2013-2014

CARL D. PERKINS

CAREER AND

TECHNICAL

EDUCATION ACT

OF 2006

(PERKINS IV)

Postsecondary
Formula Allocation Funding

(Fiscal Year 2014)

THE
UNIVERSITY
OF THE
STATE
OF
NEW YORK

THE STATE
EDUCATION
DEPARTMENT

Guidelines and Application Materials for Non-Competitive Proposals

Due: **Postmarked by Friday, May 24, 2013**

THE UNIVERSITY OF THE STATE OF NEW YORK

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The University of the State of New York
THE STATE EDUCATION DEPARTMENT
Collegiate Development Programs Unit-PERKINS
Education Building Addition, Room 965
Albany, NY 12234

A. GRANT APPLICATION INFORMATION FORM
FY 2013-2014
A One Year Extension of Perkins IV

(July 1, 2013-June 30, 2014)

Perkins IV Formula Allocation, Postsecondary Institutions

Project Number: 8000-14- ______

1. Institution/Consortium Name:____

2. Name of Perkins IV Contact Person:____

   Title: ____

   Street Address:____

   City:______________________________ State: NY Zip Code: __________

   Telephone:____________________ Fax:____________________

   E-mail Address:____

3. Chief Executive Officer:____

   Street Address:____

   City:______________________________ NY Zip Code: ______________

The three certifications that follow this Grant Application Information Form must be signed **IN BLUE INK** by the Chief Executive Officer or a representative authorized by the applicant's official board. These signed certifications must be submitted as part of the application.

CONDITIONS AND REQUIREMENTS
FOR PERKINS IV (CTE) FORMULA FUNDED GRANT AWARDS
FISCAL YEAR 2014

1. Critical Program Dates:

Earliest Date to Encumber Funds	7/01/2013
New Equipment Operational Deadline	12/31/2013
Interim Report Due Date	3/01/2014
Final Budget Amendment Due Date	3/31/2014
Last Date to Encumber Funds	6/30/2014
Final Evaluation Report Due Date	10/1/2014
Final Project Expenditure Report Due Date	10/1/2014

All equipment and software being purchased must be received, installed, and operational by December 31 2013. Failure to do so will result in the grant recipient being required to redirect such funds to activities that will have the greatest impact on: 1) Increasing the number of students that receive a credential, certificate or degree; and/or, 2) Increasing the participation rate of CTE students in non-traditional fields.

2. Application Page Limit: The entire Perkins application submitted for the extension year July 1, 2013 through June 30, 2014 is limited to a maximum of fifty (50) pages.

3. The use of Perkins IV funds is governed by the **Fiscal Guidelines for Federal and State Aided Grants**, available on the Department's Grants Finance web site, http://www.oms.nysed.gov/cafe/guidance/ and by the State Comptroller determination that prohibits the use of Federal grant funds to purchase promotional favors (pens, pencils, T-shirts, bumper stickers, etc.).

4. Awards for all FY 2013-14 Perkins IV grants are made on the basis of terms in the approved budget as delineated on fiscal form FS-10. All fiscal forms are available on the Department's web site http://www.oms.nysed.gov/cafe/forms/ . Funds are authorized only for the specific activities and categories in the approved budget. Budget revisions may be made only if prior approval is obtained in writing from the Collegiate Development Programs Unit.

5. An advance project payment of 20 percent will be sent to a grant recipient by the Grants Finance Unit. As additional funds are needed, subsequent payment may be requested by submitting the form FS-25 to the Grants Finance Unit. Final claims are processed upon submission of the **FINAL EVALUATION REPORT** and the **FINAL EXPENDITURE REPORT [FS-10-F *Short Form*]**, original of which must be submitted to the Grants Finance Unit.

6. One **INTERIM REPORT** must be submitted to the New York State Education Department, 89 Washington Avenue, Collegiate Development Programs Unit - PERKINS, Room 965, Education Building Addition, Albany,NY 12234. This report must be submitted by **March 1, 2014** in accordance with the **Interim Report Format** which will be provided to the grants officer under separate cover.

7. A **FINAL EVALUATION REPORT** must be submitted to the New York State Education Department, 89 Washington Avenue, Collegiate Development Programs Unit - Perkins, Room 965, Education Building Addition, Albany, NY 12234. This report must be submitted by **October 1, 2014** in accordance with the **Final Report Format** which will be provided to the grants officer under separate cover.

8. The **FINAL EXPENDITURE REPORT** is due **October 1, 2014**. The FS-10-F (one original signature copy and one information copy) must be submitted to: Grants Finance Unit, New York State Education Department, 89 Washington Avenue, Room 510W, Education Building, Albany, NY 12234. **One information copy** must also be sent with the final narrative report to: New York State Education Department, 89 Washington Avenue, Collegiate Development Programs Unit - PERKINS, Room 965, Education Building Addition, Albany, NY 12234. The grant recipient may be required to provide additional details or to complete the full FS-10-F Form.

   (a) For final claims which include equipment with a unit value of $5,000 or more, the grant recipient must support the final claim by maintaining the following items on file: (1) purchase orders; (2) invoices with items keyed by number to correspond to the approved equipment list; and (3) evidence of payment.

   (b) For final claims which include salaries or other approved expenses, the grant recipient must keep in a readily auditable condition evidence of employment in the approved positions or other evidence of approved expenditures. Personnel services must be completed by **June 30, 2014**.

   (c) The grant recipient must maintain supporting documents for a minimum of three years following the submission of the final claim.

9. Failure to submit timely reports will result in a **"freeze"** being placed on all funds, not just Perkins IV, which flow to the grant recipient through the Grants Finance Unit. It is, therefore, advisable that your FS-10-F's and Evaluation Reports be submitted promptly in accordance with items #5, #6 and #7 above.

10. Grant recipients that expend $500,000 or more annually of federal financial assistance (i.e., the total for all federal programs) must conduct a single or program-specific audit as stipulated in the federal Single Audit Act Amendments of 1996 and in OMB Circular A-133, Audits of States, Local Governments, and Nonprofit Organizations. The purpose of this audit is to determine that the financial position is presented fairly through the grantee's financial statements, and that internal and other control systems are in place to provide "reasonable assurance" that the grantee is in compliance with relevant laws, regulations and agreements. The cost for auditing a federal program may be charged to the grant only when the audit is required under and conducted in accordance with OMB Circular A-133.

11. Each grant recipient shall identify, in the local plan submitted under section 134, levels of performance for each of the core indicators of performance. The State requires the grant recipient to make continuous progress toward improving the performance of career and technical education students. Grant recipients must identify and quantify any disparities or gaps in performance between any such category of students and the performance of all students served by the grant recipient under this Act. The core indicators of performance and the target performance standards are indicated in the table below. **Additionally, each grant recipient must set aside at least 5% of their grant award towards increasing the number of career and technical education students that receive a credential, certificate or degree**; **and at least another 5% of their grant award towards increasing the participation rate of nontraditional students in career and technical education programs.**

Postsecondary **Core Indicators of Performance**	**Target Performance Standards for 2013-14**
Technical Skill Attainment. (1P1)	88.00%
Credential, Certificate or Degree (2P1)	55.63%
Student Retention or Transfer. (3P1)	67.00%
Student Placement (4P1)	95.25%
Nontraditional Participation (5P1)	35.75%
Nontraditional; Completion (5P2)	23.25%

12. In accordance with Perkins IV Section 135 (b), the grant recipient will evaluate annually the effectiveness of its entire career and technical education program, using a system of core measures and standards of performance, regardless of which particular projects are assisted with Perkins IV funds. The State Education Department provides to grant recipients annual reports concerning the performance of students in career and technical education programs.

13. Materials developed in whole or part with the support of Perkins IV funds must highlight in a prominent place this statement: "Support for the development/production of this material was provided by a grant under the Carl D. Perkins Career and Technical Education Act of 2006 administered by the New York State Education Department."

    Publicity releases and program announcements should make a similar statement. All materials produced must include a statement of the institutions' policy of non-discrimination on the basis of age, color, religion, creed, disability, marital status, veteran status, national origin, race, gender or sexual orientation.

14. All rights to reproduce and disseminate materials produced with Perkins IV funds are retained by the State, which has the sole right to copyright said materials. Prior to distribution of materials, the grant recipient must submit them to the Collegiate Development Programs Unit and the State Education Department will determine whether or not a copyright will be sought.

