
2005-2006 CAR NARRATIVE

EXECUTIVE SUMMARY

The Consolidated New York State Annual Performance, Accountability, and Financial Status Report administered by the New York State Education Department under the Carl D. Perkins Vocational and Technical Education Act of 1998 (VTEA) covers the 12-month program year July 1, 2005 to June 30, 2006. This report fulfills the federal requirements to report performance information and the effectiveness of career and technical education programs expending federal VTEA funds. A review of state administration, state leadership activities, distribution of funds and local plan for CTE programs and accountability

I. PROGRAM ADMINISTRATION

A. Sole State Agency and Governance Structure

The Postsecondary Basic Grant and Tech Prep awards are administered in the New York State Education, Office of K-16 Initiatives and Access Programs, Collegiate Development Programs Unit. Grants are awarded and administered to approximately 60 postsecondary institutions statewide. The secondary Basic Grant and Tech Prep awards are administered by the Career and Technical Education team in the Office of Curriculum and Instructional Support. Organizational Please refer to <http://atwork.nysed.gov/Facilities/policymanual/ohe.html> for charts of both divisions.

During the July 1, 2005 - June 30, 2006 period, the New York State Plan for the Administration of Career and Technical Education was updated for the 2005-06 academic year and the VTEA program was administered with 178 sub-recipient grants. These included 138 Basic Grant formula funded grants, 32 tech prep competitive request for proposals grants, 7 local criminal offender RFP grants, 10 criminal offender grants at the other state agencies and 1 leadership-equity continuation grant.

B. Organization of Career and Technical Education Programs

Postsecondary career and technical programs are approved by the New York State Education Department Office of Higher Education. These programs are approved with appropriate HEGIS codes. This coding system provides a consistent method of clustering all career and technical education programs. These HEGIS codes are matched with the federal Career Cluster codes and CIP codes. The State Education Department assures, through program registration requirements, that career education students meet same challenging standards as other students. All curricula

offered by public and independent colleges (including lower-division career education programs) that are creditable toward a degree, lead to licensure in a profession regulated by the Board of Regents, or are otherwise required by statute or regulation to be registered must be registered by the Commissioner of Education as meeting the standards of quality in the Regulations of the Commissioner of Education. These registration standards and procedures meet the Secretary of Education's requirements for recognition of the Regents and the SED as a Nationally Recognized Accrediting Agency.

Secondary career and technical education programs are conducted in school districts and Boards of Cooperative Educational Services (BOCES). The State Education Department requires that all students meet the same learning standards and pass the same assessments in core curriculum areas for graduation. Thus, CTE students must meet the same rigorous standards as any other student. In addition, students who complete approved programs and pass an appropriate technical examination may receive a technical endorsement on their Regents Diploma.

II STATE LEADERSHIP ACTIVITIES

Required Uses of Funds

The New York State Education Department (NYSED) strongly encourages each sub-recipient to address the eight required activities under Section 124 of the Perkins Act. Sub-recipients must either use their VTEA allocations for these activities or show, in their local plans or institutional profiles, how these activities are otherwise addressed in their service area. The New York State Department of Education's leadership activities during the July 1, 2005 to June 30, 2006 program year assisted grantees on several levels of program development and implementation.

Curriculum and Assessment

To ensure alignment of CTE offerings with New York Learning Standards and improve delivery strategies, NYSED staff:

- Participated in the National Career Clusters conference to begin defining the nature of our transition to a more comprehensive implementation of career cluster programming;
- Completed and published the work of ten health occupations education teachers that aligned widely used New York state curriculum and performance checklists with Department of Health mandates (*see* www.emsc.nysed.gov/cte/health/);
- Participated in a three-day High Schools that Work (HSTW) national professional development conference, focusing on curriculum, teaching, strategies, and resources, along with 7000 educators. Further involvement with HSTW included: participation in HSTW national state coordinators meetings and National Board meetings in March, July, and November.

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- Developed a best practices rubric and template to ensure adherence to learning standards in Family and Consumer Sciences (FACS). This new tool provided an accessible means by which the new curriculum could be readily translated into classroom practice.
 - Assembled a group of Family and Consumer Sciences teachers, to finalize the *Home and Career Skills—Core Curriculum Guide* and 21 scenario assessments for middle school. The newly mandated home and career skills core curriculum has aligned Home and Career Skills into with all state and national educational requirements and recommendations. (To view either of these publications, please visit: www.emsc.nysed.gov/cte/facse/fctitles.html and www.emsc.nysed.gov/cte/facse/fcscenario.html.)
 - Coordinated many business education improvement activities including: six summer workshops throughout the state for about 250 business teachers to provide current approaches for the inclusion of business and industry partners; creation of a curriculum crosswalk that ensures that math standards are being met; coordination of a curriculum development workshop in collaboration with college faculty to present strategies to align secondary content with college expectations. Partnered with the Foundation for Investor Education to supplement the nationally-known stock market game;
 - Collaborated with business and industry to provide professional development for 50 teachers, both criminal justice and science, in forensics and criminal science investigations. Classes, sponsored by the Northeast Regional Forensics Institute, created a forum for teachers to discuss curriculum changes and develop strategies to integrate forensic science into academic requirements.

To further refine assessment of student attainment of academic and career technical proficiencies, the New York State Education Department:

- Developed a field response evaluation form for the newly developed “Home and Career Skills Core Curriculum” to get feedback from teachers using the new core curriculum.
- Convened ten cosmetology teachers to define the criteria for an appropriate cosmetology assessment and review the New York State NOCTI customized cosmetology examination for adherence to this standard.
- Provided technical assistance to health occupations educators and health care facility staff in the development of a New York Nurse’s Assistant certification assessment.

On-going Technical Assistance

The New York State Regents policy on CTE program approval continues to be the organizing force behind our continuous improvement agenda. To increase the number of programs seeking approval, and to continue to raise expectations for all CTE programs, staff engaged in promoting the process and educating the field about the first round re-approvals. Fifty-one new CTE programs were approved from July 2005 to June 2006.

Each additional program approval evidences New York's expanded investment in the required components of our programs: articulation agreements with post-secondary institutions, integrated academics, partnerships with business and industry, work-based learning; employability profile development, and technical assessments. Program re-approvals have provided opportunities to review overall rigor, and relevance to current market conditions. They have also been a vehicle by which we have been able to create a synergy between the New York State re-approval process requirements and those of NCLB.

The CTE team has had the opportunity to increase awareness of the program approval process in a number of ways including:

- Provision of presentations at nine meetings of the Capital Region Career and Technical Education Directors Association, including a meeting for principals and counselors, to share State Education Department updates and to assist association members with continued implementation of rigorous career and technical education programs.
- Updates to several state and local zone meetings of the New York State Work Experience Coordinators Association to assist association members with continued implementation of high quality experiential/work-based learning opportunities for students.
- Conducting a state High Schools That Work (HSTW) meeting for 17 New York HSTW sites and participating in HSTW state coordinators and national board meetings.

Other guidance on program improvement, curriculum, assessment, national standards, NCLB, teacher certification and the program approval process has been provided to numerous stakeholder groups (e.g., executive boards of directors for health occupations and business education; New York administrators of CTE for urban and rural schools; and student leadership associations) Sample guidance activities include:

- Continued oversight and assistance to student leadership organizations in the fields of health; marketing; business; agriculture; family and consumer science; trade, and technology by delivering workshops, advising boards of directors, convening groups of student leadership advisors to revise bylaws and

participating in conferences. Organizations were encouraged to enhance the level of academic content included and focus efforts on opening participation to a wider, more diverse group of students. (*for details on student leadership see <http://www.emsc.nysed.gov/cte/cdleader.html>*)

- Updated 200 students, teachers and administrators, at the National Automotive Technology Competition, which is opportunity for automotive educators, job developers, government leaders, and other members of the CTE community to join forces to develop linkages among secondary and post-secondary automotive education programs and potential employers in the automotive industry

On-site Monitoring

- Conducted a full-day technical review visit with staff for the Southern Regional Education Board at one HSTW site to assist with the implementation of the HSTW key practices for continued school improvement.
- Conducted fifteen occupational education civil rights reviews at high schools and BOCES and two at colleges to ensure that all students and staff enjoy equal access to career and technical education programs and employment opportunities.
- Continued to perform on-site reviews of technology education programs.

Staff Development and Guidance to the Field

New York State Education Department CTE staff gave presentations to hundreds of educators at many CTE organization forums to share Department updates and to assist association members with continued implementation of high quality learning opportunities for CTE students. Organizations include: Capital Region Career Technical Directors Association; regional and state meetings of the New York State Work Experience Coordinators Association (WECA); state and local Business Teachers Associations; Future Business Leaders of America; Family, Career, Community Leaders of America; Health Occupations Students of America; New York State Health Occupations Educators Association, DECA, (formerly, Distributive Education Clubs of America); Skills USA and New York FFA (formerly, Future Farmers of America).

The CTE Resource Center, under contract to provide technical assistance to the field, began outreach to designated schools in need of improvement in New York's largest five school districts of New York City, Yonkers, Rochester, Syracuse and Buffalo. Center staff began work on raising student achievement in SINI schools as well as those failing to meet the Perkins Act or NCLB performance standards. The Center also began the planning and development of seven regional conferences for CTE educators to provide information on successful curriculum and program design practices.

Other examples of the continuing provision of assistance to the field by NYSED staff are found below.

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- New York Business Education Network received continued NYSED guidance through the publication of an e-newsletter. The community of over 1500 business education professionals share new curricula and delivery strategies in the forum that this network continues to provide.
 - Disseminated 40 issues of SED E-News, briefing over 400 work experience educators on instructional resources, teaching strategies, and program improvement information.
 - Convened 20 future leaders in business education in a new forum, Business Education 2020. Products developed so far include a website containing course curricula, references to best practices; and promotional templates for field use to increase awareness of business education opportunities; (*for more on Business Education 2020, see: www.emsc.nysed.gov/cte/business/business2020/about.htm*).
 - Published *Family and Consumer Science Facilities Guide* to offer specialized information for planners of family and consumer sciences facilities. Publication specifies in detail the planning of safe learning environments that will support and promote the goals of career and technical education as well as the NYS Learning Standards, the National Family and Consumer Science Standards, and the No Child Left Behind initiative.
 - Provided technical assistance to 12 pre-service family and consumer science teachers through individual evaluation of exit portfolios.
 - Collaborated with Cornell University's Agricultural Outreach office and the Career and Technical Education Resource Center to offer a workshop for local education agencies, BOCES New York's Big Five school districts and representatives from the New York Association of Agricultural Educators. Topics covered included: opportunities and challenges in agricultural science education, agricultural literacy integration in early grades.

Criminal Offender: Adult

VTEA supported projects were implemented through the Office of Children and Family Services, the Department of Corrections and the Commission of Corrections. VTEA, Title I funds were used for programs for incarcerated individuals. The funds provided technical skills instruction and support services to persons in county or state correctional facilities. During the 2005-2006 program year, seven local and three state agencies were the recipients of these funds.

The following agencies received funds:

Local Agencies	State Agencies
Schenectady City School District	Department of Correctional Services
LaGuardia Community College	Office of Children and Family Services
Oswego County BOCES	Commission of Corrections
Oneida-Herkimer-Madison BOCES	
Sullivan County BOCES	
Syracuse City School District	
Onondaga-Cortland-Madison BOCES	

Results Achieved for Locally Operated Programs: Students received instruction and certificates of competency, where appropriate, in the following areas: institutional cooking, baking, nail technology, barbering, small engine repair, landscape/horticulture, Windows OS, MS Office, computer basics, job readiness and CHOICES, food service, retail sales, building trades, OSHA, building maintenance, automotive instruction, graphic arts design, commercial art, Electronics I & II, soldering, Hardware I & II. Students who participated in the program developed a career plan that included assessments via Career Zone, CHOICES, and Career Interest. Transitional services and the use of the one-stop systems resulted in a large number of students being employed and placed in post-secondary or other training experiences.

Many students benefited by advancing their academic levels. Many also passed the GED test to earn their high school equivalency diploma.

Results Achieved for State Operated Programs: All programs that are operated in county jails were visited to ensure that program quality standards were met.

The 2005-2006 VATEA grant provided the New York State Department of Correctional Services (DOCS) funds to improve curriculum in the construction field. Thirty-five DOCS teachers, who have achieved recognition by the National Center for Construction Education and Research (NCCER) as Master Teachers, and 105 craft instructors provided instruction to inmates at various DOCS facilities. As a result, 90 inmates completed the core curriculum, passed the written and performance testing, and have been registered with the NCCER National Registry. Twelve students completed Level I of in a specific NCCER craft trade, two students completed Level II and one student completed Level III of the plumbing and heating trade. Another 100 inmates have received recognition for the parts of the curriculum that they have mastered. Funding was also used to purchase additional materials for the NCCER trade areas, which included materials in Spanish.

Funding was used to purchase an additional 25 computers with software for various sites. Over 500 inmates have benefited from these resources. Additionally, about 1200 inmates have access to information that will assist them in developing a career plan used to locate and secure employment upon release.

