



FLORIDA DEPARTMENT OF
EDUCATION
CAREER AND ADULT EDUCATION

**Quality Assurance and Compliance
Desk Monitoring Review
For Adult Education and
Career and Technical Education**

Santa Fe College

March 14 – March 18, 2022

Final Report

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Florida Department of Education
Division of Career and Adult Education
Santa Fe College
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 designing, developing, implementing, and evaluating a comprehensive quality assurance system, 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 regularly.

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 21st 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 according 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).

III. QAC CORE MONITORING GUIDE

The Core Monitoring Guide (CMG) is intended to be used broadly by any reviewer conducting an onsite or desk monitoring of any program currently administered by the division. The guide provides a summary of each facet of the monitoring design and the process. It also contains objectives that may be used as agencies are monitored or reviewed. 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 strategies 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.

Santa Fe College (SF) monitoring strategy was determined to be a virtual desk monitoring review (VDMR). A notification was initially sent to Dr. Paul Broadie II, President, on November 1, 2021. The designated representatives for the agency were Ms. Mable Baker, Coordinator of Perkins Programs, and Ms. Julie Falt, Adult Education Coordinator. The division's representative conducting the VDMR was program specialist, Orion Price, of the Quality Assurance and Compliance section.

V. Santa Fe College

ENROLLMENT:

CTE (possible duplication at a program level): Postsecondary – 16,904

Adult Education – 758

Finance

The provider was awarded the following grants for fiscal years (FY) 2018-19, 2019-2020 and 2020-21:

FY 2018-19

| <u>Grants</u> | <u>Grant Number</u> | <u>Grant Amount</u> | <u>Unexpended</u> |
|-----------------------|---------------------|---------------------|-------------------|
| Perkins Postsecondary | 012-1619B-9CP01 | \$599,328.18 | \$1,580.75 |
| Perkins Rural | 012-1619B-9CR01 | \$17,837.00 | \$0.00 |
| Adult Education | 012-1919B-9CG01 | \$228,338.00 | \$1,438.83 |
| AE IELCE | 012-1939B-9CE01 | \$34,777.00 | \$0.00 |

FY 2019-20

| <u>Grants</u> | <u>Grant Number</u> | <u>Grant Amount</u> | <u>Unexpended</u> |
|-----------------------|---------------------|---------------------|-------------------|
| Perkins Postsecondary | 012-1610B-0CP01 | \$642,581.00 | \$8,872.52 |
| Perkins Rural | 012-1610B-0CR01 | \$18,301.00 | \$0.00 |
| Adult Education | 012-1910B-0CG01 | \$228,338.00 | \$2,004.04 |
| AE IELCE | 012-1930B-0CE01 | \$34,777.00 | \$0.00 |
| Cares Act | 012-1230A-1CR01 | \$673,522.00 | N/A |

FY 2020-21

| <u>Grants</u> | <u>Grant Number</u> | <u>Grant Amount</u> | <u>Unexpended</u> |
|-----------------------|---------------------|---------------------|-------------------|
| Perkins Postsecondary | 012-1611B-1CP01 | \$495,823.00 | \$1,441.10 |
| Perkins Rural | 012-1611B-1CR01 | \$21,246.00 | \$0.10 |
| Adult Education | 012-1911B-1CG01 | \$228,338.00 | \$1,377.12 |
| AE IELCE | 012-1931B-1CE01 | \$34,777.00 | \$0.00 |

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

<https://www.sfcollege.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.

Virtual Visits

The VDMR was conducted the week of March 14-18, 2022.

Entrance and Exit Meetings

The entrance meeting for SF was conducted on March 14, 2022. The exit meeting was conducted on March 18, 2022. The participants are listed below:

| Name | Title | Entrance Conference | Exit Conference |
|-----------------------------|---|---------------------|-----------------|
| Dr. Tyran Butler | Associate Vice President, Career and Technical Education | X | X |
| Mable Baker | Coordinator, Perkins Grants | X | X |
| Barbara Little-Harsh | Specialist, Perkins Grants | X | X |
| Monica Cabrera | Interim Coordinator, Rapid Credentialing and Entrepreneurship Education and Training Grants | X | X |
| Christine Sulander-Smith | Adult Education Professor | | X |
| Julie Falt | Adult Education Professor/Coordinator | X | X |
| Felecia Smith | Institutional Research Specialist | X | X |
| Gary Hartge | Director, Institutional Research | | X |
| Dennis O'Hearn | Restricted Funds Manager | | X |
| Bill Penney | Chief Information Officer and Associate Vice President for IT Services | X | X |
| Claudia Grant | Director, Sponsored Projects | X | X |
| Tonia Lambert | Coordinator, Sponsored Projects Compliance | X | X |
| Yumina Myers | Coordinator, Sponsored Projects Development | X | X |
| FDOE Monitoring Team | | | |
| Orion Price | Program Specialist, QAC, FDOE | X | X |
| Michael Swift | Program Specialist, QAC, FDOE | X | X |
| Charles Davis | Program Specialist, QAC, FDOE | X | X |

Interviews

SF administrators were available for interviews if necessary.

