

**PERKINS LOCAL PLAN
FUNDING GUIDELINES
TITLE I**

**CARL D. PERKINS
CAREER AND TECHNICAL EDUCATION
IMPROVEMENT ACT OF 2006
P.L. 109-270**

Effective July 1, 2008 – June 30, 2013

**PENNSYLVANIA DEPARTMENT OF EDUCATION
BUREAU OF CAREER AND TECHNICAL EDUCATION**



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GENERAL PROGRAM PROVISIONS

Introduction

A. Legislative Background

By completing the reauthorization of the “Carl D. Perkins Career and Technical Education Improvement Act of 2006”, Congress showed its overwhelming support for career and technical education programs across the country. Throughout the legislative process, members of Congress emphasized the importance of high quality CTE programs that prepares students to be successful in further education and careers. Congress wants the new Perkins Act to go further than ever before to improve CTE programs and provide for new innovation at the state and local levels.

The new Act authorizes the legislation through Fiscal Year 2012, for a total of six years. While the bulk of the law is very similar to the 1998 Perkins Act, there are some significant changes in content and focus. Several themes are evident throughout-accountability for results and program improvement at all levels, increased coordination within the CTE system, stronger academic and technical integration, connections between secondary and postsecondary education and links to business and industry.

B. Purposes of the Perkins Act of 2006

The purpose of this Act is to develop more fully the academic and career and technical skills of secondary education students and postsecondary education students who elect to enroll in career and technical education programs, by –

- Building on the efforts of states and localities to develop challenging academic and technical standards and to assist students in meeting such standards, including preparation for high-priority, high-skill, high-wage or high-demand occupations in current or emerging professions;
- Promoting the development of services and activities that integrate rigorous and challenging academic and career and technical instruction, and that link secondary education and postsecondary education for participating career and technical education students;
- Increasing state and local flexibility in providing services and activities designed to develop, implement and improve career and technical education, including tech prep education;
- Conducting and disseminating national research and disseminating information on best practices that improve career and technical education programs, services, and activities;

- Providing technical assistance that promotes leadership, initial preparation and professional development at the State and local levels; and that improves the quality of career and technical education teachers, faculty, administrators and counselors;
- Supporting partnerships among secondary schools, postsecondary institutions, baccalaureate degree granting institutions, area career and technical education schools, local workforce investment boards, business and industry and intermediaries;
- Providing individuals with opportunities throughout their lifetimes to develop, in conjunction with other education and training programs, the knowledge and skills needed to keep the United States competitive.

C. Alignment with Pennsylvania Workforce Development Initiatives

Today Pennsylvania is at the leading edge of the U.S. movement to build a workforce system that is responsive and can meet the skill needs of employers, expand opportunity and security for workers and boost the competitive position of the business community. America's prosperity is dependent upon the strength of its workforce. With initiatives such as Job Ready PA, the Commonwealth has recognized the need to have workforce and economic development practitioners and the educational and training community work together to effectively and efficiently serve the needs of employees and employers. As stakeholders in the state's education system is committed to implementing an integrated and comprehensive workforce development agenda that is anchored in the creation of effective partnerships and training grants that are linked with key regional industries and labor markets.

To remain competitive in our 21st century economy, through multiple programs the Commonwealth is implementing bold initiatives that connect workforce development more tightly to employers' needs. By engaging businesses within targeted industry clusters – groups of industries closely linked by common product markets, labor pools, similar technologies, supplier chains and other economic ties — the Commonwealth is directly aligning the services of education and training institutions to where they are needed most.

http://www.pde.state.pa.us/career_edu/lib/career_edu/2006HPO-CIPCrosswalk.pdf

To align investments in workforce education and training programs to meet employer demand for jobs in industries vital to the stability and growth of Pennsylvania's economy, the Commonwealth has:

- Defined the state's Targeted Industry Clusters that have demonstrated the strongest potential for economic growth in the state.
- Identified jobs in demand within the clusters by employers that require advanced skills and provide family sustaining wages.
- Implemented education and training programs based on Pennsylvania Department of Labor and Industry's "High Priority Occupations" defined through data analysis, industry expert input, economic investments and input from regional employer-led initiatives.

With the critical need to make targeted investments in training and education, the Commonwealth is realigning existing resources to the areas defined as high-demand through the Commonwealth's industry-led strategies. Pennsylvania's workforce development system is aligning existing programs, including WIA, Employment Services, Trade and TANF to High Priority Occupations. In addition, specific steps are being taken in coordination with local Workforce Investment Boards to ensure more overall resources are put into skill development.

Applicants are encouraged to consider developments in the local Industry Partnerships. An initiative of Job Ready PA, Industry Partnerships brings together multiple employers and labor groups in the same industry cluster to address common or overlapping workforce needs. Industry Partnerships are guided by Pennsylvania's targeted industry clusters and high-priority occupations that provide good wages and benefits, have the greatest potential for economic growth and/or which face serious challenges to growth or retention. For more information visit www.paworkforce.state.pa.us, click Businesses, click Employers then click Industry Partnerships.

D. Federal and State Authority

General administrative regulations governing the Perkins Act are found in the Code of Federal Regulations (CFR) Parts 74, 76 and 80 known as the Education Department General Administrative Regulations (EDGAR). Part 74 covers the administrative requirements of grants and agreements with institutions of higher education and other nonprofit organizations. Part 76 covers general requirements for state-administered programs. Part 80 contains uniform administrative requirements for grants and cooperative agreements to state and local governments.

The Code of Federal Regulations (CFR) Section 76, Subpart D describes procedures for applying to the state for a sub-grant. Subpart E describes how the state is to make a sub-grant to an applicant.

Further, the Perkins Act, Section 134 (a) Local Application references the state role:

“Any eligible recipient desiring financial assistance under this part shall, in accordance with requirements established by the eligible agency (in consultation with such other educational training entities as the eligible agency determines to be appropriate) submit a local plan to the eligible agency. Such local plan shall cover the same period of time as the period of time applicable to the State plan submitted under Section 122.”

The Act goes on to indicate federal mandates for Perkins Local Plans. These guidelines are published under this authority and responsible to implement the Perkins Act.

Article I. Definitions

1. **Administration** – The term ‘administration,’ when used with respect to an eligible agency or eligible recipient, means activities necessary for the proper and efficient performance of the eligible agency or eligible recipient’s duties under this Act, including the supervision of such activities. Such term does not include curriculum development activities, personnel development or research activities.
2. **Adult Concentrator** – The term ‘adult concentrator’ means a student, who by the end of the reporting school year, was reported as having earned at least 50 percent of the minimum technical instructional hours required for Pennsylvania Department of Education program approval.
3. **Adult Participant** – The term ‘adult participant’ means a student, who by the end of the reporting school year, was reported as having earned at least 10 percent of the minimum technical instructional hours required for Pennsylvania Department of Education program approval.
4. **All Aspects of an Industry** – The term ‘all aspects of an industry’ means strong experience in, and comprehensive understanding of, the industry that the individual is preparing to enter, including information as described in Section 118.
5. **Area Career and Technical Education School (ACTES)** – The term ‘area career and technical education school’ means – a public school that provides vocational-technical education to secondary school students, out-of school youth and adults in a geographical area comprised and operated by one or more school districts and established under Sections 1840-1853 of the School Code (24 P.S. 18-1840-18-1853).
6. **Articulation Agreement** – The term ‘articulation agreement’ means a written commitment –
 - (A) that is agreed upon at the state level –
 - (i) a secondary institution and a postsecondary educational institution or
 - (ii) a sub-baccalaureate degree granting postsecondary educational institution and a baccalaureate degree granting postsecondary educational institution; and
 - (B) to a program that is –
 - (i) designed to provide students with a non-duplicative sequence of progressive achievement leading to technical skill proficiency, a credential, a certificate or a degree and
 - (ii) linked through credit transfer agreements between the two institutions described in clause (i) or (ii) of subparagraph (A) (as the case may be).
7. **Career and Technical Education** – The term ‘career and technical education’ means organized educational activities that –
 - (A) Offer a sequence of courses that –

- (i) provides individuals with coherent and rigorous content aligned with challenging academic standards and relevant technical knowledge and skills needed to prepare for further education and careers in current or emerging professions.
 - (ii) provides technical skill proficiency, and industry-recognized credential, a certificate or an associate degree and
 - (iii) may include prerequisite courses (other than a remedial courses) that meet the requirements of this subparagraph; and
- (B) includes competency-based applied learning that contributes to the academic knowledge, higher-order reasoning and problem-solving skills, work attitudes, general employability skills, technical skills, occupation-specific skills, and knowledge of all aspects of an industry, including entrepreneurship, of an individual.
- 6. Career and Technical Student Organization –**
- (A) In General – The term ‘career and technical student organization’ means an organization for individuals enrolled in a career and technical education program that engages in career and technical education activities as an integral part of the instructional program.
- (B) State and National Units – The term ‘state and national units’ means an organization described in subparagraph (A) may have state and national units that aggregate the work and purposes of instruction in career and technical education at the local level.
- 7. Career Guidance and Academic Counseling –** The term ‘career guidance and academic counseling’ means guidance and counseling that –
- (A) provides access for students (and parents, as appropriate) to information regarding career awareness and planning with respect to an individual’s occupational and academic future and
- (B) provides information with respect to career options, financial aid and postsecondary options, including baccalaureate degree programs.
- 8. Charter Schools –** The term ‘charter school’ has the meaning given the term in Section 5210 of the Elementary and Secondary Education Act of 1965.
- 9. Comprehensive Career and Technical Education Schools –** The term ‘comprehensive career and technical education schools’ are schools that offer comprehensive full-time approved programs where students receive both basic and career and technical education. CTES’ that serve students from multiple school districts are governed by boards composed of school board members from participating school districts. Each board employs a director to manage the operations of the school. Each member school district pays a share of the cost in the operation of the CTES’.
- 10. Cooperative Education –** The term ‘cooperative education’ means a method of education for individuals who, through written cooperative arrangements between a

school and employers, receive instruction, including required rigorous and challenging academic courses and related career and technical education instruction. Alternation of study in school with a job in any occupational field –

- (A) shall be planned and supervised by the school and employer so that each contributes to the education and employability of the individual and
- (B) may include an arrangement in which work periods and school attendance may be on alternate half days, full days, weeks or other periods of time in fulfilling the cooperative program.

- 11. Displaced Homemaker** – The term ‘displaced homemaker’ means an individual who
 - (A)(i) has primary, without remuneration, care for a home and family, and for that reason has diminished marketable skills;
 - (ii) has been dependent on the income of another family member but is no longer supported by that income; or
 - (iii) is a parent whose youngest dependent child will become ineligible to receive assistance under Part A of Title IV of the Social Security Act (42 U.S.C. 601 et seq.) not later than two years after the date on which the parent applies for assistance under such title; and
 - (B) is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment.

- 12. Dual Enrollment** – The term ‘dual enrollment’ means articulated programs that allow students to earn college credits and fulfill high school requirements at the same time.

- 13. Educational Service Agency** – The term ‘educational service agency’ has the meaning given the term in Section 9101 of the Elementary and Secondary Education Act of 1965.

- 14. Eligible Agency** – The term ‘eligible agency’ means a State board designated or created consistent with State law as the sole state agency responsible for the administration of career and technical education in the state or for the supervision of the administration of career and technical education in the state.

