

Arkansas Department of Higher Education

**The Carl D. Perkins Career and Technical
Education Improvement Act of 2006**

**Perkins
Coordinator
Handbook**

www.adheperkins.com



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TABLE OF CONTENTS

SECTION 1 – INTRODUCTION	6
A. Introduction	
B. Arkansas Priorities for Perkins Career and Technical Education	
C. General Purpose and Focus of the Carl D. Perkins Act	
D. Federal Overview and History of CTE	
E. Arkansas Overview and History of CTE	
SECTION 2 – PERKINS PYE09 CYCLE TIMELINE.....	10
• Perkins PYE09 Annual Plan Cycle	
• Perkins PYE09 Data Cycle	
• Perkins PYE09 Financial Cycle	
• Perkins PYE09 Cycle Reports	
SECTION 3 – PLANNING AND ORGANIZATION.....	16
A. State Plan Overview	
• Required Uses of State Leadership Funds	
• Permissive Uses of State Leadership Funds	
B. Local Plan Development	
• Required Uses of Local Perkins Funds	
• Permissive Uses of Local Perkins Funds	
• Local Plan Content	
C. Local Plan Submission and Approval	
D. Consortia Requirements	
• Minimum Threshold	
• Consortium Governance	
• Consortium Administration	
• Consortium Operations	
• Role of state staff in Organizing Consortia	
SECTION 4 – ANNUAL PLAN	23
A. Annual Plan Funding Guidelines and Restrictions	
• General Eligibility Criteria	
• Allowed and Disallowed Expenditures	
B. Annual Plan Timeline	
C. Perkins Accountability Portal	
D. Annual Plan Process	
• Analysis: Prioritize Needs to Be Addressed in Annual Plan	
◆ Process Initiated	
◆ Data Collected and Analyzed	
◆ Plan Prepared	
• Activity Selection: Preparing the Annual Plan Application	

- E. Completing the Annual Plan Workbook
 - Section 1-Assurances and Approvals
 - Section 2-annual Plan Summary
 - Section 3-Administrative Funds
 - Sections 4-9-Activities by Core Indicator Area
 - Section 10-13-Activities in Targeted Areas
 - Section 14-Annual Plan Budget
 - Section 14a-Amended Annual Plan Budget
 - Section 15-Annual Plan Budget Reimbursement
 - Section 16-End of year Disposition of Funds Report
- F. Amendments
- G. Accountability
 - Fiscal Accountability: End of Year Financial Report
 - Program Accountability: End of Year Program Report

SECTION 5-FINANCIAL MANAGEMENT..... 32

- A. Authorization of Funds
 - Federal Authorizations
 - State Allotment Process
- B. Reimbursement of Expenditures
- C. Obligations Accompanying Acceptance of Perkins Funds
- D. Annual Plan Budget
 - Funds availability
 - 5% Administration Rule
 - First Quarter Rule
 - 10% Amendment Rule
 - Three Year Rule
 - Supplement vs. Supplant
 - Carryover
 - Obligation of Funds
 - Co-mingling of Funds
 - Pooling
 - Equipment Purchases
 - Consortia Issues
 - Required and Permissive Uses of Funds
 - Accountability
- E. Description of Annual Plan Budget Categories
 - Program Administration
 - Employee Salaries and Benefits
 - Equipment and Supplies
 - Purchased Services and Professional Development
- F. Amending the Budget
- G. End of Year Financial Reports
- H. Financial Accountability
- I. Financial Governance Authorities

SECTION 6 – ACCOUNTABILITY..... 39

- A. Core Indicator Performance Levels
- B. Description of Negotiated Performance Levels
- C. Perkins IV CTE Student Definitions
 - Postsecondary Participant
 - Postsecondary Concentrator
 - Funded Concentrator
 - Exited Concentrator
- D. Perkins IV Core Indicator Definitions
 - 1P1-Technical Skill Attainment
 - 2P1-Credential Attainment
 - 3P1-Student Retention/Transfer
 - 4P1-Student Placement
 - 5P1-Nontraditional Participation
 - 5P2-Nontraditional Credential Attainment
- E. Special Populations Definitions
- F. Perkins Coordinator Responsibility for Accountability Data
- G. Perkins Data Submission Procedures
- H. Accountability Reports
 - Fiscal Accountability: End of Year Financial Report
 - Program Accountability: End of Year Performance Report
 - Evaluating Overall Effectiveness of Use of Perkins Funds
 - Consolidated Annual Report (CAR)
- I. Compliance Site Visits
- J. Site Visit Preparation
- K. Annual Plan Records
- L. Supplemental Fiscal Monitoring
- M. Performance Improvement Plan
 - State Staff Provided Technical Assistance
 - Local Improvement Plans
- N. 5-Step Improvement Process

SECTION 7 – SELECTED PROGRAM GUIDANCE..... 48

- A. Advertising and Recruitment
- B. Equipment
- C. Programs of Study/Career Clusters/Career Pathways
- D. Funding New Programs
- E. Professional Development
- F. Sufficient Size, Scope and Quality
- G. Perkins Eligible Programs of Study
- H. Administrative Funds
- I. Secondary Students
- J. Supplemental Fiscal Monitoring
- K. High Wage, High Demand, High Skill Occupations

SECTION 8 – APPENDICES 71

- A. Consortium Memorandum of Understanding (MOU) (sample)
- B. Personnel Activity Record (PAR) (sample)
- C. Site Visit Checklist
- D. 5-Step Improvement Process
- E. Articulation Agreement (sample)

Z. Definitions

SECTION 1: INTRODUCTION

A. INTRODUCTION

The Carl D. Perkins Career and Technical Education Improvement Act of 2006 (Perkins IV) provides secondary, postsecondary, and adult technical education programs with federal assistance.

This federal legislation seeks to ensure that states are economically competitive by helping learners develop the academic and occupational skills which are necessary to work in a technically advanced society, while doing so in congruence with the workplace needs, as well as encouraging equitable participation in career and technical education (CTE) by all segments of the population.

This handbook addresses the postsecondary application of the Carl D. Perkins program in Arkansas and is intended for the training, use and reference of state and institutional level Perkins grant administrators.

B. ARKANSAS PRIORITIES FOR PERKINS CAREER AND TECHNICAL EDUCATION

The work of career and technical education in Arkansas is diverse and delivered by numerous state agencies and community organizations. The goals of CTE vary by provider but in the context of Perkins, priorities include increased rates of CTE enrollment, retention and transfer, credential attainment including increases bachelor's degrees, and placement in employment.

Beyond these broad priorities is an underlying desire to make CTE a more relevant option for people readying themselves for the education and workforce needs of the 21st century. To move CTE to the next level will require a systematic rethinking of how CTE is provided and how resources are allocated. Higher academic standards must be required for all CTE programs and obsolete or declining programs must be eliminated in favor of courses tied to emerging needs of high wage, high skill business and industry. The pathway from education to earnings must appear seamless to the student and made easier through improved linkages between high schools, colleges and universities, and employers. To achieve this, faculty, administrators and support staff must serve the whole student and provide support beyond mere instruction that reduces barriers to enrollment and completion.

Decisions regarding Perkins allocations at the local and state levels should support these overall goals and should strive to have the greatest possible impact on student achievement for the greatest number of CTE concentrators. Priorities and examples of supporting activities include:

Increased Student Achievement

- Instruction that provides students with a solid foundation of academic skills and the knowledge to apply those skills in advanced education and/or training and employment.
- Challenging programs that integrate academic and technical skill development through contextual class and work-based learning experiences.
- Professional development that focuses on improving academic and technical skills and assuring that CTE students are taught to the same challenging academic proficiencies as other students. Preferred professional development is targeted, not random, meaningful, relevant, and related to needs of the workplace and workforce.

- Linkages, curriculum alignment and other activities created between secondary and postsecondary through formal programs of study to prepare students to succeed at the postsecondary level.
- Development of statewide articulation agreements.
- Expansion of the Arkansas Course Transfer System (ACTS) to include additional CTE courses.

Expanded Student Support Services

- Expanded support for student services to address assessment of aptitude and academic skills, placement, career exploration and academic support.

Support for Economic and Workforce Development Initiatives

- Economic development efforts that support and improve the economic vitality of Arkansas.
- Workplace needs, current status of economic sectors, emerging technologies and related career areas identified through improved workforce skills.
- Regional targeted sectors identified, supported and developed by AEDC.
- Business and industry increased involvement to review curricula and assure that programs reflect standards of business and industry.
- Accreditation for specific programs with a specialized, quality curriculum which meets the guidelines and standards set by the accrediting body.

Perkins utilized as Change Agent for CTE Reform

- Changes in institutional processes that result in improved instruction and learning.
- Data collection that is complete, accurate, valid and reliable and can be used as the basis for improved program development and informed decision-making.
- Activities that allow institutions to respond to workforce development resulting from the changing economic needs of the state in the global economy.

C. GENERAL PURPOSE AND FOCUS OF THE CARL D. PERKINS ACT

The general intent of Congress in authorizing Perkins IV is to make the United States more competitive in the current world economy and to prepare workers to take advantage of emerging opportunities. To that end there are four overarching goals: 1) challenging academic standards; 2) broadening services that integrate academic and technical instruction; 3) increasing linkages between secondary and postsecondary institutions; 4) providing additional resources in the classroom.

The U.S. Department of Education Office of Vocational and Adult Education (OVAE) administers Perkins funding. A multi-step process determines the amount of funding each state will receive. The calculations are made using a formula based upon a) size of state population in particular age groups, b) state's per capita income, c) U.S. per capita income, and d) total federal appropriation for basic grants.

Basic grants are awarded to a state "eligible agency" which has been designated as the sole state agency responsible for the administration or supervision of vocational and technical education in the State. In Arkansas, that is the Arkansas Department of Workforce Education (ADWE).

D. Federal Overview and History of CTE¹

In the early 20th century, battles raged over the role of classical education that prepared students to enter college and practical education that prepared students to enter a trade. More Americans were beginning to access public education and expressed increased needs for skills training in addition to or in place of pure academics. Proponents of practical education were firm in their desire for a curriculum that prepared students to compete in the new Industrial Age.

Federal funding for vocational education began in 1917 when President Woodrow Wilson signed the Smith-Hughes Vocational Education Act, legislation based upon the need to prepare people to earn a living in a growing industrial economy. Support for vocational training has been rollercoaster like over the years—considered critical during times of war but having to withstand threats of discontinuance at other times. The role and scope of vocational education greatly expanded in the Sixties with the advent of area vocational schools and specialized training programs. Representative Carl D. Perkins of Kentucky was one of the most influential advocates for vocational education in Congress and was instrumental in passage of the Vocational Education Act of 1963 that replaced the Smith-Hughes legislation. During the 1970s federal legislation began a push for vocational education to address the special needs of disabled and disadvantaged students. The trend continued into the 1980s with the passage of the first Carl D. Perkins Vocational and Applied Technology Act of 1984 (Perkins I). The Perkins Act was reauthorized in 1990 (Perkins II), extended in 1995 amid political wrangling, reauthorized in 1998 (Perkins III), and reauthorized in 2006 (Perkins IV).

The purpose of the Perkins Act of 2006 is to more fully develop the academic and technical skills of secondary students and postsecondary students who elect to enroll in occupational programs. This is accomplished by a) building upon existing state efforts to develop challenging academic standards; b) by promoting integration of academic and technical instruction; c) linking secondary and postsecondary instruction; d) increasing state flexibility in providing services and activities that improve technical education; e) and disseminating national research and providing developmental and technical assistance that improves technical education programs, services, and activities.

In his message to Congress in 1916, President Wilson noted that vocational and industrial education was vitally important to the whole country “for the critical years of economic development immediately ahead of us.” While the particulars may have changed, the primary challenge remains familiar—equipping Americans with the education and skills required to compete in a changing, global economy, and to provide increased options for career choices. With the demands of a new and challenging 21st century, vocational education is evolving from its original focus on preparing students for work immediately following high school. With national and state school reform efforts focused on academic achievement, and with the fastest-growing occupations now requiring some postsecondary education, “vocational” education is giving way to “career and technical” education which integrates academic and skills training that is more relevant to the complexity of jobs in the 21st century marketplace.²

It is important to note that Perkins IV contains increased references to technology—use of it in the classroom, training teachers to use it, and distance learning. These are indications of Congressional intent that Perkins funding be used to respond to the technological realities of today’s economy.

¹ *The Official Guide to the Perkins Act of 1998*. Association for Career and Technical Education. 1998. Pg 5-11.

² Office of Vocational and Adult Education. www.ed.gov/about/offices/list/ovae/index.html

It is also important to note that in Perkins IV a much greater emphasis is placed upon program accountability. Continual improvement is now measured by positive movement in areas related to a list of core performance indicators described in the Act. Funds are to be directed toward program areas or populations that program outcomes data indicate are in greatest need.

Recipients of Perkins funds should ensure that Perkins funded programs and activities are responsive to current industry needs and fulfill the purposes of the Perkins Act.

E. Arkansas Overview and History of CTE³

The passage of the Smith-Hughes Act of 1917 is generally accepted as the beginning of vocational education in Arkansas, even though there are references in State Board of Education meeting minutes in 1913 to requirements for training schools for nurses. The Arkansas legislature happened to be in session at the time the Smith-Hughes Act passed and accepted the provisions of the Act. The State Board approved a plan to be submitted to the federal government in March of that year. Vocational education during school year 1917-1918 consisted of 497 secondary and adult students enrolled in trades and industrial, agriculture, and home economics. By academic year 2006-07, there were 192,245 secondary and postsecondary CTE students as reported on the Perkins Comprehensive Annual Report.

Vocational education in Arkansas was administered by the Department of Education and E. B. Matthew was selected as the first full-time State Director of Vocational Education in 1928.

Perkins I funds were distributed using a request for proposals process for postsecondary institutions and was primarily directed at special populations and at specific projects. Funds were administered by the Division of Vocational and Technical Education. Effective in 1991 with Perkins II, and continuing with Perkins III and IV, money was allocated in the form of a grant to all local institutions on the basis of a funding formula rather than by requesting proposals.

Also in 1991, Act 1244 established the Arkansas Technical and Community College System whereby the State's vocational technical schools became technical colleges, community colleges, or branches of four-year institutions and came under the purview of the Arkansas Higher Education Coordinating Board. A Memorandum of Understanding (MOU) between the Division of Vocational and Technical Education (DVTE) and the Arkansas Department of Higher Education (ADHE) was reached which provided for ADHE to assume responsibility for oversight of postsecondary Perkins funding.

In 1997, the Division of Vocational and Technical Education became the Arkansas Department of Workforce Education (ADWE). The MOU remains in effect with ADHE administering postsecondary Perkins funds and ADWE administering secondary.

³ *A Brief History of Vocational Education in Arkansas 1917-1985*. Geneva Guthrie. Notes for presentation delivered at workshop of vocational educators on May 28, 1985.

SECTION 2: PERKINS PYE09 CYCLE TIMELINE

Time Period		Action	Notes				
Program Year Ending 08	Calendar 2008	Jan					
		Feb					
		Mar	31 PYE09 targets negotiated with OVAE				
		Apr	15	PYE09 targets negotiated with institutions			
			25	State funding level announced by OVAE			
		May	30	Local funding level announced by ADHE	Based on Pell/BIA from AY07		
			15	Consortia MOUs due to ADHE			
		Jun	31	PYE09 Annual Plans due			
30	PYE09 Annual Plans approved by ADHE		If received by May 31				
Program Year Ending 09	Calendar 2009	Jul	1 PYE09 begins				
			1	Funds available	If AP substantially approved		
		Aug	10	Reimbursement requests due	Optional		
		Sep	10	Reimbursement requests due	Optional		
			19	New Coordinator Workshop			
		Oct	10	Reconcile budget	Mandatory		
			10	Reimbursement request due for July-September	Mandatory		
			15	AY09 Fall Term File due to AHEIS			
			15	Institutions prepare Perkins Fall Draft Participant List	CTE declared major that will earn 3 hours in current AY; used to identify special pops		
		Nov	10	Reimbursement requests due	Optional		
			13	Fall Coordinators Workshop			
			15	Equipment purchase deadline			
			30	Perkins Fall Special Populations Report due to ADHE	Institution reviews Perkins Draft Participant List and determines special pops info		
		Dec	10	Reimbursement requests due	Optional		
				Jan	10 Reconcile budget	Mandatory	
					10	Reimbursement request due for October-December	Mandatory
				Feb		Compliance site visits	
					10	Reimbursement requests due	Optional
					11	AY09 Fall End of Term File due to AHEIS	
					11	AY09 Spring Term File due to AHEIS	
	11			Institutions prepare Perkins Spring Draft Participant List	CTE declared major that will earn 3 hours in current AY; used to identify special pops		
Mar				Compliance site visits			
	10			Reimbursement requests due	Optional		
	31			Perkins Spring Special Populations Report due to ADHE	Institution reviews Perkins Draft Participant List and determines special pops info		
	31			Supplemental Data Report	Placement data for previous year exiters		
Apr	10			Reconcile budget	Mandatory		
	10			Reimbursement request due for January-March	Mandatory		
	15			Amendment deadline			
				Spring Coordinators Workshop			
May	10	Reimbursement requests due	Optional				
Jun	10	Reimbursement requests due	Optional				
	17	AY09 Spring End of Term File due to AHEIS					
	30	PYE09 Ends					

Program Year Ending 10	Calendar 2009				
		Jul	10	Reimbursement request due	Optional
		Aug	1	ADHE provides PYE09 Perkins Accountability File (accountability data) to vendor	Includes AHEIS, ADWE, Special Populations Reports, Supplemental Data Reports
			10	End of Year Financial Report	
				◆Reimbursement request (final)	
				◆Reconcile budget	
				◆End of Year Disposition of Funds Report	
		Sep	1	ADHE provides PYE09 accountability reports to institutions	
			15	End of Year Program Report due to ADHE	
		Oct			
		Nov	1	Improvement Plan due for each deficient core indicator	
Dec	20	CAR Report due to OVAE			

PERKINS PYE09 DATA CYCLE

Date	Report	Notes
10/15/08	AY09 Fall Term File	<ul style="list-style-type: none"> Submitted by Institution into AHEIS Contains data used to create Perkins Fall Draft Participant File
	Perkins Fall Draft Participant File	<ul style="list-style-type: none"> Institution prepares Perkins Fall Draft Participant File (includes all CTE declared majors—CP, TC and all associate level awards except AA and AS General Studies, General Education and Liberal Arts) in Excel format Institution determines special population designations for all students on Perkins Fall Draft Participant File
11/30/08	Perkins Fall Special Populations Report	<ul style="list-style-type: none"> Using the Excel-based Perkins Fall Draft Participant File, institution submits information to ADHE ADHE integrates special populations information into Perkins Accountability System
2/11/09	AY09 Fall End of Term File	<ul style="list-style-type: none"> Submitted by Institution into AHEIS
2/11/09	AY09 Spring Term File	<ul style="list-style-type: none"> Submitted by Institution into AHEIS Contains data used to create Perkins Spring Draft Participant File
	Perkins Spring Draft Participant File	<ul style="list-style-type: none"> Institution prepares Perkins Spring Draft Participant File (includes all CTE declared majors—CP, TC and all associate level awards except AA and AS General Studies) in Excel format Institution determines special population designations for all students on Perkins Spring Draft Participant File
3/31/09	Perkins Spring Special Populations Report	<ul style="list-style-type: none"> Using the Excel-based Perkins Spring Draft Participant File, institution submits information to ADHE ADHE integrates special populations information into Perkins Accountability System
3/31/09	Supplemental Data Report	<ul style="list-style-type: none"> Placement data for PYE08 (previous year) exiters
6/17/09	AY09 Spring End of Term File	<ul style="list-style-type: none"> Submitted by Institution into AHEIS
7/15/09	Perkins Supplemental Data Report	<ul style="list-style-type: none"> Submitted by Institutions for inclusion in Perkins Accountability System; most commonly will include supplemental placement in employment data to augment UI Wage files
8/1/09	Perkins Accountability File	<ul style="list-style-type: none"> ADHE provides information to vendor <ul style="list-style-type: none"> AHEIS files UI Wage Data from ADWS Apprenticeship from ADWE Supplemental information from Institutions
9/1/09	PYE09 Accountability Reports	<ul style="list-style-type: none"> ADHE provides accountability reports to Institutions
9/15/09	PYE09 End of Year Program Report	<ul style="list-style-type: none"> Institution completes assessment of activities
11/1/09	Improvement Plan	<ul style="list-style-type: none"> Institution prepares improvement plan for each deficient core indicator
12/20/09	CAR Report	<ul style="list-style-type: none"> ADHE submits program information to OVAE