(a) The State of New York has the right to distribute such materials to any institution or agency, profit or nonprofit, within or outside of New York State.

(b) The State of New York authorizes the developer/producer to distribute and sell such materials **at cost only** to any institution or agency, profit or nonprofit, within or outside of New York State.

15. The grant recipient complies with, and activities conducted with Perkins IV 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 Americans with Disabilities Act of 1992 updated in 2010, and (5) 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 grant recipient agrees to the following conditions:

(a) The grant recipient will, upon request, provide the State Education Department with access to its records and other sources of information that may be necessary to determine the recipient's compliance with Civil Rights legislation.

(b) If selected for a Civil Rights Compliance Review, the grant recipient will cooperate with SED staff by providing access to its staff, buildings and grounds, particularly where CTE activities are conducted.

(c) If SED issues a final letter of findings (LOF) indicating the grant recipient has failed to comply with the civil rights legislation, the grant recipient shall, within 60 days of receiving the letter of findings, submit to the State Education Department an approvable voluntary compliance plan (VCP) describing the steps it will take to overcome the violation and the effects of the violation. The voluntary compliance plan shall describe in detail the steps the grant recipient will take to remedy the violation, the personnel responsible and the proposed timetable for its remediation.

Should a grant recipient of Perkins IV funds be determined to be in noncompliance with any of the Federal Civil Rights statutes and not be willing to furnish an approvable voluntary compliance plan to correct the situation, the matter will be referred to the Office for Civil Rights in the U.S. Department of Education. If this should this occur, the State Education Department may withhold all Federal funding from the grant recipient in noncompliance.

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

NAME OF APPLICANT INSTITUTION

PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

SIGNATURE (In Blue Ink) DATE

Form CTE-PS-3, FY14, page 1 of 2

The University of the State of New York
THE STATE EDUCATION DEPARTMENT
STATEMENT OF ASSURANCES
Carl D. Perkins Career and Technical Education Act (Perkins IV)
Postsecondary Agencies: Basic Grant 2013-14

All subrecipients assure that:

1. Perkins IV funds will supplement, and not supplant, local expenditures and will not duplicate objects of expenditure from other sources.

2. None of the funds expended under Perkins IV 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.

3. Methods of administration and fiscal control are in place for proper and efficient administration and accounting of projects funded under Perkins IV in accordance with applicable Federal and State laws, regulations, and directives.

4. Notice of the availability of 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 Rehabilitation.

5. The subrecipient will retain with its approved Perkins IV application, one copy of the most recently formalized Memorandum of Understanding (MOU) established with the appropriate Local Workforce Investment Board(s).

6. The six special populations under Perkins IV have the same opportunity to enroll in career 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.

7. All consultants meet competency requirements and are legally eligible to receive Perkins IV funds.

8. The subrecipient complies with and activities conducted with Perkins IV 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 Americans with Disabilities Act, and (5) 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.*

9. Perkins IV funds will only be used to provide career 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.

10. 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.

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

____

NAME OF APPLICANT INSTITUTION

____

PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

____

SIGNATURE (In Blue Ink) DATE

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.

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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.

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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 here 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

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

NAME OF APPLICANT INSTITUTION	PR/AWARD NUMBER and/or PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE (In Blue Ink)	DATE

ED80-0013 12/98

PREPARING PERKINS IV FORMULA ALLOCATION APPLICATIONS FOR FISCAL YEAR 2013-14

B. INTRODUCTION

The Bulletin of The Statewide Plan for Higher Education 2012 – 2020 sets forth the Board of Regents goals and objectives for the coordinated system of higher education in New York. The Statewide Plan focuses on "Topics of Concern" established by the Board of Regents 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 P-12 schools and districts, 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 Career and Technical Education Act of 2006** (Perkins IV): "…to develop more fully the academic, and career and technical skills of secondary education students and postsecondary education students who elect to enroll in career and technical education programs, by:

1. Building on the efforts of States and localities to develop challenging academic and technical standards and to assist students in meeting such standards, including preparation for high skill, high wage, or high demand occupations in current or emerging professions;
2. Promoting the development of services and activities that integrate rigorous and challenging academic and career and technical instruction, and that link secondary education and postsecondary education for participating career and technical education students;
3. Increasing State and local flexibility in providing services and activities designed to develop, implement, and improve career and technical education;
4. Conducting and disseminating national research and disseminating information on best practices that improve career and technical education programs, services, and activities;
5. Providing technical assistance that:
    - Promotes leadership, initial preparation, and professional development at the State and local levels; and
    - Improves the quality of career and technical education teachers, faculty, administrators, and counselors;
6. Supporting partnerships among secondary schools, postsecondary institutions, baccalaureate degree granting institutions, area career and technical education schools, local workforce investment boards, business and industry, and intermediaries; and
7. Providing individuals with opportunities throughout their lifetimes to develop, in conjunction with other education and training programs, the knowledge and skills needed to prepare individuals for high demand, high skill, or high wage occupations.

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.

C. ELIGIBLE AGENCIES AND PROGRAMS

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 formulas prescribed by Congress to allocate funds based on the population served.

Perkins IV provides funds to **improve the quality of career and technical education** for 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, career and technical knowledge needed to prepare for further education beyond a two-year associate degree and (2) for a career in current or emerging high demand, high skill or high wage occupations. 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 that students achieve academic, career and technical competencies. (Also see definition of career and technical education areas on page 29.)

2. **Adult Noncredit Career and Technical Education Programs.** The purpose of adult noncredit career and technical education programs is to prepare students for direct entry into employment in high demand, high skill or high wage occupations. 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 English as a Second Language (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.

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

D. APPLICATION COMPONENTS

This section describes the application materials and instructions applicable to all institutions seeking funding. The annual application must reflect the institution's **Five Year Plan** (submitted and approved in 2008-2009) and carefully relate major efforts, objectives, activities, and proposed expenditures to the core indicators of performance and the plan.

Each application package must include <u>ONLY</u> one original, signed paper application, <u>PLUS</u> an original and three paper copies of the signed FS-10. In addition, you must send an electronic copy of your application to perkins@mail.nysed.gov . The application must be complete and provide the necessary information for components 1-9 described below.

<u>NEW Instructions for 2013-2014</u> **– Please note changes to the components that need to be submitted as part of the hard copy application. Only information for components 1, 2, 3, 7, 8 and 9, discussed below, must be submitted as part of the hard copy application to SED for review. Information for components 4-6, discussed below, must be completed as part of the application package but will be retained at the institution and not submitted for review. The institution must make the entire application package available at the request of SED.**

1. **Grant Application Information Form** (Grant Application Information Form CTE-PS-1, FY14, page 4) is to be used as the cover page of the application. The application number to be entered is "8000-13-xxxx" with the last four digits of the application number being the same as that used for 2012-13.

2. **Conditions and Requirements, Statement of Assurances and Federal Compliance Certification forms (**pages 5-13**).** The application must include executed copies of these three forms bearing the original signature, **in blue ink**, of the institution's chief executive officer or authorized designee.

3. **Abstract**: The Abstract consists of a summary paragraph of how each Core Indicator of Performance will be achieved through the Major Efforts. These **brief** paragraphs (not to exceed 15 lines) should consist of a summary of the needs statement, the objectives and activities designed to address these needs, and the projected outcome of the Effort. Each summary paragraph **must** be submitted on the Major Effort Abstract form that will be e-mailed to the applicant before the Guidelines are made available. The applicant must complete a separate Abstract form for each Major Effort, and each form should be saved as a **Word** file and titled at the top accordingly: institution name followed by Core Indicator of Performance number and Major Effort number. The completed Abstract forms must be e-mailed to **perkins@mail.nysed.gov** no later than the time the application is mailed to SED.

