



Kansas Board of Regents

***The Carl D. Perkins
Career and Technical Education Act of 2006
Public Law 109-270***

2012 Handbook for Carl D. Perkins Grants

Revised January, 2012

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I) INTRODUCTION TO CARL D. PERKINS

This handbook is designed to be a guide in developing, submitting and administering a Carl D. Perkins (Perkins) grant. It is intended as a reference tool only and is subject to revision. Please contact the Kansas Board of Regents (KBOR) Perkins staff with specific grant application questions or concerns.

The purpose of the “Carl D. Perkins Career and Technical Education Act of 2006” is to more fully develop the academic and career technical skills of students enrolled in career and technical education programs by:

- building on the efforts of states to develop challenging academic and technical standards and to assist students in meeting the standards, including preparation for 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 technical instruction and link secondary and postsecondary education for participating students;
- increasing flexibility in providing services and activities designed to develop, implement and improve career and technical education;
- conducting and disseminating national research and information on best practices;
- providing technical assistance that promotes leadership and professional development and improves the quality of career and technical education faculty, administrators, and counselors;
- supporting partnerships among educational levels, business and industry and local workforce investment boards;
- providing individuals with opportunities throughout their lifetimes to develop the knowledge and skills needed to keep the United States competitive. [Sec. 2]

II) GENERAL GUIDELINES FOR PERKINS GRANTS

To accomplish the legislated purpose, the Act focuses upon the continuous improvement of career and technical education programs (CTE). Postsecondary institutions may submit grant proposals in three categories: Perkins Program Improvement Fund, Perkins Reserve Fund and Perkins Leadership Fund. Specific definitions and guidelines apply to all three categories and are listed below.

a) Perkins Program Eligibility

Institutions must determine whether to request Perkins funding for a CTE program and, if the determination is made to proceed with the request, should take the following steps:

New CTE Programs: Enter the program into Program Inventory (KBOR website) and select “Yes” for Perkins Eligibility.

Existing CTE Programs: Submit a Program Modification (KBOR website) and select “Yes” for Perkins Eligibility.

The KBOR CTE staff will review the request and determine Perkins eligibility. To be approved for Perkins, programs must:

- 1) Contain at least 55% Tiered Technical Courses;
- 2) Have an average of 8 concentrators in a two year period; and
- 3) Have an award level of AAS or a certificate.

To maintain Perkins eligibility, programs must:

- 1) Remain 55% Tiered Technical; and
- 2) Maintain an average of 8 concentrators.

As an additional note, SAPPs are no longer eligible for Perkins funding.

b) Definitions

Understanding the following definitions will assist in understanding many of the activities and best practices described in this guide and in completing an application for Perkins Grant funding.

Advisory Committee A group of persons outside the education profession, comprised of representative lay-people, recognized and respected in their own fields of work who advise CTE educators, administrators, based on the employment needs of the community, state, regional, national, and international marketplace. (See Advisory Committee Handbook at www.ksbor.org for further information)

All Aspects of an Industry Strong experience in, and comprehensive understanding of, the industry that the individual is preparing to enter, including information regarding occupational education and training options and employment information [Sec 3(2)]... may also include aspects of planning, management, and finance, technical and production skills, underlying principles of technology, labor issues, community issues and health, safety and environmental issues associated with the industry (i.e., not simply the required technical skills for the field but a variety of information pertaining to the industry).

Articulation Agreement A written commitment (A) that is agreed upon at the state level or approved annually by the lead administrators of [i] a secondary and a postsecondary educational institution; or [ii] a postsecondary sub-baccalaureate degree granting and a baccalaureate degree granting institution; and (B) a program [i] designed to provide students with a non-duplicative sequence of progressive achievement leading to a technical skill proficiency, a credential, a certificate or a degree; and (ii) linked through credit transfer agreements between the institutions. [Sec. 3(4)]

Associate Degree An organized program of study, 60 – 68 credit hours in length, which contains at least 15 credit hours of General Education courses.

Career and Technical Education (A) a sequence of courses that [i] provides 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, an industry-recognized credential, a certificate, or an associate degree; and [iii] may include prerequisite courses (other than a remedial course) 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, and occupation-specific skills, and knowledge of all aspects of an industry. [Sec. 3(5)]

Career and Technical Program of Study A program of study that (A) incorporates secondary and postsecondary education elements; (B) includes 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 education with postsecondary education to adequately prepare students to succeed in postsecondary education; (C) may include opportunity for secondary students to participate in dual or concurrent enrollment programs or other ways to acquire postsecondary credit; and (D) leads to an industry-recognized credential or certificate at the postsecondary level, or an associate or baccalaureate degree. [Sec. 122(c)(1)(A)]

Career Guidance and Academic Counseling Guidance and counseling that (A) provides access to information regarding career awareness and planning with respect to an individual's occupation and academic future; and (B) provides information with respect to career options, financial aid, and postsecondary options, including baccalaureate degree programs. [Sec. 3(7)]

Certificate Award An award conferred after the completion of an organized program of study, defined as follows: Certificate A = program of study 16- 30 credit hours in length; Certificate B = program of study 31-45 credit hours in length; Certificate C = program of study 46 – 59 credit hours in length

Completer A postsecondary student who has completed a program of study or earned an industry-recognized credential.

Concentrator A postsecondary student, with a Declared Major in a Perkins approved program, who has passed 12 tiered credit hours in that major over a three year time period

Core Indicators of Performance Performance accountability system used to assess the effectiveness of the State and the eligible recipients of the State in achieving statewide progress in career and technical education and to optimize the return on investment of Federal funds in career and technical education activities.

Corrective Action Plan Institutions will be asked to submit a plan if:

- a. 10% or more of Perkins Program Improvement funds are returned or not drawn down in a fiscal year or
- b. Perkins Program Improvement funds are returned in 2 consecutive years, regardless of the amount.

Eligible Institution (A) a public or nonprofit private institution of higher education that offers career and technical education courses that lead to technical skill proficiency, an industry-recognized credential, a certificate, or a degree; (B) a local education 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...; (E) an educational service agency; or (F) a consortium of 2 or more of the entities described above. [Sec 3(13 A-F)]

In addition to meeting one of the descriptors outlined in the “Eligible Institution” definition, institutions must develop and implement “Career and Technical Programs of Study.” The program of study definition contains four key elements: secondary to postsecondary articulation, academic/technical integration, concurrent enrollment/dual credit (*optional*) and credential attainment. Institutions receiving funds under the Act will be required to offer these relevant elements in at least one program of study. [Sec. 122(c)(1)(A)]

Eligible Programs

All programs receiving Perkins Program Improvement funds must be approved by KBOR and have a current Program CWP (Courses Within a Program) on file in the KBOR office.

- **Technical certificate and associate degree programs:** An approved “Program of Study” will be required for all Career Technical Education (CTE) technical certificate and associate degree programs receiving Perkins Program Improvement funds. An “Institutional Programs of Study Inventory” form is provided in the annual application. Use the form to document which career and technical education programs contain these four key elements. If any program has not incorporated the required elements, the institution must include activities to develop and implement a program of study on the Program Improvement Activity pages submitted.

Limited English Proficiency Individuals with limited ability in speaking, reading, writing, or understanding English, and (A) whose native language is a language other than English; or (B) who lives in a family or community environment in which a language other than English is the dominant language. [Sec. 3(16)]

Non-Traditional Training and Employment 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. [Sec. 3(20)]

Participant A student who has earned more than 0 (zero) but less than 12 credit hours in any Perkins Approved Program within the current academic year.

Postsecondary Career and Technical Education Student A student who has completed at least 12 college credit hours of a Perkins approved CTE technical certificate or associate degree program or completed a Perkins approved short-term program of less than 16 credit hours.

Program Income Program income includes income from fees for services performed, from the use or rental of real or personal property acquired with grant funds, from the sale of commodities or items fabricated under a grant agreement, and from payments of principal and interest on loans made with grant funds. Except as otherwise provided in regulations of the Federal agency, program income does not include interest on grant funds, rebates, credits, discounts, refunds, etc. and interest earned on any of them. Program income means gross income received by the grantee or subgrantee directly generated by a grant supported activity, or earned only as a result of the grant agreement during the grant period. "During the grant period" is the time between the effective date of the award and the ending date of the award reflected in the final financial report. Costs incident to the generation of program income may be deducted from gross income to determine program income. [EDGAR (*Education Department General Administrative Regulations*), Sections 80.25, a, b, c, pp. 166, December, 2008].

Program of Study The career and technical programs of study, which may be adopted by local educational agencies and postsecondary institutions to be offered as an option to students when planning for and completing future coursework, for career and technical content areas that i) incorporate secondary education and postsecondary education elements; ii) 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 education with postsecondary education to adequately prepare students to succeed in postsecondary education; iii) may include the opportunity for secondary students to participate in dual or concurrent enrollment programs or other ways to acquire postsecondary credits; and iv) lead to an industry-recognized credential or certificate at the postsecondary level or an associate or baccalaureate degree. [Sec. 122 (c) (A)]

Program Quality The measure of program success in teaching all enrolled students the industry-recognized competencies and skills necessary for them to practice careers within their chosen field after graduation and support a high level of student performance in core academic areas and skills. Program quality also includes successful student performance on certification/licensure exams and/or end of program exams, acquiring and maintaining program accreditations/certifications and meeting established business/industry standards.

Program Scope The curricular parameters and limitations of each program. Qualifiers include course content; range of course offerings within each sequence, ability to fully simulate the appropriate workplace environment, number of work skills and competencies taught, etc.

Program Size Quantifiable, physical parameters and limitations of each program—e.g., number of courses within the approved sequence, amount of available resources (*computers, software, workplace tools, etc.*), number of staff involved, number of students enrolled, and number of students completing a program each year.

Special Populations (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. [Sec. 3(29)]

Stand-Alone Parent Program (SAPP) A program which is (1) less than 16 credit hours, (2) not associated with another program of 16+ credit hours and (3) (generally) leads to an industry recognized credential, license or certification. SAPPs are NOT eligible for Perkins funding.

c) Expenditure Guidelines for Perkins Program Improvement (PIP) Grants

Administrative Costs No more than 5% of the total PIP grant may be used for local administration. The Kansas Board of Regents interprets this to be the indirect costs related to the supervision, accounting and reporting of Perkins activities set forth in the local plan.

Allowable and Unallowable Expenditures See Appendix for details on Allowable and Unallowable Expenditures.

Approved Short-Term Programs—No more than 15% of the total PIP grant may be used for approved short-term programs (less than 16 credit hours). All programs for which Perkins funding is used MUST report data for all of the core indicators of performance and meet the performance targets.

Equipment—No more than 50% of the total PIP grant may be used to purchase equipment. Equipment expenditures must be for new equipment to enhance an approved CTE program and cannot be used for maintenance or replacement of existing worn-out equipment. Equipment should be purchased or encumbered before December 1st of the award year. Equipment valued at more than \$5,000 must display a KBOR-issued Equipment ID tag. This tag should be permanently affixed to the equipment in a visible location on the equipment.

In addition, the equipment is subject to the following guidelines:

Use: (1) Equipment shall be used by the grantee or sub-grantee in the program or project for which it was acquired as long as needed, whether or not the project or program continues to be supported by Federal funds. When no longer needed for the original program or project, the equipment may be used in other activities currently or previously supported by a Federal agency.

(2) The grantee or sub-grantee shall also make equipment available for use on other projects or programs currently or previously supported by the Federal Government, providing such use will not interfere with the work on the projects or program for which it was originally acquired. First preference for other use shall be given to other programs or projects supported by the awarding agency. User fees should be considered if appropriate.

(3) Notwithstanding the encouragement to earn program income, the grantee or sub-grantee must not use equipment acquired with grant funds to provide services for a fee to compete unfairly with private companies that provide equivalent services, unless specifically permitted or contemplated by Federal statute.