PERKINS PYE09 FINANCIAL CYCLE

Date	Report	Notes
6/30/08	PYE09 Annual Plan approved	<ul style="list-style-type: none"> Must be received in “substantially approvable” form before expenditures can be reimbursed
7/1/08	PYE09 begins	<ul style="list-style-type: none"> Up to 25% of local grant becomes available through September 30, 2008
8/10	Monthly Reimbursement Request	<ul style="list-style-type: none"> Optional: Institution can request reimbursement no more than monthly and no less than quarterly
9/10/08	Monthly Reimbursement Request	<ul style="list-style-type: none"> Optional
10/10/08	Quarterly Budget Reconciliation	<ul style="list-style-type: none"> Mandatory: Institution must reconcile budget for July-September <ul style="list-style-type: none"> Adjust individual activity budgets Adjust budget summary to reflect individual activity budgets Reimbursement Request for any unreimbursed expenses through September
11/10/08	Monthly Reimbursement Request	<ul style="list-style-type: none"> Optional
11/15/08	Equipment purchase deadline	<ul style="list-style-type: none"> Equipment to be purchased and installed for student use
12/10/08	Monthly Reimbursement Request	<ul style="list-style-type: none"> Optional
1/10/09	Quarterly Budget Reconciliation	<ul style="list-style-type: none"> Mandatory: Institution must reconcile budget for October-December <ul style="list-style-type: none"> Adjust individual activity budgets Adjust budget summary to reflect individual activity budgets Reimbursement Request for any unreimbursed expenses through December
2/10/09	Monthly Reimbursement Request	<ul style="list-style-type: none"> Optional
3/10/09	Monthly Reimbursement Request	<ul style="list-style-type: none"> Optional
4/10/09	Quarterly Budget Reconciliation	<ul style="list-style-type: none"> Mandatory: Institution must reconcile budget for January-March <ul style="list-style-type: none"> Adjust individual activity budgets Adjust budget summary to reflect individual activity budgets Reimbursement Request for any unreimbursed expenses through March
4/15/09	Amendment deadline	<ul style="list-style-type: none"> Prepare any final adjustments to expenditures based upon Quarterly Budget Reconciliation
5/10/09	Monthly Reimbursement Request	<ul style="list-style-type: none"> Optional
6/10/09	Monthly Reimbursement Request	<ul style="list-style-type: none"> Optional
6/30/09	PYE09 ends	<ul style="list-style-type: none"> No additional PYE09 expenditures may be spent
7/10/09	Monthly Reimbursement Request	<ul style="list-style-type: none"> Optional
8/10/09	End of Year Financial Report	<ul style="list-style-type: none"> Final reimbursement request Final budget reconciliation End of Year Disposition of Funds Report
8/15/09	ADHE Financial Report to ADWE	

PERKINS CYCLE REPORTS

Report	Description	Due Date
Annual Plan	Prepared by coordinators and approved by state staff	May 31
Reimbursement Request	Signed by coordinators to request reimbursement of approved expenditures	10 th (monthly)
Quarterly Budget Reconciliation	Coordinator updates individual activity budgets and budget summary to reflect actual expenditures	10: Oct, Jan, Apr
Fall Term File	Submitted by institutions into AHEIS	Oct 15
Perkins Fall Draft Participant List	Institutions create list of all Perkins Participants (declared CTE majors in fall semester) so that they may be reviewed for special populations designations	Oct 15
Fall Special Populations Report	Institutions manually submit Fall Draft Participant list with associated special populations information	Nov 30
Fall End of Term File	Submitted by institutions into AHEIS	Feb 11
Spring Term File	Submitted by institutions into AHEIS	Feb 11
Perkins Spring Draft Participant List	Institutions create list of all Perkins Participants (declared CTE majors in spring semester) so that they may be reviewed for special population designations. Is only necessary to review those not included in Fall Special Populations Report	Feb 11
Spring Special Populations Report	Institutions manually submit Spring Draft Participant list with associated special populations information	Mar 31
Supplemental Data Report	Manual report by coordinator to submit placement data for students not found in ADWS wage records; will be for students who exited postsecondary education at the end of the previous academic year	Mar 31
Spring End of Term File	Submitted by institutions into AHEIS	Jun 17
Perkins Accountability File	Total of all data reports and AHEIS data files: Term and End of Term Files, Special Populations Reports, UI Wage Records, Apprenticeship Enrollment, and Supplemental Data Reports. These files will be provided to the data vendor to develop accountability reports.	Aug 1
End of Year Financial Report	Includes final budget reconciliation, final request for reimbursement and EoY Disposition of Funds Report	Aug 10
End of Year Disposition of Funds Report	Included in EoY Financial Report, summarizes all expenditures by core indicator and indicates all unused and/or returned funds; must be received by ADWE by August 15	Aug 10
Perkins Accountability Reports	Data vendor prepares accountability reports and ADHE will provide to coordinators and post on WWW. These reports will be used to determine whether core indicator improvement plans are required.	Sep 1
End of Year Program Report	Using both anecdotal and Perkins Accountability Reports, coordinator reviews and notes achievements for each activity.	Sep 15
Core Indicator Improvement Plan	An improvement action plan for each core indicator that falls below 90% of the performance target.	Nov 1

CAR (Consolidate Annual Report)	Prepared by state staff for submission to OVAE. Contains enrollment data, special population information, career clusters, and performance results. Is used to determined need for improvement plans and State sanctions for upcoming program year.	Dec 20
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SECTION 3: PLANNING AND ORGANIZATION

The Arkansas Department of Workforce Education (ADWE) is the recipient of Perkins funding and is accountable for programs, fiscal management, compliance, and performance. Through a Memorandum of Understanding (MOU), the Arkansas Department of Higher Education (ADHE) is responsible for all aspects of postsecondary Perkins activities.

Allocations for each local recipient are determined according to Section 132 of the Perkins legislation. Postsecondary funding levels are determined by the number of Perkins concentrators from the most recent reporting period who received Federal Pell Grant and Bureau of Indian Affairs assistance. The Arkansas Department of Workforce Education determines the amount per student based upon the total amount available for basic postsecondary grants and notifies the Arkansas Department of Higher Education of the amount per institutions. ADHE notifies each institution and notifies those falling below \$50,000 of the requirement to join a consortium in order to receive funds.

The key to a successful Perkins program is an effective combination of long and short term planning. The Arkansas State Plan provides long-term goals for the overall Perkins program. Institutions develop a Local 5-Year Plan that outlines activities for the same timeframe covered by the State Plan. From the Local 5-Year Plan, the institution develops an Annual Plan that outlines single-year activities.

A. STATE PLAN OVERVIEW

Perkins IV requires the State to have a State Plan⁴ which represents commitments made by the State to OVAE as to how Perkins funds will be used to meet negotiated performance levels during the funding period authorized by the current law. The State Plan is developed collaboratively by funded agencies and with input from other state agencies, educational institutions, students, and the public.

To avoid sanctions, a state that fails to meet performance levels must submit an improvement plan detailing how the state will improve performance. In so doing, the state must evaluate local performance of institutions that are below target or are failing to make substantial annual progress. Once deficiencies have been identified, the state will enter into a local improvement plan with regular evaluations to assist the recipient institution in improving results.

If the state does not perform satisfactorily, does not implement an improvement plan⁵ or shows no improvement within a year of implementing an improvement plan, or has performed unsatisfactorily for two or more years, some or all funds may be withheld from the state.

A portion of the state's funding is set aside for leadership activities that are implemented by state staff.⁶ Those postsecondary activities are either required or permissive in nature.

Required Uses of State Leadership Funds

- Assessment of CTE programs and participation level of special population students
- Expansion of the use of technology in CTE education, including teacher training, distance learning, and focus on programs that lead to high technology or telecommunications careers

⁴ Perkins IV, Title 1, Part C, Section 122 details State Plan requirements

⁵ Perkins IV, Title 1, Part C, Section 123 details improvement plans

⁶ Perkins IV, Title 1, Part C, Section 124 details state leadership requirements.

- Professional development for technical and academic instructors, guidance and administrative personnel, and Perkins coordinators that will lead to increased levels of student performance
- Activities that integrate academic, vocational, and technical education
- Nontraditional training and employment activities
- Partnerships among secondary, postsecondary, adult education, employers, labor organizations, and parents
- Serving individuals at state correctional institutions or institutions that serve individuals with disabilities
- Programs that prepare special populations for high skill, high wage, or high demand careers
- Technical assistance for eligible recipients

Permissive Uses of State Leadership Funds

- Career guidance and counseling
- Secondary and postsecondary linkages including statewide articulation agreements
- Transition of sub-baccalaureate students into baccalaureate degree programs
- Training or experience in all aspects of an industry
- Support for family and consumer science programs
- Programs that support entrepreneurship
- Support of partnerships between education and business including adjunct faculty arrangements
- Improve or develop new CTE courses or initiatives that prepare students for placement in high skill, high wage, and high demand occupations
- Job and postsecondary education placement
- Incentive grants to local recipients

B. LOCAL PLAN DEVELOPMENT

Local institutions are required to prepare two types of plans—a long-term Local 5-Year Plan detailing the institution’s goals and objectives for CTE programs and a short-term Annual Plan that describes specific strategies for meeting those goals.

Perkins IV requires that each eligible entity (institution or consortium) develop a broad, long-term Local 5-Year Plan⁷ that describes needs to be met and strategies for meeting those needs during the length of time covered by the authorizing Perkins legislation. While the Local Plan may be amended when need can be justified, the purpose of the Local 5-Year Plan is to provide a long-range and sustained approach for expending Perkins funds on an annual basis. The Local 5-Year Plan should outline core indicator areas that will be addressed and, if desired, identify specific program areas that will receive concentrated attention in support of those core indicator areas. Based upon priorities identified in the Local 5-Year Plan, the institution then develops an Annual Plan detailing specific activities that will achieve the goals of the Local 5-Year Plan.

Perkins legislation requires that funds must be spent on nine specific activities (required uses) and permits use of Perkins funds on twenty additional activities (permissive uses).⁸ Because several of the permissive use of funds are similar to several of the required uses of funds, Arkansas has chosen to consolidate where possible to reduce the number of categories.

⁷ Perkins IV, Title 1, Part C, Section 134 details Local Plan requirements

⁸ Perkins IV, Title 1, Part C, Section 135 details required and permissive uses of local funds.

Required Uses of Local Funds

- (1) Strengthen academic and technical skills of students participating in CTE programs through the **integration of academics with CTE programs.**

Related Permissive: **Teacher preparation** programs that address the integration of academic and CTE and that assist **individuals** with experience in business and industry **who are interested in becoming CTE faculty.**

- (2) **Link secondary and postsecondary** levels, including not less than **one CTE program of study** containing both secondary and postsecondary elements that are coordinated, non-duplicative and aligned.

Related Permissive: Developing initiatives that facilitate the **transition of sub-baccalaureate CTE students into baccalaureate degree programs**, including **articulation** agreements, **dual** and **concurrent** enrollment programs, academic and financial aid **counseling** and other initiatives to overcome barriers and encourage enrollment and completion.

Related Permissive: Improving or developing **new CTE courses**, including the development of programs of study and courses that prepare individuals academically and technically for high-skill, high-wage or high-demand occupations and dual or concurrent enrollment opportunities.

- (3) Provide students with strong **experience and understanding of all aspects of an industry**, which may include **work-based learning** experiences.

Related Permissive: Create **business-education partnerships**, including work-related experiences for students, adjunct faculty arrangements for qualified industry professionals and industry experience for faculty.

- (4) **Initiate, develop, improve, modernize, or expand** CTE programs, including the relevant use of **technology** which may include:

- **training** of career and technical education teachers, faculty, and administrators to use technology, and which may include distance learning technology.
- providing career and technical education students with the academic and career and technical skills (including the mathematics and science knowledge that provide a strong basis for such skills) that lead to **entry into the technology fields.**
- encouraging schools to **collaborate with technology industries** to offer voluntary internships and mentoring programs, including programs that improve the mathematics and science knowledge of students.

*(Related Permissive: Leasing, purchasing, upgrading or adapting **equipment** including instructional aids and publications (including library resources) designed to strengthen and support academic and technical skill attainment).*

- (5) Provide in-service and pre-service **professional development** programs to faculty, administrators, and career guidance and academic counselors who are involved in integrated career and technical education programs on topics including:
- effective **integration** of academics and CTE
 - **effective teaching skills** based on research
 - effective practices to improve parental and **community involvement**
 - effective use of **scientifically based research** and data to **improve instruction**

Professional development should:

- ensure that teachers and personnel **stay current with all aspects of an industry**
 - involve **internship programs** that provide relevant business experience
 - **train teachers** specifically in the effective use and application of **technology to improve instruction**
- (6) Develop and implement **evaluations of the CTE programs** carried out with PIV funds, including an assessment of how the needs of special populations are being met.
- (7) Provide activities to prepare **special populations**, including nontraditional students, single parents and displaced homemakers who are enrolled in CTE programs for **high skill, high wage, and high demand occupations** that will lead to self-sufficiency.

Permissive Uses of Local Funds

- (1) **Involve stakeholders** (parents, businesses and labor organizations) in the design, implementation and evaluation of CTE programs.
- (2) Provide **services that contribute to student success** including:
- **career guidance and counseling** to postsecondary CTE students
 - **mentoring and support** services
 - small personalized career-themed **learning communities**
 - assistance to CTE students in **continuing their education or training or in finding an appropriate job**
 - **nontraditional** training and employment activities such as mentoring and outreach
- (3) **Developing and expanding postsecondary program offerings** at times and in formats that are accessible for all students, including through the use of distance education.
- (4) Support targeted program areas that contribute to workforce preparation including:
- **entrepreneurship** education and training
 - **family and consumer science** programs
 - **automotive technologies**
- (5) **Pooling** a portion of Perkins postsecondary funds with a portion of funds available to other Perkins recipients for innovative initiatives.

The Local 5-Year Plan must indicate how required and permissive uses of funds will be included. Emphasis should be placed on required uses until an institution has met all of its performance level targets. That doesn't mean that activities that are permissive in nature cannot be funded; only that required uses should be a priority. Nor does it mean that an institution must expend funds in all eight of the required areas during every year of funding. As long as the institution is addressing the required activities in some manner—Perkins funded or with other institutional resources—the institution has the flexibility to allocate Perkins funds according to highest need and potential for greatest impact upon performance levels.

Once the Local 5-Year Plan is developed, each institution then develops a short-term Annual Plan to provide strategies for meeting the commitments of its Local 5-Year Plan. Flexibility is allowed in the Annual Plan to implement strategies that are responsive to changes in CTE needs and circumstances but activities should substantially support the Local 5-Year Plan as originally outlined for the prescribed period. The Annual Plan is approved annually and may be amended as needed through April 15 of the program year. In addition to program activities, the Annual Plan includes the associated budget, assurances, and signatory pages. The Annual Plan is described in Section 4-Annual Plan.

Local 5-Year Plan Content

Each Local Plan must describe how required and permissive uses of funds will be used to address the following areas.⁹

- Describe how the institution will meet its obligation for the required use of funds and permissive use of funds if applicable.
- Describe how the CTE programs will achieve core indicator performance levels.
- Describe a minimum of one program of study that includes secondary to postsecondary linkages, and associate to bachelor degree programs where appropriate.
- Describe how academic and CTE education components will be integrated to ensure learning in the core academic and technical subject areas; how students will learn about all aspects of an industry; and how CTE students are taught to the same challenging academic proficiencies as are taught for all students.
- Describe how comprehensive professional development for CTE, academic, guidance, and administrators will be provided that promotes the integration of coherent and rigorous content aligned with challenging academic standards and relevant career and technical education (including curriculum development).
- Describe how parents, students, teachers, business and industry, special populations, and labor organizations are involved in the development and implementation of CTE programs funded by Perkins.
- Describe how the institution will assure that CTE programs are of such size, scope, and quality as to improve the quality of CTE education offered.
- Describe the process used to evaluate and continuously improve CTE programs at the institution.
- Describe how the needs of special populations will be met and how barriers to and discrimination towards special populations are reduced so that special populations meet core target indicator performance levels.

⁹ Perkins IV, Title 1, Part C, Section 134 details requirements for content of local plan.

- Describe how funds will be used to promote participation of and achievement by nontraditional students.
- Describe how career guidance and academic counseling will be provided to CTE students, including linkages to future education and training opportunities.
- Describe efforts to improve the recruitment and retention of CTE faculty, career guidance and academic counselors, including groups underrepresented in the teaching profession, and efforts to attract faculty from business and industry.

C. LOCAL 5-YEAR PLAN SUBMISSION AND APPROVAL

Deadlines for submission will be provided by state staff to all local coordinators. Local 5-Year Plans will be submitted through the Perkins Accountability Portal for approval and will be kept on file for review during the approval process for annual plans submitted during Perkins IV.

D. CONSORTIA REQUIREMENTS

Minimum Threshold

An institution must qualify for a grant of at least \$50,000 in order to provide services of such size, scope and quality as to be eligible for Perkins funding. If the basic grant falls below this level, the institution must join a consortium in order to participate in Perkins.¹⁰ An individual consortium must also exceed the \$50,000 threshold in order to qualify for funding. Consortia must develop a Local 5-Year Plan and an Annual Plan and meet all requirements that apply to stand-alone recipients.

ADHE has exercised its authority to request a waiver¹¹ to the mutually beneficial provision if a member institution is located within a rural, sparsely populated area. For purposes of determining rural, sparsely populated areas, the Urban and Rural Classification provided by the U.S. Census Bureau will be used. The official definition of a rural area is an “area of open country and settlements with fewer than 2,500 residents.”¹² The waiver does not eliminate the requirement to join a consortium; it eliminates the requirement for a consortium to provide services that are mutually beneficial to all members of the consortium.

Consortium Governance

A consortium is organized on the basis of a Memorandum of Understanding (MOU) signed by all member institutions. The MOU provides details concerning the governing board, allocation of funds within the consortium, role and level of services to be provided by the consortium fiscal agent, and responsibilities of the member institutions. It also identifies the program areas that are common to all members and on which the consortium will focus funds. A sample MOU is in Section 8.