4. **Five-Year Plan Update:** In the approved five-year plan, institutions were required to develop an implementation plan and encourage articulation agreements that would lead to

secondary-postsecondary course sequences for at least one career and technical **program of study** based on any or all of the following three criteria:

- a pathway or " **program of study"** consistent with secondary CTE programs that have been approved by SED;
- a pathway or "**program of study"** consistent with one developed by the local consortium previously funded under Perkins Title II;
- a pathway or "**program of study"** consistent with careers that are emerging or projected to grow in the designated labor market region.

a. Institutions must maintain an updated list of the career and technical **programs of study** that the institution will target under this requirement during the 2013-2014 program year. Also to be kept in your files are a Memorandum of Understanding (MOU) with each of the secondary school(s), LEA(s), or BOCES that the institution will target for these program articulation agreements.

b. The Five-Year Plan is being extended for one (1) year: (July 1, 2013 – June 31, 2014). Only submit your plan for the additional year. *The Plan should be modified only as necessary and required.* Any additional changes, modifications or strategic plan updates should have compelling justification. The addition of a new Major Effort does not necessarily constitute the need for a re-written Five-Year Plan. However, the addition of any new Major Efforts must be related directly to achieving at least one of the Core Indicators of Performance.

5. **Support of One-Stop Delivery System:** The Carl D. Perkins Career 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. Perkins grantees must also maintain information concerning the status of partnership with the Local Workforce Investment Board to support the local One-Stop delivery system, according to the following conditions:

a. **No formal Memorandum of Understanding (MOU) has been negotiated with the Local Workforce Investment Board.** The institution must retain a description of the status of negotiations with the Local Workforce Investment Board, including a description of barriers preventing the development of an MOU. (Contact persons for each Local Workforce Investment Area are listed at: http://www.labor.state.ny.us/workforcenypartners/osview.asp.)

b. **A formal MOU has been negotiated with the Local Workforce Investment Board.** The institution must retain a copy of the MOU, which must discuss the use of Perkins grant funds that support the local One-Stop delivery system (This use of Perkins grant funds must follow the options described in Section D.8.c, page 17 of these Guidelines.)

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 H, (page 35).

Do not submit the One-Stop information discussed above in items a. and b. with your hard copy application.

6. **Local Advisory Council** annual report - Use Form CTE-PS-6, on page 42 of these Guidelines, to prepare this report. The entire report should be completed and retained in the institution's application file.)

   a. Membership List – Include the complete mailing address of each member as requested on the form.

   b. Meeting Date(s) – At the top of the Form, indicate the date(s) when this Council met during the 2012-2013 academic year. It is recommended that the Council meet at least twice a year; once in the fall and once in the spring. The spring meeting should be held no later than one month prior to the application due date in order to accommodate changes, suggestions, and recommendations of the Council. The minutes of each meeting must document the Council's involvement in the development of the proposed major effort activities. These minutes must be retained as part of the annual report.

   Do not submit the Local Advisory Council annual report with your hard copy application.

7. **Management Plan** – This Plan must describe how the institution will monitor the progress of major efforts 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. The Management Plan must be retained in the institution's application file.

8. **Major Effort Description for FY '14** including:

   [Note: Major Efforts are limited to six (6) and must be tied to achieving the Core Indicators of Performance.]

   a. Table **of Mandated Activities across Major Efforts** (Appendix 2, page 45)

   Under Section 135 (b) of Perkins IV, during 2013-14, institutions **shall** use Perkins IV non-competitive formula funds to support one or more of the following nine activities:

(1) *Strengthen the Academic, Career and Technical Skills of Students* [**Core Indicator 1P1**]

- "Strengthen the academic and career and technical skills of students participating in career and technical education programs, by strengthening the academic and career and technical education components of such programs through the integration of academics with career and technical education programs through a coherent sequence of courses such as career and technical programs of study";

(2) *Link Career and Technical Education at the Secondary Level and Career and Technical Education at the Postsecondary Level,* [**Core Indicator 2P1**] including by offering

- "the relevant elements of at least one career and technical program of study";

(3) *Provide Students with Strong Experience In and Understanding Of All Aspects of an Industry*, [**Core Indicator 4P1**] which may include,

- "work-based learning experiences";

(4) *Develop, Improve, or Expand the Use of Technology in Career and Technical Education*, [**Core Indicator 1P1**] which may include:

- "training of career and technical education teachers, faculty, and administrators to use technology, which may include distance learning";

- "providing career and technical education students with the academic and career and technical skills (including the mathematics and science knowledge that provides a strong basis for such skills) that lead to entry into the technology fields"; or

- "encouraging schools to collaborate with technology industries to offer voluntary internships and mentoring programs";

(5) *Provide Professional Development Programs to Teachers, Counselors, and Administrators that will better prepare students to attain a credential, certificate or degree*, including: [**Core Indicator 2P1**]

- "in-service and pre-service training in effective integration and use of challenging academic and career and technical education provided jointly with academic teachers to the extent practicable, effective teaching skills based on research, and in effective practices to improve parental and community involvement and effective use of scientifically based research and data to improve instruction";

- "support of education programs for teachers of career and technical education who are involved in the direct delivery of educational services to career and technical education students, to ensure that such teachers and personnel stay current with all aspects of an industry";

- "internship programs that provide relevant business experience"; and

- "programs designed to train teachers specifically in the effective use and application of technology to improve instruction";

(6) *Develop and Implement Evaluations of Career Education Programs* [**Core Indicator 5P1 and 5P2**]

- "Develop and implement evaluations of the career 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

(7) *Initiate, Improve, Expand, and Modernize Quality Career and Technical Education Programs*; [**Core Indicator 3P1**]

(8) *Provide Services and Activities that are of Sufficient Size, Scope, and Quality to Be Effective in the retention or, transfer of students* ; and [**Core Indicator 3P1**]

(9) *Provide Activities to Prepare Special Populations, including Single Parents and Displaced Homemakers who are enrolled in Career and Technical Education Programs, for High Skill, High Wage, or High Demand Occupations that will lead to Self Sufficiency*. [**Core Indicator 5P1 and 5P2**]

Note: Major Efforts are limited to six (6) and must be tied to achieving the Core Indicators of Performance.

b. **Postsecondary Grant Information Major Effort Format** (CTE-PS-5, FY14), page 38)**.** A completed copy of this form must be submitted for **each** Major Effort for which funding is sought. These Major Effort forms should be included in the application immediately after the Table of Mandated Activities across Major Efforts (see item 8.a. above). Number each Major Effort form 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; 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) The Major Effort description(s) must clearly demonstrate a relationship between Major Effort activities and the specific actions that will achieve the target performance standards of the Core Indicators of Performance: 1) to improve student retention, 2) attainment of technical skills; 3) placement; 4) attainment of a credential, certificate or degree; 5) student participation in CTE program in nontraditional fields; and 6) student completion in CTE program leading to nontraditional placement.

The State Education Department has developed an online system for collecting and reporting data regarding the performance of students relative to program retention, completion, technical skill attainment and placement. **The institution's HEDS coordinator or institutional research coordinator has the user name and password information to obtain the performance reports at the online address for the Office of Research and Information System in SED. This online information can be used to develop the performance focus of each major effort.**

(3) **All degree and credit-bearing certificate programs supported by Perkins IV funds must be registered by SED as meeting the quality standards in the Regulations of the Commissioner of Education**. Evidence of registration is a copy of the SED registration letter for the program or its inclusion in the current Inventory of Registered Programs at the institution. The Institutional Profile provides information about size and scope of Major Efforts. SED will not approve use of Perkins funds to support the development of new programs or the development of major changes to a registered programs unless registration evidence is present. Evidence of registration is a copy of the SED registration letter or its inclusion in the current Inventory of Registered Programs at that institution.

(4) **Distance education and learning must reflect the quality practices and capability, as described on: http://www.highered.nysed.gov/ocue/ded/**

Colleges and Universities located in or operating in New York State that offer degree or certificate programs in which a major portion (50% or more) of the requirements may be completed through distance education must have those programs registered in the distance education format with the Office of College and University Evaluation (OCUE) of the SED.

(5) **Adult Noncredit Major Efforts.** Any Major Efforts addressing adult noncredit programs must emphasize employment preparation and include proposed **quantitative** evaluations that will document skill attainment and placement.

c. **Permissible Activities, Programs and Services, and Expenditures.** The Perkins IV 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 IV:

- Access to computer and other technology 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;
- 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, wind and solar power technologies, nanotechnologies, telecommunications, and office skills.

(2) Allowable **expenditures.** The general guide is that the expenditure must contribute 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. 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 IV 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:

- 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 an administrative cost.

- Any leadership activities, including general curriculum development and implementation, and general staff in-service training or staff development must be designated as administrative cost.

- 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.
- Purchase of promotional favors, such as bumper stickers, pencils, pens, or T-shirts.
- Subscriptions to journals or magazines.
- Travel outside the United States.