Management: Procedures for managing equipment (including replacement equipment), whether acquired in whole or in part with grant funds, until disposition takes place will, as a minimum, meet the following requirements:

- (1) Property records must be maintained that include a description of the property, a serial number or other identification number (KBOR ID tag), the source of property, who holds title, the acquisition date, and cost of the property, percentage of Federal participation in the cost of the property, the location, use and condition of the property, and any ultimate disposition data including the date of disposal and sale price of the property.
- (2) A physical inventory of the property must be taken and the results reconciled with the property records at least once every two years.
- (3) A control system must be developed to ensure adequate safeguards to prevent loss, damage, or theft of the property. Any loss, damage, or theft shall be investigated.
- (4) Adequate maintenance procedures must be developed to keep the property in good condition.
- (5) If the grantee or sub-grantee is authorized or required to sell the property, proper sales procedures must be established to ensure the highest possible return.

Disposal: When original or replacement equipment acquired with Perkins IV funds or a combination of Perkins IV and local monies is no longer needed for the intended purposes, disposition of the equipment will be made as follows:

1. Items of equipment with a current per-unit fair market value of less than \$5,000.00 may be retained, sold, or otherwise disposed of with no further obligation to the awarding agency.
2. Items of equipment with a current per-unit fair market value in excess of \$5,000.00 may be retained or sold, and awarding agency shall have a right to an amount calculated by multiplying the current market value or proceeds from sale by the awarding agency's share of the equipment.

A record and/or documentation regarding the disposition of this equipment must be sent to the Kansas Board of Regents.

Source: EDGAR (*Education Department General Administrative Regulations*), Sections 80.32, c (1), d (1), e (1), pp. 114, June 23, 2005.

Membership Fees – Perkins funds may not be used to provide membership fees to professional organizations for administration, faculty or CTE students.

New Programs—Technical Certificate or Associate Degree Programs—No more than \$25,000 or 25% of the total PIP grant, whichever is less, may be used to support newly approved CTE programs.

On-Going Program Expenses — Items essential to delivering effective, quality CTE programs should over time be assumed by the institution. Perkins Program Improvement funds are to be used for improvements, not to simply maintain the operation of a CTE program or service provided by the institution. Approved Perkins funding for items such as annual renewals for software/hardware licenses for instructional software or student screening/placement assessments (e.g. Compass, Plato, Discover, Choices, TABE, Work Keys) will be decreased by 1/3 each year over a 3-year period to assist institutions in assuming these program costs.

Program Improvement Activities—All of the nine mandated activities of the Carl D. Perkins Act must be addressed on the Program Improvement Activity sheets. However, activities can be funded from either federal or nonfederal sources. When non-Perkins funds are used to support an activity, simply identify the source in the funding column (e.g. Local funding).

Salaries—No more than 50% of the total PIP grant may be used for salaries. Funding may only be used for new, permanent positions that will be assumed by the institution when grant funding is no longer available (*maximum 3 years*). Approved Perkins funding will decrease by 1/3 each year for the 2nd and 3rd years the position is funded. Any funded new positions cannot be used to supplant existing personnel expenditures. A complete job/position description with time allocations must be submitted with the grant application.

The following standards regarding time distribution are in addition to the standards for payroll documentation:

- (1) Charges to Federal awards for salaries and wages, whether treated as direct or indirect costs, will be based on payrolls documented in accordance with generally accepted practice of the governmental unit and approved by a responsible official(s) of the governmental unit.
- (2) No further documentation is required for the salaries and wages of employees who work in a single indirect cost activity.
- (3) Where employees are expected to work solely on a single Federal award or cost objective, charges for their salaries and wages will be supported by periodic certifications that the employees worked solely on that program for the period covered by the certification. These certifications will be prepared at least semi annually and will be signed by the employee or supervisory official having first hand knowledge of the work performed by the employee.
- (4) Where employees work on multiple activities or cost objectives, a distribution of their salaries or wages will be supported by personnel activity reports or equivalent documentation which meets the standards in subsection (5) unless a statistical sampling system (see subsection (6)) or other substitute system has been approved by the cognizant Federal agency. Such documentary support will be required where employees work on:
(a) More than one Federal award;
(b) A Federal award and a non Federal award;
(c) An indirect cost activity and a direct cost activity;
(d) Two or more indirect activities which are allocated using different allocation bases; or
(e) An unallowable activity and a direct or indirect cost activity.
- (5) Personnel activity reports or equivalent documentation must meet the following standards:
a) They must reflect an after the fact distribution of the actual activity of each

employee;(b) They must account for the total activity for which each employee is compensated;(c) They must be prepared at least monthly and must coincide with one or more pay periods, and (d) They must be signed by the employee. (e) Budget estimates or other distribution percentages determined before the services are performed do not qualify as support for charges to Federal awards but may be used for interim accounting purposes, provided that: (i) The governmental unit's system for establishing the estimates produces reasonable approximations of the activity actually performed; (ii) At least quarterly, comparisons of actual costs to budgeted distributions based on the monthly activity reports are made. Costs charged to Federal awards to reflect adjustments made as a result of the activity actually performed may be recorded annually if the quarterly comparisons show the differences between budgeted and actual costs are less than ten percent; and (iii) The budget estimates or other distribution percentages are revised at least quarterly, if necessary, to reflect changed circumstances.

Source: OMB Circular A-87 Appendix B (Compensation)

Subscriptions — Funding may only be used for new, subscriptions to scholarly journals or publications. Publications must be relevant to a specific Perkins approved career and technical education program and must be purchased for use by the career and technical education students and career and technical education instructors; these subscriptions will be assumed by the institution when grant funding is no longer available (*maximum 3 years*). Approved Perkins funding will decrease by 1/3 each year for the 2nd and 3rd years the subscription is renewed.

d) State Funds

Carl D. Perkins funds are shared equally between the KBOR and Kansas State Department of Education (KSDE). Supported by both the state agencies, this distribution methodology provides access to equal amounts of funding for institutions at both the secondary and postsecondary levels, ensures continued support for quality secondary and postsecondary CTE programs and initiatives within the state, and leads to stronger and more consistent educational linkages throughout the state.

The Kansas Board of Regents assumes the sole eligible state agency responsibilities for Kansas in regard to Carl D. Perkins funding.

The total consolidated funding allocation is distributed in the following manner: 85% of the funds are distributed to eligible local recipients (which includes a 10% Reserve Fund), 10% for state leadership activities, and 5% for state administration (see table on following page).

Distribution of Federal Perkins Funds to the State

Title I (Basic Grant)

Local Formula Distribution (85%)

Reserve Fund (10%)

(Secondary- 50%; Postsecondary- 50%)

Local Formula Allocation (75%) *(Program Improvement)*

(Secondary- 50%; Postsecondary-50%)

State Leadership (10%)

Nontraditional Training and Employment

(Secondary-\$75,000)

Corrections/Institutions (1%)

(Secondary- 50%; Postsecondary- 50%)

Remaining Leadership Funds

(Secondary- 50% less previous distributions in this category; Postsecondary- 50%)

State Administration (5%)

State Administration Match (from non-federal funds)

Distribution of Postsecondary Portion of Federal Perkins Funds to the State

Local Formula Distribution (85%)

The amount distributed to each postsecondary institution is based upon the Annual FTE Pell Grant count for the previous academic year. KBOR staff will identify the number of CTE Pell grant recipients using Kansas Postsecondary Database (KSPSD) data system. This data system is designed to support the informed decision-making capabilities desired by KBOR through the collection, analysis and reporting of postsecondary education data in Kansas. Since each institution's annual Perkins allocation is based upon the KSPDS data, it is imperative the Perkins Coordinators work with the institutional IT/data staff to verify that Perkins data has been submitted accurately!

The formula for local allocation is as follows:

$$\text{Local \% of Allocation} = \text{Institutional FTE Pell Count} / \text{Total State FTE Pell Count}^*$$

*The Institutional FTE Pell Count is determined by:

- Identifying the number of concentrators in Perkins approved programs as reported in the institution's annual KSPSD submission. A concentrator is a student who has completed at least 12 tiered college credit hours in the last three years from courses identified in the Program Inventory database.
- Determining the number of semesters in the academic year for which the concentrator received a Pell grant and totaling only the credit hours the student attempted in those semesters.

- This total number of credit hours is then divided by 30 to determine the student's enrollment level for the year (e.g. full time, $\frac{3}{4}$ time, $\frac{1}{2}$ time). Full time is considered 30 or more hours; $\frac{3}{4}$ time is considered at least 22 hours but less than 30 hours; $\frac{1}{2}$ time is considered at least 15 hours but less than 22 hours.

Further information on the KSPSD system, including a Reference Manual and due dates for data submission, may be found on the KBOR website (<http://kspdsd.org/IR/KSPSD>).

An eligible institution must qualify for a grant of at least \$50,000 to receive an allocation, or they must join a consortium that qualifies for that amount [Sec. 132]. Eligible institutions may enter into a consortium for the purposes of receiving funds. Such a consortia must operate joint projects that:

- Provide services to all postsecondary institutions participating in the consortium (unless the eligible institution is in a rural, sparsely populated area and the state waives this requirement) and
- Are of sufficient size, scope and quality to be effective.

Funds allocated to consortia must be used only for purposes and programs that are mutually beneficial to all members of the consortium and cannot simply be reallocated to individual members of the consortium.

III) PROGRAM IMPROVEMENT FUNDS

a) Local Application for Program Improvement Funds (formerly called the Program Improvement Plan)

The Act mandates that Perkins funds be used to improve career and technical education programs through the implementation or refinement of nine different activities. [Sec. 135(b)] These activities, and the suggested best practices, provide the basis for the local "Application for Program Improvement Funds" and ultimately achievement of the core indicators of performance. Expenditure limits as well as allowable and unallowable expenditures are explained within the application. As a **reminder**, Perkins funds may only be spent on KBOR Perkins approved career and technical education programs.

Application documents include:

- Cover Sheet for CTE Plan / Signature
- Institutional Programs of Study Inventory
- Institutional Perkins Core Indicators Performance Report
- KBOR Performance Improvement Plan
- Perkins Program Improvement Activity & Progress Report
- Breakdown of Expenses
- Budget Summary Sheet

Contractual Provisions
Local Assurances

See Appendix for sample Application documents.

b) Core Indicators of Performance

To assess the extent to which the State of Kansas and local recipients have improved the quality of career and technical education programs, Perkins legislation sets forth minimum core indicators of performance for career and technical education programs at the postsecondary level. [Sec. 113(b)(1)(B)] These measures of performance are incorporated into the State plan as a condition of approval by the U.S. Department of Education, must be valid and reliable and include, at a minimum, measures of each of the following:

Postsecondary Core Indicators of Performance

- **1P1 - Technical Skill Attainment**—Student attainment of challenging career and technical skill proficiencies, including student achievement on technical assessments, that are aligned with industry-recognized standards, if available and appropriate. Measures any student identified as a concentrator who attempted a technical skill assessment test.
Numerator = number of CTE concentrators who passed technical skill assessments that are aligned with industry-recognized standards, if available and appropriate, during the reporting year
Denominator = number of CTE concentrators who attempted technical skills assessments during the reporting year

Note: A list of Technical Skill Assessment Tools can be found on the KSPSD web site.
- **2P1 - Credential, Certificate, or Degree**—Student attainment of an industry-recognized credential, a certificate, or a degree. Measures concentrators who earned an award and are NO LONGER enrolled in postsecondary education.
Numerator = number of CTE concentrators who receive an industry-recognized credential, a certificate, or a degree during the reporting year
Denominator = number of CTE concentrators who left post-secondary education during the reporting year
- **3P1 - Student Retention and Transfer**—Student retention in postsecondary education or transfer to a baccalaureate degree program. Measures concentrators who were enrolled during the reporting year and remained in postsecondary

education the following fall. All students who earned an award or an industry recognized credential are REMOVED from the analysis.

Numerator = number of CTE concentrators who remained enrolled in their original postsecondary institution or transferred to another 2- or 4- year postsecondary institution during the reporting year and who were enrolled in postsecondary education in the fall of the previous reporting year

Denominator = number of CTE concentrators who were enrolled in postsecondary education in the fall of the previous reporting year and who did not earn an industry-recognized credential, a certificate, or a degree in the previous reporting year

- **4P1 - Student Placement (Follow-up)**—Student placement in military service or apprenticeship programs or placement or retention in employment, including placement in high skill, high wage, or high demand occupations or professions. Measures placement of all concentrators who are no longer enrolled in postsecondary education. Only students who have completed, earned an industry recognized credential or have dropped out of postsecondary education are included in the analysis.