The formation of consortia of multiple institutions is allowable under the Carl Perkins Act for the purpose of satisfying the Act’s \$50,000 minimum grant requirement. When a consortium is formed, the Pell Grant counts of the member institutions are pooled and a Perkins Local Grant is made to the consortium based on this pooled count, qualifying the consortium for a grant in excess of \$50,000, something that member institutions could not have done on their own. The grant is then made to the consortium, not to individual member institutions.

¹⁰ Perkins IV, Title 1, Part C, Section 132 details consortia requirements.

¹¹ Waiver request made to ADWE June 2008.

¹² Rurality defined at www.ers.usda.gov/briefing/rurality/whatisrural

Consortium Administration

Perkins regulations permit the use of up to 5% of the grant to cover the costs of grant administration. It follows, therefore, that the consortium's fiscal agent—the entity that is charged with grant administration—would elect to cover its costs with the 5% of the grant the Act permits to be used in this manner. Permission to do so from member institutions is not required since they did not receive a Perkins grant and since they surrendered budgetary oversight to the consortium's fiscal agent when they joined the consortium.

Consortium Operations

The formation and operation of a consortium is a local matter and can be based upon different factors, but certain requirements must be met.

- Funds allocated to a consortium shall be used only for purposes and programs that are mutually beneficial to all members of the consortium when possible. (A waiver to this requirement in effect when mutually beneficial activities would prove to be ineffective.)
- Consortia must provide services to all member institutions. An institution cannot be a consortium member and receive zero funds. Funds may not be rotated among members; each member must receive benefit every program year.
- Consortium activities must be of sufficient size, scope and quality as to be effective.
- Consortium funds must be distributed among members based upon criteria other than Pell count of individual institutions. Pell count is only used to assure that recipients are of sufficient size, scope and quality as to deliver effective programs (above or below \$50,000). Once funds are consolidated into a consortium, Pell count no longer has meaning for allocation of funds.
- Each consortium will designate an institution to serve as the fiscal agent for the consortium. This is an important decision because the State will allocate funds to the fiscal agent, not individual members of the consortium. The fiscal agent is responsible for fiscal compliance across the consortium.
- Consortium membership should be limited to the number of institutions that can be effectively served by a single fiscal agent and by the nature of common benefit to all members. In instances where there is programmatic benefit, institutions below the \$50,000 threshold may form a consortium with an institution with funding exceeding \$50,000. The most important factor in forming a consortium is an arrangement that facilitates the most improvement in core indicator performance targets.
- Consortia MOUs must be signed and in place by May 15 so that Annual Plan and other deadlines required of stand-alone institutions can be met. A copy of the consortium MOU must be received by ADHE prior to grant award.

Role of State Staff in Organizing Consortia

Because the local institution is in the best position to know what partnerships make sense, the role of state staff is that of advisor and provider of technical assistance. State staff will notify institutions that have funding below \$50,000. It is then the responsibility of institutions to organize themselves within the established deadlines, formulate a Local 5-Year Plan, and submit an Annual Plan by the established deadline.

SECTION 4: ANNUAL PLAN

The Annual Plan should describe programs that will be completed during the current program year that contribute toward meeting goals outlined in the Local 5-Year Plan. This section is intended to provide local coordinators with an understanding of what must be included in the Annual Plan and how it is developed and managed through the course of the program year. Forms for use in preparing the Annual Plan are available on the www.adheperkins.com website.

This section is presented from the perspective of an individual institution. The same requirements are intended for consortia. Consortia must develop a Local 5-Year Plan as well as an Annual Plan and meet all requirements specified in this section.

A. ANNUAL PLAN FUNDING GUIDELINES AND RESTRICTIONS

General Eligibility Criteria

In order to be eligible for Perkins funding, a potential activity must pass several tests.

- **Is the activity a new one or does it improve or expand an existing program?** In general, the institution must use federal funds to improve vocational and technical education programs. This means that eligible recipients must target the limited federal dollars for new or improved activities. Local areas may not use funds to simply maintain existing activities.¹³
- **Does this activity address required uses of Perkins funds?**
The institution is required to address all required uses of funds categories with either Perkins or non-Perkins dollars. The institution made a commitment to this end in the Local 5-Year Plan and it is expected that individual activities in the Annual Plan will be consistent with obligations made in the Local 5-Year Plan.
- **Is the activity of sufficient size and scope as to effectively impact performance measures?**
- **How long has Perkins funded the activity?** Perkins funds can only support an activity for three years.
- **Was the activity funded during the previous year by Perkins or the institution?** Perkins funds may not be used to continue an activity funded by non-Perkins funds the previous year. That would be supplanting¹⁴ which is expressly prohibited by law. Consideration will be given to approving an activity previously funded by the institution if the institution can prove that the activity would cease without Perkins funding. Approval for these waivers will be rare and must be thoroughly justified.
- **Is the activity required by federal, state or local law?** If so, this would be supplanting and would not be eligible for funding.
- **Does the activity address a core indicator area that is deficient?** Perkins funds cannot be used to support a program or a core indicator area that is above the state performance target unless all indicators are currently being met.
- **Is there data to support the identified need for the proposed activity and can the impact of Perkins funding be measured?** All use of Perkins funds must be supported by data and the institution must have the capacity to measure improvement attained as a result of the use of Perkins funds. If an activity cannot be measured, it cannot be funded with Perkins funds.

¹³Perkins IV, Title I, Part C, Section 135.

¹⁴Perkins IV, Title I, Part C, Section 311.

Allowed and Disallowed Expenditures

Once an activity has been deemed eligible for Perkins funding as outlined above, it must pass additional review before being approved. Funds are generally allowable for administrative costs, personnel services, operating expenses, stipends, consultants, and instructional materials. Funds are generally disallowable for direct assistance to students including tuition, books or fees, entertainment or food, awards and memorabilia, furniture and facilities, or general advertising.

For further guidance on allowable and disallowable expenses, see Section 5-Financial Management and Section 7-Selected Program Guidance.

Allowed Expenditures

Activities that support the following broad categories are allowed at the local level.

- Involvement of parents, business and labor in planning and implementation of activities
- Career guidance and academic counseling
- Work related experiences for both students and faculty
- Programs for special populations
- Education and business partnerships
- Secondary and postsecondary linkages
- Mentoring and support services
- Upgrading equipment or adapting facilities required for equipment installation
- Job counseling and placement programs
- Non-traditional training and employment
- Insurance or maintenance on equipment purchased with grant money
- Administrative costs (limited to 5% of total local grant)
- Personnel services
- Operating expenses that do not supplant
- Stipends
- Consultants
- Instructional materials that do not supplant
- Travel
- Instructional equipment

Disallowed Expenditures

Activities that support the following broad categories are not allowed at the local level.

- Student expenses or direct assistance to students
- Entertainment
- Food
- Awards and memorabilia
- Individual memberships
- Memberships or anything related to lobbying
- College tuition, fees, books
- Fines and penalties
- Expenses that supplant
- Audits except single audit
- Contributions and donations
- Contingencies

- Facilities and furniture
- General Advertising
- Alcohol
- Fundraising
- General administration apart from program administration
- Advertising/recruitment campaigns

B. ANNUAL PLAN TIMELINE

Planning for the Annual Plan should begin no later than the spring semester. Preliminary plans can be developed pending notification of exact funding levels and adjusted as needed. Exact funding levels are rarely known before mid-April but this should not preclude early preparation.

Annual Plan proposals are to be submitted no later than May 31 and will be reviewed on a first-received basis. State staff will review and approve these applications no later than June 30.

C. PERKINS ACCOUNTABILITY PORTAL

Once activities have been identified that will advance the goals of the Local 5-Year Plan and have been deemed eligible according to funding guidelines, the Annual Plan proposal can be finalized. When planning is complete, the Annual Plan is submitted for approval using the Perkins Accountability Portal (www.adheperkins.com).

D. ANNUAL PLAN CYCLE

The actual process of preparing the local annual plan varies with the institution. The Annual Plan cycle is logically ordered in analysis of need, activity selection, financial allocations, institutional approvals, application submission, and state approval phases. Once the Annual Plan is approved, amendments and accountability reporting complete the program cycle.

Analysis: Prioritizing Needs to Be Addressed in Annual Plan

Process Initiated

- Perkins coordinator initiates the process keeping in mind the Perkins timeline and new state guidance.
- A team approach is the desired method for developing the Annual Plan and should include representation from all departments that impact student success and data collection.

Data Collected and Analyzed

- Local 5-Year Plan and institutional needs reviewed.
- Perkins data analyzed and low performance areas identified, including an analysis of special population performance.
- Other institutional data regarding student achievement reviewed.
- Input from program instructors evaluated.
- Input from advisory councils and/or the business community evaluated.

Plan Prepared

- Annual Plan is based upon Local 5-Year Plan. Particularly note that required uses of funds are being addressed as indicated in the Local 5-Year Plan.
- Appropriate institutional staff review potential projects.
- Low performance areas and associated core indicator areas are identified.

- Consider size and scope of potential activities—activities should be evaluated for the greatest impact on the largest segment of the student population.
- Previous End of Year Program Report reviewed so that multi-year activities can be included in new plan.

Activity Selection: Preparing the Annual Plan Application

Perkins IV concentrates on six core indicator areas related to CTE student success and OVAE has negotiated performance levels with the State in these areas. Arkansas has established four additional areas where funds can be expended. The institution’s Local 5-Year Plan and Annual Plan are built around these core indicator areas. All activities and expenditures in the Annual Plan must support the long-term goals of the Local 5-Year Plan and be associated with either one of the core indicators or address all core indicators. Measurements for all activities should directly relate to the measurements associated with each of the core indicator areas. Definitions of the core indicator areas shown below and a description of how results are measured for each can be found in Section 6-Accountability.

- 0P1 – Administration
- 1P1 – Technical Skill Attainment
- 2P1 – Credential Attainment
- 3P1 – Student Retention and Transfer
- 4P1 – Placement
- 5P1 – Nontraditional Participation
- 5P2 – Nontraditional Completion
- 6P1 – All Indicators
- 7P1 – Programs of Study
- 8P1 – Professional Development
- 9P1 – Special Populations

An Excel Workbook will be used as the format for the Annual Plan until an online portal is developed. Below are instructions for use in helping you complete the Annual Plan Workbook. The worksheets are to be retained in a single workbook—not to be broken apart—so that the plan can be posted to the website. You will note that in several cases described below, a dropdown box has been provided for your use. Please use them so that information will be consistent across your plan.

MEASURED core indicators are numbered 1P1 through 5P2. However, for consistency, we have assigned similar numbering to activities for administration, all indicators, programs of study, professional development, and special populations.

Plans are due on May 31 and should be emailed to gloriav@adhe.edu. Comments or questions will be entered directly into the Annual Plan Workbook and returned for comment/revisions. Note that a request for reimbursement of funds spent prior to the date that the Annual Plan is submitted in “substantially approvable” form will not be approved and may not be paid retroactively.

E. COMPLETING THE ANNUAL PLAN WORKBOOK

SECTION 1 – ASSURANCES AND APPROVALS

- Line 3: Use the dropdown box for entering institution name in this and all sections.

- Line 20: Enter amount of basic grant. The 5% Administration will be calculated from this number.
- Line 26-27: After president and CFO have signed, a page with signatures must be returned to ADHE before the application will be considered complete. The signed page will be forwarded to the Arkansas Department of Workforce Education for processing.

SECTION 2 – ANNUAL PLAN SUMMARY

- This section describes how current year funds will be spent in accordance with the Local 5-Year Plan. It includes a section for each core indicator and the use of funds. This section is used to provide the rationale for activities funded for each core indicator in the Annual Plan. *(Activity description in Section 4 should not contain rationale; it should be limited to a description of the specific activity.)*
- Part A: Briefly summarize the strategies for successful achievement of each core indicator. These strategies will be reflected in the activities submitted. If you do not plan to spend current-year Perkins dollars in a given core indicator area, please describe how the institution will address any deficiencies. If the goal is to simply maintain current results, simply enter “Maintenance through use of institutional funds.”
- Part B: Briefly summarize the strategies for required use of funds. These strategies will be reflected in the activities submitted. If you do not plan to spend current-year Perkins dollars in a given required usage area, please describe how the institution will use non-Perkins funds to address these required areas.
- Part C: Briefly summarize plans to expend funds in permissive use categories. If you do not plan to spend dollars in a given core indicator area, no entry is required.
- Part D: Describe actions necessary to assure quality data submissions. This includes a description of how special populations will be identified and reported.
- Part E: Describe any other pertinent information that will assist state staff in approving the annual plan.

SECTION 3 – ADMINISTRATIVE FUNDS

- Line 10: Describe how administrative funds will be used.
- Line 17: Enter amount to be used for administration (rounded down).
- Line 18: Will auto-total to indicate total cost of activity. This is the amount that should be entered in Section 14-Annual Plan Budget.

SECTIONS 4 through 9 – ACTIVITIES BY CORE INDICATOR AREA

- Individual activities that relate to the core indicator areas are detailed in individual sections. These worksheets are numbered by the core indicator area plus a two-digit number (1P1-01).
- An individual worksheet activity should be completed for each activity.
- A worksheet is provided for the first activity in each core indicator area. If you are requesting approval for more than one activity, you will need to duplicate the worksheet and assign the next sequential number. Note that each section area in the workbook has the worksheet tab colored. This will help in visually keeping your activities together by indicator area. (If you need help with Excel, please call for assistance.)
- Line 4: Enter the institution’s negotiated performance target as this is the default performance target.
- Line 7: Enter the activity number and activity name.

- Line 10: Indicate if this is a continuation and, if yes, the number of years funded. Number of years funded includes years funded under Perkins III.
- Line 12: Describe the activity, including details of services to be acquired or materials purchased. Limit to description of how funds will be used, not why. The “why” is explained in Section 2-Annual Plan Summary.
- Line 16-17: Enter the required or permissive use category from the drop down list.
Lines 21: Performance measures for each core indicator will be the institution’s performance target for the specific core indicator.
- Line 23: The end of the program year (June 30) will be entered automatically for all core indicator activities (1P1 through 5P2).
- Line 28: Enter CIP codes that will be affected by this activity. Place an X in “All” if all programs will be measured.
- Column C: Enter budget information for the activity. Columns D-G will allow for future budget amendments (or quarterly reimbursement reconciliations) and Column H is where end of year final information will be entered. Subtotals for each budget category and the grand total for the activity will auto-calculate. Information in the budget section is what must be transferred to Section 14-Annual Plan Budget.
- Line 57: Future amendments will be described here. Amendments are required if the scope of the activity substantially changes or if a single budget category exceeds 10% of the currently approved amount. Note that in most cases, an amendment will affect two activities—one to be decreased and one to be increased.
- Line 67: Discussions throughout the year will be noted in this section.

SECTIONS 10 through 13 – ACTIVITIES IN TARGETED AREA

- Information is entered in the same manner as for core indicator activities in Sections 4-9.
- Section 10: Include activities that span across all indicators in this section unless the activity is for programs of study, professional development activities, or special populations. (While activities in these areas will affect all indicators, separate activity sections have been provided for them.)
 - Note that Line 33 is already entered as “All” CIP codes since all Perkins concentrators will be affected by this activity.
 - This activity will be considered successful if there is improvement across all indicators from the previous year.
- Section 11: Include activities related to developing or expanding programs of study with secondary and postsecondary linkages.
 - This activity will be measured according to the content of the activity and not related to a specific core indicator. The intent is to recognize that this type activity may require more than a single program year to demonstrate results in core indicator areas.
- Section 12: Include activities related to professional development.
 - This activity will be measured according to the content of the activity and not related to a specific core indicator. The intent is to recognize that this type activity may require more than a single program year to demonstrate results in core indicator areas.
- Section 13: Include activities related to improving the performance of special populations.
 - This activity will be measured according to the content of the activity or a specific core indicator, depending upon the nature of the activity. The intent is to recognize that this type activity may require more than a single program year to demonstrate results in core indicator areas.

SECTIONS 14 – ANNUAL PLAN BUDGET

- Column A: Enter every activity number included in the Annual Plan Workbook.
- Budget figures should exactly match what has been entered on each activity level budget.
- Column B: Administration has been separated into its own category. The entry for admin should be in Column B; it is not spread across the budget categories, regardless of how it is used.
- Columns G-J: Equipment and Supplies have been combined. State definition for capital and inventorial items is noted in a comment box for reference. Expenditures in this category are those that will be inventory-verified on compliance visits.
- Line 20: Total of activities should auto-calculate to the total of the basic grant.
- Line 22: Enter the amount of the basic grant; 5% administration will auto-calculate on Line 23.

SECTION 14a – AMENDED ANNUAL PLAN BUDGET

- If a budget is amended, complete Section 14a in its entirety and enter the current levels of funding as a result of the amendment.
- Line 23: Enter the number of any activity being amended. The details of the amendment should be entered on the activity page(s). This entry simply tells state staff which activities to review and approve.
- Line 26-28: State staff will review, approve and note any pertinent comments.

SECTION 15 – ANNUAL PLAN BUDGET REIMBURSEMENT

- Reimbursement may be requested as often as monthly but should be requested no less than quarterly.
- Reimbursement forms and instructions are available for download from the Perkins website.
- Copies of the reimbursement forms are to be available for review on compliance site visits.

SECTION 16 – END OF YEAR DISPOSITION OF FUNDS REPORT

This form will be used to report final financial information for the program year. It will be due August 10 to meet the last date that a request for reimbursement of funds will be accepted by ADWE.

- Line 7: Enter 5% administration in its entirety in Cell B7. Admin is not spread across the budget categories, regardless of how it is used.
- Lines 8-17: Note that we will begin using core indicators rather than required/permissive use of funds for the end of year disposition of funds. This recognizes the increased emphasis on achieving performance measures and is more in line with the way most college business offices track Perkins expenditures. Enter the actual amount spent per core indicator area. (This should match the totals of the individual activity sheets.)
- Line 18: Will auto-calculate all entries by category and will only be accurate if the entries for each activity have been reconciled at the end of the program year.
- Line 21: Enter the most recently approved amount for each budget category.
- Line 23: Actual expenditures as of June 30 shown on Line 18 will be auto-entered here.
- Line 24: Unused funds will auto calculate (Approved-Actual=Unused)
- Line 26: Because reimbursement is now used, it will be rare that funds will be returned. However, if amendments are not approved and actual expenditures exceed by 10% the most recently approved amount, funds in excess of the 10% must be returned to the State of Arkansas.

- Line 27: The sum of actual funds spent, unused funds, and returned funds will auto-total here. This should be the same as the total on Line 23 which is the total of the grant.

NOTES WORKSHEET

- This worksheet is used by state staff, is the source for dropdown box information and other miscellaneous information.

F. AMENDMENTS

Amendments to the approved Annual Plan are required when there is a 10% variance in any of the four primary budget categories or when there is substantial change (increase or decrease in services) in the scope of the approved activity.¹⁵ When either of these conditions occurs, an amendment must be submitted and approved by state staff prior to obligating funds. A field is included immediately below the budget for use in describing the nature of the amendment. Additionally, there is a column in the budget section for recording the new activity budget (all budget categories; not just the ones being amended).

For amendments related to a change in nature of the activity, a description of the change and the reason the amendment is necessary should be entered in the appropriate field. The requirements for an amendment are the same as for activities submitted in the initial application with regard to activity description or data. If the amendment includes a new activity for a core indicator not included in the initial applications, the core indicator to be addressed and how need was determined must be included. If the new activity supports a core indicator that is already present in the Annual Plan, only information relative to the individual activity is required.