- Any expenditure for students **not** enrolled in career and technical education programs, including career exploration and pre-career and technical program activities.

d. Perkins Postsecondary “Core Indicators of Performance.” (Appendix 3, page 46)

Core Indicators of Performance should be fully described and supported by the services, activities and/or programs of at least one of the Major Efforts. This includes a description of how a Major Effort contributes to achieving at least 90% of each of the Core indicators of Performance. In the event that the program does not achieve the 90%, then a Local Improvement Plan must be submitted for each Core Indicator that was not met.

9. 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 44)

c. **A 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 (01/10) Long Form" is allowable for submission**. A current copy of the FS-10 can be found at http://www.oms.nysed.gov/cafe/forms/ This form is so identified on the upper right hand corner of its cover page. This must be a single form that includes all proposed expenditures for all major efforts to be funded. One copy must be marked, **in red ink**, “Original Signature Copy” and bear the original signature, **in blue ink**, of the applicant’s chief executive officer or designee. All columns and lines on the form must be completed so that calculations for salaries, fringe benefits, and indirect costs may be verified. Lists of proposed acquisition of supplies and equipment **must** include unit prices. The proposed budgets for each major effort must be itemized under the applicable budget categories and cross-referenced to that major effort's number.

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

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

(1) **Code 15 - Salaries for Professional Staff**. Be sure that the only personnel included here are professional and are employees of the fiscal agent. **It is essential** to identify the portion of a full-time equivalent (FTE) represented by each person and the rate of pay. The pay rate should be consistent with the institution's contractual pay rate for a given position. If additional information is required to explain the category, it should be included in the Budget Notes. When release time is given to full-time faculty for grant activities, the grant may be charged for the cost of part-time replacements. Do not include here persons who are not employees of the fiscal agent. Fee paid for services by

employees of members of a consortium **other than the fiscal agent** must be listed under Code 40, Purchased Services.

(2) **Code 16** - Salaries **for Support Staff.** Only non-instructional employees of the fiscal agent should be listed. These may include secretarial staff, tutors, laboratory assistants, technicians, and other non-instructional staff. Do not include persons who are not employees of the fiscal agent here, including employees of members of a consortium other than the fiscal agent. Fees for services purchased from such persons must be listed under Code 40, Purchased Services.

(3) **Code 40 - Purchased Services.** This category will normally include all services to be purchased **outside** the institution serving as fiscal agent, including rentals, equipment repairs, and consultant and vendor services. Neither the fiscal agent nor an employee of the fiscal agent should be identified as a provider of purchased services. Such employees always should be listed under Code 15 or Code 16, as appropriate. Fees for services provided by employees of any consortium partner 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. Keep in mind that if you use funds for "tuition" or "stipends" in Code 40, you cannot claim indirect cost. However, indirect costs can be claimed if the use of funds is labeled "fee for service." The amount of individual contracts exceeding $25,000 also must be excluded from indirect. Do not include conference registration or attendance costs here; include them under Travel Expenses (Code 46).

(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. This rate cannot exceed the current federal rate issued by the Office of the State Comptroller.

(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, rental costs and the amount of individual contracts exceeding $25,000.** Any expenditure that directly supports individual students such as tokens, book vouchers, registration fees for exams, child care etc. cannot be claimed for indirect. Indirect

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 a career 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 application review and simplify processing of the final fiscal claim, these general rules should be followed:

- Number all requested items of equipment sequentially.

- Identify the number of units requested **and the unit cost**. Even if a package price has been negotiated, provide a breakdown of component prices on the FS-10.

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 December 31, 2013, will lapse on that date****; eligible applicants will then be required to use those funds for a different major effort tied to one of two specific Core Performance Indicators:* ***1) Increasing the number of students that receive a credential, certificate or degree; and/or, 2) Increasing the participation rate of CTE students in non-traditional fields.***

- 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.

- 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 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 the Postsecondary Grant Information Form 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 form (pages 27-31) that is used by SED liaisons to approve your application. Please refer to this review form as a checklist to ensure that your application is complete prior to submission to SED.

E. PACKAGING THE APPLICATION

1. Please refer to the **<u>New</u> Instructions for 2013-2014** on page 15 of these Guidelines regarding components that must be submitted as part of the hard copy application.

2. Each hard copy application package must include **<u>ONLY one complete original set of required materials</u>** with the **original signature in blue ink** of the chief executive officer (CEO) or their designee, **<u>PLUS three additional copies of the FS-10.</u>** **In addition, you must send an electronic copy of your application to perkins@mail.nysed.gov.** Do not bind or staple the application. Do not print the application as back-to-back pages. All pages are to be numbered consecutively. MAIL THE APPLICATION TO:

   Collegiate Development Programs Unit-Perkins
   New York State Education Department
   89 Washington Avenue
   Education Building Addition, Room 965
   Albany, NY 12234.

   All applications must be postmarked by Friday, May 24, 2013.

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

3. While it is not necessary to forward the Perkins application in advance, each **institution** must make its complete application available for review by the appropriate **Local Workforce Investment Board** and to the **local office of the SED Office of Vocational Rehabilitation.** This will assist in coordination of career and technical education with job training and the provision of career and technical and educational services to persons with disabilities. Institutions may obtain names and addresses from the Department of Labor website http://www.labor.state.ny.us/workforcenypartners/osview.asp or from the Vocational Rehabilitation website http://www.vesid.nysed.gov/do/locations.htm

F. SED APPLICATION REVIEW FORM FOR POSTSECONDARY INSTITUTIONS PERKINS IV FY 2013-2014

(<u>Do not submit with application – use as guidance document only</u>)

Institution/Consortium Name: ____

Application Number: 8000-14-______ Supervisor Review: _________
Initials

Reviewer's Signature: _______________________________

Status: _________________ Approve without further information Date: ____________

_________________ Approve with additional information Date: ____________

1. <u>APPLICATION PACKAGE CHECKLIST</u>

Contents	Yes	No	If No…When Received
Grant Application Information Form			
Conditions and Requirements, Statement of Assurances and Federal Compliance Certification forms			
Abstract			
Five-Year Plan Update			Retained in Institutional File
One-stop Support			Retained in Institutional File
Local Advisory Council Annual Report			Retained in Institutional File
Management Plan			
Appendix 1 – Table of Major Efforts			
Postsecondary Grant Information Major Effort Format			
Appendix 2 - CIP/Mandated Activities			
Budget Form (FS-10)			
<u>Electronic PDF copy of Application</u>			
<u>Minimum 5% for Credential, Certificate or Degree (2P1)</u>			
<u>Minimum 5% for Non-Traditional Participation (5P1)</u>			

2. APPLICATION REVIEW

A. GRANT APPLICATION INFORMATION FORM (page 15, item D.1 of these *Guidelines.*)

A completed Grant Application Information Form Y___ N___

If not initially submitted, indicate date when acceptable information was received; add other comments as appropriate:

____
____
____

B. CONDITIONS AND REQUIREMENTS, STATEMENT OF ASSURANCES and FEDERAL COMPLIANCE CERTIFICATIONS, 2013-2014
(page 15, item D.2. of these *Guidelines.*)

The application includes valid signatures, including one original signature, on the Conditions and Requirements, Statement of Assurances and Certification Regarding Lobbying, Debarment, Suspension and Other Responsibility Matters and Drug-Free Workplace Requirements Y___ N__

If not initially submitted, indicate date when acceptable information was received; add other comments as appropriate:

____
____
____

C. MAJOR EFFORT DESCRIPTION FOR FY '14 (pages 17-22) item D.8. of these *Guidelines.*)

(1) Appendix 2: Table of Core Indicators of Performance/ Mandated Activities Y__ N__

(2) The program description includes:

(a) A completed Grant Information Major Effort Format, FY 2013-14 (pages 38-40 of these *Guidelines*) for each major effort. Information includes adequate descriptions of:

- The need for the major effort and how it will achieve the target performance standard for the related Core Indicator of Performance Y__ N__
- The Major Effort's objectives (quantified where appropriate) Y__ N__

- 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 quantifiable 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__ NA ____

(b) The Major Efforts address the student retention, completion, technical skill attainment and placement needs, as appropriate. Y__ N__ NA ___

