

# Perkins Calendar and OCTAE Guidance for State and Local Agencies

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**National Association of Career and  
Technical Education Information  
2014 Conference**

**May 6, 2014**

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# OCTAE Calendar

State Plan Submission Training	Early February
State Plan Submission (Reporting)	Mid-February
State Plan Reviews	March–April
State FAUPL Negotiations	March–May
State Grant Awards	July 1 <sup>st</sup> & October 1 <sup>st</sup> of every year
CAR Submission Training	August
CAR Submission	September–December Deadline: Dec 31 every year
CAR Reviews	January–March

# State Plan Submission Requirements

- 1) Request to Extend State Plan: Brief cover letter requesting extension of Perkins IV State Plan and transmitting changes and modifications
  - Must be in writing and signed by State official authorized to act on behalf of the eligible agency
  - Submit a hard copy to OCTAE of an original source signature within five working days of Website submission

# State Plan Submission Requirements—cont.

- 2) Revision to the State Plan: Submit any revisions to the State Plan that the State determines necessary. Changes to student definitions must be submitted as part of the revision process.
- 3) Updated Budget: Submit a budget for the corresponding program year, for Title I of Perkins IV.

# State Plan Submission Requirements—cont.

- 4) State Proposed Performance Levels: Submit performance levels for the 14 core indicators of performance in section 113(b) of Perkins IV
- Must submit a FAUPL Modification Request Form for every modified indicator (numerator or denominator definitions, measurement approach, baseline, or reason for lowering a performance level)
  - Must submit an attestation form for every year that has been negotiated

# State Plan Submission Process

- Access the State Plan Online Submission User's Guide and the Q&A Guidance on FAUPL Revisions
  - Found under the "What's New" Section on PCRN
- Access the [Perkins Web Portal](#) and enter your State Plan revisions or amendments

# State Plan Submission Process— cont.

- State Plan website contains 4 sections:
  - Section 1: Cover Letter
  - Section 2: State Plan Revisions
    - Section 2a: Accountability Revisions
    - Section 2b: Narrative Revisions
  - Section 3: Budget
  - Section 4: Submit for Review

# State Plan Submission Process— cont.

- After validating a section: Select “Save Changes/Continue” to ensure the information in that section is complete
- Once all sections are complete: Press “Submit for Review”

# Frequently Asked Questions

## **FAUPL NEGOTIATIONS**

# *Can a State request a modification for any measure or target for **PY 2013-14**?*

Answer: **Yes**

- Modification requests can be made via the FAUPL Revision Form
- To modify a numerator, denominator or measurement approach, States must
  - revise their baseline and
  - include a justification
- End results will be reported in required CAR of December 31, 2014

# *Should a State use the FAUPL Revision Form as it negotiates **PY 2014–15**?*

**Answer: Depends on what State proposes**

- To answer this question, a State must determine which of the following two conditions applies to their context:

# Condition #1

**Answer: Yes, if one of the following circumstances apply:**

- a) State wishes to adopt newly developed numerator and denominator definitions for PY 2014–15;
- b) State has been granted an ESEA waiver, unless the state decides not to exercise the waiver;
  - Refer to OVAE Memo dated 8/31/2012 on PCRN website under the State Plan Guidance tab:  
<http://cte.ed.gov/perkinsimplementation/nrg.cfm>

## Condition #1—cont.

- c) State adopted new measurement approach (new assessment instrument, technical skill assessment, or programs, etc.) that would significantly alter existing baseline and projected 2014–15 target; and/or
- d) State shows that unanticipated circumstance resulted in significant change to factors considered when performance levels were negotiated with ED (see section 113(b)(3)(A)(vii)).
  - Unanticipated circumstances may include significant shifts in population, economic changes such as spiraling unemployment rates, or natural disasters that closed programs for significant periods of time

## Condition # 2

Answer: **No, if:**

- the proposed target is equal to the previous year\*;
- the proposed target is a higher target than the previous year; and
- no other changes are made to the elements of the FAUPL.