Amendments to the Annual Plan will not be accepted after April 15. Prior to this time, the financial sections of the Annual Plan must be balanced. That is, the budget section in each activity must be revised to note actual expenditures from the first three quarters of the program year (July-March) to determine if an amendment is necessary.

This policy has been implemented to assure that funds are spent early enough in the academic year to impact student performance and associated indicator results. With the exception of activities that span the course of the year, it is desirable for all funds to be expended during the first half of the program year. This deadline reinforces the need for thoughtful planning and speedy acquisition of goods and services early in the program year. It also reinforces the need to submit an annual plan in approvable form during the May submission period.

G. ACCOUNTABILITY

End of Year Accountability Report includes two reports—Fiscal Accountability (End of Year Financial Report) and Program Accountability (End of Year Performance Report).

Fiscal Accountability: End of Year Financial Report

Due: August 10

There are three elements to the end of year financial report. Those include 1) final request for reimbursement of funds, 2) final budget reconciliation (must update and balance the budget section of each activity and the overall budget summary), and 3) end of year disposition of funds report.

The End of Year Financial Report is further detailed in Section 5-Financial Management.

¹⁵ EDGAR, Part 80, 80.30 (c).

Program Accountability: End of Year Program Report
Evaluating and Reporting Performance

Due: September 15

As soon as the program year concludes on June 30, coordinators should begin compiling information needed to submit accountability information on each funded activity. The End of Year Program Report is due on September 15. This involves a review and assessment of each activity to determine factors that led to success or failure of the activity. It is recognized that the core indicator performance data may not be available at this time but in its absence, a general assessment of success or failure of the activity is what is needed at the end of the program year. While the institution's official performance will be measured by achievement of the six OVAE core indicators, this is an opportunity to assess the activity on the basis of general elements of the activity.

If the expectation for the activity was not met, describe contributing factors. This description can address extenuating circumstances, unique conditions, or whether there were changes to the original activity as planned. Cited reasons should be analyzed and used for future program development.

SECTION 5: FINANCIAL MANAGEMENT

A. AUTHORIZATION OF FUNDS

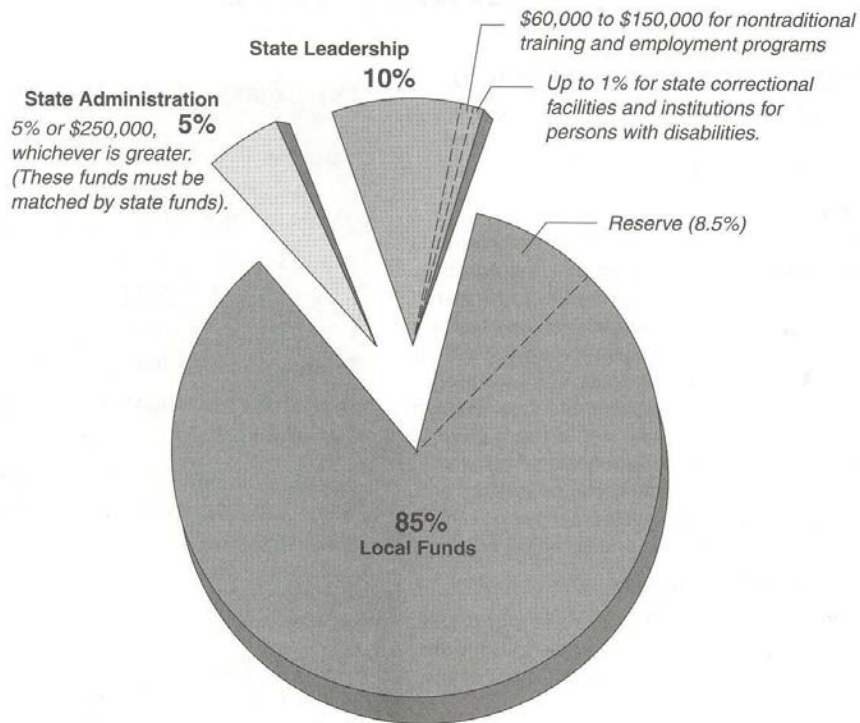
Federal Authorizations

Congress appropriates Perkins funds through the U.S. Department of Education, Office of Vocational and Adult Education (OVAE). Perkins funds are awarded to States based upon formulas prescribed by the Perkins IV legislation. The postsecondary formula is based upon the number of Perkins concentrators (students with a declared major in a CTE program who have completed a required threshold of hours) who received Federal Pell Grant or Bureau of Indian Affairs assistance.¹⁶

State Allotment Process

In Arkansas, the receiving state agency is the Arkansas Department of Workforce Education and the allocation is usually in the \$14 million range. Of the total, 15% is reserved for use by the State for administration and leadership activities and 85% is set aside for distribution to local institutions. The State's allocation is shown in Figure 1.

Figure 1: Perkins IV State Allocations



¹⁶ Perkins IV, Title 1, Part C, Section 132.

ADWE has a staff that administers funding for secondary schools. Through a Memorandum of Understanding (MOU), ADWE authorizes the Arkansas Department of Higher Education (ADHE) to provide oversight of basic grants at two-year colleges and four-year universities (less than baccalaureate level programs only).

OVAE generally announces funding levels in mid-April which allows the local allocation process to begin. Even though funding levels are predetermined by formula, institutions must develop programs that meet specified federal and state requirements, and submit an Annual Plan application to Perkins state staff for review and approval. Local coordinators are responsible for implementation of approved programs and state staff will monitor progress and provide technical assistance and support as needed.

Local Awards Process

The 85% reserved for distribution to local institutions is further split between secondary (75%) and postsecondary (25%).

Upon OVAE notification of state funding levels, ADWE determines the exact dollar amount available for postsecondary institutions. Once that postsecondary amount is determined, ADWE requests that state staff provide the number of Pell/BIA recipients for each institution. ADHE staff provides this information to ADWE staff who then calculates the formula for distribution among postsecondary institutions. ADWE then advises ADHE of the specific allotment for each individual institution. Perkins state staff then relays this information to the Perkins coordinator.

If an institution's basic grant is less than \$50,000, the institution must join a consortium in order to receive Perkins funds. (See Section 3-Planning and Organization for consortium requirements.)

B. REIMBURSEMENT OF EXPENDITURES

Basic grant funds will be distributed on a reimbursement basis for actual expenses incurred. This request will be submitted to state staff at ADHE who will review, approve and forward to ADWE for payment. A reimbursement request form can be found online at www.adhe.perkins.com. Institutions may submit reimbursement requests no more frequently than monthly and not less often than quarterly.

Requests must be received by the 10th of the month. Reconciliation of the budget and a request for reimbursement is mandatory in the months of October, January, and April. The final reconciliation is required no later than August 10.

The Perkins Coordinator is required to sign the Request for Reimbursement after having verified that all the information is correct. Submission of supporting documentation (invoices, time sheets, etc.) is not required for reimbursement, but state staff may choose to request this documentation for compliance purposes.

C. OBLIGATIONS ACCOMPANYING ACCEPTANCE OF PERKINS FUNDS

The approved Annual Plan serves as a contract between ADWE and the institution receiving the federal funds. All assurances of adherence to federal and state laws and regulations must be upheld in actions by the institution. The funds must be used as stated in the approved or amended application. All required evaluations of the impact of the use of the funds on students must be performed and appropriately documented. Timely reports and documentation are a condition of

accepting the award. Failure to meet these obligations can result in delayed reimbursement of all or some portion of the federal funds received.

Contractual obligations of all grantees to be documented include:

- Confirmation through **procurement** documents or inventory logs that approved services have been purchased at approved levels (audit trails).
- **Fiscal accountability** as documented by required procurement and reimbursement records and a strictly adhered to procurement and approval process (audit trail and approval process at state and institutional levels).
- Demonstration that **special populations** are identified and served (level of emphasis in Local 5-Year Plan and Annual Plan).
- Evidence that services provided with Perkins funds are used only for **benefit to CTE students**. In cases where services are provided simultaneously to CTE and non-CTE students, records must be kept to document allocability to CTE.
- Personnel Activity Report (**PAR**) maintained by employees whose salary is paid with Perkins funds (See Appendix B).

D. ANNUAL PLAN BUDGET

Special Considerations in Developing the Annual Plan Budget

Certain rules and restrictions apply to Perkins funding which must be considered when selecting activities and obligating funds.

Funds availability: Funds are available no earlier than July 1 of the program year and must be spent by June 30. Funds cannot be obligated until the Annual Plan has been substantially approved by state staff (includes salary expenses incurred pending approval of Annual Plan).

5% administration rule: Institutions are permitted to reserve no more than 5% of its annual allocation for administration of the grant. Institutions may choose to fund the administration of the grant out of institutional funds and devote all or some portion of the administrative reserve to programs. If administrative money is used to fund the coordinator's salary, personnel activity reports must be maintained to indicate the amount of time spent on Perkins related activities.

First quarter rule: Because only 25% of the total federal funds are available to the state during the first quarter, local institutions cannot be reimbursed for more than 25% of its grant during the first quarter. The institution may spend more than 25% but will have to submit a request for reimbursement for amounts exceeding 25% after the first quarter. There are no restrictions on level of expenditures in the remaining nine months of the program year. Early expenditure of funds is encouraged for maximum student impact.

10% amendment rule: An amendment is required when any single budget category exceeds by 10% the most recently approved amount. Approval must be granted in writing before proceeding (See Amendments in Section 4-Annual Plan).

Three-year rule: Because Perkins strives for program improvement rather than program maintenance, activities may not be funded for more than three years. A period exceeding three years is considered program maintenance rather than improvement.

Supplement vs. supplant: The purpose of Perkins funding is to enhance, not replace state funds. Perkins funds may not be used to fund activities that were funded by the institution in the previous fiscal year, or for activities required by federal, state or local law. This includes unfunded state mandates or general ongoing operations of a local education agency/institution of higher education. Exceptions must be evaluated on a case-by-case basis and may be granted when the institution can demonstrate that the activity would be impossible to continue without federal funds. Exceptions will be rare.

Carryover: Institutions are not permitted to carry forward unspent funds from one fiscal year to the next.

Obligation of funds: Funds are considered obligated as follows:¹⁷

- Equipment and supplies—purchase order date
- Work of employees—when work is completed
- Contracted services—date agreement signed
- Rental—when used
- Travel—when taken

Co-mingling of funds: Funds may not be co-mingled so that they lose their identity. Expenditures must be traceable to the source of funding; however programs can be co-funded to maximize the available funds. If Perkins funds are used collaboratively with other funds, the level of effort provided by Perkins must be recognizable and must support only those activities that would be approved if the activity were solely funded by Perkins.

Pooling: Institutions may pool a portion of their funds with one or more Perkins recipients for innovative initiatives. Pooling can be arranged with both secondary and postsecondary recipients.¹⁸

Equipment purchases: Equipment must be purchased and installed by November 15 in order to be paid for with Perkins funds. Additional planning may be necessary to meet this deadline if total equipment purchases exceed the 25% first quarter rule.

Consortia issues: While there may be adjustments required when funding levels are confirmed, consortia must start planning earlier than stand-alone institutions in order to meet program deadlines. Because dollars do not flow through a consortium to individual institutions based upon Pell/BIA count and because a consortium should have common goals, it should be possible to do much of the preparatory work prior to knowing exact dollar amounts (See Consortia Operations in Section 3-Planning and Organization).

Required and permissive uses of funds: Categories of required and permissive uses are detailed in Section 3: Planning and Organization. While developing the Annual Plan, emphasis should be placed on required uses until an institution has met all of its performance level targets. That does not mean that activities that are permissive in nature cannot be funded; only that required uses should be considered first.

¹⁷ EDGAR, Part 75.707

¹⁸ Perkins IV, Title 1, Part C, Section 135 (c)(19) Permissive Use of Funds

Accountability: Performance Measure statements are based on the core indicator for 1P1, 1P2, 2P1, 3P1, 4P1, 5P1 and 5P2 and will be pre-populated in the 2009-2010 annual plan form. The remaining indicators (6P1, 7P1, 8P1, and 9P1) may be measured other than by core indicators and the measurement must be clearly stated in measurable terms. Rather than using a core indicator, the content of the activity itself may be measured. (Additional information may be found in Section 4-Annual Plan.)

E. DESCRIPTION OF ANNUAL PLAN BUDGET CATEGORIES

The Perkins Annual Budget has four primary categories. Institutions must establish accounts consistent with these categories so that Perkins funds can be properly identified and required reports submitted. Expenses should be coded to each category according to federal program guidelines and the guidelines of the individual institution.

Annual Plan Budget Categories

- Program Administration
 - Limited to 5% of grant.
 - Limited to functions required to execute the grant and does not include any program activities

- Employee Salaries and Benefits
 - Regular Employee Salaries
 - Employee Benefits
 - Extra Help Temporary

Includes salaries and benefits for personnel performing direct services for an activity. A Personnel Activity Record (PAR) timesheet must be maintained for each employee paid from this category. A sample PAR is in Section 8.

- Equipment and Supplies
 - Capital and Inventorial Purchases
 - Supplies (non-inventorial)
 - Instructional Materials
 - Other (must be described)

Includes capital expenditures with a unit cost of \$2500 or greater and with a use expectancy of more than one year. Capital items plus all computers must be inventoried. It also includes consumable items and those are limited to items which are required to conduct the approved activity over and above regular operational costs and must be used in the classroom for direct instruction. Unless software is purchased as part of an equipment package, all software should be coded to this category.

- Purchased Services and Professional Development
 - Professional and Technical Contracted Services
 - Travel and Conferences
 - Other (must be described)

Expenditures for services obtained from consultants or others not employed by the institution are recorded in this section. Consultant travel should be coded to the professional services

subcategory rather than the travel subcategory. PARs are not normally required for this position. Equipment rentals are included in this category.

F. AMENDING THE BUDGET

Amendments to the approved Annual Plan are required when there is a 10% variance in any budget category or when there is substantial change in the scope of the approved activity. Amendments must be submitted and approved by state staff prior to obligating funds.

Amendments are made in Section 4 of the Annual Plan Workbook. The amendment is described, the revised activity budget and the revised plan budget completed and the entire workbook is submitted. (See Section 4-Annual Plan for more information.) No amendments will be accepted after April 15.

G. END OF YEAR FINANCIAL REPORT

There are three steps to the end of year financial report. Those include 1) final request for reimbursement of funds, 2) update and balance the budget section of each activity and the overall budget summary, and 3) complete the end of year disposition of funds report. Forms are available online at www.adheperkins.com.

Step 1: Prepare the final request for reimbursement of funds. This represents the final actual expenditures for the program year.

Step 2: While preparing the final request for reimbursement of funds, update the budget sections of each activity in the annual Plan (Budget section, EoY Amount column). After each activity has been updated, update the Budget Summary page based upon EoY entries in the budget section of each activity.

Step 3: Prepare and submit the End of Year Disposition of Funds Report. Detailed instructions are included in the form which can be found on www.adheperkins.com.

H. FINANCIAL ACCOUNTABILITY

Monitoring

A risk management plan to supplement the annual compliance site visit has been implemented with regard to Perkins fiscal accountability by local recipients. Institutions will be selected for monitoring based upon a series of risk factors. This process is outlined in Section 6-Accountability.

Timeline

The annual Perkins cycle has several important financial reporting milestones that are important to the effective and efficient use of program monies. These can be found in Section 2-Perkins Annual Cycle Timeline.

I. FINANCIAL GOVERNANCE AUTHORITIES

Funds are generally allowable for administrative costs, personnel services, operating expenses, stipends, consultants, and instructional materials. Funds are generally disallowable for direct assistance to students including tuition, books or fees, entertainment or food, awards and memorabilia, furniture and facilities, or general advertising.

For further guidance on allowable and disallowable expenses, the following authorities should be consulted:

- The Carl D. Perkins Career and Technical Education Act of 2006
- EDGAR (Education Department General Administrative Regulations) – governs anything not expressly covered in the Perkins Act
- OMB Circulars (Office of Management and Budget)
- A-102—Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments
- A-110—Uniform Administrative Requirements for Grants and Cooperative Agreements with Institutions of Higher Education, Hospitals and other Non-Profit Organizations
- A-128—Audits of State and Local Governments
- A-133—Audits of Higher Education and Other Non-Profit Institutions
- A-87—Cost Principles for State and Local Governments
- A-21—Cost Principles for Educational Institutions
- A-122—Cost Principles for Non-Profit Organizations
- Arkansas State Plan for Career and Technical Education
- Arkansas Department of Higher Education

SECTION 6: ACCOUNTABILITY

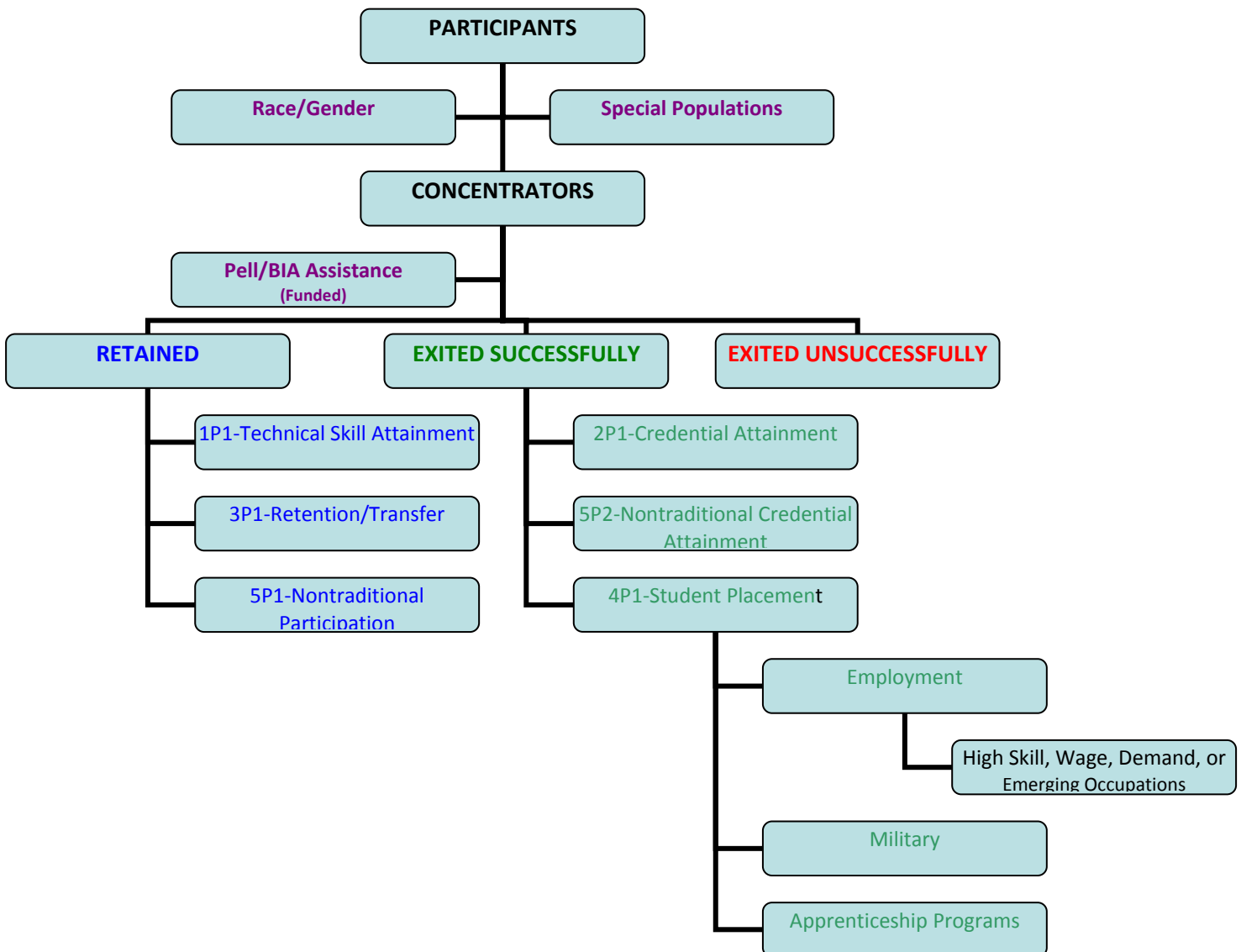
A. CORE INDICATOR PERFORMANCE LEVELS

Perkins funds recipients are being held more accountable and are required to show program improvement each year. The Perkins performance accountability system measures performance in six core indicator areas. Baseline performance levels were set in 2007 for Program Year 08-09 and will form the basis for accountability measures throughout Perkins IV.