(c) The Major Efforts reflect how the institution plans to adopt strategies to help special populations overcome barriers to access and success in career and technical programs. Y__ N__

(3) Major Efforts addressing adult noncredit programs prepare students for employment in specific occupations. Y__ N__ NA ___

(4) Major Efforts meet Perkins IV statutory requirements and New York State higher education 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 IV 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; indicate date when acceptable information was received; add other comments as appropriate:

____

____

____

D. INSTITUTIONAL PROFILE (Submitted electronically.)

The Institutional Profile data supports the proposed Major Efforts. Y___ N__

If **NO**, which Major Effort(s) is not supported; if not initially submitted, indicate date when acceptable information was received; add other comments as appropriate:

____
____
____

E. CORE INDICATORS OF PERFORMANCE

There is evidence that the institution has met 90% of the target performance standard for each Core Indicator, or a Local Improvement Plan is provided

1. Technical Skill Assessment Y__ N__

2. Credential, Certificate or Degree Y__ N__

3. Student retention or Transfer Y__ N__

4. Student Placement Y__ N__

5. Nontraditional Participation Y__ N__

6. Nontraditional Completion Y__ N__

F. BUDGET INFORMATION (reference pages 21-24, item D.9. of these *Guidelines.*)

(1) The following budget information is provided:

(a) Budget notes as needed. Y___ N__

(b) Appendix 1: Spreadsheet of Proposed Type of Expenditure 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, rental costs, direct support to students such as child care, tokens, book vouchers, student exam registration fees, 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; if not initially submitted, indicate date when acceptable information was received; add other comments as appropriate:

____

____

____

G. DEFINITIONS

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

Abstract is a summary paragraph, no more than 10 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 IV, including supervision but not including curriculum development activities, personnel development, or research activities (Perkins IV, section 3, paragraph 1).

Articulation Agreement is a written commitment that is agreed upon at the State level or approved annually by the lead administrators of a secondary institution and a postsecondary educational institution, or a sub baccalaureate degree granting postsecondary educational institution and a baccalaureate degree granting postsecondary educational institution; and to a program that is designed to provide students with a non-duplicative sequence of progressive achievement leading to a technical skill proficiency, a credential, a certificate, or a degree; and linked through credit transfer agreements between the two institutions. (Perkins IV, section 3, paragraph 4).

Career and Technical Education (CTE) is defined as organized educational activities that:

(1) offer a sequence of courses (as defined by the Education Commissioner's Rules and Regulations) that:
  (a) provides individuals with coherent and rigorous content aligned with challenging academic standards and relevant technical knowledge and skills needed to prepare for further education and careers in current or emerging professions;
  (b) provides technical skill proficiency, an industry-recognized credential, a certificate, or an associate degree; and
  (c) may include prerequisite courses (other than a remedial course) that meet the requirements of this subparagraph; 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, and knowledge of all aspects of an industry, including entrepreneurship, of an individual. (Perkins IV, section 3, paragraph 5).

Career and Technical Education Areas (credit bearing) 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). Would new HEGID codes be added in the future?

Concentrator is a participant in a CTE program having earned 12 or more program credits by August of the program year.

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

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

(1) Student attainment of challenging career and technical, skill proficiencies. **[1P1]**
(2) Student attainment of an industry-recognized postsecondary degree or credential. **[2P1]**
(3) Student retention in postsecondary education or transfer to a baccalaureate degree program. **[3P1]**
(4) Student Placement in military service or placement or retention in employment. **[4P1]**
(5) Student participation in career and technical education programs that lead to employment in non-traditional fields (see definition below). **[5P1]**
(6) Student completion of career and technical education programs that lead to employment in non-traditional fields (see definition below) **[5P2]**

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 IV 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 of 1990, 42 USC 12102).

Displaced Homemaker means an individual 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 that income; or

(c) is a parent whose youngest dependent child will become ineligible to receive assistance under Part A of Title IV of the Social Security Act, 42 U.S.C. 601 et seq. not later than two years after the date on which the parent applies for assistance under such title; and

(2) is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment.

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. Women, Infants, and Children (WIC)
i. Other public assistance programs serving economically disadvantaged, such as: Food Stamps, Home Energy Assistance Payments (HEAP), Supplemental Social Security Income, Trade Readjustment Act, and Refugee and Immigration Affairs Assistance.

Or who may be documented as low income:

j. Other: As per 2013-2014 Income Eligibility Guidelines

Eligible Institution, regarding this request for non-competitive applications, 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. The Department uses formulas prescribed by Congress to allocate funds based on the population served.

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 postsecondary educational institutions on a non-competitive basis, pursuant to section 132 of the Carl D. Perkins Career and Technical Education Act of 2006, 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 six 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.

HEGIS Codes - All CTE programs within HEGIS codes 5000-5599 are eligible for Perkins IV funding.

Institutional Profile reports data related to the size and scope of the eligible postsecondary institution's career and technical education programs versus total enrollment at the institution. This will also assist SED in fulfilling its Civil Rights Compliance Review duties. The information is submitted electronically to SED as an EXCEL file.

Integrated Academic/Skill Programs integrate rigorous and challenging academics with 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 that lead to employment in high-skill, high wage or high-demand occupations.

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 IV, section 3, paragraph 16).

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) students, (b) parents, (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 IV, section 134 b, paragraph 5).

Nontraditional Students are persons who elect to enter a career 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 Fields 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 IV, section 3, paragraph 20).

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.

A **Participant** is a student enrolled in a CTE program (with HEGIS codes between 5000.00 and 5590.00) during the specified academic year.

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

Programs of Study are closely aligned with career pathways that assist students in moving from secondary through postsecondary education. A program of study must include the following elements:

1. coherent and rigorous content aligned with challenging academic standards and relevant career and technical content in a coordinated, non-duplicative progression of courses that align secondary education with postsecondary education to adequately prepare students for success in postsecondary education and employment in high skill, high wage, high demand jobs in current or emerging occupations;

2. an articulation agreement that provides the opportunity for secondary education students to participate in dual or concurrent enrollment programs or other ways to acquire postsecondary education credits; and

3. leads to an industry-recognized credential or certificate at the postsecondary level or an associate or baccalaureate degree.

A **Registered Program** is a degree program or a credit or noncredit diploma or certificate program included in the SED 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 IV funds must be registered by SED 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 major efforts.

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

(1) Individuals with disabilities;
(2) Economically Disadvantaged Individuals;
(3) Individuals preparing for training and employment that is nontraditional for their gender;
(4) Single Parents;
(5) Displaced Homemakers;
(6) Individuals with Limited English Proficiency;

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 IV, section 3, paragraph 31).

H. 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 career and technical programs;

- the initial assessment of skill levels, aptitudes, abilities and supportive service needs of individuals prior to their enrollment in a career and technical education program;

- the provision of information to individuals prior to their enrollment in a career 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 career 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.labor.state.ny.us/workforcenypartners/osview.asp .

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.

MAJOR EFFORT FORMAT
Fiscal Year 2013-2014

Institution/Consortium Name____

Include a separate completed Postsecondary Grant Information Form for each Major Effort (may include a maximum of six Major Efforts) in the application. Make additional copies as needed**.**

1. **Major Effort's Number: ____ of _____**

1. **Major Effort's Title: ____**

2. **Major Effort's Target Population/Proposed Expenditures:**

Enter the number of career/technical students that will receive DIRECT services by this Major Effort, by the population category of which a student is a member and the proposed expenditures. Students that qualify in more than one special population category should be reported in EACH category that applies. Therefore, the numbers reported should be DUPLICATED. Use the General Postsecondary category only for students that are NOT members of any special population.

On the last line, enter the UNDUPLICATED number of students that 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 fields		$
Single Parents		$
Displaced Homemakers		$
Individuals with Limited English Proficiency		$
MAJOR EFFORT TOTAL (UNDUPLICATED COUNT):		

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

____

a. **Major Effort Director's Telephone Number**: _____________________

c. **Major Effort Director's E-Mail Address:**_________________________

5. Postsecondary Grant Information Form Narrative - Provide a brief narrative of each Core Indicator of Performance and the related major Effort. Attach up to three (3) pages, numbering each page with the Core Indicator of Performance number. The narrative should describe, in the order shown below, the following items:

a) Core Indicator of Performance
b) Major Effort supporting this core indicator of performance
c) Major Effort objectives (**quantified** where appropriate);
d) Activities to achieve the objectives;
e) Coordination with <u>external</u> agencies (especially workforce preparation providers); and
f) Major Effort timeline, noting significant activities, month-by-month.
g) Core Indicator of Performance Evaluation: List the **quantitative** evaluation methods that will be used to determine whether the Core Indicator of Performance objective has been achieved. Examples include: retention rates, completion/graduation rates, skill assessments, 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 retention, completion, skills attainment, and/or placement.** If one of the objectives of the major effort is full participation in training to prepare individuals for nontraditional gender 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%.

