SECTION B: 2006-2007 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, 2006 to June 30, 2007. 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 follows.

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 62 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 charts for both divisions can be accessed at: http://atwork.nysed.gov/Facilities/policymanual/ohe.html.

During the July 1, 2006 to June 30, 2007 period, the New York State Plan for the Administration of Career and Technical Education was updated for the academic year and the VTEA program was administered with 179 sub-recipient grants. These included 139 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

The career education delivery system in New York State consists of over 1,100 agencies and institutions. These include local school districts, BOCES and postsecondary institutions. There are over 550 local school districts with secondary career education programs. There are 37 BOCES with secondary career education programs, of which 35 also offer adult career education programs. Postsecondary institutions offering career education include colleges and educational opportunity centers from the State University of New York (SUNY), the City University of New York (CUNY); and non-profit independent colleges.

These agencies and institutions serve almost one million career education students annually and are supported by federal, state and local funds.

The Regents of the University of the State of New York govern this system. The Board of Regents establishes the State's education policy, makes rules that have the force and effect of law and govern the University. The University encompasses all education in the State, from pre-kindergarten through graduate and professional schools. The SED serves as the administrative arm of the Board of Regents under the direction of the Commissioner of Education, who also serves as the President of the University. The Commissioner is appointed by the Board of Regents and carries out legislative mandates and Regents policies. The SED plans, funds, offers technical assistance to and coordinates educational services provided by educational agencies within the State.

Secondary CTE

- Over 25 percent of students state-wide in grades 9-12 are enrolled in CTE programs in districts.
- Over 400,000 more students, who take CTE as stand-alone courses in their local districts, are not included in the above sequenced program enrollment count (Source: New York State Basic Education Data System data, this number reflects student course-taking, i.e., a student may be counted more than once).
- New York City career and technical education programs are located in 21 dedicated CTE schools and 160 academic comprehensive schools. Over 113,000 students were enrolled in New York City CTE in the 2006-2007 school year. Approximately 39 percent of New York City high school students are enrolled in CTE programs or are taking one or more CTE courses.

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. New York State’s approved secondary CTE programs are the model for Programs of Study to be developed in the future. All approved programs are organized around the State’s career major areas, which have been formed from the 16 career clusters and are based in the New York State Learning Standards. All approved programs include articulation agreements and benefit from alignment of academic and CTE standards. For data reporting purposes, information is disaggregated by the 16 cluster format. Upcoming changes in the State’s learning standards will include discussions of inclusion of the 16 cluster areas. Secondary/postsecondary faculty collaboration is built into the New York State Program Approval Process in the form and self-study and external review committees. Programs of study all go beyond grade 12 inasmuch as approved programs are required to have articulation agreements.

Postsecondary CTE

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.

Criminal Offender: Secondary and Adult

VTEA-supported projects were implemented through the OCFS, the Department of Corrections, the Commission of Corrections, and seven local educational agencies or BOCES. The following agencies received funds to serve adult students:

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	

II STATE LEADERSHIP ACTIVITIES

Required Uses of Funds [Section 124(b)(1-8)]Required Uses of Funds

An assessment of the vocational and technical education programs that are funded
Final MAGI study completed. MAGI's final evaluation reported student outcome and program status data. The three broad policy questions the study sought to answer were: 1. How does the CTE leaver rate compare with the high school dropout rate? 2. What is the impact of CTE programs on high school student attitudes and outcomes? 3. To what extent does CTE curricular content reflect New York State academic standards at the commencement level? CTE students and non-CTE students 1. CTE leaver rate declined over the study's two-year period, while that of high school dropouts was on the rise. Minority and special education students were more likely to stay in school when they were enrolled in CTE programs. 2. CTE promotes clarity in career planning. More CTE students received help in planning their future and were more certain of their plans and career choices than their non-CTE classmates. Program-level data **1.** Most integrated credit is at commencement level. A sample of courses, stratified by region, CTE provider and academic area was provided to a panel of academic content specialists who found that a clear majority of CTE courses reviewed demonstrated ELA and mathematics content at the commencement level. They also concluded that course material was aligned with the New York State Learning Standards. MAGI found that over 85 percent incorporated ELA content at the commencement level and almost three-quarters of the courses in math did the same. 2. Credits offered through articulation agreements create opportunity. MAGI found that dual credit offered within a coherent sequence had more of an impact on CTE students decisions to attend college than the "stand-alone" credits influenced Non-CTE peers. CTE appeared to significantly enhance the high school experience for minority students "…more minority students in CTE in the CTE sample saw high school as relevant to their future than did their counterparts in the non-CTE group" (MAGI 3, p. 24.).

The complete report can be accessed at:
http://www.emsc.nysed.gov/cte/docs/FinalMAGIreport.pdf

State staff conducted evaluations of the following Family and Consumer Sciences activities were completed: Cobleskill Early Childhood Career Academy, Buffalo Central School District Model B and model C applications/materials.

Coordinated a two-day New York State HSTW staff development program for 16 New York HSTW sites, involving 62 participants. The focus of the staff development activity was to assist the sites with using assessment data to improve CTE programs and student achievement.

State staff conducted reviews of more than 100 work-based learning program applications, to ensure program quality.

Developing, improving, or expanding the use of technology in vocational and technical education

Technology Education activities included:

- Energy Curriculum standards alignment projects with New York State Energy Research Development Authority; Curriculum guidance and resource development for technology education framework pertaining to building awareness/understanding of technology education programs
- Technical assistance for Regent's policy on middle-level technology education compliance issues with school districts
- USDOE phone conferences for coordination of Mathematics Science Partnership Program; technical assistance meetings with USDOE for MSP Program and with New York State MSP grant recipients (program includes CTE teachers as participants in professional development activities to increase their content knowledge in math and science)
- Liaison with professional organization activities; Advisory council, conferences, workshops, technical assistance; National conference participation on research and design in professional development
- Development of contracts for consultant services; development RFP's for Engineers of the Future Grant program (Delivered professional development to approximately 800 teachers statewide to

increase their content knowledge and skill in engineering-related content to be used in the classroom)

- On site monitoring and technical assistance of programs; new web resources for business and marketing instructors were created and made available 2300 business teachers.

The Career Development and Occupational Studies Standards in Family and Consumer Sciences were updated became part of the State Education Departments Virtual Learning System offerings.

The CTE Resource Center conducted an on-line survey statewide to determine professional development needs.

The Career and Technical Education Resource Center conducted a workshop for 10 administrators on data collection and data systems in New York CTE.

Professional development programs, including providing comprehensive professional development (including initial teacher preparation) for vocational and technical, academic, guidance, and administrative personnel

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 has held seven regional conferences for over 1600 CTE educators to provide information on successful curriculum and program design practices. These events were highly valued by schools, districts, and teachers as each conference was well attended by hundreds of participants at each session. Feedback from the sessions has been very positive.

Other professional development programs provided by the CTE Resource Center include:

- 32 planning meetings with administrators and teachers from the field to plan the regional conferences.
- 8 regional conferences hosting over 3,100 educators
- coordination of a statewide leadership conference attended by 132 administrators.
- CTE leadership conference co-facilitated by the Center for 44 administrators; staff development sessions on CTE strategies to 50 CTE teachers
- Workshops held for 100 educators attended at the statewide Transition Coordinators conference to advance CTE strategies.

CTE team staff presented to Siena College Teacher Preparation program; provided information and resources to better prepare them to be CTE teachers. Presented to Hofstra University. Teacher Prep Program; provided information and resources to better prepare them to be CTE teachers

Yearly conference held for health occupations educators for approximately 100 teachers across the state

Support for vocational and technical education programs that improve the academic, and vocational and technical skills of students...through the integration of academics with vocational and technical education

Completed re-approval reviews for 179 programs. The first cycle of re-approvals was completed in 2006. Most approved programs sought re-approval—149 of a total of 179 were re-approved,

FACS high school Core curricula update and high school best practices rubric and template were completed this year

Provided targeted technical assistance to business teachers throughout the State to improved CTE educational delivery. Maintained and disseminated current and emerging promising practices to over 850 business and other CTE teachers across the State.

New York State's CTE Resource Center conducted the following professional development sessions:

- A mini-retreat with the NYC liaisons was conducted. Areas of focus included integrating the CFM curriculum and using the CTECC database for course outlines.
- A full-day workshop for 45 academic integration teachers project-based instruction workshop for more than 300 instructional staff

Work is currently underway to align career major areas with the 16 federal career clusters. Some local programs have developed and use programs of study outlining both an academic and CTE sequence of courses and others will be moving in that direction in the near future.

Programs of Study/Career Pathways are based on industry certificate programs where industry certification is available. Other programs use nationally recognized/industry-developed technical assessments to document technical skill attainment.

Composed and disseminated 40 electronic SED E-NEWS weekly news briefs to an electronic network of over 400 educators (i.e., administrators, teachers, school counselors) across the state to share New York State Education Department updates, CTE program information, classroom resources, and teaching strategies.

Provide daily technical assistance related to CTE via letter, e-mail, and telephone to New York educators.

Provided presentations at four state and local zone meetings of the New York State Work Experience Coordinators' Association to share New York State Education Department updates, work-based learning resources, and program implementation strategies to assist Association members with ongoing implementation of high quality Work-Based Learning opportunities for students. In New York there are approximately 160,000 high school students who participate in various WBL options.

