

Massachusetts

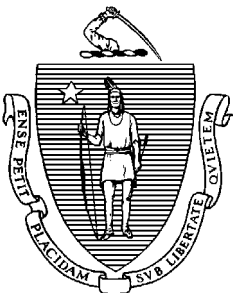


Department of  
Education

Carl D. Perkins Vocational & Technical Education Act of 1998  
Public Law 105-332

## PERKINS III MANUAL

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*6-12-06M*

# **PART I – OVERVIEW**

## ***Introduction***

The Career/Vocational Technical Education unit (CVTEU) of the Massachusetts Department of Education administers the Carl D. Perkins Vocational & Technical Education Act of 1998 (Public Law 105-332), commonly referred to as Perkins III.

This Manual has been prepared to assist each applicable school district, collaborative, consortium and public two-year college (Local Education Agency (LEA)) in the administration of Perkins III. Most of the Manual is devoted to Perkins allocation grants. Some information applicable to Perkins competitive grant programs is included, however, LEAs should refer to the applicable Request for Proposals (RFP) that are available on the Department of Education’s Grants Information website at <http://finance1.doe.mass.edu/Grants/default.html> for specifics on competitive grant programs.

The entire Perkins Act should be reviewed in its entirety. The Act is available at <http://www.doe.mass.edu/cte/perkins/>.

## ***Definition of Career & Technical Education***

In Massachusetts, those programs that meet the definition of vocational & technical education contained in the Perkins Act and that are of such size, scope and quality to be effective are known as career & technical education programs. The Career & Technical Education Program Definition Checklist and Certification Document in Appendix A includes the definition, and should be used by LEAs to determine, with the assistance of CVTEU staff, whether programs meet the definition and are of such size, scope and quality to be effective. In order to be assisted with Perkins funds, programs must meet the definition, and be of such size, scope and quality to be effective.

## ***Technical Assistance***

A CVTEU staff person (CVTEU liaison) is assigned to every LEA with career & technical education programs that are assisted with Perkins funds. LEA staff should contact CVTEU liaisons for assistance in the development of the Perkins Local Plan/Local Plan Update and Standard Application for Program Grants, as well as for any additional information related to Perkins. A list of CVTEU liaisons and contact information is located on the Department of Education’s CVTEU website at [www.doe.mass.edu/cte/](http://www.doe.mass.edu/cte/) under “Contact CVTE Staff”.

## ***State Plan for Career & Technical Education***

The Department of Education developed the State Plan for Career & Technical Education with stakeholders. It is available in its entirety on the CVTEU website at <http://www.doe.mass.edu/cte/perkins>.

## ***Special Populations***

The special populations identified in the Perkins Act are:

**individuals with disabilities:** The term “individuals with disabilities” means individuals with any disability (as defined in section 3 of the Americans with Disabilities Act of 1990 (42U.S.C. 12102)).

**individuals who are economically disadvantaged:** The term “economically disadvantaged” means individuals from economically disadvantaged families, including foster children.

**individuals with other barriers to educational achievement, including individuals with limited English proficiency:** The term “individuals with limited English proficiency” means individuals who have limited ability in speaking, reading, writing, or understanding the English language, and

- (A) whose native language is a language other than English; or
- (B) who lives in a family or community environment in which a language other than English is the dominant language.

**individuals preparing for careers that are nontraditional for their gender:** The term “individuals preparing for careers that are nontraditional for their gender” means individuals enrolled in programs that are preparing them for careers that are nontraditional for their gender. Nontraditional by gender careers are those in which individuals from one gender comprise less than 25 percent of the individuals employed in each such occupation or field of work.

**single parent:** The term “single parent” means an unmarried parent. The term “single parent” includes single pregnant women.

**displaced homemaker:** The term “displaced homemaker” means an individual who:

- (A) (i) has worked primarily without remuneration to care for a home and family, and for that reason has diminished marketable skills.
- (ii) has been dependent on the income of another family member but is no longer supported by that income; or
- (iii) is a parent whose youngest dependent child will become ineligible to receive assistance under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.) not later than 2 years after the date on which the parent applies for assistance under this title, and
- (B) is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment.

### ***Supplement, Not Supplant Provision***

Funds made available under the Perkins Act shall supplement, and shall not supplant, local/state funds. Perkins Act funds are to be used to improve career & technical education programs. The expectation is that local/state funds would provide for the infrastructure, staff, supplies/materials, staff travel, equipment, etc. An example of supplanting might be an LEA moving the salary of a teacher from the local payroll to the Perkins payroll. Purchase of textbooks with Perkins funds by school districts might constitute supplanting in that textbooks are part of what schools purchase ordinarily with local funds. Office supplies such as paper are also generally part of most LEA local budgets, and in some LEAs the costs are recovered by indirect costs in grants.

Note that Perkins funds would not supplant local/state funds when the costs of, for example paper, is tied directly to a program enhancement/improvement either required or permitted by Perkins, and that was not previously covered by local/state funds. An example would be the paper used for printing professional development materials, for staff training related to preparing students for careers that are nontraditional for their gender.

**Important Note: Each situation is different and there is no one size fits all test for supplanting. LEA staff should discuss supplanting issues internally, and seek technical assistance from the CVTEU as necessary.**

***Allocation and Competitive Grant Categories***

Category	Method of Distribution	Eligible Recipients
<b>Perkins Title I</b> Local Plan Allocation Grants	Formula Allocation Grant	School Districts, Collaboratives, Consortia, Public Two-Year Colleges
<b>Perkins Title I</b> Preparing Students for Careers that are Nontraditional for their Gender Grants	Competitive Grant	School Districts Public Two-Year Colleges
<b>Perkins Title I</b> Correctional Institution Grants	Competitive Grant Administered by the MA Department of Correction	State and County Correctional Institutions, and the Department of Youth Services
<b>Perkins Title II</b> Tech-Prep Consortia Grants	Competitive Grant	Tech-Prep Consortia

## **PART II – LOCAL PLAN & ALLOCATION GRANTS**

### ***Local Plan***

LEAs must submit a Local Plan for Career & Technical Education for Fiscal Years 2001-2004, and a Standard Application for Program Grants to the CVTEU for review and approval prior to receiving allocation funds for the first year of Perkins III. An annual Local Plan Update and Standard Application for Program Grants are required for fiscal years 2002, 2003, 2004, 2005, 2006 and 2007. The CVTEU provides the Update templates each year to LEAs.