Numerator = number of CTE concentrators who were placed or retained in employment or placed in military service or apprenticeship programs in the 2nd quarter following the program year in which they left postsecondary education (i.e., unduplicated placement status for CTE concentrators who graduated by June 30, 2010 would be assessed between October 1, 2010 and December 31, 2010)

Denominator = number of CTE concentrators who left postsecondary education during the reporting year

- **5P1 - Nontraditional Participation** -- Student participation in career and technical education programs that lead to employment in nontraditional fields. [Sec 113(b)(2)(B)]. Measures all participants and concentrators enrolled in gender underrepresented programs.

Numerator = number of CTE participants from underrepresented gender groups who participated in a program that leads to employment in nontraditional fields during the reporting year

Denominator = number of CTE participants who participated in a program that leads to employment in nontraditional fields during the reporting year

- **5P2 - Nontraditional Completion**—Student completion of career and technical education programs that lead to employment in nontraditional fields. [Sec 113(b)(2)(B)]. Measures all nontraditional concentrators who earned an award in a gender underrepresented program.

Numerator = number of CTE concentrators from underrepresented gender groups who completed a program that leads to employment in nontraditional fields during the reporting year

Denominator = number of CTE concentrators who completed a program that leads to employment in nontraditional fields during the reporting year

Note: A list of gender nontraditional occupations can be found on the KSPSD website.

c) Performance Levels

Local Levels of Performance

In general, each institution receiving funds agrees to accept the State adjusted levels of performance as the local adjusted levels of performance, or negotiate with the State to reach agreement on new local adjusted levels of performance for each of the core indicators. The levels of performance shall at a minimum (1) be expressed in a percentage or numerical form, consistent with the State levels of performance so as to be objective, quantifiable, and measurable; and (2) require the institution to continually make progress toward improving the performance of CTE students. [Sec 113 (4)(A)]

Performance Reports

Each eligible institution that receives an allocation shall annually prepare and submit a report to the State regarding achievement of the agreed upon core indicators of performance. [Sec. 113(b)(4)(C)] The institution shall:

- Disaggregate data for each of the indicators of performance for each subgroup of students (*special populations*) as defined in the Act.
- Identify and qualify any disparities or gaps in performance between any subgroup of students and the performance of all students served under this Act.
- Make a core indicator performance report available to the public through a variety of formats, including electronically through the Internet.

Performance Improvement Plans

Effective with the 2009-2010 application, institutions will be required to use a portion of the Perkins Program Improvement funds received to resolve performance deficiencies. Based on the previous academic institutional data, a separate “Performance Improvement Plan” will be required for each institutional core indicator target not achieved. If all institutional performance measures were achieved, the eligible institution will not need to submit a “Performance Improvement Plan.”

Sanctions

If the State fails to achieve, at an acceptable rate, the federal agreed-upon performance level for any of the core indicators, the State risks federal sanctions including a reduction of funds. The State’s performance percentages reflect those of all participating eligible institutions. Failure of an institution to achieve the targeted percentages potentially

penalizes Kansas and all of the eligible recipients through the loss or reduction of Perkins funding.

If a local institution fails to achieve, at an acceptable rate, the state/locally agreed upon performance level for any of the core indicators, the Kansas Board of Regents may, after notice and opportunity for a hearing, withhold a portion or all of the Perkins allotment if a local institution: [*Perkins Act: Sec. 123(b)(4)*]

- Fails to implement an improvement plan; or
- Fails to make any improvement in meeting any of the performance levels within first program year of implementation of the improvement plan; or
- Fails to achieve at least 90% of a performance level for the same core indicator for 3 consecutive years

d) Mandatory Activities and Best Practices

This section contains information regarding the nine mandatory activities, best practices/suggested activities, and planning pages for the Program Improvement Activities. These activity sheets must be submitted by all institutions seeking Perkins program improvement funding to describe the activities to be carried out and the funding amounts being requested.

Throughout the Perkins legislation, suggestions for improving career and technical education programs were identified in the form of “mandatory and permissive activities” or goals and supportive “best practices” or strategies. [*Sec. 118—Occupational and Employment Information, Sec. 122—State Plan, Sec. 124—State Leadership Activities, Sec. 134—Local Plan, Sec. 135—Local Uses of Funds*] Funding is provided with the expressed intent of achieving the nine mandatory activities.

The following is a list of legislated mandatory activities and strategies (or best practices) to improve the quality of career and technical education programs and subsequently the knowledge and skills of students and attainment of the core indicators of performance. While the activities are mandatory, the supportive practices are suggestions worthy of careful consideration when completing the program improvement activity pages. Do not consider the “strategies/best practices” as prescriptive or all inclusive!

1. Academic & Technical Activities

Perkins Legislation: *To strengthen the academic and technical skills of students by strengthening the academic and technical education components of programs.* [*Sec. 135(b)(1)*]

Strategies/Best Practices

- Integration:
 - Infusing academic skills into technical courses.
 - Using occupationally related applied learning strategies in academic courses.
- Alignment:
 - Linking academic content with challenging academic standards.

- Linking technical content with relevant occupational knowledge/skills based on industry-recognized standards.
- Teaching technical students to same rigorous academic standards as other students.
- Developing curriculum:
 - Using program advisory committees to validate learning outcomes.
 - Creating a rigorous, integrated and aligned curriculum.
 - Allowing academic and technical instructors to jointly develop curriculum.

2. Articulation/Postsecondary Linkages Activities

Perkins Legislation: *To link secondary with postsecondary career and technical education programs and postsecondary career and technical education programs with baccalaureate programs. [Sec. 135(b)(2), Sec. 135(c)(10)]*

Strategies/Best Practices

- Secondary/postsecondary articulation (*Mandated*):
 - Updating or expanding “Articulation Agreements.”
- Creating aligned and non-duplicative sequences of courses.
 - Permitting concurrent enrollment and/or dual credit.
 - Establishing policies/procedures for awarding advanced placement and credit.
 - Tracking and increasing utilization of existing articulation agreements.
- Postsecondary articulation (*Permissive*)
 - Linking career and technical education programs with baccalaureate programs.
 - Transferring academic/technical credits into baccalaureate colleges/universities.
- Securing annual approval of “Articulation Agreements” by lead administrators and KBOR

3. All Aspects of an Industry Activities

Perkins Legislation: *To provide students with strong experience in and understanding of all aspects of their chosen industry. [Sec. 135(b)(3)]*

Strategies/Best Practices

- Infusing “all aspects” into curricula and services:
 - Regional labor market statistics, trends and job requirements.
 - Horizontal and vertical career ladders to broaden career horizons.
 - General employability skills needed for career mobility and success.
 - Industry-wide management and production/service issues.
 - Other topics identified in the definition of “All Aspects of an Industry.”
- Expanding business/industry involvement:
 - Assisting with entrepreneurship training.
 - Infusing expertise into classroom (*guest speakers, field trips, resources, etc.*)
 - Increasing work-based experiences (*field trips, job shadowing, internships*).
 - Using qualified business/industry professionals as adjunct faculty.
- Validating of curricula outcomes by program advisory committees.
- Employing personnel to coordinate business/industry experiences for students.

4. Use of Technology Activities

Perkins Legislation: To develop, improve or expand the use of technology in career and technical education.

[Sec. 135(b)(4)]

Strategies/Best Practices

- Infusing and expanding relevant technology in programs.
- Leasing, purchasing, upgrading or adopting new technology and equipment.
- Developing or updating realistic multi-year equipment replacement schedules.
- Ensuring students acquire the technology related skills needed for entry into high-skill careers.
- Collaborating with technology industries to provide internships, mentoring, and employment experiences for students.
- Employing personnel to coordinate work-based technology experiences.

5. Professional Development Activities

Perkins Legislation: To provide high quality and comprehensive professional development for teachers, counselors and administrators. [Sec 134(b)(4), Sec.

135(b)(5)]

Strategies/Best Practices

- Establishing intensive and sustained professional development program.
- Focusing professional development activities on instruction:
 - Strategies for achieving “Core Indicators of Performance.”
 - Methods of effectively integrating academic and technical education.
 - Incorporation of applied learning strategies.
 - Techniques for teaching “All Aspects of an Industry.”
 - Staying current with needs, expectations and practices of business/industry.
 - Research based effective teaching skills.
 - Effective use and application of technology to improve instruction.
 - Improving instruction for Special Populations including nontraditional students.
 - Use of student and program assessment data to improve instruction.
 - Understanding requirements of Perkins legislation.
- Arranging relevant business/industry experiences and/or internships for educators.
- Establishing comprehensive professional development plan for each educator.
- Involving participants in determination and evaluation of in-service activities.

6. Program Evaluation Activities

Perkins Legislation: To develop and implement evaluations of career and technical education programs, including how needs of special populations are being met. [Sec. 135(b)(6)]

Strategies/Best Practices

- Tracking and reporting industry-recognized credential, certificate or degree awarded.

- Assessing/analyzing:
 - Attainment of “Core Indicators of Performance.”
 - Student numbers and trends (*enrollment, completion, placement, etc.*).
 - Levels of student satisfaction.
 - Extent of academic and technical integration in courses/programs.
 - Involvement of business/industry (*school-based and work-based*).
 - Relevance of program to regional labor market.
- Creating and implementing student achievement and program evaluations.
- Developing program “Strategic Improvement Plans” based upon assessments.
- Utilizing program advisory committees:
 - Approving student learning outcomes.
 - Functioning as independent “third party” program evaluators.
 - Determining appropriateness of program “Strategic Improvement Plans.”
- Ensuring preparation for nontraditional fields is encouraged and respected.

7. Improve, Expand and Modernize Program Activities

Perkins Legislation: *To initiate, improve, expand and modernize quality career and technical education programs. [Sec. 135(b)(7)]*

Strategies/Best Practices

- Expanding program offerings at times or in formats more accessible for students.
- Curriculum development activities
- Acquire external business and industry related program certification/accreditation
- Implement program modifications to ensure program and student learning outcomes are aligned with business and industry standards
- Involving program advisory committees in improving and modernizing programs.

8. Sufficient Size, Scope and Quality Activities

Perkins Legislation: *To provide services and activities that are of sufficient size, scope and quality to be effective. [Sec. 135(b)(8)]*

Strategies/Best Practices

- Refining programs to incorporate elements in Perkins definition of “Programs of Study.”
- Keeping “program approvals” up-to-date with the Kansas Board of Regents.
- Ensuring classroom/laboratory settings simulate workplace environments.
- Staffing programs with adequate personnel (*faculty and support*).
- Increasing student enrollment, completion and placement to justify program continuation.
- Basing breadth and depth of learning outcomes on current job requirements.
- Using program advisory committees:
 - Evaluate extent programs meet regional labor market needs.
 - Annually validate the occupational relevancy of learning outcomes.
- Increasing business/industry involvement:
 - Expanding work-based experiences (*job shadowing, internships, cooperative education, work experiences, etc.*).
 - Infusing expertise into classroom (*guest speakers, field trips, resources, etc.*).

- Ensuring programs prepare students for high skill, wage or demand occupations.
- Ensuring preparation for nontraditional careers is encouraged and respected.
- Improving accessibility to program information and statistics for prospective students and the public.
- Providing career guidance and academic counseling.

9. Special Populations Activities

Perkins Legislation: *To provide activities to prepare special populations for high skill, wage or demand occupations that will lead to self-sufficiency. [Sec. 135(b)(9)]*

Strategies/Best Practices

- Establishing or refining non-discrimination policies/procedures.
- Implementing strategies to overcome program enrollment and completion barriers.
- Redesigning programs to enable attainment of “Core Indicators of Performance.”
- Making modifications to curriculum or equipment.
- Employing classified/supportive personnel/aides.
- Expanding/aligning student services (*assessment, counseling, financial aid, job placement*).