Providing preparation for nontraditional training and employment

The NET Project website is maintained as a source of information, resources and communication for Perkins-funded institutions—secondary and postsecondary—in New York State and includes the following:

- The *Spotlight* e-newsletter is distributed semi-monthly to more than 400 individuals in New York State and throughout the country. A clearinghouse for Vanguard Award materials and information; previews and order forms for NTO careers poster sets.

- Updated *Crosswalks of Nontraditional Occupations for Males and Females* from the US Department of Labor.

- Development of model programs: (1) Camp GEOG, a summer camp for middle school girls in collaboration with Girls Incorporated and the University at Albany's Department of Geography and Planning; (2) Girls Get I.T. , a partnership with Capital Region BOCES and Time Warner's Capital News 9 resulted in a one-day program for 20 10th grade females.

- Workshops: (1) *Gender and Career Choices: Relevant in the 21st Century* was delivered at each of the seven CTE Regional Conferences; (2) *Girls Get I.T.:*presented at the Tech Prep Annual Conference; (3) *Making CDOS Learning Standards a Reality*, presented at the Annual NYSUT Conference for BOCES Leadership.

Supporting partnerships to enable students to achieve State academic standards
Conducted two, two-day each, Technical Review Visits along with staff from the Southern Regional Education Board and other New York educators, at two New York High Schools That Work sites to assist the sites with continuing implementation of the HSTW Key Practices for ongoing school improvement. Business: Partnered with Classroom Inc. the State University at Cortland, New York State Society of Certified Public Accountants, Partnered with the *Business Review* to provide resources to CTE teachers to help students meet academic and career and technical standards;
Serving individuals in state institutions
Services for Youth New York State Office of Children & Family Services (OCFS) served young people involved in the juvenile justice system by providing industry-standard occupational training services in OCFS residential centers and transitional services when they return to their home communities. Services provided include: ▪ Vocational assessments plus career and financial management (job readiness) instruction; Industry-specific vocational instruction, including certificates awarded by nationally recognized associations, and career portfolio preparation. ▪ On-the-job-training experiences, job development and 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 technical assistance site visits to OCFS facilities and key community transition sites, such as New York City, Rochester and Buffalo. These 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 continue to be developed and are targeted as an eventual outgrowth of the longstanding efforts to introduce the

concepts of applied learning in OCFS facility program.

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 2006-2007 Program Plan proposed to expand opportunities for facility-based youth to receive industry standard certificates in marketable areas of instruction. Private sector businesses need assurance that young people applying for jobs have the skills necessary to perform the tasks they require. But once young people have the requisite skills, how do they convey to prospective employers that they are ready to work? OCFS must prepare youth to speak the “language” of employers. And nothing speaks this tongue quite as articulately as certifications from the very professional associations the private sector relies upon. As a result, VATEA-funded OWD staff linked each of its occupational offerings in facility programs to an accompanying private sector certifying organization, association or business, prepared to attest to prospective employers that our young graduates are capable of succeeding on the job.

Targeted in the 2006-2007 VATEA Program Plan was the expansion of certifying partners to include Nike. We are pleased to report that during this program year, all 30 OCFS facilities have access to the internet-based customer relations curriculum, with staff trained in its use. Nike certificates, which include their corporate logo, are currently being prepared. To date, fifty youth have completed the program. It should be noted that this web-based program is the same training experience Nike retail sales associates throughout the nation are required to complete. It is clear that this Nike certificate will attest to the employability of graduates.

OCFS introduced an entirely new phase in the OWD Workforce Development continuum of care: the VATEA Incentive Program (VIP), a stipend-compensated experience for youth in community-based workforce development programs, specifically those in Evening Reporting Centers (ERC), Group Homes, and selected community-based initiatives receiving youth transitioning from facility to community placement.

The “OCFS May Be Your Answer” initiative was begun to engage the support private sector employers who need to balance sincere beliefs that young people deserve a second chance at success with the demands of the “bottom line.”

While in residential placement, OCFS youth undergo intensive workforce development training that includes:

- assessment
- Career and Financial Management Instruction (Job readiness that includes the “60-second infomercial”),
- OCFS Portfolio Preparation Training,
- Occupational Skills Training (including certificates awarded by nationally recognized professional associations),
- on-the-job training (stipend-compensated)
- career counseling

Criminal Offender: Adult

The funds provided technical skills instruction and support services to persons incarcerated in county or State correctional facilities.

Results Achieved in 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, computer technician, MS Office, computer basics, job readiness & CHOICES, building trades, OSHA, building maintenance, basic office skills, plumbing, and telecommunications.

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 advanced their academic levels and/or passed the GED tests and earned a high school equivalency diploma.

Students who participated in the program developed a career plan that included assessment results achieved through administration of a Career Zone, CHOICES, and Career Interest.

Results achieved in state-operated programs: All programs that are operated in county jails were visited to ensure that program quality standards were met.

The 2006-2007 VTEA grant provided the New York State Department of Correctional Services funds to improve curriculum in the construction field. The National Center for Construction Education and Research (NCCER) recognized 28 vocational instructors as certified craft instructors, which brings the total of certified craft instructors to 133 for the 4 year period of the VTEA grant. The craft Instructors provided instruction to inmates at various DOCS facilities. As a result, 476

students have passed portions of the training materials and have been reported to the NCCER national registry. Of these 476 students, 209 have completed the core curriculum, 21 students have completed Level I in a specific NCCER craft trade, 6 students completed Level II and 5 students completed Level III in the various craft trades. Funding was also used to purchase additional materials for the NCCER trade area's, which included materials in Spanish. In addition, materials were purchased pertaining to communication and soft skills to improve students handling workplace issues. Funding was used to purchase an additional 15 computers with software for use at 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.
Support for programs for special populations that lead to high skill high wage careers
Regular meetings were established for the Directors from Big 5 to develop solutions to common challenges facing their CTE programs Over 32 percent of the disabled students enrolled in CTE are served by New York State's regional technical schools, Boards of Cooperative Education Services (BOCES). Graduation rates for BOCES students exceed the state average. It is felt that this outcome can be attributed to the fact that the majority of programs run by BOCES have completed the New York State approval process and offer a level of rigor that prepares students for successful transitions. Conducted 17 Occupational Education Civil Rights reviews at New York State high schools and postsecondary institutions to ensure that all students have equal access to Career and Technical Education programs.

B. Permissible Activities [sec. 124 of Perkins III] Provide a brief summary of major initiatives and activities under one or more of the following areas under section 124(c)(1-12) of Perkins III.

Technical Assistance for eligible recipients
Continuous 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).

Establishment of agreements between secondary and postsecondary vocational and technical education program in order to provide postsecondary opportunities

Over 70 new programs and 179 re-approved programs that have completed the New York State Regents Program Approval Process have articulation agreements in place. Numerous Tech Prep programs continue to develop mature networks of articulation agreements on a regional basis.

Support for cooperative education

Over 12,000 students outside of New York City participate in work-based learning experiences, which are offered in approved and other CTE programs throughout the State. State staff continue to provide technical assistance and resources for the more than 600 cooperative education coordinators across the state. Updated technical manuals were developed to provide a consistent framework for coop experiences for CTE students in agriculture, business/marketing, health occupations, family and consumer sciences, technology, and, trade fields.

Support for vocational and technical student organizations

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

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).

Support for vocational and technical education programs that offer experience in and understanding of all aspects of an industry for which students are preparing to enter.
Many State-approved work experience programs continue to offer students the chance to try-out technical skills in the field of choice. The program that conveys school credit is the Career Exploration Internship Program (CEIP), which provides students with extended on-site career exploration experiences. Within the paid category, there are three available programs that convey graduation and/or sequence credit: the Cooperative Career and Technical Education Work Experience Program (CO-OP), the General Education Work Experience Program (GEWEP), and the Work Experience and Career Exploration Program (WECEP).
Support for family and consumer sciences programs
The FACS lead associate position, which had been vacant for over three years due to hiring restrictions, was filled in February 2006. Since that time, the FACS field has been moving forward with updates to curricular materials and programming.
Support for education and business partnerships;
New York's approved programs offer students work-based learning experiences. Many other partnerships have been formed through the continued evolution of the many internships, New Vision and other work-based learning programs offered to CTE students. The State continues to forge more ties to local area economic stakeholders in order to maintain the relevance of programming.
Support to improve or develop new vocational a technical education courses;
New partnerships with the state and local workforce investment boards are enhancing communication between program developers and regional business and industry representatives.
Providing vocational and technical education programs for adults and school dropouts to complete their secondary school education; and providing assistance to students, who have participated in services and activities under this title, in finding an appropriate job and continuing their education
New York State awards Perkins Postsecondary/Adult formula funding to 14 BOCES centers and 4 large city school districts that provide academic and technical skills needed by adults to establish initial labor force attachment from which further training can be continued.

III. Distribution of Funds and Local Plan for Vocational and Technical Education Programs [sec.131 and 132 of Perkins III]

A. Summary

- While secondary-level CTE is provided in over 550 local school districts, 77 grantees receive Perkins funding. Most of the 77 secondary Perkins recipients form consortia and share services at one of the State's 37 BOCES. Large school districts apply directly for their funds.
- Postsecondary level CTE funding is provided to 30 SUNY Community Colleges; nine SUNY educational opportunity centers; six SUNY colleges of technology and of agriculture and technology; six CUNY Community Colleges; four CUNY four-year colleges with two-year vocational/technical education programs; and seven independent colleges offering two-year vocational/technical education.