Criminal Offender: Secondary

In 2005-2006, the New York State Office of Children and Family Services (OCFS) successfully completed objectives it established for the VTEA 2005-2006 Program Year. This was accomplished through its provision of industry-standard occupational training services in OCFS residential centers and transitional services for these young people as they return to their home communities.

Among the services provided were:

- Vocational assessment and career and financial management (job readiness) instruction
- Industry-specific vocational instruction, including certificates awarded by nationally recognized associations and career portfolio preparation, the-job-training experiences
- Job development and placement, placement in training programs and apprenticeships
- Placement in post-secondary educational experiences and introduction to opportunities in military

The above activities were closely supported by routine technical assistance site visits to OCFS facilities and key community transition sites, such as New York City, Rochester and Buffalo. These routine site visits also provided opportunity for in-service training to educational supervisors, teachers, vocational instructors and administrators.

At the OCFS facility sites with occupational shop offerings, visits also provided the opportunity for funded staff to support the OCFS Bureau of Educational Services on techniques to integrate vocational concepts into academic areas.

OCFS is pleased to report that the Gold Seal Lesson Plans, targeted as an eventual outgrowth of the longstanding efforts to introduce the concepts of applied learning in OCFS facility program, have been incorporated into the attached Power Point and PDF Version of *Making Rigor and Relevance a Reality: A Compilation of Best Practices*.

In the nineteen OCFS residential sites without on-grounds vocational shops, visits and telephone contacts supported the development of appropriate activities reflective of the demands of the work place.

The OCFS 2005-2006 Program Plan proposed to continue bi-monthly conference calls among instructors of the same instructional parenthetic. These conference calls were planned as a means to provide instructors with the opportunity to learn from each other, and also to gain an enhanced sense of professional identity. During this report period, program staff went beyond conference calls to holding gatherings of these instructors as they gathered to share information and experiences.

Examples include:

As targeted in the OCFS 2005-2006 Program Plan, OCFS VTEA-funded staff also provided intensive workforce development support to the nineteen facilities without on-grounds occupational programs. For these facilities, OCFS provided enriched technical support in the following workforce development program components:

- Portfolio Development
- Stipend-Compensated On-the-Job Training
- Career & Financial Management Instruction; and
- Customer Relations (officially acknowledged by the Nike Corporation)

In addition to these activities implemented in each facility, program staff assisted in the further development of the following initiatives, selected upon the basis of their imparting of marketable skills and tailored to the unique characteristics of the facility.

Although the VATEA 2004-2005 Program Plan listed as an objective the facilitation of conference calls for instructors in Career and Financial Management. Staff changes and schedule conflicts prevented the establishment of any consistent means to conduct these calls featuring staff participants in sufficient number to engage in the desired dialogue. However, VATEA-funded staff incorporated technical assistance to instructors in the course of routine program site visits.

VATEA-funded staff continued to place youth into employment and training and job development programs, private sector training or employment opportunities in communities, and Job Corps, unions, Americorps, CBO-employment connecting activities and skill development programs, as well as WIA/TANF-funded employment and training opportunities in the community.

OCFS is especially excited to report that it completed training Aftercare Staff in the ten statewide OCFS regions to serve as Workforce Development Specialists. Included in this training will be the provision of the Global Career Development Facilitator certificates.

GCDF certification is a nationally recognized professional development program, developed by Rutgers University. The GCDF curriculum has been customized for New York State and is sponsored by the New York State Department of Labor and recognized by the National Career Development Association (NCDA).

The training, a 120-hour course, satisfies the educational requirements for the GCDF Credential granted by the Center for Credentialing and Education. The curriculum is designed to provide practical help and skills development to those who currently are front-line workforce career development workers.

The new GCDF credential conveys to job seekers, employers, WIBs, and the general public that the holder has a minimum set of knowledge, skills and competencies, and has met a professional standard.

III. DISTRIBUTION OF FUNDS

Postsecondary information for 2005-2006 is found in attachment A. Information regarding secondary distribution of funds, list of eligible agencies and application guidelines can be accessed at <http://www.emsc.nysed.gov/funding/0506perkins.htm>

IV. PROGRAM ACCOUNTABILITY

State Performance Summary

The core indicators and the focus on “student improvement” continue to present challenges to the state. The New York State Education Department has continued to conduct meetings with local advisory groups discussing needed activities including the development of standardized follow-up surveys and the implementation of thresholds. Actual performance data continues to contribute to the evolution of the performance standards under VTEA. Data collected across diverse special population categories assist sub-recipients in identifying and targeting student performance needs. A number of postsecondary sub-recipients are experiencing increasing response rates since the implementation of improved follow-up procedures.

Virtually all of the postsecondary performance indicator standards were met. The likely reason for this is the targeting of Perkins annual grant funding toward academic support strategies that improve the success of at-risk students. The targeting of annual funding toward short-term academic objectives has had the effect of incrementally improving long-term statewide performance. State level monitoring and technical assistance has resulted in a consistent message about improving student performance at the local level. An increasing number of postsecondary institutions are linking the Perkins performance improvement agenda with similar expectations of various accrediting bodies and approval agencies. This provides a greater number of available resources that can be applied to student academic needs. The significant performance rate increase for the employment retention indicator is likely due to a number of postsecondary institutions transitioning from two follow-up surveys to one follow-up survey. This approach resulted in more accurate and complete data.

A. Effectiveness of Improvement Strategies in Previous Program Year

1. Activities Completed

Sub-recipients have been made aware of the increasing emphasis on the need for data quality and the need to link performance data to program improvement. Standardized questions developed on the state level were used in local surveys to insure data collection consistency.

Sub-recipients implemented VTEA funded strategies to assure data quality. Only those sub-recipients that act as fiscal agents for competitive tech prep grants are responsible for reporting tech prep student data. Separate state developed data collection forms are used on the local level for tech prep data. Throughout the calendar year, technical assistance memoranda were distributed to sub-recipients by the state program office. NYSED has implemented a new individual student record system for the 2006-2007 school year which will further enhance data quality.

2. Extent of Expenditures in Support of Activities

To improve data quality, postsecondary institutions are annually encouraged to use portions of their Basic Grant formula allocations to improve internal student tracking and evaluation efforts. Secondary Basic Grant formula recipients are required to either use these funds for this purpose or show how local funds address this concern. Additionally, state approval of annual sub-recipient applications consider specific local improvement plans as funding **justification**.

3. Results of Activities on all Students or Targeted Populations

Sub-recipients are expected to review state generated performance reports based on data reported annually for all students and for targeted students. The requirement to report disaggregated performance data has motivated sub-recipients to more closely evaluate steps necessary to improve data quality and subsequent funding applications. Programs not meeting Perkins performance expectations are required to target those areas in subsequent funding plans.

4. Impacts of Activities on Performance Indicators for all Students or Targeted Populations

The requirement to report data based on the performance of disaggregated targeted student performance has motivated sub-recipients to more closely plan and evaluate VTEA funded activities. There is a better understanding among sub-recipient policy staff and program staff of the need to evaluate the effectiveness of VTEA funded major efforts. State guidelines, which are distributed to sub-recipients concerning the development of annual funding applications, emphasize the importance of directing funds to achieve both short-term student performance within major efforts and long-term student performance within cohorts.

5. Implications for Planning or Revising Improvement Strategies for Next Program Year

Data reported under the VTEA performance categories results in the creation of a better picture of student performance. State and local grant administrators are able to direct the application of VTEA funds into efforts that are more likely to improve the performance of targeted students. Tech prep student performance data is being reviewed on the state level to determine if separate improvement strategies should be implemented within tech prep projects on the local level.

Improvement Strategies for Next Program Year

The implementation of the individual student record system will improve the quality and accuracy of reported data. The next step will be to expand the system to include the entire P-16 arena.

Staff participated in a two-day Data Quality Institute training meeting with CTE state directors and data coordinators as well as a two-day CTE state directors' meeting in Washington, D.C. to further refine and systematize the coordination of data collection and reporting.

B. Special Populations

Project for Nontraditional Employment and Training (NET)

This project assists Perkins-funded institutions in finding ways to improve participation and placement of men and women in nontraditional programs under VTEA. Services of the NET Project, provided by the Center for Innovation in Career Development (CICD), include a website with current information on nontraditional resources and updates, links to sites bearing information about nontraditional careers and opportunities, a speakers bureau which contains a list of nontraditional workers, employers and educators willing to speak about their experiences, data concerning the status of nontraditional occupations and new and emerging high wage, high skill technical careers, a resource library of over 2000 books, manuals and videos, which are available on loan to educators, and other offerings designed to improve opportunities for nontraditional careers for students.

CICD has supported activities, workshops and roundtables to better train educators and administrators on nontraditional opportunities, while supporting activities such as the Vanguard Awards which focus on students and their achievement in nontraditional education and careers. Accomplishments for 2005-2006 include:

- The Vanguard Student Recognition Award program was conducted during 2005-2006. The award recognizes students who pursue nontraditional careers for their gender. The six winners were presented their awards at the New York State Tech Prep Conference. Nassau BOCES collaborated with the Center to develop and pilot a regional Vanguard Award program.
- NET continued its objective of maintaining and improving the project website, (see www.albany.edu/nontraditionalcareers) The site's redesign has expanded the availability of recent articles, updates on specific nontraditional-related topics and "best practices." Vanguard Student Recognition Award is promoted on the website where nomination materials can be found. The NET Project has also linked its website with the National Alliance for Partnerships in Equity (NAPE).

- NET continued to provide onsite professional staff development to faculty and staff at Perkins-funded institutions and conduct workshops for targeted audiences at state and regional meetings to promote nontraditional careers. Examples include: Nontraditional Career Choices: Culture and Opportunity workshop and roundtable session presented at the Tech Prep State Conference; a series of workshops and presentations to faculty, guidance staff and administration of Nassau BOCES; information dissemination at the New York ACTEA conference.

NET Project staff participated in local meetings and support the activities of the Alliance of Technology and Women (ATW), Girls Incorporated, and the Albany-Colonie Chamber of Commerce’s Education subcommittee of FAMtask.

Tech Prep

The tech prep consortia, located in urban and rural settings throughout the state, reported a total of 29,087 students with more males (15,420) than females (13,667). This student data covers all 32 consortia in existence as implementation projects. Six of the founding seven consortia that began as planning projects in 2001-2002 are still operating.

Tech Prep counts are based on students who have indicated intent to complete the minimum four-year tech prep education program and enroll in or have completed the core curriculum in mathematics, science, communications and technology.

Student outcomes for the 32 implementation tech prep programs in unduplicated counts were as follows: 2,393 received associate degrees or certificates and 5 received bachelors in technical areas, and 6,065 were successfully placed. Of those placed, 1,043 were employed; 172 entered the military; and 4,896 went on to additional education and advanced training.

Tech Prep consortia, in varying degrees, offer the national sixteen Career Clusters as depicted by the following chart:

National Career Cluster	Number of Consortia
1. Agriculture, Food & Natural Resources	12
2. Architecture & Construction	16
3. Manufacturing Production	16
4. Transportation, Distribution & Logistics	11
5. Information Technology	24
6. Marketing Sales & Services	9
7. Financial Services	11
8. Hospitality & Tourism	20
9. Business Management & Administration	21
10. Health Services	26
11. Human Services	19
12. Arts, A-V Technology & Communications	14
13. Law, Public Safety, Corrections & Security	16
17. Scientific, Technology, Engineering & Math	24
15. Education & Training	15
16. Government & Public Administration	8

Sample offerings within these clusters include technical preparation in medical laboratory, construction, computer information systems, civil engineering, business/marketing, health occupations, agriculture, robotics, culinary arts, electrical engineering, communications, criminal justice, manufacturing, drafting and design, automotive, fashion; and resort/hospitality services.

All consortia held in-service and curriculum development sessions which were attended by: 3,468 high school teachers, 1,155 high school counselors, 677 college faculty, and 397 other college personnel. Core curriculum development was the major focus of all of the consortia. In-service training included opportunities for teachers/faculty and counselors to visit model tech prep projects inside and outside the state and attend national and regional conferences, including the state conference sponsored by New York State tech prep directors. Consultants were employed to conduct training sessions for teachers, faculty and counselors inside the consortium. A three-day symposium is held each year specifically for professional development, sharing successful practices and networking for the consortia directors and coordinators.

Most consortia work closely with state and community agencies such as, local workforce investment boards, one-stop centers, the New York State Vocational Educational Services for Individuals with Disabilities, ACCESS Centers, labor organizations, chambers of commerce, and the local departments of social services, labor and mental health. All consortia work collaboratively with local businesses (a total of 812 statewide). There were 377 high schools, 34 BOCES, 70 two-year colleges and 47 four-year colleges participating with the tech prep consortia statewide.

Fiscal Requirements

The NYSED assures that it complies with all applicable requirements of Title I of VTEA and the provisions of the State Plan. The State Plan process addresses all applicable requirements, including the provisions of Office of Management and Budget Circular A-133 *Audits of States, Local Governments and Non-Profit Organizations*.