The application includes a Perkins Program Improvement Activity and Progress Report page for each of the **nine mandated Perkins activities** and for grant administration. Remember, the purpose of these activities is program improvement and ultimately attainment of the core indicators of performance accountability measures. The goal of each activity is specified in the legislative reference on each of the program improvement activity pages. When completing the activity pages, consider some of the strategies/best practices presented in the previous section, review the findings from the most recent Perkins monitoring visit and/or institutional program review and use the following format:

Program Improvement Activity Page Format

Item Heading	Information to be Inserted
Line #	Line number for activity
Strategy/Activity	Identify the strategies/activities that will be taken to achieve the specified goal and improve the quality of CTE programs and core indicator performance
Evaluation Measures	Identify what will be used and/or how the strategies/activities will be evaluated to measure effectiveness. These measures should be observable and quantifiable.
Responsibility/Timeline	Identify the person(s) who will oversee implementation, monitoring, and evaluation of each strategy and significant date or achievement points throughout the year to assist with monitoring activities.
Funding	Identify the amount of Perkins funding allocated to each strategy. If the activity is funded from a source other than Perkins, please simply identify the source.

e) Budget Items

The requested grant funding will be based upon the nine mandated Perkins activities; funding requests should be consistent with the costs listed in the Activity and Progress Report. In addition, a detailed Breakdown of Expenditures form is required. Sample Budget and Breakdown of Expenditure forms may be found in the Appendix.

f) Revisions to an Approved Grant

To facilitate smooth auditing of all Carl Perkins Program Improvement Grants, institutions should utilize a specific protocol when initiating revisions. Revisions will be considered after the annual Carl Perkins Program Improvement Grant has been submitted, accepted, and approved by KBOR. Please use the following format for any subsequent revision requests:

- A. Call or e-mail the Associate Director of Technical Education at KBOR, assigned to assist with the institution's Carl Perkins Program Improvement Grant, to discuss the proposed revisions to the grant, including the rationale for requesting the revision.
- B. For revisions within the same goal category: If the revisions involve transferring funds from one activity to another within the same goal category, consideration of the request and notice of approval (if granted) will be through email correspondence. All revisions should be reflected in the subsequent Progress Report (see next section).
- C. For revisions between goal categories: If the revisions involve transferring funds from one goal category to another goal category, revisions will be considered upon receipt of a revised Activity and Progress Report and a signed Revised Breakdown of Expenses report. Notification of approval (if granted) will be

through email correspondence. All revisions should be reflected in the subsequent Progress Report (see Reporting Requirements section).

Please refrain from requesting further revisions after May 1st, unless absolutely necessary. This deadline will allow more timely and efficient audits of the grants, as well as reduce the number of follow-up calls and save valuable time.

g) Reporting Requirements

Grant recipients must provide two progress reports -- on or before **November 1st** and on or before **March 1st** -- detailing the status of all project activities and expenditures as of that date. A final narrative and final expenditure report forms must be submitted no later than **August 1st**. The November and March reports may be submitted electronically, followed by a hard copy via standard mail; the August 1st final report should be submitted via standard mail.

In addition to the project activities and budget information, progress reports should also include data on STARLINK usage. The State of Texas Academic Resource Link (STARLINK) is a video-based, higher education professional development network. Established by the Texas Higher Education Coordinating Board (THECB) in 1989 to increase access to professional development activities among faculty throughout Texas, STARLINK now provides higher education institutions throughout North America with a multi-purpose network that provides cutting edge training by the greatest educators available. Funding for the STARLINK network is provided by KBOR and all postsecondary institutions are encouraged to utilize the service for staff professional development.

The Perkins Coordinator should ensure progress reports include the following information:

Program Expenditure Report (see Appendix)
Program Improvement & Activities Report (see Appendix)
Breakdown of Expenses Spreadsheet (see Appendix)
Starlink Usage Report (see Appendix)
Time & Effort Report (see Appendix)

The Final Report should include the above documents as well as (templates on KBOR website):

- List of All Perkins Programs
- Dates of Advisory Meetings
- Copy of minutes from one meeting per each program
- Final Breakdown of Expense Report
- Final Expenditure Report
- Program Income Report
- Time & Effort Report

If a required report is completed by another division within the Institution (i.e., the Business Office), the Perkins Coordinator should verify the report is completed and submitted on or before the due date (s).

IV) PERKINS RESERVE FUND GRANT

The Perkins Reserve Fund Grant provides funds for special projects to develop and/or expand programs to address regional or statewide workforce development needs in high skill, high wage, or high demand occupations in critical or emerging industries.

V) PERKINS LEADERSHIP FUND GRANT

With the approval of the Kansas State Plan for Career and Technical Education, state leadership funds are used to conduct state leadership activities. These activities include (but are not limited to):

- Preparing special populations for further education or training for high skill, high wage or high demand occupations;
- Developing, improving or expanding the use of technology in career and technical education;
- Professional development programs for career and technical faculty; and
- Program alignment to include program accreditation and/or faculty certification.

Please visit <http://www.kansasregents.org/perkins> for further details on the current Leadership Grant fund availability.

VI) PERKINS COORDINATOR

The designated Perkins Coordinator for the institution has certain responsibilities and expectations which are essential to the institution's successful attainment of the Core Indicators of Performance as defined in the Carl D. Perkins Career and Technical Education Act of 2006. These responsibilities include, but are not limited to, the following:

1. Be knowledgeable about the Five Year Kansas State Perkins Plan
2. Be knowledgeable about the Kansas Perkins processes
3. Prepare Perkins application
4. Serve as central point of contact for communications concerning all Perkins grants
5. Serve as central point of contact for on-campus visits by KBOR staff in connection with Perkins
6. Manage all Perkins funded grants:
 - a. Perkins Program Improvement
 - b. Perkins Reserve Fund
 - c. Perkins Leadership

7. Submit all reports:
 - a. Perkins Program Improvement Grant
 - i. Activity Progress Report
 1. November 1
 2. March 1
 3. August 1 (final)
 - ii. Expenditure Report
 1. November 1
 2. March 1
 3. August 1 (final)
 - iii. Breakdown of Expenses Report
 1. November 1
 2. March 1
 3. August 1 (final)
 - iv. Starlink Usage Report
 1. November 1
 2. March 1
 3. August 1 (final)
 - v. Final Report (August 1)
 1. Documents indicated above
 2. List of all Perkins Programs
 3. Advisory committee minutes
 4. Articulation agreements
 5. Program Income spreadsheet
 6. Time & Effort Reporting
 - b. Perkins Reserve Fund (as outlined in application)
 - c. Perkins Leadership Fund (as outlined in application)
8. Assist with the institutional data collection process (see Data Information section)
9. Maintain fiscal integrity for the use of Perkins Funds

The Perkins Coordinator also serves as the Institutional Coordinator and makes all arrangements for the Perkins Review, Compliance, and Technical Assistance Process On-Site visit prior to the review date. The following section provides the coordinator with additional information necessary to plan the agenda and the Perkins Review, Compliance, and Technical Assistance Process on-site visit.

VII) COMPLIANCE REVIEW PROCESS

a) Overview

The Kansas Board of Regents/Career Technical Education staff developed the Perkins Review, Compliance and Technical Assistance process to identify local and regional strengths, promising practices and areas for program improvement. In addition, the process is designed to meet state and federal requirements for a monitoring system, as well as to provide technical assistance to institutions, administrators, instructors, and other staff for continual improvement of state approved Career and Technical Education programs. The process combines the efforts of the Career and Technical Education staffs at the Kansas Board of Regents and the institutions as postsecondary partners.

Board of Regents/Career Technical Education staff must regularly review the grant activities, outcomes, and expenditures for all federal and state initiatives for which the state receives funding, as well as review all state-approved CTE programs and related courses within a four-year period. The compliance review is also intended to facilitate communication and information exchange during the process to assist institutions with such challenges as:

- Improving program quality
- Improving program alignment with state and national standards
- Increasing support for state initiatives
- Expanding student opportunities to achieve industry-recognized certification and credentials for Career and Technical Education studies

Feedback received from institutional coordinators will be used in the planning and development of future goals for Career and Technical Education in Kansas.

PROCESS

Perkins Compliance Reviews, either on-site visits or desk reviews, will be conducted each year by Board of Regents staff. Board of Regents staff may also conduct additional targeted visits to an institution or region as necessary. Using established selection criteria and reports, staff will review the following components of the grant:

- Perkins Program Review of Approved Programs (Desk Review & On-site)
- Perkins Data Evaluation and Accountability (Desk Review)
- Civil Right Review (On-Site)
- Perkins Financial Program Review (Desk Review)

PRIMARY GOALS

The Perkins Compliance Review process is designed to:

- Ensure that equitable education opportunities are provided to all students, including full opportunity to participate in programs, activities, job opportunities and to benefit from services.
- Provide technical assistance in the development, implementation and improvement of Career and Technical Education programs and related activities.
- Identify exemplary practices and share this information statewide.
- Monitor the use of federal and state funds, assuring compliance with legislation.
- Review and verify accurate data collection and reporting resulting in consistent statewide data to be used for Core Performance Indicators.
- Analyze, indentify, and change policies and activities that impede achievement of the above goals.

INTENDED OUTCOMES

1. Review all documentation submitted for state-approved career and technical education program(s) to verify program quality and student performance;
2. Assure that funds have been expended appropriately and are used in compliance with federal and state policies and legislative mandates:
 - Federal Carl D. Perkins Program Improvement Grants
 - Federal Carl D. Perkins State Leadership Grants
 - Federal Carl D. Perkins Reserve Fund Grants
 - State Innovative Technology Grants
 - State Technical Internship Grants
3. Protect against waste, fraud, and abuse;
4. Identify technical assistance needs; and
5. Identify promising practices

b) Selection Process

Reviews will be conducted either as desk audits or on-site visits each year by Board of Regents staff. The type of review each institution can expect is based upon their location in one of the four Kansas Regions (see Appendix for Perkins Regions and Schedule of Review). The Perkins components to be reviewed (and verified by documentation) are:

- Perkins Data Evaluation and Accountability
 - Desk Review
 - Pell Counts validated
 - Course data matched to Program
 - 3 Year Core Indicator
 - Institutional
 - Program
 - Basic Counts (CTE)
- Perkins Financial Program Review
 - Desk Review
 - Invoices are on file locally (all)
 - Institutional inventory records are maintained and accurate
 - All equipment purchased was reported
 - Equipment was not used to provide services for a fee
 - State ID tag has been affixed to all equipment \$5,000 or more
 - Perkins funds are expended in a timely manner
 - Records identify payment of allowable costs
 - A Perkins account has been established

- Perkins funds supplement, not supplant, existing funds
 - No variance is greater than 5% of the budget line item
 - Time and effort sheet are on file for any employee whose salary is paid through Perkins funds
- Perkins Review of Approved Programs
 - On-site Review
 - Two Levels – Program & Institution
 - Core Indicators of Performance
 - Academic & Technical Competencies
 - Industry-recognized Credential
 - All Aspects of an Industry
 - Size, Scope & Quality
 - Initiate, Improve, Expand and Modernize
 - Use of Technology
 - Professional Development
 - Special Populations
 - Secondary/Postsecondary Linkages
 - Program Evaluation
 - Program Advisory Committees
 - Civil Rights Review
 - On-site Review
 - To monitor compliance with Federal civil rights laws prohibiting discrimination in programs or activities receiving federal financial assistance from the U.S. Department of Education, KBOR staff conducts desk audits for each of the institutions selected for review. Following the desk audits, two institutions will be selected (based upon a point system) for on-site monitoring visits. The *Kansas Guide for Civil Rights Review* is available to assist institutions in reviewing their current policies and practices and in preparing for an on-site monitoring visit. More detailed information regarding specific laws applicable may be found at the U.S. Department of Education, Office of Civil Rights website at: <http://www2.ed.gov/about/offices/list/ocr/aboutocr.html>.
 - State Initiative Grants

NOTIFICATION OF SELECTION

Written notification of the on-site visits will be sent in August/September of the fiscal year in which the visit will occur. The letter will include suggested dates for the visit and related materials. It will also include the name and contact information for the Kansas Board of Regents/Career and Technical Education staff member serving as the On-Site Team Leader for the visit.

c) On-site Visits

The Perkins Compliance Review on-site visit is the combination of review and preparation activities to provide information supporting the purpose stated in the overview of the Perkins Review, Compliance and Technical Assistance process and culminates in a Board of Regents/Career and Technical Education staff visit to the institution. In general, Perkins Review, Compliance, and Technical Assistance Process on-site visits are completed in one day and are conducted by a Kansas Board of Regents/Career and Technical Education on-site team.. The on-site visit includes: 1) an introductory meeting and overview, 2) a review of requested documentation, 3) a review of CTE programs and activities on campus and 4) an exit interview.