### **Consequences of Failing to File Local Plan/Update**

Failure to file the Local Plan/Update including the Standard Contract Form and Application for Program Grants (or corrected plan/update or application) by the due date may result in the LEA being declared ineligible for Perkins funds. A LEA may appeal the decision to declare the LEA ineligible for Perkins funds by filing a written request with the State Director of Career/Vocational Technical Education within ten business days of receipt of the notice of ineligibility.

### ***Required Uses of Perkins Allocation Grant Funds***

Perkins allocation grant funds shall be used to improve career & technical education programs. Perkins allocation grant funds must supplement, and not supplant local/state funds.

The Perkins Act requires that LEAs must use Perkins allocation grant funds, or other funds for the following eight activities upon approval from the CVTEU. If funds other than Perkins are used for the activities, the LEA must be able to document the funds for the CVTEU.

#### **“SEC. 135. LOCAL USES OF FUNDS.**

“(a) GENERAL AUTHORITY.—Each eligible recipient that receives funds under this part shall use such funds to improve vocational and technical education programs.

“(b) REQUIREMENTS FOR USES OF FUNDS.—Funds made available to eligible recipients under this part shall be used to support vocational and technical education programs that—

“(1) strengthen the academic, and vocational and technical skills of students participating in vocational and technical education programs by strengthening the academic, and vocational and technical components of such programs through the integration of academics with vocational and technical education programs through a coherent sequence of courses to ensure learning in the core academic, and vocational and technical subjects;

“(2) provide students with strong experience in and understanding of all aspects of an industry;

“(3) develop, improve, or expand the use of technology in vocational and technical education, which may include—

“(A) training of vocational and technical education personnel to use state-of-the-art technology, which may include distance learning;

“(B) providing vocational and technical education students

with the academic, and vocational and technical skills that lead to entry into the high technology and telecommunications field; or

“(C) encouraging schools to work with high technology industries to offer voluntary internships and mentoring programs;

“(4) provide professional development programs to teachers, counselors, and administrators, including—  
20 USC 2355.

“(A) inservice and preservice training in state-of-the-art vocational and technical education programs and techniques, in effective teaching skills based on research, and in effective practices to improve parental and community involvement;

“(B) support of education programs for teachers of vocational and technical education in public schools and other public school personnel who are involved in the direct delivery of educational services to vocational and technical education students, to ensure that such teachers and personnel stay current with all aspects of an industry;

“(C) internship programs that provide business experience to teachers; and

“(D) programs designed to train teachers specifically in the use and application of technology;

“(5) develop and implement evaluations of the vocational and technical education programs carried out with funds under this title, including an assessment of how the needs of special populations are being met;

“(6) initiate, improve, expand, and modernize quality vocational and technical education programs;

“(7) provide services and activities that are of sufficient size, scope, and quality to be effective; and

“(8) link secondary vocational and technical education and postsecondary vocational and technical education, including implementing tech-prep programs.

### ***Permissive Uses of Perkins Allocation Grant Funds***

After the eight mandated activities are appropriately addressed, Perkins allocation grant funds may be used for the following upon approval from the CVTEU:

#### **“SEC. 135. LOCAL USES OF FUNDS.**

“(c) PERMISSIVE — Funds made available to an eligible recipient under this title may be used—

“(1) to involve parents, businesses, and labor organizations as appropriate, in the design, implementation, and evaluation of vocational and technical education programs authorized under this title, including establishing effective programs and procedures to enable informed and effective participation in such programs;



- “(2) to provide career guidance and academic counseling for students participating in vocational and technical education programs;
- “(3) to provide work-related experience, such as internships, cooperative education, school-based enterprises, entrepreneurship, and job shadowing that are related to vocational and technical education programs;
- “(4) to provide programs for special populations;
- “(5) for local education and business partnerships;
- “(6) to assist vocational and technical student organizations;
- “(7) for mentoring and support services;
- “(8) for leasing, purchasing, upgrading or adapting equipment, including instructional aides;
- “(9) for teacher preparation programs that assist individuals who are interested in becoming vocational and technical education instructors, including individuals with experience in business and industry;
- “(10) for improving or developing new vocational and technical education courses;
- “(11) to provide support for family and consumer sciences programs;
- “(12) to provide vocational and technical education programs for adults and school dropouts to complete their secondary school education;
- “(13) to provide assistance to students who have participated in services and activities under this title in finding an appropriate job and continuing their education;
- “(14) to support nontraditional training and employment activities; and
- “(15) to support other vocational and technical education activities that are consistent with the purpose of this Act.

### ***Grant Administration***

Grant administration costs cannot exceed 5% of the allocation grant - administration is generally the cost of bookkeeping for the grant.

### ***Unallowable Expenditures with Perkins Allocation Grant Funds***

All expenditures of Perkins allocation grant funds must be detailed in the Local Plan/Update/Programmatic Amendment and applicable Standard Contract Form and Application for Program Grants/Amendment, and be approved by the Career/Vocational Technical Education unit. The following list includes, but is not limited to, expenditures that **would not be approved**. LEA staff are advised to discuss questions related to expenditures with CVTEU liaisons.

- any expenditure that would **supplant** local/state funds – refer to the Part I under Supplement, Not Supplant Provision for guidance on this important topic

- any expenditure that is **not related to improvement** of career & technical education programs
- any expenditure that would be **unnecessary**
- any expenditure that would be an **unreasonable** dollar amount - an expenditure would be reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to propose the expenditure
- any expenditure for college course **tuition** required for teacher licensure
- any expenditure for **entertainment** including amusement, diversion, and social activities and any costs directly associated with such costs (such as tickets to shows or sports events, meals, lodging, rentals, transportation, and gratuities)
- purchase of **automobiles**
- **school construction**
- any expenditure for promotional items and memorabilia, including models, gifts, and souvenirs

### ***Expenditures Frequently Reviewed Regarding Perkins Allocation Grant Funds***

All expenditures of Perkins allocation grant funds must be detailed in the Local Plan/Update/Programmatic Amendment and applicable Standard Contract Form and Application for Program Grants/Amendment, and be approved by the Career/Vocational Technical Education unit.

