FLORIDA DEPARTMENT OF EDUCATION

CAREER AND ADULT EDUCATION

Quality Assurance and Compliance
Onsite Desk Monitoring Review
for
Perkins Career and Technical Education

Lake-Sumter State College

April 23-25, 2025

Final Report

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I. INTRODUCTION

The Division of Career and Adult Education (Division) within the Florida Department of Education (Department) has several key responsibilities, including leadership, resource allocation, technical assistance, monitoring and evaluation. These duties require the Division to oversee the performance and regulatory compliance of federal and state funding recipients. The Quality Assurance and Compliance (QAC) office plays a critical role in this process by designing, developing, implementing and evaluating a comprehensive quality assurance system, which includes monitoring. This system aims to ensure financial accountability, program quality and regulatory compliance. As stewards of federal and state funds, it is the Division's duty to regularly monitor the use of workforce education funds and regulatory compliance of providers on a regular basis.

II. AUTHORITY

The Department receives federal funding from the U.S. Department of Education for Career and Technical Education under the Carl D. Perkins Strengthening Career and Technical Education (CTE) for the 21st Century Act and for Adult Education (AE) under the Workforce Innovation and Opportunity Act of 2014. The Department awards sub-grants to eligible providers to administer local programs. The Department 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 Code of Federal Regulations 76.770, Education Department General Administrative Regulations and the Uniform Grant Guidance 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).

III. QAC CORE MONITORING GUIDE

The Core Monitoring Guide is designed to be utilized by any reviewer who is conducting an onsite or desk monitoring of any program currently administered by the Division. The guide includes a brief overview of each aspect of the monitoring design and the process, as well as objectives that can be used when agencies are monitored or reviewed. The guide can be found on the Division's website at:
https://www.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 QAC office 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 Lake-Sumter State College (LSSC) monitoring strategy was determined to be an onsite monitoring review (OSMR). Notification was sent to Dr. Laura Byrd, Interim President, December 12, 2024. The designated representative for the agency was Mr. John Temple.

The Division's representative conducting the OSMR was Program Specialist Chuck Davis of the QAC.

## V.	LAKE-SUMTER STATE COLLEGE

Finance
The provider was awarded the following grants for fiscal years (FY) 2021-22, 2022-23 and 2023-24:

FY 2021-22

Grants	Grant Number	Grant Amount	Unexpended
Perkins Postsecondary	352-1612B-2CP01	$ 121,496.00	$ 14,990.17

FY 2022-23

Grants	Grant Number	Grant Amount	Unexpended
Perkins Postsecondary	352-1613B-3CP01	$ 121,616.00	$ 13,538.66

FY 2023-24

Grants	Grant Number	Grant Amount	Unexpended
Perkins Postsecondary	352-1614P-4CP01	$ 122,149.00	$ 31.50

Additional information about the provider may be found at the following web address:
https://www.lssc.edu/

## VI.	MONITORING ACTIVITIES

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

Onsite Visits
The monitoring team visited the following sites as part of the OSMR:
- Leesburg Campus
- South Lake Campus
- Sumter Center Campus

Entrance and Exit Conferences

The entrance conference for LSSC was conducted on April 23, 2025. The exit conference was conducted on April 23, 2025. The participants are listed below:

Name	Title	Entrance Conference	Exit Conference
Laura Byrd	Interim President, LSSC	X	X
John Temple	Vice President for Workforce & Career Services, LSSC	X	X
Brigitte Gurden	Grants Manager, LSSC	X	
Christopher Sargent	Dean of Workforce, LSSC	X	X
Division Monitoring Team			
Michael Swift	Program Specialist, QAC	X	X
Dantavia Davis	Program Specialist, QAC	X	X
Chuck Davis	Program Specialist, QAC	X	X

Interviews
No interviews were required as part of the OSMR. LSSC submitted thorough and qualitative documentation and records via the Department ShareFile.

Records Review
Program, financial, administrative and student records were reviewed. A complete list is provided in section VII, part F. A minimum of 50 student records were checked. In addition, policies and procedures were examined and discussed at various times during the monitoring review.