The NYSED assures *that none of the funds expended under Title I will be used to acquire equipment (including computer software) in any instance in which such acquisition results in a direct financial benefit to any organization representing the interests of the purchasing entity, the employees of the purchasing entity, or any affiliate of such an organization.* Every provider of career education services in New York State receives a copy of the VTEA Guidelines and Application Materials. These Guidelines contain Statements of Assurances that govern all funded agencies including the italicized assurance language found above.

This assurance is enforced through project auditing functions applied to all fund expenditures.

Funds received through the allotment made under VTEA Section 111 are allocated among secondary level career education and postsecondary level career and technical education based on a review of successive annual reports of career education students who were served by each Perkins grantee. These reports include in-school and adult career education students served, and

reports are routinely compared to projected career education enrollments on both the secondary and postsecondary/adult levels.

The allocations among eligible recipients and consortia are described in requests for noncompetitive proposals that are issued by the NYSED annually. All consortia that are allocated funds under Sections 131 or 132 have, as a condition for accepting the grant, a stipulation that authorized program funds may be used only for the mutual benefit of all consortium members. No funds shall be used for the benefit of an individual consortium member.

Secondary application materials are found at www.emsc.nysed.gov/funding/0506perkins.htm. Postsecondary materials are found in Attachment A.

B. Performance Results for Special Populations and Program Improvement Strategies

The rationale for improving the overall statewide performance of special population students on the postsecondary level is the same as discussed under item A., above.

C. Definitions

Vocational Participant , Vocational Completer and Tech Prep Student

Secondary and postsecondary vocational participant: a first-time, full-time credit bearing participant of an entry cohort for the fall of a given year.

Postsecondary vocational concentrator: a first-time, full-time credit-bearing participant of an entry cohort for the fall of a given year, who attains at least 12 credits by June 30 of the reporting year.

Secondary concentrator: a participant who completes a sequence of courses.

Postsecondary vocational completer :

- (a) a credit-bearing concentrator, who receives a credential as of June 30 of the reporting year.
- (b) a credit-bearing participant who receives a credential between July 1 and June 30 of the year which precedes the reporting year.

Secondary completer: a participant who receives a credential as of June 30 of the reporting year.

Tech prep student: is a student who has signed a tech prep enrollment agreement and:

1. receives academic content through applied learning;
2. completes a sequence of two or more standards-based career oriented courses that provide technical skills;
3. is able to become employed in skilled entry level jobs and complete the postsecondary portion of a secondary/postsecondary program;
4. if a postsecondary student, has completed the secondary portion of the

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- secondary/postsecondary program and has enrolled in an articulated, state registered postsecondary tech prep program; and
5. is a completer of a two-year associate degree program, a two-year certificate program or a two-year apprenticeship that follows secondary tech prep instruction.

D. Measurement Approaches

Secondary

1S1, Student attainment of challenging state established academic skills

Measurement approach: state academic standards and assessment system

Goal in 2005-2006: 82.70 percent

Numerator: the number of completers that pass all applicable Regents exams

Denominator: the number of all completers

1S2, Student attainment of challenging state established vocational/technical skills

Measurement approach: state/academic standards and local assessment system

Goal in 2005-2006: 83.12 percent

Numerator: the number of completers that achieved a grade point average of 75 percent in their CTE courses

Denominator: the number of all completers

2S1 and 2S2, Student attainment of a secondary school diploma or its recognized equivalent or a proficiency credential in conjunction with a secondary school diploma

Measurement approach: state and local academic standards and local assessment system

Goal in 2005-2006: 95.00 percent

Numerator: the number of completers that attain a high school diploma

Denominator: the number of all completers

3S1, Placement in postsecondary education or advanced training, military service, or employment

Measurement approach: locally conducted annual follow-up surveys as per state direction

Goal in 2005-2006: 95.00 percent

Numerator: the number of completers that were placed in employment in related fields plus those in unrelated fields plus those in the military plus those in postsecondary

Denominator: total completers less "status unknowns"

4S1, Student participation in CTE programs that lead to nontraditional training and employment

Measurement approach: locally completed annual enrollment reports as per state direction

Goal in 2005-2006: 27.85 percent

Numerator: the number of nontraditional gender enrollees in all nontraditional programs

Denominator: the number of all enrollees in all nontraditional programs

4S2, Student completion of CTE programs that lead to nontraditional training and employment

Measurement approach: locally conducted annual follow-up surveys as per state direction

Goal in 2005-2006: 20.30 percent

Numerator: the number of nontraditional gender completers of all nontraditional programs

Denominator: the number of all completers of all nontraditional programs

All secondary performance data is collected at the local level and reported in aggregate form to the State. All sub-recipients collect data for performance indicator number 3S1 through follow-up surveys of their program completers. These are generally conducted between three and six months after program completion. At present, there is no state administered automated unit record system that uses individual identifiers for reporting student participation or performance.

Postsecondary

- Performance indicators 1P1, 1P2, 2P1, 4P1 and 4P2, the measurement approach is based on state/local administrative data.
- Performance indicators 3P1 and 3P2, the measurement approach is based on state developed/locally administered survey placement records.

Performance data that is collected for performance indicator 2P1 also satisfies performance indicators 1P1 and 1P2. Performance data that is collected for all performance indicators is reported from the local level to the State. Sub-recipients that are affiliated with either the City University of New York system or with the State University of New York system can obtain some of the data for performance indicators 1P1, 1P2, 2P1, 4P1 and 4P2 from the respective system central administrative offices. All sub-recipients must collect data for performance indicators 3P1 and 3P2 through follow-up surveys. At present, there is no state administered automated unit record system that uses individual identifiers for reporting student participation or performance. Likewise, there are no formal agreements between the state and federal agencies, or among various state agencies for reporting student participation or performance.

However, the recent enactment of state student privacy legislation is a barrier to the reporting of student data, despite the flexibility of federal Family Education Rights and Privacy Act (FERPA) regulations. Through extensive technical assistance, provided by the NYSED to sub-recipients, the comprehensiveness of data reported in 2006 addressed most of the data elements approved by the Office of Vocational and Adult Education.

Credit-Bearing Postsecondary Measures:

1P1, Credit-Bearing Academic Skill Attainment

1P2, Credit-Bearing Vocational Skill Attainment

2P1, Credit-Bearing Completion

Numerator: the total number of credit-bearing concentrators, who become completers (a) (see above, credit-bearing completer (a) for definition).

Denominator: the total number of credit-bearing concentrators

3P1, Credit-Bearing Total Placement

Numerator: the total number of credit-bearing completers (b) (see above for definition of credit-bearing completer (b) for definition), who enter advanced training, the military or employment within six months after receiving a credential

Denominator: the total number of credit-bearing completers (b), who receive a credential between June 1 and July 30 of the year preceding the reporting year

3P1, Credit-Bearing Advanced Training Placement

Numerator: the total number of credit-bearing completers (b), who enter advanced training within six months after receiving a credential

Denominator: the total number of credit-bearing completers (b), who enter advanced training, the military or employment within six months after receiving a credential

3P1, Credit-Bearing Placement in the Military

Numerator: the total number of credit-bearing completers (b), who enter the military within six months after receiving a credential

Denominator: the total number of credit-bearing completers (b), who enter advanced training, the military or employment within six months after receiving a credential

3P1, Credit-Bearing Placement in Employment

Numerator: the total number of credit-bearing completers (b), who enter employment within six months after receiving a credential

Denominator: the total number of credit-bearing completers (b), who enter advanced training, the military or employment within six months after receiving a credential

3P2, Credit-Bearing Employment Retention

Numerator: the total number of credit-bearing completers (b), who enter employment within six months after receiving a credential, and who are still employed at 12 months after receiving a credential

Denominator: the total number of credit-bearing completers (b), who enter employment within six months after receiving a credential

4P1, Nontraditional Participation

Numerator: the total number of credit-bearing males enrolled in traditionally female programs, plus the total number of credit-bearing females enrolled in traditionally male programs

Denominator: the total number of credit-bearing males and females, who are enrolled in underrepresented programs

4P2, Nontraditional Completion

Numerator: the total number of credit-bearing male completers (a) of traditionally female programs, plus the total number of credit-bearing female completers (a) of traditionally male programs

Denominator: the total number of male and female credit-bearing completers (a) of underrepresented programs

E. Improvement Strategies

Better reporting through the individual student record system will allow a better assessment of all performance levels and we will be able to more clearly assess accomplishments next year. Appropriate technical assistance to sub-recipients is planned by staff and the CTE Resource Center. Other improvement strategies are discussed below under V. Monitoring Follow-up.

V. MONITORING FOLLOW-UP

One finding of the 2005 OVAE monitoring visit addressed the absence of ethnic data for each gender, as reported on the postsecondary section CAR. The State Education Department developed an action plan and timeline for this finding. One of the steps on the timeline was to initiate a pilot activity with three to four postsecondary institutions, whereby data could be accessed from the state level, relieving the burden of reporting on the local level. The pilot phase has been completed and state-level edits of postsecondary data is now operational.

Another finding of the monitoring visit addressed the need to report Tech-Prep student data on the postsecondary level. An action plan was developed and implemented in the spring of 2006.

A third finding was that updated census data was needed for the allocation of funds for the period beginning July 1, 2005. The formula was re-run and allocations were adjusted accordingly.

The final finding was in regard to the use of funds for travel for student organizations. Such expenditures were disallowed for the current year and the department is reviewing the two prior years to determine any retroactive adjustments that may be required.

The Department continues to review the many suggestions for program improvement that were made by the monitoring team for inclusion in the future administration of these funds.

VI. WORKFORCE INVESTMENT ACT INCENTIVE GRANT AWARD RESULTS

Not applicable.

Attachment A
**Postsecondary listing of eligible agencies, allocations and application used
to fund eligible agencies.**

Agency	FY06 Amt
Adirondack Community College	\$124,997
Borough of Manhattan Community College	\$2,373,951
Bramson ORT College	\$159,087
Bronx Community College	\$1,499,220
Bronx EOC	\$116,351
Brooklyn EOC	\$183,543
Broome Community College	\$490,106
Buffalo EOC/Villa Maria Consortium (Buffalo EOC \$139,324, Villa Maria \$71,638)	\$210,962
Capital District EOC	\$126,479
Cayuga County Community College	\$252,217
Clinton Community College	\$153,405
College of Staten Island	\$418,468
Columbia-Greene Community College/Maria College Consortium (Columbia-Greene \$152,417, Maria \$90,413)	\$242,830
Corning Community College	\$402,164
Culinary Institute of America	\$217,139
Dutchess Community College	\$576,319
Erie Community College	\$1,122,501
Fashion Institute of Technology	\$415,256
Finger Lakes Community College	\$368,074
Fulton-Montgomery Community College	\$156,617
Genesee Community College	\$458,733
Herkimer County Community College	\$382,648
Hostos Community College	\$899,927
Hudson Valley Community College	\$1,019,984
Jamestown Community College	\$325,832
Jefferson Community College	\$254,687
John Jay College	\$1,073,095
Kingsborough Community College	\$1,135,346
LaGuardia Community College	\$1,641,756
Manhattan EOC	\$95,600
Medgar Evers College	\$782,836

Mohawk Valley Community College	\$490,353
Monroe Community College	\$1,170,919
Nassau Community College	\$623,008
New York City Technical College	\$1,437,216
Niagara County Community College	\$518,020
North Country Community College	\$112,645
Onondaga Community College	\$641,288
Orange County Community College	\$172,920
Queensborough Community College	\$935,006
Rochester EOC	\$180,825
Rochester Institute of Technology	\$194,906
Rockland Community College	\$262,592
Schenectady County Community College	\$321,385
Suffolk County Community College	\$517,773
Sullivan County Community College	\$194,412
SUNY ATC at Cobleskill	\$399,199
SUNY College of Technology at Alfred	\$440,700
SUNY College of Technology at Canton	\$433,783
SUNY College of Technology at Delhi	\$352,017
SUNY College of Technology at Farmingdale/Long Island EOC Consortium (Farmingdale \$131,667, LI EOC \$158,346)	\$290,013
Syracuse EOC/SUNY Morrisville Consortium (Morrisville \$369,309, Syracuse EOC \$49,159)	\$418,468
Tompkins-Cortland Community College	\$353,252
Trocaire College	\$213,680
Ulster County Community College	\$248,017
Vaughn College of Aeronautics and Technology	\$248,017
Westchester Community College	\$466,391
Westchester EOC	\$76,332
	\$29,393,267

PREPARING PERKINS III FORMULA ALLOCATION APPLICATIONS FOR FISCAL YEAR 2005-06

A. INTRODUCTION

The Bulletin of The Statewide Plan for Higher Education 2004-2012 sets forth the Board of Regents goals and objectives for the coordinated system of higher education in New York. The Statewide Plan focuses on major issues affecting the role of higher education in New York State and its service to its residents, workforce, and community. In their respective institutional plans, higher education institutions are asked to describe, consistent with their mission, "...how they collaborate with businesses and other organizations to identify issues that higher education can address through new research initiatives or preparation of a workforce with new knowledge and skills, and to devise effective ways to address those needs individually and in networks, thus advancing development of intellectual capital, the economy, and related needs of New York." This focus complements the **purpose of the Carl D. Perkins Vocational and Technical Education Act of 1998** (Perkins III): "...to develop more fully the academic, vocational, and technical skills of secondary students and postsecondary students who elect to enroll in vocational and technical education programs, by (1) building on the efforts of States and localities to develop challenging academic standards; (2) promoting the development of services and activities that integrate academic, vocational, and technical instruction, and that link secondary and postsecondary education for participating vocational and technical education students; (3) increasing State and local flexibility in providing services and activities designed to develop, implement, and improve vocational and technical education, including Tech-Prep programs; and (4) disseminating national research and providing professional development and technical assistance that will improve vocational and technical education programs, services, and activities." The focus of The Statewide Plan and the purpose of the Act combine in challenging institutions to improve existing collaborations and thus advance the educational and economic needs of the State and its residents.

