



State Board of Education

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Commissioner of Education

September 1, 2016

Melinda Miguel
Chief Inspector General
Office of the Chief Inspector General
The Capitol
Tallahassee, Florida 32399-0001

Dear Melinda:

In accordance with Section 20.055(5)(h), Florida Statutes, attached is the six month status of corrective actions taken in response to Auditor General Report # 2016-095, Migrant Education Program, Mentoring Grants Monitoring, and the Florida Educational Equity Act.

If you have any concerns regarding this status report, please contact Mike Blackburn by phone at 245-9418 or by email at mike.blackburn@fldoe.org.

Sincerely,

Pam Stewart
Commissioner

Attachment

cc: Mike Blackburn, Inspector General
Martha Asbury, Assistant Deputy Commissioner, Finance, and Operations
Joint Legislative Auditing Committee

Inspector General Mike Blackburn

Department of Education
Inspector General – External Audit Follow-up
Status Report on: Migrant Education Program, Mentoring Grants Monitoring, and the Florida Educational Equity Act
AG Report # 2016-095 Issued: February 25, 2016
Status as of August 25, 2016

Finding	Recommendation(s)	Management Response as of February 25, 2016	Management Response as of August 25, 2016	Anticipated Completion Date & Contact
<p>Bureau monitoring processes did not provide for sufficient documentation of the monitoring activities performed and conclusions made by monitoring staff regarding Local Educational Agency compliance with grant agreement terms and applicable Federal requirements.</p>	<p>We recommend that Bureau management strengthen MEP monitoring processes and controls to ensure that adequate documentation of the monitoring efforts, including the activities performed, conclusions reached, and supervisory review is prepared and maintained.</p>	<p>The Department will strengthen existing controls and monitoring practices to adequately document activities performed and conclusions reached, and maintain evidence of supervisory review. In 2016, Department staff strengthened its practices to ensure the consistent use of the "Verification Notes" section of the online monitoring system to document the results of additional review of evidence and conclusions drawn from that review. A supervisory review of additional evidence will take place prior to final approval in the online system.</p>	<p>The Department is continuing to strengthen existing controls to resolve this finding.</p>	<p>June 2017 Sonya G. Morris Bureau of Federal Educational Program</p>
<p>The Bureau did not timely deactivate user access privileges to the Migrant Student Information Exchange (MSIX), which includes confidential student records, upon notification that the privileges were no longer required.</p>	<p>To minimize the risk of compromising MSIX data and IT resources, Bureau management should ensure that MSIX user access privileges are timely deactivated.</p>	<p>The Department will (1) strengthen existing practices to request monthly notifications from district coordinators requesting identification of user access accounts that should be deactivated and (2) include, as a reminder, user access privileges protocols in the bi-monthly coordinators conference call agenda. To further assist with this practice, the Department will continue to engage the United States Department of Education, Office of Migrant Education, to consider extending the current 24-hour deactivation period.</p>	<p>The Department is continuing to strengthen existing controls to resolve this finding.</p>	<p>March 2017 Sonya G. Morris Bureau of Federal Educational Programs</p>

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<p>The Department did not ensure that non-Department personnel with MSIX user access privileges were subject to appropriate background screenings.</p>	<p>We recommend that Department management ensure that level 2 screenings are performed and documented for all individuals who have, or will be granted, access to the MSIX.</p>	<p>Because the staff noted in this finding are employees of a subgrantee rather than employees of the Department, it will be necessary to work closely with the subgrantee(s) to ensure that level 2 screenings occur. Appropriate staff within the Department will continue to explore solutions to this issue.</p>	<p>The Department is continuing to strengthen existing controls to resolve this finding.</p>	<p>March 2017 Sonya G. Morris Bureau of Federal Educational Programs</p>
<p>Certain security controls for the No Child Left Behind (NCLB) Monitoring System need improvement to ensure the continued confidentiality, integrity, and availability of NCLB Monitoring System data and related information technology resources.</p>	<p>We recommend that Department management strengthen security controls related to user authentication, logging and monitoring, and protection of confidential and exempt data to ensure the continued confidentiality, integrity, and availability of NCLB Monitoring System data and related IT resources.</p>	<p>The Department will continue efforts to strengthen security controls related to user authentication and the protection of confidential and exempt data to ensure confidentiality and integrity of the NCLB Monitoring System is sustained.</p>	<p>The Department is continuing to strengthen existing controls to resolve this finding.</p>	<p>June 2017 Sonya G. Morris Bureau of Federal Educational Programs</p>
<p>The Department had not established written policies and procedures to ensure that monitoring of Mentoring - Student Assistance Initiatives grants was appropriately performed and</p>	<p>We recommend that Department management continue efforts to establish mentoring grant monitoring policies and procedures. Such policies and procedures should incorporate a mechanism to identify which grantees</p>	<p>The Department has begun drafting a written monitoring process based on the current monitoring activities performed by the program office. These written procedures will be completed by June 30, 2016, and will provide a mechanism to identify which grantees to monitor</p>	<p>The program office drafted a monitoring process for the Mentoring and Student Assistance state-funded grants. The process is in the review stage.</p>	<p>Sept. 30, 2016 Ive Vintimilla 850 245-0852</p>

