



FLORIDA DEPARTMENT OF  
**EDUCATION**  
CAREER AND ADULT EDUCATION

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

Eastern Florida State College

**October 5 – October 9, 2020**

Final Report

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Florida Department of Education  
Division of Career and Adult Education

**Eastern Florida State College  
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) Strengthening Career and Technical Education for the 21<sup>st</sup> Century Act, 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 2020-21 Core Monitoring Guide, which is still under review.

**III. QUALITY ASSURANCE CORE MONITORING GUIDE**

The Quality Assurance Policies, Procedures and Protocols manual was discontinued after the 2019-20 program year. The QAC section will now operate from the Core Monitoring Guide (CMG). The guide provides a summary of each Core Activity and objective of the monitoring design and process.

**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 QAC 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 Eastern Florida State College (EFSC) was determined to be a virtual desk monitoring review (VDMR). Notification was sent to Dr. James Richey, president, Eastern Florida State College on August 28, 2020. The designated representative for the agency was Mr. Stephen Taylor.

The representative of the division conducting the VDMR was program specialist, Mr. Charles Davis of the Quality Assurance and Compliance section.

**V. Eastern Florida State College**

ENROLLMENT:

Fiscal Year (FY) 2018-19

CTE (possible duplication at program level): Post Secondary – 13,331

The provider was awarded the following grants for FY’s 2018-19, 2019-20 and 2020-21:

**Finance**

**FY 2018-19**

<u>Grants</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended</u>
Perkins CTE Post Secondary	052-1619B-9CP01	\$1,065,879.00	\$ 18,320.24

**FY 2019-20**

<u>Grants</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended</u>
Perkins CTE Post Secondary	052-1610B-0CP01	\$1,051,623.00	N/A

**FY 2020-21\***

<u>Grants</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended</u>
Perkins CTE Post Secondary	052-1611B-1CP01	\$ 903,260.00	N/A

\* Final project disbursement reports not available at the time of this writing.

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

<https://www.easternflorida.edu>

**VI. MONITORING ACTIVITIES**

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

Onsite Visits

No onsite visits were made during the VDMR process.

Entrance and Exit Conferences

An introductory teleconference for EFSC was conducted on October 5, 2020. The exit teleconference was conducted on October 9, 2020. The participants are listed below:

Name	Title	Entrance Conference	Exit Conference
Stephen Taylor	Director	X	X
Dr. Dedra Sibley	Provost Cocoa Campus	X	X
Dr. Randy Fletcher	VP Academic and Student Affairs/ CLO	X	X
<b>FDOE Monitoring Team</b>			
Charles Davis	Program Specialist, QAC, FDOE	X	X
Kara Kearce	Director, QAC, FDOE	X	X

### Interviews

EFSC administrators were available via teleconference for interviews, if necessary.

### Records Review

Program, financial and administrative records were reviewed. A complete list is provided in section VII, item F. 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.

- The CTE grants for EFSC are managed by Stephen Taylor.
- EFSC’s process to complete the comprehensive local needs assessment (CLNA) was first to engage faculty, staff, relevant institutional departments, industry partners, workforce development boards, economic development councils, community leaders and organizations, parents and students, with a focus on special populations. This group of stakeholders reviewed, discussed, and evaluated data collected from a variety of sources.
- EFSC offers ample opportunities for staff training and professional development. CTE administrative staff and instructors participate in annual trainings within their program areas, and FDOE sponsored training events and webinars are also attended.

**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.

- EFSC utilizes the Banner® software system which is a uniform accounting system that includes basic controls as well as accounting reports that assist faculty and staff in managing grants and contracts.
- All of the data elements required of their local MIS were included in the system and verified during the desk review. Frequent trainings are provided on data requirements, data collection procedures, data entry and other pertinent areas.
- EFSC has internal controls that ensure each individual has access to only a specific part of the MIS to prevent too many people from being able to view sensitive student data.
- The CTE directors regularly meet with their administrative staff to discuss trends within data reports. These meetings help to ensure that the objectives of all grants are being met.
- All student level data was made available to the FDOE monitoring staff during the VDMR.
  - Industry Certifications Completion

- C. **CURRICULUM AND INSTRUCTION:** refers to those elements that contribute to student learning and skill acquisition.
- EFSC has four campus locations across the County.
  - Five Core Abilities that represent the key areas of learning at EFSC are at the heart of their General Education program — and these Core Abilities are closely associated to all their degree and credit programs. Each of these Core Abilities has discipline-specific learning outcomes mapped upward to the FDOE State Frameworks and downward to the course outcomes.
  - Student Access for Improved Learning (SAIL), EFSC’s accessibility/disability services department, serves as a resource for students with disabilities.
  - EFSC’s Retention Manager works closely with the Brevard Public Schools (BPS) counterpart(s) to exchange information. Each individual relates it back to their institution(s)’s guidance counselors (BPS) and CTE advisors (EFSC). In addition, each individual works with their Marketing entities to have the information placed on the appropriate social media platforms. EFSC’s Retention Manager also passes this information to the Collegewide Recruiting Department where they coordinate activities for faculty, staff, students, and parents where this information is disseminated.
- 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.
- All inventory criteria set forth by EDGAR and the UGG is included within the inventory management system. The inventory management system was verified during the VDMR.
  - Photographic evidence of inventory was reviewed as part of the VDMR process.
  - EFSC has a technology plan that includes policies on new equipment requests, equipment safety/storage and disposal of old inventory.
  - There have been no reports of stolen or lost equipment over the previous three fiscal years.
- 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 colleges is responsible for monitoring and overseeing civil rights compliance obligations. Should you have any questions or concerns, please contact the OEEO at 850-245-0511.
- 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.
- Size, scope and quality review
  - CLNA
  - MIS data quality checklists
  - District policies and procedures for finance and procurement
  - District technology plan
  - Student and employee handbooks
  - Inventory records
  - Procurement records
  - Memorandums of Understanding (MOUs) and articulation agreements