B. REGENTS PRIORITIES FOR THE HIGHER EDUCATION SYSTEM

The following priorities in the Regents Statewide Plan for Higher Education 2004-2012 relate to the overall purpose of Perkins III. Institutional applications for noncompetitive funding should reflect these priorities to the extent that doing so would be consistent with institutional mission and the Perkins III requirements.

Maximizing Success for all Higher Education Students:

Assuring High Educational Quality

- All students will attain the knowledge, skills, and ethical grounding to responsibly contribute to society and success in the workplace.
- All students will attain progressively advanced levels of knowledge and the ability to apply that knowledge effectively to problem solving in their field and in new areas of study. They will develop global consciousness and adapt to changing environments and conditions.
- All students will be provided higher education opportunity through distance education, in light of the State Education Department's "Principles of Good Practice for Distance Higher Education."

Improving Articulation

- All students will be assisted in their progress towards a degree through improved educational programs and services, accomplished through articulation between higher education institutions including undergraduate and graduate colleges across public, independent, and proprietary sectors.

Closing Performance Gaps

- Student retention and academic success will improve, based on comprehensive programs and strategies that focus on performance gaps due to economic status, ethnicity, race or gender.

Supporting Students with Disabilities

- Students with disabilities will have improved higher education access and success, through the provision of appropriate assistive technology, counseling, and support personnel, as well as faculty training.

Smooth Transition from PreK-12 to Higher Education:

Preparing Students for Entry into Higher Education

- All students who are preparing for entry into higher education will benefit from comprehensive programs and strategies that ensure the knowledge and skills necessary for competitive entry into higher education.

Providing Information and Assistance about Higher Education

- All students and their families will have clear and understandable information that assures access and success in future college study.

Qualified Professionals for Every Community throughout the State:

An Adequate Supply of Qualified Professionals

- Professional practitioners and the communities they serve will be engaged to identify emerging workforce needs and devise education strategies to meet those needs.
- Students representing diverse backgrounds will be recruited, prepared and supported for professional licensing preparation programs, for which workforce shortages are imminent.
- All students enrolled in professional preparation programs will enhance knowledge and skills through applied practice opportunities, particularly in fields that reflect dynamic technological advances.

C. ELIGIBLE AGENCIES

The State Education Department (SED) awards grants to degree-granting institutions and Educational Opportunity Centers (EOCs) that offer career and technical education below the baccalaureate level and generate \$50,000 or more in postsecondary/adult formula funds, or to postsecondary institutions participating in consortia that meet the \$50,000 minimum grant requirement and offer collaborative career and technical education programs that will be of sufficient size, scope, and quality to be effective. The Department uses Congressionally prescribed formulas to allocate funds based on the population served.

D. PROGRAM DESCRIPTIONS

The purpose of Perkins III is to provide basic grants to **improve the quality of career and technical education** for career and technical education students at degree granting institutions and EOCs.

1. Postsecondary Credit Programs. For postsecondary credit programs, the purpose is twofold: (1) to provide students with academic and technical knowledge needed to prepare for further education beyond a two-year associate degree and (2) for a career in current or emerging employment areas. The basic grant application should describe how the institution will ensure that this education will include competency-based applied learning techniques that contribute to the academic knowledge, higher-order reasoning and problem-solving skills, work attitudes, general employability skills, technical skills, and occupation-specific skills of an individual. The application also should describe how the program integrates academic and career and technical education through a coherent sequence of courses so students achieve both academic and career competencies.

2. Adult Noncredit Vocational and Technical Education Programs. The purpose for adult noncredit career and technical education programs is to prepare students for employment. Institutions receiving funds should describe how the institution will provide a program that integrates academic and career and technical education through a coherent sequence of courses. SED encourages articulation of adult noncredit career and technical education programs with related secondary and/or postsecondary curricula. Other adult programs, such as basic skills, bilingual or ESL, life management, and the **General Educational Development Program (GED)** may be funded only if they are offered in **integrated curricula** with career and technical education programs. Local job developers and placement coordinators working for other clients and supported by other funding sources should be identified and, if possible, used to provide the same services for Perkins III clients.

3. External Coordination. The application should describe how the institution will coordinate services with community-based organizations (CBOs), local employment and training activities, and activities connected with implementation of the Local One-Stop delivery system to avoid duplication of services and to expand the range and accessibility of services.

E. THE APPLICATION

This section describes the application materials and instructions applicable to all institutions seeking funding. The annual application must reflect any changes, modifications or updates to the Institution's Local Four-Year Plan and carefully relate proposal objectives, major efforts, major effort objectives and activities, and proposed expenditures to the plan.

Each application must include an original and two copies. The application must be complete and in the order given below. Please number sections sequentially. Begin each section on a new page.

- 1. Grant Information Form, Part A** (Part A of Form VTEA-PS-1, page 34) is to be used as the cover page of the application.
- 2. Abstract.** The Abstract consists of a summary paragraph of each Major Effort. These brief paragraphs (not to exceed 6 lines) must be numbered to correspond with the number of each Major Effort and include a summary of the needs statement, objectives and activities designed to address these needs and the projected outcome of the Effort. In addition to a hard copy, the Abstract must be submitted electronically as a Word file to icaruso@mail.nysed.gov at the time the application is mailed.
- 3. Four-Year Plan Modification**, only as necessary, for the period 2005-06 that meet the goals and requirements of Perkins III, including the requirements described in the separate Guide for the Development of Local Plans for Vocational and Technical Education Programs Offered by

Institutions Participating in Title I of the Carl D. Perkins Vocational and Technical Education Act of 1998 (Perkins III), issued in December 1999 in ADM 8. Any changes, modifications or updates to the Four Year Plan should have some compelling justification. Major and frequent changes are not encouraged as this prohibits strategic planning. Addition of a new Major Effort does not necessarily constitute the need for a re-written Four-Year Plan.

The Carl D. Perkins Vocational and Technical Education Act and the Workforce Investment Act require all Perkins postsecondary grantees to use a portion of their allocated funds to support their local One-Stop delivery system. In their Four-Year Plan submitted with the 2001-02 application, Perkins grantees provided information concerning the status of partnership with the Local Workforce Investment Board to support the local One-Stop delivery system. The 2005-06 Perkins Four-Year Plan Modification must discuss any changes that have occurred in partnering with the Local Board, according to the following conditions:

- a. **No formal Memorandum of Understanding (MOU) has been negotiated with the Local Workforce Investment Board.** Briefly describe the status of negotiations with the Local Workforce Investment Board including a description of barriers that are preventing the development of an MOU. (Contact persons for each Local Workforce Investment Area are listed at: <http://www.workforcenewyork.org/lwiacontacts.htm>).
 - b. **A formal MOU has been negotiated with the Local Workforce Investment Board.**
 - Indicate that an MOU has been formalized and that a copy is enclosed with the 2005-06 Perkins application. This may be newly negotiated or may be the most recent MOU to which partners have agreed.
 - Indicate that the MOU discussed the use of Perkins grant funds to support the local One-Stop delivery system (This use of Perkins grant funds must follow the targeted major effort format shown in Section 6.c. of these Guidelines.)
- 4. Local Advisory Council** annual report, including the following information:
- a. A Local Advisory Council Membership List (Form VTEA-PS-4, page 44). Be certain to include the complete mailing addresses of each member as requested on the form.
 - b. Copies of the minutes of the Local Advisory Council meetings that have been held during the year prior to development of the proposal, including the Local Improvement Plan. These minutes must document the Council's involvement in the modifications of the four-year plan (if any), the Local Improvement Plan (if required), and proposed major effort activities.

5. Local Improvement Plan. Each year the State Education Department sends notification under separate cover to those agencies that need to develop a Local Improvement Plan (LIP). The need for the LIP is based on a comparison of each institution's performance measures reports (VTEA-1 and VTEA-2) to the statewide accountability standards, and a LIP is required whenever an institution fails to meet those standards. The Local Improvement Plan must include specific actions or strategies to improve performance of career and technical education students, including those who are members of special populations; a timeline for implementation of those actions/strategies; and evidence of the Local Advisory Council's input in its development. The application must clearly demonstrate the relationship between Major Effort activities and the Plan's specific actions or strategies to improve performance. If a Local Improvement Plan is not required, please state that this item is "**Not Applicable.**"

6. Major Effort Description for FY '06 [Grant Information Form, Part B, Major Effort Data (Part B of Form VTEA-PS-1, pages 35-37)]. It must include information on how the institution will address the Four-Year Plan and all eight required activities across all its Major Efforts.

- a. Eight Mandated Activities. Under Section 135 (b) of Perkins III, during 2005-06, institutions **shall** use Perkins III non-competitive formula funds to support one or more of the following eight activities:

(1) *Strengthen the Academic, Vocational and Technical Skills of Students.*

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:

- "training of vocational and technical education personnel to use state-of-the-art technology, which may include distance learning;
- "providing vocational and technical education students with the academic, and vocational and technical, skills that lead to entry into the high technology and telecommunications fields; or
- "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:

- "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;
- "support of education programs for teachers of vocational and technical education in the 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;
- "internship programs that provide business experience to teachers; and
- "programs designed to train teachers specifically in the use and application of technology";

(5) *Develop and Implement Evaluations of Career Education Programs.*

"Develop and implement evaluations of the vocational and technical education programs carried out with non-competitive formula grant funds, 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;*

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- (7) *Provide Services and Activities that are of Sufficient Size, Scope, and Quality to Be Effective;*
- (8) *Link Secondary Career Education and Postsecondary Vocational and Technical Education, "including implementing tech-prep programs."*

Career and technical education postsecondary formula funds must be used to supplement the performance of postsecondary CTE students, and cannot be used to improve the performance of students who are enrolled solely in secondary school. Examples of suitable linkages include:

- Grant-funded activities that enhance opportunities for dual credit course completions; and
- Grant-funded activities that provide summer academic supplementation to students who will matriculate in fall CTE programs.

b. Adult Noncredit Efforts. Major efforts addressing adult noncredit programs must emphasize employment preparation and include proposed quantitative evaluations that will document skill attainment and placement.

c. Support of Local One-Stop Delivery System. As discussed in Section 2. Four-Year Plan Modification, the Carl D. Perkins Act and the Workforce Investment Act require all Perkins postsecondary grantees to negotiate a Memorandum of Understanding (MOU) with the Local Workforce Investment Board regarding the use of Perkins funds to support their local One-Stop delivery system. This MOU must indicate how core services costs and administrative costs will be supported for the local One-Stop delivery system. If finalized, one copy of the most recently negotiated MOU must be submitted with the Perkins 2005-06 application.

If an MOU has been negotiated, the Perkins 2005-06 application must describe specific use of Perkins grant funds for supporting the local One-Stop delivery system. Options for describing this support include:

- Developing a separate major effort to describe the use of Perkins funds for core services (e.g., intake, assessment and supportive services) and for administrative costs.
- Reflecting the use of Perkins funds for core services and administrative costs in multiple major efforts. Items entered in multiple major efforts must be clearly labeled as related to One-Stop support.

Note: Since the Perkins Act has a five percent limit on amounts used for administering the Perkins grant, any administrative support for a One-Stop must come from within this five percent amount.

Additional information regarding Perkins postsecondary grantee responsibilities for supporting One-Stop delivery system applicable core services and administrative costs can be found in Section I.

d. Grant Information Form (VTEA-PS-1), Part B, pages 35-37. A completed copy of Grant Information Form, Part B must be submitted for each Major Effort for which funding is sought. Number each Part B consecutively. Provide a data-based narrative description of the major effort that includes:

- (1) An adequate description of the major effort's need and scope; a clear description of the major effort's relationship to the institution's Perkins III Four-Year Plan; the objectives of the major effort; the activities that will take place in order to achieve the objectives; the anticipated accomplishments, stated in quantified terms; coordination with agencies, organizations, and programs external to the institution, as appropriate; timelines; staffing; and quantitative measures to be used to evaluate achievement. **ALL MAJOR EFFORTS MUST INCLUDE**

ACTIVITIES DIRECTLY INVOLVING STUDENTS WITHIN THE GRANT YEAR SO THAT THEIR EFFECTIVENESS CAN BE EVALUATED.