The following list includes, but is not limited to, expenditures for which the CVTEU receives the most questions. LEA staff are advised to discuss questions related to expenditures with CVTEU liaisons.

- **Food** may be an allowable expenditure under Perkins allocation grants for professional development and other program improvement activities such as program advisory committee meetings when the **food is necessary, and the cost is reasonable**. Food for professional development and other program improvement activities may be fundable when the activity overlaps a mealtime, or for simple refreshment when it would be impractical or relatively inconvenient for the participants to purchase sustenance. For example, an all day professional development session may require a simple lunch and an afternoon snack to avoid the need for participants to leave the premises disrupting the work and missing the lunchtime speaker. Food for banquets, award ceremonies, goodwill gestures, etc. is not fundable.
- Fees paid for an individual student such as dues, registration fees, license/certification fees and transportation fees are not fundable – this includes but is not limited to career/vocational technical education student organization (CVTSO) dues, transportation, lodging, registration and uniforms for the individual student. Whole school CVTSO participation dues may be fundable.

- Stipends for staff to attend meetings and/or professional development events are not fundable, unless a product is developed, or other measurable outcomes would be documented.

- Stipends for students are not fundable for the sole purpose of paying students to learn, such as would be the case when providing a stipend to a student to perform a hospital internship or providing a stipend to a student to work for a company on cooperative education.

Stipends may be fundable for students to perform work directly related to career & technical education program improvement in the LEA, like any other qualified person to the extent allowable by state and federal employment laws, and providing there are no supplanting issues such as the student replacing a staff person in the placement office who was paid with local funds to analyze graduate follow-up data.

Example: A stipend for a student redesigning the school career & technical education program website during the summer under the supervision of appropriate staff, in order to improve accessibility for students who may be sight impaired, may be fundable.

Example: A stipend for a college student to peer tutor other students in career & technical education programs, under the supervision of appropriate staff, that would result in career & technical education program improvement, via the tutor identifying common student needs that may be translated into program improvement, resulting in improved core indicator performance by the college may be fundable.

The selection of students for work must be in compliance with applicable LEA policies, and include provisions for equal opportunity.

- New academic and technical education teaching positions may be fundable only for a new program or program component. A program may be considered new for up to three years. After that time, the teacher must be paid with non-federal funds.

- Routine office/program supplies such as books, pens, paper, workbooks, disks, sandpaper are not fundable unless they supplement, and do not supplant local/state funds, and unless they would be used for career & technical education program improvement. For example, the paper used for printing professional development materials for staff training related to preparing students for careers that are nontraditional for their gender may be fundable.

- Staff funded partially with Perkins allocation grant funds or from multiple grants may be fundable when the employee divides his/her time between more than one federally supported grant program (for example Title I and Perkins) or between more than one Perkins grant, provided that records of the time distribution between grant projects are kept.

### ***Formula for Allocation Funds***

The Massachusetts Department of Education allocates a minimum of 85 percent of Perkins Title I funds to school districts that provide programs that meet the definition of career & technical education and are of such size, scope and quality to be effective pursuant to the Perkins Act. LEAs. In order to access funds, LEAs must submit a Local Plan and each year must submit a Local Plan Update. A Standard Application for Program Grants must also be submitted each year.

### **Reserve**

The Department of Education may use a portion of the funds available for allocations for grants for Perkins-eligible career & technical education programs in:

- Rural areas
- Areas with high percentages of students in Perkins-eligible career & technical education programs
- Areas with high numbers of students in Perkins-eligible career & technical education programs
- Communities negatively impacted by changes resulting from the Perkins III allocation formula

The Department of Education state must use the reserve funds to serve at least two of the above categories.

### **Allocation Funding Formula - Secondary**

Secondary allocation funds are computed for local recipients according to the formula prescribed in section 131 of the Perkins Act.

#### ***Step 1 - Section 131 (a) (b)***

Available funds are initially allocated to all school districts (including elementary-only districts). Seventy percent of the total available funds are distributed based on the number of students ages 5–19 living in poverty in the district compared to the statewide number of students ages 5-19 living in poverty. Thirty percent is allocated based on the total number of students ages 5-19 living in the district compared to the statewide number.

#### ***Step 2 - Section 131(e)***

The allocations for school districts that serve only elementary school students are transferred to the secondary school districts that serve the students from those elementary-only districts.

#### ***Step 3 - Section 231 (f)***

If a school district is a member of a regional vocational technical school district, the regional vocational technical school district is eligible for a share of the member's allocation. The portion of each member's allocation is calculated based on the proportion of students in Perkins-eligible career & technical education programs served by each, using data from the Student Information Management System (SIMS).

### **Minimum Amount - Secondary**

In order to prepare a Local Plan and apply for a secondary allocation grant, a school district must be computed for an allocation of at least \$15,000. A school district that is computed for an allocation of less than \$15,000 may form a consortium with one or more neighboring school districts and pool funds to meet the minimum. The program(s) to be delivered through the consortium must meet the Perkins Act definition of career & technical education, and be of such size, scope and quality to be effective (Perkins-eligible career & technical education program.) A waiver of the minimum amount may be granted, only if the school district is in a rural, isolated area where transportation would prohibit formation of a consortium and only if the isolated area has several Perkins-eligible career & technical education programs, and has an allocation large enough to make significant improvements to the programs. A request to form a consortium, or a request for waiver of the minimum allocation amount must be made in writing to the State Director of Career/Vocational Technical Education by the due date specified in the applicable Request for Proposals (RFP).

### **Transfer of Allocation - Secondary**

A school district may transfer its allocation to a regional vocational technical school district, collaborative or other neighboring district that provides Perkins-eligible career & technical education programs to the transferring school district's students.