Records Review

The program, financial, administrative and student records were reviewed. A complete list is provided in section VII, section F. A minimum of 42 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.

- SF has a very strong grant writing and approval process that follows all rules and regulations required during the grant. In addition, the amendment follows the same process as the original grant writing.
- As a recipient of grant award funds, SF follows all of the rules, regulations and other requirements that apply to those funds. The college is responsible for administering and supervising all awarded grants under the terms and conditions of each award. Federal regulations require that processes are consistent across the college. As a state college, they also follow Florida Statutes.
- As part of the required comprehensive local needs assessment (CLNA), CTE administrative staff consult with advisory committees and entities across Bradford and Alachua counties, including any additional surrounding areas. The advisory committees have stakeholders comprised of students, teachers, CareerSource North Florida (CSNF) and multiple local business and community leaders. The college meets with the advisory boards quarterly unless items need to be addressed quickly.
- Anna Mendoza is SF's contact at CSNF, who has played a crucial role in developing the CLNA through conversations and meetings with the college and advisory boards, Bradford County School District (BCSD), Alachua County School District (ACSD) and the local Workforce Boards. SF serves all special populations through this teamwork, including ex-offenders, homeless, exceptional needs students, military personnel, and low-income individuals.
- SF has a strong online social media program that informs the local community of college opportunities. In addition, SF uses social media to promote financial help to the special needs populations required to be serviced in the CLNA. This gives the students information on how to qualify and sign up for the financial assistance they need to be successful. Additionally, the SF website is easy to navigate and full of information that helps students easily sign up for CTE and AE programs.

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.

- SF has a Research Analyst that oversees the data and assessment department and data being submitted to the FDOE.
- SF utilizes E-Staff® as their integrated Student Information System (SIS) and Workforce Development Information System (WDIS). This is a homegrown system with multiple checks and balances given to staff that helps the staff verify the data submitted is correct before being submitted to the FDOE.
- SF follows all requirements and gives disclosure information for the Family Education Right and Privacy Act (FERPA). The Required information needed includes the student's name, major, dates of enrollment, degrees or honors earned, participation in sports or activities, enrollment status, colleges attended prior and awards. This is evidenced in the online registration form as well as the paper copies given to students upon registration.
- All of the data elements required for their local MIS were included in the system and verified during the review.
- As part of the monitoring review, samples of CTE and AE student data were reviewed and verified for accuracy. Samples included: Litera Completion Point (LCP) completers, LCP non-completers, Industry Certifications and Postsecondary Program Completers.

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

- SF offers 65 Career and Technical Education academic programs, from career training to focused programs that offer industry-recognized certifications to get students into the workforce with strong workforce skills that make the student success at the entry-level to advanced positions.
- At SF, program advisors help with registration, course planning/scheduling, degree program exploration, and transfer information. The advisor meets with the student before every semester to ensure they are on course to complete the program they signed up for. If any issues show, the Program Advisor for the CTE program selected will meet with the student to understand any issues before they become a problem or a bigger roadblock for graduation.
- SF's CTE and AE instructors participate in annual training provided by FDOE, annual professional development throughout the college and attend professional development conferences that align with the instructor's department throughout the year.
- Appropriate and reasonable accommodations are offered based on documented needs. Accommodations might include: adaptive technology, enlargers, early registration, tutors, note takers, sign language interpreters, real-time captioning, testing arrangements and classroom modifications. The Disabilities Resource Center is the campus office that works with students who have disabilities to provide and/or arrange reasonable accommodations.

D. **TECHNOLOGY AND EQUIPMENT** refer 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 VDMR.
- The E-Staff® system is used as SF's Inventory Management System (IMS).
- All grant funded inventory is manually checked and verified by the SF staff. The Department heads are given a list of inventory they should have on hand, and the department heads are charged with ensuring all items are accounted for and in the correct location according to the inventory list. This inspection is done annually.
- When conducting the inventory check, items between \$1,000 and \$4,999 can be moved from room to room by the department head to correct the item's room. If the item is above \$5,000 the finance team has to make the room change for accountability.
- The fixed asset system is an automated process for recording the acquisition, location, custody, original cost, depreciation and ultimate disposition of College personal property.
- All Capitalized Property costing \$5,000 or more is recorded in the fixed asset system and permanently identified (tagged) with a property number decal. All inventory reviewed virtually was in the correct place and tagged with correct numbers.