Note: An **objective** is broader than a specific activity. It is a statement of a specific end that, if achieved, will support one or more program goals. It (1) is stated in quantifiable terms, (2) specifies a date or time period for its achievement, and (3) indicates the resources needed to achieve it in that time period. A Major Effort's **activities** are specific courses of action to achieve one or more of the Major Effort's objectives in the time period specified.

- (2) Evidence, including current curricula vitae and resumes, that proposed staff and/or consultants funded under Perkins III will be qualified to undertake the activities proposed. This should be included with the appropriate Major Effort description.
- (3) For those institutions that have been required to develop a Local Improvement Plan, Major Effort description(s) that clearly demonstrate a relationship between Major Effort activities and the "specific actions to improve performance" included in that Plan.
- (4) For those Major Efforts that have already been funded for three or more years, the applicant's plans to institutionalize it after Perkins III funding.

All degree and credit-bearing certificate programs supported by Perkins III funds must be registered by the State Education Department as meeting the quality standards in the Regulations of the Commissioner of Education. Evidence of registration is a copy of the Department's registration letter for the program or its inclusion in the current Inventory of Registered Programs at the institution. The Institutional Profile, which is to be submitted electronically and separate from this application, provides information about size and scope of major efforts.

Distance education and learning must reflect the quality practices and capability, as described on the State Education Department web site:
<http://web1.nysed.gov/ocue/distance/>

Grant applications that include major effort activities for the delivery of distance education and learning must acknowledge that an Institutional Capability Review Application has been submitted to the State Education Department as evidence of quality commitment in distance education and learning.

e. Permissible Activities, Programs and Services, and Expenditures. The Perkins III major efforts that each institution designs to meet the requirements above should address the needs of students and make use of resources already available. Eligible institutions must work cooperatively with approved One-Stop delivery systems; local providers of education, training, and services; and community-based organizations (CBOs) to offer integrated service systems to special populations, avoid duplication of services, and expand the range and accessibility of services. Also, Local Advisory Council advice must be sought in planning programs and services. SED expects activities to vary widely within these parameters.

- (1) The following are examples of **activities, programs, and services** that are allowable under Perkins III:
 - Access to computer labs where CTE students can practice the skills necessary for employment;
 - Accommodation and support services for career and technical education students with disabilities;
 - Assessment, advisement, guidance, job development, and placement services for members of special populations in CTE programs;

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- Contextualized learning, supplemental instruction, and collaborative learning and study groups to augment classroom instruction and increase the probability of continued success for at-risk CTE students;
 - Counseling and intervention strategies and support services to provide greater assistance to economically disadvantaged CTE students;
 - Educational resource centers for the remediation and development of the basic skills needed for success, **when incorporated into a matriculated student's career and technical education program**;
 - Emphasis on those curricula preparing CTE students for high-skill, high-wage occupations;
 - Expanded cooperative education programs, internships, and other work-experience arrangements;
 - Institutional collaboration with organized labor and business and industrial organizations;
 - Instruction in English for speakers of other languages and bilingual instruction for limited-English-proficient youth and adults, **when incorporated into a matriculated student's career and technical education program**;
 - Intensified curriculum and staff development activities to upgrade career and technical education programs and enhance instructional techniques in such programs;
 - Opportunities for participation in Tech-Prep consortia;
 - Training in nontraditional, high-wage, high-skill occupations for single parents, displaced homemakers, and others;
 - Training programs integrating career and technical and academic instruction for unemployed and underemployed adults; and
 - Updating/upgrading equipment to support high-tech programs in such areas as computer graphics, allied health, computer information systems, engineering technologies, telecommunications, and word processing and office skills.
- (2) Allowable **expenditures**. The general guide is that the expenditure contributes to student achievement in career and technical education programs. Major Effort descriptions must delineate how the activities and expenditures will improve career and technical student achievement [see E.6.e.(1), above]. Examples of allowable expenditures include the following:
- Child care subsidies for children of students matriculated in career and technical education programs;
 - Computer software;
 - Equipment (including computers) acquisition, installation, repair, and maintenance;
 - Instructional supplies and materials;
 - Supplemental staff, including instructors, technicians, aides, tutors, signers, note takers, and interpreters for special population CTE students;
 - Other supplemental services to improve access to career and technical education programs and services, including curriculum modification, equipment modification, classroom modification, and instructional aids and devices;
 - Testing materials;
 - Travel in the United States that is specifically related to the major effort objectives and activities; and
 - A maximum of five percent of the funds for administrative costs. (See **Administrative Cost Policy** below.)
- (3) **Administrative Cost Policy**. Perkins III, Section 135(d), requires that an institution receiving funds use no more than five percent of such funds for administrative costs. Such costs are subject to the following definitions and restrictions:
- i. Indirect cost is considered part of administrative cost and is included in the five-percent maximum. Agencies having an approved indirect cost rate greater than five percent are limited to five percent for this program, including any direct charges that are determined to be administrative costs.

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- ii. All staff positions and activities not directly related to a specific major effort will be considered as an administrative cost.
 - iii. Any leadership activities, including general curriculum development and implementation, and general staff inservice training or staff development must be designated as administrative cost.
 - iv. Certain direct costs, including staff salaries and activities related to the successful operation of a project, are not considered as administrative cost. For example, the cost of modifying curricula to serve students in a particular project is not considered an administrative cost.

(4) **Examples of Expenditures that are Not Allowable.** Expenditures that are not allowable include:

- Acquisition of equipment for administrative or personal use.
- Acquisition of furniture (e.g., bookcases, chairs, desks, file cabinets, tables) unless an integral part of an equipment workstation or to provide reasonable accommodations to career and technical education students with disabilities.
- Food services/refreshments/banquets/meals.
- Remodeling not directly connected to accessibility to career and technical education instruction, or services, or to the use or installation of project-purchased equipment.
- Payment for memberships in professional organizations.
- Prevocational educational activities.
- Purchase of promotional favors, such as bumper stickers, pencils, pens, or T-shirts.
- Subscriptions to journals or magazines.
- Travel outside the United States.
- Any expenditures for students **not** enrolled in career and technical education programs, including career exploration.

7. A Management Plan describing how the institution will monitor the progress of projects, including the names and titles of persons responsible for each major effort, the person responsible for overall coordination of funded activities, and the names of the persons responsible for monitoring program activities, services for special populations, fiscal activities, program outcomes, and participation in the local One-Stop delivery system.

8. Statement of Assurances, Federal Compliance Certification forms, and Postsecondary Multi-Year Plan Extension for 2005-2006 [VTEA-PS-2, VTEA-PS-3, and VTEA-PS-4], pages 38-42. The application must include executed copies of both forms, with at least one --- designated **in red ink**, "Original Signature Copy" -- bearing the original signature, **in blue ink**, of the institution's chief executive officer or authorized designee.

9. Institutional Profile. The Institutional Profile is to be sent by the applicant to the State Education Department electronically and is to be completed as an Excel file. Instructions for completing the file will be sent to the applicant electronically at the time these Guidelines are mailed. If the applicant does not receive it, please contact Lynn Caruso at lcaruso@mail.nysed.gov or (518) 474-5705 **immediately**.

10. A Proposed Budget, including the following:

- a. Budget notes that explain or justify budgetary items of an unusual nature or that need clarification and, if more than one major effort is to be funded, clear numerical references to each major effort against which the items in each budget category will be levied.
- b. Spreadsheet of Proposed Type of Expenditure by Major Effort (Appendix 1, page 46)

-
- c. Proposed Budget for a Federal or State Project (Form FS-10). **Only the form or a computer-generated facsimile labeled "Proposed Budget for a Federal or State Project, FS-10 (10/02)" is allowable for submission.** A current copy of the FS-10 can be found at <http://www.oms.nysed.gov/café/forms.html>. This form is so identified on the upper right hand corner of its cover page. This must be a single form that includes all proposed expenditures for all major efforts to be funded. One copy must be marked, **in red ink**, "Original Signature Copy" and bear the original signature, **in blue ink**, of the applicant's chief executive officer or designee. All columns and lines on the form must be completed so that calculations for salaries, fringe benefits, and indirect costs may be verified. Lists of proposed acquisition of supplies and equipment **must** include unit prices. The proposed budgets for each major effort must be itemized under the applicable budget categories and cross-referenced to that major effort's number.

In the Budget, round proposed expenditures to the nearest dollar. **Do not round upwards from that amount.** Sufficient detail is required for each budget category to allow reviewers to understand how the requested figure was calculated. When there is insufficient room on the budget form, you may provide additional information in Budget Notes, which you should append to the FS-10.

Budget Categories (as listed on Form FS-10):

- (1) **Code 15 - Salaries for Professional Staff.** Be sure that the only personnel included here are professional and are employees of the fiscal agent. It is essential to identify the portion of a full-time equivalent (FTE) represented by each person and the rate of pay. The pay rate should be consistent with the institution's contractual pay rate for a given position. If additional information is required to explain the category, it should be included in the Budget Notes. When release time is given to full-time faculty for grant activities, the grant may be charged for the cost of part-time replacements. Do not include here persons who are not employees of the fiscal agent. Fee paid for services by employees of members of a consortium other than the fiscal agent must be listed under Code 40, Purchased Services.
- (2) **Code 16 - Salaries for Support Staff.** Only non-instructional employees of the fiscal agent should be listed. These may include secretarial staff, tutors, laboratory assistants, technicians, and other non-instructional staff. Do not include persons who are not employees of the fiscal agent here, including employees of members of a consortium other than the fiscal agent. Fees for services purchased from such persons must be listed under Code 40, Purchased Services.
- (3) **Code 40 - Purchased Services.** This category will normally include all services to be purchased outside the institution serving as fiscal agent, including rentals, equipment repairs, and consultant and vendor services. Neither the fiscal agent nor an employee of the fiscal agent should be identified as a provider of purchased services. Such employees always should be listed under Code 15 or Code 16, as appropriate. Fees for services provided by employees of the members of a consortium other than the fiscal agent must be included under this code. Please do not use the word, "tuition," for fees for staff development contracted with external agencies. Fees for services by individuals are not "stipends" or "honoraria"; please do not use those terms for such fees. Do not include conference registration fees and similar costs of conference attendance here; include them under Travel Expenses (Code 46). Contact your liaison for specific information.
- (4) **Code 45 - Supplies and Materials.** This category covers both expendable supplies like paper and printer cartridges and instructional materials like books and manuals that cost less than \$1,000 per unit. Since the "Equipment" category includes only items with a unit cost in excess of \$1,000, some computer equipment and software will be included as supplies. Lump sum requests for supplies will not be honored. Unit costs and quantities must be provided. Provide sufficient detail to permit the reviewer to judge the appropriateness of the quantity and unit cost of supplies requested.

-
- (5) **Code 46 - Travel Expenses.** All allowable travel must be included under this code. Only those travel expenses directly related to the operation of the program are allowed. Dates of travel and estimated costs for meals, lodging and the mode of transportation must be included. For all travel, show how the figures were calculated: mileage, lodging, registration fees for conferences, meals, number of trips, and so forth.
- (6) **Code 80 - Employee Benefits.** It is not necessary to identify each amount or percentage for the individual components of fringe benefits but it **is** necessary to indicate the **composite fringe rate** for full and part-time employees.
- (7) **Code 90 - Indirect Cost (Optional).** Indirect cost represents money generated by a fixed percentage (currently five percent) of all expenditures in the budget **except equipment (Code 20), minor remodeling (Code 30), stipends, honoraria, tuition, and the amount of individual contracts exceeding \$25,000.** These funds can be used to defray costs not otherwise allowed in specific budget categories like heat, electricity, or janitorial services.
- (8) **Code 30 - Minor Remodeling.** This category is restricted to renovations designed to improve physical access to an occupational program by students or staff with disabilities, and to the use or installation of project-purchased equipment.
- (9) **Code 20 - Equipment.** To improve communication with your liaison during the proposal review and simplify processing of the final fiscal claim, these general rules should be followed:
- i. Number all requested items of equipment sequentially.
 - ii. Identify the number of units requested and the unit cost. Even if a package price has been negotiated, provide a breakdown of component prices on the FS-10.
 - iii. Bid each equipment item "installed and operational." ("Operational" means at the workstation and connected to electrical and/or other needed services.) **Funds for equipment not installed and operational on February 15, 2006, will lapse on that date.**
 - iv. Use the phrase, "or the equivalent," when specifying models or manufacturers to allow you to purchase an alternative item from a vendor without prior approval.
 - v. List **all** items with a unit price of \$1,000 or more in this category, including software.

Cross-Reference. On the FS-10, provide a cross-reference between major effort number and the items listed. For example, if Code 15, Salaries for Professional Staff, on the FS-10 lists five persons, each item should have a parenthetical number corresponding to the Major Effort number (from the Grant Information Form, Part B) to which the person is assigned.