6. Major Effort Staff: List the names and titles of all persons who will be assigned to <u>and</u> 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. Do not submit with this application, but prepare and keep on file, statements of the job qualification requirements for each vacant position, curriculum vitae for incumbents, and curriculum vitae for <u>all</u> consultants.

Name	**Title**	**Time**	**Salary**
1.			
2.			
3.			
4.			

5. ____

6. ____

7. ____

7. 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		$

LOCAL ADVISORY COUNCIL FOR CAREER AND TECHNICAL EDUCATION MEMBERSHIP LIST

Every postsecondary institution or consortium receiving a Perkins IV formula grant is required to appoint and maintain a local advisory council. The council must consist of at least **ten** members. **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: SED recommends adding a representative of the local workforce investment board

* 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.

At the top of the form, indicate the date(s) when this Council met.

Retain this form and copies of council meeting minutes on file with the institution's Perkins application package**. Do not submit with hard copy application.**

Form CTE-PS-6, FY14

LOCAL ADVISORY COUNCIL FOR CAREER AND TECHNICAL EDUCATION MEMBERSHIP FORM

Name of Institution/Consortium______________________________________ Meeting Date(s)_________________

Name of 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 (1-6)

(Make copies, as needed)

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

The FS-10 can be found at http://www.oms.nysed.gov/cafe/forms/. Refer to page 21, Item D.9.c. for further instructions regarding this form.

APPENDIX 1 - 2013-14

Name of Institution/Consortium____

Spreadsheet of Proposed Type of Expenditure by Major Effort:
[For this one year extension, no more than six (6) Major Efforts]

Budget Category	FS-10 Code	Major Effort 1	Major Effort 2	Major Effort 3	Major Effort 4
Professional Salaries	15				
Support Staff	16				
Purchased Services	40				
Supplies and Materials	45				
Travel Expenses	46				
Employee Benefits	80				
Indirect Costs	90				
Minor Remodeling	30				
Equipment	20				
TOTAL ALLOCATION					
Core Indicator of Performance					
*2P1					
**5P1					

Notes: Please DO NOT duplicate this form. **No more than 6 major efforts may be proposed**.
The total proposed expenditure for each Major Effort must equal the Major Effort Total on the CTE-PS-5, FY14 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.
* 2P1 – Credential Certificate/Degree – must equal 5% of total allocation
** 5P1 – Nontraditional Participation – must equal 5% of total allocation

APPENDIX 2 - 2013-2014

Name of Institution/Consortium____

Table of Core Indicators of Performance/Mandated Activities across Major Efforts (Enter checkmark for activities covered in each Major Effort and related Core Indicator of Performance)

Mandated Activity	ME #1	ME #2	ME #3	ME #4	ME #5	ME #6
1. Strengthen the Academic, Career and Technical Skills of Students **…..[CIP:1P1]**						
2. Link Career and Technical Education at the Secondary Level and Career and Technical Education at the Postsecondary Level….. **[CIP:2P1]**						
3. Provide Students with Strong Experience In and Understanding Of All Aspects of an Industry, **…[CIP:4P1]**						
4. Develop, Improve, or Expand the Use of Technology in Career and Technical Education…… [**CIP1P1]**						
5. Provide Professional Development Programs to Teachers, Counselors, and Administrators….. **[CIP 2P1]**						
6. Develop and Implement Evaluations of Career Education Programs…… **[CIP 5P1 & 5P2]**						
7. Initiate, Improve, Expand, and Modernize Quality Career and Technical Education Programs; **[CIP: 3P1]**						
8. Provide Services and Activities that are of Sufficient Size, Scope, and Quality to Be Effective; **[CIP: 3P1]**						
9. Provide Activities to Prepare Special Populations, including Single Parents and Displaced Homemakers who are Enrolled in Career and Technical Education Programs, for High Skill, High Wage, or High Demand Occupations that will lead to Self Sufficiency……[**CIP 5P1 & 5P2]**						

For complete statements of the 9 mandated activities, see item D.8.a. beginning on page 17.

APPENDIX 3 - 2013-2014

The Perkins legislation requires that states collect data on "Core Indicators of Performance."

Postsecondary Core Indicators of Performance	Target Performance Standards for 2013-14
Technical Skill Attainment. (1P1)	88.00%
Credential, Certificate or Degree (2P1)	55.63%
Student Retention or Transfer. (3P1)	67.00%
Student Placement (4P1)	95.25%
Nontraditional Participation (5P1)	35.75%
Nontraditional; Completion (5P2)	23.25%

Accountability and Sanctions: If a recipient does not meet at least 90% of any one of the target performance standards for each Core Indicator, the recipient must submit a Local Improvement Plan to address deficiencies in performance. If the recipient does not make improvement in meeting 90 % of the target performance standards for which it was deficient for three consecutive years, the SED may impose financial sanctions. States may also be subject to sanction of their Perkins IV funds if they fail to meet 90 percent of a performance indicator for three consecutive years.

Each grant recipient shall identify, in the local plan submitted under section 134, levels of performance for each of the core indicators of performance. The State requires the grant recipient to make continuous progress toward improving the performance of career and technical education students. Applicants must identify and quantify any disparities or gaps in performance between any such category of students and the performance of all students served by the grant recipient under this Act.

The recipients will be evaluated by the Office of Civil Rights Coordinator at SED as a part of the ranking process performed during the 2014-2015 academic year to select higher education institutions that will receive a Civil Rights Compliance Review visit during 2015-2016 academic year on the following:

a) the Actual Level of Performance for minority students that receive a credential, certificate or degree reported for 2013-14 when compared to the Adjusted Level of Performance for that year
b) the Actual Level of Performance for special population students that receive a credential, certificate or degree reported for 2013-14 when compared to the Adjusted Level of Performance for that year

Appendix 4

Perkins Reauthorization:

Data Reporting Capacity Survey

Preliminary discussions at the U.S. Department of Education (USED), Office of Vocational and Adult Education (OVAE), the office that administers the Perkins Act) have resulted in proposed performance measures in anticipation of re-authorization of the federal legislation. This survey will be used to gain understanding of the capacity of programs funded under Perkins IV. The following questions reflect current major themes in discussions of Perkins V that may impact career and technical education programs. Details on these themes can be found in the Administration's Proposal for Reauthorization of the *Carl D. Perkins Career and Technical Education Act (Perkins Act)* April 19, 2012 Release: Investing in America's Future: A Blueprint for Transforming Career and Technical Education .

In order to provide a response to some of these questions, CTE directors will need to consult with other entities—secondary, consortiums, post-secondary, and business partners involved in the delivery of CTE. Please note that these issues and performance measures reflect preliminary thinking and may be adopted, adapted or eliminated after Congress has reviewed and voted on the reauthorized legislation. Completion of this survey by the grantee’s CTE director is a required component of your 2013-14 Perkins application.

I. Overarching Issues	**Agree**	**Disagree**	**Comment**
1. New federal legislation may change the programs that are eligible for funding. USED guidance will be needed to ensure that states use a common set of criteria to define CTE generally and career preparation programs in particular.	☐	☐	
2. A shift to competitive funding may reduce the number of CTE programs within states, which may decrease the number of students included in accountability reporting. Strategies for communicating this information to Congress should be considered so that it does not appear that fewer students are choosing to participate in CTE.	☐	☐	
3. Guidance will be needed on whether reporting should be limited to only New York State-approved programs that are eligible for federal funding or be extended to include all CTE programs, including those not eligible for federal support.	☐	☐	
4. If funding is to be restricted to qualifying consortia, the USED will need to clarify how accountability reporting should occur (i.e., at the consortium, individual agency, or institution level) and how performance targets and levels should be calculated.	☐	☐	
5. Students may drop out of high school or leave postsecondary education before reaching designated minimum threshold of CTE participation to be included in Perkins accountability reporting. Some way of reporting on these students should be included in the accountability framework.	☐	☐	
6. Given that benefits of CTE participation accumulate over time and may not be immediately evident, longitudinal measures should be developed in order to better reflect student educational attainment over time.	☐	☐	

I. Overarching Issues	Agree	Disagree	Comment
7. There is interest in retaining technical skill attainment as an indicator for secondary education programs. a. grantees should negotiate a level of performance and be held accountable for making annual improvements on this indicator, or b. grantees should only report their progress in making performance improvements.	☐ ☐	☐ ☐	
8. To ensure that measures produce reliable data, the USED should establish standards for data collection (e.g., establishing minimum response rates for student follow-up surveys or administrative record matching).	☐	☐	

The following performance indicators have been identified for collection at the local level. Indicate if you currently have the capacity to collect this information by indicating Yes or No.