VII.   OBSERVATION

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

- The Dean of Workforce Development is responsible for applying for the Perkins Grant. Some grants may be applied for and administered through other relevant units of the college. Grants Accounting, Grants Development and Purchasing Department meet for grant proposals and for post-awards when needed.
- As a recipient of grant award funds, LSSC follows the rules, regulations, and other requirements that apply to those funds. The College is responsible for administering and supervising all awarded grants in accordance with the terms and conditions of each award. Federal regulations require that processes are consistent across the College. As a state college, they follow Florida Statutes. In any situation where Florida Statutes are more restrictive or more limiting than federal regulations, the Florida statutes are complied with.
- For the required comprehensive local needs assessment (CLNA), CTE administrative staff consulted with Dr. Rhonda Tracy and with numerous individuals and entities across the college's service area. Those stakeholders included but were not limited to students, teachers CareerSource Central Florida and multiple local business and community leaders.
- Mechatronics was identified as a course of need.
- Postsecondary students learn about CTE program offerings through online ads, Lake Tech's Career Techxpo, National Lineworkers Appreciation Day, and Follow Your Heart college

and career readiness expo. In addition, the LSSC website has a page dedicated to articulated credit for students to find a quicker way through their Program of Study. The website also includes wage information for occupations attached to each credential as well as the academic pathway for each program.

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

- LSSC utilizes Banner® as their integrated Student Information System (SIS) and Workforce Development Information System (WDIS).
- Under the terms of the Family Educational Rights and Privacy Act (FERPA), the College has established the following as directory information:
    1. Student's name
    2. Major
    3. Date(s) of enrollment
    4. Degree(s) and honors earned with dates awarded
    5. Participation in officially recognized activities or sports
    6. Enrollment status (e.g., full-time or part-time student status)
    7. Previous colleges attended
    8. Photographs
    9. Awards
- The current Student Database Data Directory was provided as evidence of procedures for the collection, verification, analysis and reporting of student data.
- All of the data elements required of their local MIS were included in the system and verified during the desk review.
- Upon review of the student data, it was determined that LSSC was not compliant in the verification process of student data. See Finding 1

C. **CURRICULUM AND INSTRUCTION** refer to those elements that contribute to student learning and skill acquisition.

- Across three campuses, Leesburg, South Lake and Sumter, LSSC offers more than 35 academic programs, from career training to university transfer options to bachelor's degrees. All new students are required to meet with an academic advisor and complete a new student orientation before registering for classes. Many of their career-focused programs offer industry-recognized certifications to get the student into the workforce quickly. Their associate degree transfer plans prepare the student for their major at a university or at LSSC. LSSC offers two baccalaureate degrees and is part of the Direct Connect program through the University of Central Florida.
- At LSSC, advisors are assigned to new students, and they are retained for their whole academic career based on their chosen major area of interest. Also, they are required to attend student orientation, advising and registration.
- (SOAR) Starfish is a program that sends the advisors updated information on the students' progress.
- CTE instructors participate in ongoing training provided by the Department, as well as annual professional learning seminars such as Florida Association for Career and Technical Education and Health Information Management Society. Also, LSSC hosts an annual Counselors Conference and Lake Hawk Preview Day.

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 federal, state and local guidelines are included within the inventory management system. The inventory management system was verified during the OSMR.
- The College's Receiving department is responsible for the maintenance of the tangible personal property records. The Financial Services & Controller office are responsible for maintaining all other subsidiary records and for the financial recording of capital outlay expenditures to capital asset control accounts. Capitalized Personal Property represents any movable personal property (furniture, machinery, fixtures, equipment, supplies and similar items) costing $5,000 or more with an expected useful life of one year or more. These items are formally capitalized on the college's general ledger and depreciated over their useful life.

E. **EQUAL ACCESS** refers to compliance with federal non-discrimination laws' requirements relating to recruitment, enrollment, participation and completion of programs.

- LSSC included the necessary policies required by the General Education Provisions Act (GEPA) and other federal laws, which ensure equal access and participation in programs regardless of sex, race, national origin, color, disability or age.

F. **RECORDS REVIEW** refers to reviewing the records and documents that evidence compliance with federal and state rules and regulations. In addition, a sampling of financial and programmatic records is reviewed.