At least three (3) weeks prior to visit, the Perkins Compliance Review On-Site Team Leader will provide an agenda for the on-site visit which will include:

- The on-site visit date
- The targeted areas of review (i.e., technical program curriculum, tagged equipment, etc.)
- Requests for interviews with specific instructors and/or institution personnel (if needed)

Each of the review processes will require the submission of documents prior to the arrival of the on-site team. These documents are outlined in the materials pertaining to the specific type review process.

The institutional Perkins Coordinator should confer with the on-site Team Leader prior to visit to ensure:

- All institutional staff members participating in the review are notified
- The time and location of the overview are determined
- All required documentation is submitted to the On-Site Team Leader prior to visit
- All relevant staff (including building staff) are notified of the on-site visit

1) ON-SITE INTRODUCTORY MEETING AND OVERVIEW

The Perkins Review, Compliance and Technical Assistance Process meeting and overview will be conducted during normal working hours. The Perkins coordinator co-conducts the meeting with the Kansas Board of Regents/Career and Technical Education On-Site Visit leader. The institutional Perkins Coordinator determines the location of the overview meeting and the institutional participants for the meeting. The recommendation of the KBOR Career and Technical Educational staff is no more than 20 institutional representatives attend the overview meeting. The inclusion of the institution president, institution vice-presidents, and/or deans is beneficial. The institutional grant, finance and institutional research leaders may also attend this meeting.

2) DOCUMENTATION REVIEW

During the documentation review, the on-site review team examines and compares compiled evidence with the previously approved grant applications/reports and other appropriate documentation data. To allow the review to proceed in a timely manner, all requested documents, material and records should be organized and available in a central location.

3) CTE PROGRAMS AND ACTIVITIES REVIEW

During the CTE Programs and Activities review, Kansas Board of Regents/Career and Technical Education staff will:

- Observe Career and Technical Education classrooms and labs
- Converse with instructors and students
- Review documents
- Review program facility and equipment
- Meet with institutional administrator(s) for report out

All buildings and facilities, especially those operating Career and Technical Education programs, are to be available to the On-Site Visit Team members for observation. Individual and/or group interviews may be requested by the KBOR Career and Technical Education staff prior to or during an on-site visit. Institutional Coordinators will assist in the organization of this activity.

4) EXIT INTERVIEW

The exit interview is the final activity of the on-site visit. It is designed to provide institutional staff with:

- An initial summary of the on-site visit and some general findings
- Timelines for the written report of findings
- Appeal process information
- An opportunity for institutional participants to evaluate the on-site review process

The institutional Perkins Coordinator will identify and invite the institutional representatives to attend this meeting. KBOR Career and Technical Education staff recommends those who attend the overview also be present for the wrap-up, in addition to other staff member interested in the general findings of the on-site visit team.

Within 30 days of the on-site review or the completion of the desk review, a letter detailing the results of the review will be mailed to the institution.

For Civil Rights (OCR) reviews, a Letter of Findings, which details the items discussed in the exit interview, will be mailed to the institution within 30 days of the review. If any Perkins exceptions or violations are noted during the OCR review, the institution is required to complete a Voluntary Compliance Plan. This plan:

- Outlines corrective actions the institution must take.
- Identifies person responsible for the completion of each action
- Identifies when action will be completed
- Identifies how institution will verify completion of action

TARGETED VISITS

In addition to the scheduled on-site reviews, Kansas Board of Regents staff may also conduct limited “targeted” visits. These “targeted” visits will address very specific areas of concern.

Notification of “targeted” visits will be provided at least 30 days prior to the visit. Selection for a “target” visit is based upon the following criteria:

- Technical program performance
- Analyses of submitted reports
- Data quality and/or data collection issues
- Financial issues
- Grant management performance, including timely submission(s)
- Perkins core performance indicator levels

NON-COMPLIANCE

Subgrantees who accept Federal Funds through the Perkins program are subject to the Education Department General Administrative Regulations (EDGAR) and, if violations of the regulations are noted in the review process, may be placed in “high risk” status. The consequences of “high risk” status are detailed below.

(a) *Remedies for noncompliance.* If a grantee or subgrantee materially fails to comply with any term of an award, whether stated in a Federal statute or regulation, an assurance, in a State plan or application, a notice of award, or elsewhere, the awarding agency may take one or more of the following actions, as appropriate in the circumstances:

- (1) Temporarily withhold cash payments pending correction of the deficiency by the grantee or subgrantee or more severe enforcement action by the awarding agency,
- (2) Disallow (that is, deny both use of funds and matching credit for) all or part of the cost of the activity or action not in compliance,
- (3) Wholly or partly suspend or terminate the current award for the grantee's or subgrantee's program,
- (4) Withhold further awards for the program, or
- (5) Take other remedies that may be legally available.

Source: EDGAR (*Education Department General Administrative Regulations*), Sections 80.43, pp. 126, December, 2008)

VII) FISCAL INFORMATION

a) Accessing funds

CARL D. PERKINS ELECTRONIC DRAWDOWN INFORMATION

Step 1

Establish a login account in the KSPSD system, <http://data.kansasregents.org/> A login and password will be required of all institutional contacts completing the drawdown form. **If you already have an account in the system for another project, you do not need to create a new account. If you have login access to KSPDS but do not have access to the “KBOR Project” area, contact Mari Tucker at mtucker@ksbor.org for additional steps.**

See “Setup_KSPSD_account” document (Appendix and/or KBOR website) for step-by-step process for a new account.

Helpful Hints:

- The User ID must be at least 8 characters long, no spaces.
- The password must be at least 8 characters long with 1 numeric character and 1 non-alphabetic character (e.g., ! @ # \$ %...)
- In the “Choose Project” drop-down box, choose “KBOR Project”
- Select “Write” access
- For the “Reason for Account”, state that you are the person responsible for Perkins drawdown. This doesn’t need to be a long explanation.
- Be patient for a return email notifying you that the account has been setup. It might take 5-10 minutes.
- After receiving the account setup notification email, login to check that you account has been established.

Step 2

Complete the drawdown form on the KSPSD system, <http://data.kansasregents.org/>. KBOR will provide the due dates for the first round of draw requests; the deadline for additional requests will be the 15th of each month.

Helpful Hints:

- Select the “Login” link on the top left area of the webpage, <http://data.kansasregents.org/>. This will take you to the login form page where you will enter your “User ID” and “Password”.
- After login, select the “Project” drop-down box on the top left area of the webpage.
- From the drop-down menu, select the “KBOR Project” option.
- A change profile webpage will appear. Change “Year” to current year and click the “Update” button.

- A reimbursement request form will appear. In the top right corner of the webpage a tab(s) will appear for the each drawdown request form you have access to (e.g. ARRA, Adult Education, Perkins).
- Click the Perkins tab and complete the form with the total amount of cash requested for this draw period. **Remember, you should only be requesting reimbursements for expenditures that have occurred or will occur within 3 days of receiving the funds.**
- Finally, click on the “Save” button at the bottom of the screen. Revisions or changes will override previous saved submissions(s) and can be made up to the deadline date. After the deadline for each draw period, the last saved request will be submitted to our office for processing.

NOTE: Funds should be requested as reimbursement for expenses. Institutions will be required to complete a Corrective Action Plan (see Appendix) if:

- c. **10% or more of Perkins Program Improvement funds are returned or not drawn down in a fiscal year.**
- d. **Perkins Program Improvement funds are returned in 2 consecutive years, regardless of the amount.**

b) Designated Perkins Account

Perkins Grant funding is subject to the Education Department General Administrative Regulations (EDGAR), which establish the standards for financial management systems (See Appendix) As such, all Perkins funds should be maintained in a separate, distinct account within the postsecondary institutions and all Perkins expenditures should be easily identifiable.

As a reminder, no more than 50% of the total Program Improvement budget may be spent for equipment. The equipment must be required for training in high skill, high wage or high demand occupations. **Funds may not be used to replace outdated equipment!**

No more than 50 % of the total Program Improvement budget may be spent for salaries. Any new position is allowed some level of funding **for no more than 3 years**. A new position may be funded at 100% the first year. The same position is eligible to receive 2/3 funding for the 2nd year and 1/3 funding for the third year. If the duties for the funding position are not 100% directly Perkins related, time and effort sheets must be maintained for verification. **A detailed job description must accompany the application for Program Improvement Funds for all positions funded through Perkins.**

Perkins funds cannot be encumbered or expended across fiscal years. For example, Perkins funds in the current fiscal year cannot be expended or encumbered for travel occurring in the following fiscal year.

Federal regulations require any Federal funds must be expended within three days of receipt (electronic drawdown). **In addition, sub-grantees may not obligate (or encumber) more than 25% of their allocated funds between the award date and September 30th of the award year.**

All requests for reimbursement (electronic drawdown) must be completed on or before **mid-June** of the award year. Recipients will be notified of the specific date via email. See Appendix for further details on General Perkins Postsecondary Accounting Practices.

Grant funds which are not expended or encumbered by June 30th of the award year must be returned to KBOR no later than **August 1st**.

c) Time & Effort Reporting

OMB Circular A-87 provides the standards on time reporting and labor charges to Federal awards. Grantees are responsible for compliance with the standards.

Time and attendance reporting systems are used to document whether an employee was on the job or absent on leave. No further documentation is required for the salaries and wages of employees who work on a single indirect cost activity. If an employee works on two indirect cost activities that are allocated using different bases, then a personnel activity report is required (see Appendix).

If an employee works solely on a single federal award or cost objective, the activity must be supported with a periodic certification (see Appendix). The certificate documents the employee worked solely on an activity for the period covered and must be prepared at least semi-annually, signed and dated by the employee or supervisor having firsthand knowledge of the work performed by the employee.

IX) DATA INFORMATION

a) Accessing the KBOR Database

The mission of the Kansas Higher Education Data System (KHEDS) (URL: www.data.kansasregents.org) is to create a database system to support the informed decision-making capabilities desired by the Kansas Board of Regents through the collection, analysis, and reporting of postsecondary education data in Kansas.

The KHEDS website has both a public and private section. Aggregate reports appropriate for public viewing can be found on the website without a login. Student specific reports or data submission options require the user to be granted access from the KBOR Data, Research and Planning (DRP) unit. Click the login link on the KHEDS Home Page to initiate any of the login procedures.

The help desk is available to assist you with any database related question. Please email all questions to irhelp@ksbor.org. For your convenience, there is an email link to this address on the general information tab of each project on the website.

IRHelp email is the recommended method of contact. Questions will be routed to the appropriate staff member and responded to as quickly as possible. If the appropriate staff member is unavailable, another team member may be able to provide assistance or advise if there will be a delay in response. Issues may also be discussed via telephone; please send an email request for a phone response to IRHelp. This will allow DRP staff to provide service in the timeliest manner.

Email: irhelp@ksbor.org

Website: <http://data.kansasregents.org>

b) Reports

Numerous data reports are available on the <http://data.kansasregents.org> website, including:

- a. View Perkins Counts – a Basic Counts report for Perkins Concentrator students only; enrollment, credit hours, completions aggregated by Perkins Program.
- b. View Perkins Eligibility Assignment – student-level list showing the value assigned to the Perkins Eligible field (**C**oncentrator, **P**articipant, **N**one).
- c. View Pell Counts – shows Pell Count and Enrollment Level by Reporting Term.
- d. View Core Indicators - allows direct access to the Core Indicator student level detail behind the calculation
- e. Preliminary Follow Up Download – starter file for Follow Up collection. Includes all Perkins Concentrators.

