DQI 2021 Virtual Series

“Perkins V 101”

Adam Flynn-Tabloff, Jose Figueroa, Marilyn Fountain, and Andrew Johnson
October 5, 2021 2-4pm ET
Collaborative Norms

- Stay muted when not speaking.
- Turn your camera on when speaking, if preferred.
- Use the hand-raise feature to gain the attention of the presenter.
- Be an active participant.

MS Teams Tools

- Turn camera on/off
- Turn microphone on/off
- View participant list
- View and use the chat
- Use the hand-raise feature
Participants will develop an understanding of accountability, fiscal, and local application requirements under Perkins V.
Learning Goals
What is the organizational structure of OCTAE?

Who are the Perkins Regional Coordinators (PRCs)?

What are the responsibilities of the PRCs?

How can I stay up-to-date with DATE?
Office of Career, Technical, and Adult Education (OCTAE)
Perkins Regional Coordinators (PRCs)

<table>
<thead>
<tr>
<th>PRC</th>
<th>State Responsibility</th>
</tr>
</thead>
</table>
| José R. Figueroa  
Education Program Specialist  
*Jose.Figueroa@ed.gov*  
(202)245-6054 | AK, CA, ID, MT, NV, ND, OH, OR, PR, SD, WA, WY |
| Marilyn Fountain  
Education Program Specialist  
*Marilyn.Fountain@ed.gov*  
(202) 245-7346 | AL, AR, FL, GA, HI, KY, LA, MS, MO, NC, SC, TN |
| Sharon Head  
Education Program Specialist  
*Sharon.Head@ed.gov*  
(202) 245-6131 | CT, IL, ME, MA, MI, NH, NY, RI, VT |
| Allison Hill  
Education Program Specialist  
*Allison.Hill@ed.gov*  
(202) 245-7775 | DE, DC, IA, MD, MN, NJ, PW, PA, VA, WV |
| Andrew Johnson  
Education Program Specialist  
*Andrew.Johnson@ed.gov*  
(202) 245-7786 | AZ, CO, IN, KS, NE, NM, OK, TX, UT, WI |
PRC Roles and Responsibilities

- Federal Compliance Monitoring
- Technical Assistance to States
- State Plan Reviews and Approvals
- Consolidated Annual Report (CAR) Reviews and Approval
- Enrollment & Performance Data
- Local Applications & Comprehensive Needs Assessments
- Fiscal Responsibility
- Program Administration
- Federal Compliance Monitoring
Perkins Collaborative Resource Network (PCRN)

Regularly visit **cte.ed.gov** to stay up to date with DATE

- Legislation & Regulations
- Grant Programs
- Accountability
- National Initiatives
- Resources
- Learning Center
Accountability 101

José Figueroa
Education Program Specialist

Learning Goals
What are the reporting requirements of the Consolidated Annual Report (CAR)?

What are the Perkins V indicators of performance?

What are State determined performance levels (SDPLs) and when can they be revised?

When is a State required to develop and implement an improvement plan?
Consolidated Annual Report (CAR)

Perkins Web Portal

Submission of:
1. Consolidated Annual Report (CAR)
2. State Plan
3. Monitoring Documentation

https://perkins.ed.gov/Account/LogOn?ReturnUrl=%2fStaticPages%2fHome
# Consolidated Annual Report (CAR) Submission Requirements

<table>
<thead>
<tr>
<th>CAR Deadline (Report Due)</th>
<th>Program Year Data</th>
<th>When do I start collecting data?</th>
<th>What is reported?</th>
</tr>
</thead>
</table>
| January 31, 2022          | PY 2020-2021      | Fall semester of 2021           | • Enrollment data  
                          |                   |                   | • Performance data  
                          |                   |                   | • Financial Status Reports (Interim & Final)  
                          |                   |                   | • State Improvement Plan(s) - if applicable |