B. Local Applications

- Secondary application used to fund eligible recipients is found in Attachment A. See http://www.emsc.nysed.gov/funding/perkins0607.htm for a list of eligible agencies and distribution of funds.
- Postsecondary information for 2006-2007 is found in Attachment B

IV. Accountability [sec. 113 of Perkins III]

A. State Performance Summary

New York continues to work the challenges of data quality and response rates for secondary CTE programs. While sub-recipients had been made aware of the increasing emphasis on data quality and the need to link performance data to program improvement, reporting response rates declined once again. It is suspected that the under-reporting of CTE data is providing a partial picture of CTE's status in the State. This might be attributed to the rollout of the individual student record system with the concurrent use of the paper reporting system. The transition to the new system involves revision of data reporting processes and responsibilities between the BOCES and the districts. Some of the data under-reporting is attributable to this transition. The data reporting weaknesses may also contribute to the State's failure to meet performance targets.

Technical assistance memoranda were distributed to sub-recipients by the state program office. Until its full implementation, the extent to which the individual student record system will resolve data challenges for CTE is not certain. The possible development of a seamless P-16 reporting system is under consideration as a further measure to improve data quality.

On the postsecondary level, local follow-up is conducted to collect placement data. SED continues to advocate for access to statewide wage record information but the State Legislature has not approved a suitable bill. 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.

To improve data quality on the postsecondary level, 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.

The New York State Education Department began a data collection initiative (for secondary level CTE students) that will bridge our old system with the new student record system. In the past, the State's technical centers, Boards of Cooperative Education Services were responsible for CTE data reporting for students at their schools. In the reporting year, school districts were required to report CTE data on the Student Information Repository System (SIRS). This required that the districts and the BOCES form new partnerships for data quality.

During this transition, data was to be reported through both the new data warehouse and old paper-based reporting systems. The data was collected in two formats in order to ensure consistency in the data reported through these two formats. Until we can verify consistency, we will have to continue both paper and electronic collection modes.

Once New York's Information Reporting Services can be assured the new system is capturing all needed data, we will be able to move completely from the Career and Technical Education Data System (CTEDS) paper system to the more efficient electronic SIRS. The elimination of the CTEDS system will be possible only when we are certain that the data collected through the repository system accurately replicate the data collected through CTEDS. After that time, CTEDS will be used only to collect data from the follow-up surveys of the CTE students who graduated.

The following is an overview of the changes in the reporting process and the CTEDS and SIRS protocols:

Data System	**School Year**	**High Schools and Comprehensive High Schools**	**BOCES**
CTEDS	2006-2007	Report all CTE students in home school (remember to include those taking Business, Technology Education, Agriculture, Family and Consumer Sciences)	Report all BOCES CTE students
SIRS	2006-2007	All of the above, plus all CTE students enrolled at BOCES (remember to include Tech Prep students)	**BOCES do not complete SIRS data reports. All CTE reporting through the SIRS system is the responsibility of the student's home school.**

The new process has changed the role that BOCES plays in the data reporting. Once communication links for data sharing between BOCES and the school districts are established, a more efficient data collection system will have been achieved through SIRS. The SIRS manual, including various definitions, can be found at:
http://www.emsc.nysed.gov/irts/SIRS/documentation/UserManual.doc

Over the past several years, the number of school districts reporting on career and technical education (CTE) students through CTEDS has declined significantly. It is believed that the Student Information Repository System will enhance CTE data collection to better reflect the actual state of CTE programs and students.

All CTE directors in the State were asked to review the process by which CTE students are reported and to make needed updates to reporting procedures including:

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- All school districts were required to report on all of their CTE students, not just those receiving Perkins funding. As we transition to the electronic reporting system, it is important to remember that tech prep students are to be reported in SIRS.

- Districts were reminded to include groups that have been under-reported in the past. Whether offered in high schools or BOCES, Business, Technology, Agriculture, Health Occupations, Trade and Technical, and Family and Consumer Sciences were the target groups.

- Localities were apprised of the more stringent accountability provisions in Perkins IV (i.e., the possible use of sanctions for states that do not meet performance standards).

B. Results of Activities on all Students or Special Populations and program Improvement Strategies

1. Impacts of Activities on Performance Indicators for 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.

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 Even where the State has not met performance targets, some encouraging signs can be ascertained from some of the disaggregated data. Improved performance rates are found for individuals with disabilities, economically disadvantaged, and single parents who achieved higher levels of tracked performance from the last reporting period in all areas except 3S1. Students with “other educational barriers” improved in 1S1, 2S1, 2S2 and performed at almost the same level in 1S2.

For postsecondary vocational and technical education programs, 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.

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.

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.

Tech Prep

There are 32 tech prep consortia located in urban and rural settings throughout the State.

Tech Prep students are defined as those students with 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.

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
14. 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 for high school teachers and counselors, college faculty and 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.

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. 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.

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 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 2006-2007: 82.01 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 2006-2007: 83.47 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 2006-2007: 95 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 2006-2007: 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 2006-2007: 28.09 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 2006-2007: 20.74percent

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 3P1and 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

It is hoped that 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. The Board of Regents recently announced grants awarded to New York to address the P-16 data collection challenge.

Once again, 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.

Continued monitoring of collection processes as the data warehouse becomes fully operational should improve data quality for CTE programs. Appropriate technical assistance to sub-recipients is planned by staff and the CTE Resource Center.

On the postsecondary level, local follow-up is conducted to collect placement data. SED continues to advocate with the State Legislature for an enactment allowing access to statewide wage record information. This action would improve the validity and reliability of student follow-up data.

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 3-4 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.

Office of Curriculum and Instructional Support

Carl D. Perkins Vocational and Technical Education Act Basic Grant Secondary and Adult Career-Technical Education Programs at Secondary Agencies 2006-2007

Request for Non-Competitive Proposals

PROGRAM DESCRIPTION

The Carl D. Perkins Vocational and Technical Education Act of 1998 (Perkins) provides basic grants to improve the quality of career and technical education (CTE). Legislatively prescribed formulas related to population characteristics are used to allocate funds. Funds received by a recipient must be used to improve CTE programs.

Secondary CTE Programs

Applications for these funds must describe how grant monies provide support to the secondary agency's efforts to develop a coordinated continuum of preparation for work and college, and to foster better transitions for students between school and work, and between school and postsecondary education. Descriptions of how the use of these funds will help the applicant's CTE program to attain the standards represented by the performance indicators found in Perkins should be included (see Planning, pp 9-12). Emphasis should be placed on efforts that implement the Learning Standards for Career Development and Career Studies. These standards enable students to: relate personal skills, aptitudes and abilities to future career decisions; demonstrate how academic knowledge and skills are applied in the workplace and other settings; demonstrate mastery of the foundation skills and competencies essential for success in the workplace; and for students that have chosen a career major, acquire the career-specific technical knowledge/skills necessary to progress toward gainful employment, career advancement and success in postsecondary programs.

Agencies are strongly encouraged to plan these efforts jointly with their Local Workforce

Investment Board (LWIB) and Youth Council with emphasis on linking Perkins services with Workforce Investment Act (WIA) funds allocated to the LWIB.

Adult CTE Programs

The special emphasis of Perkins adult programs is employment preparation. The program descriptions submitted as part of the local application should depict how funds will be used to support this effort and show how services are coordinated with their LWIBs to avoid duplication and to expand the range and accessibility of services.

A description of how the local agency will provide a program that integrates academic education and CTE through a coherent sequence of courses should be included. The State Education Department (SED) encourages articulation of adult programs with related secondary and/or postsecondary curricula. Other adult programs, such as basic skills, bilingual or English Language Learners (ELL) programs, life management and the General Educational Development (GED) program can be funded only if they are offered through curricula integrated with CTE programs. Local job developers and placement coordinators working for other clients and supported by other funding sources, including Education for Gainful Employment (EDGE) and WIA, should be identified and, if possible, used to provide the same services for Perkins clients.

Each recipient of Perkins adult formula funds is a mandatory One-Stop partner under the WIA and must fulfill the responsibilities set out in Title I of the WIA. Those responsibilities include:

- Representation on the LWIB: As mandatory One-Stop partners, recipients of these funds are entitled to membership on the LWIB. However, to keep LWIB membership manageable, recipients of these funds may have selected a representative to serve on behalf of all such recipients in the Local Workforce Investment Area (LWIA). Each LWIB has designated at least one Perkins adult formula fund recipient to serve on the Board, representing the interests of all Perkins recipients. A list of LWIBs, including the LWIB contact person and the designated Perkins member(s) can be found at the following web site: http://www.workforcenewyork.org/lwia.htm. Perkins recipients who are not members of a LWIB may wish to collaborate with the designated Perkins Board member to determine resources that each Perkins recipient can provide in support of the One-Stop delivery system. These resources are the basis for core services and administrative support that will be negotiated in the Memorandum of Understanding (MOU);
- Entering into an MOU with the LWIB relating to the operation of the One-Stop system: This MOU is to include a description of services, how the cost of the identified services and administrative costs of the system are to be funded, and methods of referral. This MOU must indicate how both core services costs and administrative costs of the local One-Stop delivery system will be supported. This MOU must describe specific use of Perkins adult formula funds for the local One-Stop delivery system, and
- Making available applicable core services through the One-Stop system, either in lieu of or in addition to making these services available at the program site: Core services that are applicable to Perkins adult formula fund recipients' 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, non-duplicative manner. Perkins adult formula fund recipients are not required to provide any new or additional services that they would not have otherwise offered using Perkins funds. Core services are defined as:
    - the provision of information concerning the performance and cost of CTE programs;
    - the initial assessment of skill levels, aptitudes, abilities and supportive service needs of individuals prior to their entry into a CTE program; and
    - the provision of information to individuals prior to their enrollment in a CTE program relating to the availability of supportive services, including child care and transportation, and referral to such services.
- Each recipient of Perkins adult formula funds must use a portion of those funds to support their local One-Stop system. Options for describing how this support is funded within the Perkins application include:
- Developing a separate Major Effort to describe the use of Perkins funds for both core services (i.e., intake, assessment and supportive services) and for administrative costs; or
- Reflecting the use of Perkins funds for both core services and administrative costs in multiple Major Efforts. Items entered in multiple Major Efforts must be clearly labeled as related to support of the One-Stop delivery system.