Most information used to calculate state and local performance will be extracted from the Arkansas Higher Education Information System (AHEIS). However, data will be used from external sources for Placement and special population identification will be provided manually by the institutions.

B. DESCRIPTION OF NEGOTIATED PERFORMANCE LEVELS

The chart below shows the various elements and definitions in the Perkins accountability system.



C. PERKINS IV CTE STUDENT DEFINITIONS

Postsecondary Participant:

Certificate of Proficiency, Technical Certificate, Associate Degree: A student who has declared intent, enrolled in a CTE program area, and will earn a minimum of three semester credit hours in a CTE program of study during the current academic year.

Postsecondary Concentrator:

Certificate of Proficiency: A student who has earned 6 semester credit hours of coursework required by the program of study within the previous 4 academic years.

Technical Certificate: A student who has earned a minimum of 12 semester hours of the coursework required by the program of study during the previous 4 academic years or one who was a concentrator and earned a CP award during the previous academic year.

Associate Degree: a student who has earned a minimum of 30 semester hours of the coursework required by the program of study during the previous 4 academic Years or one who was a concentrator and earned a CP or TC during the previous academic year.

Funded Concentrator:

Funding formula is based on concentrators who received Pell or BIA assistance during the reporting year.

Exited Concentrator:

Students will be considered as having exited if they are not enrolled in a public postsecondary institution in the following academic year.

D. PERKINS IV CORE INDICATOR DEFINITIONS

1P1: Technical Skill Attainment

Numerator: Number of CTE concentrators whose grade point average for all coursework taken during the reporting year met or exceeded 2.0.

Denominator: Number of CTE concentrators enrolled during the reporting year.

2P1: Credential Attainment

Numerator: Number of CTE concentrators who received an industry-recognized credential, a certificate, or a degree during the reporting year.

Denominator: Number of CTE concentrators who exited postsecondary education during the reporting year.

3P1: Student Retention or Transfer

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, certificate or a degree in the previous reporting year

4P1: Student Placement

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 June 20, 2007 would be assessed between October 1, 2007 and December 31, 2007.)

Denominator: Number of CTE concentrators who left postsecondary education during the reporting year.

5P1: Nontraditional Participation

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 Credential Attainment

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.

E. SPECIAL POPULATION DEFINITIONS

The Perkins Act defines special populations as individuals who are members of any of the following groups. Because special population information is not reported into AHEIS, institutions must gather it from formal records such as financial aid, through self-identification by the student during the registration process, or any other means possible by the institution. Special population designations will require a manual report that must be integrated into data taken from AHEIS for Perkins accountability reports. Special population data is required for all Perkins participants and concentrators reported on the CAR report.

- Individuals with **disabilities** are defined as students who meet any of these criteria:
 - a) Have a physical or mental impairment that substantially limits one or more of the major life activities of that individual.
 - b) Have a record of an impairment described above.
 - c) Be regarded as having an impairment described above.

- Individuals who are **economically disadvantaged** are defined as students who meet any of these criteria:
 - a) Receive Pell Grant or BIA assistance or a comparable program of need-based financial aid assistance.
 - b) Participate in a Workforce Investment Act (WIA) program or service that requires participants to meet the Federal income eligibility guidelines of WIA.
 - c) Receive Benefits under the Food Stamp Act of 1977.

- Individuals preparing for employment in a **non-traditional occupation** include:
 - a) Students enrolled in an occupational training program considered by Federal guidelines as serving an under-represented occupation.

- **Single parents** (including single pregnant women) are defined as students meeting any of these criteria:
 - a) Are unmarried or legally separated from a spouse with a minor child or children for whom the student has either custody or joint custody.
 - b) Are/were pregnant at any time during the reporting period.

- **Displaced homemakers** are defined as students who meet any of these criteria:
 - a) Have worked primarily without remuneration to care for a home and family and for that reason have diminished marketable skills.
 - b) Have been dependent on the income of another family member but are no longer supported by that income.
 - c) Are unemployed or underemployed and experiencing difficulty in obtaining or upgrading employment.

- **Limited English proficiency** is defined as students who meet criterion a and at least one of criteria b or c:
 - a) Have limited ability in speaking, reading, writing, or understanding the English language.
 - b) Whose Native language is a language other than English.
 - c) Who live in a family or community environment in which English is not the predominant language.

F. PERKINS COORDINATOR RESPONSIBILITY FOR ACCOUNTABILITY DATA

Measuring accountability involves submission of student performance data identifying special populations, actual measurable outcomes of funded activities, and financial reports. While the Perkins coordinator may not be directly responsible for collection and submission of some of the data required, the coordinator is responsible for assuring that other staff is aware of Perkins requirements and associated deadlines.

G. PERKINS DATA SUBMISSION PROCEDURES

Institutions no longer submit Perkins data as a separate report with the exception of special population information. Perkins information is obtained from reports submitted by the institution into the AHEIS system. ADHE publishes a manual that provides details on all reports that contribute to AHEIS and can be found at www.adhe.edu.

ADHE contracts with an outside vendor to prepare the accountability reports which will be provided to Perkins coordinators for use in reviewing program effectiveness and for determining activities for funding in the upcoming year.

H. ACCOUNTABILITY REPORTS

End of Year Accountability Report includes two reports—Fiscal Accountability: End of Year Financial Report and Program Accountability: End of Year Program Report.

Fiscal Accountability: End of Year Financial Report

Due: August 10

There are three elements to the end of year financial report. Those include 1) final request for reimbursement of funds, 2) update and balance the budget section of each activity and the overall budget summary, and 3) complete the end of year disposition of funds report. (See Sections 4-Annual Plan and Section 5-Financial Management for additional information.)

Program Accountability: End of Year Program Report

Due: September 15

Evaluating and Reporting Performance

As soon as the program year concludes on June 30, coordinators should begin compiling information needed to submit accountability information on each funded activity. The End of Year Program Report is due on September 15. It is recognized that the core indicator performance data may not be available at this time. In its absence, a review and assessment of each activity should be undertaken to determine factors that led to success or failure of the activity. While the institution's official performance will be measured by achievement of the six OVAE core indicators, this is an opportunity to assess the activity on the basis of general elements of the activity.

If the expectation for the activity was not met, describe contributing factors. This description can address extenuating circumstances, unique conditions, or whether there were changes to the original activity as planned. Cited reasons should be analyzed and used for future program development.

Evaluating Overall Effectiveness of Use of Perkins Funds

ADHE will provide official performance reports for each core indicator following the end of the program year. These will be based upon data submitted into the AHEIS system and will be provided to institutions by September 1.

In addition to official core indicator performance reports, ADHE will provide supplemental reports that will be useful in assessing the effectiveness of use of funds. The following information will be tracked annually.

- **Program Effectiveness**
 - Total number of activities attempted
 - Total number of activities completed
 - Total number of outcomes achieved
- **Return on Investment**
 - Dollar value of activity outcomes met
 - Dollar value of activity outcomes not met
- **Use of Funds by Indicator**
 - Dollar value by indicator
- **Use of Funds by activity**
 - Dollar value by budget use area

Consolidated Annual Report (CAR)

The State is required to report to OVAE annual progress towards achieving core indicator performance targets. This report is due to ADWE by December 20 following the end of the program year and is submitted based upon information provided by institutions in the Perkins Data Submission and from ADHE Student Information System.

I. COMPLIANCE SITE VISITS

The annual compliance site visit is among the most important activities in the Perkins cycle and is scheduled at such time as to maximize the number of issues that can be addressed during the visit. For example, site visits are scheduled during February and March after data reports have been provided and prior to program development for the following year, and in the general time period when final amendments are due and can be discussed. Many of the deadlines found in the Perkins cycle are built around a site visit schedule in February and March.

Site visits are conducted for the purposes of compliance monitoring and technical assistance and state staff may request to include institutional staff other than the coordinator in the site visit. The Site Visit Checklist can be found in Section 8.

Compliance: Compliance monitoring will review effective use of administrative funds, quality and progress to date of funded activities, fiscal management including inventory and expenditure records and method for reporting special population information.

Technical Assistance: The site visit also affords an opportunity for technical assistance. The visits are scheduled so that timing is conducive to reviewing past performance and preparing for next year program development. It is scheduled so that financial issues can be addressed between the visit and end of year reporting.

Following the site visit, state staff will provide a written report to the coordinator and the CAO of the institution.

Technical assistance may be obtained throughout the program year from state staff by scheduled appointment, email, or phone.

New Coordinator Training: State staff schedules a required training day in September to train new coordinators.

J. SITE VISIT PREPARATION

State staff will schedule the site visit well in advance in order to give the coordinator sufficient time to prepare. The following activities should be considered when making preparations.

- Have Perkins annual plan records available for review. Records should include all documents related to the annual plan and performance of the grant.
- Be familiar with the institution's Local 5-Year Plan and Annual Plan and how current activities support the plan. This includes being familiar with how the institution is meeting its obligation for required use of funds categories.
- Review Annual Plan and be knowledgeable of progress to date of each activity. Assure that staff connected to funded activities will be available to State staff if needed.
- Be familiar with how data is used in the program selection process. Be prepared to discuss results from previous year.
- Assure that all financial records are current and available including personnel timesheets (PAR) and requests for reimbursements.
- Assure that equipment purchases have been properly inventoried and tagged, and that an inventory list is available.
- Assure that institutional financial person and institutional data person are available if needed.
- Have list of needs or requests of available for discussion.

K. ANNUAL PLAN RECORDS

Each coordinator should maintain an organized system of records for each program year containing the following minimum requirements:

- Most current approved Annual Plan
- Accountability data
- Required reports
- Personnel Activity Reports
- Financial records
- Inventory list
- Correspondence and state guidance

L. SUPPLEMENTAL FISCAL MONITORING

In addition to regular compliance site visits, ADHE and ADWE will schedule supplemental fiscal reviews for selected recipients annually. The selection of recipients to be reviewed will be based upon various risk factors including size of grant, adherence to deadlines, tenure of coordinator, coordinator participation in technical assistance events, frequency of amendments, timely requests for reimbursement of funds, amount of unused funds. Recipients will be notified in advance of selection for a supplemental fiscal review. Risk factors and monitoring procedures can be found in Section 7-Selected Program Guidance.

M. PERFORMANCE IMPROVEMENT PLAN

State Staff Provided Technical Assistance

Technical assistance is provided on an as-needed basis and through planned activities such as the fall workshop, spring retreat, new coordinator training, and site visits.

ADHE is required to evaluate the performance of each postsecondary institution in each core indicator area. If the institution is not making substantial progress, state staff is required to make an assessment of needs, enter into an improvement plan to assist the institution in overcoming deficiencies, and conduct regular evaluations of progress being made.¹⁹

Local Improvement Plan

The following guidelines for improvement plans will be used to develop an improvement plan for each indicator with deficient results. In summary:

- IP Year 1: State staff will monitor implementation of the Annual Plan and provide technical assistance as requested.
- IP Year 2: State staff will continue to monitor and provide technical assistance and may also prescribe uses of funds.
- IP Year 3: State staff will continue to provide technical assistance and monitor the recipient for improvements. Staff may recommend that a portion or all of the recipient's funds be redirected to an alternate provider.

Recommendations for sanctions will be made by state staff to the ADHE associate director for academic affairs who will inform the chief academic officer of the affected institution.

Program Year 1 (2008-09):

Institution fails to achieve 90 percent of an indicator and is notified by the state that an improvement plan must be implemented during Program Year 2 (2009-10). This may result in revisions to the annual plan already approved for Program Year 2 to redirect funds to core indicators affected by the improvement plan.

Program Year 2/Improvement Plan Year 1 (2009-10):

State staff will monitor progress and provide technical assistance as needed to assure that the improvement plan is fully implemented during Improvement Plan Year 1.

Program Year 3/Improvement Plan Year 2 (2010-11):

State staff will review performance results from Improvement Plan Year 1 to determine level of improvement. If performance has not improved over Program Year 2 results, staff may prescribe how local funds must be used to address deficient core indicators.

Program Year 4/Improvement Plan Year 3 (2011-12):

State staff will continue to provide technical assistance and monitor the recipient for improvements. If results from Program Year 3 show no positive improvement, state staff may recommend that some or all of basic grant funds be redirected to an alternate provider with the capacity and expertise to provide services to the failing institution's CTE students.

¹⁹ Perkins IV, Title 1, Part C, Section 123 details Local Improvement Plan requirements and Arkansas State Plan, IV-Accountability and Evaluation, (9).

N. 5-STEP IMPROVEMENT PROCESS

OVAE offers a *CTE Self-Assessment Tool*²⁰ and a *5-Step Improvement Process* model for use at the State level and institutions can modify it for use in developing a local improvement plan. These are offered as samples with the understanding that the institution may develop a program customized for the unique needs of the institution or use instruments from other states/institutions. Additional information can be found at <http://www.edcountability.net/> and in Section 8.

- Step 1: Document performance results, trending over multiple years.** Where are the gaps? Analyze data and make relevant comparisons. *Understand the Problem Completely Before Seeking Solutions.*
- Step 2: Identify potential direct and indirect causes and prioritize those to address.** *Don't settle for standard thinking; always ask why.*
- Step 3: Review and evaluate potential solutions.** Select best solutions based upon costs, available resources, and stakeholder support. *Get all the facts before too quickly adopting best practices.*
- Step 4: Pilot-test and evaluate solutions.** Determine tools and methods useful for testing and evaluation and how you will decide to move into implementation phase. *Make sure it worked somewhere before applying it everywhere.*
- Step 5: Implement solutions.** Develop a measurement system and allow for mid-course corrections. Determine how findings will be used to rethink root causes and develop other improvement strategies. *The problem is not solved until results improve.*

²⁰ Available at <http://www.emsc.nysed.gov/cte/techprep/pilot-survey.htm>

SECTION 7: SELECTED PROGRAM GUIDANCE

- A. Advertising and Recruitment
- B. Equipment
- C. Programs of Study/Career Clusters and Career Pathways
- D. Funding of New Programs
- E. Professional Development
- F. Sufficient Size, Scope and Quality
- G. Perkins Eligible Programs of Study
- H. Administrative Funds
- I. Secondary Students
- J. Supplemental Fiscal Monitoring
- K. High Wage, High Demand, High Skill Occupations

A: Advertising and Recruitment

Advertising campaigns will not be approved except in the following circumstances.

- **Student recruitment advertising is limited to nontraditional students only.** Campaigns must include specific text references to non-traditional program. For example, pictures of women in welding gear will not meet the test for eligibility. Supporting text must clearly explain the nontraditional nature of the campaign.
- **Advertising-based activities must be accompanied by supporting activities.** Approved campaigns must be comprehensive and include activities beyond billboards and brochures. Supporting activities include statistical results, recruitment at secondary level, interaction with secondary counselors, and other activities such as career fairs.

Federal guidelines²¹ place specific restrictions on using grant funds for “costs of advertising and public relations designed solely to promote the governmental unit.”

²¹ OMB Circular A-21(J)(1) Advertising and Public Relations Costs

B: Equipment

Purpose of Equipment

Equipment purchases are an integral part of a comprehensive Perkins Local 5-Year Plan but with the understanding that instruction drives learning; equipment only enhances learning. Activities funded in the Annual Plan must show how equipment will be integrated into instruction and outcomes that measure student achievement in core indicator areas must be identified.

Materials and equipment purchases must be used for approved Perkins activities and are limited to the following functions.

- For hands-on use by students in the classroom
- To supplement instruction
- To deliver instruction
- For equipment deemed necessary by local industry
- To accommodate frequent changes or upgrades in technology
- For use in an approved activity related to student support services

Requests for equipment should be considered in view of the institution's overall technology plan for systematic replacement and upgrading of all instructional equipment. Perkins funding should support the plan but not be the primary source of funding.

Purchase and Installation

Equipment must be ordered so that it can be installed for use by students no later than November 15. Equipment placed in service after that time cannot be paid for with Perkins funds even though the activity was approved. If instructor training is required, that too must be completed by the same date. It is imperative that equipment be available for student use as early as possible in the academic year so that students receive maximum benefit of the Perkins investment and that expenditures have an impact on the current program year's performance results.

Because federal guidelines limit the state to receiving no more than 25% of the total allocation during the first-quarter of the program year, local institutions cannot be reimbursed at a higher level than that.²² Guidance from the Arkansas Department of Workforce Education (the Arkansas fiscal agent for Perkins funds) states that any level of funds can be obligated during the first quarter but that reimbursement of funds will not be in excess of the 25%.²³ In essence, funds exceeding 25% can be obligated by release of a purchase order during the first quarter but no more than 25% of the total award will be disbursed to the institution until the fourth month of the program year.

The following two options should be considered when ordering equipment for installation before November 15.

1. The purchase order can be released with a timeframe that will have payment due no earlier than October when Federal funds will be received.
2. The purchase order can be released without regard for when Federal funds will be received and request reimbursement no earlier than October 1.

²² OVAE Guidance, September 30, 2002

²³ Email from ADWE to ADHE, dated April 24, 2006.

It should be noted that there are no limitations on funding after the first quarter. The remaining 75% of funds may be used entirely in month four or throughout the remainder of the program year.

Inventory

Federal grantees are to use their own procurement procedures which reflect applicable State and local laws and regulations provided that the procurements conform to applicable Federal law.²⁴ This means that for purchasing and inventory purposes, state and institutional guidelines should be followed.

All equipment purchased with Perkins funds must be inventoried and visibly tagged before being placed into service. Property records must include a description of the property, a serial number or other identification number, 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.²⁵

The following guidelines should be followed to determine whether an item should be inventoried.

- A supply or equipment item must be inventoried if it meets the state's capitalization threshold:²⁶
 - *Equipment* valued at \$2,500 or more
 - *Equipment-Low Value* valued between \$500 and \$2,499
 - *Equipment Susceptible to Pilferage* valued between \$500 and \$2,499 (includes computers, PDAs and other electronics, cameras, medical instruments, etc.)
- Any item that is not consumable
- It retains its original shape, appearance, and/or character with use
- It does not lose its identity through fabrication or incorporation into a different or more complex unit or substance
- It is non-expendable; that is, if damaged or some of its parts are lost or worn out, it is more feasible to repair the item than to replace it with an entirely new unit
- Under normal conditions of use, including reasonable care and maintenance, it can be expected to serve its principal purpose for 5-7 years

All items must remain on inventory as long as they are in use and the institution must maintain a record of disposition of all equipment/supplies. A physical inventory must be taken and property records reconciled at least every two years. A control system must be in place to ensure adequate safeguards to prevent loss, damage or theft. Any loss, damage or theft must be investigated.