- f. View Funding Report - funded and non-funded credit hours by program. This is the same report that will be the primary report offered for review during the Presidential Certification process.
 - i. As a convenience, there are three additional Course Inventory reports available under the View Funding Report. You may find these useful in researching the results of the Funding Report. Click the magnifying glass icon to access the following:
 1. ALL courses not tied or linked to a program
 2. TIERED courses tied or linked to a program
 3. NON-TIERED courses tied or linked to a program

APPENDIX

Electronic versions of the forms included in the Appendix may be found at:

<http://www.kansasregents.org/perkins>

Appendix Document #1 – Program Improvement Fund Sample Application

LOCAL APPLICATION FOR POSTSECONDARY PERKINS PROGRAM IMPROVEMENT FUNDS

Institution Name

Postsecondary Funding: I understand that if funds become unavailable, this application may be terminated. If satisfactory progress and documentation are not made regarding the intended outcomes of the application, this application becomes null and void and all funds must be returned. I further understand that supplanting of funds is not allowed under the Carl D. Perkins Career and Technical Education Act of 2006.

Contact Persons for

	Name & Position	Telephone & Fax	Email Address
Perkins Grant Application			
Perkins Progress and Final Reports—Narrative			
CTE Programmatic Issues			
CTE Final Financial Report & Financial Issues			
CTE Accountability and/or Data Issues			
CTE Articulation Agreements			

Authorized Administrator—Original Signature

Date

STATE USE ONLY—DO NOT WRITE BELOW THIS LINE

- \$ _____ (1) Academic and Technical Skill Activities
- \$ _____ (2) Articulation/Postsecondary Linkages Activities
- \$ _____ (3) All Aspects of an Industry/Work-based Learning Activities
- \$ _____ (4) Use of Technology Activities
- \$ _____ (5) Professional Development Activities
- \$ _____ (6) Program Evaluation Activities
- \$ _____ (7) Improve, Expand, Modernize Programs Activities
- \$ _____ (8) Size, Scope, Quality Activities
- \$ _____ (9) Special Populations Activities
- \$ _____ (10) Administrative Costs
- \$ _____ Total

KBOR Authorized Representative

Date

AY Perkins Program Improvement for: _____

PERKINS PROGRAM IMPROVEMENT ACTIVITY AND PROGRESS REPORT

Academic, Career & Technical Activities

Goal 1: To strengthen the academic and technical skills of students by strengthening the academic and technical education components of programs.

[Perkins Act: Sec. 135(b)(1)]

Line #	Description of the Activity	Funding \$
1		
	Responsibility: _____ Timeline: _____ Evaluation/Measures: _____	
Nov 1		
Mar 1		
Jun 30		

Line #	Description of the Activity	Funding \$
2		
	Responsibility: _____ Timeline: _____ Evaluation/Measures: _____	
Nov 1		
Mar 1		
Jun 30		

(Use this area to copy and paste more tables if additional line items are needed.)

Total Perkins Funding Requested for Goal 1: \$

AY Perkins Program Improvement for: _____

PERKINS PROGRAM IMPROVEMENT ACTIVITY AND PROGRESS REPORT

Articulation/Postsecondary Linkages Activities

Goal 2: To link secondary with postsecondary career and technical education programs and postsecondary career and technical education programs with baccalaureate programs. *[Perkins Act: Sec. 135(b)(2)]*

Line #	Description of the Activity	Funding
1		\$
	Responsibility:	Timeline:
	Evaluation/Measures:	
Nov 1		
Mar 1		
Jun 30		

Line #	Description of the Activity	Funding
2		\$
	Responsibility:	Timeline:
	Evaluation/Measures:	
Nov 1		
Mar 1		
Jun 30		

(Use this area to copy and paste more tables if additional line items are needed.)

Total Perkins Funding Requested for Goal 2: \$

AY Perkins Program Improvement for: _____

PERKINS PROGRAM IMPROVEMENT ACTIVITY AND PROGRESS REPORT
All Aspects of an Industry Activities

Goal 3: To provide students with strong experience in and understanding of all aspects of their chosen industry. *[Perkins Act: Sec. 135(b)(3)]*

Line #	Description of the Activity	Funding \$
1		
	Responsibility: _____ Timeline: _____ Evaluation/Measures: _____	
Nov 1		
Mar 1		
Jun 30		

Line #	Description of the Activity	Funding \$
2		
	Responsibility: _____ Timeline: _____ Evaluation/Measures: _____	
Nov 1		
Mar 1		
Jun 30		

(Use this area to copy and paste more tables if additional line items are needed.)

Total Perkins Funding Requested for Goal 3: \$

AY Perkins Program Improvement for: _____

PERKINS PROGRAM IMPROVEMENT ACTIVITY AND PROGRESS REPORT
Use of Technology Activities

Goal 4: To develop, improve or expand the use of technology in career and technical education. *[Perkins Act: Sec. 135(b)(4)]*

Line #	Description of the Activity	Funding \$
1		
	Responsibility: _____ Timeline: _____ Evaluation/Measures: _____	
Nov 1		
Mar 1		
Jun 30		

Line #	Description of the Activity	Funding \$
2		
	Responsibility: _____ Timeline: _____ Evaluation/Measures: _____	
Nov 1		
Mar 1		
Jun 30		

(Use this area to copy and paste more tables if additional line items are needed.)

Total Perkins Funding Requested for Goal 4: \$

AY Perkins Program Improvement for: _____

PERKINS PROGRAM IMPROVEMENT ACTIVITY AND PROGRESS REPORT
Professional Development Activities

Goal 5: To provide high quality & comprehensive professional development for teachers, counselors and administrators. [Sec 134(b)(4), Sec 135(b)(5)]

Line #	Description of the Activity	Funding \$
1		
	Responsibility: _____ Timeline: _____ Evaluation/Measures: _____	
Nov 1		
Mar 1		
Jun 30		

Line #	Description of the Activity	Funding \$
2		
	Responsibility: _____ Timeline: _____ Evaluation/Measures: _____	
Nov 1		
Mar 1		
Jun 30		

(Use this area to copy and paste more tables if additional line items are needed.)

Total Perkins Funding Requested for Goal 5: \$

AY Perkins Program Improvement for: _____

PERKINS PROGRAM IMPROVEMENT ACTIVITY AND PROGRESS REPORT
Program Evaluation Activities

Goal 6: To develop & implement evaluations of CTE programs, including how needs of special populations are being met [Sec 135(b)(6)]

Line #	Description of the Activity	Funding \$
1		
	Responsibility: _____ Timeline: _____ Evaluation/Measures: _____	
Nov 1		
Mar 1		
Jun 30		

Line #	Description of the Activity	Funding \$
2		
	Responsibility: _____ Timeline: _____ Evaluation/Measures: _____	
Nov 1		
Mar 1		
Jun 30		

(Use this area to copy and paste more tables if additional line items are needed.)

Total Perkins Funding Requested for Goal 6: \$

AY Perkins Program Improvement for: _____

PERKINS PROGRAM IMPROVEMENT ACTIVITY AND PROGRESS REPORT
 Improve, Expand & Modernize Program Activities

Goal 7: To improve, expand and modernize quality CTE programs. *[Perkins Act: Sec. 135(b)(7)]*

Line #	Description of the Activity	Funding \$
1		
	Responsibility: _____ Timeline: _____ Evaluation/Measures: _____	
Nov 1		
Mar 1		
Jun 30		

Line #	Description of the Activity	Funding \$
2		
	Responsibility: _____ Timeline: _____ Evaluation/Measures: _____	
Nov 1		
Mar 1		
Jun 30		

(Use this area to copy and paste more tables if additional line items are needed.)

Total Perkins Funding Requested for Goal 7: \$

AY Perkins Program Improvement for: _____

PERKINS PROGRAM IMPROVEMENT ACTIVITY AND PROGRESS REPORT
Sufficient Size, Scope & Quality Activities

Goal 8: To provide services & activities that are of sufficient size, scope and quality to be effective.. [Perkins Act: Sec. 135(b)(8)]

Line #	Description of the Activity	Funding \$
1		
	Responsibility: _____ Timeline: _____ Evaluation/Measures: _____	
Nov 1		
Mar 1		
Jun 30		

Line #	Description of the Activity	Funding \$
2		
	Responsibility: _____ Timeline: _____ Evaluation/Measures: _____	
Nov 1		
Mar 1		
Jun 30		

(Use this area to copy and paste more tables if additional line items are needed.)

Total Perkins Funding Requested for Goal 8: \$

AY Perkins Program Improvement for: _____

PERKINS PROGRAM IMPROVEMENT ACTIVITY AND PROGRESS REPORT

Special Populations Activities

Goal 9: To provide activities to prepare special populations students for high-skill, high-wage, or high-demand occupations that will lead to self-sufficiency.
[Perkins Act: Sec. 135(b)(9)]

Line #	Description of the Activity	Funding \$
1		
	Responsibility: _____ Timeline: _____ Evaluation/Measures: _____	
Nov 1		
Mar 1		
Jun 30		

Line #	Description of the Activity	Funding \$
2		
	Responsibility: _____ Timeline: _____ Evaluation/Measures: _____	
Nov 1		
Mar 1		
Jun 30		

(Use this area to copy and paste more tables if additional line items are needed.)

Total Perkins Funding Requested for Goal 9: \$

AY Perkins Program Improvement for: _____

PERKINS PROGRAM IMPROVEMENT ACTIVITY AND PROGRESS REPORT
Administration

Goal 10: To provide support for the administration of the Program Improvement grant funds (maximum of 5%)

Line #	Description of the Activity	Funding \$
1	<div style="border: 1px solid black; padding: 5px;"> <p>Responsibility: _____ Timeline: _____</p> <p>Evaluation/Measures: _____</p> </div>	
Nov 1		
Mar 1		
Jun 30		

(Use this area to copy and paste more tables if additional line items are needed.)

Total Perkins Funding Requested for Goal 10: \$
--

Submission Information:

Program Improvement Plan – Order of Application

1. Cover Sheet for CTE Plan / Signature
2. Institutional Programs of Study Inventory
3. Institutional Perkins Core Indicators Performance Report
4. KBOR Performance Improvement Plan
5. Perkins Program Improvement Activity & Progress Report
6. Breakdown of Expenses
7. Budget Summary Sheet
8. Contractual Provisions
9. Local Assurances
10. Transfer of PS Improvement Funds
11. Certifications – Lobbying, Debarments, Suspensions...
12. Job Descriptions, Equipment needed, etc.

- **Electronic copy of Local Application for Program Improvement Funds must be submitted by due date to:**

state-federal-grants@ksbor.org

- **Hardcopy must be postmarked by due date of the Local Application for Program Improvement Funds with original signatures must be submitted the KBOR office at the following address:**

Kelly Russell
Kansas Board of Regents
1000 SW Jackson, Suite 520
Topeka, KS 66612

Carl D. Perkins Career and Technical Education Act of 2006

KANSAS BOARD OF REGENTS
AY
Performance Improvement Plan

Step 1: Document Performance Results

Improvement Priority: _____ Core Indicator: _____ Institution: _____

Description of Problem:

Step 2: Root Causes		Step 3: Select Best Solutions	Step 4: Pilot Test and Evaluate Solutions	Step 5: Implement Solutions
Identify Root Cause	Evaluation Methods	Strategies and Models	How, where, when to test	How, where, when to implement

Appendix Document #2 -- Program Improvement Grant Program Expenditures Form

PERKINS POSTSECONDARY PROGRAM IMPROVEMENT GRANT PROGRAM EXPENDITURES

INSTITUTION NAME: _____

Grant Dollars

Approved: _____

**Grant Dollars Requested as of
6/30/xx:** _____

	Budget Item	Approved Budget Amount as of 7/1/xx	Revisions between 7/1/10 and 11/1/xx	Revisions between 11/1/10 and 3/1/xx	Revisions between 3/1/11 and 6/30/xx	Total Expenditures as of 11/01/xx	Total Expenditures as of 3/01/xx	Total Expenditures as of 6/30/xx
1	ACADEMIC, CAREER & TECHNICAL							
2	ARTICULATION/POSTSECONDARY LINKAGES							
3	ALL ASPECTS OF AN INDUSTRY							
4	USE OF TECHNOLOGY							
5	PROFESSIONAL DEVELOPMENT							
6	PROGRAM EVALUATION ACTIVITIES							
7	IMPROVE, EXPAND & MODERNIZE PROGRAM							
8	SUFFICIENT SIZE, SCOPE & QUALITY							
9	SPECIAL POPULATIONS							
10	ADMINISTRATION							
11	TOTAL FEDERAL FUND EXPENDITURES (INCLUDE ENCUMBRANCES)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

TOTAL REQUESTED PERKINS DOLLARS BY:

12 _____ 11/1/20xx _____

13 _____ 3/1/20xx _____

14 _____ 6/30/20xx _____

FEDERAL DOLLARS ONLY:

15 TOTAL SALARIES _____

16 TOTAL EQUIPMENT _____

17 TOTAL **UNPAID** EMCUMBRANCES AS OF **6/30/xx** _____

ACCORDING TO K.S.A. 72-705, ALL COSTS ATTRIBUTABLE TO AN APPROVED VOCATIONAL TECHNICAL EDUCATION PROGRAM MUST BE PAID FROM THE VOCATIONAL FUND. THE ABOVE AMOUNTS ARE ACCURATE AND IN ACCORDANCE WITH ALL APPLICABLE STATE AND FEDERAL VOCATIONAL EDUCATION ACTS, AMENDMENTS, RULES AND REGULATIONS.