Each recipient of Perkins adult formula funds is to negotiate their decision-making regarding the contribution of Perkins funds to the support of the One-Stop delivery system with the LWIB as part of the MOU. Factors that must be taken into account during negotiations include:

- Proportionality: The contribution must be proportionate to the use of the One-Stop delivery system by individuals attributable to the Perkins grantees' CTE 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 of intensity of services that are provided to them, might also be considered in applying this principle of proportionality.
- Limitations on administrative costs under Perkins: Contributions to the administrative costs of the One-Stop delivery system, such as the rental of space occupied by an employee performing administrative functions, are considered to be administrative costs under Perkins. All Perkins funds used to support One-Stop delivery system administrative costs are considered part of the administrative cap under Perkins and therefore can only come from those funds allowed for the administration of the Perkins grant (see Administrative Cost Policy, p 9). Recipients of Perkins adult formula funds should keep in mind that they have administrative responsibilities, including the implementation of performance accountability systems necessary to fulfill the Perkins accountability requirements. Agencies should retain sufficient funds to enable them to fulfill these responsibilities.
- Allowable costs: Recipients of Perkins adult formula funds may only contribute towards costs that are allowable under Perkins (see Mandated/ Allowable Activities/ Expenditures).
- Supplanting: The Perkins prohibition against supplanting applies to the WIA (see Other Obligations/ Responsibilities, Supplemental Efforts).

Recipients of Perkins adult formula funds and the LWIB may determine the amount and manner of the contribution within these parameters.

Each recipient of Perkins adult formula funds must submit a copy of the MOU they negotiated with their LWIB as part of their Perkins funding application.

ELIGIBLE AGENCIES

Only local school districts and Boards of Cooperative Educational Services (BOCES) may be eligible. To be eligible, such agencies must have a CTE program that is of sufficient size, scope and quality to be successful, and must have generated an allocation under the Perkins mandated secondary formula of at least $15,000 and/or under the adult formula of at least $50,000. SED determines size and scope by examining enrollments and program offerings. Quality is determined through the application review process.

At the secondary level the size and scope reviews yield four categories of agencies. These are:

Category A: Both the minimum funding level is reached and the size and scope concerns are met.
Category B: The minimum funding level is not reached while the size and scope concerns are met.
Category C: The minimum funding level is reached, but the size and scope concerns are not met.
Category D: Neither the minimum funding level nor the size and scope concerns are met.

Agencies in Category A may apply directly for funding. These agencies act as their own fiscal agents and are responsible for all local planning, program evaluation, advisory council and fiscal duties of their grant.

No agencies in the other categories may apply directly. Agencies in Categories B, C or D can receive funding only as part of a local consortium. Such a consortium must contain at least one Category A or one Category B agency. Groups of agencies that wish to form a local consortium must identify a lead agency. This lead agency will act as the fiscal agent for the local consortium and be responsible for the local service area planning, program evaluations, local council and fiscal duties of the entire consortium. Each agency's status is displayed in Agency Awards.

MANDATED/ALLOWABLE ACTIVITIES/EXPENDITURES

Activities:

Perkins lists both mandated and allowable activities to be carried out by recipients using Perkins funds. In all, there are eight mandated activities and numerous allowable activities. Guidance provided by the U.S. Department of Education (USDE) indicates that each local recipient is not responsible for expending Perkins funds on all eight mandated activities. However, the SED is responsible for insuring that Perkins funds statewide have been expended to carry out each of the eight mandated activities. In addition, recipients of Perkins funds must primarily use those funds to carry out any or all of the eight mandated activities. As the agency responsible for both administering Perkins funds and implementing the Regents standards, the SED will employ the following rules:

- At least 60 percent of Perkins funds received must be expended to carry out one or more of the eight mandated activities listed below. This means that no more than 40 percent can be used for one or more of the 14 allowable activities listed below. NOTE: All recipients of Perkins funds must address mandated activity five, dealing with assessment. This can be done with Perkins or other funds (i.e., State or local) but must be fully detailed in the local agency's Career and Technical Education Program Plan (CTEPP) (see Planning).
- The Large 5 city districts and any recipient with a secondary grant of $200,000 or more must expend Perkins funds to carry out both mandated activity five and mandated activity eight. A separate major effort description must be provided for activities related to mandated activity five and a separate major effort description must also be provided for activities related to mandated activity eight.
    - Suggested activities for mandated activity five: Perkins includes the need to track several aspects of the performance of students participating in CTE programs (see Planning), and to track participation of nontraditional populations in CTE programs. Funds may be used to determine how academic performance, program completion, graduation and follow-up information will be gathered and aggregated for reporting purposes. Perkins funds may be used to set up data systems including the purchase or development of software that make it possible to identify the performance of CTE students.
    - Suggested activities for mandated activity eight: Engage in staff development, curriculum development or other instructional activities that cause the CTE program to be integrated into or expand an existing Tech Prep program. Develop articulation agreements with postsecondary programs and support these agreements by having joint staff development activities with secondary and postsecondary faculty. Track the success of secondary program completers in postsecondary programs, and bring secondary and postsecondary faculties together to address performance problems.

The eight mandated activities under Perkins are:

1. strengthen the academic and vocational and technical skills of students participating in CTE programs by strengthening the academic and vocational and technical components of such programs through the integration of academics with CTE programs through a coherent sequence of courses to ensure learning in the core academic and CTE 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 CTE, which may include:
    - training of CTE personnel to use state-of-the-art technology, which may include distance learning;
    - providing CTE students with the academic and vocational and technical skills that lead to entry into the high technology and telecommunications field; 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:
    - in-service and pre-service training in state-of-the-art CTE 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 CTE in public schools and other public school personnel who are involved in the direct delivery of educational services to CTE 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 the CTE programs carried out with funds under this title, including an assessment of how the needs of special populations are being met;
6. initiate, improve, expand and modernize quality CTE programs;
7. provide services and activities that are of sufficient size, scope and quality to be effective; and
8. link secondary CTE and postsecondary vocational and technical education, including implementing Tech Prep programs.

The allowable activities are:

- involving parents, businesses and labor organizations as appropriate, in the design, implementation and evaluation of CTE programs authorized under this title, including establishing effective programs and procedures to enable informed and effective participation in such programs;
- providing career guidance and academic counseling for students participating in CTE programs;
- providing work-related experience, such as internships, cooperative education, school-based enterprises, entrepreneurship and job shadowing that are related to CTE programs;
- providing programs for special populations enrolled in CTE;
- providing local education and business partnerships that support work-based activities;
- assisting CTE student organizations;
- mentoring and mentoring-related support services;
- leasing, purchasing, upgrading or adapting equipment, including instructional aids;
- supporting teacher preparation programs that assist individuals who are interested in becoming CTE instructors, including individuals with experience in business and industry;
- improving or developing new CTE courses;
- providing support for family and consumer sciences programs;
- providing CTE programs for adults and school dropouts to complete their secondary school education;
- providing assistance to students who have participated in services and activities under this title in finding an appropriate job and continuing their education; and
- supporting nontraditional training and employment activities.

Allowable Programs and Services:

- access to computer labs where students can practice the skills necessary for employment;
- accommodation and support services for CTE students with disabilities;
- assessment, advisement, guidance, job development, and placement services for members of special populations;
- contextualized learning, supplemental instruction, and collaborative learning and study groups to augment classroom instruction and increase the probability of continued success for at-risk students;
- counseling and intervention strategies and support services to provide greater assistance to economically disadvantaged students;
- educational resource centers for the remediation and development of the basic skills needed for success, when incorporated into a student's CTE program;
- emphasis on those curricula preparing 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 student's CTE program;
- intensified curriculum and staff development activities to upgrade CTE 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
- up-to-date 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.

Allowable expenditures:

The general guide is that the expenditure contributes to student achievement in CTE programs. Major Effort descriptions must delineate how the activities and expenditures will improve CTE student achievement. Allowable expenditures include the following:

- child care transportation and tuition subsidies for children of students matriculated in CTE programs;
- computer software;
- equipment (including computers) acquisition, installation, repair, and maintenance: Equipment items (Code 20 on the Budget Form, FS-10) are those items with a unit value of $5,000 or more and having a useful life of more than one year. By State Education policy, equipment expenditures are limited to no more than 25% of the total budget.
- instructional supplies and materials;

- supplemental staff, including instructors, technicians, aides, tutors, signers, note takers, and interpreters for special population students;
- other supplemental services to improve access to CTE 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 project's major efforts; and
- a maximum of five percent of the funds for administrative costs (see Administrative Cost Policy).