- (1) A school district that is not a member of a regional vocational technical school district, but sends its students to the regional vocational technical school district for Perkins-eligible career & technical education programs on a tuitioned-in basis may transfer its allocation to the regional vocational technical school district. The regional vocational technical school district will treat the transferred allocation funds in the same manner as allocation funds received from its member districts. A school district which tuitions students to a neighboring city or town vocational technical school may also the transfer funds in order to pool its allocation with the district that provides Perkins-eligible career & technical education programs. The district that provides the programs will receive and expend the funds for programs that benefit students from its own district as well as the transferring district.
- (2) Members of educational collaboratives that provide Perkins eligible career & technical education programs would transfer funds and pool allocation funds at the collaborative to provide joint programs. The collaborative would use the funds for the joint programs.

The form (Schedule A) to be used for fund transfer may be found on Department of Education Grants Information website at <http://finance1.doe.mass.edu/Grants/procedure/forms/b.doc>.

### **Consortium Formation - Secondary**

A school district with a computed secondary allocation of less than \$15,000 may enter into a consortium with a regional vocational technical school district or other school district provided that both districts provide Perkins-eligible career & technical education programs.

Funds provided to a consortium shall be used only for the Perkins-eligible career & technical education programs that are mutually beneficial to all members of the consortium. Funds may not be provided to individual members of the consortium (as a “pass-through”) for purposes and programs benefiting one member of the consortium. The consortium shall develop a joint Local Plan and single grant application.

School districts seeking to form a consortium should first notify the State Director of Career/Vocational Technical Education of their intent by the due date specified in the applicable request for Proposals (RFP).

### **Charter Schools - Secondary**

A charter school may request a review by the Career/Vocational Technical Education unit for the purpose of determining eligibility for Perkins allocation funding, provided that the school has Perkins-eligible career & technical education programs. Student enrollment in such programs must be reported in the Student Information and Management System (SIMS). Charter school administrators should contact the State Director of Career/Vocational Technical Education in writing by January 15th, if they wish to have their programs reviewed to determine if they are Perkins-eligible career & technical education programs for subsequent fiscal year allocation computations. The Career & Technical Education Program Definition Checklist – Certification

Document may be used to determine whether the program(s) are Perkins-eligible career & technical education programs.

### **Waiver of Minimum Allocation - Secondary**

A waiver of the minimum secondary allocation amount for secondary school districts may be granted by the State Director of Career/Vocational Technical Education only if the local education agency:

- A. (1) is located in a rural, sparsely populated area, or  
(2) is a public charter school operating secondary career/vocational technical programs; and
- B. demonstrates that the local education agency is unable to enter into a consortium for the purposes of preparing a local plan for career & technical education

### **Allocation Funding Formula - Postsecondary**

Postsecondary allocation funds are computed for local recipients according to the formula prescribed in section 132 of the Perkins Act.

Funds are allocated to public two-year colleges and public school districts that have Pell grant recipients in Perkins-eligible career & technical education programs. The allocations are computed by dividing the number of Pell grant recipients in Perkins-eligible career & technical education programs at each college or school district by the statewide total of Pell grant recipients in Perkins-eligible career & technical programs and multiplying the results by the amount of available funds.

### **Minimum Amount - Postsecondary**

In order to prepare a Local Plan and apply for a postsecondary allocation grant, a college or a school district must be computed for an allocation of at least \$50,000. A college or school district that is computed for an allocation of less than \$50,000 may form a consortium with one or more neighboring colleges and/or school districts and pool funds to meet the minimum. The program(s) to be delivered through the consortium must meet the Perkins Act definition of career & technical education, and be of such size, scope and quality to be effective (Perkins-eligible career & technical education program.) A request to form a consortium of the minimum allocation amount must be made in writing to the State Director of Career/Vocational Technical Education by the due date specified in the applicable Request for Proposals (RFP).

### **Consortium Formation – Postsecondary**

A college or school district with a computed secondary allocation of less than \$50,000 may enter into a consortium with a college or school district provided that both provide Perkins-eligible career & technical education programs.

Funds provided to a consortium shall be used only for the Perkins-eligible career & technical education programs that are mutually beneficial to all members of the consortium. Funds may not be provided to individual members of the consortium (as a “pass-through”) for purposes and programs benefiting one member of the consortium. The consortium shall develop a joint Local Plan and single grant application.

Colleges and school districts seeking to form a consortium should first notify the State Director of Career/Vocational Technical Education of their intent by the due date specified in the applicable request for Proposals (RFP).

**Waiver of Minimum Allocation - Postsecondary**

A waiver of the minimum postsecondary allocation amount for a college or school districts may be granted by the State Director of Career/Vocational Technical Education only if the college or school district is located in a rural, sparsely populated area.

***Appeal Procedures for Allocation Grant Funds***

The appeal procedures on the results of decisions related to the allocation of Perkins allocation grant funds include the following two levels of appeal:

***Level 1: Review***

The chief executive officer of any school district or public two-year college may request a review of data and information related to the allocation process directly from the Department of Education. This officer may request a meeting by letter to the State Director of Career/Vocational Technical Education unit within 30 days of receipt of allocation amount. A letter to the school district or college will confirm the findings of this review process within 30 days of the review meeting.

***Level 2: Appeal***

The chief executive officer of any school district or public two year college may appeal the allocation of Perkins allocation grant funds following the results of the Level 1 Review process or at a time within 60 days of receipt of allocation data. A letter requesting an appeal hearing must be sent to the Commissioner of Education, Massachusetts Department of Education. The request must include:

- a statement of the issues being appealed alleging a violation of state or federal law, regulations or guidelines governing the applicable program, including an itemization of the matters of fact and law upon which the applicant bases the appeal;
- copies of all documents, correspondence, data, exhibits and other information which the applicant intends to introduce at the hearing to support the service providers' position;
- a list of witnesses whose testimony will be introduced.

The hearing, conducted by a hearing officer designated by the Commissioner, takes place within thirty days and with at least seven calendar days notice to the service provider. The hearing officer will issue a written decision of the appeal, no later than ten calendar days after the hearing.