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

- The Office of Equal Educational Opportunity (OEEEO) is responsible for monitoring and overseeing civil rights compliance obligations. Should you have any questions or concerns, please contact the OEEEO at 850-245-0511.

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.

- Size, scope and quality review
- CLNA –Local Market Alignment
- MIS data quality post-secondary checklist
- Policies and procedures for finance and procurement
- Student and employee handbooks
- Inventory and procurement records
- Memorandums of Understanding (MOUs) and articulation agreements
- Advisory committee records – agendas, sign-in sheets, etc.
- Professional development and training records – agendas, sign-in sheets, training materials, etc.
- CTE and AE student data review

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.

- Department heads take a google document at the beginning of the grant writing process that gives each department a three-item wish list.
 - In this document, the department gives three items: cost with or without shipping, if it is a sole source item and three quotes if the item cost is over five thousand. Once completed, the document gets submitted to Ms. Baker for review.
 - Ms. Baker then takes the items and meets with both Associate Vice Presidents (AVP) to rank the item needs in order of importance to the CTE programs and if the items are reasonable, allowable and allocable.
 - The tiered list is finalized by Ms. Baker and sent to the Provost for approval.
 - The list is then put into the budget narrative and submitted to the state grant manager for approval.
 - Once the list is approved by the state, SF submits amendments as needed for any changes throughout the budget year.
- E-Staff® is used as SF's Enterprise Resource Planning (ERP) system. E-Staff® is a homegrown system developed by SF personnel.
- SF's financial procedures ensure efficient management of the college's post-secondary CTE, AE and IELCE grant funds. The financial procedures cover internal controls, training for staff, financial reporting, audit requirements, individual responsibilities and procurement steps. The policies and procedures also have a section that includes what to do during an audit.
- The Tangible Personal Property Guide states that SF covers the following methods of procurement for goods/services.
 - First, daily expenditures that do not exceed \$999.99 are classified as a blanket purchase order (BPO).
 - Second, all purchases made between \$1,000 to \$4,999.99 can be authorized by Ms. Baker. These items do not require tagging for inventory purposes but are still tracked through E-Staff IMS.
 - Third, anything valued at \$5,000 or above needs to be tagged upon receipt. The manual reminds personnel to change the room number once the item is received and put in place to reflect in the inventory system. Finally, the procurement manual directs what steps need to be taken to approve the requests.
- SF has a chain of approval that is followed regardless of the cost of an individual item. It starts with the item purchase requisition submitted by the department head and the three quotes required if the item is capitalized. It then goes to Ms. Baker for approval. If she approves, the requisition and three quotes then goes to Dr. Tyran Butler, AVP to be signed

off as approved. When Dr. Butler approves the requisition, it is sent to the finance department to Mr. Dennis O'Hearn or Ms. Christine Weeks for approval and move the requisition to Purchasing for review and creation of a purchase order.

- SF complies with all 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 services offered with state and local funds.
- SF does not use Perkins grant-funded purchasing cards. Instead, they use a purchase order requisition system through the ERP as shown above.

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.

- SF 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 include, but are not limited to:
 - CareerSource of Northern Florida
 - University of Florida Health
 - Gainesville Chamber of Commerce
 - North Florida Technical College (NFTC)
 - Thermo Fisher Scientific
 - Biomed Techs, Inc.
 - Veterans Association: North Florida/South Georgia Veterans Health System (NF/SGVHA)
 - Alachua County Habitat for Humanity
 - Alachua County Health Department
 - Alachua County Public Schools
 - Alachua County Sheriff's Office
 - Baby Gator
 - Bradford County Fire Rescue
 - Gainesville Regional Utilities
 - HCA North Florida
 - Intermed Group
 - Keith Watson Events
 - Lacerta
 - Walt Disney World – Disney's Animal Kingdom

VIII. RESULTS

SF was not found to be out of compliance. All items reviewed were compliant in accordance to applicable local, state and federal laws and/or policies and procedures.

IX. SUMMARY

Once the monitoring review is completed, including receipt of the 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's 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 corrective action plan items have been completed, when applicable, and that no further action is required. This letter will officially end your monitoring process.

The monitoring team extends its appreciation to all Santa Fe College monitoring review participants on behalf of the department. Special thanks are offered to Dr. Tyran Butler, Ms. Mable Baker, and Ms. Julie Falt for their participation and leadership during this process.