- 15. Eligible Institution** – The term ‘eligible institution’ means –
 - (A) a public or nonprofit private institution of higher education that offers a scope sequence of career and technical education courses that lead to technical skill proficiency, an industry-recognized credential, a certificate or a degree;
 - (B) a local educational agency providing education at the postsecondary level;
 - (C) an area career and technical education school providing education at the postsecondary level;
 - (D) a postsecondary educational institution controlled by the Bureau of Indian Affairs or operated by, or on behalf of, any Indian tribe that is eligible to contract with the Secretary of the Interior for the administration of programs under the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450 et seq.) or the Act of April 16, 1934 (25 U.S.C. 452 et seq.);

- (E) an educational service agency or
 - (F) a consortium of two or more of the entities described in subparagraphs (A) through (E).
- 16. Eligible Recipient** – The term ‘eligible recipient’ means –
- (A) a local educational agency (including a public charter school that operates as a local educational agency) an area career and technical education school, an educational service agency, or a consortium, eligible to receive assistance under Section 131 or
 - (B) an eligible institution or consortium of eligible institutions eligible to receive assistance under Section 132.
- 17. Governor** – The term ‘Governor’ means the chief executive officer of a State.
- 18. High Demand Occupation** – The term ‘high demand occupation’ is a commonly used term to define occupations that are growing in numbers due to the demand or growth of the labor market or that have a significant amount of openings due to attrition in the occupation. In many cases, high demand occupations do not take into account wages and/or skill levels.
- 19. High Priority Occupations** – The term ‘high priority occupations’ are defined as job categories that are in demand by employers, have higher skill needs and are most likely to provide family sustaining wages. “High Priority” Occupations is a strategic process used by Pennsylvania to identify occupations to which workforce education and training dollars are targeted. To assist schools in identifying high priority occupations associated with each classification of instructional program (CIP) area, a SOC/CIP crosswalk has been developed. For more information on high priority occupations visit www.paworkforce.state.pa.us, click Businesses and Employers, click Industry Partnerships.
- 20. Individual with Limited English Proficiency** – The term ‘individual with limited English proficiency’ means a secondary school student, an adult or an out-of-school youth, who has limited ability in speaking, reading, writing or understanding the English language, and –
- (A) whose native language is a language other than English; or
 - (B) who lies in a family or community environment in which a language other than English is the dominant language.
- 21. Individual with a Disability** –
- (A) In General – The term ‘individual with a disability’ means an individual with any disability (as defined in Section 3 of the Americans with Disabilities Act or 1990 (42 U.S.C. 12102)).
 - (B) Individuals with Disabilities – The term ‘individuals with disabilities’ means more than one individual with a disability.

22. **Institution of Higher Education** – The term ‘institution of higher education’ has the meaning given the term in Section 101 of the Higher Education Act of 1965.
23. **Local Educational Agency** – The term ‘local educational agency’ has the meaning given the term in Section 9101 of the Elementary and Secondary Education Act of 1965.
24. **Non-Traditional Fields** – The term ‘non-traditional fields’ means occupations or fields of work, including careers in computer science, technology and other current and emerging high skill occupations, for which individuals from one gender comprise less than 25 percent of the individuals employed in each such occupation or field of work.
25. **Outlying Area** – The term ‘outlying area’ means the United States Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands and the Republic of Palau.
26. **Pennsylvania Targeted Industry Clusters** – The term ‘Pennsylvania Targeted Industry Clusters’ refers to The Departments of Labor and Industry, Community and Economic Development, and Education identified nine targeted industry clusters in which Pennsylvania has a competitive advantage and the potential for long-term economic growth. These clusters serve as the basis for industry-driven workforce development. The Departments are re-examining the current clusters to recognize emerging fields and industries. Direct link to Targeted Industry Clusters:
<http://www.paworkstats.state.pa.us/gsipub/index.asp?docid=407&employersNav=>
27. **Postsecondary Educational Institution** – The term ‘postsecondary educational institution’ means –
 - (A) an institution of higher education that provides not less than a two-year program of instruction that is acceptable for credit toward a bachelor’s degree;
 - (B) a tribally controlled college or university or
 - (C) a nonprofit educational institution offering certificate or apprenticeship programs at the postsecondary level.
28. **Postsecondary Concentrator** – A postsecondary student, who by the end of the reporting school year, was reported as having been enrolled in an approved occupational program and completed at least 12 academic or CTE credits within a single program area sequence that is comprised of 12 or more academic and technical credits and terminates in the award of an industry-recognized credential, a certificate or a degree.
29. **Postsecondary Participant** – A postsecondary student, who by the end of the reporting school year, was reported as having earned more than one (1), but less than twelve (12), academic or CTE credits required by an approved occupational program.
30. **Postsecondary Tech Prep Completer** – Refer to Tech Prep Guidelines

31. **Postsecondary Tech Prep Student** – Refer to Tech Prep Guidelines
32. **Programs of Study** – The term ‘Programs of Study’ incorporate secondary education and postsecondary education elements; include coherent and rigorous content aligned with challenging academic standards and relevant career and technical content in a coordinated, non-duplicative progression of courses that align secondary and postsecondary education to adequately prepare students to succeed in postsecondary education; may include the opportunity for secondary students to participate in dual or concurrent enrollment programs or acquire postsecondary credit in other ways and lead to an industry-recognized credential or certificate at the postsecondary level, or an associate or baccalaureate degree.
33. **School Dropout** – The term ‘school dropout’ means a student who, for any other reason than death, leaves school before graduation without transferring to another school/institution. www.pde.state.pa.us/k12statistics/cwp/view.asp?a=3&q=112801
34. **Scientifically Based Research** – The term ‘scientifically based research’ means research that is carried out using scientifically based research standards, as defined in Section 102 of the Education Sciences Reform Act of 2992 (20 U.S.C. 9501).
35. **Secondary Completer** – A “secondary CTE concentrator” who has (1) completed all competencies necessary to achieve his/her career objective, (2) completed a PDE approved occupational end-of-program assessment and (3) attained a high school diploma or equivalent. (State budget definition)
36. **Secondary Concentrator** – A student, who by the end of the reporting school year, was reported as having earned at least 50 percent of the minimum technical instructional hours required for Pennsylvania Department of Education program approval.
37. **Secondary Participant** – A student, who by the end of the reporting school year, was reported as having earned at least 10 percent of the minimum technical instructional hours required for Pennsylvania Department of Education program approval.
38. **Secondary Tech Prep Completer**-Refer to Tech Prep Guidelines
39. **Secondary Tech Prep Student** – Refer to Tech Prep Guidelines
40. **Secondary School** – The term ‘secondary school’ has the meaning given the term in Section 9101 of the Elementary and Secondary Education Act of 1965.
41. **Secretary** – The term ‘Secretary’ means the Secretary of Education.
42. **Special Populations** – The term ‘special populations’ means –
(A) individuals with disabilities;

- (B) individuals from economically disadvantaged families, including foster children;
 - (C) individuals preparing for non-traditional fields;
 - (D) single parents, including single pregnant women
 - (E) displaced homemakers and
 - (F) individuals with limited English proficiency.
- 43. State** – The term ‘State’, unless otherwise specified, means each of the several states of the United States, the District of Columbia, the Commonwealth of Puerto Rico and each outlying area.
- 44. Support Services** – The term ‘support services’ means services related to curriculum modification, equipment modification, classroom modification, supportive personnel and instructional aids and devices.
- 45. Tech Prep Program** – The term ‘tech prep program’ means a tech prep program described in Section 203(c).
- 46. Tribally Controlled College or University** – The term ‘tribally controlled college or university’ has the meaning given the term in Section 2(a) of the Tribally Controlled College or University Assistance Act of 1978 [25 U.S.C. 1801(a)].
- 47. Tribally Controlled Postsecondary Career and Technical Institution** – The term ‘tribally controlled postsecondary career and technical institution’ means an institution of higher education (as defined in Section 101 of the Higher Education Act of 1965, except that subsection (a)(2) of such section shall not be deemed to refer to the Secretary of the Interior) that –
- (A) is formally controlled, or has been formally sanctioned or chartered, by the governing body of an Indian tribe or Indian tribes.
 - (B) offers a technical degree or certificate granting program.
 - (C) is governed by a board of directors or trustees, a majority of whom are Indians;
 - (D) demonstrates adherence to stated goals, a philosophy or a plan of operation, that fosters individual Indian economic and self-sufficiency opportunity, including programs that are appropriate to stated tribal goals of developing individual entrepreneurships and self-sustaining economic infrastructures on reservations;
 - (E) has been in operation for at least three years;
 - (F) holds accreditation with or is a candidate for accreditation by a nationally recognized accrediting authority for postsecondary career and technical education; and
 - (G) enrolls the full-time equivalent of not less than 100 students, of whom a majority are Indians.
- F. Best Practices** – PDE is required to disseminate LEA evidence based “Best Practices” in order to assist in the improvement of CTE programs by replicating model programs. The purpose of evidence based “Best Practices” is to develop, improve and identify the most successful methods and techniques for providing CTE programs supported by Perkins

ACT. Funded programs are requested to submit local evidence based “Best Practices” to PDE’s “Best Practices” Website.

[www.pde.state.pa.us/career_edu/cwp/view.asp?a=270&Q=71606&career_eduNav=\[3634\]&career_eduNav=\[3842\]](http://www.pde.state.pa.us/career_edu/cwp/view.asp?a=270&Q=71606&career_eduNav=[3634]&career_eduNav=[3842])

Key Program Components

A. Requirements for Uses of Funds

The Carl D. Perkins Career and Technical Education Improvement Act of 2006, has amended and added new language to the Required Uses of Funds. Secondary/postsecondary and adult programs must spend federal, state and local dollars in the areas defined under the “Requirements for Uses of Funds” to improve and enhance the delivery of services to students in CTE programs. The nine, newly defined, Required Uses of Funds are listed on page 21 of this local plan guide.

B. Distribution of Funds to Secondary Programs

It is a legislative requirement that federal resources be concentrated in amounts sufficient to bring about measurable improvement. A secondary LEA must qualify for a grant of at least \$15,000 under the formula to receive an allocation, or enter a consortium that meets the minimum allocation requirement. Funds allocated to consortia must be used only for purposes and programs that are mutually beneficial to all members of the consortium.

C. Allocation to Area CTE Centers

When an Area Career and Technical Education (CTE) Center has joined with an LEA (sending school) in a consortium or cooperative agreement, the state will distribute the funds from the qualifying LEA (sending school) to the area CTE center. The amount to be distributed to the area CTE center will be based on the relative share (enrollments) of students participating in approved CTE programs and current census data of students in poverty, ages 5-17, by local school district. Thus, the money “follows” the students to the institution at which they are participating in CTE programs.

Any consortia formed must comply with the requirements of Section 135 (Local Uses of Funds) and operate programs of sufficient size, scope and quality to impact a program improvement change which benefits all members of the consortium.

D. Distribution of Funds to Postsecondary and Adult Programs

The 2006 Act uses the same postsecondary within state distribution formula as the 1998 Act, basing the allocation solely on the number of students receiving federal Pell grants.

An eligible institution must qualify for a grant of at least \$50,000 to receive an allocation, or join a consortium that qualifies for the minimum amount.

As in the secondary program, any consortia formed must operate programs of sufficient size, scope and quality to improve CTE programs for all members of the consortium.

E. Accreditation Required for Postsecondary Allocations

In order for any institution to receive a postsecondary allocation, current accreditation by an appropriately recognized accrediting body is required. Allocations and authorization to expend Perkins funds will be suspended for any period for which accreditation is not in effect.

F. Consortia Changes (Secondary and Postsecondary)

Any recommended changes to current consortia must be submitted in writing with a justification to PDE no later than March 1st. PDE will approve, or disapprove, prior to the release of current year allocations. This provision will insure funds will be allocated to existing consortia in a timely manner in order to maintain the integrity of local planning efforts.

G. Local Negotiation of Performance Indicators

Pennsylvania is expected to conduct negotiations with local eligible recipients on levels of performance for the eight secondary indicators and six postsecondary/adult indicators. For three of these indicators (1S1, 2S1 and 4S1) the performance levels are already established under NCLB and no negotiations will be conducted.

The negotiations will be based on each recipient's previous performance that will establish their baseline. The baseline will be the most recent validated data when available. **When such data is not available the baseline will be the same as the state baseline.**

When presented with their data and an established baseline, the eligible recipient will be given an opportunity to demonstrate adequate continuous yearly improvement.

H. Compliance Monitoring

Compliance monitoring of Perkins Local Plan activities is the responsibility of both the local agency and the Pennsylvania Department of Education.

Local monitoring is accomplished through the involvement of the Participatory Planning Committee (PPC) as they review performance data and update the local plan annually to meet negotiated levels of performance on all federally required indicators. In addition, a "Perkins Local Plan Final Performance Report" is required annually addressing the "Required Uses of Funds", to implement the local plan and report on all performance improvement indicators as listed:

Annually, 20 percent of the underperforming Perkins funded recipients will be selected for on-site compliance technical assistance visits based on the following criteria: most recent validated performance data putting the program at risk of non-compliance with Perkins performance measures as identified in the FAUPL; mismanagement of the plan as evidenced by guideline violations in regards to timely submission of the annual application, performance assessment, program data and fiscal reporting.

