



FLORIDA DEPARTMENT OF
EDUCATION
CAREER AND ADULT EDUCATION

**Quality Assurance and Compliance
Targeted Onsite Monitoring Visit
for
Adult Education, State Leadership**

Indian River State College

October 2-4, 2017

Final Report

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Florida Department of Education
Division of Career and Adult Education

**Indian River State College
Adult Education, State Leadership
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 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 review. 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. Any monitoring strategy may be utilized up to and including, onsite or desk monitoring, if determined necessary

by the chancellor, director or requested by other divisional leadership staff; such monitoring activity may be announced or unannounced.

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 strategies for Indian River State College (IRSC) was determined to be a targeted onsite monitoring visit and records review. Notification was sent to Dr. Edwin R. Massey, president, on September 22, 2017. The designated representative for the agency was Dr. Kelly Amatucci, assistant dean, School of Education.

The targeted onsite monitoring visit to the agency was conducted October 2, 2017 through October 4, 2017. The two representatives of the division present during the visit were Ms. LaStacia Spencer, program specialist, and Mr. Tashi Williams, director, Quality Assurance and Compliance.

V. INDIAN RIVER STATE COLLEGE

The provider was awarded the following Adult Education, State Leadership, Institute of Professional Development for Adult Educators (IPDAE) and English Literacy and Civics (EL Civics) 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>
AE, State Leadership, IPDAE	562-1926B-6PL01	\$ 450,000.00	\$ 3,800.71
AE, State Leadership, EL Civics	562-1946B-6PL01	\$ 50,000.00	\$ 1,121.16

FY 2016-17

<u>Grants</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended</u>
AE, State Leadership, IPDAE	562-1927B-7PL01	\$ 400,000.00	\$ 75.08
AE, State Leadership, EL Civics	562-1947B-7PL01	\$ 33,200.00	\$.03

FY 2017-18

<u>Grants</u>	<u>Grant Number</u>	<u>Grant Amount</u>	<u>Unexpended</u>
AE, State Leadership, IPDAE	562-1928B-8PL01	\$ 282,511.00	N/A

Additional information about the provider may be found at the following web address: <http://www.irsc.edu/>

VI. MONITORING ACTIVITIES

The monitoring activities included an entrance and exit conference, records review, and interviews/discussions with IRSC staff.

Entrance and Exit Conferences

The entrance conference for IRSC was conducted on October 2, 2017. The exit conference was conducted by phone on October 4, 2017. The participants are listed below:

Name	Title	Entrance Conference	Exit Conference
Sheryl Vittitoe	Vice President of Financial Services, CFO		X

Dr. Kelly Amatucci	Assistant Dean of the School of Education	X	X
Edith Pacacha	Associate Dean of Finance	X	X
June Rall	IPDAE Project Director	X	X
Tammy Serrano	IPDAE Project Support Specialist	X	X
Lisa Schuyler	Accounting Supervisor	X	X
Janet Small	Grants and Contracts Accountant Supervisor	X	X
Bryce Coleman	Grants and Contracts Accountant	X	X
Cindy Bruin	Director of Grants Development	X	X
FDOE Monitoring Team			
Tashi Williams	Director, FDOE	X	X
LaStacia Spencer	Program Specialist, FDOE	X	X

Interviews/Discussions

Interviews/discussions were conducted with the IRSC staff. All interviews/discussions were held during the course of the visit.

Records Review

Program, financial and administrative records were reviewed. A complete list is provided in section VII, item B. 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 administration prides IPDAE as being the main professional development hub for Adult Education.
- Administration respects IPDAE in its ability to provide a means of measuring and assessing involvement and effectiveness of Adult Education programs.
- The administration uses feedback from the community and adult education advisory committees annually to ensure quality of its programs.
- Meetings are held with the administration to warrant and support program needs.

B. 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.

- Grant Deliverables
- Contractual Agreements
- Program Promotional Material
- Financial Records (Travel, Purchasing and Procurement)
- Employee Time and Effort Reports
- Employee Position Descriptions
- Online Trainings
- Financial Policies and Procedures
- Workshop Agendas

C. **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.

- FDOE monitoring team verified that the accurate measures were taking place in validating and funding grant deliverables.
- Every purchase is approved using the Workday® financial operations system.
- The monitoring team reviewed employee time and effort reports and found these documents to be in accordance with college, federal and state policies.
- IRSC has reputable policies and procedures for financial practices including purchasing and procurement, travel and inventory.
- Regularly held meetings and open lines of communication are at the forefront to assure that grant dollars are spent efficiently throughout the year.
- IRSC communicates and works with FDOE and college staff to assure that grant purchases are reasonable, allocable and allowable.
- There were no instances of fraudulent activities reported or during this monitoring review.

FINDINGS AND ACTION

- Finding C1: The monitoring review yielded unallowable website related expenditures in the amount of \$130.53 (\$174.04 total paid for two years less \$43.51 paid for six months) that was charged to the grant outside of the 2015-2016 grant year. Contract agreements fell outside of the grant period of performance authorized by FDOE (UGG §200.309 Period of Performance).
 - Corrective Action C1: IRSC must review and ensure that all purchases charged to the grant meet federal requirements for allowability of costs. Recovery costs in the amount of \$130.53 must be returned to the Florida Department of Education. Information pertaining to Fiscal Adjustments can be found in the FDOE Green Book, Section C, Federal Cash Advance Project – Discretionary. Contact the FDOE Comptrollers Office at 850-245-9214 for payment of recovery costs.

VIII. REQUIRED RESOLUTION ACTIVITIES

ADULT EDUCATION

1. Corrective Action Plan – Indian River State College is required to complete an Adult Education Corrective Action Plan.
2. Action Plan – Indian River State College is not required to complete an Adult Education 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 IRSC targeted onsite monitoring visit.

APPENDIX A

Indian River State College
Resolution Action Plan

Finding(s)	Corrective Action(s)	Agency Response	Person Responsible	Projected Date of Completion
<p>Finding C1: In FY 2015-16, the agency charged unallowable costs for website related expenses to the grant. Contract agreements fell outside of the grant period of performance authorized by FDOE (UGG §200.309 Period of Performance).</p>	<p>IRSC must review and ensure that all purchases charged to the grant meet federal requirements for allowability of costs. Recovery costs in the amount of \$130.53 must be returned to the Florida Department of Education. Information pertaining to Fiscal Adjustments can be found in the FDOE Green Book, Section C, Federal Cash Advance Project – Discretionary. Contact the FDOE Comptrollers Office at 850-245-9214 for payment of recovery costs.</p>			
<p>Plan submitted by (name and title):</p>		<p>Date:</p>		
<p>Plan accepted by:</p>		<p>Date:</p>		
<p>Status of Action Plan (to be completed by FDOE staff):</p>				
<p>Date:</p>		<p>Status of Plan Completion:</p>		