If the post-secondary institution no longer needs or intends to use the equipment for the original purpose prior to the end of the life cycle, the institution must use the equipment to support other Perkins eligible programs or other federally funded programs. If there are no Perkins eligible or other federally funded programs in need of the equipment and the fair market value is \$5,000 or greater, the institution will be required to contact the US Department of Education for disposition of the equipment.

²⁴ EDGAR, Part 80.36(b) Procurement

²⁵ EDGAR, Part 80.32 for equipment regulations

²⁶ http://www.arkansas.gov/dfa/accounting/guide/appendices/p1_19_4_1503_capital_asset_guidelines.doc

Consortia

All guidelines and deadlines related to equipment apply to consortia as well as individually funded institutions. However, in the instance of consortia in Arkansas, the fiscal agent of the consortium holds title to the equipment rather than individual members of the consortium.

There may be cases when a consortium member receives equipment purchased with consortium funds. This equipment will appear on the inventory system of the fiscal agent. If the consortium member leaves the consortium, the consortium must determine the disposition of the equipment. If the equipment is to remain with the consortium member, the fiscal agent is responsible for transferring equipment to the departing member according to State regulations.

C: Programs of Study/Career Clusters/Career Pathways

Programs of Study

One of the highlights of the Perkins Act of 2006 (Perkins IV) is the requirement for the development and implementation of “career and technical programs of study.”²⁷ The law describes programs of study as programs that:

- incorporate secondary education and postsecondary education elements
- includes coherent and rigorous content aligned with challenging academic standards
- includes relevant career and technical content in a coordinated, non-duplicative progression of courses that align secondary education with postsecondary education
- prepare students to succeed in postsecondary education
- may include the opportunity for secondary education students to participate in dual or concurrent enrollment programs or other ways to acquire postsecondary education credits
- leads to an industry-recognized credential or certificate at the postsecondary level, or an associate or baccalaureate degree

States must develop programs of study in consultation with local programs, and each local recipient receiving funds under the Act will be required to offer the relevant courses of at least one program of study and provide documentation that the chosen program meets the requirements of the law. At a minimum, the recipient must provide ADHE with the Program of Study template. It is recommended that the recipient maintain documentation of how curriculum was aligned. Forms for documentation can be found at www.adheperkins.com/resources/resources.html#career.

Institutions not in compliance will be put into an improvement plan and funds directed to establishing the program of study. Each institution in a consortium must have a fully aligned program of study.

Career Clusters/Career Pathways

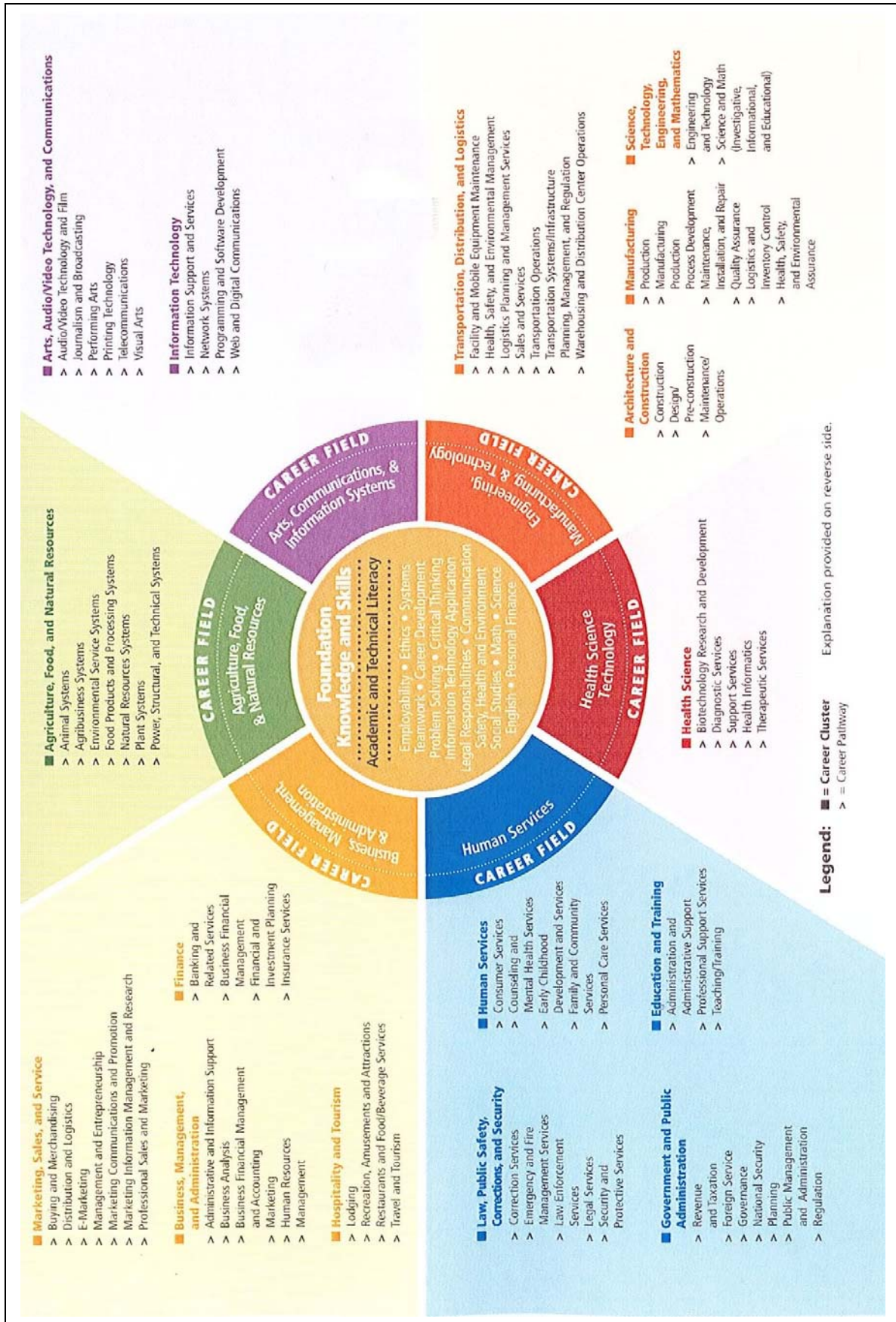
Career clusters are groupings of occupations used as an organizing tool for curriculum design. (See charts on following pages.) The first component of a cluster is the foundation knowledge and skills that are critical to occupations in the cluster (academic foundations/communications/problem solving and critical thinking/information technology applications/systems/safety, health and environment/leadership and teamwork/ethics and legal responsibility/career development/technical skills).

The second component is the grouping of professions into career pathways that require similar talents, knowledge and skills.

The third component is the listing of the individual occupations/specialties that make up the pathways. Career clusters serve as a tool for connecting academic, technical and employability skills in conjunction with learners' career planning, and help them transition from one educational level to the next and ultimately into productive employment. The Career Clusters concept begins at the secondary level but there are benefits for implementation at the postsecondary level.²⁸

²⁷Perkins IV, Title I, Part C, Section 135.

²⁸ For additional information, State Staff has resource materials or you can visit www.careerclusters.org.



INSTITUTION: Local College
HIGH SCHOOL(S): Local High School

CLUSTER: 16 Transportation, Distribution, Logistics
PATHWAY: 16.4 Facility and Mobile Equipment Maintenance
PROGRAM: CIP: CP 47.0604 TC 47.0604 AAS 30.9999

GRADE	ENGLISH	MATH	SCIENCE	SOCIAL STUDIES	REQUIRED COURSES		
					RECOMMENDED ELECTIVE COURSES	OTHER ELECTIVE COURSES	CAREER AND TECHNICAL EDUCATION COURSES
9	English	Algebra I	Physical Science	Civics .5 unit and American Gov. .5	PE .5 unit Health .5 unit	Fine Arts .5 unit Oral Comm. .5 unit	Keyboarding (if not taken at jr. high)
					Computer Elective	Career Focus	Career Focus
					Career Focus	NPTC Auto Service Electrical	NPTC Auto Service Suspension
10	English 10	Geometry	Biology	World History	Career Focus	Career Focus	Career Focus
					Career Focus	NPTC Auto Service Brakes	NPTC Auto Service Engine Performance
11	English 11	Algebra 2	Chemistry or Physics	US History	Career Focus	Career Focus	Career Focus
					Career Focus	AST1102 Automotive Lab 1	TECH1101 Computer Technology
12	English 12	Pre Calculus, Calculus, Trig, Algebra 3	Career Focus	Career Focus	Career Focus	Career Focus	Career Focus
					Career Focus	AST1202 Automotive Lab 3	TECH1102 Technical Communication
ADULT LEARNER ENTRY POINTS							
POSTSECONDARY							
Year 1 Semester 1	AST1103 Electrical/Electronics 1	AST1803 Engine Performance 1	AST1293 Brakes	AST1603 Engine Repair	AST1102 Automotive Lab 1	AST1101 Automotive Lab 2	TECH1101 Computer Technology
Year 1 Semester 2	AST1303 Electrical/Electronics 2	AST1403 Engine Performance 2	AST1503 Suspension and Steering	AST1703 High Performance	AST1202 Automotive Lab 3	AST1301 Automotive Lab 4	TECM1103 Technical Math
Year 2 Semester 1	ENG113 Comp 1 or ENG 1133 Technical Writing	SPCH1103 Speech or BUS2033 Business Comm	CIS1001 Intro to Computing 1	CIS1011 Intro to Computing 2	CIS1501 Intro to Internet	Social Science Elective	Math Elective
Year 2 Semester 2	BS Prep: College Algebra	BS Prep: Science Elective	BS Prep: Science Elective	BS Prep: Fine Arts Elective	BS Prep: Fine Arts Elective	BS Prep: US History	BS Prep: Social Science Elective
Baccalaureate Options							
Bachelor of Applied Science, University in Arkansas							





College and Career Transitions Initiative

Required General Education Courses (...=Smart Core requirements or Bachelor requirements)

Recommended Career and Technical Education Courses

Recommended Elective Courses

Credit-Based Transition Programs (e.g. Dual/Concurrent Enrollment, Articulated Courses)

(*)High School to College ♦2-Year to 4-Year ■ Opportunity to Test Out

Mandatory Assessments, Advising, and Additional Preparation

D: Funding of New Programs

Because Perkins monies for postsecondary are limited, Arkansas has chosen to place certain restrictions on the use of Perkins funds for initiating new degree programs or new emphasis areas of existing programs. These restrictions do not apply to individual courses.

During the approval process for new programs of study, the requesting institution must demonstrate at least one of the following:

- Has been designated as high skill, high wage and high demand occupations as determined by the Arkansas Department of Workforce Services
- How the program is responsive to needs of the local community
 - Locally emerging industries
 - Targeted industry occupations as determined by the Arkansas Economic Development Commission (AEDC) for each region of the State
 - State identified needs in critical shortage areas
- Programs that complete a secondary to postsecondary pathway
- Programs that facilitate transition from sub-baccalaureate to baccalaureate programs
- Programs that increase nontraditional participation
- Programs specified in PIV law
 - Automotive industry programs
 - Entrepreneurship programs

Information for new program justification and eligibility can be found at:
www.adheperkins.com/technical_assistance/crosswalks.html#crosswalk
www.discoverarkansas.net

Funding approval will be based on the above criteria and quality of the program presented.

See High Wage, High Demand, High Skill Occupations in this section for methodology used to determine occupations so designated.

E: Professional Development

Perkins IV Professional Development Requirements

Local institutions are to provide professional development programs for faculty, administrators, and career guidance and academic counselors who are involved in integrated career and technical education programs, including:²⁹

- effective integration and use of challenging academic and career and technical education provided jointly with academic teachers to the extent practicable
- effective teaching skills based on research that includes promising practices
- effective practices to improve stakeholder and community involvement
- effective use of scientifically based research and data to improve instruction
- support of education programs for teachers of career and technical education in public schools and other public school personnel who are involved in the direct delivery of educational services to career and technical education students, to ensure that such teachers and personnel stay current with all aspects of an industry
- internship programs that provide relevant business experience
- programs designed to train teachers specifically in the effective use and application of technology to improve instruction

Local Requirements

Local coordinators should include the intent for the professional development when funding is requested during the Annual Plan process and should maintain a roster of people who have had professional development funded by Perkins (during the life of PIV).

Professional development is necessary to the successful implementation of local activities and may either be integrated into individual activities or provided to faculty and staff campus wide. Professional development should not be limited to faculty but should be provided to administrators and support staff relevant to their role in making local activities successful.

Professional development may be discipline based (proficiency at a specific skill); may focus on method of instructional delivery (how to more effectively transfer skill knowledge to students); or may address the environment or conditions in which the student is learning (support services). Professional development plans should be evenly balanced to achieve the greatest long-term impact on student achievement.

Professional development may be provided every year. It is the coordinators responsibility to see that the same person is not being sent to the same conference year in and year out.

The Annual Plan should contain at a minimum:

- Which faculty/staff are attending what professional development event
- The purpose (what is expected to be gained)

²⁹ Perkins IV, Title 1, Part C, Section 135 details local professional development requirements

Site Visit Review of Professional Development

The following will be reviewed during the annual compliance visit:

- Evidence of the implementation plan including justification for an individual's participation in training and how training will impact core indicators
- Roster of Perkins funded professional development recipients (beginning with PIV Transition Year)
- If the professional development has not yet occurred, the coordinator should be prepared to discuss plans for expenditure of remaining professional development funds

F: Sufficient Size, Scope and Quality

Perkins legislation requires that funded activities be of sufficient size, scope and quality as to be effective. The following definitions provide guidance in determining whether a potential activity meets these criteria.

Size

- Perkins addresses size of programs through the minimum grant award amount. The receiving institution or consortium must meet the minimum threshold of \$50,000 in order to receive a grant.
- The receiving institution or consortium must offer no less than five programs of CTE study.

Scope

- Funded programs of study must correlate with the assigned CIP code descriptor.
- Programs of study should include classroom instruction, laboratory and work-based instruction as approved by the Arkansas Higher Education Coordinating Board.
- Instruction must be competency based.
- Programs of study shall require the following number of undergraduate semester credit hours:
 - Certificate of Proficiency 7-18
 - Technical Certificate 24-42
 - Associate of Science 60-72
 - Associate of Applied Science 60-72
 - Associate of Applied Science in General Technology 60-64
 - Associate of Arts in Teaching 60-72

Quality

- The curriculum for each program of study is approved by the Arkansas Higher Education Coordinating Board at the time program approval was requested. A syllabus for each course within the program of study is used by the instructor to assure that the desired quality of the program as approved is being achieved.
- Supplies and materials are sufficient to enable students to achieve the competencies specified for each program.
- Class, laboratory facilities and equipment will be fully accessible to all students.
- The selection and location of equipment will follow safety rules and regulations.
- Faculty shall meet the minimum credential requirements.

G: Perkins Eligible Programs of Study

Perkins legislation limits the funding of activities to those that are related to less than the baccalaureate level. The following degree plans meet these criteria.

Certificate of Proficiency

The Certificate of Proficiency will be awarded to students who have demonstrated mastery of skills and knowledge against specified performance standards in a specific area or discipline. The award is granted for programs requiring 7-18 undergraduate semester credit hours. The program of study may be a stand-alone program or part of a technical certificate or associate degree curriculum.

Remedial/developmental education courses must be used for placement purposes only and cannot be used to fulfill certificate requirements.

Technical Certificate

The Technical Certificate is a planned and coherent program of classroom and laboratory/shop work at the collegiate level that recognizes the completion of a specified level of competency in an occupational field. The program of study may be a stand-alone program or a part of an associate degree curriculum.

The curriculum must require a demonstration of competency in communications (oral and written) and mathematics, and a mastery of skills and knowledge against specified performance standards in a specific area or discipline. Remedial/developmental education courses must be used for placement purposes only and cannot be used to fulfill certificate requirements. The range of credit hours is 24-42 undergraduate semester hours. Exceptions to this range will be allowed when required by accrediting or approval agencies.

Associate of Science (Excluding AS-General Education, AS-General Studies, AS-Liberal Arts)

The Associate of Science degree will be awarded to students who successfully complete a program of collegiate level work with an occupational objective of which the majority of occupational courses and all general education courses are transferable toward a baccalaureate degree. The degree must include the 35-hour state minimum general education core that requires courses in English/writing, the humanities and fine arts, history and the social sciences, mathematics, and the natural sciences. The curriculum must require a demonstration of competency in communications (oral and written) and mathematics, and a mastery of skills and knowledge against specified performance standards in specific areas or disciplines. Remedial/developmental education courses must be used for placement purposes only and cannot be used to fulfill degree requirements. Typically, the field of study is not specified in the degree title. The range of hours is 60-72 semester credit hours. Exceptions to this range will be allowed when required by accrediting or approval agencies.

Associate of Applied Science

The Associate of Applied Science (A.A.S.) degree will be awarded to students who successfully complete a program of collegiate level work which is primarily designed for direct employment. The program must include a minimum of 15 semester credit hours of general education courses in English/writing, mathematics, social sciences, and computer applications/fundamentals. A minimum of 30-36 semester hours must be in a technical area. An additional component of the program of study should be a technical core of support courses from other related technical disciplines. The curriculum must require demonstrated mastery of skills and knowledge against specified performance standards in a specific area or discipline. Remedial/developmental education courses must be used for placement purposes

only and cannot be used to fulfill degree requirements. (A course in Intermediate Algebra may be used to fulfill the mathematics requirement in the A.A.S. degree.) The occupational field may be specified in the title of the degree (e.g., Associate of Applied Science in Electronics Technology). The range of hours is 60-72 semester credit hours. Selected health-related programs may exceed 72 semester hours, but should not exceed 80 semester hours unless required by accrediting or approval agencies.

Associate of Applied Science in General Technology

The Associate of Applied Science in General Technology program will be awarded to students who successfully complete an individualized program of study to fulfill a unique career goal that cannot be met through the completion of a single program offered by the institution. The program must include 15 semester credit hours of general education courses: English/writing, mathematics, computer application/fundamentals, and social sciences . There must be 24-30 semester hours in a major technical area, and 15-21 semester hours in a technical core of support courses from other related technical disciplines. A maximum of 30 semester hours may be awarded for experiential learning or work experience. The curriculum must require demonstrated mastery of skills and knowledge against specified performance standards in a specific area or discipline. Remedial/developmental education courses must be used for placement purposes only and cannot be used to fulfill degree requirements. Typically, the field of study is not specified in the degree title. The range of hours is 60-64 semester credit hours.