## **PART III – CORE INDICATORS OF PERFORMANCE**

### ***Core Indicators of Performance for Allocation Grant Recipients***

Perkins III includes four core indicators that Congress requires each state to use in order to prove that Perkins III funds are being used effectively to enhance/improve programs, so that student achievement is raised. The core indicators are imbedded in the Local Plan and Local Plan Update. Each state has established measures for each core indicator and must annually assess career/vocational technical education programs using these measures. The U. S. Department of Education uses annual reports from the states to prepare a report to Congress.

The four core indicators are:

- Core Indicator I – Student attainment of challenging State established academic and vocational and technical skill proficiencies
- Core Indicator II – Student attainment of a secondary school diploma or its recognized equivalent, a proficiency credential in conjunction with a secondary school diploma, or a postsecondary degree or credential
- Core Indicator III – Placement in, retention in, and completion of, postsecondary education or advanced training, placement in military service, or placement or retention in employment
- Core Indicator IV – Student participation in and completion of career/vocational technical education programs that lead to nontraditional by gender training and employment

The U. S. Department of Education has approved the following measures for Massachusetts. The performance levels or improvement goals were negotiated with USDOE.

#### **CORE INDICATOR 1**

##### **SECONDARY: Student attainment of challenging State established academic and technical skill proficiencies**

Source of Data: Student Information Management System (SIMS). Based on first time 10th grade test takers in career/vocational technical programs who met the Competency Determination (passed both English Language Arts and Mathematics).

Measure: The number of first time 10th grade test takers in career/vocational technical education who met the Competency Determination divided by the total number of first time 10th grade test takers.

Baseline Data: A new baseline was set in 2004. It is based on the three year average of first time 10th grade test takers class of 2003 (spring 2001 tests), class of 2004 (spring 2002 tests) and class of 2005 (spring 2003 tests) who met the Competency Determination (passed both English Language Arts and Mathematics).

#### **ATTAINMENT OF TECHNICAL SKILLS PROFICIENCY**

Source of Data: SIMS

Measure: Number of students who complete a career/vocational technical education program divided by the number of seniors enrolled for at least two years in a career/vocational technical education program

Baseline Data: Average of completion percents for June 1996, June 1997 and June 1998.



**POSTSECONDARY: Student attainment of challenging State established academic and vocational and technical skill proficiencies**

Source of Data: Career/Vocational Technical Education Report

Measure: The number of matriculated career students enrolled in the fall of each year in all academic and technical courses who successfully complete the courses as measured by earned credits at the end of the semester divided by the number of matriculated career students enrolled in the fall of each year in all academic and technical courses.

Baseline Data: Career student fall semester 2000 course completion data.

**CORE INDICATOR 2**

**SECONDARY: Student attainment of a secondary school diploma or its recognized equivalent, a proficiency credential in conjunction with a secondary school diploma**

Source of Data: SIMS

Measure: Number of career/vocational technical education students who receive a high school diploma divided by the number of seniors enrolled in career/vocational technical education programs for at least two years.

Baseline Data: Average of completion percents for June 1996, June 1997 and June 1998.

**POSTSECONDARY: Student attainment of a postsecondary degree or credential**

Source of Data: Career/Vocational Technical Education Report

Measure: The number of full-time, first-time students matriculated into a career associate degree program or certificate program who receive the degree or certificate within four years of matriculation divided by the number of full-time, first-time students matriculated into a career associate degree program and certificate.

Baseline Data: A new state baseline will be established from career program associate degree and for-credit career and technical postsecondary certificate acquisition data of the fall semester 2000 cohort to be reported on the October 2004 CTE Report by postsecondary institutions. The denominator will be based on the fall 2000 enrollments. The numerator will be based on those who receive the degree or certificate within four years i.e. by 2004. The new state baseline will be computed in 2004.

Improvement Goal: The state goal is for the percent of those students who receive a degree or certificate within four years to increase by at least 1% per year for all students (for example, the fall 2001 cohort degree and certificate acquisition rate will increase by 1% over the fall 2000 cohort acquisition rate).

**CORE INDICATOR 3**

**SECONDARY: Placement, retention in, and completion of postsecondary education or advanced training, placement in military service, placement or retention in employment**

Source of Data: Career/Vocational Technical Education Report

Measure: Number of career/vocational technical graduates who are in a job, the military or postsecondary education ten months after graduation divided by the number of career/vocational technical education graduates who respond to the follow-up survey.

Baseline Data: Average of follow-up rates for classes of 1995, 1996 and 1997.

**POSTSECONDARY: Placement, retention in, and completion of postsecondary education or advanced training, placement in military service, placement or retention in employment**

Source of Data: Career/Vocational Technical Education Report

Measure: The number of career program graduates enrolled in further postsecondary education, advanced training, serving in the military or employed nine months after graduation divided by the number of career program graduates who respond to the follow-up survey. A three-year rolling average is used.

Baseline Data: The average of positive placement follow-up rates for the 1995, 1996 and 1997 graduates as reported by postsecondary institutions on the October 1996, 1997 and 1998 CTE Reports.

**CORE INDICATOR 4**

**SECONDARY: Student participation in and completion of programs that lead to nontraditional by gender training and employment**

Source of Data: SIMS

Measures:

- Number of nontraditional by gender students enrolled in programs nontraditional by gender divided by the total number of students enrolled in nontraditional by gender programs
- Number of nontraditional by gender students who complete nontraditional by gender programs divided by the total number of students who complete nontraditional by gender programs

Baseline Data:

- Enrollment – Average of school years 1996-97, 1997-98 and 1998-99.
- Graduates – Average of school years 1996-97, 1997-98 and 1998-99.

**POSTSECONDARY: Student participation in and completion of programs that lead to nontraditional by gender training and employment**

Source of Data: Career/Vocational Technical Education Report

Measures:

- Number of nontraditional by gender students enrolled in programs nontraditional by gender divided by the total number of students enrolled in nontraditional by gender programs

- Number of nontraditional by gender students who complete nontraditional by gender programs divided by the total number of students who complete nontraditional by gender programs

Enrollment Baseline Data: The average of nontraditional by gender enrollment on Oct 1, 1996, Oct. 1, 1997 and Oct. 1, 1998 as reported by schools on the Oct. 1996, 1997 and 1998 CTE Reports.