States will report all their secondary enrollment and performance data directly via the Consolidated Annual Reporting System (CAR). OCTAE will no longer use EDFacts.
CTE Participant
an individual who completes not less than one course in a CTE program or program of study of an eligible recipient

Section 3(13) of Perkins V

CTE Concentrator
(A) at the secondary level, a student served by an eligible recipient who has completed at least 2 courses in a single CTE program or program of study; and (B) at the postsecondary level, a student enrolled in an eligible recipient who-
(i) earned at least 12 credits within a CTE program or program of study; or
(ii) Completed such program if the program encompasses fewer than 12 credits or the equivalent in total

Section 3(12) of Perkins V
Consolidated Annual Report (CAR)
Student Populations

**Gender**
- Female\(^U\)
- Male\(^U\)

**Race/Ethnicity**
- American Indian or Alaskan Native\(^U\)
- Asian\(^U\)
- Black or African American
- Hispanic or Latino\(^U\)
- Native Hawaiian or Other Pacific Islander\(^U\)
- White\(^U\)
- Two or More Races\(^U\)
- Unknown\(^U\)

**Special Populations**
- Individuals with Disabilities\(^D\)
- Individuals from Economically Disadvantaged Families\(^D\)
- Individuals Preparing for Non-traditional Fields\(^D\)
- Single Parents\(^D\)
- Out of Workforce Individuals\(^D\)
- English Learners\(^D\)
- Homeless Individuals\(^D\)
- Youth in Foster Care\(^D\)
- Youth with Parent in Active Military\(^D\)
- Migrant\(^D\)

\(^U\) Unduplicated Counts
\(^D\) May be Duplicated Counts

Office of Career, Technical, & Adult Education
Consolidated Annual Report (CAR)
Career Clusters

1. Agriculture, Food & Natural Resources
2. Architecture & Construction
3. Arts, A/V Technology & Communications
4. Business Management & Administration
5. Education and Training
6. Finance
7. Government & Public Administration
8. Health Science
9. Hospitality & Tourism
10. Human Services
11. Information Technology
12. Law, Public Safety, Corrections & Security
13. Manufacturing
14. Marketing
15. Science, Technology, Engineering & Mathematics
16. Transportation, Distribution & Logistics
17. Other: Please Identify (Optional)

Note: States may elect to report cluster data as unduplicated or duplicated counts. Please identify in the CAR if the data is duplicated or unduplicated.
### Secondary Indicators

<table>
<thead>
<tr>
<th>1S1: Four Year <strong>Graduation</strong> Rate</th>
<th>2S1: <strong>Academic Proficiency</strong> in Reading/Language Arts</th>
<th>3S1: Postsecondary <strong>Placement</strong></th>
<th>4S1: Non-Traditional Program <strong>Concentrators</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>1S2: Extended <strong>Graduation</strong> Rate (Optional)</td>
<td>2S2: <strong>Academic Proficiency</strong> in Mathematics</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>2S3: <strong>Academic Proficiency</strong> in Science</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*Section 113(b)(2)(A)(i-iii) of Perkins V*
### Secondary Quality Indicators

**Required** to select at least one of the following:
- 5S1: Attained Recognized Postsecondary Credential
- 5S2: Attained Postsecondary Credit
- 5S3: Participated in Work-Based Learning

**Optional:**
- 5S4, 5S5, 5S6, etc.: State-developed Quality Indicators

*Section 113(b)(2)(A)(iv)(II) of Perkins V*
# Consolidated Annual Report (CAR)

## Performance Indicators

### Postsecondary Indicators

<table>
<thead>
<tr>
<th>1P1: Postsecondary Placement</th>
<th>2P1: Earned Recognized Postsecondary Credential</th>
<th>3P1: Non-traditional Program Concentration</th>
</tr>
</thead>
</table>

*Section 113(b)(2)(B)(i-iii) of Perkins V*
Knowledge Check #1

Respond to the questions via the Microsoft Forms link in the chat
Section 113(b)(3)(A)(i)(I) of Perkins V