CHART A**Perkins IV Required Indicators****Perkins III Comparable Indicators****Secondary Level – 8 Indicators**

1S1	Academic Attainment – Reading/Language Arts	1S1
1S2	Academic Attainment – Mathematics	1S1
2S1	Technical Skill Attainment	1S2
3S1	Secondary Students Attainment	2S1
4S1	Student Graduation Rates	2S1
5S1	Secondary Placement	3S1
6S1	Nontraditional Participation	4S1
6S2	Nontraditional Completion	4S2

Postsecondary/Adult Level – 6 Indicators

1P1	Technical Skill Attainment	1P2
2P1	Credential, Certificate or Degree	2P1
3P1	Student Retention and Transfer	3P1 Education
4P1	Student Placement	3P1 Employment and Military
5P1	Nontraditional Participation	4P1
5P2	Nontraditional Completion	4P2

PDE compliance monitoring (Appendix B) will address all performance improvement efforts based on negotiated levels of performance for the required secondary and postsecondary/adult indicators listed above.

The on-site compliance review will address secondary/postsecondary/adult program local plan implementation of the required nine “Required Uses of Funds”, under Perkins IV. PDE regional staff will prepare a written report containing recommendations for improvement to achieve compliance and to assist the secondary/postsecondary/adult program to effectively manage the local plan.

Technical assistance to assist secondary/postsecondary/adult program not meeting negotiated levels of performance will be developed and maintained until improvement occurs.

I. Professional Development (NOTE: for any deficiencies documented during on-site PDE reviews and/or lack of continuous improvement as evidenced by performance data, Professional Development activities sponsored by BCTE must be attended and documentation of attendance submitted on annual performance report due August 31st. (Appendix A)

The professional development programs include providing comprehensive professional development (including initial teacher preparation) for career and technical education teachers, faculty, administrators and career guidance and academic counselors at the secondary and postsecondary levels, that support activities described in Section 122 and –

- (A) provide in-service and pre-service training in career and technical education programs –
 - (i) on effective integration and use of challenging academic and career and technical education provided jointly with academic teachers to the extent practicable;
 - (ii) on effective teaching skills based on research that includes promising practices;
 - (iii) on effective practices to improve parental and community involvement and
 - (iv) on effective use of scientifically based research and data to improve instructions;
- (B) are high quality, sustained, intensive and classroom-focused in order to have a positive and lasting impact on classroom instruction and the teacher’s performance in the classroom, and are not one-day or short-term workshops or conferences;
- (C) will help teachers and personnel to improve student achievement in order to meet the state adjusted levels of performance established under Section 113;
- (D) will support education programs for teachers of career and technical education in public schools and other public school personnel who are involved in the direct delivery of educational services to career and technical education students to ensure that teachers and personnel –
 - (i) stay current with the needs expectations, and methods of industry;
 - (ii) can effectively develop rigorous and challenging, integrated academic and career and technical education curricula jointly with academic teachers, to the extent practicable;
 - (iii) develop a higher level of academic and industry knowledge and skill in career and technical education and
 - (iv) effectively use applied learning that contributes to the academic and career and technical knowledge of the student and
- (E) are coordinated with the teacher certification or licensing and professional development activities that the State carries out under Title II of the Elementary and Secondary Education Act of 1965 and Title II of the Higher Education Act of 1965.

J. State Required Technical Assistance

The Bureau of Career and Technical Education (BCTE) requires that there is great diversity in the populations of students involved in career and technical education throughout the Commonwealth. With this in mind, it is incumbent upon the Bureau to identify and provide assistance to school districts, career and technical education centers and postsecondary institutions that are having difficulties in meeting negotiated local performance levels to

enable the educational entities to accomplish the state established and local negotiated levels of performance.

The Perkins Regional Coordinators will identify the secondary and postsecondary institutions in their region that have not met local negotiated levels of performance. This performance information will be shared with members of BCTE's Division of Program Standards and Quality Assurances and the Professional Development and Support Services Division to monitor technical assistance needs and develop a process to implement program improvements.

Please review the Professional Development Center guidelines for more information on services provided to secondary programs.

Postsecondary programs will work directly with BCTE and the Office of Postsecondary and Higher Education to obtain technical assistance and support to improve occupational programs.

K. Local Program Improvement Plans

PDE will annually evaluate each local program based on their performance on negotiated performance indicators as indicated on Chart A, on page 13. If the local recipient fails to meet at least 90 percent of an agreed upon performance level for any of the indicators, the local recipient will have to develop and implement an improvement plan, with special consideration to performance gaps between population subgroups.

This plan must be developed in consultation with PDE/BCTE and implemented during the first program year after the year the performance level was not met. PDE/BCTE will work with the local recipient to implement improvement activities and provide technical assistance. Any required "Improvement Plan" will be documented in the Local Plan eGrant system.

L. Local Sanctions

1. The state may withhold all or a portion of a local recipient's funding if:
 - (A) The recipient fails to implement an improvement plan.
 - (B) The recipient fails to make any improvement in meeting performance levels within the first program year of implementation of the improvement plan.
 - (C) The recipient fails to meet at least 90 percent of an agreed upon state adjusted level of performance for three consecutive years. [Section 123(b)(4)(A)]
2. The state shall use withheld funds to provide (through alternate arrangements) services and activities to students within the area served by the local recipient in order to meet the purposes of the Act. [Section 123(b)(5)]

Section 134 – Local Plan for Career and Technical Education Programs

- A. 134(a) – Local Plan Requirement** – A five year local plan application will need to be submitted in 2008-2009, with annual updates to the local plan; this will reduce the documentation required, as changes to performance objectives, budget detail and action plans will be addressed in yearly Participatory Planning Committee minutes.
- B. 134(b)-Local Plan Contents** – The eligible agency shall determine the requirements for local plans, except that each local plan shall –
1. describe how the career and technical education programs required under Section 135(b) will be carried out with funds received under this title;
 2. describe how the career and technical education activities will be carried out with respect to meeting state and local adjusted levels of performance established under Section 113;
 3. describe how the eligible recipient will –
 - (A) offer the appropriate courses of not less than one of the approved career and technical Programs of Study. See Programs of Study definition in the Definitions section.
 - (B) improve the academic and technical skills of students participating in career and technical education programs by strengthening the academic and career and technical education components of such programs through the integration of coherent and rigorous content aligned with challenging academic standards and relevant career and technical education programs to ensure learning in –
 - (i) the core academic subjects (as defined in Section 9101 of the Elementary and Secondary Education Act of 1965); and
 - (ii) career and technical education subjects;
 - (C) provide students with strong experience in, and understanding of, all aspects of an industry;
 - (D) encourage applicants to consider development of local Industry Partnerships. An initiative of Job Ready PA, Industry Partnerships brings together multiple employers and labor groups in the same industry cluster to address common or overlapping workforce needs. Industry Partnerships are guided by Pennsylvania’s targeted industry clusters and high-priority occupations that provide good wages and benefits;
 - (E) ensure that students who participate in such career and technical education programs are taught to the same coherent and rigorous content aligned with challenging academic standards as are taught to all other students and
 - (F) encourage career and technical education students at the secondary level to enroll in rigorous and challenging courses in core academic subjects (as defined in Section 9101 of the Elementary and Secondary Education Act of 1965);
 4. describe how comprehensive professional development (including initial teacher preparation) for career and technical education, academic, guidance and administrative personnel will be provided that promotes the integration of coherent and rigorous content

aligned with challenging academic standards and relevant career and technical education (including curriculum development);

5. describe how parents, students, academic and career and technical education teachers, faculty, administrators, career guidance and academic counselors, nontraditional program representatives, representatives of tech prep consortia (if applicable), representatives of business (including small business) and industry, members of local Workforce Investment Boards (WIBs), labor organizations, representatives of special populations and other interested individuals are involved in the development, implementation and evaluation of career and technical education programs assisted under this title, and how such individuals and entities are effectively informed about, and assisted in understanding, the requirements of this title, including career and technical Programs of Study;
6. provide assurances that the eligible recipient will provide a career and technical education program that is of such size, scope and quality to bring about improvement in the quality of career and technical education programs;
7. describe the process that will be used to evaluate and continuously improve the performance of eligible recipient;
8. describe how the eligible recipient will –
 - (A) review career and technical education programs, and identify and adopt strategies to overcome barriers that result in lowering rates of access to or lowering success in the programs, for special populations;
 - (B) provide programs that are designed to enable the special populations to meet the local adjusted levels of performance and
 - (C) provide activities to prepare special populations, including single parents and displaced homemakers, for high-priority, high-skill, high-wage or high-demand occupations that will lead to self-sufficiency;
9. describe how individuals who are members of special populations will not be discriminated against on the basis of their status as members of the special populations;
10. describe how funds will be used to promote preparation for non-traditional fields;
11. describe how career guidance and academic counseling will be provided to career and technical education students, including linkages to future education and training opportunities and
12. describe efforts to improve –
 - (A) the recruitment and retention of career and technical education teachers, faculty and career guidance and academic counselors, including individuals in groups underrepresented in the teaching profession and
 - (B) the transition to teaching from business and industry.

C. Local Plan Application Procedures

(ANNUAL DEADLINE FOR ACCEPTING LOCAL PLAN APPLICATIONS IS AUGUST 31st)

1. Only an authorized representative of the fiscal agent will be permitted to complete a local plan application. **Please contact the Perkins State Coordinator to get authorization to view, enter information or submit the local plan and yearly Perkins Performance Report.**
2. A complete application is accomplished by following the menu on the eGrant system. All sections will need to be completed before a secondary/postsecondary institution will be able to “submit” the local plan to PDE. Once the local plan is submitted and reviewed by BCTE staff, the local plan will be given “**Substantial Approval,**” and the applicant will be notified automatically via the eGrant e-mail system to print out the contract (**Rider M**), obtain appropriate signatures and send to: **Perkins Office, Bureau of Career and Technical Education, 333 Market Street, 11th Floor, Harrisburg, PA 17126-0333.** In addition, the previous year **Perkins Performance Report** must be submitted online via the eGrant system prior to PDE granting “**Final Approval**” to disburse funds to the LEA.
3. **To obtain “Substantial Approval”, with a start date of July 1 annually, please submit your local plan by June 15th. Perkins funds cannot be utilized without “Substantial Approval” status being granted by PDE staff.**
4. **The yearly Performance Report is due on/or before August 31st. Failure to submit all required documentation on time could delay the disbursement of allocated funds.**
5. An LEA unable to use the Internet to submit an application must appeal this requirement using the procedures described in these guidelines.

D. Local Plan Revisions

During the operation of a Perkins Local Plan, changes in resources, enrollments, performance or other local developments may necessitate modification of the Perkins Local Plan. Substantive revisions to the Perkins Local Plan must involve action by the Participatory Planning Committee prior to revision being submitted for approval. The request for revisions must follow the procedures on the eGrant application. This feature will be available only after the original application is approved. The eGrant system will open for revisions January 15th and close April 30th.

E. Local Plan Appeal Procedures

1. Appeals and Disputes

Eligible recipients may appeal the allocation procedures and amounts awarded under Sections 131 and 132 of the Perkins Act, the disapproval of Perkins Local Plan applications

and other disputes regarding state and local decisions that influence the character of programs under the *Carl D. Perkins Career and Technical Education Improvement Act of 2006*.

Appeals should be directed in writing to the appropriate Deputy Secretary – Diane Castelbuono, Deputy Secretary for Elementary and Secondary Education, or Dr. Kate Shaw, Deputy Secretary for Postsecondary and Higher Education, Pennsylvania Department of Education, 333 Market Street, Harrisburg, PA 17126-0333. The appeal must state the decision being appealed, the rationale for the appeal and the desired resolution. The appeal must be presented within thirty days from the date on which information about the disputed action was first communicated to the local agency.

The Pennsylvania Department of Education will attempt to resolve appeals through correspondence and telecommunication. In the event that resolution cannot be reached, an appeal hearing will take place within thirty days of the Pennsylvania Department of Education’s receipt of a written request for such a hearing. A written ruling will be issued no later than ten days after the hearing. If the eligible recipient is dissatisfied with the Pennsylvania Department of Education’s ruling, the next right of appeal is to the U.S. Secretary of Education. This right must be exercised within twenty days of the Pennsylvania Department of Education’s notification of the ruling.

2. Complaints

The Pennsylvania Department of Education shall investigate any written, signed complaint from any interested party that a sub-grantee has violated any part of the Act. If warranted, an on-site investigation shall be conducted and appropriate action shall be taken to bring the sub-grantee into compliance.

F. Local Plan Assurances

The regulatory requirements of the Perkins Act are implemented through assurances. Compliance with these assurances and documentation of compliance are conditions of approval of the Perkins Local Plan. Documentation must be relevant to and apply to all sites, or potential sites, covered by the Perkins Local Plan including all members of a consortium.