*\* Note: Depending on the circumstances, a State may be allowed to level a proposed target for a maximum of 2 consecutive years. This will be assessed by the RAS on a case-by-case basis.*

# *Should I use a different FAUPL Revision Form for each indicator that is modified?*

**Answer: Yes**

- States must submit a FAUPL Revision Form for each indicator that is modified (via the State Plan Submission Portal)
- A FAUPL Revision Form must be completed if one or more of the following criteria apply:

- a) lowering a pre-approved performance level;
- b) changes in pre-existing numerator, denominator;
- c) changes in baselines due to newly implemented measurement approaches (e.g., new assessment/test or definitions);
- d) ESEA Waivers;
- e) increased number of programs being assessed for technical skill attainment (2S1 & 1P1); or
- f) an unanticipated circumstance that will result in a significant change in the factors that were considered at the time the State negotiated performance levels with the Department

*All forms must contain a justification for the suggested FAUPL changes*

*Should I use a FAUPL Revision Form if I intend to modify my participant or concentrator definition(s)?*

**Answer: Yes**

- Submit FAUPL Revision Form (via State Plan Submission Portal) if proposing new secondary and/or postsecondary participant and/or concentrator definitions
- Indicate in the “Measure Number” section the indicators affected by the new definition(s)

# CAR Submission

- Refer to CAR User Guide on [PCRN](#)
  - Found under the “*What’s New*” Section on PCRN
- Access the [Perkins Web Portal](#), enter data, and review each section for accuracy; complete all subpopulation data applicable to your State
- After validating a section: Select “Save and Continue” to ensure information in section is complete
- Once all sections are complete: Go to Section 9 and select “Submit My Report”

# Resources

- PCRN – <http://cte.ed.gov/index.cfm>
- PIMS – State Plan and CAR Web Portal:  
<https://perkins.ed.gov/Account/LogOn?ReturnUrl=%2f>
- Q&A Guidance on FAUPL Revisions:  
[https://s3.amazonaws.com/StatePlan/FAUPL\\_FAQs\\_Feb\\_2014.pdf](https://s3.amazonaws.com/StatePlan/FAUPL_FAQs_Feb_2014.pdf)
- Send hard copies of State Plan cover letter to:

**Edward R. Smith, Chief**

Program Administration Branch

Division of Academic and Technical Education

Office of Career, Technical, and Adult Education

U.S. Department of Education

Potomac Center Plaza

550 12<sup>th</sup> Street, SW, Room 11060

Washington DC 20202-7241

# State Improvement Plans, and Quarterly State Improvement Reports

## **PRESENTER:**

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## *Must a State develop and implement an improvement plan?*

- Section 123(a)(1) of Perkins IV requires any State that fails to meet at least 90 percent of a State adjusted performance level for any of the core indicators of performance to develop and implement a program improvement plan for each indicator for which the State failed to meet the 90 percent threshold.

# State Improvement Plans

- *When must a State implement its improvement plan for any core indicator of performance for which the State failed to meet the 90 percent threshold?*
  - In the first program year following the program year for which the State failed to meet the 90 percent threshold of one or more of the State adjusted levels of performance.
- *How and when must a State submit its improvement plan?*
  - As part of the State's Consolidated Annual Report (CAR)

# *What Elements Must the State Improvement Plan Contain?*

1. Core indicator(s) of performance for which the State failed to meet the 90 percent threshold;
2. Categories of students for which there were quantifiable disparities or gaps in performance vs. all students or any other category of students;
3. Action steps to be implemented, beginning in current program year, to improve performance on the core indicator(s) of performance and student categories of students for which disparities or gaps in performance were identified;
4. Responsible staff member(s) in the State for each action step; and
5. Timeline for completing each action step

# Quarterly Status Reports

- If a State receives a condition on its July Perkins grant award, as a result of missing the 90 percent threshold for three consecutive years, the State is required to develop a program improvement plan and submit quarterly status reports.

# *What must a Quarterly Report contain?*

- Must clearly identify and describe specific actions the State has taken since the last status report
- Your improvement plan must include:
  - All the items listed under the State Improvement Plan section;
  - Specific action steps your State will take during the next quarter to ensure that the State implements each action step this program year (e.g., July 1, 2014 through June 30, 2015); and
  - The date by which your State will complete each action step for next quarter.

# Instructions for Submission of a Quarterly Status Report

- Your State must email it's response regarding the submission of your quarterly improvement plan reports to the above conditions to
  - Dr. Edward R. Smith, Chief, Program Administration Branch, at [Edward.Smith@ed.gov](mailto:Edward.Smith@ed.gov) *and*
  - to your regional accountability specialist, on the dates your reports are due.