Institution President's Signature

Appendix Document #4 – Breakdown of Expenditure Report Form

2011-2012 BREAKDOWN OF EXPENSES -- PERKINS PROGRAM IMPROVEMENT FUND

INSTITUTION:	DATE:
--------------	-------

Indicate expenses for each Goal category, including any expenses for Personnel & Equipment, in Section A. Expenses for Personnel & Equipment will also be listed in Section B. If needed, please add rows above the total row for each section. By entering the total award amount where indicated the formulas should calculate the Grand Total and Percentages.

SECTION A

Budget Item	Amount
Goal #1: Academic, Career and Technical Activities	
Total Expenditures for Goal 1	\$0.00
Goal #2: Articulation/Postsecondary Linkages Activities	
Total Expenditures for Goal 2	\$0.00
Goal #3: All Aspects of an Industry Activities	
Total Expenditures for Goal 3	0.00
Goal #4: Use of Technology Activities	
Total Expenditures for Goal 4	\$0.00
Goal #5: Professional Development Activities	
Total Expenditures for Goal 5	\$0.00
Goal #6: Program Evaluation Activities	
Total Expenditures for Goal 6	\$0.00
Goal #7: Improve, Expand, & Modernize Program Activities	
Total Expenditures for Goal 7	\$0.00
Goal #8: Sufficient Size, Scope & Quality Activities	
Total Expenditures for Goal 8	\$0.00
Goal #9: Special Populations Activities	
Total Expenditures for Goal 9	\$0.00
Administration (Maximum 5% of Total Allocation)	\$0.00
Total(100%)	\$0.00
Total Expenditures	

SECTION B

Indicate the total amount requested for Personnel and Equipment below. Please note, these values should also be listed in the appropriate goal category above!

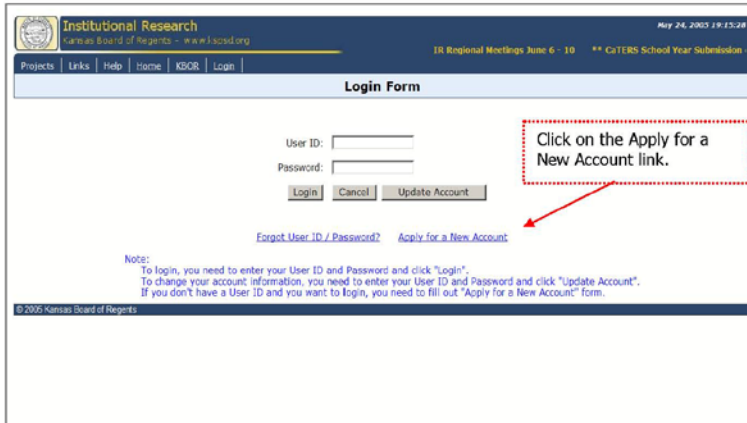
Goal #	Line #	Personnel (list each position separately and include number of years funded by Perkins)	Amount
		a. Positions	Salaries + fringe
		b. Substitutes	Wages
Total Expenditures for Personnel			\$0.00
Percentage of Total Dollars Available for Personnel (Maximum of 50% of Total Allocation)			# DIV/0!
Goal #	Line #	Equipment	Amount
Total Expenditures for Equipment			\$0.00
Percentage of Total Dollars Available for Equipment (Maximum of 50% of Total Allocation)			# DIV/0!

Appendix Document #5 – New KSPSD Account

Steps to Apply for a New KSPSD Account

Please note: Do not use this option if you already have an account and just need to modify your access levels or project access. If you need to modify access, use the update account section.

Step 1 – Click on the login link on the IR Home Page. Then click on the Apply for a New Account link.



The screenshot shows the Institutional Research website's login page. At the top, there is a navigation bar with links for Projects, Links, Help, Home, KSBOR, and Login. The main heading is "Login Form". Below this, there are input fields for "User ID:" and "Password:". To the right of these fields, a red dashed box contains the text "Click on the Apply for a New Account link." with a red arrow pointing to the "Apply for a New Account" link below the "Forgot User ID / Password?" link. Below the input fields are buttons for "Login", "Cancel", and "Update Account". A "Note:" section at the bottom provides instructions for logging in and updating account information. The footer includes the copyright notice "© 2006 Kansas Board of Regents".

Step 2 – You will be asked to agree to the usage policy. Click on "I agree" to continue.



The screenshot shows the Institutional Research website's agreement page. The heading is "Agreement". Below the heading, there is a large text area that says "Agreement will appear here on the website." At the bottom of the page, there are two buttons: "I agree" and "I don't agree". A red dashed box contains the text "Click on 'I agree' to continue" with a red arrow pointing to the "I agree" button. The footer includes the copyright notice "© 2006 Kansas Board of Regents".

Step 3 – Enter user information. Refer to descriptions of these fields in either the on-line help or the outline that appears at the beginning of the account creation and maintenance section of this manual. If everything is entered properly, you will receive an alert screen saying the application is being processed.

Form to apply for a new account

The screenshot shows the 'Apply for New Account' form on the Institutional Research website. The page header includes the Institutional Research logo, the Kansas Board of Regents website URL (www.kpsrd.org), and the date May 24, 2005 09:24:01. The navigation menu contains links for Projects, Links, Help, Home, KDOB, and Login. The form itself is titled 'Apply for New Account' and includes a 'HELP?' link. The fields are as follows:

- User ID:** Text input field with a note: '(At least 8 characters long, no spaces, suggest first letter of first name and full last name)'
- Password:** Text input field with a note: '(At least 8 characters long with 1 numeric and 1 non-alphabetic character)'
- Retype Password:** Text input field
- Password Hint:** Text input field
- First Name:** Text input field
- Middle Initial:** Text input field with '(Optional)' text
- Last Name:** Text input field
- Title:** Text input field
- Email Address:** Text input field
- Contact Phone#:** Text input field with format '() - - ext. '
- Secret Question:** Text input field
- Secret Answer:** Text input field
- Institution:** Dropdown menu with 'ALLEN COUNTY COMMUNITY COLLEGE' selected
- Access Levels:** A list of checkboxes for various roles:
 - KPSRD Access Level: no read write lock
 - KHIFRS Access Level: no read write lock
 - BioScience Access Level: no read write lock
 - Program Review Access Level: no read write lock
 - Program Inventory Access Level: no read write
 - CATERS Access Level: no read write lock
 - ABE Access Level: no read write
- Reason For Account:** Dropdown menu

 At the bottom of the form are 'Apply' and 'Cancel' buttons.

Alert screen showing your application is being processed.

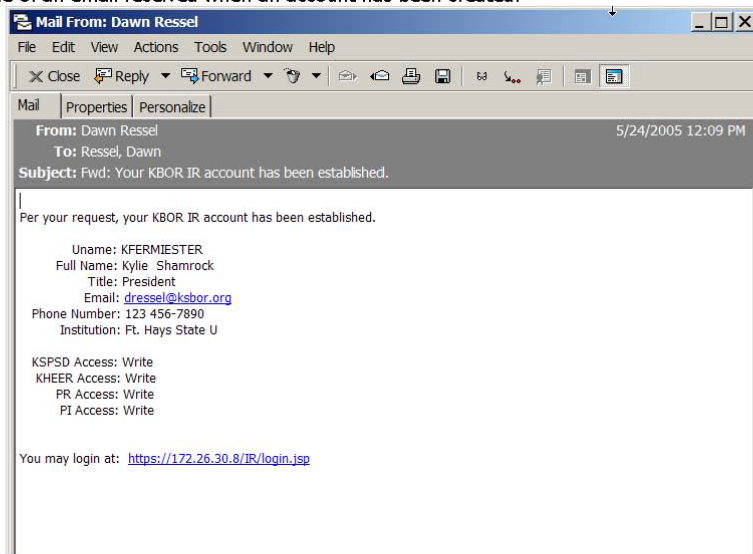
The screenshot shows the 'Submit Result' alert screen on the Institutional Research website. The page header includes the Institutional Research logo, the Kansas Board of Regents website URL (www.kpsrd.org), and the date May 24, 2005 11:52:27. The navigation menu contains links for Projects, Links, Help, Home, KDOB, and Login. The page is titled 'Submit Result' and contains the following text:

Your application has been submitted. You will be contacted soon.

 Below the text is a 'Go Back' link.

Step 4 – You will receive an email when your account has been setup and you are ready to login.

Example of an email received when an account has been created.



Appendix Document #6 – Education Department General Administrative Regulations (EDGAR)

PART 80—UNIFORM ADMINISTRATIVE REQUIREMENTS FOR GRANT OPERATIVE AGREEMENTS TO STATE AND LOCAL GOVERNMENTS

§ 80.21 Standards for financial management systems

(b): The financial management systems of other grantees and sub grantees must meet the following standards:

- (1) *Financial reporting.* Accurate, current, and complete disclosure of the financial results of financially assisted activities must be made in accordance with the financial reporting requirements of the grant or sub grant.
- (2) *Accounting records.* Grantees and sub grantees must maintain records which adequately identify the source and application of funds provided for financially-assisted activities. These records must contain information pertaining to grant or sub grant awards and authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and income.
- (3) *Internal control.* Effective control and accountability must be maintained for all grant and sub grant cash, real and personal property, and other assets. Grantees and sub grantees must adequately safeguard all such property and must assure that it is used solely for authorized purposes.
- (4) *Budget control.* Actual expenditures or outlays must be compared with budgeted amounts for each grant or sub grant. Financial information must be related to performance or productivity data, including the development of unit cost information whenever appropriate or specifically required in the grant or sub grant agreement. If unit cost data are required, estimates based on available documentation will be accepted whenever possible.
- (5) *Allowable cost.* Applicable OMB cost principles, agency program regulations, and the terms of grant and sub grant agreements will be followed in determining the reasonableness, allowability, and allocability of costs.
- (6) *Source documentation.* Accounting records must be supported by such source documentation as cancelled checks, paid bills, payrolls, time and attendance records, contract and sub grant award documents, etc.
- (7) *Cash management.* Procedures for minimizing the time elapsing between the transfer of funds from the U.S. Treasury and disbursement by grantees and sub grantees must be followed whenever advance payment procedures are used. Grantees must establish reasonable procedures to ensure the receipt of reports on sub grantees' cash balances and cash disbursements in sufficient time to enable them to prepare complete and accurate cash transactions reports to the awarding agency. When advances are made by letter-of-credit or electronic transfer of funds methods, the grantee must make draw downs as close as possible to the time of making disbursements. Grantees must monitor cash draw downs by their

sub grantees to assure that they conform substantially to the same standards of timing and amount as apply to advances to the grantees.