Secondary/postsecondary/adult institutions will file “2007-2008 Performance Report” (Appendix A) containing Assurances from the 2007-2008 Local Plan guide.

Required fiscal documentation is listed in the General Administrative Provisions.

G. Local Plan Participatory Planning Requirement

In empowering local agencies to manage their own program improvement, the Perkins Act places considerable responsibility on local stakeholders to monitor progress and make decisions on all aspects of the Perkins Local Plan. To facilitate local planning/monitoring, a Participatory Planning Committee (PPC) is required to work with the secondary/

postsecondary/adult institutions during the development, implementation and evaluation of the Perkins Local Plan. This Committee must remain active for the duration of the Perkins Local Plan, evaluating progress and discussing how the Perkins Local Plan may be utilized to improve performance. Further, the committee must be made up of individuals who are recognized as community and business leaders and can effectively contribute to improvement of programs for all members of the consortium.

H. Local Plan Action Plans

The Action Plan provides focus to the Local Plan, directs the use of federal funds and establishes the foundation for program and fiscal accountability. In the Action Plan section of the application, list the measurable activities to be performed in order to achieve each performance objective. List each activity separately and identify the amount of funds budgeted for each activity. Be certain that activities for which federal funds are budgeted are allowable as described in these guidelines. The Action Plan total dollar amount, minus any indirect costs, must be the same as the total amount of funds listed in the Budget Detail section of the local plan application.

I. Local Plan Program Evaluation

The 2006 Perkins Act continues to require recipients of Perkins funds to annually evaluate the effectiveness of projects, services and activities supported with federal funds by comparing local negotiated performance with state performance measures and standards. The State Board of Education has determined that the evaluation must include the following programs:

- all approved secondary career and technical education programs offered by a school district or CTC/AVTS;
- all approved postsecondary occupational programs at institutions receiving Perkins funds and
- all approved adult programs having occupational objectives.

Data available at the state level will be provided, and/or made available to each local eligible recipient.

J. Local Plan Annual Reporting Requirements

The Perkins Local Plan is data based to bring about improvement in the quality of CTE programs. The addition of state measures and standards to data collection procedures adds a comparative and qualitative dimension to evaluation. Perkins Local Plan fiscal agents, LEAs, postsecondary institutions as needed, must respond to PDE data requests with certified accurate data.

Annually, data collection on all required performance measures for both secondary (PIMS) and postsecondary/adult (PAAPSA), must be submitted on or before August 31st.

In addition to data reporting, an annual program Performance Report is required from each Perkins Local Plan fiscal agent. The purpose of this report is to demonstrate that a

self-evaluation has taken place to track progress toward achieving Perkins Local Plan objectives. Progress is tracked through documentation of Assurances, Expenditures and Narrative Report. The program Performance Report must be submitted annually via the e-Grant system prior to final approval of a new contract. “The Perkins Local Plan Performance Report,” is found in Appendix A.

K. Local Plan Relationship to Regional Workforce Investment Boards

Workforce Investment Boards (WIB) has been established throughout the state to coordinate workforce training within their regions. To facilitate their coordination, local agencies are encouraged to share a copy of the Local Plan with the respective regional board for review and comment, prior to being submitted to PDE. WIB member attendance at the annual Participatory Planning Meeting (PPC) is required.

If a Local Plan proposes the use of Perkins funds to establish a new training program, the program must receive endorsement by the appropriate board, as needed, to meet current or emerging workforce training needs within the region. A map of workforce development areas and other information about workforce investment boards may be obtained at www.paworkforce.state.pa.us.

L. Local Plan Activities and Uses of Funds

Secondary allocations are for secondary approved programs and for adult occupational programs in secondary institutions that are not “Pell eligible.” Secondary institutions, that are not included in a postsecondary plan, may use the secondary allocation in any adult occupational program including any which are Pell eligible. Postsecondary allocations are for postsecondary Pell eligible programs. **Funds may only be used for: secondary approved programs, which meet applicable State Board of Education 339 regulations governing Career and Technical Education programs; accredited postsecondary and adult occupational programs; or for services to students enrolled in such programs.** Within this context, funds are authorized for activities such as those listed below in Section 135(b), Required; 135(c), Permissive; and, Ineligible Uses of Funds.

135(b) Required Uses of Funds:

1. Strengthen the academic and career and technical skills of students participating in CTE programs through the integration of academics with CTE programs.
2. Link CTE at the secondary level and the postsecondary level by offering the relevant elements of not less than one Program of Study described in the Definitions section.
 - (A) Federal funding will be contingent on both secondary and postsecondary eligible recipients partnering and operating under a “statewide articulation agreement” as part of each eligible recipient’s Program(s) of Study.

3. Provide students with strong experience in and understanding of all aspects of an industry, which may include work-based learning experiences.
4. Develop, improve or expand the use of technology in CTE, which may include training to use technology, providing students with the skills needed to enter technology fields and encouraging schools to collaborate with technology industries to offer internships and mentoring programs.
5. Provide in-service and pre-service professional development programs to teachers, faculty, administrators and career guidance and academic counselors who are involved in integrated CTE programs, on topics including effective integration of academics and CTE, effective teaching skills based on research, effective practices to improve parental and community involvement, effective use of scientifically based research and data to improve instruction. Professional development should also ensure that teachers and personnel stay current with all aspects of an industry; involve internship programs that provide relevant business experience and train teachers in the effective use and application of technology.
6. Develop and implement evaluations of the CTE programs carried out with Perkins funds, including an assessment of how the needs of special populations are being met.
7. Initiate, improve, expand and modernize quality CTE programs, including relevant technology.
8. Provide services and activities that are of sufficient size, scope and quality to be effective.
9. Provide activities to prepare special populations, including single parents and displaced homemakers who are enrolled in CTE programs, for high-skill, high-wage or high-demand occupations that will lead to self-sufficiency.

135(c) Permissive Uses of Funds –

1. Involving parents, business and labor organizations, in the design, implementation and evaluation of CTE programs.
2. Providing career guidance and academic counseling, which may include information described in Section 118, for students participating in CTE programs that improve graduation rates and provide information on postsecondary and career options, and provide assistance for postsecondary students and adults.
3. Developing local education and business partnerships, including work-related experiences for students, adjunct faculty arrangements for qualified industry professionals and industry experience for teachers and faculty.
4. Providing programs for special populations.
5. Assisting career and technical student organizations.

6. Mentoring and support services.
7. Leasing, purchasing, upgrading or adapting equipment, including instructional aids and publications (including support for library resources) and technical skill achievement.
8. Preparing teacher programs that address the integration of academic and CTE and that assist individuals who are interested in becoming CTE teachers and faculty, including individuals with experience in business and industry.
9. Developing and expanding postsecondary program offerings at times and in formats that are accessible for all students, including through the use of distance education.
10. Developing initiatives that facilitate the transition of sub baccalaureate career and technical education students into baccalaureate degree programs, including articulation agreements, and dual enrollment programs, academic and financial aid counseling and other initiatives to overcome barriers and encourage enrollment and completion.
11. Providing activities to support entrepreneurship education and training.
12. Improving or developing new CTE courses, including the development of Programs of Study, for consideration by the state and courses that prepare individuals academically and technically for high-skill, high-wage or high-demand occupations and dual or concurrent enrollment opportunities.
13. Developing and supporting small, personalized career-themed learning communities.
14. Providing support for an approved family and consumer sciences programs.
15. Providing CTE programs for adults and school dropouts to complete secondary education or upgrade technical skills.
16. Providing assistance to individuals who have participated in services and activities under this Act in continuing their education or training or finding an appropriate job.
17. Supporting training and activities (such as mentoring and outreach) in nontraditional fields.
18. Providing support for training programs in automotive technologies.
19. Pooling a portion of such funds with a portion of funds available to other recipients for innovative initiatives.
20. Supporting other CTE activities consistent with the purpose of the Act.

21. Submitting Guideline Waivers for out-of-state travel must be approved in advance and are consistent with LEA performance improvement objectives as outlined in the Local Plan.

Ineligible Uses of Perkins Funds:

1. Remediation of students in CTE programs.
2. Furniture, except specially designed workstations, for supporting instructional equipment or processes.
3. Construct, renovate or remodel facilities.
4. Equipment or supplies not used directly to teach skills to students.
5. Administrative or supervisory salaries.
6. Salaries or wages paid to secretarial support staff.
7. Salaries or wages paid to students.
8. Administrative duties, such as preparing and managing the Perkins Plan.
9. Conference travel unrelated to career and technical education program improvement.
10. Out-of-state travel not directly related to program improvement activities outlined in the local plan.
11. Routine consumable supplies, except those required to provide additional services to special population students.
12. Instructional costs or tuition of either technical or academic courses used to meet graduation, degree or certificate requirements.
13. Costs of promotional items and memorabilia.
14. Costs of advertising and public relations designed to solely promote the LEA.

GENERAL ADMINISTRATIVE PROVISIONS

A. Contracts, Riders, Memoranda of Understanding and Sub-grant Agreements

1. Agreements for funding between the Pennsylvania Department of Education and the eligible recipient are in the form of a binding agreement. This agreement will be in the form of a Standard Contract, a Rider to a Master Agreement, a Memorandum of Understanding, or a Sub-grant Agreement, depending on the type of eligible recipient. The appropriate contract document will be made available for printing and signing when your application is reviewed and the Bureau reviewer assigns the effective start date. All school districts, career centers, intermediate units and most postsecondary institutions use a rider to the five-year master agreement.
2. Authorized signatures on agreements. The term “agreement” used below means any of the previous contract formats.

Type of Eligible Recipient	Authorized Signature
School District	Superintendent
AVTS/CTC	Director or Superintendent of Records
IU	Executive Director
Community College	President
SSHE University	President and others per MOU
State Agency	Secretary, Deputy Secretary or Designee
All other entities	President or Vice President and Board Secretary or Treasurer

3. Changes to the Standard Agreement language are not recommended. Any change will require the review and approval by PDE’s Chief Counsel and will cause delays in approving the contract.
4. The term of the project will appear on the Agreement when it is printed. The start date is determined by the date that the application is **“substantially approved” by PDE.**
5. After a complete review and approval by PDE and the Comptroller’s Office, an approved and fully executed Agreement will be returned to the eligible recipient.

B. Classification of Expenditures

Items requested are those required to implement the activities described in the Action Plan. Each application **MUST** contain an itemized budget of ALL planned expenditures with dollar amounts. Reimbursable costs are limited to the ELIGIBLE EXPENDITURES identified in these guidelines.

1. The budget is separated into various functions in accordance with the *Pennsylvania School Accounting Manual*. Not all functions are allowable budget categories for career and technical education projects. Below is a listing of the allowable functions and objects.
 - (a.) **Instructional (1000)** – Includes all activities dealing directly with the interaction between teachers or support personnel and students. It would also include some other approved medium such as television, radio, computers, correspondence or telephone.
 - (b.) **Pupil Personnel Services (2100)** – Activities associated with counseling students and parents, evaluating student abilities, career counseling, referral and placement assistance and support personnel providing assistance with these activities.
 - (c.) **Staff Support Services (2200)** – Activities associated with assisting, supporting and advising the instructional staff with, or on the content and process of, providing learning experiences for students. Staff in-service and curriculum development activities are listed here.
 - (d.) **Business Support Services (2500)** – Single audit cost is the only allowable cost. Show in Object Code 300.
 - (e.) **Transportation Costs (2700)** – Supplemental transportation services necessary to accommodate special population students. Must be in addition to regular pupil transportation. **Educational field trips should be charged to the function to which the costs are applicable. Transportation services for students to and from work-sites, such as apprenticeship programs, would be budgeted under Function 1000.**
 - (f.) **Pass-Through Funds (2990)** – This function is used to reflect funds passed from one entity to another, usually by schools involved in a consortium. Grant funds passed from the fiscal agent to another member of the consortium would be shown as a single amount under this function. All funds shown as pass-through must be itemized on a supplemental budget. If there are multiple sites receiving pass-through funds, a separate itemized budget must be prepared for each site. The eGrant system provides for the creation of these pass-through budgets.
 - (g.) **Community Services (3300)** – This function is used for child care services by an outside provider. Service must be provided by a licensed child care agency. If service is provided by grantee, costs are prorated on a per-child basis.
 - (h.) **Other Financing Uses (Indirect Cost) (5000) Object 900**
 - (1) School districts, IUs and AVTS/CTCs must use an approved restricted indirect cost rate established by the Comptroller’s Office.