Examples of Non-Allowable Expenditures

Expenditures that are not allowable include but are not limited to the list below:

- acquisition of equipment for administrative or personal use;
- acquisition of furniture (e.g., bookcases, chairs, desks, file cabinets, tables) unless it is an integral part of an equipment workstation or to provide reasonable accommodations to CTE students with disabilities;
- food services/ refreshments/ banquets/ meals;
- remodeling not directly connected to accessibility to CTE instruction or services or to the use 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;
- travel costs and expenses to attend student leadership conferences or meetings to conduct vocational student organization (VSO) national and State association business and /or competitions; and
- expenditures for students not enrolled in CTE programs, including career exploration.

SINI/SURR

All individual (i.e., not consortium) eligible agencies with Schools In Need Of Improvement (SINI) or Schools Under Registration Review (SURR) are required to use at least 15 percent of their secondary allocation for the provision of activities which address the needs of CTE students in those schools. This requirement is to increase the share of the eligible agency's Perkins allocation that is used in SINI/SURR buildings. A separate major effort describing the use of these funds in the SINI/SURR buildings must be provided.

One-Stop Center

Each recipient of Perkins adult formula funds must submit one copy of the negotiated MOU. (see Program Description/ Adult CTE Programs).

ADMINISTRATIVE COST POLICY

In accordance with Section 135(d) of Perkins, each eligible agency or institution receiving funds shall use no more than 5 percent of such funds for administrative costs. Administrative costs are subject to the following definitions and restrictions.

- 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.
- All staff positions and activities not directly related to a specific major effort will be considered as administrative costs.
- Cash contributions to the One-Stop system to support the operations or administration of the One-Stop system are considered part of administrative cost and are included in the five-percent maximum.
- Certain direct costs, including staff salaries and activities related to the successful operation of a project, are not considered as administrative costs. For example, the cost of modifying curricula to serve students in a particular project is not considered an administrative cost.

PLANNING

All applicants are required to extend their CTEPP.

Perkins calls for a major planning effort at both the local and state levels. The SED wrote a State Plan for the 2000-01 through 2003-04 academic years. That State Plan has been extended through the 2006-07 academic year. Local applicants, acting alone or as the lead agency for a consortium, wrote a local plan known as the Career Technical Education Program Plan (CTEPP). All applicants must extend their CTEPP to cover the 2006-07 year. These CTEPP extensions are to address the following issues:

- How your agency is coordinating its implementation of Perkins with its efforts to implement No Child Left Behind,
- Any new strategies or activities your agency is undertaking and willing to continue to undertake over the 2006-07 year, to ensure that students who participate in CTE are taught to the same challenging academic proficiencies as are taught to all students,
- Any new strategies or activities your agency is undertaking and willing to continue to undertake over the 2006-07 year, to assist individuals who are members of special populations to meet State academic standards,
- Any new strategies or activities your agency is undertaking over the 2006-07 year to link secondary and postsecondary education and to prepare CTE students for postsecondary education, and
- How the programs supported with Perkins funds prepare CTE students for opportunities in postsecondary education or entry into high skill, high wage jobs in current and emerging occupations.

All applicants will be required to submit, with the Application Package (see Application Packaging and Procedures), a CTEPP Extension Letter that requests the extension of their CTEPP. This letter will attest that the five points above are being addressed. CTEPP Extension Letter Guidelines are attached. All applicants are required to submit a Performance Improvement Plan chart.

Note: Individual agency performance levels must be reviewed. School district results are available at http://www.emsc.nysed.gov/irts/reportcard/home.shtml. To find a specific district's performance level, from the map select a county; select a school district; select the District Comprehensive Information Report, then scroll to the 4th page, Form D. To determine whether or not the applicant has met the requirement, the individual agency results shown must be evaluated against the required performance level, not the State average. For the Big 5 Cities and BOCES go to www.emsc.nysed.gov/workforce/perkins3/perkins2006/home.html and click on the appropriate item under Report Card Related Perkins Data 2003-04. The required performance levels for the 2003-04 program year are:

Core Sub-Indicator	**2003-04 Performance Level**
1S1 (Academic Attainment):	50.12%
1S2 (Skill Proficiency):	76.98%
2S1 (Completion):	96.80%
2S2 (Diploma/Credential):	96.80%
3S1 (Placement):	93.65%
4S1 (Non-Trad. Participation):	27.27%
4S2 (Non-Trad. Completion):	22.77%

All applicants must submit a Performance Improvement Plan (PIP) chart (in application materials). If all performance goals were met and there are no changes in partnering with the LWIB, the PIP chart can be checked off and submitted without completing the section on performance strategies or attaching a new MOU.

However, a fully completed PIP chart must be submitted if either;

- any of the six performance goals (see below) were not achieved. If, under those June 2004 outcomes your agency did not meet any one of the six performance goals (see below) the PIP chart is to be fully completed. It must detail the program improvement strategies to be implemented to ensure further progress towards reaching the performance goals, or
- any changes have occurred in partnering with the LWIB. All recipients of Perkins adult formula funds are mandatory One-Stop partners. The required MOUs should be made part of the CTEPP (see Program Description/Adult CTE Programs). Any such changes must be fully detailed and the new MOU must be included.

New applicants are required to write a CTEPP.

Applicants new to the process (i.e., agencies applying for the first time) must write a full CTEPP for the 2006-07 year. The nine components of a new CTEPP can be found in the

CTEPP Guidelines available from SED. In addition to these nine components the five points above must also be addressed.

The Performance Goals for 2006-07

The State of New York has negotiated new performance goals with the United States Department of Education prior to the start of the 2006-07 year. These percentages are listed below.

Recipients of Perkins funds must use the state-developed Performance Indicators to evaluate their CTE programs. New York State's assessment system under Perkins is based on the following Performance Indicators (goals are for 2006-07):

Performance Indicator 1:

Student attainment of challenging state-established academic and vocational/technical, skill proficiencies:

Academic Skills Attainment: At least 82.01% of all secondary completers of CTE programs will pass all applicable Regents examinations (or pass the Regents Competency Tests if called for by a student's Individual Education Plan or if offered by the secondary agency instead of the Regents exams).

Vocational/Technical Skills Attainment: At least 83.47% of all secondary level completers of CTE programs will demonstrate attainment of technical skills by achieving a course grade average of 75 percent for all of the courses in the CTE sequence.

Performance Indicator 2:

Student attainment of a secondary school diploma or its recognized equivalent, a proficiency credential in conjunction with a secondary school diploma or a postsecondary degree or credential.

Credentials: At least 95.00% of secondary completers of CTE programs will attain a high school diploma in the year in which they are designated as program completers.

Performance Indicator 3:

Placement in postsecondary education or advanced training, military service or employment.

Placement: At least 95.00% of secondary CTE program completers will be placed in postsecondary education or advanced training, employment or the military.

Performance Indicator 4:

Student participation in and completion of CTE programs that lead to non-traditional training and employment.

Non-traditional Participation: At least 28.09% of participants in selected programs, as identified by SED, will be members of the non-traditional gender for the selected program.

Non-traditional Completion: At least 20.74% of all completers of selected programs, as identified by SED, will be members of the non-traditional gender for the selected program.

OTHER OBLIGATIONS/RESPONSIBILITIES

Federal Civil Rights Compliance

Agencies accepting Perkins funds agree to comply with the following federal civil rights authorities: (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; and (5) the U.S. Office for Civil Rights' "Guidelines for Eliminating Discrimination and Denial of Services in Vocational Education on the Basis of Race, Color, National Origin, Sex and Handicap."

In addition, each recipient agrees to the following conditions:

- The recipient will, upon request, provide the SED with access to its records and other sources of information that may be required to conduct Office for Civil Rights desk audits and on-site reviews to determine whether violations of the civil rights authorities have occurred; and
- If the SED issues a final letter of findings indicating the recipient has failed to comply with the civil rights authorities, the recipient, within 90 days of receiving the letter, will submit to the SED an approvable compliance plan describing the steps it will take to overcome the violation and the effects of the violation. The compliance plan will describe in detail: (1) the steps the recipient will take to remedy the violation; (2) the proposed timetable for remediation of the violation, and (3) the personnel responsible for implementing the compliance plan.

If a recipient of Perkins funds is determined to be in noncompliance with any of the federal civil rights statutes and is unwilling to furnish an approvable compliance plan to correct the situation, the matter will be referred to the Office for Civil Rights of the U.S. Department of Education. Should that occur, the SED might be required to withhold all federal funding from the agency in noncompliance.

Supplemental Efforts

Perkins funds are meant to supplement CTE funds provided by State and local agencies. Perkins funding of programs and activities currently supported with State and local funds would constitute supplanting and cannot be approved.

Program Improvement

Perkins funds must be used for program improvement. This refers to engaging in activities that improve the program from where it is at present. This typically means that the same activity cannot be funded for more than three years.

Seventh Grade

No funds received under Perkins may be used to provide CTE programs to students prior to the seventh grade, except that equipment and facilities purchased with funds under Perkins may be used for such students.

School-to-Work

No funds under Perkins will be transferred and utilized to fund a School-to-Work grant.

CTEPP EXTENSION LETTER GUIDELINES

Career Technical Education Program Plan Extension Letter Guidelines - Secondary Agencies

Each applicant must submit a Career Technical Education Program Plan (CTEPP) Extension Letter as part of the application package. This CTEPP Extension Letter is a request to extend the current CTEPP through the 2006-07 academic year. Each CTEPP Extension Letter must:

- Be on the agency's letterhead;
- Be signed by the Chief School Officer;
- Request an extension of the CTEPP through the 2006-07 year; and
- Attest that the five points discussed in Planning have been addressed in the agency's extended CTEPP.