Associate of Arts in Teaching (AAT)

The Associate of Arts in Teaching degree will be awarded to students who successfully complete a planned program of collegiate level work that is transferable toward a baccalaureate degree in teacher education. This two-year transfer degree is designed to introduce students to the profession of teaching, to increase the number of teacher candidates, to ease transfer from two- to four-year institutions, and to maximize the credit hours taken at the two-year institution. The degree must include the state minimum general education core (35 semester credit hours) that requires courses in English/writing, the humanities and fine arts, history and the social sciences, mathematics, and the natural sciences. The Associate of Arts in Teaching is designed to align with state licensure requirements and consists of 60-72 semester credit hours. In order to receive the AAT, students must have a final grade point average of 2.65 and pass the Praxis I exam, an assessment of reading, writing, and mathematical skills.

H: Administrative Funds

The use of local grant funds for administrative purposes is limited to no more than 5% of the total basic grant. The following definitions and examples are provided for clarification.

Carl D. Perkins Act of 2006

Section 3. Definitions

(1) Administration: The term “administration” means activities necessary for the proper and efficient performance of the eligible recipient’s duties under this Act, including the supervision of such activities. Such term does not include curriculum development activities, personnel development, or research activities.

Education Department General Administrative Regulations (EDGAR)

80.3 Definitions

(2) Administrative requirements mean those matters common to grants in general, such as financial management, kinds and frequency of reports, and retention of records.

ADHE Guidance (selected examples)

- Expenses of the local Perkins coordinator to attend Perkins technical assistance meetings.
- Cost of travel between campuses related to administration of the grant.
- Expenses of the local Perkins coordinator for training in the use of the web-based grant management system.
- Portion of the salary or expenses of the institutional research person to compile required Perkins accountability reports (does not include general reports required by AHEIS) (PAR required).
- Computer for use of the local Perkins coordinator for administrative purposes.
- Developing and administering a student placement or special population survey.
- Expenses of the local Perkins coordinator to attend a federally sponsored conference on Perkins issues.
- Developing and administering a needs survey to determine the institution’s best use of Perkins funds.
- Portion of the salary of the local Perkins coordinator (PAR required).
- Activities that ensure that data is valid and reliable (avoid supplanting).

Administrative money must be directly connected to activities that enable the recipient to fulfill its obligations regarding the proper use of funds. Any use of funds must be supported by source documents such as PARs for salary related expenditures (coordinator or other staff), invoices for equipment and supplies necessary for administration of the grant, and documentation for travel related expenses incurred by the local coordinator to more effectively administer the grant (including professional development that allows the coordinator to develop Perkins funded activities).

Administrative funds cannot be considered as general funds of the institution; they must be traced to specific activities.

I: Secondary Students

Use of Perkins postsecondary funds is restricted to postsecondary students with the exception of recruitment of gender nontraditional students.

Secondary Career Centers (SCC)

The state has a network of 25 secondary area career and technical education centers, 16 of which are operated by postsecondary institutions. These centers enroll high school students in CTE programs of study for a one- to three-hour block of time each day. In many cases, the center is located on the college campus and may even share facilities with the postsecondary programs. This arrangement has allowed many high school students to receive concurrent credit for CTE courses.³⁰

Funding for SCCs is funding through the Arkansas Department of Workforce Education.³¹ When located on a college campus, the college receives \$3,250 per FTE³² for training costs and receives an additional \$3,900 (approximate) per FTE for other costs. The concurrent credit tuition for high school students enrolled on a campus-based SCC is paid from these pass-through funds and not by the student. Additionally, ADWE funds program start-up costs over and above the FTE-based funding.

These students are reported into AHEIS as “high school students” (not college level) and as “non-degree seeking.”³³ As a result, they will not be included in the Perkins Accountability System and will therefore never be included in students whose core indicator performance is measured.

Perkins postsecondary funds may be spent on activities that occur in the SCCs to the extent that the activity is for an eligible use of funds, addresses core indicator performance, and serve postsecondary students. Examples of activities that may or may not be funded include but are not limited to the following.

- Salary expense for a faculty member to teach a course in a SCC that contains both high school and postsecondary students may be paid proportionate to the number of postsecondary students enrolled.
- New program development or funding of equipment/supplies for a program/course with only high school students cannot be funded regardless of where the instruction is offered. Funding of new programs for programs/courses that contain both high school and postsecondary students would be considered for approval within the guidelines established for funding of new postsecondary programs/courses. The level of funding will take into consideration the proportion of high school students expected to enroll.
- Funds may not be used to recruit high school students into a SCC program unless it is for gender nontraditional students into a gender nontraditional program.
- Funds may not be used to address deficiencies that high school students may have in academic areas that will prepare them for postsecondary enrollment. Coursework that prepares students for college level work is considered development education which is precluded in Perkins law.

³⁰Arkansas State Plan page 4

³¹<http://dwe.arkansas.gov/SecondaryAreaCenters.htm>

³² FTE equals 1 student for 6 hours of instruction

³³ AHEIS manual, Student File

Concurrent/Dual Credit Students

Only students who are CTE-degree seeking are included in the Perkins Accountability System which excludes students who are reported as “high school students” and therefore “non-degree seeking.” High school students earning concurrent or dual credit will not be included in the Perkins funding formula unless they are Pell/BIA recipients. These are issues that should be considered when using Perkins postsecondary funds for SCCs or for concurrent/dual credit students.

Nontraditional Students

The recruitment of high school (grades 9-12) students into a gender nontraditional occupation is an eligible use of Perkins postsecondary funds. Activities include but are not limited to:

- Creating awareness of opportunities in nontraditional fields
- Summer camps
- Mentoring programs
- Recruitment (see guidance on advertising for limitations)

J: Supplemental Fiscal Monitoring

Purpose

The Perkins program is a State administered program and, as a condition of receipt of federal funds, the State must ensure compliance with federal regulations. ADHE, through its MOU with ADWE, is responsible for both program and fiscal oversight of Perkins funds distributed to local institutions. While a review of financial records is included in an annual compliance review conducted onsite at each institution, supplemental fiscal monitoring reviews are designed to conduct a more thorough review for recipients with a higher fiscal risk factor.

Unlike audits that focus on expenditures after the fiscal year has been completed, supplemental monitoring focuses on current year expenditures. As such, the goal is not to seek recovery of misused funds but to identify and resolve problems during the grant year in order to avoid future audit findings and penalties.

Risk Factors

Recipients will be assessed for risk based on the following factors. A sample analysis sheet is at the end of this section.

- Size of the basic grant
- % of grant used for salaries in current or previous year
- Coordinator tenure
- % funds unused from previous year
- End of Year Financial Report submitted after August 10
- Current Annual Plan submitted after June 1
- Frequency and number of amendments requested
- Timeliness of quarterly requests for reimbursement
- Number of core indicators in improvement plan status
- Other (site visit findings, equipment management, workshop attendance, special populations report, and other factors as identified)

Selection Procedures

Each year ADHE will review all recipients in each of the areas described above and assign a point value in each of the categories. Institutions with the highest point value will be selected for supplemental monitoring. The number of institutions to be monitored annually will be at the discretion of ADHE.

An institution selected for supplemental monitoring will be notified at least one month in advance of the onsite monitoring visit. This notification will include team members assigned to conduct the review and a list of the types of documents required to be available for the review. If the recipient is a consortium, the fiscal agent will be notified as to locations and activities that will be reviewed.

2008-09 RISK MANAGEMENT ASSESSMENT

Category	Size of Grant	% of Grant Used for Salary in Current or Previous Year	Coordinator Tenure	% Funds Unused in Previous Year
	\$400K=5	100%=4	0 years=3	40%=5
	\$300K=4	75% =3	1 year =2	30%=4
	\$200K=3	50% =2	2 years=1	25%=3
	\$150K=2	25% =1		20%=2
Weighted Points	\$100K=1			10%=1

Category	% Funds Unused in Previous Year	PYE08 Financial Report Submitted After August 10	PYE09 Annual Plan Submitted After June 1	Number of Amendments
	40%=5	After= 1	After= 1	> April 15 =4
	30%=4	Before=0	Before=0	6 requests=3
	25%=3			5 requests=2
	20%=2			4 requests=1
Weighted Points	10%=1			

Category	Quarterly Requests for Reimbursement	Improvement Plan	Other
	0 qtr=4	5-6 indicators=3	Site visit findings=1-3
	1 qtr=3	3-4 indicators=2	Equipment purchases=1
	2 qtr=2	1-2 indicators=1	Workshop attendance=1-2
	3 qtr=1		Special populations report=3
Weighted Points	4 qtr=0		

Onsite Monitoring Procedures

Monitoring Team

The onsite monitoring team will be composed of three to four people from ADHE and/or ADWE. The team will meet with the chief officer of the institution to assure understanding of the purpose of the monitoring and to collect institutional level information. This will be followed by meetings with fiscal and program managers to review the procedures and documentation necessary to monitor the federal fiscal requirements identified in the Monitoring Checklist.

Monitoring Checklist and Testing Methods

The Monitoring Checklist focuses on three areas of compliance and uses the following testing methods to determine level of compliance.

- Internal controls are in place to ensure that costs are assigned and tracked against federal grants according to federal requirements, assets are safeguarded, and funds are used solely for authorized purposes.
 - The team will examine written policies and procedures for grant management, procure accounting records for the Perkins grant, check property/equipment inventories, and justify the most current request for reimbursement with grant balances and expenditures.

- Expenditures of federal funds are in compliance with federal cost principles (principles identifying what can be funded and how it can be funded).
 - Compliance with cost principles and local plans will be tested by examining outlays for the current fiscal quarter and the prior fiscal quarter (unless monitoring occurs in the first fiscal quarter of the year). Source documentation (purchase orders, invoices, cancelled checks, payrolls, and time and attendance records) for randomly selected transactions will be reviewed to determine the nature of the expenditure and to establish its allowability. Specific outlays will also be reviewed to establish their consistency with the approved local plan. Team members will examine outlays under each of the approved budget categories.
- Expenditures are in compliance with the recipient’s approved Annual Plan.
 - Is the expenditure a normal expenditure that should have been covered by non-grant funds?
 - Does the contract indicate its purpose or the person hired is within the purpose of the grant?
 - Does the work schedule for the individual indicate the time spent working on the cost objectives of the grant and on other cost objectives? Is it reported after-the-fact and signed by the individual?
 - Are the costs allowable based on cost principles per OMB Circular A-87?
 - Are the expenditures applicable to the period covered by the grant?
 - Do expenditures requested for reimbursement agree with expenditures in the recipient’s ledger for the same period?

Exit Interview

The team’s goal will be to complete on-site monitoring visits in one day or two days for larger recipients. However, the number of campuses or the complexity of issues uncovered may extend the length of the visit. When the onsite monitoring has been completed, team members will conduct an oral exit interview with the chief officer of the institution and anyone else deemed appropriate.

Team members will identify areas of possible non-compliance and provide the opportunity for the submittal of further information or explanation to correct misperceptions or misinterpretations on their part.

Final Report & Corrective Actions

Final Report

ADHE will issue a written final report of the findings of an onsite monitoring visit within 30 days after the completion of the visit. Program staff may be consulted during that period to clarify an issue or verify the accuracy of information collected during the review. When all issues are clarified, the department will identify findings of non-compliance and send those findings to the recipient. Findings of current non-compliance could be in one of three categories:

- a) Adequate internal controls are not in place.
- b) Sufficient source documentation is not in place to justify an outlay.
- c) Specific outlays are not allowable under cost principles or do not meet the purpose of the grant.

Corrective Action Plan

Once the recipient has received the Final Report of the Supplemental Fiscal Monitoring Visit, it has 30 days to respond to findings of non-compliance. In its response, it can challenge the findings by submitting material that demonstrates the inaccuracy of the finding. If the challenge is not upheld and the recipient agrees that a finding of non-compliance is correct, it needs to file a corrective action plan.

The recipient may work with its visit liaison to obtain help from the department in formulating adequate corrective actions. A corrective action must be created for each finding and result in bringing the recipient into full compliance. The nature of the corrective action will relate back to the category of the finding.

When there are weaknesses in internal controls, policies and/or procedures will be developed and implemented and accounting records will be brought into compliance with approved budgets.

- a) When sufficient source documentation is not in place, such documentation will be put into place or the outlay will be determined to be disallowable.
- b) When specific outlays are determined to be disallowable under costs principles or the purposes of the grant, the recipient must submit documents indicating those costs have been transferred and paid using non-grant funds.

Corrective actions will identify:

- The action to be taken to bring each cited item into compliance and to keep the problem from reoccurring.
- Who will be responsible for the action.
- When it will be completed.

When ADHE is satisfied that the proposed corrective actions will be successful in resolving all problems, the recipient will be notified that the corrective action plan has been approved.

Corrective actions must be completed before the current fiscal year is closed out. After the date on which corrective actions were to be completed, ADHE will either schedule a follow-up visit to verify that the actions have resolved the problems in question or will arrange for an alternate way for the recipient to demonstrate that effective corrective actions have been completed.

Possible Penalties

The imposition of penalties for non-compliance with federal requirements will be a last resort. The main objective of the monitoring system is to assist recipients in creating sound grant management systems. However, federal law requires that the department take action if its recipients do not comply with federal requirements.

1. Failure to resolve issues, refund disallowed costs or supply adequate documentation to support costs charged to grants will result in a warning that funds may be suspended until the requirement is met.
2. Continued failure to resolve issues, refund disallowed costs or supply adequate documentation will result in fund suspension until the requirement is met.

K: High Wage, High Demand, High Skill Occupations

Definitions in State Plan

Definitions for high skill, wage and demand are jointly determined by the departments of Workforce Education, workforce Services, and Higher Education. Below are the definitions provided in the Arkansas State Plan which is approved by US Department of Ed (OVAE).

High Wage: Occupations which exceed 20 percent above the average wage for all occupations (see below for high wage determination method). Using national crosswalks, occupational data was categorized by CIP code and placed into appropriate pathways and career clusters. Any pathway in which 50 percent or more of the occupations met the high-wage definition was designated as a high-wage pathway. (This will change every year based on current information.)

High Demand: Includes those occupations as determined by Department of Workforce Services high-demand list that is used for other economic and workforce development purposes – such as the workforce investment boards for expenditure of their funds (see below for high demand determination method). Any pathway in which 50 percent or more of the occupations were on the high-demand list was designated as a high-demand pathway. (This will change every year based on current information.)

High Skill: At the secondary level, it is any pathway that leads to a postsecondary award or an apprenticeship. At the postsecondary level, any pathway that leads to a baccalaureate or higher degree or leads to an occupation that requires certification or licensure was designated as high skill.

High Wage Determination

- Wages from all SOC coded occupations found in Arkansas across all occupations are averaged together and then increased by 20%. For 2008-09 high wage is any occupation paying in excess of \$36,766 per year.
- Example: A registered nurse can be found in various industry groups such as hospitals, nursing homes, schools, and manufacturing. ADWS takes the mean wage of the registered nurse's wage in all industries where RNs are found and averages those salaries. If the average wage for a registered nurse is above \$36,766, then the occupation is considered high wage.
- The data used to make this determination is the Bureau of labor Statistics (BLS) Occupation Employment Statistics (OES) Wage Survey that is conducted by the Arkansas Department of Workforce Services. ADWS conducts this survey annually in May and November and contacts between 6,000-7,000 Arkansas employers per year.
- The occupational wage is determined by combining the current year's information (2 surveys) with the previous two years' information (4 surveys) and applying a BLS methodology to it.

High Demand Determination

- The Arkansas Department of Workforce Services publishes an annual Demand Occupation List. This list is created with input from other state agencies, educators, labor, economists, etc.
- Following are the steps used to develop the **State** list.
 - ADWS creates the Short Term Projections List with input from the Arkansas Economic Development Commission. This list includes the number of projected annual job openings in each occupation category. This is usually set at about 35-37 openings per year to qualify.
 - The top 5 Growth Occupations within the top 25 Growth Industries for the State are identified. AEDC input is included in developing this information.

- The Short Term Projections List and the top five Growth Occupations lists are combined to produce a list of occupations.
 - These occupations are cross-walked to corresponding CIP codes.
 - Occupations can be added to the list after its initial release with supporting documentation and the approval of all ten Local Workforce Investment Area boards.
- Following are the steps used to develop **Local Workforce Area** Lists.
Each local WIA assembles a local demand team of around 12 people representing education, labor, business, economists, etc. This team is facilitated by ADWS as it assists with the following:
 - The top 3 Growth Occupations within the top 10 Growth Industries for the Local Workforce Investment Area from the Short Term Projections List are identified. AEDC input is included in developing this information.
 - A list of occupations across all industries ranked by the number of projected annual job openings for the LWIA is obtained from the Short Term Projections List. This is usually set at about 5-12 openings expected. The list is examined for clustering points and a cut-off level negotiated with the local area.
 - The Short Term Projections List and the top five Growth Occupations lists are combined to produce a list of occupations.
 - The LWIB has the option of adding up to 5 demand occupations that are not reflected on the list above.
 - These occupations are cross-walked to corresponding CIP codes.
 - Occupations can be added to the list after its initial release with supporting documentation and the approval of all ten Local Workforce Investment Area boards.

Adding Occupations to the List

- An occupation will be added to the **State** list only if the documentation supports the occupation statewide and all 10 local areas are in agreement that it should be added.
- ADWS allows each **WIA Local Area** to add 5 additional occupations to their individual area list without additional documentation. The only requirement is that the additional occupations be approved by the local WIB with a copy sent to ADWS.
- These additional occupations expire each year on June 30 and must be resubmitted and approved in order to remain on the list.
- If the Local Area wants to add more than 5, one or more of the following documentations are required.
 - Proof that the course content of the training program not on the list is substantially contained within a training program that is on the list.
 - A minimum of 3 letters from employers stating their current intention to hire and a recurring need for individuals trained in the program.
 - Proof that the training program experiences repeated high placement and wage
 - Results from labor market surveys that utilize reliable procedures
 - Proof from chambers of comers, AEDC and/or local industrial development organizations of the verified need for additional trained workers in the training program
 - Information that relates to staffing patterns. Examples include plant openings or expansions, plant closings or occupation obsolescence, emerging occupations related to technical changes or other salient causative factors.

See <http://www.discoverarkansas.net/> for more information and current designations.

SECTION 8: APPENDICES

- A. Consortium Memorandum of Understanding (MOU) (sample)
 - B. Personnel Activity Record (PAR) (sample)
 - C. Site Visit Checklist
 - D. Five-Step Improvement Process
 - E. Articulation Agreement (sample)
-
- Z. Definitions

Appendix A: Consortium MOU

Memorandum of Understanding

Consortium Name

PY: 2006-2007

In accordance with the provisions of Section 132(a)(3) of the Carl D. Perkins Career and Technical Education Improvement Act of 2006, this Memorandum of Understanding details the operational procedures of the CONSORTIUM NAME for PROGRAM YEAR.

Governing Board

All decisions regarding the uses of funds, either consortium-wide or on individual members' campuses, and/or the operations of the consortium as a whole not otherwise prescribed in this Memorandum of Understanding will be made by consensus of a Governing Board representing each member campus. Governing Board representatives for this consortium are NAME OF PERSON AND NAME OF INSTITUTION FOR EACH MEMBER INSTITUTION.

The Governing Board shall convene as often as necessary and by means of its choosing to conduct Consortium business.

Legal Oversight Responsibilities

The responsibilities of legal oversight of activities on all member campuses funded by and conducted under the provisions of the Carl D. Perkins Act and this Memorandum of Understanding, and the use of and accounting for Perkins funds by the fiscal agent shall remain the purview of the Arkansas Department of Higher Education.

