	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	3	<u>X 4</u>	12
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
Agency Risk Score					190

*Data sources used for calculations: Prior to July 1, 2016

APPENDIX A

Sumter County School District
Adult Education
Risk Matrix

Risk Scores Matrix for Districts Receiving Career and Technical Education (CTE) Carl D. Perkins Grants					
Agency Name: SUMTER COUNTY DISTRICT SCHOOL BOARD					
Program type: CTE					
Target Year: 2015-2016					
Monitoring Year: 2017-2018					
Metric	Scaling	Point Value	Points Assigned	Weight	Total Metric Points
*Last Monitored	7 or More	7	7	<u>X 10</u>	70
	5-6	5			
	3-4	3			
	0-2	1			
Total Perkins Budget Allocated Value	Upper Quartile	7	1	<u>X8</u>	8
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
# Perkins Grants Value	4 or More	7	1	<u>X 8</u>	8
	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	0	<u>X 4</u>	0
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
OAG Findings Value	Upper Quartile	7	3	<u>X 4</u>	12
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
AGENCY RISK SCORE:					98

*Data sources used for calculations: Prior to July 1, 2016

APPENDIX B

Sumter County School District
Resolution Action Plan

Findings	Corrective Actions	Agency Response	Person Responsible	Projected Date of Completion
<p>Finding G1: During the review it was noted that the final grant expenditure reports for AE and CTE were not consistent with the original grant budgets. The addition of unapproved object codes and the reallocation of funds between object codes is in violation of the UGG 200.308 "Revision of budget and program plan" and 200.331 "Requirements for pass-through entities" and the FDOE Green Book section B page 4 "Reason for Amendment."</p> <ul style="list-style-type: none"> o The following funds were moved between object codes without an amendment: <ul style="list-style-type: none"> ▪ Project 600-1916B-6CG01 line item 5400-750. The original grant budget for this item was \$46,800.00. The total amount reflected on the FA 499 for this item was \$63,900.00, a difference of \$17,400.00. ▪ Project 600-1616A-6CS01 line item 5300-361. The original grant budget for this item was \$7,000.00. The total amount reflected on the FA 399 for this item was \$21,872.81, a difference of \$14,872.81. The increase in the rental expense was due to software licensing for industry certification exam software. ▪ Project 600-1917B-7CC01 line item 5400-120 and 5400-750. The original grant budget for 5400-120 was \$14,600.00. The total 	<p>Corrective Action G1: SCSD is required to work with their FDOE project manager to make sure all budget expenditures for the current year 2017-18 are approved and any budget revisions are supported by an approved amendment. Copies of the submitted and approved amendments are to be forwarded to the compliance monitor as evidence to satisfy this finding.</p>	<p>SCSB personnel will work with the FDOE project manager to ensure that all budget expenditures have been approved and budget revisions are supported by an approved amendment. Copies of submitted and approved budget amendments have been and will be forwarded to the compliance monitor for resolution of the finding.</p> <p>Additional Responses:</p> <p>Object code 120 and object code 750 are both salaries. According to Red Book the only difference is object 0120 is used for long term employees and object code 750 is used for temporary employees. The object code utilized determines if retirement is paid (FL Administrative Code 60S-1004). We never know who will apply for these adjunct positions. If a current employee is hired (that we are already paying retirement on) we must use object 0120. If it is not a current employee, then it is a temporary position, and object code 750 is to be used. The object code cannot be determined when applying for the grant, but rather when the</p>	<p>Christine Burk Ashley Vaughan</p>	<p>July 30, 2018</p>

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<p>amount reflected on the FA 499 for this item was \$28,068.75, a difference of \$13,468.75. The original grant budget for 5400-750 was \$31,900.00. The total budgeted amount reflected on the FA 499 was \$23,747.71. The amount of funds reallocated without approval was \$8,152.29.</p> <ul style="list-style-type: none"> ○ The following object codes were added and were not in the original budget: <ul style="list-style-type: none"> ▪ Project 600-1916B-6CG01 line item 6400-750 and 6400-221. Function-Object 6400-221 was added to move funds that were incorrectly budgeted and approved in the original grant application, to 6400-260. This object code change was not submitted to FDOE for approval. <p>Object code 260 has not been listed as an approved code in the FDOE Red Book as far back as 2013 (See page 4-6 Financial And Program Cost Accounting And Reporting For Florida Schools for year 2013).</p> <p>The agency internally uses 6400-750 – Other Personal Services when accounting for their part time staff. At or towards the end of the year the funds in this account are moved to 5400-750 – Other Personal Services. The 5400-750 is an approved original grant budget item. The agency neglected to finish moving the funds and those funds appeared on the agencies FA 499 as an unapproved budget item.</p>		<p>employee is hired. This is not a deviation of the grant scope or purpose, but just simply coding for a temporary or a permanent employee. We do not have latitude in how we code these employees, as the definition and accounting treatment is prescribed by Red Book. The coding difference only reflects retirement status, and in no way changes the scope or purpose of the grant as originally budgeted.</p> <p>Regarding the statement about use of 6400-221 without prior approval, both object codes, 221 and 260, have descriptions of Medicare. The object code 260 was an old code that was revised to object code 221 in Red Book several years ago. Object code 260 was discontinued several years ago. The old code was inadvertently used when writing the grant. It was simply a typographical error. SCSB correctly entered the budget with the current object code of 221. The name on the object code is the same: Medicare.</p>		

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<p>Plan submitted by (name and title): Christine Burk, Coordinator, Career & Adult Education Date: June 21, 2018</p> <p>Plan accepted by: Christine Walsh Date: June 22, 2018</p>				
<p>Status of Action Plan (to be completed by FDOE staff):</p>				
<p>Date:</p>		<p>Status of Plan Completion</p>		