Completion Baseline Data: The average of nontraditional by gender completion in school years 1995-96, 1996-97, 1997-98 as reported by schools on the Oct. 1996, 1997 and 1998 CTE Reports.

### **Reporting on the Core Indicators of Performance**

Each LEA that receives Perkins allocation funds must annually assess its career & technical education programs using the core indicators and report the results of this assessment in the annual Local Plan Update.

A Consolidated Annual Report (CAR) based in part on the core indicators is submitted to the USDOE every December by the Department of Education.

### **Improvement Plans for Failing to Meet Negotiated Core Indicators of Performance**

If a state fails to meet its negotiated performance levels for Perkins and/or WIA, the state must submit an improvement plan. If, after submission of an improvement plan, the state still fails to meet the negotiated performance level, the state agency may lose funding.

If an LEA fails to meet the state improvement goals, the state must work with the local recipient to prepare an improvement plan.

The following excerpt from Perkins III explains improvement plan requirements.

- (a) State Program Improvement Plan. --If a State fails to meet the State adjusted levels of performance (improvement goals), the State Department of Education (DOE) shall develop and implement a program improvement plan in consultation with appropriate agencies, individuals, and organizations for the first program year succeeding the program year in which the DOE failed to meet the State adjusted levels of performance, in order to avoid a sanction under subsection (d).
- (b) Local Evaluation. -- The DOE shall evaluate annually, using the State adjusted levels of performance, the vocational and technical education activities of each eligible recipient receiving funds under this title.
- (c) Local Improvement Plan
  - (1) In general. --If, after reviewing the evaluation, the DOE determines that an eligible recipient is not making substantial progress in achieving the State adjusted levels of performance, the eligible agency shall—
    - (A) Conduct an assessment of the educational needs that the eligible recipient shall address to overcome local performance deficiencies;
    - (B) Enter into an improvement plan based on the results of the assessment, which plan shall include instructional and other programmatic innovations of

demonstrated effectiveness, and where necessary, strategies for appropriate staffing and staff development; and

(C) Conduct regular evaluations of the progress being made toward reaching the State adjusted levels of performance.

(2) Consultation. --The DOE shall conduct the activities described in paragraph (1) in consultation with teachers, parents, other school staff, appropriate agencies, and other appropriate individuals and organizations.

(d) Sanctions.

(1) Technical assistance. --If the Secretary determines that the DOE is not properly implementing the DOE's responsibilities under section 122, or is not making substantial progress in meeting the purpose of this Act, based on the State adjusted levels of performance, the Secretary shall work with the DOE to implement improvement activities consistent with the requirements of this Act.

(2) Failure. --If the DOE fails to meet the State adjusted levels of performance, has not implemented an improvement plan as described in paragraph (1), has shown no improvement within 1 year after implementing an improvement plan as described in paragraph (1), or has failed to meet the State adjusted levels of performance for 2 or more consecutive years, the Secretary may, after notice and opportunity for a hearing, withhold from the DOE all, or a portion of, the DOE's allotment under this title. The Secretary may waive the sanction under this paragraph due to exceptional or uncontrollable circumstances such as a natural disaster or a precipitous and unforeseen decline in the financial resources of the State.

(3) Funds resulting from reduced allotments.

(A) In general. --The Secretary shall use funds withheld under paragraph (2), for a State served by the DOE, to provide (through alternative arrangements) services and activities within the State to meet the purpose of this Act.

Redistribution. --If the Secretary cannot satisfactorily use funds withheld under paragraph (2), then the amount of funds retained by the Secretary as a result of a reduction in an allotment made under paragraph (2) shall be redistributed to other eligible agencies in accordance with section 111.

## **PART IV - COMPETITIVE GRANTS**

Refer to individual Requests for Proposals on the Department of Education web site <http://finance1.doe.mass.edu/Grants/default.html>.

## **PART V - TECH-PREP**

The Manual titled “Massachusetts Tech-Prep Manual *for Consortia and Site Coordinators*” is a supplement to the Perkins III Manual. It is available at <http://www.doe.mass.edu/cte/techprep/>  
An annual Tech-Prep Request for Proposals is issued by the Department of Education. Refer to individual Requests for Proposals on the Department of Education web site <http://finance1.doe.mass.edu/Grants/default.html>.

## **PART VI – GENERAL INFORMATION**

### ***Required Reports***

#### **SIMS**

School districts are required to submit student-level data on students enrolled in career/vocational technical education programs (9-12 grade level) in the Student Information Management System (SIMS.) The document titled SIMS Data Handbook is a required resource. It is available at <http://www.doe.mass.edu/infoservices/data/sims/>. The document titled Instructions for School Districts in Reporting Students Enrolled in Career/Vocational Technical Education Programs is a supplement to the SIMS Data Handbook. It is available at <http://www.doe.mass.edu/cte/data/>.

#### **Chapter 74 Vocational Technical Education Postsecondary and Postgraduate Report**

School districts are required to submit student-level data on students enrolled in career/vocational technical education programs (postgraduate and postsecondary level) using the Chapter 74 Vocational Technical Education Postsecondary and Postgraduate Report. The document titled Instructions for School Districts in Reporting Students Enrolled in Career/Vocational Technical Education Programs contains applicable information. It is available at <http://www.doe.mass.edu/cte/data/>.

#### **CVTE Graduate One-Year Follow-up Report (Database)**

School districts are required to submit student-level data on graduates of career/vocational technical education programs. The Report Database and instructions are available at <http://www.doe.mass.edu/cte/data/>.

#### **Public Two-Year College Career & Technical Education Report**

Public two-year colleges that receive Perkins funds are required to submit this Report. It is available with instructions at <http://www.doe.mass.edu/cte/data/>.