The five points are:

1. How your agency is coordinating its implementation of Perkins with its efforts to implement No Child Left Behind;
2. Any new strategies or activities the agency is undertaking and willing to continue to undertake over the 2006-07 year to ensure that students who participate in CTE are taught the same challenging academic proficiencies as are taught to all students;
3. Any new strategies or activities the agency is undertaking and willing to continue to undertake over the 2006-07 year to assist individuals who are members of special populations to meet State academic standards;
4. Any new strategies or activities the agency is undertaking over the 2006-2007 year to link secondary and postsecondary education and to prepare CTE students for postsecondary education; and
5. How the programs supported with Perkins funds prepare CTE students for opportunities in postsecondary education or entry into high-skill, high-wage jobs in current and emerging occupations.

University of the State of New York
THE STATE EDUCATION DEPARTMENT

Grant Information Form

July 1, 2006 to June 30, 2007
Perkins

Secondary or Adult Basic Grant

Project Number: __________-_______-__________

A separate Grant Information Form must be completed and submitted with each FS-10. **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. Agency Name: ____

2. Contact Person: ____

   Telephone number: (______) __________________________

   Fax number: (______) __________________________

   E-mail address: ____

3. **Secondary formula** □ **Adult formula** □

4. Proposed population and expenditures:

Population	# of Students	Proposed Expenditure
Nonspecial Populations		$
Special Populations ϖ		$
Grand Total		$

❖ Individuals with disabilities; individuals from economically disadvantaged families, including foster children; individuals preparing for nontraditional training and employment; single parent, including single pregnant women; displaced homemakers; and individuals with other barriers to educational achievement, including individuals with limited English proficiency

For Basic Grant Allocation funding, these entries are to be a summation of all efforts shown in Part B and are to be **nonduplicative**.

The proposed total expenditure must equal the total on this project's FS-10.

Grant Information Form, Part A, p.1

Grant Information Form, Part A, p.2 Agency Name: ______________________________

Secondary or Adult

Summary of all Part Bs

1. Spreadsheet of Proposed Expenditures by Major Effort:

Budget Category	Major Effort 1	Major Effort 2	Major Effort 3	Major Effort 4	Major Effort 5	Total Proposed Expenditures
Professional Salaries						
Nonprofessional Salaries						
Purchased Services						
Supplies and Materials						
Travel Expenses						
Employee Benefits						
Indirect Costs						
BOCES Services						
Minor Remodeling						
Equipment						
Total						

Notes: Duplicate if this project has more than five Major Efforts.
The total proposed expenditure must equal the total on this project's FS-10

Grant Information Form
July 1, 2006 to June 30, 2007
Perkins

Part B – Major Effort Data

Agency: ____

A separate Part B is to be completed and submitted for each Major Effort included under the attached FS-10. Number each major effort and respond to each item below. Make additional copies of Part B as needed.

1. This Major Effort's number: ________ of ________

2. Title of this Major Effort:: ____________________________________

3. Year of this Major Effort : _______ of 3 **or up to 6** with Plan Extension Year 3 (if applicable**)**

4. Director of this Major Effort : ______________________________________

5. Proposed population and expenditures for this Major Effort:
Enter the number of students to be served by this Major Effort by student type and proposed expenditures. **Student numbers are to be nonduplicative.** Use the nonspecial category only if students are not members of special populations. When a student qualifies under more than one category, select the category most closely aligned with the Major Effort.

Population	**Number**	**Estimated Expenditure**
Nonspecial		$
Individuals with disabilities		$
Economically Disadvantaged/Foster Children		$
Individuals preparing for nontraditional training and employment		$
Single Parent/Single Pregnant Women		$
Displaced Homemaker		$
Individuals with other barriers to achievement, such as LEP: identify______________________		$
Major Effort Total		$

6. **Major Effort Description:** Provide a detailed description of this Major Effort. It should include a full description of the following:
   a) need for this Major Effort;
   b) relationship of this Major Effort to the agency's Career Education Program Plan;
   c) objectives of this Major Effort (quantified where appropriate);
   d) the core services and administrative support for the One-Stop delivery system (if applicable);
   e) activities to achieve the objectives;
   f) size, scope and quality of this Major Effort's activities and their relationship to the objectives;
   g) coordination with external agencies (especially workforce preparation providers); and
   h) timeline for this Major Effort.

7a. Perkins lists both mandated and allowable activities to be carried out by recipients using funds received. In all, there are eight mandated activities and numerous allowable activities. Guidance provided by the U.S. Office of Vocational and Adult Education indicates that each local recipient is not responsible for expending Perkins funds on all eight mandated activities. However, the SED is responsible for ensuring that Perkins funds statewide have been expended to carry out each of the eight mandated activities. In addition, recipients of Perkins funds must use at least 60 percent of those funds to carry out any or all of the eight mandated activities. ***Check as many of the Perkins mandated activities that this Major Effort addresses.***

Strengthen the academic, vocational and technical skills of students participating in career education programs by strengthening the academic and career education components of these programs through the integration of academics with career education programs through a coherent sequence of courses to ensure learning in the core academic and career education subjects:

- ❑ Provide students with strong experience in and understanding of all aspects of an industry.

- ❑ Develop, improve or expand the use of technology in career education, which may include:

  - training of career education personnel to use state-of-the-art technology, which may include distance learning;
  - providing career education students with the academic and career education skills that lead to entry into the high technology and telecommunications field; or
  - encouraging schools to work with high technology industries to offer voluntary internships and mentoring programs.

- ❑ Provide professional development programs to teachers, counselors and administrators including:

  - in-service and pre-service training in state-of-the-art career 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 career education in public schools and other public school personnel who are involved in the direct delivery of educational services to career education students to ensure that such teachers and personnel stay current with all aspects of the industry;
  - internship programs that provide business experience to teachers; and
  - programs designed to train teachers specifically in the use and application of technology.

- ❑ Develop and implement evaluations of the career education programs carried out with funds under this title, including an assessment of how the needs of special populations are being met.

- ❑ Initiate, improve, expand and modernize quality career education programs.

- ❑ Provide services and activities that are of sufficient size, scope and quality to be effective.

- ❑ Link secondary career education and postsecondary vocational/technical education, including implementing Tech Prep programs.

7b. In addition, each recipient must use its Perkins funds to address problem areas identified by the recipient's internal program evaluation in the context of the eight mandated items above.

8. On the chart below, identify the estimated amount of money to be spent on the mandated items for this major activity. All individual (i.e., not consortium) eligible agencies with Schools Under Registration Review (SURR) are required to use at least fifteen percent of their secondary formula allocation for the provision of activities which address the needs of career education students in those schools. These activities must be one of the eight listed above.

	Mandated Items	Estimated $ Am't
1.	Strengthen the academic and career skills of students participating in career education through integration.	$
2.	Provide students with strong experience in and understanding of all aspects of the industry.	$
3.	Develop, improve, or expand the use of technology in career education.	$
4.	Provide professional development programs to teachers, counselors and administrators.	$
5.	Develop and implement evaluations of the career education programs carried out with funds under Title I of Perkins, including an assessment of how the needs of special populations are being met.	$
6.	Initiate, improve, expand and modernize quality career 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 career education, including implementing Tech Prep programs.	$
	Percent of estimated funds available %	**$ Total**

9. **Major Effort's Evaluation**: List the quantitative evaluation methods that will be used to determine whether each Major Effort's objectives have been achieved. Examples include: evaluation procedures demonstrating the occupational skills gained by students, teacher evaluations of staff development activities and procedures used to demonstrate outcomes realized by students through improved technology.

Example:

Evaluation Measure – Completion rates for the coming year will be compared to prior year's rates.

Outcome – As a result of this major effort, there will be a 20 percent increase in completion rates.

10. **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 of each person's time devoted to the Major Effort. Indicate salary**;** do not include fringe or indirect costs.

Name	Title	Time	Salary

Attach as many pages as need to complete each Part B Major Effort. Number each page with the appropriate Major Effort's number.

STATEMENT OF ASSURANCES

Academic Year 2006-07
Perkins
Secondary Agencies; Basic Grant

All applicants assure that:

- Perkins funds will supplement and not supplant local expenditures and will not duplicate objects of expenditure from other sources. This assurance does not apply to funds made available under Title I used to pay for the costs of career education services required in an Individualized Education Plan (IEP) developed under the Individuals with Disabilities Education Act.

- None of the funds expended under Perkins 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.

- 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 six special populations under Perkins have the same opportunity to enroll in career 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 funds.

- The agency complies with and activities conducted with Perkins 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 Education on the Basis of Race, Color, National Origin, Sex and Handicap.*

- Perkins funds will only be used to provide career programs that are of a size, scope, and quality as to bring about improvement in the quality of education offered by the recipient.

- Provisions are made for members of special populations in private secondary schools to participate in career education programs assisted under Section 131 of Perkins.

- Provisions have been made in accordance with New York State Education Law (Section 4601) for the appointment of and consultation with a Local Advisory Council. The agency maintains a local advisory council that meets all appropriate Commissioner's Regulations or uses a BOCES advisory council.

- The career education being received by students with disabilities is consistent with their Individual Education Plan (IEP).