(c) An awarding agency may review the adequacy of the financial management system of any applicant for financial assistance as part of a pre-award review or at any time subsequent to award.

(Approved by the Office of Management and Budget under control number 1880-0517)

(Authority: 20 U.S.C. 3474; OMB Circular A-102) [53 FR 8071 and 8087, Mar. 11, 1988, as amended at 53 FR 49143, Dec. 6, 1988]

Appendix Document # 7 – Perkins Regions and Schedule of Review

Regions for Perkins Review, Compliance and Technical Assistance

Southeast	West
Allen County Community College	Colby Community College
Coffeyville Community College	Dodge City Community College
Cowley County Community College	Garden City Community College
Fort Scott Community College	Northwest Kansas Technical College
Independence Community College	Pratt Community College
Labette Community College	Seward County Community College/SWKTS
Neosho County Community College	
Northeast	Central
Flint Hills Technical College	Barton County Community College
Highland Community College	Butler County Community College
Manhattan Area Technical College	Cloud County Community College
Johnson County Community College	Hutchinson Community College
Kansas City Kansas Community College	North Central Kansas Technical College
Washburn Institution of Technology	Salina Area Technical College
Washburn University	Wichita Area Technical College

Perkins Review, Compliance and Technical Assistance Projects

1. Perkins Review of Approved Programs
2. Perkins Data Evaluation
3. Civil Rights Review
4. Perkins Financial Program Review

Schedule of Perkins Review, Compliance and Technical Assistance Projects

Review	FY 2012	FY 2013	FY 2014	FY 2015
Perkins Review of Approved Programs	Central	SE	NE	West
Perkins Data Evaluation	SE	NE	West	Central
Civil Rights Review	NE	West	Central	SE
Perkins Financial Program Review	West	Central	SE	NE

Appendix Document # 8 – Perkins IV Postsecondary Allowable Expenditures

PERKINS IV POSTSECONDARY ALLOWABLE EXPENDITURES**

** THIS LIST SHOULD BE USED AS A GUIDELINE FOR EXPENDITURES AND IS NOT ALL INCLUSIVE. FOR QUESTIONS REGARDING A SPECIFIC EXPENDITURE, PLEASE CONTACT THE KBOR PERKINS STAFF.

ITEM	EXPLANATION
Administration	Up to 5% of the total budget may be spent for local administration. This may include administrative travel, support staff, and other administrative costs directly associated with the management of the Perkins approved career and technical education programs. NOTE: This line item cannot exceed 5% of total budget.
Accounting	Generally an expense that supports payment to a clerk for time spent keeping Perkins funding fiscally sound and/or an outside accounting firm to ensure all Perkins fiscal reports are balanced. NOTE: Records of time and effort expended in this activity must be maintained to justify this line item.
Advisory Councils	Council members may be reimbursed for mileage and per diem for, attending conferences, judging student competitions or other activities that are closely aligned to the specific Perkins approved career and technical education programs.
Assessments	Assessments must be for program improvement purposes and institutions must document how data is used to improve performance. Assessment materials can be purchased for career and technical education students enrolled in Perkins approved career and technical education programs only. If assessment materials are purchased for the entire student population Perkins funds can only be used to pay for the portion administered to the career and technical education students. NOTE: Perkins will pay up to 100% of the total cost for the first year. Perkins will then pay 2/3 the second year and 1/3 the third year. Assessment materials will become an institutional responsibility after 3 years.
Career Guidance Counseling	Career Guidance Counseling purchases include but are not limited to materials supporting Perkins approved career and technical education programs, such as career software and career assessments. This can also include attendance at conferences when it is a part of a comprehensive professional development plan.
Consultants	Consultants are used to provide guidance in a specific Perkins approved career and technical education program. Costs may include but are not limited to the consultant fee, travel expense, per diem, and lodging.
Curriculum Development	Institutional staff or other appropriate people may be paid to develop, update, or revise curriculum within Perkins approved career and technical programs. Institutional staff time spent in this activity must be outside of contract time. All time spent in this activity must be documented with timesheets.
Employee Fringe Benefits	Reflected in total salary compensation
Maintenance	This item can only be used to maintain state-of-the-art equipment. NOTE: This item is not to be used to maintain old, out of date equipment.
Resources, Tools, Supplies and Materials	Items that will support updated and revised curriculum. Some examples may include software, videos, resource books, and manuals. NOTE: No consumables such as paper, inkjets, textbooks, small hand tools, typical day-to-day supplies to run a program etc are allowable.

PERKINS IV POSTSECONDARY ALLOWABLE EXPENDITURES (Cont.)

ITEM	EXPLANATION
Subscriptions and Periodicals	Must be relevant to a specific Perkins approved career and technical education program, must be purchased for use by the career and technical education students and career and technical education instructors and must demonstrate program improvement. NOTE: Perkins will pay up to 100% of the total cost for the first year. Perkins will then pay 2/3 the second year and 1/3 the third year. Subscriptions and periodicals will become an institutional responsibility after 3 years.
Professional Development Activities and Training	Profession Development Activities and Training must be relevant to a specific Perkins approved career and technical education program. Professional Development Plans must be submitted for approval with Perkins Funds Applications. Training costs may be allowed when new CTE equipment is purchased and an instructor is in need of training in order to provide appropriate CTE instruction.
Teacher Internships	Participation in an internship activity must be relevant to the instructor's Perkins approved career and technical education program.
Technology	Equipment must be purchased that will develop, improve, or expand the use of technology and to provide opportunities for the preparation of students for high skill, high wage, or high demand occupations. NOTE: Common or routine equipment purchases are not allowed. Equipment may be purchased for new Perkins approved career and technical education programs. Any products created with this equipment cannot be sold for a profit. Equipment must be located in the Perkins approved career and technical education program area for which it was purchased and is for student use only.
Travel	May include lodging, transportation, and per diem to attend in-state meetings directly connected to Perkins IV.
CTSO Advisor Expenses	Travel, lodging, per diem, and resources to support CTSO Advisor 's expenses

The following expenditures are allowable ONLY for the Nontraditional (NTO Project) and special populations activities:

ITEM	EXPLANATION
Advertising	Expenses that are used to design and develop marketing materials for a specific Perkins approved career and technical education program or special populations project. This may include but is not limited to hiring a consultant, newspaper ads, television spots, etc. NOTE: Consumables items such as paper, inkjets, etc. are not allowable purchases. The amount to be allowable for this category will be limited.
Communications	Postage. NOTE: No consumables such as paper, inkjets, envelopes, etc are allowable. Paying phone bill or internet services are not allowed.
Printing and Reproduction	Printing or reproduction of items is allowed for NTO and special populations, but the items must be relevant to a specific Perkins approved career and technical education program or a special populations project. This may include, but is not limited to, non-consumable promotional materials, such as posters. NOTE: Consumables items such as paper, inkjets, etc. are not allowable purchases. The amount to be allowable for this category will be limited.

Appendix Document # 9 – Perkins IV Postsecondary Unallowable Expenditures

PERKINS IV POSTSECONDARY UNALLOWABLE EXPENDITURES**

**** THIS LIST SHOULD BE USED AS A GUIDELINE FOR EXPENDITURES AND IS NOT ALL INCLUSIVE. FOR QUESTIONS REGARDING A SPECIFIC EXPENDITURE, PLEASE CONTACT THE KBOR PERKINS STAFF.**

ITEM	EXPLANATION
Any costs not applicable to a specific Perkins approved career and technical education program	All expenditures must be relevant and supportive of Perkins approved career and technical education programs.
Any costs not necessary and reasonable	All expenditures must be supportive of Perkins approved career and technical education programs, be needed for program success and be reasonable in amount.
Bad Debts	Financial issues are the institution's responsibility and Perkins funds shall not be satisfy an institution's bad debts.
Consumables	Perkins funds may not be used for any item designed for single use (used and discarded).
Contingencies	Perkins funds must be expended in the year they are authorized. Any unused funds must be returned.
Contributions or Donations	Perkins funds must be used to support Perkins approved career and technical education programs and relevant activities.
Food	(Consumable)
General Expenses	Perkins funds cannot be used for expenses which are attributed to the general operation of the institution.
Interest and other financial costs	Perkins funds cannot be used to pay interest or late charges.
Legislative Expenses	Federal funds cannot be used for lobbying activities.
Student Internships	Federal funds cannot be directly supportive of student activities.
Textbooks	Perkins funds cannot be used for the purchase of student textbooks.
Transportation	Perkins funds cannot be used for to provide transportation for students.
Tuition	Perkins funds cannot be used to pay tuition for students or instructional staff.
CTSO Student Support	Perkins funds cannot be expended directly for student expenses.
Memberships	Membership fees are not considered program improvement.

Appendix Document # 10 – Perkins IV Postsecondary Postsecondary Accounting Practices

GENERAL PERKINS POSTSECONDARY ACCOUNTING PRACTICES

ITEM	EXPLANATION
Equipment	No more than 50 percent of the total budget may be spent for equipment. The equipment must be required for training in high skill, high wage, or high demand occupations. Advisory committees and local business and industry representatives should be used as valuable resources while determining equipment needs. NOTE: Funds may not be used to replace outdated equipment.
Fiscal Management	Federal funds cannot be held for a period longer than three days. As such, any electronic drawdown must be expended within three days of the transfer of funds. <u>No more than 25% of the total allocation may be expended, obligated or encumbered prior to October 1st of the current allocation year.</u> All requests for reimbursement (electronic drawdown) must be completed on or before mid-June of the award year.
Salaries	No more than 50 percent of the total budget may be spent for salaries. NOTE: Any new CTE position is eligible for some level of funding (for the first 3 years only). A new position will be funded at 100% for the first year of the position. The position will then be funded at 2/3 of the original funded amount for the second year and 1/3 of the original funded amount for the third year. Salary for the position will become the institution's responsibility after 3 years. If the duties of this position are not 100% directly Perkins related, timesheets must be maintained for verification. A detailed job description for the new position must accompany the Local Application for Program Improvement Funds.
Encumbrances and Expenditures Across Fiscal Years	Perkins funds cannot be encumbered or expended across fiscal years. EXAMPLE: Perkins funds in the current fiscal year cannot be expended or encumbered for travel occurring in the next fiscal year.

Appendix Document # 11– Corrective Action Plan

KANSAS BOARD OF REGENTS - CAREER AND TECHNICAL EDUCATION CORRECTIVE ACTION PLAN FOR MANAGEMENT OF PERKINS FUNDS

Institutions will be asked to complete this plan if:

- a. 10% or more of Perkins Program Improvement funds are returned or not drawn down in a fiscal year.
- b. Perkins Program Improvement funds are returned in 2 consecutive years, regardless of the amount.

Educational Institution:

KBOR Concern:

Explanation of why funds were returned:

Action to address this concern:

Person responsible for corrective action:

Resources or Technical Assistance needed from KBOR:

President's Signature

Date

Appendix Document # 12– Personnel Activity Report

Personnel Activity Report#

Name _____
 Department _____
 Time Period ____/____/____ to ____/____/____

	NON FED.	STATE MATCH	STATE ADMIN	STATE LEADERSHIP	NON-TRAD.	CORRECTIONS	LOCAL BASIC GRANT	LOCAL ADMIN	SEC. 112 (C) RESERVE
Mon ____/____/____ Activity									
Tues ____/____/____ Activity									
Wed ____/____/____ Activity									
Thurs ____/____/____ Activity									
Fri ____/____/____ Activity									

Personnel Activity Report#

Mon ____/____/____ Activity									
Tues ____/____/____ Activity									
Wed ____/____/____ Activity									
Thus ____/____/____ Activity									
Fri ____/____/____ Activity									
TOTALS									

I certify that this report represents a true recording of effort expended for the period indicated and that I have full knowledge of those activities.

 Signature of Employee/Date

Appendix Document # 13– Semi-Annual Certification

Semi-Annual Certification

This is to certify that Jane Doe has worked 100% of his/her time for the period January 1, 2011 through June 30, 2011 on State Administration.

Signature of Employee

Printed Name of Employee

Date

Signature of Supervisor

Printed Name of Supervisor

Date