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documented.	to monitor and how often monitoring should be performed, as well as specify the manner in which the Department's monitoring activities are to be conducted and documented.	and how often monitoring will be performed. The procedures will also specify the manner in which the monitoring activities will be conducted and documented.		
The Department did not always timely review educational institutions' Florida Educational Equity Act annual equity plan updates.	We recommend that Department management ensure that educational institution equity plan update reviews are timely conducted so that the results can be timely communicated to educational institution management.	<p>Management within the Division of Florida Colleges (DFC) is implementing the following:</p> <ul style="list-style-type: none"> • The report guidelines issued by the DFC to the 28 college institutions are being revised. The anticipated result will be more concise college equity plan update reports produced by each college, resulting in targeted and timelier reviews. • College Equity Plan Update Reports will continue to be due to the DFC by April 30 annually. • DFC internal processes will be evaluated for purposes of streamlining the report review process. • The DFC will maintain a goal of providing a report review to each college by October 31. To meet this goal, the DFC will establish a schedule of completing all reports by October 31. <p>In addition, the Office of Equal Educational</p>	<p>Since February the DFC has made substantial changes to the equity plan updates required of the Florida College System institutions. These reports were modified to ensure compliance to state and federal laws and rules, and provide colleges electronic submission options.</p> <p>The streamlined process ensures all colleges will have their equity plan updates reviewed and feedback provided in a timely manner with the recommended October 31 schedule. This timeline ensures that colleges are able to effectively execute any division recommendations.</p>	<p>October 31, 2016 Alexander Anderson (850) 245-9455</p>

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		<p>Opportunity (OEE) has worked to streamline the process of submitting responses to district equity updates. The office reviews the information requests each year, and has streamlined the format for responding to the updates. OEE has also looked at how it provides ongoing technical assistance to the districts, especially newly appointed equity coordinators, regarding the information required for compliance with the FEEA requirements.</p> <p>For the 2014-15 equity updates, OEE has implemented a revised process to allow for more efficiency, make the workload manageable for the staff in the office, and provide timely feedback to districts. The revised process includes:</p> <ul style="list-style-type: none"> • Early contact with districts that did not submit updates, or submitted incomplete or inaccurate updates; • Ongoing individual assistance for districts that still need to complete or correct their updates; • Streamlining the format of OEE's response to equity updates to accelerate the process; • Conducting technical assistance training 	<p>OEE has closed out 2015 plans</p>	<p>Lydia Southwell (850) 245-9556</p>

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		<p>which includes sessions on the districts' equity updates and information required for the upcoming year.</p> <p>OEE0 was able to employ an administrative assistant to assist in facilitating the process.</p> <p>Timelines for OEE0 Responses to Equity Updates:</p> <p>Using this process, OEE0 expects to complete all responses to 2014-15 equity updates by March 15, 2016.</p> <p>Starting with the 2015-16 equity updates, OEE0 will utilize the following process:</p> <ul style="list-style-type: none"> • Continue the 2014-15 process, in addition to the following: <ul style="list-style-type: none"> o Prepare and mail out responses to districts that require corrective actions, with information to let the district know what type of corrective actions are required and the documents that need to be submitted as evidence. o Districts that submit all required 	<p>Technical Assistance was conducted Fall 2015 and is scheduled again for Fall of 2016.</p> <p>The responses to district was completed by March 2016.</p> <p>In progress</p>	

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		<p>information and meet their goals will be notified by email that equity update requirements have been met, and no further submissions are required until the next reporting cycle.</p> <ul style="list-style-type: none"> o The on-site equity compliance reviews will start in March to allow for completion of the equity update before getting ready for the on-site reviews and writing on-site reports. <p>These steps will allow OEE0 to give timely feedback within the outlined timeframe.</p> <p>August 2016: Receive equity updates and review for completion and accuracy. Then begin contacting districts with incomplete or late plans. Begin preparing responses to updates. Ongoing communication and technical assistance is offered to district equity coordinators throughout the review process.</p> <p>September 2016: Complete contacting all districts with late or incomplete equity updates to provide technical assistance. Begin submitting responses to districts.</p>	<p>In progress</p> <p>In progress</p> <p>In progress</p> <p>In Progress</p> <p>In Progress</p>	<p></p> <p></p> <p></p> <p>August 2016</p> <p>September 2016</p>

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		<p>October 2016: Complete and submit responses to all districts that submitted complete and timely updates. Conduct technical assistance training workshop for all district equity officers.</p> <p>December 2016: Complete reviews and submission of all responses to 2015-16 equity updates.</p> <p>The above timeframe will be used for providing responses to equity updates going forward. OEEO strives for continuous improvement in all its functions.</p>	<p>In Progress</p>	<p>October 2016</p> <p>December 2016</p>