Budget Summary. This is the FS-10's final page. Check all of its sub-totals against those in the budget. Be sure that the major effort totals on Grant Information Form, Part B, add up to the total on this page. Check the addition for both the sub-totals and grand total. Be sure the chief executive officer or official designee has signed it in blue ink.

Included in these Guidelines is the review sheet (pages 19-25) that is used by SED liaisons to approve your application. Please refer to this review sheet to assure that your application contains the appropriate content, prior to submission to SED.

F. PACKAGING THE APPLICATION

1. Each project application package must include one original set of required materials labeled **“ORIGINAL” in large red letters** in the upper right hand corner and containing the **original signature in blue ink** of the chief executive officer (CEO) or their designee, plus two copies of the complete set. Do not bind the application. All pages are to be numbered consecutively. Do not include photocopies of the designated "Original Signature Copy" in the application. MAIL THE APPLICATION TO:

**Collegiate Development Programs Unit
New York State Education Department
Education Building Addition, Room 1071
Albany, NY 12234.**

All applications must be postmarked by **May 2, 2005**.

DO NOT SEND THE PROPOSAL OR THE FS-10 TO SED's GRANTS FINANCE UNIT.

2. Each **institution** must make its complete application available for review by the appropriate **Local Workforce Investment Board** (see section I) and to the **local office of the State Education Department's Office of Vocational and Educational Services for Individuals with Disabilities (VESID)** by sending copies directly to them at the same time that it submits the application to the Department. This will assist in coordination of career and technical education with job training and the provision of vocational and technical and educational services to persons with disabilities. Institutions may obtain names and addresses from the Department of Labor website <http://www.workforcenewyork.org/onestops.htm> or from the VESID Website <http://www.vesid.nysed.gov/do/locations.htm>

3. All **State University of New York campuses and community colleges** must send one copy to:

Office of the Provost and
Vice Chancellor for Academic Affairs
State University of New York
State University Plaza
Albany, NY 12246

4. All **colleges of The City University of New York** must send one copy directly to:

Office of Academic Affairs
The City University of New York
535 East 80th Street, Room 618
New York, NY 10021-0795

5. All **Educational Opportunity Centers (EOCs)** must send one copy directly to:
University Center for Academic and Workforce Development
State University of New York
1 Steuben Place, 4th Floor
Albany, NY 12207-2106

a. Perkins III Application Review Sheet for Postsecondary Institutions

Institution/Consortium Name: _____

Application Number: 8000-06-_____

Supervisor Review: _____

Initials

Reviewer's Signature: _____

Status: _____ Approve without further information Date: _____

_____ Approve with additional information Date: _____

b. APPLICATION PACKAGE CHECKLIST

Contents	Yes	No	If No...When Received
Grant Information Form – Part A			
Abstract			
Four-Year Plan	XXX	XXX	
• Changes or modifications, if necessary			
• One-stop support			
Annual Report of Local Advisory Council (LAC)	XXX	XXX	
• LAC Minutes			
• LAC Membership List			
Local Improvement Plan, as necessary			
Grant Information Form – Part B (one for each major effort)			
Management Plan			
Statement of Assurances			
Federal Compliance Certifications			
Plan extension sign-off			
Institutional Profile			
Budget Form (FS-10)			
Appendix 1			

c. APPLICATION REVIEW

a. POSTSECONDARY GRANT INFORMATION FORM—PART A (page 7, item E.1 of these *Guidelines*.)

A completed Postsecondary Grant Information Form Y__ N__

Acceptable additional information received:

b. ABSTRACT (page 7, item E.2 of these *Guidelines*.)

The application contains a summary paragraph not exceeding 6 lines for each Major Effort proposed. Y__ N__

Acceptable additional information received:

c. FOUR YEAR PLAN MODIFICATION (page 7, item E.3 of these *Guidelines*.)

(1). Modification, as necessary Y__ N__ NA__

(2). One-stop support Y__ N__

Acceptable additional information received:

d. LOCAL ADVISORY COUNCIL (page 8, item E.4 of these *Guidelines*.)

(1) The proposal provides evidence of involvement, input, and approval of modifications to the Four Year Plan (if any), the Local Improvement Plan (if required), and proposed activities. Y__ N__

(2) The Council is representative of all groups prescribed under Perkins III Legislation Y__ N__

Acceptable additional information received:

e. LOCAL IMPROVEMENT PLAN (page 8, item E.5 of these *Guidelines*.), **if required.**

(If Not Required, check here _____.)

- (1) If modifications are made to the plan, then the plan addresses student completion, retention and placement needs based on the institution's Performance Measures Report, for the following cited program clusters: Y__ N__

	<u>Comp</u>	<u>Place</u>	<u>Employ Ret</u>	<u>Non-Trad Part</u>	<u>Comp</u>
_____	()	()	()	()	()
_____	()	()	()	()	()
_____	()	()	()	()	()
_____	()	()	()	()	()
_____	()	()	()	()	()
_____	()	()	()	()	()
_____	()	()	()	()	()
_____	()	()	()	()	()
_____	()	()	()	()	()

- (2) Specific strategies and timelines are presented. Y__ N__
- (3) Addresses how the Institution will provide programs and/or services to help special populations meet the State levels of performance. Y__ N__
- (4) Identifies any Major Efforts that are being proposed to meet the identified needs. Y__ N__

If **NO** to any of the above, identify additional information required by item number and letter:

Acceptable additional information received:

f. MAJOR EFFORT DESCRIPTION FOR FY '06 (pages 8-14, item E.6 of these *Guidelines*.)

- (1) The program description includes:

- (a) A completed Grant Information Form (Part B) (pages 35-37 of these *Guidelines*) for each major effort. Information includes adequate descriptions of:

- | | | | |
|---|-----|-----|----|
| ◆ The need for this major effort | Y__ | N__ | |
| ◆ The relationship of this Major Effort to the institution's Four-Year Plan | Y__ | N__ | |
| ◆ If a Local Improvement Plan is required, the Major Effort's relationship to that Plan | Y__ | N__ | NA |
| ◆ The Major Effort's objectives (quantified where appropriate) | Y__ | N__ | NA |
| ◆ The core services and administrative support for the local One-Stop delivery system | Y__ | N__ | NA |
| ◆ Activities to achieve the objectives | Y__ | N__ | NA |
| ◆ Size, scope, and quality of the Major Effort's activities and their | Y__ | N__ | NA |

relationships to the objectives	Y__	N__	
◆ Coordination with external agencies (especially workforce preparation providers)	Y__	N__	
◆ Timelines for the Major Effort, noting significant activities, month-by-month	Y__	N__	
◆ Reasonable and appropriate evaluation methods that will be used to track <u>quantifiable</u> student outcomes to determine whether the Major Effort's objectives have been achieved.	Y__	N__	
◆ Includes evidence that academic programs being funded appear in the Inventory of Registered Programs.	Y__	N__	
(b) The institution's Major Efforts address some or all of the 8 required use of funds.	Y__	N__	
(c) The Major Efforts address the student persistence (retention), completion, and placement needs, as necessary, based on the institution's Performance Measures Report.	Y__	N__	NA
(d) The Major Efforts reflect how the institution plans to provide special programs and/or services to help special populations meet State adjusted levels of performance.	Y__	N__	
(e) The Major Efforts reflect the institution's plans to adopt strategies to help special populations overcome barriers to access and success in career and technical programs.	Y__	N__	
(f) There is evidence the proposed project staff and/or consultants are qualified to undertake proposed activities.	Y__	N__	
(2) Major Efforts addressing adult noncredit programs prepares students for employment for specific career and technical careers.	Y__	N__	NA
(3) An MOU between the Perkins grantee and the Local Workforce Investment Board describing support for the One-Stop delivery system has been submitted with the Perkins 2004-2005 application.	Y__	N__	
(4) Major Efforts meet Perkins III statutory requirements and New York State goals and priorities.	Y__	N__	
(a) Proposed activities or expenditures do not supplant institutional responsibilities.	Y__	N__	
(b) There is evidence of institutionalization of successful long-term projects.	Y__	N__	NA
(c) Use of Perkins III funding is limited to students matriculated in career and technical education programs.	Y__	N__	

If **NO** to any of the above, identify additional information required first by item number and letter and then by Major Effort:

Acceptable additional information received:

g. MANAGEMENT PLAN (reference page 14, item E.7 of these *Guidelines*.)

The application includes a description of the institution's management plan to monitor the progress of projects, including the names and titles of persons responsible for each major effort, program activities, services for special populations, program outcomes, monitoring fiscal activities, participation in the local One-Stop delivery system, and overall coordination of funded activities and outcomes.

Y__ N__

Acceptable additional information received:

h. Statement of Assurances, Federal Compliance Certifications, and Postsecondary Multi-Year Plan Extension for 2005-2006 (reference page 14, item E.8 of these *Guidelines*.)

The application includes valid signatures, including one original signature, on the Statement of Assurances, Certification Regarding Lobbying, Debarment, Suspension and Other Responsibility Matters and Drug-Free Workplace Requirements, and Postsecondary Multi-Year Plan Extension for 2005-2006.

Y__ N__

Signed Certifications Received:

i. INSTITUTIONAL PROFILE (reference page 14, item E.9 of these *Guidelines*.)

The Institutional Profile data supports the proposed Major Efforts.

Y__ N__

If **NO**, which Major Effort(s) is not supported:

Acceptable additional information received:

j. BUDGET INFORMATION (reference pages 14-16. item E.10 of these *Guidelines*.)

(1) The following budget information is provided:

(a) Budget notes as needed. Y__ N__

(b) Appendix 1, containing a clearly presented spreadsheet of proposed expenditures by Major Effort. Y__ N__

(c) An FS-10 containing adequate information about salary calculations, unit prices for equipment, brand names and details for all categories of expenditures. Y__ N__

(d) All Major Effort expenditures on the FS-10 coded to match the numbers of the corresponding Major Efforts. Y__ N__

(e) Administrative costs that do not exceed 5% of the total funds requested (excluding equipment, stipends, honoraria, tuition and minor remodeling and contractual services in excess of \$25,000). Y__ N__

(2) The budget appears to supplement, not supplant, local efforts and expenditures. Y__ N__

If **NO** to any of the above, identify additional information required first by item number and letter and then by Major Effort:

Acceptable additional information received:

H. DEFINITIONS

For the purposes of Perkins III postsecondary non-competitive applications, the following definitions apply:

Abstract is a summary paragraph, no more than 6 lines, of each Major Effort for which the applicant applies. It is submitted electronically to SED in a Word file and as a hard copy with the application.

Activity is a specific course of action to achieve one or more of the objectives of a project or major effort in the time period specified.

Administration includes a recipient's activities necessary for the proper and efficient performance of its duties under Perkins III, including supervision but not including curriculum development activities, personnel development, or research activities (Perkins III, section 3, paragraph 1).

Career and Technical Education (see Vocational and Technical Education, page 31)

Competitive Funds mean funds available to eligible agencies on a competitive basis, pursuant to provision in the Carl D. Perkins Vocational and Technical Education Act of 1998. Such grants are awarded for Tech-Prep programs.

Consortium means two or more postsecondary agencies collaboratively offering career and technical education and services.

Core Performance Indicators are defined in Perkins III as the measures of each of the following:

- (1) Student attainment of challenging State-established academic, and vocational and technical, skill proficiencies.
- (2) Student attainment of a postsecondary degree or credential.
- (3) Placement in, retention in, and completion of, postsecondary education or advanced training; placement in military service; or placement or retention in employment.
- (4) Student participation in and completion of vocational and technical education programs that lead to non-traditional training and employment (see definition below).

Cost of Attendance means (1) tuition and fees, as determined by the institution, including costs for rental or purchase of any equipment, materials, or supplies required of all students undertaking the same course of study and the same academic workload; and (2) an allowance for books, supplies, transportation, dependent care, and miscellaneous personal expenses for a student attending the institution on at least a half-time basis, as determined by the institution.

Note that the portion of any student financial assistance received under Perkins III that is made available for attendance costs is not considered as income or resources in determining eligibility for assistance under any other program funded in whole or in part with Federal funds.

Disability means, with respect to an individual:

- (1) a physical or mental impairment that substantially limits one or more of the major life activities of such an individual; and
- (2) a record of such impairment; or
- (3) being regarded as having such an impairment (Americans With Disabilities Act, 42 USC 12102).

Displaced Homemaker means an adult who:

- (1) (a) has worked primarily without remuneration to care for a home and family and, for that reason, has diminished marketable skills;
(b) has been dependent on the income of another family member but is no longer supported by such income; or
(c) is a parent whose youngest dependent child will become ineligible to receive assistance under Part A of Title V of the Social Security Act not later than two years after the date on which the parent applies for assistance under this title; and
- (2) is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment (Perkins III, section 3, paragraph 7).