- (2) All other entities may use a rate of eight percent of the first \$50,000 and one percent of all amounts over \$50,000.
- (3) Indirect cost is calculated on direct costs, excluding equipment and any pass-through funds forwarded to a second party (such as in a consortium).
- (4) Recipients of pass-through funds from a grant recipient may claim indirect costs on the funds they receive using their own rate.
- (5) Indirect cost is considered an administrative-type cost. The Perkins Act of 2006 limits the amount of administrative-type costs to no more than five percent of grant funds. The only other allowable administrative-type cost is the single audit, which is budgeted in Function 2500, Object 300.
- (6) Indirect costs (including any indirect cost claimed by a recipient of pass-through funds) and single audit cost, when added together, cannot equal more than five percent of the total project. This applies to the budget, as well as to final claimed costs. Within each function area, costs are to be broken down into types of cost defined by object codes.

(i.) Object Codes

(1) Salaries – Object 100

Salaries are budgeted within the function for which they are employed. Show as full-time percent of full-time or hourly rate multiply by number of hours, as applicable. Time and effort records must be maintained for all salaries or wages of staff spending less than full-time on project activities

a. Instructional Salaries – Function 1000

- 1) Teachers, substitutes and aides who are involved in the integration of academics into CTE programs. (Remediation is an ineligible use of funds.)
- 2) Personnel who provide support service activities to special populations' students for high-priority, high-skill, high-wage or high-demand occupations.
- 3) Driver for instructional field trips.

b. Pupil Personnel Salaries – Function 2100

- 1) Career counseling personnel.
- 2) Driver for career exploration field trips.

c. Staff Support Services – Function 2200

- 1) Personnel assigned to curriculum development of high-priority, high-skill, high-wage or high-demand occupations.
- 2) Personnel assigned to professional development and ongoing in-service.

d. Student Transportation – Function 2700

Driver salaries necessary to accommodate special populations in addition to regular pupil transportation.

(2) Benefits – Object 200

Only the portion applicable to the project may be charged. Benefits are charged to the same function as the salaries to which they are applicable. Benefits must be charged at the same percent as salaries, (e.g., a teacher paid for 50 percent of his/her time would have benefits charged at 50 percent as well). The amount charged must be the net of offsetting revenue received from the Commonwealth. Benefits do not need to be itemized – a composite rate may be used.

(3) Purchased Professional and Technical Services – Object 300

These costs are assigned to the functional area served. Rate (hourly, daily, etc. and number of hours/days) should be shown as part of the calculation.

a. Honoraria – for Consultants to provide services to address the nine “Required Uses of Funds” under Section 135 of the “Carl D. Perkins Career and Technical Education Act of 2006.” (A copy of the sub-contract may be requested by PDE staff).

- 1) If contracted consultant is instructing students, the costs would appear in the Instructional Function (1000).
- 2) If contracted consultant is providing guidance, counseling or career exploration, the costs would appear under the Pupil Personnel Services Function (2100).
- 3) If contracted consultant is providing support to instructional staff in the form of in-service/professional development or curriculum development, the costs would appear under the Staff Support Function (2200).

b. Single Audit – independent auditor for the prorated share of the single audit would be charged to the Business Support Services Function (2500). The amount of the single audit cost chargeable to a federal program must bear the same percent as that federal program is to the total budget of the eligible recipient.

(4) Purchased Property Services – Object 400

a. Rental of Facility – The facility (excluding facilities of the contracting agency) must be identified by name, address and space rented. Show cost calculations. The rental period must agree with the funding period of the program. The cost may appear under a single function or be spread among various functions depending on the service provided.

b. Rental of Equipment

- 1) Give number of items, description and cost per item. Show calculations. Equipment is defined as costing \$1,500 or more per item.
- 2) Every item must be justified within the Perkins Local Plan and necessary to meet objectives.
- 3) Rental period must be within project period.
- 4) Lease/purchase is eligible.
- 5) The costs are listed under the applicable function.

c. Repairs and Maintenance of Equipment

The cost of repairs or services is only allowable for equipment purchased with current or prior federal vocational education funds and still in use for the original purpose; or for equipment donated to the federal program. Maintenance agreement cost will only be allowed on equipment purchased under the current Act.

(5) Other Purchased Services – Object 500

- a. Student Transportation** – Expenditures for supplemental transportation services. Cost must be in addition to regular pupil transportation and would appear under Function 1000 if for student travel to and from work-sites, such as apprenticeship programs, or Function 2100 if for educational field trips. This Object is used for services of a contracted carrier.
- b. Travel** – Limited to travel within the Commonwealth for staff providing instructional or supplementary services approved as part of the Perkins Local Plan. Justification for travel must be directly tied to specific objectives and activities on the Action Plan form. Costs should be on the same basis as other employees of the educational agency. Show miles and rate per mile or other calculation for total cost. If the rate per mile exceeds \$0.445 (recommended IRS rate), a board resolution is required if not part of a master agreement that references a higher rate.

Travel costs are considered obligated when the travel actually occurs; therefore, travel to conferences and workshops must occur within the contract period in order to be eligible for reimbursement. This ruling is based upon Department contracting procedures, as well as the Code of Federal Regulations 34 CFR 76.707. However, since conference registration fees is usually required months in advance of attendance, the point of obligation are recognized as the date that the registration is due.

- c. Child Care** services by outside provider – List the number of children expected to require this service and the cost per child to enable parents to participate in career and technical programs. Indicate who will provide the

service. Service must be provided by a licensed child-care agency. If service is provided by grantee, costs are prorated on a per-child basis.

- d. Communication Costs** – The costs for telephone and postage are allowable for Perkins Local Plan activities only. Telephone and postage costs must be specifically accounted for and documented.
- e. Printing and Advertising** – List anticipated item cost and total cost. Show under Function for which the cost is applicable. Only advertising related to recruiting of personnel, procurement of goods or services and public relation costs for notifying the community of the activities of the program are allowable. **Promotional and memorabilia items are not allowable.**

(6) Supplies – Object 600

- a.** Instructional supplies, materials and equipment costing less than \$1,500 (with the exception of software, regardless of cost) are reported as Object 600 under the function for which the items are purchased.
- b.** Any supplies to accommodate special populations' students.

NOTE: Materials, supplies, software and textbooks for the operation of regular programs are not allowable expenditures.

(7) Equipment – Object 700

Equipment purchased under this contract must be necessary to meet Perkins Local Plan objectives and comply with “Required Uses of Funds,” (Section 135), under the Carl D. Perkins Career and Technical Education Act of 2006. Also, LEAs must identify the approved program and site for which the equipment is being purchased.

- a.** Purchases of new or replacement instructional equipment are to be listed by cost, number and type of equipment.
- b.** An equipment item is any instrument, machine, apparatus or set of articles that meets all of the following criteria:
 - 1) It is used to teach skills or provide information directly to career and technical students;
 - 2) Its cost is \$1,500 or more per unit;
 - 3) It retains its original shape, appearance and character with use;
 - 4) It does not lose its identity through fabrication or incorporation into a different or more complex unit or substance;

- 5) It is nonexpendable; that is, if the item is damaged or some of its parts are lost or worn out, it is more feasible to repair the item than to replace it with an entirely new unit; and
- 6) Under normal conditions of use, including reasonable care and maintenance, it can be expected to serve its principal purpose for more than one twelve-month fiscal period.

(8) Restricted Indirect Cost – Object 900

- a. School Districts, IUs and CTCs must use an approved restricted indirect cost rate established by the Comptroller’s Office.
- b. All other entities may use a rate of eight percent of the first \$50,000 and one percent of amounts over \$50,000.
- c. Indirect cost is calculated on direct costs, excluding equipment and any pass-through funds forwarded to a second party, such as a consortium.
- d. Recipients of pass-through funds from a grant recipient may claim indirect costs on the funds they receive using their own rate.
- e. Indirect cost is considered an administrative cost. The Perkins Act of 1998 limits the amount of administrative costs to no more than five percent of grant funds. The only other allowable administrative cost is the single audit that is budgeted in Function 2500, Object 300. Indirect costs, including any indirect cost claimed by a recipient of pass-through funds, and single audit cost, when added together, cannot equal more than five percent of the total project. This applies to the budget, as well as to final claimed costs.

(9) Pass Through Funds – Object 899

This object is used to reflect funds passed through the fiscal agent of a project to another entity, usually within a consortium. This is not to be confused with contracted services budgeted in Object Code 300. Pass-through funds are generally provided to a second entity that then pays for activities serving their school. Contracted services are funds paid to a second party that provides services to the fiscal agent.

All budget figures must be rounded to the nearest dollar.

C. Consortium Information

1. The LEA designated as fiscal agent will remain as fiscal agent through the conclusion of the Act, unless PDE is notified in writing of a change.

2. The designated fiscal agent in a consortium will be responsible and accountable for the receipt and expenditure of funds. In addition, the fiscal agent will be responsible for submitting the application, any revisions and fiscal report forms required by PDE and described in these Guidelines.
3. The fiscal agent in a consortium may be required to have a single audit of expenditures and disbursement of federal funds at their agency. Each LEA in a consortium that utilizes Perkins Local Plan funds may also be required to have a single audit of the federal funds received and expended by their agency. See below regarding criteria for determining if a single audit is required.
4. Payments on the approved contract with a consortium will be distributed on a monthly basis to the designated fiscal agent. A written agreement between members of the consortium must be kept on file and cover the method of expending funds to cover costs incurred by consortium members. The agreement should also cover liability for misuse of funds. PDE must be notified immediately in writing of changes to the makeup of the consortium.
5. Members of a consortium that pay salaries and benefits, issue purchase orders, contract for services or pay invoices must report such activities to the fiscal agent, which will report to PDE.
6. Allocations may not be less than \$15,000 for secondary or \$50,000 for postsecondary plans per Part C, Section 131 and 132 of the Act.

D. Utilization and Control of Funds

1. Each local plan application for the use of funds shall be approved by a formal agreement. No local plan application shall be approved beyond June 30 of each fiscal/program year given funding. Unexpended funds at the conclusion of the fiscal period will revert to the state for reallocation.
2. Control over the use of funds provided under the contract and administrative control over equipment and property acquired with such funds shall be with the recipient agency. Funds, equipment and property shall be used for the purposes provided in the Carl D. Perkins Career and Technical Education Improvement Act of 2006.
3. Period of Obligation of Funds by Recipient(s):
 - a. The period during which obligations may be incurred for each fiscal year is determined by PDE when the Bureau of Career and Technical Education gives the LEA's application "substantial approval."
 - b. After the project is substantially approved, PDE staff will continue to review the application more thoroughly prior to granting final approval. It is recommended that

LEAs make all necessary corrections required by PDE in order to start scheduled payments in a timely manner. If an LEA wants a start date of July 1, elements required in the application must be submitted by June 15. Applications may be received after July 1. Applications will not be accepted after August 31.

- c. Obligations may not be incurred after June 30 of each fiscal year.
- d. Determination of obligations – The following table is taken from federal regulations (34 CFR 76.707) and shows when a sub-grantee of the state makes obligations for various kinds of property and services. This is not a list of approvable expenditures.

If the obligation is for:

The obligation is made:

- | | |
|---|--|
| (1) acquisition of real or personal property | on the date on which the sub-grantee makes a binding written commitment to obtain the property |
| (2) personal services by an employee of the sub-grantee | when the services are performed |
| (3) personal services by a contractor who is not an employee of the sub-grantee | on the date on which the sub-grantee makes a binding written commitment to obtain the services |
| (4) performance of work other than personal services | on the date on which the sub-grantee makes a binding written commitment to obtain the services |
| (5) public utility services | when the sub-grantee receives the services |
| (6) travel | when the travel is taken |
| (7) rental of real or personal property | when the sub-grantee uses the property |
-
- 4. Federal funds utilized under the Perkins Act shall be used to supplement and not supplant state or local funds. Funds provided under the Perkins Act may be used to pay for the costs of career and technical education services required in an Individualized Education Plan (IEP) developed pursuant to Section 614(d), (IEP's) of the "Individuals with Disabilities Education Act" (IDEA) and services necessary to meet the requirements under Section 504 of the Rehabilitation Act of 1973, with respect to ensuring equal access to career and technical education.
 - 5. Time records must be maintained for all salaried staff spending less than 100 percent of their time on the Perkins program, including full-time LEA staff funded by multiple sources. Time records must be recorded on 100 percent of staff's time even though only a portion is charged to Perkins.