#### **Financial Reports**

All institutions that receive Perkins funds are required to submit Final Financial Report(s) to the Department of Education's Grants Management Unit. Financial Reports are due thirty days after the grant end date. If the grant included Massachusetts Teachers Retirement (MTR), FR – 1 (A) form reconciling the MTR must also be returned to the Grants Management Unit. These forms are available on the Department of Education's Grants Information website at <http://finance1.doe.mass.edu/Grants/procedure/forms/h.doc>.

#### **Consequences of Failing to File Required Reports**

Failure to file required reports by the due date may result in the institution being declared ineligible for Perkins funds. An institution may appeal the decision to declare the district or college ineligible for Perkins funds by filing a written request with the State Director of Career/Vocational Technical Education within ten business days of receipt of the notice of the declaration of ineligibility.

### ***Amendments***

#### **Amendment to Standard Contact Form & Application for Program Grants**

Grant recipients **must** submit Form AM1 to the CVTEU when an increase in a line item of the budget exceeds \$100 or 10 percent of the line item (whichever is greater), or exceeds \$10,000.

The request for an amendment must be submitted, at least 30 days prior to the proposed change and no later than 30 days prior to the termination date of the grant. The Form AM1 is available on the Department of Education's Grants – Information website at <http://finance1.doe.mass.edu/Grants/default.html>.

### **Programmatic Amendment**

LEAs must obtain pre-approval from the CVTEU for all programmatic, including staffing changes from that which was contained in the accepted (“approved”) approved Local Plan/Update/allocation grant, or in the approved proposal/competitive grant including the Tech-Prep proposal/grant.

The Programmatic Amendment Request Form in the *Appendices* must be submitted to the appropriate CVTEU liaison at least 30 days prior to the proposed change, and no later than 30 days prior to the termination date of the grant.

The CVTEU liaison will notify the LEA of the decision to approve or deny the proposed change with reasons for the decision. This latter communication will be in an email from the liaison to the appropriate LEA staff.

### ***Single Audit Act***

Most recipients of Perkins funds are subject to the Single Audit Act that requires that recipients of \$100,000 or more of federal funds in a year must be audited for that year in accord with OMB Circular A-128. The audit must be conducted by an independent auditor and must include review of financial statements, internal controls and compliance with laws and regulations.

### ***Financial and Data Review***

The CVTEU contracts with independent accounting firm(s) to conduct financial and reviews. Accounting firm staff will spend one to three days at each LEA. For school districts the reviews will be conducted in conjunction with Coordinated Program Reviews (CPRs). For other grant recipients, reviews will be conducted in conjunction with, or apart from other reviews.

### ***Monitoring***

The CVTEU conducts on-site monitoring of Perkins assisted LEAs to determine the level of compliance with Perkins requirements. For school districts, onsite monitoring is scheduled as part of the Department of Education’s Coordinated Program Review (CPR) system whereby several federal and state programs including Perkins are monitored in the school district at the same time. The Perkins monitoring criteria and additional information may be obtained at the Departments Compliance/Monitoring website at <http://www.doe.mass.edu/pqa/review/cpr/default.html>.

Perkins assisted public two-year colleges are monitored onsite using the criteria contained in the document titled: Massachusetts Department of Education Selected Career & Technical Education Public Two Year College Program Review Criteria Addressing Perkins Vocational and Technical Education Act Requirements. In addition, the CVTEU monitors public two-year colleges for civil rights compliance during the onsite monitoring for Perkins. The criteria are contained in the document titled Civil Rights Methods Of Administration (MOA) Criteria.

## ***Equipment***

Equipment is defined as tangible, non-expendable, personal property having a useful life of more than one year and an acquisition cost of \$5,000 per unit. An item with an acquisition cost of less than \$5,000 per unit is considered to be a supply.

Equipment purchased with federal funds, including Perkins funds must have:

- property records including acquisition date, cost, source, percent of federal funds used to purchase the item, location, use and condition of the equipment and ultimate disposition
- adequate safeguards to prevent loss, damage, or theft
- adequate maintenance procedures

Equipment purchased with Perkins funds may be used as described in the Local Plan/Update, but may also be used in other programs under certain conditions. The equipment may be used as long as the use is incidental and does not interfere with the original purpose of the acquisition and does not add to the cost of using the equipment. Examples of multiple uses of equipment purchased with federal funds include:

- Using Perkins funded computer equipment at a summer computer camp or an after school program.
- Using a Perkins funded CNC lathe in an adult training program.

Equipment with a current market value of less than \$5,000 may be retained or sold without further obligation to the federal government as long as adequate records of the equipment's market value, maintenance history and ultimate disposition are kept by the service provider. For more information about the use and disposition of equipment, contact a CVTEU liaison, or refer to OMB Circular A-87 at <http://www.whitehouse.gov/omb/circulars/a087/a087-all.html>.

## ***Stevens Amendment***

The Stevens Amendment to the Department of Defense Appropriations Act requires that any documents relating to projects funded fully or partially with Perkins funds (or other federal funds) must clearly state the dollar amount of federal funds for the project and the percent of the total cost of the project that will be financed with federal funds. This requirement applies to bids, press releases, statements or other documents describing the project.

## ***Education Department General Administrative Regulations (EDGAR)***

Perkins grant recipients are advised to review these regulations, as applicable for Perkins grants. U.S. Department of Education, Grants Policy and Oversight Staff, Education Department General Administrative Regulations (EDGAR), Washington, D.C., 20005.  
[www.ed.gov/policy/fund/reg/edgarReg/edgar.html](http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html)

## ***OMB Circular A – 87***

Perkins grant recipients are advised to review this circular, as applicable for Perkins grants. It is available at <http://www.whitehouse.gov/OMB/circulars/a087/a087-all.html>



### ***Statement of Assurances***

Each recipient of Perkins funds must have filed a Uniform Statement of Assurances with the Department of Education. The Department's Grants Management Unit provides the forms with instructions to LEAs.

### ***Nontraditional by Gender List***

The official list is posted at <http://www.doe.mass.edu/cte/ntbg/>.