Documents reviewed were:
- Notification of social security number collection, usage and release
- Student authorization for access to educational records
- FERPA notification
- Testing policies and procedures manual
- Time and effort reports
- Student data
- Fiscal and operational policies and procedures
- Multiple MOUs
- Dual enrollment articulation agreements
- Advisory committee meeting records
- GEPA statement
- Disability Services Manual
- CLNA documentation
- Professional learning calendar
- Records retention policy

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.

- Banner® is used as the college's Enterprise Resource Planning system.
- The college's Financial Services & Controller Department Procedures ensures the efficient management of CTE grant funds.
  - Financial reporting
  - Internal Controls
  - Audit requirements
  - Training
- Purchase orders $5,000 and below are approved by the Director of Workforce Development, $15,000 and below is Vice President of Academic Affairs, $25,000 and below is the President, and $25,000 and above is the Cabinet.
- LSSC complies with the Federal statutes prohibiting the use of Federal grant funds to take the place of, or substitute for, state or local funds for services required by law. Federal funds must supplement (add to, expand, enhance, increase, extend) programs and services offered with state and local funds. Federal funds are not permitted to be used to supplant the state and local funds used to offer those programs and services.
- The College does not use Perkins grant-funded purchasing cards.
- Monitoring staff conducted a budget analysis of LSSC's grants. All object codes and amounts pre-approved on their grant award were adhered to.

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.

- LSSC has numerous collaborations and MOUs within the local community. They often offer additional educational and job experiences to students within the district. The list of partners includes, but is not limited to:
  - Sumter County School District
  - Lake Technical College
  - Lake County Schools
  - University of Florida Health Leesburg Hospital
  - Geographic Chambers of Commerce
  - Florida Virtual School

VIII. RESULTS

LSSC was found to be out of compliance due to the following.

Finding Number	1
Area	Internal Controls
Finding Summary	LSSC did not follow policies and procedures for verifying student data.
Finding Detail	The instructor did not verify student completion following the set policies and procedures.
Citation	Violation of UGG 2 CFR 200.303 "Internal Controls."
Recommended/Anticipated Corrective Action	The Vice President for Workforce & Career Services will provide a letter of attestation and plan of corrective action.
Anticipated completion date:	5/30/2025

Name and Title responsible for CAP	John Temple, Vice President for Workforce & Career Services, LSSC
Plan Accepted by:	Chuck Davis 6/4/2025
Status of Action Plan	Complete

IX.   SUMMARY

After completing the monitoring review and receiving any additional information requested, a preliminary report is sent to the provider for their review. The Division monitoring team lead may consider comments at their discretion. Once the final report is approved, it will be sent to the agency head and a copy will be sent to the provider's designated contact person. The final report will also be posted on the Department's website, which is located at:
https://www.fldoe.org/academics/career-adult-edu/compliance/
Once all outstanding corrective action plan items have been completed (when applicable), the Division will issue a closure letter to the agency head and designated contact person. This letter will signify the end of the monitoring process and that no further action is required.

On behalf of the Division, the monitoring team would like to extend their appreciation to all participants in the Lake Sumter State College monitoring review. A special thanks is offered to Mr. John Temple, for his participation and leadership during this process.

Lake-Sumter State College
Career and Technical Education
Risk Matrix

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

Agency Name: **Lake-Sumter State College**
Program Type: **CTE**
Monitoring Year: **2023-2024**

Metric	Scaling	Point Value	Points Assigned	Weight	Total Metric Points
Number of Years Since Last Monitored	7 or More Years	7	**3**	X 10	**30**
	5-6	5			
	3-4	3			
	0-2	1			
Total Budget for all Perkins Grants Combined	Upper Quartile	7	**1**	X8	**8**
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
Number of Perkins Grants	4 or More	7	**1**	X 8	**8**
	3	5			
	2	3			
	1	1			
Change in Management Information Systems (MIS) from Previous Fiscal Year	Yes	7	**0**	X 6	**0**
	No	0			
Agency CTE Program Director Change from Previous Fiscal Year	Yes	7	**0**	X 6	**0**
	No	0			
Unexpended Funds from all Perkins Grants Combined	Upper Quartile	7	**3**	X 4	**12**
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
Number of Findings from the Office of the Auditor General	Upper Quartile	7	**1**	X 4	**4**
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
				AGENCY RISK SCORE:	**62**

Data sources used for calculations: Prior to July 1, 2023

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