



UNITED STATES DEPARTMENT OF EDUCATION

OFFICE OF VOCATIONAL AND ADULT EDUCATION

THE ASSISTANT SECRETARY

PROGRAM MEMORANDUM

DEC 07 2010

TO: State Directors of Career and Technical Education

FROM: Brenda Dann-Messier *Brenda Dann-Messier, for*

SUBJECT: Guidance for the Submission of State Plan Revisions, Budgets, and Performance Levels for FY 2011 Perkins IV Grant Awards - OMB Approval Number: 1830-0029

I am pleased to provide our office's requirements for each eligible agency to receive its program year five (Fiscal Year (FY) 2011 grant awards pursuant to the Carl D. Perkins Career and Technical Education Act of 2006 (Perkins IV, 20 U.S.C. 2301 et seq., as amended by Public Law 109-270). Funds for FY 2011 grant awards will become available to States on an advance-funded basis, beginning July 1, 2011.

Submission Requirements

Each State has an approved Perkins IV State plan through program year six (July 1, 2012 through June 30, 2013), as well as approved State-adjusted level of performance through program year four. Therefore, this office has determined that each eligible agency needs only to submit the following items to our office for approval before receiving its FY 2011 Perkins IV grant awards:

- Cover Letter. Each eligible agency must submit a brief cover letter that transmits the items listed below. This letter must be signed by someone who is authorized to act on behalf of the eligible agency.
- Revisions to the State Plan. Each eligible agency may submit any revisions to its State plan that the State determines necessary. In determining whether revisions are necessary, this office suggests that each State review its activities under Title I and Title II of Perkins IV and submit revisions as necessary.
- Updated Budget. Each eligible agency will need to update its budget to reflect the new allotments from funds that will be available for program year five, beginning on July 1, 2011, for Title I and Title II of Perkins IV. Our office will issue estimated allocation tables to you as soon as they become available. Your State's budget must be submitted in the attached format (see Attachment A).

- Proposed Performance Levels. Each eligible agency will need to submit proposed performance levels for each of the core indicators of performance described in section 113(b) of Perkins IV for program years five (July 1, 2011 - June 30, 2012) and six (July 1, 2012 - June 30, 2013). Proposed performance levels must take into account the following factors described in section 113(b)(3)(A)(vi) of Perkins IV:
  - (I) how the levels of performance involved compare with the State-adjusted levels of performance established for other States, taking into account factors including the characteristics of participants when the participants entered the program and the services or instruction to be provided; and
  - (II) the extent to which such levels of performance promote continuous improvement on the indicators of performance by such State.

Your State's proposed performance levels must be submitted either on the attached Proposed State Levels of Performance forms provided as hard copy in Attachment B, or via the electronic version of these forms, that are now incorporated into the Perkins State Plan Website described below. Training for States to enter their proposed performance levels and navigate the submission process will be provided, under separate cover, to all States in February of 2011. The Perkins Accountability Specialists (RASS) will also schedule conversations with States to discuss proposed levels as the State Plan Revision Process proceeds. After your State reaches agreement with the Secretary on your State's final agreed-upon adjusted performance levels (FAUPL) for the fifth and six program years, you will be asked to confirm these levels via e-mail and/or through the Perkins State Plan Website. Please note that your performance levels are not final until this office has approved your levels and incorporated them into your Perkins IV Five-Year State Plan, which we will do when we issue your July 1, 2011, Perkins IV Grant Award Notifications (GAN).