### ***All Aspects of an Industry***

This term means the health & safety, technical, embedded academic, employability, management & entrepreneurship (planning, finance, business ethics, labor relations, community and environmental) and technological aspects of an industry that must be taught to all students in all LEAS that are assisted with Perkins funds

### ***Career/Vocational Technical Student Organizations (CVTSOs)***

CVTSOs serve students enrolled in career/vocational technical education programs by engaging students in a variety of skills development and leadership activities. The organizations that are assisted with Perkins funds in Massachusetts are: Business Professionals of America (BPA), Distributive Education Clubs of America (DECA), Family, Career and Community Leaders of America (FCCL), FFA - An Organization for Students Studying Agriculture (FFA) and Skills USA.

## APPENDIX A

### CAREER & TECHNICAL EDUCATION PROGRAM DEFINITION CHECKLIST and CERTIFICATION DOCUMENT

The term career & technical education programs means organized educational activities that-

- A. offer a sequence of courses that provides individuals with the academic and technical knowledge and skills the individuals need to prepare for further education and for careers (other than for careers requiring a baccalaureate, master's, or doctoral degree) in current or emerging employment sectors; and
- B. includes competency-based applied learning that contributes to the academic knowledge, higher-order reasoning and problem-solving skills, work attitudes, general employability skills, and occupational-specific skills, of an individual.

In addition, programs must be of such size, scope and quality to be effective.

Standard	Measure	Evidence/Source Document	✓
1. The program has organized educational activities.	The program description, including courses and requirements are published.	School/College Catalog; Program of Studies	
2. The program has a sequence of courses.	The sequence of courses includes at least two career & technical education courses in the same occupational area as well as academic courses. Career & technical education courses are those with the objective of preparing students for specific occupations or cluster of occupations.	School/College Catalog; Program of Studies	
3. The program provides individuals with academic and technical knowledge and skills through integrated academic and technical instruction.	Academic and technical instruction are integrated. The academic and technical skills (competencies) to be acquired by students are published.	Competency Lists; Program of Studies	
4. The careers for which the program prepares students are in current or emerging employment sectors.	The WIB has reviewed and endorsed the program or the school has verified the labor market for the program by other reliable means.	Letter from WIB or other documentation of labor market demand in current or emerging employment sectors.	
5. The program employs competency-based applied learning techniques.	The skills (competencies) to be acquired by students are published.	Competency Lists; Program of Studies	
6. The curriculum for the program includes activities that impart work attitudes and employability skills.	The program includes the use of work-based learning activities.	Description of activities; Program of Studies	
7. The curriculum for the program includes occupationally - specific skills.	The knowledge/skills to be acquired by students have been verified within the last five years by representatives from the industry of the program.	Minutes of Advisory Committee or other meeting.	
8. The program is of such size, scope and quality to be effective.	Size: The high school program meets the sequence of courses measure above (for postsecondary see below*) Scope: The program includes instruction in all aspects of the industry the students are preparing to enter. Quality: The program meets the goals set for the Four Core	Program of Studies; Course Outlines and Syllabi; Competency Lists; Minutes of Advisory Committee or other program review	

**CAREER & TECHNICAL EDUCATION PROGRAM DEFINITION CHECKLIST and  
CERTIFICATION DOCUMENT**

	Indicators of Performance and the program has been reviewed within the last five years by representatives from the industry of the program and determined to be of the quality necessary for the industry. The program meets national program standards where available, and provides students with the opportunity to earn applicable state or industry license and/or certificates.	meeting. SIMS, Career/Vocational Technical Education Report.	
9. The program provides for the equitable participation of special populations.	Enrollment in the program includes special populations reflective of the communities served.	SIMS, Career/Vocational Technical Education Report; Perkins III Local Plan	

\*For postsecondary degree programs, the sequence of courses means at least 15 credits of career & technical education courses in addition to the academic courses required by the degree program. For postsecondary certificate or other formal award programs, the sequence of courses means at least two career & technical education courses and at least one academic course or academic component within a career & technical education course for a grand total of 12 or more credits in the certificate or other formal award program. NOTE: Students in Pre-Health and similar programs that educate students not yet matriculated in a career & technical education program should be reported if the required courses in the program meet the sequence of courses standard and the program meets the rest of the definition for certificate or other formal award programs (regardless of whether they are degree or certificate or other formal award programs).

**CERTIFICATION SECTION**

**By signing this certification section, I am attesting that the district/college named below has programs that meet above definition of career & technical education as is of such size, scope and quality to be effective pursuant to the Perkins Act.**

<b>DISTRICT/COLLEGE</b>		
<b>ADDRESS</b>		
<b>NAME OF SUPERINTENDENT/PRESIDENT</b>		
<b>SIGNATURE</b>		
<b>PHONE: ( )</b>	<b>FAX: ( )</b>	<b>E-MAIL:</b>

## APPENDIX B

<b>CAREER/VOCATIONAL TECHNICAL EDUCATION UNIT (CVTEU)</b> <b>Programmatic Amendment Request Form (Perkins)</b>
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All sections of this form must be completed, and the form submitted to the appropriate liaison in the CVTEU at least 30 days prior to the proposed change, and no later than 30 days prior to the termination date of the grant. Amendment requests must be approved in writing by the CVTEU prior to implementation. The LEA will be notified by email of the decision to deny or approve the amendment.

Grant Recipient:	
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Address:	
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Grant Number:	
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Name and title of person completing this form:	Name & Title:	
	Email:	
	Phone Number:	

**Description:** Describe the proposed programmatic change. Include title, description and FTE for all staff substitutions and a list of proposed supplies, equipment, or other activities to be substituted for the items approved in the original grant. Attach additional sheets if necessary.

**Justification:** Explain and justify why the proposed amendment should be implemented. Attach additional sheets if necessary.

**This section to be completed by the CVTEU**

**ACTION TAKEN:**  Accepted (“Approved”)     Not Accepted (“Approved”)

Notification by email made on (date) \_\_\_\_\_

Amendment Request Form and notification file in official file on: \_\_\_\_\_

Signature of CVTEU staff: \_\_\_\_\_ Date: \_\_\_\_\_