- Advisory committee records – agendas, sign in sheets, etc.
- District professional development and training records – agendas, sign in sheets, training materials, etc.
- CTE student data review
- Student progression plans

**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.

- EFSC has financial policies and procedures in place to ensure the efficient cash management of CTE grant funds.
- Banner® is the College Enterprise Resource Planning (ERP) system. The system allows for shared knowledge of expenditures and real time financial activity.
- EFSC has detailed and thorough procedures for the procurement of equipment and inventory that is funded by its federal grants. There is a chain of approval and oversight from different departments involved in every transaction. All transactions are approved by the Grant Manager, Mr. Stephen Taylor.
- EFSC has numerous checks and balances to ensure accurate accounting records. Bookkeepers and accounting specialists work with program directors to keep track of all grant funded expenditures.
- Budget and financial reports help to determine a grant’s current financial standing, and the likelihood of achieving a grant’s financial goals. Budget amendments are submitted to FDOE if the opportunity arises.
- Monitoring staff conducted a budget analysis of EFSC’s FDOE grants.

**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.

- EFSC has an Articulation Agreement with Brevard Public Schools.

## **VIII. REQUIRED RESOLUTION ACTIVITIES**

### **CAREER AND TECHNICAL EDUCATION**

1. Corrective Action Plan – EFSC is not required to complete a CTE Corrective Action Plan.

## **IX. SUMMARY**

Once the VDMR is completed, including receipt of additional requested information when applicable, a preliminary report is forwarded to the provider for review. Comments are accepted and will be considered at the discretion of the FDOE monitoring team lead. Once the final report is approved, it will be forwarded to the agency head with a copy sent to the provider designated contact person. The final report will be posted on the department’s website at the following address: <http://fldoe.org/academics/career-adult-edu/compliance>.

Finally, the division issues a closure letter to the agency head and designated contact person. This letter indicates that all outstanding resolution items have been completed, when applicable, and that no further action is required. This letter will officially end your monitoring process.

On behalf of the department, the monitoring team extends its appreciation to all participants in the Eastern Florida State College virtual desk monitoring review. Special thanks is offered to Mr. Stephen Taylor for his participation and leadership during this process.

**APPENDIX A**

Eastern Florida State College  
Career and Technical Education  
Risk Matrix

<b>Risk Scores Matrix for Colleges Receiving Career and Technical Education (CTE) Carl D. Perkins Grants</b>					
Agency Name: <b>EASTERN FLORIDA STATE COLLEGE</b>					
Program Type: <b>CTE</b>					
Target Year: <b>2018-2019</b>					
Monitoring Year: <b>2020-2021</b>					
<b>Metric</b>	<b>Scaling</b>	<b>Point Value</b>	<b>Points Assigned</b>	<b>Weight</b>	<b>Total Metric Points</b>
<b>Number of Years Since Last Monitored</b>	7 or More Years	7	<b>3</b>	<u><b>X 10</b></u>	<b>30</b>
	5-6	5			
	3-4	3			
	0-2	1			
<b>Total Budget for all Perkins Grants Combined</b>	Upper Quartile	7	<b>5</b>	<u><b>X 8</b></u>	<b>40</b>
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
<b>Number of Perkins Grants</b>	4 or More	7	<b>1</b>	<u><b>X 8</b></u>	<b>8</b>
	3	5			
	2	3			
	1	1			
<b>Change in Management Information Systems (MIS) from Previous Fiscal Year</b>	Yes	7	<b>0</b>	<u><b>X 6</b></u>	<b>0</b>
	No	0			
<b>Agency CTE Program Director Change from Previous Fiscal Year</b>	Yes	7	<b>0</b>	<u><b>X 6</b></u>	<b>0</b>
	No	0			
<b>Unexpended Funds from all Perkins Grants Combined</b>	Upper Quartile	7	<b>5</b>	<u><b>X 4</b></u>	<b>20</b>
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
<b>Number of Findings from the Office of the Auditor General</b>	Upper Quartile	7	<b>1</b>	<u><b>X 4</b></u>	<b>4</b>
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
<b>AGENCY RISK SCORE:</b>					<b>102</b>

Data sources used for calculations: Prior to July 1, 2019