Quality Assurance and Compliance

Onsite Monitoring Visit

Adult Education and Family Literacy

Florida Literacy Coalition

November 10, 2015

Final Report

FLORIDA DEPARTMENT OF EDUCATION
fldoe.org

November 16, 2015

Mr. Gregory Smith, Executive Director
Florida Literacy Coalition
250 N. Orange Avenue, Suite 1110
Orlando, Florida 32701

Dear Mr. Smith:

We are pleased to provide you with the final monitoring report for the adult education programs at the Florida Literacy Coalition. 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/tdw

Enclosure

cc: Gloria Spradley-Brown, bureau chief, Grants Administration and Compliance
        Tashi D. Williams, director, Quality Assurance and Compliance
        Donna Waller, program specialist, Quality Assurance and Compliance
        Michael Swift, program specialist, Quality Assurance and Compliance

TABLE OF CONTENTS

Florida Department of Education
Division of Career and Adult Education

Florida Literacy Coalition (FLC)
Adult Education and Family Literacy
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; which 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 FDOE and the Division of Career and Adult Education. In some cases, specifically with Community- and Faith-Based Organizations (CBOs and FBOs) including Career and Technical Student Organizations (CTSOs), the evaluations of the risk factors result in similar scores. A risk matrix, identifying certain operational risk factors is completed for each provider.

The risk matrix for each program monitored is located in Appendix A. The results of the risk assessment process and consideration of available resources are used to determine one or more appropriate monitoring strategy (ies) to be implemented.

The monitoring strategy for the Florida Literacy Coalition was determined to be an on-site visit to be conducted at the end of a visit to the Orange County School District (OCSD). Notification was sent to Mr. Gregory Smith, executive director of Florida Literacy Coalition (FLC) on August 7, 2015.

The on-site visit to the agency was conducted October 8, 2015 by three representatives of the Quality Assurance Section of the Division: Mr. Tashi Williams, director, Quality Assurance and Compliance section; and program specialists, Mr. Michael Swift and Mrs. Donna Waller.

V.   Florida Literacy Coalition

Since 1985 The FLC has been a leading advocate for the promotion of quality adult and family literacy services throughout the state. From its location in Orlando, Florida, the FLC delivers support services to over 300 family literacy and adult education providers across the state. The FLC supports the important work that adult education, literacy agencies and organizations are doing throughout the state. They provide volunteer and student referrals, professional development opportunities and a venue for sharing information, resources and promising practices. They support organizations interested in starting literacy programs. They also support the delivery of quality instruction to adults and families who need to develop their reading, writing and English language skills. Special emphasis is placed on supporting community, library and faith-based literacy organizations with their training and program development needs.

The provider was awarded the following AE grants for FY2013-14, 2014-2015, and 2015-2016:

FY 2013-14

Grants	Grant Number	Grant Amount	Unexpended
Adult General Education	764-1924B-4PL01	$ 200,000.00	$ 11,334.00
English Literacy/Civics Education	764-1954A-4PL01	$ 15,000.00	$ 0.00

FY 2014-15

Grants	Grant Number	Grant Amount	Unexpended
Adult General Education	767-1925B-5PL01	$ 200,000.00	$ 9,048.13
English Literacy/Civics Education	764-1954A-5PL01	$ 20,000.00	$ 0.00

FY 2015-16

Grants	Grant Number	Grant Amount	Unexpended
Adult General Education	764-1926B-6PL01	$ 200,000.00	
English Literacy/ Civics Education	764-1946B-6PL01	$ 20,000.00	

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

VI.   MONITORING ACTIVITIES

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

Entrance and Exit Conference
The entrance and exit conferences for the Florida Literacy Coalition were conducted on October 8, 2015; the following participants are listed below:

Name	Title	Entrance Conference	Exit Conference
Mr. Greg Smith	Executive Director	X	X
Mr. Wesley Pratt	Event Management Intern	X	
Ms. Catherine Hearing	Health and Financial Literacy Coordinator	X	
Ms. Sonya Young	Bookkeeper	X	X
Ms. Lucianna Ramos	Resource Specialist	X	X
Ms. Nicole Caban	Education Training Coordinator	X	X
FDOE MONITORING TEAM			
Mr. Tashi D. Williams	Director, FDOE Compliance	X	X
Ms. Donna Waller	Program Specialist, FDOE	X	X
Mr. Michael Swift	Program Specialist, FDOE	X	X

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

Records Review
Administrative, financial and program records were reviewed. A list of reviewed items is provided in Section VII. Policies and procedures were also reviewed and discussed during the course of the visit.