Each eligible agency, with input from eligible recipients, shall establish in the State plan submitted under section 122, for each year covered by the State plan, State determined levels of performance for each of the core indicators described under subparagraphs (A) and (B) of paragraph (2) for career and technical education activities authorized under this title.
Section 113(b)(3)(A)(i)(III)(aa-cc) of Perkins V

Such State determined levels of performance shall, at a minimum-

• (aa) be expressed in a **percentage or numerical form**, so as to be objective, quantifiable, and measurable;

• (bb) require the State to **continually make meaningful progress** toward improving the performance of all career and technical education students, including the subgroups of students described in section 1111(h)(i)(C)(ii) of the Elementary and Secondary Education Act of 1965, and special populations, as described in section 3(48); and

• (cc) have been **subject to the public comment** process described in subparagraph (B), and the eligible agency has provided a written response;
### State Determined Levels of Performance

#### Tables in the CAR

<table>
<thead>
<tr>
<th>Indicators</th>
<th>Baseline Level</th>
<th>FY 2020</th>
<th>FY 2021</th>
<th>FY 2022</th>
<th>FY 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>1S1: Four-Year Graduation Rate</td>
<td></td>
<td>91</td>
<td>91</td>
<td>91.5</td>
<td>92</td>
</tr>
<tr>
<td>2S1: Academic Proficiency in Reading Language Arts</td>
<td></td>
<td>80</td>
<td>80</td>
<td>80.5</td>
<td>81</td>
</tr>
<tr>
<td>2S2: Academic Proficiency in Mathematics</td>
<td></td>
<td>42</td>
<td>42</td>
<td>43</td>
<td>44</td>
</tr>
<tr>
<td>2S3: Academic Proficiency in Science</td>
<td></td>
<td>54</td>
<td>54</td>
<td>55</td>
<td>56</td>
</tr>
<tr>
<td>3S1: Post-Program Placement</td>
<td></td>
<td>56</td>
<td>56</td>
<td>59</td>
<td>62</td>
</tr>
<tr>
<td>4S1: Non-traditional Program Concentration</td>
<td></td>
<td>26.5</td>
<td>26.5</td>
<td>28</td>
<td>28.5</td>
</tr>
<tr>
<td>5S3: Program Quality – Participated in Work-Based Learning</td>
<td></td>
<td>25</td>
<td>25</td>
<td>27</td>
<td>29</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Indicators</th>
<th>Baseline Level</th>
<th>FY 2020</th>
<th>FY 2021</th>
<th>FY 2022</th>
<th>FY 2023</th>
</tr>
</thead>
<tbody>
<tr>
<td>1P1: Post-Program Placement</td>
<td></td>
<td>73</td>
<td>73</td>
<td>73</td>
<td>73</td>
</tr>
<tr>
<td>2P1: Earned Recognized Postsecondary Credential</td>
<td></td>
<td>79.65</td>
<td>79.65</td>
<td>79.65</td>
<td>82.65</td>
</tr>
<tr>
<td>3P1: Non-Traditional Program Concentration</td>
<td></td>
<td>22.90</td>
<td>22.90</td>
<td>22.90</td>
<td>25.90</td>
</tr>
</tbody>
</table>

Office of Career, Technical, & Adult Education
State Determined Levels of Performance
Adjustments of Levels of Performance

**Prior to 3rd Program Year**

May revise SDPLs for any core indicator(s) for subsequent years covered by the State plan.

Requirements in Section 113(b)(3)(A)(i)(III)(dd-ff) of Perkins V
- compare with other States
- be higher than average of actual performance of 2 most recent program years (absent unanticipated circumstances)
- advance eligible agency’s goals in State plan

**Due to Unanticipated Circumstances**

May revise SDPLs if unanticipated circumstances arise or in response to improvements in data or measurement approaches

Requirements in Section 113(b)(3)(A)(iii) of Perkins V
- may revise at end of program year
- still subject to public comment
An eligible agency shall not be eligible to adjust performance levels while executing an improvement plan.