II. Suggested Performance data to be collected and reported for accountability purposes (including the negotiation of performance targets).	Yes	No
Rate of secondary enrollment in postsecondary education	☐	☐
Rate of attainment of postsecondary certificates, degrees, and industry-recognized certifications or licensure	☐	☐
Rate of persistence in postsecondary education	☐	☐
Rate of employment	☐	☐
Earnings	☐	☐

Internally Reported Indicators

The states agreed that, while the following indicators provide useful information about the experiences and outcomes of CTE students, they should not be among the indicators that are reported to the USED.

III. Should the following indicators be collected and reported to the State, but not for accountability purposes?	Yes	No
Academic attainment *Background: As states adopt the Common Core State Standards and put new assessments in place, CTE students in 10th and 11th grades will be taking those assessments. Assessing the academic attainment of CTE students and comparing it to that of all students could inform states about the effects of CTE on academic attainment.*	☐	☐
Employability skills *Background: "College and career readiness" is a widely used term, but states do not have mechanisms to define and assess career readiness. In an effort to consolidate and disseminate information on employability skills, in March 2010 OVAE initiated its Support for States Employability Standards in CTE and Adult Education project. Project work culminated in the development of an Employability Skills Framework and website that puts forward a common understanding of employability skills supported throughout the U.S. government. The website includes an interactive framework that organizes identified skills; an online tool to inform the selection of an employability skills assessment; profiles of state, local, and employer-led skills initiatives; and links to related initiatives. The website can be accessed at: http://cte.ed.gov/employabilityskills/]*	☐	☐
Time to degree/credential *Background: Understanding how long CTE students take to earn a credential could be very helpful as states and institutions design initiatives to increase persistence and completion rates.*	☐	☐
Momentum points *Background: Research on "tipping points" and "momentum points" could offer states and local schools and institutions a resource for analyzing student outcomes.*	☐	☐

Progress Indicators Related to the USED *CTE Blueprint*

As part of the *Blueprint*, the USED is proposing a set of progress indicators upon which state and local grantees would be required to report, though no performance levels would be negotiated.

IV. Should the following progress indicators be reported but not negotiated?	Yes	No
Number of dual credits earned *Background: Several members noted that reporting how many students earn dual credit or how many dual credits are earned is a good way of presenting how CTE has a positive effect on students, including giving students a head start in postsecondary education, preparing them for its rigors, and saving families money on college. Others, however, questioned the purpose of a dual credit indicator, suggesting that if CTE focuses on an at-risk and disadvantaged population, an assessment of dual credit may not represent that population as well as other indicators. Instead they suggested that perhaps the focus should be on other success points (e.g., earning a diploma). If a dual credit progress indicator is included, it was suggested that clarifying the definition of dual credit and its role in Perkins accountability would be needed. Dual credit may meet differing requirements, including CTE program requirements, high school graduation requirements, and postsecondary certificate or degree requirements. Students may earn college credit but not necessarily high school credit in some programs, and Department guidance would be needed to determine what types of dual credit would be eligible. A credit also may have a different meaning for different schools. In addition, not all states offer dual credit and members wondered if dual credit would be required if a progress indicator were added. Policies in some states may support or limit dual credit opportunities. Finally, it was noted that many states will be better able to assess the number of dual credits earned once state longitudinal data systems are in place and functional.*	☐	☐
Number of stackable credentials earned *Background: Several States indicated that their postsecondary institutions offer short-term, "stackable" credentials that add up to a one- or two-year certificate or Associate's degree. Students can earn credentials, enter the workforce with a credential that has value in the labor market, and return to school and continue their education. The value of stackable credentials in the labor market may vary, and some states suggested that standards for what constitutes an eligible stackable credential would be needed if an indicator were added.*	☐	☐
Work-based learning opportunities completed *Background: States noted that work-based learning opportunities are widely offered, particularly in postsecondary education, and vary in their scope and intensity. Opportunities could include volunteering, internships, job shadowing, required hours of on-the-job training, and many other activities. If an indicator were added, more discussion would be needed about its purpose as well as the definition and parameters for eligible work-based learning opportunities.*	☐	☐

Additional Comments:

APPENDIX 5- New and Updated Items for 2013-2014 Perkins RFP

Page 4

A. GRANT APPLICATION INFORMATION FORM
FY 2013-2014
A One Year Extension of Perkins IV
(July 1, 2013-June 30, 2014)

Page 5

All equipment and software being purchased must be received, installed, and operational by December 31 2013. Failure to do so will result in the grant recipient agency being required to redirect such funds to activities that will have the greatest impact on: 1) Increasing the number of students that receive a credential, certificate or degree; and/or, 2)Increasing the participation rate of CTE students in non-traditional fields.

Application Page Limit: The entire Perkins application submitted for the extension year July 1, 2013 through June 30, 2014 is limited to a maximum of fifty (50) pages.

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*Each grant recipient shall identify, in the local plan submitted under section 134, levels of performance for each of the core indicators of performance. The State requires the grant recipient to make continuous progress toward improving the performance of career and technical education students. Grant recipients must identify and quantify any disparities or gaps in performance between any such category of students and the performance of all students served by the grant recipient under this Act. The core indicators of performance and the target performance standards are indicated in the table below. Additionally, each eligible applicant must set aside at least 5% of their grant award towards increasing the number of career and technical education students that receive a credential, certificate or degree; and at least another 5% of their grant award towards increasing **the participation rate of nontraditional students in career and technical education programs.***

Postsecondary Core Indicators of Performance	Target Performance Standards for 2013-14
Technical Skill Attainment. (1P1)	88.00%
Credential, Certificate or Degree (2P1)	55.63%
Student Retention or Transfer. (3P1)	67.00%
Student Placement (4P1)	95.25%
Nontraditional Participation (5P1)	35.75%
Nontraditional; Completion (5P2)	23.25%

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(b) The grant recipient will, if selected for a Civil Rights Compliance Review visit, cooperate with and provide the State Education Department staff with access to its staff, buildings and grounds in all CTE locations of the institution.

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Each application package must include ONLY one original, signed paper application, PLUS an original and three paper copies of the signed FS-10. In addition, you must send an electronic copy of your application to perkins@mail.nysed.gov . The application must be complete and provide the necessary information for components 1-9 described below.

NEW for 2013-2014 – Please note changes to the components that need to be submitted as part of the hard copy application. Only information for components 1, 2, 3, 7, 8 and 9, discussed below, must be submitted as part of the hard copy application to SED for review. Information for components 4-6, discussed below, must be completed as part of the application package but will be retained at the institution and not submitted for review. The institution must make the entire application package available at the request of SED.

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The Five-Year Plan is being extended for one (1) year: (July 1, 2013 – June 31, 2014). Only submit your plan for the additional year. *The Plan should be modified only as necessary and required.* Any additional changes, modifications or strategic plan updates should have compelling justification. Addition of a new Major Effort does not necessarily constitute the need for a re-written Five-Year Plan. However, the addition of any new Major Efforts must be related directly to achieving at least one of the Core Indicators of Performance.

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Note: Major Efforts are limited to six (6) and must be tied to achieving the Core Indicators of Performance.