#### Submission Deadline, Signature, and Address

Each eligible agency must submit its State plan revisions and budget to this office by close of business on Monday, March 21, 2011. Your submission may be made in one of three formats:

- Perkins State Plan Website. It is strongly encouraged that States upload their items to the Perkins State Plan Website (will open beginning February 21, 2011). Information on the Website address, along with dates and times for training on the Website submission process will be transmitted under separate cover.
- E-mail. Your State may make a PDF submission to Perkins2011@ed.gov.
- Hard copy. Your State may send the information in hard copy to:

Edward R. Smith, Chief  
Program Administration Branch  
Division of Academic and Technical Education  
Office of Vocational and Adult Education  
U. S. Department of Education  
Potomac Center Plaza  
550 12<sup>th</sup> Street, SW, Room 11060  
Washington, DC 20202-7241

Please note that if you submit your information via the Website or e-mail, you are responsible for confirming that our office receives a complete and legible copy of all pages containing original signatures within five working days of the State's submission.

Please feel free to contact your Perkins Program Administration Liaison (PAL) or Regional Accountability Specialist (RAS) if you have questions regarding your submission. A State-by-State listing of these staff members is available on the Perkins Collaborative Resource Network (PCRN) at <http://cte.ed.gov/contact.cfm>.

We look forward to continuing to work with you to improve career and technical education for young people and adults throughout our nation.

Attachments

**FY 2011 PERKINS IV BUDGET FORMAT**  
**(For Federal Funds that Become Available Beginning on July 1, 2011)**  
**(Please note: these fields are now provided in electronic form in the**  
**Perkins State Plan Website.**

STATE NAME: \_\_\_\_\_

Item	Amount
<i>(Note: Insert dollar amounts or values where requested with lines below)</i>	
<b>Title I – State Basic Grant</b>	
<b>Title I Allocation</b>	\$
<b>Title II Funds Consolidated with Title I Funds</b>	\$
<b>Total Title I Funds (Title I Allocation + Consolidated Title II Funds)</b>	\$
<b>Local Formula Distribution (not less than 85% of total Title I funds)</b>	\$
<i>Reserve (not more than 10% of the 85% of funds for local distribution)</i>	\$
Secondary programs ( _____ % of funds)	\$
Postsecondary programs ( _____ % of funds)	\$
<i>Remainder for local distribution (85% of the funds for local distribution less any funds reserved)</i>	\$
Secondary programs ( _____ % of funds)	\$
Postsecondary programs ( _____ % of funds)	\$
<b>State Leadership (not more than 10% of the total Title I funds)</b>	\$
<i>Nontraditional training and employment (between \$60,000 and \$150,000)</i>	\$
<i>Corrections or institutions (not more than 10% of state leadership funds)</i>	\$
<b>State Administration (not more than 5% of the total Title I funds)</b>	\$
<b>State Administrative Match (from non-federal funds)<sup>1</sup></b>	\$

<sup>1</sup> The eligible agency must provide non-federal funds for State administration of the Perkins IV, Title I grant in an amount not less than the amount it provided in the preceding year pursuant to section 323 of Perkins IV.

Item	Amount
<i>(Note: Insert dollar amounts or values where requested with lines below)</i>	
<b>Title II—Tech Prep Education</b>	
<b>Title II Allocation</b>	\$
<b>Title II Funds Consolidated with Title I Funds</b> Check here if you did not consolidate any Title II funds last year	\$
<b>Total Title II Funds (Title II Allocation - Consolidated Title II Funds)</b>	\$
<i>Administration (amount as “reasonable and necessary”)</i>	\$
Percent of funds for administration _____%	
<i>Remainder for consortia (Title II funds less any funds for administration)</i>	\$
Number of consortia _____	
Method of distribution (check one): _____ Formula _____ Competitive	

**II. FINAL AGREED UPON PERFORMANCE LEVELS (FAUPL) FORM**  
 (Please note: these forms are now provided in electronic form in the Perkins State Plan Website.)