Duplicated Count of Students means reporting individual students in EACH special population category of which they are a member (see definition of Special Populations below). Duplicated counts are to be used

when completing the Part B chart “This Major Effort’s Target Population/Proposed Expenditures” (page 40). When determining the number of students to be served in a Major Effort, use the following guidelines:

(1) For efforts dedicated to a specific special population:

All (for example, 100) students are disabled. Determine the number of students of that 100 who are also economically disadvantaged, also single parents; also non-traditional students, etc. In this instance, there cannot be a number in any category higher than the number of disabled students (100) nor can there be any “General Postsecondary” students counted. In addition, ALL proposed expenditures must be for the 100 disabled students.

(2) For efforts serving students in a specific career program:

The number of students reported by special population category for that career program on the Institutional Profile should be used. Expenditures should be pro-rated among the various categories.

(3) For efforts serving students across a number of career programs such as a Learning Center or tutoring effort:

Student numbers can be estimated based on the percentages of students in specific special population categories among all career programs at the institution; expenditures should be pro-rated as well.

Note: For both instances (2) and (3), all students not members of a special population category should be reported on the “General Postsecondary” line.

Economically Disadvantaged means individuals who participate in any of the following economic assistance programs:

- a. Pell Grant
- b. Tuition Assistance Program (TAP)
- c. Aid for Part-Time Study (APTS)
- d. Educational Opportunity Program (EOP); Higher Education Opportunity Program (HEOP); Search for Education, Elevation and Knowledge (SEEK); and College Discovery (CD).
- e. Bureau of Indian Affairs Higher Education Grant Program (BIA)
- f. TANF Funded Services and Assistance
- g. Workforce Investment Act
- h. Social Security Insurance
- i. Women, Infants, and Children (WIC)
- j. Other public assistance programs serving economically disadvantaged, such as: Food Stamps, Home Energy Assistance Payments (HEAP), Supplemental Security Income, Trade Readjustment Act, and Refugee and Immigration Affairs Assistance.

Or who may be documented as low income:

- k. Other: An adult with a total family income below \$14,100 for single persons, \$19,600 per couple, or \$22,350 for a family of three, with an additional \$4,350 per dependent child.

Eligible Postsecondary Institution, regarding this request for non-competitive proposals, means a public or independent [not-for-profit] degree-granting institution or Educational Opportunity Center (EOC) that offers career and technical education below the baccalaureate level and generates \$50,000 or more in postsecondary/adult formula funds or a consortium of such institutions which meets that \$50,000 minimum

grant requirement and that offers collaborative career and technical education programs that will be of sufficient size, scope, and quality to be effective.

Equitable Participation means that special population students must have the same opportunity to enroll in each career and technical education program as other populations served by the recipient.

Formula Funds are funds available to all eligible agencies on a non-competitive basis, pursuant to section 132 of the Carl D. Perkins Vocational and Technical Education Act of 1998, for the purpose of improving career and technical education.

Full Participation involves providing the supplementary and other services to **special populations** (see below) that enable them to succeed in the career and technical education program. The needs of all seven special population groups, if matriculated in a career and technical education program, must be addressed in any activity that is funded. In determining which sites or programs to fund, SED expects that priority will go to those with the highest concentrations or percentages of individuals who are members of special populations. There is no requirement to spend a particular amount of money for any given group. Rather, it must be demonstrated that the needs of each special population group have been identified and factored into decisions relating to the application of funds.

Individuals with other Barriers - A student who has barriers to education achievement requiring special services and assistance to assure success in career and technical education programs. This includes any student who has not acquired the verbal, mathematical, and other cognitive skills required to complete his/her postsecondary program. Generally, his/her grades fall in the bottom half of the secondary school graduating class, he/she has not earned a Regents diploma, is from a secondary school setting which has a poor record for preparing students, or has been out of school for two years or more. He/she will generally rank low on traditional measures of collegiate admissions such as SAT scores, secondary grade average, and class standing. This also includes students who are enrolled in an Educational Opportunity Program (EOP); Higher Education Opportunity Program (HEOP); Search for Education, Elevation and Knowledge (SEEK); and College Discovery (CD).

Institutional Profile reports data related to the size and scope of the applicant's career and technical education programs. It is submitted electronically to SED as an EXCEL file.

Integrated Academic/Skill Programs integrate academics and career education through a coherent sequence of courses so that students can achieve both academic and career competencies. Such programs include competency-based, applied learning that contributes to an individual's academic knowledge, higher-order reasoning, problem-solving skills, work attitudes, general employability skills, and the career-specific skills needed for economic independence as a productive and contributing member of society.

Limited English Proficiency and **Limited-English-Proficient (LEP) Individuals** refer to an individual who:

- (1) has limited ability in speaking, reading, writing, or understanding the English language and
- (2) whose native language is a language other than English or who lives in a family or community in which a language other than English is dominant (Perkins III, section 3, paragraph 13).

A Local Advisory Council consists of at least ten members who are not employees of the institution/agency and includes, but need not be limited to, persons from the following seven groups: (a) parents, (b) students, (c) faculty members, (d) representatives of business and industry, (e) labor organizations, (f) representatives of special populations (see definition below), and (g) other interested individuals (see Perkins III, section 134 b, paragraph 4).

Local Improvement Plan is a plan required of postsecondary institutions that fall below required statewide standards or that show less than three percent annual progress in meeting those standards. The plan describes the strategies the institution will use to move toward achieving the pertinent statewide standard or standards.

Nontraditional Students are persons who elect to enter a vocational or technical education program which prepares them for entry into a career, for which individuals from one gender comprise less than 25% of the individuals employed in such occupation or field of work.

Nontraditional Training and Employment refers to 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 such occupation or field of work (Perkins III, section 3, paragraph 17).

An Objective is a statement of a specific end that, if achieved, will support one or more program goals. It is (1) stated in quantifiable terms, (2) specifies a date or time period for its achievement, and (3) indicates the resources needed to achieve it in that time period.

Planning Process refers to the development of the local plan required of all Perkins III-eligible postsecondary institutions seeking formula allocation funding and covering the same period as the State plan.

A Registered Program is a degree program or a credit or noncredit diploma or certificate program included in the State Education Department's Inventory of Registered Programs as meeting the standards of quality for registration in subchapter A of the *Regulations of the Commissioner of Education*.

A Single Parent is an individual who is not married or who is legally separated from a spouse and (1) has a minor child or children for whom the parent has either custody or joint custody or (2) is pregnant.

Size, Scope, and Quality: Funds may be used only to provide career and technical education in projects of **sufficient size, scope, and quality** to be effective. All degree and credit-bearing certificate programs supported by Perkins III funds must be registered by the State Education Department as meeting the quality standards in the *Regulations of the Commissioner of Education*. Evidence of registration is a Department registration letter or inclusion of the program in the Inventory of Registered Programs at the institution that SED sends annually to the institution. The Institutional Profile included in the application provides information about size and scope of projects.

Special Populations, for the purposes of Perkins III, are:

- (1) Individuals with disabilities;
- (2) Economically Disadvantaged Individuals;
- (3) Individuals preparing for nontraditional training and employment;
- (4) Single Parents;
- (5) Displaced Homemakers;
- (6) Individuals with other barriers to educational achievement, including educational disadvantage; and
- (7) Individuals with Limited English Proficiency;

Statewide Performance Measures means the State-adjusted levels of performance, approved by the U.S. Secretary of Education, for each of the four core indicators of performance (see definition above), as set forth in the State plan for Perkins III for the period 2001-02 through 2003-04.

Supplemental Services include counseling, English language instruction, child care, and special aids designed to assist students who are economically disadvantaged, students of limited English proficiency, and students with disabilities to succeed in the career education programs of their choice.

Support Services means services related to curriculum modification, equipment modification, supportive personnel, and instructional aids and devices (Perkins III, section 3, paragraph 25).

A Tech-Prep Student: A New York State "Tech-Prep Student" is one who has signed a Tech-Prep Enrollment Form and meets the following criteria:

-
- Receives academic content through applied learning;
 - Completes a sequence of two or more standards-based career oriented courses that provide technical skills;
 - Is enabled to be employed in skilled entry level jobs and complete the postsecondary portion of a secondary/postsecondary program;
 - If a postsecondary student, has completed the secondary portion of the secondary/postsecondary program and enrolls in an articulated, state registered postsecondary Tech-Prep Program, and
 - Completes a two-year associate degree program, a two-year certificate program, or a two-year apprenticeship program that follows secondary Tech-Prep instruction.

A Tech-Prep Program: the term Tech-Prep program means a program of study that:

- Combines at a minimum 2 years of secondary education (as determined under State law) with a minimum of 2 years of postsecondary education in a nonduplicative, sequential course of study;
- Integrates academic, and vocational and technical instruction, and utilizes work-based and worksite learning where appropriate and available;
- Provides technical preparation in a career field such as engineering technology, applied science, a mechanical, industrial, or practical art or trade, agriculture, health occupations, business, or applied economics;
- Builds student competence in mathematics, science, reading, writing, communications, economics, and workplace skills through applied, contextual academics, and integrated instruction, in a coherent sequence of courses;
- Leads to an associate or a baccalaureate degree or a postsecondary certificate in a specific career field; and
- Leads to placement in appropriate employment or further education.

Vocational and Technical Education is defined as organized educational activities that:

- (1) offer a sequence of courses (as defined by the Education Commissioner's Rules and Regulations) that provides individuals with the academic and technical knowledge and skills the individuals need to prepare for further education and for careers (other than careers requiring a baccalaureate, master's, or doctoral degree) in current or emerging employment sectors; and
- (2) include competency-based applied learning that contributes to the academic knowledge, higher-order reasoning and problem-solving skills, work attitudes, general employability skills, technical skills, and occupation-specific skills of an individual (Perkins III, section 3, paragraph 29).

Vocational and Technical Education Areas are the following Higher Education General Information Survey (HEGIS) codes: 5000 (Business and Commerce Technologies), 5100 (Data Processing Technologies), 5200 (Health Service and Paramedical Technologies), 5300 (Mechanical and Engineering Technologies), 5400 (Natural Science Technologies), and 5500 (Public Service Related Technologies).

I. RESPONSIBILITIES OF PERKINS POSTSECONDARY GRANTEEES IN SUPPORTING LOCAL ONE-STOP DELIVERY SYSTEMS

Generally, the following Workforce Investment Act **core services** are applicable to Perkins programming and must be made available through the local One-Stop delivery system:

- the provision of information concerning the performance and cost of vocational and technical programs;
- the initial assessment of skill levels, aptitudes, abilities and supportive service needs of individuals prior to their enrollment in a vocational and technical education program;

-
- the provision of information to individuals prior to their enrollment in a vocational and technical education program relating to the availability of supportive services, including child care and transportation, and referral to such services.

Core services that are applicable to Perkins grantee programs must be accessible through the local One-Stop delivery system. The purpose of this requirement is to ensure that core services are provided by One-Stop partners in a coordinated, nonduplicative manner. Grantees are not required to provide any new or additional services that they would not have otherwise offered using Perkins funds.

The amount that each grantee contributes to the **administrative costs** of the local One-Stop delivery system is negotiated with the Local Workforce Investment Board as part of the Memorandum of Understanding (MOU).

Decision-making and negotiation with respect to this contribution must take into account the following factors:

- **Proportionality.** The contribution must be "proportionate to the use of the One-Stop delivery system by individuals attributable to" the Perkins grantee's vocational and technical program. The method of attributing individuals to the Perkins program is negotiated as part of the MOU. Other related considerations, such as how the system is used by attributable individuals, including the level or intensity of services that are provided to them, might also be considered in applying this principle of proportionality.
- **Limitations on Administrative Costs.** Contributions to the administrative/operating costs of the One-Stop delivery system, such as the rental of space occupied by an employee performing administrative functions, are presumptively administrative costs under Perkins. Perkins grantees may not expend more than 5 percent of their Perkins funds on administrative costs.
- **Cost of Other Responsibilities.** Perkins grantees have administrative responsibilities, including, the implementation of performance accountability systems necessary to fulfill the Perkins accountability requirements. Perkins grantees should retain sufficient funds to enable them to fulfill these responsibilities.
- **Allowable Costs.** Perkins grantees may only contribute toward costs that are allowable under the Perkins Act. U.S. Department of Education regulations, for example, prohibits the use of funds "for the acquisition of real property or for construction unless specifically permitted by the authorizing statute" for the program.

Perkins grantees and the Local Workforce Investment Board may determine the amount, and manner, of the contribution within these parameters. Contributions may be made on an in-kind basis or directly through a transfer of funds.

Each Local Workforce Investment Board has designated at least one Perkins grantee to serve on the Board, representing the interests of other Perkins grantees. The list of Local Workforce Investment Boards including the designated Perkins Board members can be found on the following web site: <http://www.workforcenewyork.org/lwiacontacts.htm>. Perkins grantees who are not members of a Local Workforce Investment Board may wish to collaborate with the designated Perkins Board member to determine resources that each Perkins grantee can provide in support of the local One-Stop delivery system. These resources are the basis for core services and administrative support that will be negotiated in a grantee's MOU.