Section 123(a)(5) of Perkins V
If a **State fails to meet at least 90 percent of the State determined level of performance** for any of the core indicators of performance described in 113(b)(2) for all CTE concentrators, **the eligible agency shall develop and implement a program improvement plan** (that includes the performance disparities or gaps identified under section 113(b)(3)(C)(ii)(II), and actions that will be taken to address such gaps) **during the first program year succeeding** the program year for which the eligible agency failed to so meet the State determined levels of performance for any of the core indicators of performance.
Knowledge Check #2

Respond to the questions via the Microsoft Forms link in the chat
Learning Goals
What are the within State set-asides under Perkins V?

What are allowable costs under Perkins V and applicable Federal regulations?

What are the Maintenance of Effort requirements under Perkins V?

What are the State administration Match/Hold Harmless requirements under Perkins V?

What are the Supplement not Supplant requirements under Perkins V?

When are States required to submit annual financial reports for Perkins?
Within State Set-asides

State Administration
- Not more than 5% of grant or $250,000 (whichever is greater)

- Not more than 10% of grant
- Non-traditional - between $60,000 and $150,000
- State Institutions - not more than 2% of grant
- Special Populations Recruitment - .1% or $50,000 (whichever is lesser of grant)

Local Use of Funds
- Not less than 85% of grant
- State determines secondary/postsecondary split

- Not more than 15% of the 85%
- Flexibility to allocate funds
Allowable Costs

Programmatic Elements

- State Administration
  - Section 112(a)(3)
- State Leadership
  - Section 124
- Local Use of Funds
  - Section 135

Other Factors

- Is the cost necessary and reasonable?
- Is the cost allocable to the grant?
- Is supplanting in play? Or can it be rebutted?
Maintenance of Effort (MOE)

A Federal requirement that grant recipients maintain a certain level of State fiscal effort to be eligible for full participation in Federal grant funding.

Calculation Methods
- Aggregate
- Per Student

Exclusions to Computation
- Competitive or Incentive-based Programs
- Capital Expenditures
- Special One-Time Project Costs
- Costs of Pilot Programs and Tuition
Maintenance of Effort (MOE)

General Principles:

• Consistently calculated
• State-level costs that meet the definition of CTE
• Expenditure data must be auditable, and costs are recorded with supporting documentation
• Internal controls and procedures are in place to ensure the accuracy of student enrollment data (if effort is calculated on a per-student basis)
• Student enrollment counts are not duplicated
Maintenance of Effort (MOE)

Baseline Reset

Section 211(b)(1)(D)
- Can be reset once
- Adjustment first full fiscal year following enactment of Perkins V
- Not less than 95% of current baseline

Decrease in Federal Support

Section 211(b)(1)(C)
- If Federal allotment to State is reduced from one year to the next, State’s level of effort can be reduced by the same percentage

Waiver

Section 211(b)(3)
- One time up to 5% reduction is removed from previous law
- Exceptional or uncontrollable circumstances
- Must return to original level of effort in year after waiver

More information regarding MOE is available at
https://cte.ed.gov/grants/town-hall-webinars
State Administration Match and Hold Harmless

**Match**
- Section 112(b)
- State-level funds for administration activities
- “Dollar-for-dollar” basis

**Hold Harmless**
- Section 223
  - Provide an amount that is not less than the amount made available in the preceding year even if it is above the dollar-for-dollar match.
  - If the Federal Administration amount is reduced from one year to the next, the non-Federal hold harmless may be reduced by the same percentage.
  - The dollar-for-dollar match must still be maintained
Supplement not Supplant

Section 211(a) of Perkins V

- Funds made available under Perkins for CTE shall supplement and not supplant, non-Federal funds expended to carry out CTE activities