**A. SECONDARY LEVEL**

Column 1	Column 2	Column 3	Column 4	Column 5	Column 6	Column 7	Column 8	Column 9	Column 10
Core Indicator	Measurement Definition	Measurement Approach	Negotiated Baseline	Year 1 7/1/07- 6/30/08	Year 2 7/1/08- 6/30/09	Year 3 7/1/09- 6/30/10	Year 4 7/1/10- 6/30/11	Year 5 7/1/11- 6/30/12	Year 6 7/01/12 - 6/30/13
IS1 Secondary Academic Attainment-- <i>Reading</i>	Numerator:		B.	A.	A.	L.	L.	To Be Negotiated in the Future	To Be Negotiated in the Future
	Denominator:								
IS2 Secondary Academic Attainment-- <i>Mathematics</i>	Numerator:		B.	L.	L.	L.	L.	To Be Negotiated in the Future	To Be Negotiated in the Future
	Denominator:			A.	A.				
2S1 Technical Skill Attainment	Numerator:		B.	L.	L.	L.	L.	To Be Negotiated in the Future	To Be Negotiated in the Future
	Denominator:			A.	A.				
3S1 Secondary School Completion	Numerator:		B.	L.	L.	L.	L.	To Be Negotiated in the Future	To Be Negotiated in the Future
	Denominator:			A.	A.				

Column 1	Column 2	Column 3	Column 4	Column 5	Column 6	Column 7	Column 8	Column 9	Column 10
Core Indicator	Measurement Definition	Measurement Approach	Negotiated Baseline	Year 1 7/1/07- 6/30/08	Year 2 7/1/08- 6/30/09	Year 3 7/1/09- 6/30/10	Year 4 7/1/10- 6/30/11	Year 5 7/1/11- 6/30/12	Year 6 7/01/12 - 6/30/13
4S1 Graduation Rates	Numerator:  Denominator:		B.	L. A.	L. A.	L.	L.	To Be Negotiated in the Future	To Be Negotiated in the Future
5S1 Secondary Placement	Numerator:  Denominator:		B.	L. A.	L. A.	L.	L.	To Be Negotiated in the Future	To Be Negotiated in the Future
6S1 Nontraditional Participation	Numerator:  Denominator:		B.	L. A.	L. A.	L.	L.	To Be Negotiated in the Future	To Be Negotiated in the Future
6S2 Nontraditional Completion	Numerator:  Denominator:		B.	L. A.	L. A.	L.	L.	To Be Negotiated in the Future	To Be Negotiated in the Future

**B. POSTSECONDARY LEVEL**

Column 1	Column 2	Column 3	Column 4	Column 5	Column 6	Column 7	Column 8	Column 9	Column 10
Core Indicator	Measurement Definition	Measurement Approach	Negotiated Baseline	Year 1 7/1/07- 6/30/08	Year 2 7/1/08- 6/30/09	Year 3 7/1/09- 6/30/10	Year 4 7/1/10- 6/30/11	Year 5 7/1/11- 6/30/12	Year 6 7/01/12 - 6/30/13
1P1 Technical Skill Attainment	Numerator:		B.	L.	L.	L.	L.	To Be Negotiated in the Future	To Be Negotiated in the Future
	Denominator:			A.	A.				
2P1 Credential, Certificate, or Diploma	Numerator:		B.	L.	L.	L.	L.	To Be Negotiated in the Future	To Be Negotiated in the Future
	Denominator:			A.	A.				
3P1 Student Retention or Transfer	Numerator:		B.	L.	L.	L.	L.	To Be Negotiated in the Future	To Be Negotiated in the Future
	Denominator:			A.	A.				
4P1 Student Placement	Numerator:		B.	L.	L.	L.	L.	To Be Negotiated in the Future	To Be Negotiated in the Future
	Denominator:			A.	A.				
5P1 Nontraditional Participation	Numerator:		B.	L.	L.	L.	L.	To Be Negotiated in the Future	To Be Negotiated in the Future
	Denominator:			A.	A.				
5P2 Nontraditional Completion	Numerator:		B.	L.	L.	L.	L.	To Be Negotiated in the Future	To Be Negotiated in the Future
	Denominator:			A.	A.				