VII.   RESULTS

Florida Literacy Coalition

A. Training and technical assistance – the FLC offers professional development opportunities which provide literacy practitioners and volunteers with tools and resources to enhance program quality. These trainings include, but are not limited to;
- Write to the point: Writing skills for English Speakers of Other Languages (ESOL) and Adult Basic Education (ABE) learners teaching conventional English
- Career pathways volunteer training
- Staying healthy for beginners
- College and career planning
- Teacher/tutor literacy symposiums (4)
- Annual Literacy Leadership Institute
- Tutor training
- Adult learners and 21st century technology
- Motivating and retaining adult learners
- Ideas and resources to use with English Language Learners

B. During the 2014-2015 year there were 22 training opportunities, with 796 individuals taking advantages of these resources.

C. The Florida Literacy Conference is an annual event offering a wide variety of training, workshops and networking opportunities to literacy practitioners and volunteers
- Adult Learner Day during the FLC annual conference offers AE, ESOL, and literacy students the opportunity to attend workshops and classes specific to adult learners.

D. Special emphasis on helping community based literacy groups with training and technical assistance in:
- ESOL Conversation Clubs: Design and Delivery
- Career Pathways
- Health Literacy
- Meeting the needs of a diverse group of adult learners
- Making financial literacy relevant in difficult times
- Basic literacy and ESOL tutor training
- Motivating and retaining adult learners

E. The FLC uses traditional and non-traditional methods to promote their services and to make individuals aware of what they have to offer
- The FLC website received over 250,000 visitors last year.
- The FLCS's Facebook account has over 1,100 registered friends of the page.
- Almost 3,500 people follow FLC's Twitter account.
- FLS is the state partner of the US Department of Education's Literacy Information and Communication System (LINCS) system.

F. FLC promotes reading and raising awareness about literacy issues in Florida via their Toll Free Literacy Hotline. A trained professional specialist provides on call information about education programs and volunteer opportunities throughout the state.
- Over 14,000 telephone and on-line hotline referrals

G. FLC and the Florida Health Literacy Initiative received the 2011 Award for Program Innovation and Collaboration from the US Conference on Adult Literacy. The Health Literacy Initiative, supported by the Florida Blue Foundation, aims to provide literacy deficient Floridians with health information and seminars that are set up to be easily understood by their students and families. Some of these programs include;
- Student resource book and teachers guide
- Staying Healthy e-book (272,443 downloads last year)
- Staying Healthy for Beginners (231,531 downloads)
- 14,000 families served
- Average Health Literacy test scores improved by an average of 22%
- Recently developed new training videos for 2015

H. Annual needs assessments of the community based organizations acknowledges any needs these programs will need for the upcoming year.

I. The Adult Learner Essay Book gives students the opportunity to display their literary skills and submit short stories, poems, or autobiographical narratives to be published in the book.

J. The Governor of Florida has recognized the month of September as Family Adult and Literacy month.

K. FLC has numerous collaborative efforts with various agencies within the city, state and country. Some of the partnerships include;

- Literacy Information and Community System (LINCS), US Department of Education
- Institute for the Professional Development of Adult Educators (IPDAE)
- Adult and Community Educators (ACE) of Florida
- Southwest Airlines
- Wells Fargo
- University of New Orleans, Florida Division of Emergency Management
- Rollins College, University of Central Florida
- California Library Literacy Services
- Mystery Writers of America
- Florida Blue Foundation

L. Financial and program records (deliverables) were reviewed as part of the monitoring process. These deliverables were verified against information provided to FLDOE, and used to determine compliance with federal and state laws, rules and regulations. Deliverables include, but are not limited to;

- Employee and volunteer time cards
- Financial statements
  - Vendor contract agreements
  - Receipts
  - Invoices for purchases
- Tutor training workshops (including online training)
  - Announcements and advertisement flyers
  - Sign in sheets
  - Agendas
  - Participant evaluations
- Florida literacy resource center website
  - Calendar of events
  - Website traffic reports and usage statistics
  - Membership mailing lists
- Schedules for information sessions
- Professional development needs assessment
- DOE 499 project summaries

VIII. REQUIRED RESOLUTION ACTIVITIES

There were no findings of non-compliance found during the on-site visit. Therefore, no resolution activity is necessary. Also, there were no findings within the FLC audit reports.

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 FDOE, the monitoring team extends our appreciation to all participants in the Florida Literacy Coalition onsite monitoring visit. Special thanks are offered to Mr. Greg Smith and his FLC team for their participation and leadership in this process.

Florida Literacy Coalition
Adult Education and Family Literacy
Risk Matrix

Risk Scores Matrix for Non-Colleges Receiving Adult Education (AE)Grants

Agency Name: **FLORIDA LITERACY COALITION**
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	**5**	X 10	**50**
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
# AE Grants Value	4+	7	**3**	X 8	**24**
	3	5			
	2	3			
	1	1			
AE Director Change Value	Yes	7	**0**	X 6	**0**
	No	0			
AE Funds Remaining Point Value	Upper Quartile	7	**5**	X 4	**20**
	Upper Middle	5			
	Lower Middle	3			
	Lower Quartile	1			
	0	0			
			AGENCY RISK SCORE:		**94**

*Compliance monitoring last visit: **AE, Spring 2011**

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