Presumption of supplanting:

- The State or sub-recipient (local) used Federal funds to provide services that the State or local was required to make available under other Federal, State, or local laws
- The State or local used Federal funds to provide services that the State or local provided with Federal funds in the prior year

Supplanting presumptions are rebuttable if:

- The State or local can demonstrate that it would not have provided the services in question with non-Federal funds had the Federal funds not been available.
### Annual Fiscal Reporting Requirements

<table>
<thead>
<tr>
<th>Due Date</th>
<th>What is reported?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Spring of each year</td>
<td>State Plan Revisions Submission</td>
</tr>
<tr>
<td></td>
<td>• Budget submission</td>
</tr>
<tr>
<td>January 31 of each year</td>
<td>Consolidated Annual Report (CAR)</td>
</tr>
<tr>
<td></td>
<td>• Financial Status Reports (FSRs)</td>
</tr>
<tr>
<td></td>
<td>• Interim FSR - 1st 12-15 months of Perkins grant</td>
</tr>
<tr>
<td></td>
<td>• Final FSR - entire 27 months of Perkins grant</td>
</tr>
</tbody>
</table>
Knowledge Check #3

Respond to the questions via the Microsoft Forms link in the chat
Local Applications 101

Marilyn Fountain
Education Program Specialist

Learning Goals
What are the required sections of local applications under Perkins V?

What is a comprehensive local needs assessment (CLNA)?

What level of consultation with business/industry is required under Perkins V?

What are the major changes to local use of funds provisions under Perkins V?
Local Applications Requirements

1. Application Components
2. Comprehensive Needs Assessment (CLNA)
3. Consultation Requirements
Perkins V requires that the State plan describe its criteria and process for local application approval that:

- Promotes academic achievement;
- Promotes skill attainment, including skill attainment that leads to a recognized postsecondary credential; and
- Ensures the comprehensive needs assessment takes into consideration local economic and education needs, including, where appropriate, in-demand industry sectors and occupations.
Section 134(c)(1-2) of Perkins V

To be eligible to receive financial assistance, an eligible recipient shall -

(A) conduct a comprehensive local needs assessment (CLNA) related to career and technical education and include the results of the needs assessment in the local application submitted for funding; and

(B) not less than once every 2 years, update such CLNA
Local Applications

Comprehensive Local Needs Assessment

- Student performance on the indicators, including performance of special populations and subgroups
- Whether programs are of sufficient size, scope, and quality to meet the needs of all students and are meeting labor market needs
- Progress toward the implementation of CTE programs and programs of study
- How the eligible recipient will improve recruitment, retention, and training of CTE professionals, including underrepresented groups
- Progress toward implementation of equal access to high-quality CTE courses and programs of study, for all students
Local Applications
Comprehensive Local Needs Assessment

Instruction & Teaching Methods
Career Development
Facilities & Equipment
Business & Community Partnerships

Work-Based Learning
CTSOs
Data & Program Improvement
Section 134(d)(1-8) of Perkins V requires eligible recipients to consult with stakeholders on an ongoing basis, as determined by the eligible agency.
Local Applications
Local Use of Funds

Alignment with CLNA
Allocation of resources must be aligned with CLNA results

Size, Scope, & Quality
Funds made available to eligible recipients shall be used to support CTE programs of sufficient size, scope, and quality.
Knowledge Check #4

Respond to the questions via the Microsoft Forms link in the chat
DQI 2021
Supporting the Use of Data in CLNAs

Perkins 101
10/5/21 2-4pm ET

Connect Session
10/7/21 2-3pm ET

Session 1:
Data Driven Decision Making
10/12/21 2-3:30pm ET

Session 2:
Using Labor Force Data
10/14/21 2-3pm ET

Session 3:
Equity Gap Analysis
10/19/21 2-3pm ET

Office of Career, Technical, & Adult Education
Questions?

Please use the “hand-raise” feature or the chat to ask a question.