Failure to maintain time and effort records may result in audit citations and/or project termination.

6. The Perkins Act does not require any matching of allocated funds.
7. **Revisions of Approved Contracts (the eGrant system will open for revisions in January)**
 - a. **Requests must be submitted no later than April 30 of each fiscal year. The eGrant system will not accept revisions after April 30.**
 - (1) Revisions to approved projects shall be initiated by completing the applicable components of the eGrant application online. The same documents are used for revisions as in the original application. No revisions may be made until a project has final approval.
 - b. A project revision must be submitted under any of the following conditions:
 - (1) Any costs need to be budgeted in a previously unbudgeted function or object.
 - (2) Any changes are requested in equipment items (either new, substitutions or quantity changes or determine equipment will not be purchased).
 - (3) Funds need to be transferred from one function or object to another because costs in that function or object are expected to exceed the budgeted amount by at least **ten percent of the TOTAL budget amount**. This ten percent variance does not permit expenditures in unbudgeted categories or for unapproved equipment items. The totals of each function and each object as shown on the Summary Budget are used to determine if a budget revision is necessary. For example, a total budget of \$50,000 would allow each object **TOTAL** to exceed the amount budgeted by \$5,000 before a budget revision is required. Likewise, each function **TOTAL** may exceed the amount budgeted by \$5,000 before a revision is needed. ***Programmatic changes need approval, even if they are within the ten percent rule.**
 - (4) **Programmatic changes involve or alter the objective of the project.**
 - (5) Rules for budget revisions for projects with pass-through funds. Generally, pass-through recipients are required to adhere to the same budgetary constraints that apply to primary grant recipients (fiscal agents). The following is a list of the situations that require a budget revision:
 - a. The amounts of funds passed from the fiscal agent to pass-through recipients exceeds the amount budgeted by more than ten percent of the total grant amount. **Example:** In a project with a total approved amount of \$50,000 and \$11,000 budgeted as pass-through funds, the fiscal agent can pass through up to

\$16,000 (\$11,000 + \$5,000) before a budget revision is required. If the amount passed through decreases, a revision is only needed if the amount not being passed through causes another function or object to exceed the ten percent allowable variance.

- b. When there are multiple pass-through recipients, a shift of more than ten percent between recipients requires a budget revision. The ten percent is measured on the total amount that the fiscal agent is passing through. **Example:** A fiscal agent is passing through a total amount of \$12,000. Three pass-through recipients are receiving \$4,000 each. If \$650 is taken from two pass-through recipients to increase the third pass-through recipient's amount to \$5,300, a budget revision is required. The most that can be shifted to one of the pass-through recipients without a revision is \$1,200 (ten percent of the \$12,000).
- c. If funds are to be expended in any unbudgeted function or object of a pass-through recipient, a budget revision is needed. **Example:** If a pass-through recipient has no money budgeted for instructional supplies, (Function 1000, Object 600) but spends \$500 for such supplies, a revision is needed. The ten percent variance is not allowed when there was no money budgeted in a function/object.
- d. Any change in items or increase in quantity of equipment.
- e. Any change in activities of a pass-through recipient that alter the objectives of a project. **Example:** All project objectives, (including those of the pass through recipients) are outlined in the project narrative. A fiscal agent is required to revise its project if any of these objectives change.

8. Record Keeping

- (a) Each sub-grant recipient shall retain records of federal grant activities for at least three years after completion of the activity for which federal grant funds were used. Equipment records shall be maintained for three years after the disposition, transfer or replacement of the equipment. In the event of an audit, the three-year records retention may be extended until the final resolution of the audit or until the end of the regular three-year period, whichever is later. Federal records retention requirements are set forth in 34 Code of Federal Regulation (CFR), Sections 74.53, 76.730 and 80.42. Note: The state records retention regulations are for at least six years and are found in Pennsylvania School Code of 1949, Title 24—Education, Chapter 1, Article 5 (24 PS 5-518).
- (b) Each eligible recipient is required to maintain adequate records to provide full disclosure of grant expenditures. Such records include purchase orders, invoices, payroll records, time and service function records in support of payroll, bid solicitation, contracts and checks issued.

9. Equipment – Inventory, Usage and Disposition – See Sample Federal Equipment Inventory form, Appendix C.

State and local governments, postsecondary institutions and non-profit organizations shall follow these general equipment guidelines.

- (1) Title to equipment vests upon acquisition to the grantee and sub-grantee respectively.
- (2) Equipment will be used by the LEA in the program it was purchased for as long as it is needed, whether or not federal funding continues. When no longer needed for the original program, the equipment may be used in other activities currently or previously supported by federal funds.
- (3) The LEA shall also make equipment available for use in other programs currently or previously supported with federal funds as long as such usage does not interfere with the purpose for which it was purchased. Preference should be given to programs funded by the awarding agency.
- (4) Equipment purchased with Local Plan funds has additional considerations imposed by federal Perkins regulations:
 - (a) It may be used by other approved career and technical programs as long as the acquisition was reasonable and necessary for the purpose of conducting a properly designed project, the usage is incidental to and does not interfere with purposes for which it was purchased and the usage does not add to the cost of using the equipment.
 - (b) When not being used for career and technical purposes, equipment may be used for other activities if the acquisition was reasonable and necessary; the other usage is after school hours, is incidental to and does not interfere with its original purpose and the usage does not add to the cost of using the equipment.
- (5) Equipment acquired with grant funds may not be used to provide services for a fee to compete unfairly with private companies that provide equivalent services.
- (6) When acquiring replacement equipment, the recipient may use the equipment as trade-in toward the cost of replacement equipment.
- (7) The recipient must maintain inventory records that include a description of the piece of equipment, manufacturer's serial number, project number, acquisition date, percentage of federal participation in cost, location and condition, unit acquisition cost and ultimate disposition information. A physical inventory must be taken every two years.
- (8) A control system must be in place to safeguard the equipment.

- (9) Disposition: When equipment is no longer needed for the original project or program or for activities previously or currently supported with federal funds, the equipment disposition is made as follows:
- (a) Items with a **current per-unit fair market value of less than \$5,000** may be retained or sold or otherwise disposed of with no further obligation to PDE.
 - (b) Items with a current per-unit fair market value in excess of \$5,000 may be retained or sold, and the awarding agency shall have a right to an amount calculated by multiplying the current market value or proceeds of the sale by a percentage of the awarding agency's share in the original purchase.

E. Funding of Projects

1. Payment Schedule

All projects are placed on a system of scheduled payments to provide operating funds during the period of the project. Monthly payments are determined by dividing the project amount by the number of months that the project operates. PDE Comptroller's Office, upon approval of the project, will initiate payments. In the event the start of payments is delayed, the Comptroller's Office will include back payments in the initial project payment up to a maximum of four monthly payments. Payments are made about the 15th of each month. Scheduled payments are discontinued after the contract period expires. Most public schools receive Automatic Clearing House (ACH) payments. Any entity interested in receiving payments via ACH should contact the Comptroller's Office at 717-783-9074.

2. Reconciliation of Cash on Hand Quarterly Reports (PDE-2030)

- a. The Reconciliation of Cash on Hand Quarterly Reports are due on the 10th working day after each quarter (10th working day of October, January, April and July). **All grant recipients are required to submit their quarterly reports electronically using the FAI (Financial Accounting Information) website. Paper copies will not be accepted and will not be returned. Such reports will be considered delinquent.** The FAI system operates within the e-PDE web portal. In order to use the FAI system, you need to first register for security clearance to use the e-PDE web portal. This can be accessed through the Pennsylvania Department of Education homepage at www.pde.state.pa.us. From the PDE homepage, there is a link marked e-PDE web portal on the left side of the page. Technical questions relating to the e-PDE web portal should be directed to the e-PDE Help Desk at 717-783-6686. For payment related questions or assistance in completion of the quarterly report, call the Labor, Education and Community Services (LECS) Comptroller's Office, Federal Accounting Division at 717-783-9093, 717-783-9033 or 717-783-9085.
- b. The quarterly reporting will begin with the first quarter in which payments are received. For example, if the first payment is received in November, the first quarterly report is due in January. Quarters end September 30, December 31, March

31 and June 30. If all payments are received by June 30, there is no need to submit a report for this quarter.

- c. **Failure to submit the quarterly report on time or electronically will result in suspension of scheduled payments until the report is received.**
- d. Quarterly reports can also be used to request an acceleration of payments because of unusual cash needs, such as a large purchase. Use the Comments section of the report to explain the need for an accelerated payment.

3. Final Expenditure Report

- a. All grant recipients are required to submit their Final Expenditure Reports electronically using the PDE e-Grant website. Paper copies will not be accepted and will not be returned. If an electronic copy of the report and signed copy of Page One are not submitted, the report will be considered delinquent. Instructions for completing the Final Expenditure Report are available on PDE's website at www.pde.state.pa.us/bcte; once there, choose *Grants and Funding* followed by *fiscal reporting forms*.
- b. The Final Expenditure Report is due **no later than 60 days after the close of the project (August 30th)**. Final Expenditure Reports may be submitted only after completion of project activities and payment of all obligations. However, recipients should submit the Final Expenditure Report as soon as all project obligations are paid.
- c. The Bureau of Budget and Fiscal Management will conduct a review of the Final Expenditure Report for completeness, accuracy and budget compliance. Approved reports are forwarded to the Comptroller's Office for closure and final payment. Reports found to be incomplete or incorrect are returned to the recipient for further explanation or correction.
- d. Costs found to be unallowable will be deducted from the total expenditures claimed and will either be subtracted from the final payment or requested as a refund. The recipient has the right to request a reconsideration of any disallowed costs. Upon receipt of notification of a disallowance, a recipient may write to the Bureau of Budget and Fiscal Management at the address below and request reconsideration by explaining the reason for the request. Any documentation that will substantiate the recipient's request should accompany the letter. A notification will be sent to the recipient regarding the Bureau's decision. If the recipient is dissatisfied with the response, a request for further reconsideration may be sent to the Director of Bureau of Career and Technical Education.
- e. If circumstances prevent timely submission of the report, approval for an extension of time must be requested by writing to the Career and Technical Education Fiscal Administration section at the address listed below.

- f. PDE reserves the right to stop any and all payments of state and federal funds from any source due to a recipient for failure to submit the Final Expenditure Report within 60 days after the close of the project. If a recipient fails to submit a Final Expenditure Report, even after notification of delinquency, PDE may require the recipient to return all funds advanced under the project.
- g. Any omissions in or corrections to the initial submission may be made by submitting a revised Final Expenditure Report. Revised Final Expenditure Reports must be submitted no later than four months after the original due date.
- h. Even though the Final Expenditure Report will be submitted online, it will necessary to print out a copy of Page One of the report, obtain an **original** signature from the Chief School Administrator and mail Page One to:

Department of Education
Bureau of Budget and Fiscal Management
Career and Technical Education Fiscal Administration Section
333 Market Street, 4th Floor
Harrisburg, PA 17126-0333

It is not necessary to send Page Two to PDE, since it can be printed from the eGrant system.

- i. A check for any unused funds must accompany Page One. The check should be made payable to the Commonwealth of Pennsylvania.
- j. Questions concerning the instructions for completion of the Final Expenditure Report should be directed to the Career and Technical Education Fiscal Administration Section, Bureau of Budget and Fiscal Management, PA Department of Education. Telephone number: 717-783-6870; e-mail address: ra-ctefiscal@state.pa.us.

F. Federal Audits

1. The **Single Audit Act** was passed into law July 5, 1996. Each non-federal entity that expends a total of \$500,000 or more in any fiscal year shall have either a single audit or program-specific audit based on the following criteria: (a) if such amounts are expended under more than one federal program, a single audit is required; (b) if such amount is expended under a single federal program then, the entity can elect to have a program-specific audit performed rather than a single audit.
2. A **revised Office of Management and Budget (OMB) Circular A-133** was issued June 24, 1997, to implement the new Single Audit Act. This revised OMB circular is applicable to all recipients of federal grants and sub-grants.
3. **Audit Costs** made in accordance with OMB Circular A-133 are allowable charges to Federal assistance programs, as either direct or indirect costs. Generally, the percentage

of costs charged to a federally funded program for a single audit shall not exceed the percentage that Federal funds expended represent of total funds expended by the recipient during the audit period.