APPENDIX A
 Santa Fe College
 Career and Technical Education
 Risk Matrix

| Risk Scores Matrix for Colleges Receiving Career and Technical Education (CTE) Carl D. Perkins Grants | | | | | |
|--|-----------------|--------------------|------------------------|--------------------|----------------------------|
| Agency Name: Santa Fe College | | | | | |
| Program Type: CTE | | | | | |
| Monitoring Year: 2021-2022 | | | | | |
| Metric | Scaling | Point Value | Points Assigned | Weight | Total Metric Points |
| Number of Years Since Last Monitored | 7 or More Years | 7 | 3 | <u>X 10</u> | 30 |
| | 5-6 | 5 | | | |
| | 3-4 | 3 | | | |
| | 0-2 | 1 | | | |
| Total Budget for all Perkins Grants Combined | Upper Quartile | 7 | 5 | <u>X 8</u> | 40 |
| | Upper Middle | 5 | | | |
| | Lower Middle | 3 | | | |
| | Lower Quartile | 1 | | | |
| Number of Perkins Grants | 4 or More | 7 | 3 | <u>X 8</u> | 24 |
| | 3 | 5 | | | |
| | 2 | 3 | | | |
| | 1 | 1 | | | |
| Change in Management Information Systems (MIS) from Previous Fiscal Year | Yes | 7 | 0 | <u>X 6</u> | 0 |
| | No | 0 | | | |
| Agency CTE Program Director Change from Previous Fiscal Year | Yes | 7 | 7 | <u>X 6</u> | 42 |
| | No | 0 | | | |
| Unexpended Funds from all Perkins Grants Combined | Upper Quartile | 7 | 5 | <u>X 4</u> | 20 |
| | Upper Middle | 5 | | | |
| | Lower Middle | 3 | | | |
| | Lower Quartile | 1 | | | |
| | 0 | 0 | | | |
| Number of Findings from the Office of the Auditor General | Upper Quartile | 7 | 7 | <u>X 4</u> | 28 |
| | Upper Middle | 5 | | | |
| | Lower Middle | 3 | | | |
| | Lower Quartile | 1 | | | |
| | 0 | 0 | | | |
| AGENCY RISK SCORE: | | | | | 184 |

Data sources used for calculations: Prior to July 1, 2020

Santa Fe College
Adult Education
Risk Matrix

| Risk Scores Matrix for Colleges Receiving Adult Education (AE) Grants | | | | | |
|---|-------------------------------------|-------------|-----------------|------------|---------------------|
| Agency Name: Santa Fe College | | | | | |
| Program Type: AE | | | | | |
| Monitoring Year: 2021-2022 | | | | | |
| Metric | Scaling | Point Value | Points Assigned | Weight | Total Metric Points |
| Number of Years Since Last Monitored | 7 or More Years | 7 | 3 | <u>X10</u> | 30 |
| | 5-6 | 5 | | | |
| | 3-4 | 3 | | | |
| | 0-2 | 1 | | | |
| Total Budget for all Adult Education Grants Combined | Upper Quartile | 7 | 3 | <u>X 8</u> | 24 |
| | Upper Middle | 5 | | | |
| | Lower Middle | 3 | | | |
| | Lower Quartile | 1 | | | |
| Number of Adult Education Grants | 4 or More | 7 | 3 | <u>X 8</u> | 24 |
| | 3 | 5 | | | |
| | 2 | 3 | | | |
| | 1 | 1 | | | |
| Change in Management Information Systems (MIS) from Previous Fiscal Year | Yes | 7 | 0 | <u>X 6</u> | 0 |
| | No | 0 | | | |
| Agency AE Program Director Change from Previous Fiscal Year | Yes | 7 | 0 | <u>X 6</u> | 0 |
| | No | 0 | | | |
| Unexpended Funds from all Adult Education Grants Combined | Upper Quartile | 7 | 1 | <u>X 4</u> | 4 |
| | Upper Middle | 5 | | | |
| | Lower Middle | 3 | | | |
| | Lower Quartile | 1 | | | |
| | 0 | 0 | | | |
| Number of Findings from the Office of the Auditor General | Upper Quartile | 7 | 7 | <u>X 4</u> | 28 |
| | Upper Middle | 5 | | | |
| | Lower Middle | 3 | | | |
| | Lower Quartile | 1 | | | |
| | 0 | 0 | | | |
| Adult Education Program Improvement Plan (AEPiP) | Target Not Met on 3 of 3 Indicators | 5 | 4 | <u>X 6</u> | 24 |
| | Target Not Met on 2 of 3 Indicators | 3 | | | |
| | Target Not Met on 1 of 3 Indicators | 1 | | | |
| | All Targets Met | 0 | | | |
| Agency Risk Score | | | | | 134 |

Data sources used for calculations: Prior to July 1, 2020



Please address inquiries regarding this report to:

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