The University of the State of New York
THE STATE EDUCATION DEPARTMENT
Collegiate Development Programs Unit
Education Building Addition, Room 1071
Albany, NY 12234

POSTSECONDARY GRANT INFORMATION FORM, FY 2005-2006
Perkins III Formula Allocation, Postsecondary Institutions

Project Number: 8000-06- _____

Part A refers to the overall grant. **Part B** should be reproduced and completed for each Major Effort within the overall grant.

PART A - OVERALL GRANT

1. Institution/Consortium Name: _____
2. Dates of Operation: From 7/1/05 to 6/30/06
3. Name of Perkins III Contact Person: _____
Title: _____
Street Address: _____
City: _____ State: NY Zip Code: _____
Telephone: _____ Fax: _____
E-mail Address: _____
4. Chief Executive Officer: _____
Street Address: _____
City: _____ State: NY Zip Code: _____

Chief Executive Officer Certification. I hereby certify that the information in this application for a Perkins III grant is correct and complies with appropriate Federal and State laws and regulations and that the grant detailed herein will be carried out as described.

Signed: _____ Date: _____

Name (print): _____ Title: _____

An original signature in blue ink is required.

Form VTEA-PS-1, page 1 of 4

PART B - MAJOR EFFORT DATA - POSTSECONDARY GRANT INFORMATION FORM
Fiscal Year 2005-2006

Institution/Consortium Name _____

Include a separate completed Part B for each Major Effort in the application. Make additional copies of Part B as needed.

1. This Major Effort's Number: ____ of ____
2. This Major Effort's Title: _____
3. This Major Effort's Target Population/Proposed Expenditures:

Enter the number of career/technical students who will receive DIRECT services by this Major Effort by the population category of which a student is a member and the proposed expenditures. Students who qualify in more than one special population category should be reported in EACH category that applies. Therefore, the numbers reported should be DUPLICATED. (See the Definitions Section for a further explanation of "Duplicated Count of Students" on page 27.) Use the General Postsecondary category only for students who are NOT members of any special population.

On the last line, enter the UNDUPLICATED number of students who will be served by this Major Effort.

Population	# of Students	Proposed Expenditure
General Postsecondary: Credit/Noncredit (circle as appropriate)		\$
Individuals with Disabilities		\$
Economically Disadvantaged Individuals		\$
Individuals preparing for nontraditional training and employment		\$
Single Parents		\$
Displaced Homemakers		\$
Individuals with other barriers to educational achievement, including educational disadvantage		\$
Individuals with Limited English Proficiency		\$
MAJOR EFFORT TOTAL (DUPLICATED COUNT):		\$
MAJOR EFFORT TOTAL (UNDUPLICATED COUNT):		XXXXXXXXXXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXXXXXXXXXX

4.
 - a. **Name and Title of the Director of this Major Effort:**

 - b. **Director's Telephone Number:** _____
 - c. **Director's E-Mail Address:** _____

5. **Major Effort Description.** Check as many of the following eight required activities as this Major Effort addresses, but not less than one.

Perkins III Mandated Activities	Addressed
1. Strengthen the Academic, Vocational, and Technical Skills of Students	
2. Provide Students With Strong Experience in and an Understanding of All Aspects of an Industry	
3. Develop, Improve or Expand the Use of Technology in Vocational and Technical Education	
4. Provide Professional Development Programs for Faculty, Counselors, and Administrators	
5. Develop and Implement Evaluations of Vocational and Technical Education Programs	
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	
8. Link Secondary Career Education and Postsecondary Vocational and Technical Education	

Provide a detailed narrative of this Major Effort. Attach as many pages as needed, numbering each with this major effort's number. The narrative should describe fully:

- a. the need for this Major Effort;
 - b. the relationship of this Major Effort to the agency's Four-Year Plan;
 - c. if a Local Improvement Plan (LIP) was required, the Major Effort's relationship to the LIP;
 - d. this Major Effort's objectives (**quantified** where appropriate);
 - e. the core-services and administrative support for the local One-Stop delivery system (if applicable);
 - f. activities to achieve the objectives;
 - g. coordination with external agencies (especially workforce preparation providers); and
 - h. this Major Effort's timeline, noting significant activities, month-by-month.
6. **Major Effort's Evaluation:** List the **quantitative** evaluation methods that will be used to determine whether the Major Effort's objectives have been achieved. Examples include: retention rates, completion/graduation rates, **quantitative** evaluation instruments that measure the occupational skills gained by students during the course of the major effort, pre- and post-test results, and assessments of staff development activities. For each method, list the corresponding outcome or achievement to be reached during the funding year. **All outcomes must be identified as quantifiable student outcomes related to skills attainment, retention, completion, and/or placement.** If one of the objectives of the major effort is full participation in training to prepare individuals for nontraditional employment, quantitative evaluation measures must be designed to measure this objective. **RESULTS OF SURVEY INSTRUMENTS DESIGNED TO MEASURE STUDENT/FACULTY SATISFACTION WILL NOT BE ACCEPTED AS EVALUATION MEASURES.**

Example:

Evaluation Measure: Completion rates for the coming year will be compared to prior year rates.

Outcome: As a result of this Major Effort completion rates will increase from 50% to 60%.

Attach as many pages as needed. Number each with this Major Effort's number.

7. **Major Effort Staff:** List the names and titles of all persons who will be assigned to and funded by this Major Effort. Show the percent or full-time equivalent of each person's time devoted to this Major Effort. Indicate Major Effort salary, but do not include fringe benefits. **Attach statements of the job qualification requirements for each vacant position, curriculum vitae for incumbents for whom none have previously been submitted, and curriculum vitae for all consultants.**

	<u>Name</u>	<u>Title</u>	<u>Time</u>	<u>Salary</u>
1.	_____	_____	_____	_____
2.	_____	_____	_____	_____
3.	_____	_____	_____	_____
4.	_____	_____	_____	_____
5.	_____	_____	_____	_____
6.	_____	_____	_____	_____
7.	_____	_____	_____	_____
8.	_____	_____	_____	_____

8. **Major Effort Budget**

Any costs shown below must also appear on the FS-10 budget with the number of this Major Effort entered next to the items listed on the FS-10.

Category	Code	Major Effort Costs
Professional Salaries	15	\$
Non-Professional Salaries	16	\$
Purchased Services	40	\$
Supplies and Materials	45	\$
Travel Expenses	46	\$
Employee Benefits	80	\$
Indirect Costs	90	\$
Minor Remodeling	30	\$
Equipment	20	\$
Major Effort Total		\$

The University of the State of New York
THE STATE EDUCATION DEPARTMENT
STATEMENT OF ASSURANCES
Academic Year 2005-06
Carl D. Perkins Vocational and Technical Education Act (Perkins III)
Postsecondary Agencies: Basic Grant

All subrecipients assure that:

- Perkins III funds will supplement and not supplant local expenditures and will not duplicate objects of expenditure from other sources.
- None of the funds expended under Perkins III are being or will be used to acquire equipment (including computer software) in any instance in which such acquisition results in a direct financial benefit to any organization representing the interests of the purchasing entity or its employees or any affiliate of such an organization.
- Methods of administration and fiscal control are in place for proper and efficient administration and accounting of projects funded under Perkins III in accordance with applicable Federal and State laws, regulations, and directives.
- This application was made available for review and comment by interested parties including the appropriate administrative entity under the Workforce Investment Act and the District Office of the Office of Vocational and Educational Services for Individuals with Disabilities.
- The subrecipient will submit, with its Perkins III application, one copy of the most recently formalized Memorandum of Understanding (MOU) established with the appropriate Local Workforce Investment Board(s).
- The seven special populations under Perkins III have the same opportunity to enroll in vocational and technical education programs as other populations served, are provided with programs designed to enable them to meet the State levels of performance, and are not discriminated against on the basis of their status as members of the special populations.
- All consultants meet competency requirements and are legally eligible to receive Perkins III funds.
- The subrecipient complies with and activities conducted with Perkins III funds will take place in accordance with: (1) Title VI of the Civil Rights Act of 1964, (2) Title IX of the Education Amendments of 1972, (3) Section 504 of the Rehabilitation Act of 1973, (4) The Age Discrimination Act of 1975, (5) the Americans with Disabilities Act, and (6) the U.S. Office for Civil Rights' *Guidelines for Eliminating Discrimination and Denial of Services in Vocational and Technical Education on the Basis of Race, Color, National Origin, Sex and Handicap.*

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Non-Procurement) and Government-wide Requirements for Drug-free Workplace (Grants)." The certification shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and

(c) Are not presently indicted or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (2) (b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 --

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about --

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees

85.110 --

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

Form VTEA-PS-3, page 1 of 2

(e) Notifying the agency, in writing, within 10 calendar days after having received notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, SW (Room 3652, GSA Regional Office Building No. 3), Washington DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below

for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will :

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 --

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, SW (Room 3652, GSA Regional Office Building No. 3), Washington DC 20202-4248. Notice shall include the identification number(s) of each affected

the site(s) for the performance of work done in connection with the specific grant.

Place of Performance (Street address, city, county, state, zip code)

Check if there are workplaces on file that are not identified here.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT
NAME

PR/AWARD NUMBER and/or PROJECT

PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

SIGNATURE

DATE

ED80-0013
12/98

Form VTEA-PS-3, page 2 of 2

Carl D. Perkins Vocational and Technical Education Act of 1998
Postsecondary Multi-Year Plan Extension for 2005-2006

The multi-year plan for the Carl D. Perkins Vocational and Technical Education Act of 1998 at our postsecondary institution is being extended to cover the 2005-2006 grant year (July 1, 2005 through June 30, 2006). In extending our current multi-year plan, we will give particular attention to the following federal priorities:

- 1) Improving academic skills, with particular attention to:
 - a. Efforts to ensure that students who participate in career and technical education programs are taught to the same challenging academic proficiencies as are taught to all other students.
 - b. Activities to assist individuals who are members of Perkins designated special populations, enabling them to attain academic success.
- 2) Strengthening education connections that better prepare students for moving to advanced levels of career and technical education, with particular attention to:
 - a. Strategies to develop opportunities for secondary students to earn postsecondary level credit.
 - b. Efforts to develop opportunities for students enrolled in associate degree career and technical programs to continue their education by transferring to baccalaureate degree programs.
- 3) Preparing career and technical students for entry into high skill, high wage employment in current or emerging occupations.
- 4) Investing in effective, high-quality programs, with particular attention to how previous performance of career and technical students is used to evaluate programs and courses.

Chief Executive Officer or Authorized/Designated Official:

Signature (in blue ink) _____ Date _____

Printed Name _____

Title _____

Postsecondary Institution Name:

Form VTEA-PS-4, page 1 of 1

**LOCAL ADVISORY COUNCIL FOR CAREER AND TECHNICAL EDUCATION
MEMBERSHIP LIST**

Every postsecondary institution or consortium receiving Perkins III formula grants is required to appoint and maintain a local advisory council. The council must consist of at least ten members. **Its members may not be employees of the agency being served.** The membership must include, but need not be limited to, representatives of each of the following seven groups:

1. Students
2. Parents
3. Faculty members *
4. Representatives of business and industry
5. Labor organizations **
6. Special populations
7. Other interested individuals.

* Faculty members cannot be employed by the funded institution

** Labor organizations refers to labor unions

On the following form, indicate the name of the institution or consortium advised by this council and the name of the council's chairperson. Also indicate the name, job title, business address, and the term expiration date for each council member. Indicate the gender of each member, whether the member is representative of a minority group, whether the member is representative of non-traditional employment, and the group number (1 to 6 from the above list) the member represents. A single member may represent more than one group; for each member, note each group represented.

Form VTEA-PS-4. **LOCAL ADVISORY COUNCIL FOR CAREER AND TECHNICAL EDUCATION MEMBERSHIP LIST -- FY 2005-06**

Institution or Consortium: _____

Council Chairperson: _____

Name and Job Title	Name and Address Of Business	Date Term Expires	Gender (Male/ Female)	Minority (Yes/No)	Non-T (Y)

(make copies, as needed)

Proposed Budget for a Federal or State Project (Form FS-10 [10/02]).

The FS-10 can be found at <http://www.oms.nysed.gov/café/forms.html>. Refer to page 14, Item E.9.c. for further instructions regarding this form.

Appendix 1, 2005-06.

Name of Institution/Consortium _____

Spreadsheet of Proposed Type of Expenditure by Major Effort:

Budget Category	FS-10 Code	Major Effort 1	Major Effort 2	Major Effort 3	Major Effort 4
Professional Salaries	15				
Support Staff	16				
Purchased Services	40				
Supplies and Materials	45				
Travel Expenses	46				
Employee Benefits	80				
Indirect Costs	90				
Minor Remodeling	30				
Equipment	20				
TOTAL					

Notes: Duplicate this form if this project has more than 5 Major Efforts.

The total proposed expenditure for each Major Effort must equal the Major Effort Total on the VTEA-PS-1 Part B for that Major Effort.

The total proposed expenditure for all major efforts must equal the Grand Total on the final page of the FS-10.

Form FS-10 Appendix 1.