# OCTAE CAR Review Checklist

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## OCTAE CAR Review Checklist

Cover Letter	<ul style="list-style-type: none"><li>• Check the PR/Award Number for accuracy</li></ul>
Interim and Final Financial Status Report Section	<ul style="list-style-type: none"><li>• Does the state provide complete and accurate information for questions 1-6?</li><li>• Are all mathematical calculations correct?</li><li>• Do the amounts listed in each of the rows in Column 10 correspond with the state's approved budget request(s) for the reporting year?</li><li>• Have more that 60 percent of the funds in Column 11 been obligated and liquidated by the state during the first 12 months of the grant award?</li></ul>
Technical Skill Attainment / Assessments	<ul style="list-style-type: none"><li>• Are new program areas identified?</li><li>• Are new assessments or changes to the existing assessment process mentioned?</li><li>• Does the State provide a detailed plan of how it will expand the use of technical skill assessments in the upcoming year?</li><li>• Is a timeline (projected dates) provided as to when the new assessments or programs will be incorporated</li></ul>

## OCTAE CAR Review Checklist—cont.

### Participant and Concentrator Enrollment Data

- Does the state provide complete and accurate participant enrollment data?
- When compared to previous year's enrollment figures, does the data reflect similar characteristics, trends and patterns?
- Are the same categories of students reported this year, as compared to last year?
- Do the numbers of students reported in each of the categories resemble the number of students reported last year? Are there extreme cases where a student category is extremely high or low, as compared to last year?
- Does the data correspond to the cluster data reported in the Technical Skill Assessment section (Step 4 of the CAR)? In other words, are the clusters reported here also reflected in the Technical Skill Assessment section?

## OCTAE CAR Review Checklist—cont.

### Indicator Review

- Does the state provide complete and accurate performance data for this indicator?
- When compared to previous year performance data, does the data reflect similar characteristics, trends and patterns?
- Are the same categories of students reported this year, as compared to last year?
- Can you detect any significant discrepancies in the numbers reported? For instance, are some of the numbers excessive or extremely small compared to what has been reported in the previous year?

## OCTAE CAR Review Checklist—cont.

### Improvement Plan Section

- Did the State provide complete Postsecondary Program Improvement Plans for indicators that failed to meet at least 90% of the state adjusted level of performance?
- Did the State provide complete Postsecondary Program Improvement Plans for indicators that failed to meet at least 90% of the state adjusted level of performance?
- Did the State provide complete Local Program Improvement Plans?
- Do the Local Program Improvement Plans indicate the total number of eligible postsecondary and secondary recipients that failed to meet at least 90% of an agreed upon local adjusted level of performance?

# Local Applications Under Perkins

## *Key Elements*

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# Requirements

- Local applications must address the requirements of section 134 of Perkins
- Options
  - a) Through 5-year local applications and annual updates
  - b) Through annual local applications

# Local Application Contents

- Programmatic
- Fiscal
- Accountability

# Purpose of Local Applications

- Not merely a mechanism to institute the flow of federal Perkins funds from the state to eligible recipients
- Should embody state and local visions for CTE
- Unification of the programmatic, the fiscal, and the accountability aspects

# Local Application Tools—1

- Use funding floors and ceilings
- Funding floors
  - 6% of allocation for guidance
  - 10% for special populations
- Funding ceilings
  - No more than 30% of allocation for equipment
- Reserve

# Local Application Tools—2

- Size, scope, and quality
  - **Size**—Must have x number of students
  - **Scope**—Must be a program of study; sequence of courses; career pathway
  - **Quality**—Must meet core indicators

# Local Application Tools—3

- Budget table format
- Accounting categories
- Program categories
- Budget matrix

	<b>SALARY</b>	<b>FRINGES</b>	<b>SUPPLIES</b>	<b>TOTAL</b>
PROF. DEV.				
NON-TRAD.				
INSTRUCT.				
GUIDANCE				
ADMIN				
<b>TOTAL</b>				

# Local App. Tools at Local Level

- Eligible recipients can use many of the same tools to strengthen local implementation of CTE programs
  - SSQ
  - Floors and ceilings
  - A budget matrix
  - Reserve

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