4. **Information** regarding the performance and reporting of the Single Audit may be directed to the Office of the Budget, Bureau of Audits, Voice Telephone 717-783-9120. Questions regarding audit resolution issues may be directed to the Department of Education Single Audit Coordinator, Voice Telephone 717-787-5993.

APPENDIX A

2007-2008 Perkins Local Plan Compliance Review (Completed by LEA)

Fiscal Agent:

Contact Person:

Address:

Title:

Telephone #:

Extension #:

Email:

Project Number: 38 – 08-

Amount: \$

SIGNATURES:

Person Completing Report:

Date:

Chief School Administrator:

Date:

FOR PDE USE:

PDE Reviewer:

Date:

PDE Supervisory
Reviewer:

Date:

USES OF FUNDS

The purpose of the Perkins Local Plan is to improve the performance of career and technical education programs so that local negotiated performance measures may be achieved. This performance report is submitted to document the extent to which each objective in the local plan has been achieved and to also validate that compliance with each assurance has been appropriately documented.

ASSURANCES

Regulations require a description of how each of the required assurances is met. Please click “compliance” to indicate current status for each assurance. Missing or inadequate documentation requires a written explanation of what immediate action will be taken to bring the contract into compliance.

1. Describe how parents, students, academic and career and technical education teachers, faculty, administrators, career guidance and academic counselors, representatives of tech prep consortia (if applicable), representatives of business (including small business) and industry, labor organizations, representatives of special populations and other interested individuals are involved in the development, implementation and evaluation of career and technical education programs assisted in understanding, the requirements of this title, including career and technical Programs of Study.

Secondary and Postsecondary Documentation Required:

- (a) Membership list with affiliation, which must have “WIB” involvement. NO
- (b) Meeting agendas, sign-in sheets and minutes of the local plan meeting. NO
- (c) Was there a detailed discussion of how the CTE programs “Required Uses of Funds” will be supported?
Detailed Discussion
- (d) Describe the activities chosen to meet negotiated levels of performance.
- (e) Notification informing stakeholders about Perkins IV including required CTE Program of Study. NO

Comments:

2. The eligible recipient has planned career and technical education activities of sufficient size, scope and quality to bring about improvement in the quality of CTE programs.

Secondary and Postsecondary Documentation Required:

- (a) Describe how the eligible recipient utilizes the required uses of funds to generate substantial change in meeting the purposes of the Perkins Act of 2006.

- (b) Explain the program of activities outlined in the Action Plans. What measures have been established to evaluate improvement of negotiated performance measures? How will these measures be assessed?

Comments:

- 3. The eligible recipient has offered the appropriate courses of not less than one CTE Program of Study. Refer to the Definitions section for the Program of Study definition.

Secondary Documentation Required:

- (a) Timeline that indicates development and implementation, or improvement, of the Program of Study (should include benchmarks). Development
- (b) Description of the CTE Program of Study.
- (c) Syllabus indicating coherent and rigorous content aligned with challenging academic standards, technical skills within relevant career and technical programs. NO
- (d) Program of Study that indicates seamless transition from secondary education to postsecondary education (scope and sequence of courses). NO
- (e) Copy of signed/dated articulation agreement(s) with partnering postsecondary institutions to implement a seamless Program of Study. (Chief Operating Officer Signatures from all participating institutions required.) NO
- (f) Copy of signed/dated dual enrollment, concurrent enrollment or other ways to achieve credit with partnering institutions from secondary to postsecondary. (Chief Operating Officer Signatures from all participating institutions required.) NO

Postsecondary Documentation Required:

- (a) Timeline that indicates development and implementation, or improvement, of the Program of Study (should include benchmarks). NO
- (b) Copy of signed/dated CTE program-specific articulation agreement(s) with partnering secondary institutions to implement a seamless Program of Study. (Chief Operating Officer Signatures from all participating institutions required.) NO
- (c) Copy of signed/dated dual enrollment, concurrent enrollment or other ways to achieve credit with partnering institutions from secondary to postsecondary. (Chief Operating Officer Signatures from all participating institutions required.)
Signed/Dated Dual Enrollment

- (d) Catalog description of the CTE Program of Study. NO
- (e) Course outline for each technical course in the Program of Study indicating coherent and rigorous content aligned with challenging academic standards, technical skills within relevant career and technical programs including the secondary component of the Program of Study. NO

Comments:

4. Describe how the eligible recipient provides students with strong experience in, and understanding of, all aspects of an industry, which may include work-based learning experiences. Refer to All Aspects of an Industry definition in the Definitions section of the guidelines.

Secondary Documentation Required:

- (a) How does the eligible recipient disseminate occupational information relative to high-priority, high-skill, high-wage or high-demand occupations by regional employment sector(s)?
- (b) List of all industry-recognized credentials at the LEA and consortium for each CTE program. NO
- (c) List cooperative education and work-based learning programs offered by the eligible recipient. NO

Postsecondary Documentation Required:

- (a) How does the eligible recipient disseminate occupational information relative to high-priority, high-skill, high-wage or high-demand occupations by regional employment sector(s)?
- (b) List of industry recognized credentials for all career and technical programs offered at the postsecondary institutions. NO
- (c) List internships, field experiences and assignments embedded into the curriculum intended to provide work-based learning experiences. NO

Comments:

5. The eligible recipient has ensured that students who participate in approved CTE programs are taught the same coherent and rigorous content aligned with challenging academic standards as are taught to all other students.

Secondary Documentation Required:

- (a) Course description guide for each member of the consortium outlining the Program of Study. NO
- (b) Copy of LEA's strategic plan that indicates how negotiated performance measures will be achieved and assessed. NO
- (c) Copy of lesson plans that indicate CTE curricula are aligned with PA Academic Standards. NO
- (d) Provide a sampling of current student transcripts from each member of the consortium. NO

Postsecondary Documentation Required:

- (a) Copy of postsecondary institution's plan that addresses how student learning assessment activities are used to meet negotiated performance measures. NO
- (b) Provide a sampling of current student transcripts. NO
- (c) Provide documentation of external approval/accreditation of program(s). NO

Comments:

- 6. The eligible recipient has a comprehensive professional development plan that includes workshops and training for CTE, academic, guidance and administrative personnel.
(NOTE: for any deficiencies documented during onsite PDE reviews and/or lack of continuous improvement as evidenced by performance data, Professional Development activities sponsored by BCTE must be attended and documentation of attendance submitted on annual performance report due August 31st.

Secondary Documentation Required:

- (a) A copy of the LEA's induction and professional education plans must address 134 (b)(4). NO
- (b) Sample copies of Act 48 hours earned by professional staff. NO

Postsecondary Documentation Required:

- (a) Provide institutional policies related to professional development of staff. NO

- (b) Describe professional development activities of CTE faculty, such as conferences attended, professional memberships and continuing education.

Comments:

- 7. The eligible recipient has a process that will be used to evaluate and continuously improve performance of the eligible recipient.

Secondary Documentation Required:

- (a) A copy of the assessment tool used to evaluate performance improvement. Provide an explanation of why the assessment tool was chosen. (APE Self-Study/OAC Minutes).
NO
- (b) Accreditation/Certification for secondary. NO

Postsecondary Documentation Required:

- (a) Strategic plan of eligible recipient. NO
- (b) Institution-wide accreditation status. NO
- (c) Other institution-wide certifications.

Comments:

- 8. The eligible recipient will review CTE programs, identify and adopt strategies to overcome barriers that result in lower access or success for special populations, provide programs that enable special populations to meet local performance levels and provide activities to prepare special populations, including single parents and displaced homemakers, for high-priority, high-skill, high-wage or high-demand occupations that will lead to self-sufficiency.

Secondary Documentation Required:

- (a) Describe how comprehensive career guidance and counseling is provided from local sources for special population students to enter high priority, high-skill, high-wage or high-demand occupations.
- (b) IEP's and transition plans are aligned with Annual Career Objective Form. NO
- (c) Evidence LEA is providing access to programs leading to high priority, high-skill, high-wage or high-demand occupations. NO

- (d) Copies of and/or a description of admission policies, procedures and application forms, which includes a copy of nondiscrimination policy, including all appropriate publication. NO

Postsecondary Documentation Required:

- (a) Describe how comprehensive career guidance and counseling is provided from local sources for special population students to enter high-priority, high-skill, high-wage or high demand occupations.
- (b) Evidence postsecondary institution is providing to all special populations subgroups access to programs leading to high-priority, high-skill, high-wage or high-demand occupations. NO
- (c) Copies of and/or a description of admission policies, procedures and application forms, which includes a copy of nondiscrimination policy, including all appropriate publication. NO

Comments:

- 9. The eligible recipient has identified how funds are used to promote preparation for nontraditional fields in current and emerging professions and other activities that expose students to high-skill, high-wage or high-demand occupations.
http://www.pde.state.pa.us/career_edu/cwp/view.asp?a=113&q=120116

Secondary and Postsecondary Documentation Required:

- (a) Description and examples, such as news articles, brochures, etc., of how the plan promotes nontraditional enrollment and employment. NO
- (b) Tools used to evaluate the success of non-traditional students and efforts to monitor placement into high-priority, high-skill, high-wage or high-demand occupations.

Comments:

- 10. The eligible recipient will provide career guidance and academic counseling that assist CTE students including linkages to future education and training opportunities.

Secondary Documentation Required:

- (a) Have there been random reviews of the Annual Career Objective Form? NO
- (b) Copies of information on postsecondary programs that students are receiving. NO

Postsecondary Documentation Required:

- (a) Industry related credentials. NO
- (b) Evidence of information provided to students regarding future education and training opportunities. NO

Comments:

11. The eligible recipient will develop and implement effective strategies for the recruitment and retention of CTE teachers, career guidance, academic counseling and other support staff, including underrepresented groups and the transition to teaching from business and industry.

Secondary Documentation Required:

- (a) Do you have a recruitment and retention plan for CTE teachers and other support staff?
NO

Postsecondary Documentation Required:

- (a) Describe recruitment and retention of all staff (full and part-time) involved in the delivery and promotion of CTE programs at the postsecondary level.
- (b) Describe staff orientation activities.

Comments:

EXPENDITURES

Evidence must be reviewed to assure that all funds were used to efficiently and effectively address the purposes of the Act as defined in each contract. The following questions will guide the initial review of the expenditures; however, local and state reviewers will be expected to pursue any suspected incongruence between use of funds and any state or federal regulation or contracted use of funds. Each of the following questions must be responded to in the affirmative or a report seeking corrective action must accompany this monitoring report.

1. Are all expenditures approvable as written in the contracts? Compare actual expenditures with the approved local plans.

2. What were the effective dates of each contract? Were all expenditures made during the effective dates of the contracts?

3. Are equipment, supplies and consumables acquired through the contract(s) being used to achieve the specified performance objectives? Is an inventory system in compliance with EDGAR in place to account for all equipment purchased with federal funds?

4. Do activities and time commitment of staff supported by the contracts correspond with that in the contracts? Are complementary job descriptions on file for split-time personnel? Review names, job titles, job descriptions, time distribution sheets, student and staff schedules and official records.

5. Has the program benefited from all expenditures? Explain how it was proven.

6. Identify current audit findings and corrective actions.

NARRATIVE REPORT

1. Is/Are the objective(s) based on negotiated levels of performance? What measurable improvements have been achieved on each Action Plan? Is performance not meeting standards addressed in the plan's objectives?
2. What Program of Study is your secondary/postsecondary institution currently offering? Is there any new Program of Study being developed?
3. Describe how the Program of Study assists students in meeting technical performance standards to prepare each student for high-priority, high-skill, high-wage or high-demand occupations in current or emerging professions? How is this determined?
4. How will the integration of academic and technical content improve students' achievement levels?
5. List recommendations or professional development to improve the overall effectiveness or compliance of the plan.
6. List specific areas where technical assistance is needed to improve the effectiveness of the career and technical education program at your school.
7. Identify the schools in the consortium.

APPENDIX B

**2008-2009
Perkins Local Plan Compliance Review
(Completed by PDE)**

Fiscal Agent:

Contact Person:

Address:

Title:

Telephone #:

Extension #:

Email:

Project Number:

Amount:

38 -08-

\$

PDE Reviewer:

Date:

PDE Supervisory
Reviewer:

Date:

USES OF FUNDS

The purpose of the Perkins Local Plan is to improve the performance of career and technical education programs so that local negotiated performance measures may be achieved. This performance report is submitted to document the extent to which each objective in the local plan has been achieved and to also validate that compliance with each assurance has been appropriately documented.