Consortium Funding

The total of the amount of Perkins funds for which all member institutions qualified shall comprise the Consortium's allocation. All funds shall reside with the fiscal agent and the fiscal agent shall make no grant allocations to member institutions. Member institutions shall not retain nor administer an ongoing Perkins account. Funding is distributed within the consortium based upon consortium identified needs and not according to Pell count.

Member Services

In accordance with the Section 132(a)(3) of the Act as noted above, all member institutions shall receive services from the Consortium in accordance with demonstrated need chosen by consensus of the Governing Board. Those needs shall address performance in the Perkins core indicator areas and include: Insert what the common areas are for the length of this MOU.

Consortium Fiscal Agent

The fiscal agent for the consortium will be NAME OF FISCAL AGENT INSTITUTION. It shall be the fiscal agent's responsibility to establish policies for the procurement of goods and services, to handle and account for all Consortium funds, and pay all bills for costs of activities or services provided by the Consortium on members' campuses. In addition, the fiscal agent will be responsible for preparing and submitting the Consortium's annual grant application, and for submitting to ADHE all required forms and

reports in the name of the Consortium. The fiscal agent may retain 5% of the Consortium's total grant allocation to cover the costs entailed in the administration of the Consortium.

Responsibilities of Member Institutions

Member institutions shall be responsible for providing the fiscal agent with all information the fiscal agent shall require in order to fulfill the responsibilities outlined in the section above, and for conducting all Consortium-funded activities or services in accordance with the requirements of the Carl D. Perkins Act. Member institutions will not allocate any portion of its Perkins funding for administrative use.

Membership

Membership in the NAME OF CONSORTIUM shall consist of the postsecondary institutions indicated below. By appropriate signature the member institution indicates acceptance of the provisions of this Memorandum of Understanding and the guidelines, assurances, and certifications contained in the Consortium's approved Local Plan from which this Memorandum of Understanding is derived.

List the names and addresses of the member institutions along with the signatures of the president, chancellor or their designees.

INSTITUTION
Street, City, State, Zip

Name, Title

Date

INSTITUTION
Street, City, State, Zip

Name, Title

Date

INSTITUTION
Street, City, State, Zip

Name, Title

Date

INSTITUTION
Street, City, State, Zip

Name, Title

Date

Appendix B: Personnel Activity Report (PAR)

Form can be provided by state staff or one preferred by the institution may be used. Regardless of the form used, the following points must be addressed.

- Must be completed for each funded individual and maintained at the institution for audit.
- Must be completed monthly if employee is compensated by sources other than Perkins.
- If position is funded entirely by Perkins, the form is required semi-annually.
- Documentation of total time and effort is required. Time devoted to Perkins must be noted.
- Must be signed by the employee and supervisor.

COMMUNITY COLLEGE NAME
PERSONNEL ACTIVITY REPORT FOR PERKINS FUNDED POSITIONS

Employee Name: _____
 Pay Period Beginning: _____

Department: _____
 Pay Period Ending: _____

Date	Regular Hours Worked	Perkins Hours Worked
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		
11		
12		
13		
14		
15		

Date	Regular Hours Worked	Perkins Hours Worked
16		
17		
18		
19		
20		
21		
22		
23		
24		
25		
26		
27		
28		
29		
30		
31		

SUMMARY

Regular Hours Worked: _____

Perkins Hours Worked: _____

My signature certifies that the above recorded hours are correct.

Employee

Supervisor

Appendix C: Sample Perkins Site Visit Checklist

Institution: _____ Date: _____ State Staff: _____

I. PROGRAMMATIC REVIEW

List coordinator name and institution executive with Perkins responsibility:

- Review of Local Plan and how used as basis for Annual Plan
- Process for selecting activities included in the Annual Plan
- Use of data in determining activities and clearly defining goals
- Review the extent to which required and permissive uses of funds were included in the Plan
- Review activities that address special populations and nontraditional students
- Review efforts to increase secondary to postsecondary curriculum alignment and efforts to expand career pathways
- Determine how Perkins supports the institution's comprehensive plan for faculty/staff professional development and how staff other than faculty are included
- Determine how the institution assesses effectiveness of Perkins funded programs
- Consortia experiences

II. ACCOUNTABILITY/PROGRAM IMPROVEMENT REVIEW

Data Collection and Reporting

- How special populations are identified

Use of Data for Performance Measurements and Program Development

- Awareness of State and local core indicator performance targets
- Status of improvement plan progress if appropriate

Core Indicators

- Review previous year End of Year Report (level of performance achieved)
- Review Perkins Accountability Reports from previous year
- Use of results for program development/improvement for upcoming Perkins cycle

III. FISCAL REVIEW

List names of personnel visited: _____

- Review financial management system including reporting timeline and reimbursement procedures
- Review selected source documents related to reimbursement requests
- Review budget reconciliation to date and use of funds for remainder of program year
- Review and discuss time records for Perkins-funded personnel (PAR/position descriptions)
- Review inventory management process and records (invoices/inventory tags and logs)

IV. OTHER INFORMATION/TECHNICAL ASSISTANCE

- **Perkins Coordinator/Institution identified issues**
- **Technical assistance requested to improve coordinator understanding of Perkins program and process**

V. SUMMARY AND REPORT

- Review key findings with coordinator that will be included in site visit report
- Prepare site visit summary report

Appendix D: Five-Step Improvement Process

Step 1: Document Performance Results	Step 2: Identify Root Causes	Step 3: Select Best Solutions	Step 4: Pilot Test and Evaluate Solutions	Step 5: Implement Solutions
What to document? -Comparisons within groups -Benchmarks -Trends over time	Why search for root causes? -Indirect causes -Direct (root) causes -Performance indicators	Why take time to search and evaluate solutions? -Review the underlying logic of the solution -Review the empirical evidence	Why evaluate?	Moving from pilot testing to implementation
How to document methods and tools? -Tables -Graphs	How to identify root causes? -Identify potential causes -Analyze and evaluate potential causes -Select a few critical root causes to address	How to develop solutions -Improvement strategies and models	How to test solutions: Designing an evaluation strategy -Choose a study design -Select pilot sites -Select outcome measures -Identify data sources -Train pilot site staff	Monitoring ongoing implementation
How do I know I can trust my data? -Identify major limitations -Assess the implications for interpreting results		Identifying potential strategies and models -Review what others propose -Benchmark peers and leading performers -Develop your own solutions	Analyze initial results	Sustaining improvement efforts
Criteria for establishing improvement priorities? -Size of gaps -Trends in performance gaps -Concentration of gaps -State improvement priorities		Narrowing the choices: Assessing and comparing alternative strategies and models -Sound theory and logic -Strong evidence		

Appendix E: Articulation Agreement (sample)

ARTICULATION AGREEMENT
Between COLLEGE/UNIVERSITY and HIGH SCHOOL

The *COLLEGE/UNIVERSITY* agrees to grant articulated credit for courses offered by *HIGH SCHOOL* as shown on the attached Record of Curriculum and Course Equivalencies document.

Requirements for Articulation:

1. Secondary teachers/instructors will use the Curriculum Content Frameworks issued by the Arkansas Department of Workforce Education as the curriculum guide for the class.
2. Students must meet or exceed the objectives listed in the Curriculum Content Frameworks in order to receive articulated credit. This will be verified by a signed document from the high school instructor.
3. Students must complete the course in either the 11th or 12th grade.
4. Students must make the final course grade of "A" or "B" in order to receive articulated credit. Grade reports must be sent to the *COLLEGE/UNIVERSITY* and must include the student's final exam score.
5. A student who desires articulated credit must enroll at the *COLLEGE/UNIVERSITY* within 18 (eighteen) months of high school graduation in the appropriate program of study.
6. A student can be awarded up to 12 credit hours of articulated coursework.
7. When existing courses are revised by either party, written notification of those changes will be sent to the responding institution. As new curricula develop for which articulation is possible, either party notifies the other, course content will be reviewed, and new articulation agreements may result.
8. This Articulation Agreement remains in effect for one year unless either party notifies the other in writing of their desire to cancel the agreement for the current academic year.

In order to receive credit at the *COLLEGE/UNIVERSITY* for articulated classes, the student must complete the following:

1. An application for admission to the *COLLEGE/UNIVERSITY*.
2. All admission requirements at the *COLLEGE/UNIVERSITY*.
3. Successfully complete one semester of coursework as a full-time student in the appropriate program of study at the *COLLEGE/UNIVERSITY*.

Signatures:

President/Chancellor <i>COLLEGE/UNIVERSITY</i>	Date
Superintendent <i>HIGH SCHOOL</i>	Date

Appendix Z: Definitions

NUMERIC

- 0P1.** Activity category for administrative funds. Is limited to 5% of total authorized grant.
- 1P1.** Core indicator performance level that measures technical skill attainment.
- 2P1.** Core indicator performance level that measures credential attainment.
- 3P1.** Core indicator performance level that measures student retention and transfer.
- 4P1.** Core indicator performance level that measures placement in employment, military, apprenticeship program or advanced education within 6 months of completion.
- 5P1.** Core indicator performance level that measures participation rates of nontraditional students.
- 5P2.** Core indicator performance level that measures credential attainment rates of nontraditional students.
- 6P1.** Activity category for use of funds that will positively impact all core indicators.
- 7P1.** Activity category for use of funds that address programs of study/linkages.
- 8P1.** Activity category for use of funds that provide professional development.
- 9P1.** Activity category for use of funds that improve performance of special populations.

A

Adjusted level of performance. Negotiable levels of performance between the State and OVAE and between the State and local recipients in each core indicator area.

Administration. Activities necessary for the proper and efficient performance of the eligible agency or eligible recipient's duties under the Act, including supervision, but not curriculum development, personnel development, or research activities. Funding for this purpose is limited to 5% of the local grant.

Adult career pathways. Career pathways designed for people who are entering postsecondary education at a time other than immediately following high school graduation. In Arkansas, this is the Arkansas Career Pathways Initiative.

All aspects of an industry. Strong experience in, and comprehensive understanding of the industry that the individual is preparing to enter.

Allocation. Amount of grant actually received by a state.

Allocability. The process of determining the portion of an expense that pertains to Perkins.

Allotment. State's share of public funding, which is determined by a grant formula establishing the relative proportions of each State's share of Perkins funds.

Appropriation. Funding approval for expenditures by Congress.

Articulation. Process for coordinating the linking to two or more educational systems to create a smooth transition from one level to another without loss of course credit.

Articulation agreement. A written commitment to a program designed to provide students with a non-duplicative sequence of courses leading to credits required by degrees or certificates. For Perkins purposes an articulation agreement must be either statewide in nature or renewed annually by the superintendent and college president.

Articulated credit. College credit awarded to a high school student through an articulation agreement between the local high school and a college or university. Conditions of the credit are defined in the articulation agreement and may vary among institutions.

Associate degrees eligible for Perkins. All associate degrees with the exception of AA and AS degrees in general studies.

B

Baselines. Level of performance established during academic years 2003-04 through 2006-07 for the purposes of establishing local performance targets.

BIA. Bureau of Indian Affairs.

C

Career clusters. Groupings of occupations used as an organizing tool for curriculum design. The US Department of Education has identified 16 career clusters which ADHE has adopted for use in Perkins and the Career Pathways Initiative.

Career pathways. Within the 16 career clusters, the US Department of Education has identified 81 career pathways. These pathways group occupations/professions that require similar talents, knowledge and skills. This term is often used when referring to transitioning from high school directly to college as opposed to Adult Career Pathways with typically refers to adults enrolling in college.

CIP code. Classification of Instructional Program. Classification of programs by code, title, and program description.

Coherent sequence of courses. A series of courses in which vocational and academic education is integrated and which directly relate to and lead to both academic and occupational competency.

Concentrator. A CTE student who has earned a minimum threshold of hours during the previous four academic years: CP-6 semester credit hours; TC-12 semester credit hours or was a concentrator and earned a CP award during the previous academic year; Associate-30 semester credit hours or was a concentrator and earned a CP or TC award during the previous year. (AA and AS in General Studies are excluded.)

Concurrent credit. Credit earned by a high school student that counts toward high school graduation and for postsecondary credit.

Consortium. Group of two or more institutions that did not meet the \$50,000 Perkins minimum funding level.

Contextual learning. Learning method which emphasizes the relationship between academic theories and real world applications.

Core indicators. Performance categories by which OVAE measures effectiveness of Perkins-funded programs; includes technical skill attainment, credential attainment, retention and transfer, student placement, and nontraditional participation and nontraditional credential attainment.

CTE. Career and technical education. Means organized activities that offer a sequence of courses that provide 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, provides technical skill proficiency and an industry recognized credential or degree; may include prerequisite courses but does not include remedial or developmental coursework.

Curriculum alignment. Linkage of academic and vocational curriculum so that instruction dovetails across or within subject areas.

Curriculum frameworks. Required curriculum content for secondary CTE programs. Frameworks identify appropriate grade level, common course code, prerequisites, and course description and are used to align curriculum in secondary to postsecondary career pathways.

D

Disability. A physical or mental impairment that substantially limits one or more of the major life activities.

Displaced homemaker. An individual who has worked primarily without remuneration to care for a home and family and who for that reason has diminished marketable skills; or, is a parent whose youngest dependent child will become ineligible to receive assistance under Part A of Title IV of the Social Security Act no later than 2 years after the date on which the parent applies for assistance under this title; and is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment.

Dual credit. College credit awarded to a high school student who is enrolled in a college or university where the student is awarded only postsecondary academic credit.

E

Economically disadvantaged. Students who meet any of these criteria: a) Receipt of Pell Grant or BIA assistance or a comparable program of need-based financial aid assistance. b) Participation in a Workforce Investment Act (WIA) program or service that requires participants to meet the Federal income eligibility guidelines of WIA. c) Benefits under the Food Stamp Act of 1977.

EDGAR. Education Department General Administrative Regulations.

Eligible agency. A state board designated or created consistent with state law as the sole agency responsible for receiving federal funds and administering programs to improve vocational and technical education in the State.

Eligible recipient. An institution of higher education providing education at the postsecondary level or a consortium of two or more eligible institutions.

Emerging occupation. The Arkansas Economic Development Commission provides a list of emerging industries to the Arkansas Department of Workforce Services. Occupations in these areas are considered emerging occupations.

Exited concentrator. A student will be considered as having exited if they are not enrolled in a public postsecondary institution in the following academic year.

F

FTE. Full time equivalent of 30 semester credits.

G

GPA. The grade point average the student earned in all general education (academic) and technical coursework completed during the reporting period. This is currently used to measure technical skill attainment.

H

High demand occupation. For a particular program of study to be designated as high demand, at least half of the occupations within the career pathway had to be on the State's high demand list as determined by the Department of Workforce Services Labor Market Information section. If the career pathway is designated as high demand, then all programs of study in that pathway are also high demand. The high demand list is recalculated each spring and the CIP crosswalk will be updated at that time.

High skill occupation. Any pathway that leads to a baccalaureate or higher degree or leads to an occupation that requires certification or licensure. (Any pathway that leads to a postsecondary award or apprenticeship was designated as high skill in the secondary sector.)

High wage occupation. The definition of high wage is 20% above the average working wage in Arkansas (\$17.68 per hour). For a particular program of study to be designated as high wage, at least half of all occupations within the career pathway had to have average wages of \$17.68 per hour or higher. These calculations are done by the Department of Workforce Services Labor Market Information section. The high wage list is recalculated each spring and the CIP crosswalk updated at that time.

I

Improvement plan. Plan of action required to improve deficient core indicators. An improvement plan is required for each core indicator that falls below 90% of the negotiated performance target.

Integration of academic and vocational education. A coherent sequence of courses from which students acquire the balance of academic and occupational skills that is required for successful job performance.

J

K

L

Limited English proficiency (LEP). An individual who has limited ability in speaking, reading, writing, or understanding the English language and whose native language is other than English, or who lives in a family or community environment in which a language other than English is the dominant language.

M

N

Nontraditional employee. Occupations or fields of work, including careers in computer science, technology, and other 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 nationally.

O

Occupational skill standards. Performance specifications that are businesses or industry based, that identify knowledge, skills or competencies essential for individuals to succeed in the respective business or industry.

OMB. Office of Management and Budget. Publishes circulars containing regulations for proper expenditure of funds. OMB Circular A156A-21 provides cost principles for educational institutions.

OVAE. Office of Vocational and Adult Education, US Department of Education.

P

Participant. A postsecondary student who has declared intent, is enrolled in a CTE program area and will earn a minimum of three semester credit hours during the current academic year.

Perkins III. Common name of Carl D. Perkins Vocational and Applied Technology Education Act Amendments of 1998.

Perkins IV. Common name of Carl D. Perkins Career and Technical Education Improvement Act of 2006.

Perkins loan. Low interest loan for graduate and undergraduate students with financial needs; not related to Perkins IV funds.

Personnel activity report (PAR). A record that documents the time devoted to activities funded by the Perkins grant. Time and effort must reflect 100% of the employee's time and the portion that is devoted to Perkins funded activities. Must be maintained either monthly or semi-annually depending upon whether or not the employee was funded 100% by Perkins.

Placements. Completers who entered either advanced training or the workforce within 6 months following the end of the reporting period in which they completed.

Pooling. Local recipients may form partnerships with other secondary or postsecondary Perkins recipients for the purpose of joint use of funds. Uses may include innovative initiatives for professional development, data collection, programs of study, or implementing technical assessments.

Postsecondary educational institution. An institution of higher education that provides not less than a 2-year program of instruction acceptable for credit toward a bachelor's degree, or a tribally controlled college or university or a nonprofit educational institution offering certificate or apprenticeship programs at the postsecondary level.

Program of study. A course of study that includes coherent and rigorous content aligned with challenging academic standards and relevant career and technical content in a coordinated, nonduplicative progression of courses that align secondary education with postsecondary education to adequately prepare students to succeed in postsecondary education. Included in the course of study may be opportunities for secondary education students to participate in dual or concurrent enrollment programs or other ways to acquire postsecondary education credits.

Q

R

Retention. Measurement of students who remain enrolled and have not exited postsecondary education. Under PIII, retention referred to retention in employment.

S

Sanctions. Actions imposed by OVAE upon the State or upon local recipients by the State when performance does not meet negotiated targets.

SBWECO. State Board of Workforce Education and Career Opportunities; oversees ADWE which is the sole state agency responsible for Perkins Act funds.

Secondary career center. A public secondary technical institution organized for the specific purpose of educating high school students in specific occupational/technical programs. A center will serve students from more than one participating high school. A secondary technical center must have at least six programs out of five career clusters in operation. Many of the centers are located on postsecondary campuses.

Set asides. Legislatively mandated allocations for particular programs that are guaranteed at start of allocation process to eligible recipients.

Single parent. An individual student who is unmarried or legally separated from a spouse and has a minor child or children for which the parent has either custody or joint custody; or is pregnant.

Special populations. Students who are categorized as among the following are counted as special populations: 1) Individual with disabilities; 2) Economically disadvantaged; 3) Nontraditional students; 4) Single parents; 5) Displaced homemakers; 6) Limited English proficiency.

Supplanting. The use of Federal funds to pay for services which are legally required or were provided by the institution with non-Perkins funds in the previous program year.

Support services. Services related to curriculum modification, equipment modification, classroom modification, supportive personnel, and instructional aids and devices.

T

Tech-Prep Program. Discontinued in Arkansas under Perkins IV.

U

V

W

WIA. Workforce Investment Act of 1998. Created to consolidate about 150 federal workforce related training, education and support programs.

X Y Z