Statement of Assurances, p.1

. A written policy is in effect which provides for the suspension from school for a period of not less than one year of any student who is determined to have brought a weapon to school and the referral of such student to a criminal or juvenile justice system. Such a policy can allow the Chief Administrative Officer of the agency to modify such expulsion requirement for a student on a case-by-case basis. Students aged 16 and under must receive alternative education while suspended from regular school. The term "weapon" means a firearm as such term is defined in Section 921 of title 18, United States Code.

Chief School Officer's Certification

I hereby certify that the agency is in compliance with the assurances listed above.

Date **Signature***

Name and Title

*** Original signature required in blue ink.**

Statement of Assurances, p. 2

SUMMARY OF CONSORTIUM PARTICIPATION
AND FUND USE AGREEMENT FORM

Perkins

The Superintendent of the Consortium's fiscal agent should complete this form

Consortium Name:____

Indicate below the names of the agencies that have agreed to participate in the consortium.

Participating Agencies

____

____

____

____

____

____

____

____

____

____

____

____

____

____

____

____
Signature of Consortium Fiscal Agent (Superintendent)

____
Name of Agency Acting as Fiscal Agent

CONSORTIUM PARTICIPATION AND FUND USE AGREEMENT FORM

Perkins

All agencies that have generated a Perkins formula allocation and opt to participate in a consortium must complete this form. The completed form(s) (duplicate as necessary) should be given to the Consortium's fiscal agent for transmittal to the State Education Department.

School District/BOCES:____

SED Code:

Contact Person____ Phone #_____________________

This agency has elected to participate in a consortium with the agency listed below acting as the consortium's fiscal agent:

____

____

____

____

____

It is understood that this agency has elected to participate in the consortium and that the signing of this form constitutes an agreement with the designation of the fiscal agent for the use of funds under the provisions of Perkins.

____ ___________________________

Signature of Chief School Officer Date

____

Chief School Officer's Name and Title (Print)

STATEMENT OF RECOMMENDATIONS
Perkins

List the recommendations of the Planning Group for the use of Perkins funds during the 2006-07 academic year.

The signature of the Chief School Officer (CSO) indicates that the Planning Group has been involved in the preparation of the Career Education Program Plan and this list of recommendations.

Signature of CSO   Date

Name and title of CSO (print)

CERTIFICATION REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

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 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;

Certification, p.1

(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;

(c) Are not presently indicted or otherwise criminally or civilly charged by a Government entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph, (1) (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) terminate 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

(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 and Contracts Service, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 312A, GSA Regional Office Building No. 3), Washington DC 20202-4571. 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 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)

____

(4) The penalties that may be imposed upon employees 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;

____

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

Certification,--p.2

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 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 and Contracts Service, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3124, GSA Regional Office Building No. 3), Washington DC 20202-4571. Notice shall include the identification number(s) of each affected grant.

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

NAME OF APPLICANT PR/AWARD NUMBER and/or PROJECT NAME

PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

SIGNATURE DATE

ED80-0013, 6/90 (Replaces ED 800-0008, 12/89; ED Form GCS-008, (Rev. 2/88); ED 80-0010, 5/90; and ED 80-0011, 5/90, which are obsolete.)
VATEA94 DOC:debarmen.etc (dvm)

The New York State Education Department
Office of Curriculum and Instructional Support/***Career and Technical Education Team***
Agency Name: ____

Carl D. Perkins Vocational Technical Education Act - Performance Improvement Plan [PIP] Chart 2006-2007

Program Performance - if any of the performance goals below were not met, complete the following section. If all goals were met ☐ ck here:

Where your performance fell below State goals, describe the improvement strategies that will be employed to close the gap. New York State's assessment system under Perkins uses the Performance Indicators below. SED, using data from the Career Technical Education Data System (CTEDS), provided you, under separate cover, outcomes under each of these indicators. In the left-hand column below, check **(4)** those performance goals that you did not meet. Indicate your SED provided result(s). Briefly describe the strategies you plan to employ to meet the goal(s) under the performance indicator(s) checked. Enter your description in the appropriate column based on funding source, i.e., Perkins funds or other funds.

Check as appropriate (4)	Performance Goals			Perkins Funding (reference Major Effort/s)	Other Funding
				Improvement Strategies	
	Performance Indicator 1: *Student attainment of challenging State established academic and vocational/technical, skill proficiencies.*				
	Academic Skills Attainment: passing percentage of all applicable Regents examinations (or pass the Regents Competency Tests if called for by the students Individual Education Plan or if offered by the secondary agency instead of the Regents exams).				
π	***June 2004: 50.12%*** ***June 2007: 82.01%***	***June 2004 Result:***	%		
	Vocational/Technical Skills Attainment: percentage-demonstrating attainment of technical skills by attaining a course grade average of 75 percent for all of the courses in the CTE sequence.				
π	***June 2004: 76.98%*** ***June 2007: 83.47%***	***June 2004 Result:***	%		
	Performance Indicator 2: *Student attainment of a secondary school diploma or its recognized equivalent, a proficiency credential in conjunction with a secondary school diploma or a postsecondary degree or credential.*				

	Credentials: percentage attaining a high school diploma in the year in which they are designated as program completers.				
π	***June 2004: 96.80%*** ***June 2007: 95.00%***	***June 2004 Result:***	%		
	Performance Indicator 3: *Placement in postsecondary education or advanced training, military service or employment.*				
	Placement: percentage placed in postsecondary education or advanced training, employment or the military.				
π	***June 2004: 93.65%*** ***June 2007: 95.00%***	***June 2004 Result:***	%		

Carl D. Perkins Vocational Technical Education Act - Performance Improvement Plan [PIP] Chart 2006-2007 (Continued)

Check as appropriate (4)	**Performance Goals**			**Perkins Funding (reference Major Effort/s)** **Improvement Strategies**	**State/Local/Other Funding**
	Performance Indicator 4: *Student participation in and completion of CTE programs that lead to non-traditional training and employment.*				
	Non-traditional Participation: percentage of all participants in selected programs, as identified by SED, that are members of the non-traditional gender for the selected program				
π	***June 2004: 27.27%*** ***June 2007: 28.09%***	***June 2004 Result:***	%		
	Non-traditional Completion: percentage of all completers of selected programs, as identified by SED, that are members of the non-traditional gender for the selected program				
π	***June 2004: 22.77%*** ***June 2007: 20.74%***	***June 2004 Result:***	%		

-- Use additional forms if necessary --

PIP Chart, p. 2

Review Sheet for Perkins: July 1, 2006-June 30, 2007
Agency:

____
_

Planning requirements for new or fully amended CTEPP; required if performance goals are not reached and/or changes occurred in partnering with the LWIB or new applicant:

	Contents	Yes	No
1.	Described how the academic and technical skills of students participating in CTE programs will be improved by strengthening the academic and CTE components of such programs through a coherent sequence of courses that integrate and ensure learning in the core academic and CTE subjects.		
2.	Described how all students are provided with strong experience in and an understanding of all aspects of an industry.		
3.	Described how the use of technology in CTE programs is improved or expanded.		
4.	Described how comprehensive professional development (including initial teacher preparation) for CTE, academic, guidance, and administrative personnel is provided.		
5.	Described the process used to independently evaluate and continuously improve the CTE programs as measured by the Performance Indicators.		
6.	Described the initiation, improvement, expansion and modernization of quality CTE programs through the provision of services and activities that are of sufficient size, scope, and quality to be effective.		
7.	Described the establishment of links between secondary CTE and postsecondary vocational/technical education, including implementation of Tech Prep programs.		
8.	Described the involvement of parents, students, teachers, representatives of business and industry, labor organizations, representatives of special populations and other interested individuals in the development, implementation and evaluation of CTE programs assisted under Perkins, including informing and providing assistance in understanding for such individuals and entities about the requirements of Perkins.		
9.	Described how funds will be used to promote preparation for non-traditional training and employment.		

Application Package

Contents	Yes	No	If No - Date When Received
CTEPP Extension Letter			
Grant Information Form – Part A			
Grant Information Form – Part B (one for each Major Effort)			
Budget Form (FS-10)			
Statement of Assurances			
Consortium Participation and Fund Use Agreement Form			
Summary of Consortium Participation and Fund Use Agreement Form			
Statement of Recommendations			
Maintenance of Local Fiscal Effort Form (Big 5 only)			
Certification Regarding Lobbying, Debarment, Suspension, etc.			
MOU with LWIB (adult formula applications only)			
Fully Amended or New CTEPP (if required)			

Performance Improvement Plan (PIP) chart			
This Review Sheet			

	Rules	Yes	No
1.	60 percent of the funds were used to carry out one or more of the mandated activities		
2.	The Big 5 and recipients with more than $200,000 of Perkins funds addressed.		
	Mandated Activity #5: Develop and implement evaluations of the career education programs carried out with Perkins funds, including an assessment of how the needs of special populations are being met.		
	Mandated Activity #8: Link secondary career education and postsecondary career education, including implementing tech-prep programs.		
3.	Agencies with SURR schools - has 15 percent or more been expended at the SURR school?		

For each Major Effort, complete the following. Make a copy of this section for each Major Effort.