1. *Strengthen the Academic, Career and Technical Skills of Students* [**Core Indicator 1P1**]
2. *Link Career and Technical Education at the Secondary Level and Career and Technical Education at the Postsecondary level,* **[Core Indicator 2P1]**
3. Provide *Students with Strong Experience In and Understanding Of All Aspects of an Industry*, **[Core Indicator 4P1]**
4. *Develop, Improve, or Expand the Use of Technology in Career and Technical Education*, **[Core Indicator 1P1]**
5. *Provide Professional Development Programs to Teachers, Counselors, and Administrators that will better prepare students to attain a credential, certificate or degree*, including: **[Core Indicator 2P1]**
6. Develop *and Implement Evaluations of Career Education Programs* [**Core Indicator 5P1 and 5P2**]

7. *Initiate, Improve, Expand, and Modernize Quality Career and Technical Education Programs*; [**Core Indicator 3P1**]
8. *Provide Services and Activities that are of Sufficient Size, Scope, and Quality to Be Effective in the retention or, transfer of students* ; and [**Core Indicator 3P1**]
9. *Provide Activities to Prepare Special Populations, including Single Parents and Displaced Homemakers who are enrolled in Career and Technical Education Programs, for High Skill, High Wage, or High Demand Occupations that will lead to Self Sufficiency*. [**Core Indicator 5P1 and 5P2**]

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The Major Effort description(s) must clearly demonstrate a relationship between Major Effort activities and the specific actions that will achieve the target performance standards of the Core Indicators of Performance: 1) to improve student retention, 2) attainment of technical skills; 3) placement; 4) attainment of a credential, certificate or degree; 5) student participation in CTE program in nontraditional fields; and 6) student completion in CTE program leading to nontraditional placement.

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Updating/upgrading equipment to support high-tech programs in such areas as computer graphics, allied health, computer information systems, engineering technologies, wind and solar power technologies, nanotechnologies, telecommunications, and office skills.

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Perkins Postsecondary "Core Indicators of Performance." (APPENDIX 3, page 46)
Core Indicators of Performance should be fully described and supported by the services, activities and/or programs of at least one of the Major Efforts. This includes a description of how a Major Effort contributes to achieving at least 90% of each of the Core indicators of Performance. In the event that the program does not achieve the 90%, then a Local Improvement Plan must be submitted for each Core Indicator that was not met.

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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 December 31, 2013, will lapse on that date**; eligible applicants will then be required to use those funds for a different major effort tied to one of two specific Core Performance Indicators: **. 1) Increasing the number of students that receive a credential, certificate or degree; and/or, 2) Increasing the participation rate of nontraditional students in career and technical education programs.**

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Each hard copy application package must include **ONLY one complete original set of required materials** with the **original signature in blue ink** of the chief executive officer (CEO) or their designee, **PLUS three additional copies of the FS-10.** Do not bind or staple the application. Do not print the application as back-to-back pages. All pages are to be numbered consecutively.

PLEASE MAIL THE APPLICATION TO:

Collegiate Development Programs Unit - Perkins
New York State Education Department
89 Washington Avenue
Education Building Addition, Room 965
Albany, NY 12234

In addition, please send an electronic copy of your application to perkins@mail.nysed.gov .

Page 28 The need for the major effort and how it will achieve the target performance standard for the related Core Indicator of Performance

Page 30
E. CORE INDICATORS OF PERFORMANCE

There is evidence that the institution has met 90% of the target performance standard for each Core Indicator, or a Local Improvement Plan is provided

1. Technical Skill Assessment	Y__	N__
2. Credential, Certificate or Degree	Y__	N__
3. Student retention or Transfer	Y__	N__
4. Student Placement	Y__	N__
5. Nontraditional Participation	Y__	N__
6. Nontraditional Completion	Y__	N__

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Concentrator is a participant in a CTEA program having earned 12 or more program credits by August of the program year.
Core Indicators of Performance are defined in Perkins IV as the measures of each of the following:

(6) Student attainment of challenging career and technical, skill proficiencies. **[1P1]**

(7) Student attainment of an industry-recognized postsecondary degree or credential. **[2P1]**

(8) Student retention in postsecondary education or transfer to a baccalaureate degree program. **[3P1]**

(9) Student Placement in military service or placement or retention in employment. **[4P1]**

(10) Student participation in career and technical education programs that lead to employment in non-traditional fields (see definition below). **[5P1]**

(6) Student completion of career and technical education programs that lead to employment in non-traditional fields (see definition below) **[6P1]**

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J. Other: As per 2013-2014 Income Eligibility Guidelines

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Institutional Profile reports data related to the size and scope of the eligible postsecondary institution's career and technical education programs versus total enrollment at the institution. This will also assist SED in fulfilling its Civil Rights Compliance Review duties. The information is submitted electronically to SED as an EXCEL file.

A **Participant** is a student enrolled in a CTE program (with HEGIS codes between 5000.00 and 5590.00) during the specified academic year.

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5. Postsecondary Grant Information Form Narrative - Provide a brief narrative of Core Indicator of Performance and the related Major Effort. Attach up to three pages, numbering each page with this major effort's number. The narrative should describe, in the order shown below, the following items:

a) Core Indicator of Performance
Need for this Major Effort;
b) Major Effort objectives (**quantified** where appropriate);
c) Activities to achieve the objectives;
d) Coordination with external agencies (especially workforce preparation providers); and
e) Major Effort timeline, noting significant activities, month-by-month.

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Spreadsheet of Proposed Type of Expenditure by Major Effort:
[For this one year extension, no more than six (6) Major Efforts]
Also,
Notes: Please DO NOT duplicate this form. No more than 6 major efforts may be proposed.
The total proposed expenditure for each Major Effort must equal the Major Effort Total on the CTE-PS-5, FY14 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.

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Appendix 2 - 2013-2014

Table of Core Indicators of Performance/Mandated Activities across Major Efforts (Enter checkmark for activities covered in each Major Effort and related Core Indicator of Performance)

Mandated Activity	ME #1	ME #2	ME #3	ME #4	ME #5	ME #6
1. Strengthen the Academic, Career and Technical Skills of Students …..[**CIP:1P1]**						
2. Link Career and Technical Education at the Secondary Level and Career and Technical Education at the Postsecondary Level….. **[CIP:2P1**]						
3. Provide Students with Strong Experience In and Understanding Of All Aspects of an Industry, …[**CIP:4P1]**						
4. Develop, Improve, or Expand the Use of Technology in Career and Technical Education…… [CIP1P1]						
5. Provide Professional Development Programs to Teachers, Counselors, and Administrators……….. **[CIP 2P1]**						
6. Develop and Implement Evaluations of Career Education Programs…… **[CIP 5P1 & 5P2]**						
7. Initiate, Improve, Expand, and Modernize Quality Career and Technical Education Programs; **[CIP: 3P1**]						
8. Provide Services and Activities that are of Sufficient Size, Scope, and Quality to Be Effective; **[CIP: 3P1]**						
9. Provide Activities to Prepare Special Populations, including Single Parents and Displaced Homemakers who are Enrolled in Career and Technical Education Programs, for High Skill, High Wage, or High Demand Occupations that will lead to Self Sufficiency……[**CIP 5P1 & 5P2]**						

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The Perkins legislation requires that states collect data on "Core Indicators of Performance."

Accountability and Sanctions: If a recipient does not meet at least 90% of any one of the target performance standards for each Core Indicator, the recipient must submit a Local Improvement Plan to address deficiencies in performance. If the recipient does not make improvement in meeting 90 % of the target performance standards for which it was deficient for three consecutive years, the SED may impose financial sanctions. States may also be subject to sanction of their Perkins IV funds if they fail to meet 90 percent of a performance indicator for three consecutive years.

Each grant recipient shall identify, in the local plan submitted under section 134, levels of performance for each of the core indicators of performance. The State requires the grant recipient to make continuous progress toward improving the performance of career and technical education students. Applicants must identify and quantify any disparities or gaps in performance between any such category of students and the performance of all students served by the grant recipient under this Act.

The recipients will be evaluated by the Office of Civil Rights Coordinator at SED as a part of the ranking process performed during the 2014-2015 academic year to select higher education institutions that will receive a Civil Rights Compliance Review visit during 2015-2016 academic year on the following:

c) the Actual Level of Performance for minority students that receive a credential, certificate or degree reported for 2013-14 when compared to the Adjusted Level of Performance for that year
d) the Actual Level of Performance for special population students that receive a credential, certificate or degree reported for 2013-14 when compared to the Adjusted Level of Performance for that year

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NEW - Appendix 4 - Data Reporting Capacity Survey (4 page document)