ASSURANCES

Regulations require a description of how each of the required assurances is met. Please click “compliance” to indicate current status for each assurance. Missing or inadequate documentation requires a written explanation of what immediate action will be taken to bring the contract into compliance.

1. Describe how parents, students, academic and career and technical education teachers, faculty, administrators, career guidance and academic counselors, representatives of tech prep consortia (if applicable), representatives of business (including small business) and industry, labor organizations, representatives of special populations and other interested individuals are involved in the development, implementation and evaluation of career and technical education programs assisted in understanding, the requirements of this title, including career and technical Programs of Study.

Compliance (Drop Down)

Secondary and Postsecondary Documentation Required:

- (a) Membership list with affiliation, which must have “WIB” involvement.
- (b) Meeting agendas, sign-in sheets and minutes of the local plan meeting.
- (c) Provide detailed discussion of how the CTE programs “Required Uses of Funds” will be supported. Note: A funding grid may be used to identify all resources.
- (d) Describe the activities chosen to meet negotiated levels of performance.
- (e) Example of notification informing stakeholders about Perkins IV including required CTE Program(s) of Study.

Comments:

(Text Box)

2. The eligible recipient has planned career and technical education activities of sufficient size, scope and quality to bring about improvement in the quality of CTE programs.

Compliance (Drop Down)

Secondary and Postsecondary Documentation Required:

- (a) Describe how the eligible recipient utilizes the required uses of funds to generate substantial change in meeting the purposes of the Perkins Act of 2006.
- (b) Explain the program of activities outlined in the Action Plans. What measures have been established to evaluate improvement of negotiated performance measures? How will these measures be assessed?

Comments:

(Text Box)

3. The eligible recipient has offered the appropriate courses of not less than one CTE Program of Study. Refer to the Definitions section for the Program of Study definition.

Compliance (Drop Down)

Secondary Documentation Required:

- (a) Timeline that indicates development and implementation, or improvement, of the Program of Study (should include benchmarks).
- (b) Description of the CTE Program of Study.
- (c) Syllabus indicating coherent and rigorous content aligned with challenging academic standards, technical skills within relevant career and technical programs.
- (d) Program of Study that indicates seamless transition from secondary education to postsecondary education (scope and sequence of courses).
- (e) Include copy of signed/dated articulation agreement(s) with partnering postsecondary institutions to implement a seamless Program of Study. (Chief Operating Officer signatures from all participating institutions required.)
- (f) Include copy of signed/dated dual enrollment, concurrent enrollment or other ways to achieve credit with partnering institutions from secondary to postsecondary. (Chief Operating Officer signatures from all participating institutions required.)

Postsecondary Documentation Required:

- (a) Timeline that indicates development and implementation, or improvement, of the Program of Study (should include benchmarks).
- (b) Include copy of signed/dated CTE program-specific articulation agreement(s) with partnering secondary institutions to implement a seamless Program of Study. (Chief Operating Officer signatures from all participating institutions required.)
- (c) Include copy of signed/dated dual enrollment, concurrent enrollment or other ways to achieve credit with partnering institutions from secondary to postsecondary. (Chief Operating Officer signatures from all participating institutions required.)
- (d) Catalog description of the CTE Program of Study.
- (e) Course outline for each technical course in the Program of Study indicating coherent and rigorous content aligned with challenging academic standards, technical skills

within relevant career and technical programs including the secondary component of the Program of Study.

Comments:

(Text Box)

4. Describe how the eligible recipient provides students with strong experience in, and understanding of, all aspects of an industry, which may include work-based learning experiences. Refer to All Aspects of an Industry definition in the Definitions section of the guidelines.

Compliance (Drop Down)

Secondary Documentation Required:

- (a) How does the eligible recipient disseminate occupational information relative to high-skill, high-wage or high-demand occupations by regional employment sector(s)?
- (b) List of all industry-recognized credentials at the LEA and consortium for each CTE program.
- (c) List cooperative education and work-based learning programs offered by the eligible recipient.

Postsecondary Documentation Required:

- (a) How does the eligible recipient disseminate occupational information relative to high-skill, high-wage or high-demand occupations by regional employment sector(s)?
- (b) List of industry recognized credentials for all career and technical programs offered at the postsecondary institutions.
- (c) List internships, field experiences and assignments embedded into the curriculum intended to provide work-based learning experiences.

Comments:

(Text Box)

5. The eligible recipient has ensured that students who participate in CTE programs are taught the same coherent and rigorous content aligned with challenging academic standards as are taught to all other students.

Compliance (Drop Down)

Secondary Documentation Required:

- (a) Course description guide for each member of the consortium outlining the Program of Study.

- (b) Copy of LEA’s strategic plan that indicates how negotiated performance measures will be achieved and assessed.
- (c) Copy of lesson plans that indicates CTE curricula is aligned with PA Academic Standards.
- (d) Provide a sampling of current student transcripts from each member of the consortium.

Postsecondary Documentation Required:

- (a) Copy of postsecondary institution’s plan that addresses how student learning assessment activities are used to meet negotiated performance measures.
- (b) Provide a sampling of current student transcripts.
- (c) Provide documentation of external approval/accreditation of program(s).

Comments:
(Text Box)

- 6. The eligible recipient has a comprehensive professional development plan that includes workshops and training for CTE, academic, guidance and administrative personnel.

(NOTE: for any deficiencies documented during onsite PDE reviews and/or lack of continuous improvement as evidenced by performance data, Professional Development activities sponsored by BCTE must be attended and documentation of attendance submitted on annual performance report due August 31st.)

Compliance (Drop Down)

Secondary Documentation Required:

- (a) A copy of the LEA’s induction and professional education plans must address 134 (b)(4).
- (b) Sample copies of Act 48 hours earned by professional staff.

Postsecondary Documentation Required:

- (a) Provide institutional policies related to professional development of staff.
- (b) Describe professional development activities of CTE faculty, such as conferences attended, professional memberships and continuing education.

Comments:
(Text Box)

7. The eligible recipient has a process that will be used to evaluate and continuously improve performance of the eligible recipient.

Compliance (Drop Down)

Secondary Documentation Required:

- (a) A copy of the assessment tool used to evaluate performance improvement. Provide an explanation of why the assessment tool was chosen. (APE Self-Study/OAC Minutes).
- (b) Accreditation/Certification for secondary, if applicable.

Postsecondary Documentation Required:

- (a) Strategic plan of eligible recipient.
- (b) Institution-wide accreditation status.
- (c) Other institution-wide certifications.

Comments:

(Text Box)

8. The eligible recipient will review CTE programs, identify and adopt strategies to overcome barriers that result in lower access or success for special populations, provide programs that enable special populations to meet local performance levels and provide activities to prepare special populations, including single parents and displaced homemakers, for high-skill, high-wage or high-demand occupations that will lead to self-sufficiency.

Compliance (Drop Down)

Secondary Documentation Required:

- (a) A description of how comprehensive career guidance and counseling is provided from local sources for special population students to enter high-skill, high-wage or high-demand occupations.
- (b) PDE will randomly select IEP's and review transition plans to assure alignment with career objective form.
- (c) Evidence LEA is providing access to programs leading to high-skill, high-wage or high-demand occupations.
- (d) Copies of and/or a description of admission policies, procedures and application forms, which includes a copy of nondiscrimination policy, including all appropriate publication.

Postsecondary Documentation Required:

- (a) A description of how comprehensive career guidance and counseling is provided from local sources for special population students to enter high-skill, high-wage or high demand occupations.
- (b) Evidence LEA is providing to all special populations subgroups access to programs leading to high-skill, high-wage or high-demand occupations.
- (c) Copies of and/or a description of admission policies, procedures and application forms, which includes a copy of nondiscrimination policy, including all appropriate publications.

Comments:

(Text Box)

9. The eligible recipient has identified how funds are used to promote preparation for nontraditional fields in current and emerging professions and other activities that expose students to high priority, high-skill, high-wage or high-demand occupations.
http://www.pde.state.pa.us/career_edu/cwp/view.asp?a=113&q=120116

Compliance (Drop Down)

Secondary and Postsecondary Documentation Required:

- (a) Description and examples, such as news articles, brochures, etc., of how the plan promotes nontraditional enrollment and employment.
- (b) Tools used to evaluate the success of non-traditional students and efforts to monitor placement into high-priority, high-skill, high-wage or high-demand occupations.

Comments:

(Text Box)

10. The eligible recipient will provide career guidance and academic counseling that assist CTE students including linkages to future education and training opportunities.

Compliance (Drop Down)

Secondary Documentation Required:

- (a) A random sampling of Career Objective form will be reviewed.
- (b) Provide copies of information on postsecondary programs that students are receiving.

Postsecondary Documentation Required:

- (a) Industry related credentials, if available.

- (b) Evidence of information provided to students regarding future education and training opportunities.

Comments:

(Text Box)

- 11. The eligible recipient will develop and implement effective strategies for the recruitment and retention of CTE teachers/instructors, career guidance, academic counseling other support staff including underrepresented groups and the transition to teaching from business and industry.

Compliance (Drop Down)

Secondary Documentation Required:

- (a) A description of the recruitment and retention plan for CTE teachers/instructors and other support staff.

Postsecondary Documentation Required:

- (a) Describe recruitment and retention of all staff (full and part-time) involved in the delivery and promotion of approved CTE programs at the postsecondary level.
- (b) Describe staff orientation activities.

EXPENDITURES

Evidence must be reviewed to assure that all funds were used to efficiently and effectively address the purposes of the Act as defined in each contract. The following questions will guide the initial review of the expenditures; however, local and state reviewers will be expected to pursue any suspected incongruence between use of funds and any state or federal regulation or contracted use of funds. Each of the following questions must be responded to in the affirmative or a report seeking corrective action must accompany this monitoring report.

1. Are all expenditures approvable as written in the contracts? Compare actual expenditures with the approved local plans.

Comments
(Text Box)

2. What were the effective dates of each contract? Were all expenditures made during the effective dates of the contracts?

Comments
(Text Box)

3. Are equipment, supplies and consumables acquired through the contract(s) being used to achieve the specified performance objectives? Is an inventory system in compliance with EDGAR in place to account for all equipment purchased with federal funds?

Comments
(Text Box)

4. Do activities and time commitment of staff supported by the contracts correspond with that in the contracts? Are complementary job descriptions on file for split-time personnel? Review names, job titles, job descriptions, time distribution sheets, student and staff schedules and official records; interview staff and students as needed.

Comments
(Text Box)

5. Has the program benefited from all expenditures? Explain how it was proven.

Comments
(Text Box)

6. Document current audit findings and corrective actions.

Comments
(Text Box)

NARRATIVE REPORT

The on-site reviewers must detail specific evidence and information regarding the following:

1. Is/Are the objective(s) based on negotiated performance levels? What measurable improvements have been achieved on each Action Plan? Is performance meeting standards addressed in the plan's objectives?

Comments
(Text Box)

2. What are the Program(s) of Study your secondary/postsecondary/adult institutions are currently offering?

Are there any new Programs of Study being developed?

Comments
(Text Box)

3. Describe how your selected Program(s) of Study assist students in meeting technical performance standards to prepare each student for high-priority, high-skill, high-wage or high-demand occupations in current or emerging professions? How is this determined?

Comments
(Text Box)

4. How will the integration of academic and technical content improve students' achievement levels?

Comments
(Text Box)

5. List recommendations or professional development needed to improve the overall effectiveness or compliance of the plan.

Comments
(Text Box)

6. Identify the schools in the consortium.

Comments
(Text Box)

APPENDIX C

SAMPLE FEDERAL EQUIPMENT INVENTORY FORM (Education Department General Administrative Regulations-EDGAR)

Description	I.D. Number	Funding Source	Owner	Date Acquired	Cost	Percentage Federal	Location/ Room #	Condition	Disposal
Robotic Arm	12345678	Perkins 380-04-4019	Career Center	8/19/03	\$10,000	100	Transportation	New	
Laser Printer	56789	380-99-9123	Career Center	1/2/99	\$2,000	100	Business	Poor	Parts salvaged/ remainder trashed

An item costing over \$1,500 is considered equipment. A piece of equipment with several interchangeable parts is considered one item.

Link to Federal EDGAR Regulations: <http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>

APPENDIX D

Template for Programs of Study

Pennsylvania Department of Education
Bureau of Career and Technical Education

Program of Study template will be made available upon final approval from executive committee and the Bureau of Career and Technical Education.