Major Effort # ______ of ______ Title: ____

	Description	Yes	Estimated $ Am't
a.	The need for this Major Effort		NA
b.	The relationship of this Major Effort to the agency's CTEPP		NA
c.	The objectives of this Major Effort		NA
d.	The core services and administrative support for the One-Stop (if applicable)		NA
e.	The activities to achieve the objectives		NA
f.	The size, scope, and quality of this Major Effort's activities and their relationship to the objectives		NA
g.	The coordination with external agencies		NA
h.	The timeline for this Major Effort		NA
	Mandated Activities		*****
1.	Strengthen the academic and career skills of students participating in CTE programs through integration		$
2.	Provide students with strong experience in and understanding of all aspects of the industry		$
3.	Develop, improve, or expand the use of technology in CTE		$
4.	Provide professional development programs to teachers, counselors, and administrators		$
5.	Develop and implement evaluations of the CTE programs carried out with Perkins funds, including an assessment of how the needs of special populations are being met		$
6.	Initiate, improve, expand, and modernize quality CTE programs		$
7.	Provide services and activities that are of sufficient, size, scope, and quality to be effective		$
8.	Link secondary CTE and postsecondary vocational/technical education, including implementing tech-prep programs		$

***** The **Final Narrative** will require the exact amount spent on each of these mandated activities.

PREPARING PERKINS III FORMULA ALLOCATION APPLICATIONS FOR FISCAL YEAR 2006-07

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 **<u>only</u>** 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.

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.

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 porlando@mail.nysed.gov at the time the application is mailed.

3. **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 Paula Orlando at porlando@mail.nysed.gov or (518) 474-5313 **immediately.**

4. **Four-Year Plan Modification,** only as necessary, for the period 2006-07 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 2006-07 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 2006-07 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.)

5. Local Advisory Council annual report, including the following information:

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.

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.

6. 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."**

7. Major Effort Description for FY '07 [**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. <u>Eight Mandated Activities</u>. Under Section 135 (b) of Perkins III, during 2006-07, 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*;

(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 E.4, 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 2006-07 application.

If an MOU has been negotiated, the Perkins 2006-07 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, (page 32).

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 than 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;
- 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.7.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.

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.

8. 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.

9. Statement of Assurances, Federal Compliance Certification forms, and Postsecondary Multi-Year Plan Extension for 2006-2007 [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.

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 (01/05)" 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. <u>It is essential</u> 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 <u>other than the fiscal agent</u> 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 <u>outside</u> 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 **$5,000** per unit. Since the "Equipment" category includes only items with a unit cost in excess of **$5,000**, 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, honoria, 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 <u>and the unit cost</u>. 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, 2007, 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 **$5,000** 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 1, 2006.

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, page 32) 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

G. PERKINS III APPLICATION REVIEW SHEET FOR POSTSECONDARY INSTITUTIONS

Institution/Consortium Name: ____

Application Number: **8000-07-______** **Supervisor Review:** __________
Initials

Reviewer's Signature: ______________________________

Status: ________________ **Approve without further information Date:** ______

________________ **Approve with additional information Date:** ______

1. APPLICATION PACKAGE CHECKLIST

Contents	Yes	No	If No…When Received
Grant Information Form – Part A			
Abstract			
Institutional Profile			
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			
Budget Form (FS-10)			
Appendix 1			

2. 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. INSTITUTIONAL PROFILE (reference page 7, item E.3 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:

____

____

____

____

____

d. FOUR YEAR PLAN MODIFICATION (page 7, item E.4 of these *Guidelines*.)

(1). Modification, as necessary Y__ N__ NA ___

(2). One-stop support Y__ N__

Acceptable additional information received:

____

____

____

e. LOCAL ADVISORY COUNCIL (page 8, item E.5 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's membership is representative of all groups prescribed under Perkins III Legislation Y___ N__

Acceptable additional information received:

____
____
____

f. LOCAL IMPROVEMENT PLAN (page 8, item E.6 of these *Guidelines.*), **<u>if required</u>**.

(If <u>Not</u> 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__

	Comp	Place	Employ Ret	Non-Trad Part	Non-Trad Comp
___________	( )	( )	( )	( )	( )
___________	( )	( )	( )	( )	( )
___________	( )	( )	( )	( )	( )
___________	( )	( )	( )	( )	( )
___________	( )	( )	( )	( )	( )
___________	( )	( )	( )	( )	( )
___________	( )	( )	( )	( )	( )
___________	( )	( )	( )	( )	( )
___________	( )	( )	( )	( )	( )

Y__ N__

(2) Specific strategies and timelines are presented.

(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:

____

____

____

g. MAJOR EFFORT DESCRIPTION FOR FY '07 (pages 8-14, item E.7 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__
- The core services and administrative support for the local One-Stop delivery system — Y___ N__ NA_____
- Activities to achieve the objectives — Y___ N__
- Size, scope, and quality of the Major Effort's activities and their 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 2006-2007 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:

____

____

____

h. MANAGEMENT PLAN (reference page 14, item E.8 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:

____

____

____

STATEMENT OF ASSURANCES, FEDERAL COMPLIANCE CERTIFICANTIONS, AND POSTSECONDARY MULTI-YEAR PLAN EXTENSION FOR 2006-2007 (reference page 14, item E.9 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 2006-2007. Y___ N__

Signed Certifications 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 35). 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:

(1) Who 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 disadvantagement; 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 2004-05.

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 leaning 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 GRANTEES 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 Perkin's 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 2006-2007
Perkins III Formula Allocation, Postsecondary Institutions

Project Number: 8000-07- ______

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 7/1/06 to 6/30/07

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 2006-2007

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 (students NOT reported in any of the categories shown below)		$
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 disadvantagement		$
Individuals with Limited English Proficiency		$
MAJOR EFFORT TOTAL (DUPLICATED COUNT):		$
MAJOR EFFORT TOTAL (UNDUPLICATED COUNT):		xxxxxxxxxxxxxxxxxxxxxxxx xxxxxxxxxxxxxxxxxxxxxxxx

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

a. **Director's Telephone Number**: ____________________

c. **Director's E-Mail Address:**________________________

Form VTEA-PS-1, page 2 of 4

Part B – Major Effort Data – Postsecondary Grant Information Form

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 <u>external</u> 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. **<u>All outcomes must be identified as quantifiable student outcomes</u> 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 <u>NOT</u> 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.

Form VTEA-PS-1, page 3 of 4

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.**

Name	Title	Time	Salary

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		$

Form VTEA-PS-1, page 4 of 4

The University of the State of New York
THE STATE EDUCATION DEPARTMENT
STATEMENT OF ASSURANCES
Academic Year 2006-07
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.*

- With respect to the above, the subrecipient agrees to the following conditions:

  (a) The subrecipient will, upon request, provide SED with access to its records and other sources of information that may be necessary to determine whether violations of the civil rights authorities have occurred.

  (b) If SED issues a final letter of findings indicating the subrecipient has failed to comply with the civil rights authorities, the subrecipient, within 90 days of receiving the letter, will submit to SED an approvable compliance plan describing the steps it will take to overcome the violation and the effects of the violation. The compliance plan shall describe in detail:

     (1) The steps the subrecipient will take to remedy the violation;
     (2) The proposed timetable for remediation of the violation; and
     (3) The personnel responsible for implementing the compliance plan.

- Should a subrecipient of Perkins III funds be determined to be in noncompliance with any of the four Federal civil rights statutes and not be willing to furnish an approvable compliance plan to correct the situation, the matter will be referred to the Office of Civil Rights in the U.S. Department of Education. Should this occur, SED may be required to withhold all Federal funding from the subrecipient in noncompliance.

- Perkins III funds will only be used to provide vocational and technical education programs that are of a size, scope, and quality as to bring about improvement in the quality of education offered by the subrecipient.

- All equipment purchased under this grant will be installed and operational no later than February 15, 2007. Funding for equipment not installed and operational by February 15, 2007, will lapse on that date.

Funded projects will provide information on steps to ensure equitable access and participation in funded activities by addressing the special needs of students, faculty members, and other program beneficiaries in order to overcome barriers to equitable participation, including barriers based on age, color, religion, creed, disability, marital status, veteran status, national origin, race, gender, genetic predisposition or carrier status, or sexual orientation. Chief Executive Officer's Certification

I hereby certify that the institution is in compliance with the assurances listed above.

_______________ _______________________________________

Date **Signature***

____

Name and Title

*** Original signature required in blue ink.**

Form VTEA-PS-2, page 2 of 2

CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

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.

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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 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;

(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 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;

(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 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.

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

---

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

NAME OF APPLICANT	PR/AWARD NUMBER and/or PROJECT NAME
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 2006-2007

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 2006-2007 grant year (July 1, 2006 through June 30, 2007). 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:

____

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 <u>cannot</u> 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. <u>A single member may represent more than one group</u>; for each member, note each group represented.

Form VTEA-PS-4. **LOCAL ADVISORY COUNCIL FOR CAREER AND TECHNICAL EDUCATION MEMBERSHIP LIST -- FY 2006-07**

Institution or Consortium: ____________________

Council Chairperson: ____________________

Name and Job Title	Name and Address Of Business	Date Term Expires	Gender (Male/ Female)	Minority (Yes/No)	Non-Traditional (Yes/No)	Group Number (1-7)

(make copies, as needed)

Proposed Budget for a Federal or State Project (Form FS-10 [01/05]).

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

Appendix 1, 2006-07. Name of Institution/Consortium_____________________________________

Spreadsheet of Proposed Type of Expenditure by Major Effort:

Budget Category	FS Co	Major Eff 1	Major Eff 2	Major Eff 3	Major Eff 4	Major Eff 5	Total of Majo
Professional Salaries	1						
Support Staff	1						
Purchased Services	4						
Supplies and Materials	4						
Travel Expenses	4						
Employee Benefits	8						
Indirect Costs	9						
Minor Remodeling	3						
Equipment	2						
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.