

**2009-2010**  
**CARL D. PERKINS**  
**CAREER AND**  
**TECHNICAL**  
**EDUCATION ACT**  
**OF 2006**  
**(PERKINS IV)**  
**Postsecondary**  
**Formula Allocation Funding**  
**(Fiscal Year 2010)**

THE  
UNIVERSITY  
OF THE  
STATE  
OF  
NEW YORK

THE STATE  
EDUCATION  
DEPARTMENT



**Guidelines and Application Materials for Non-Competitive  
Proposals**

**Due: Postmarked by May 15, 2009**

# THE UNIVERSITY OF THE STATE OF NEW YORK

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## PREPARING PERKINS IV FORMULA ALLOCATION APPLICATIONS FOR FISCAL YEAR 2009-10

### A. INTRODUCTION

**The Bulletin of The Statewide Plan for Higher Education 2004-2012** sets forth the Board of Regents goals and objectives for the coordinated system of higher education in New York. The Statewide Plan focuses on major issues affecting the role of higher education in New York State and its service to its residents, workforce, and community. The Statewide Plan is coordinated goals and objectives set forth in the Board of Regents P-16 Action Plan. In their respective institutional plans, higher education institutions are asked to describe, consistent with their mission, "...how they collaborate with businesses and other organizations to identify issues that higher education can address through new research initiatives or preparation of a workforce with new knowledge and skills, and to devise effective ways to address those needs individually and in networks, thus advancing development of intellectual capital, the economy, and related needs of New York." This focus complements the **purpose of the Carl D. Perkins 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:

- 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;
- 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;
- Increasing State and local flexibility in providing services and activities designed to develop, implement, and improve career and technical education;
- Conducting and disseminating national research and disseminating information on best practices that improve career and technical education programs, services, and activities;
- 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;
- 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
- 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, the P-16 Action Plan and the purpose of the Act combine in challenging institutions to improve existing collaborations and thus advance the educational and economic needs of the State and its residents.

## **B. REGENTS PRIORITIES FOR THE HIGHER EDUCATION SYSTEM**

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

### **Maximizing Success for all Higher Education Students:**

#### Assuring High Educational Quality

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

#### Improving Articulation

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

#### Closing Performance Gaps

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

#### Supporting Students with Disabilities

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

### **Smooth Transition from PreK-12 to Higher Education:**

#### Preparing Students for Entry into Higher Education

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

#### Providing Information and Assistance about Higher Education

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

## Qualified Professionals for Every Community throughout the State:

### An Adequate Supply of Qualified Professionals

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

### C. ELIGIBLE AGENCIES

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

### D. PROGRAM DESCRIPTIONS

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

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

**2. Adult Noncredit Career and Technical Education Programs.** The purpose for adult noncredit career and technical education programs is to prepare students for 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 ESL, life management, and the **General Educational Development Program (GED)** may be funded **only** if they are offered in **integrated curricula** with career and technical education programs. Local job developers and placement coordinators working for other clients and supported by other funding sources should be identified and, if possible, used to provide the same services for Perkins IV clients.

**3. External Coordination.** The application should describe how the institution will coordinate services with community-based organizations (CBOs), local employment and training activities, and

activities connected with implementation of the Local One-Stop delivery system to avoid duplication of services and to expand the range and accessibility of services.

## **E. THE APPLICATION**

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

**Each application package must include ONLY one original set of required materials PLUS three original copies of the FS-10. The application must be complete and in the order given below. Please number sections sequentially. Begin each section (1-11) on a new page.**

1. **Grant Information Form, Part A** (Part A of Form CTEA-PS-1, page 30) is to be used as the cover page of the application.
2. **Abstract:** The Abstract consists of a summary paragraph of each Major Effort. These **brief** paragraphs (not to exceed 10 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 at the time 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 named accordingly: institution followed by Major Effort number. The completed Abstract forms must be e-mailed to [mgroat@mail.nysed.gov](mailto:mgroat@mail.nysed.gov) at the time the application is mailed to the State Education Department. In addition, the applicant must include a hard copy of the forms with the application.
3. **Five-Year Plan Update:** In the approved five-year plan, your institution was required to develop an implementation plan and encourage articulation agreements that will 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:
  - (i) a pathway of study consistent with secondary CTE programs that have been approved by the State Education Department;
  - (ii) a pathway of study consistent with one developed by the local Title II consortium;
  - (iii) a pathway of study consistent with careers that are emerging or projected to grow in the designated labor market region.
  - a. Provide an updated list of the career and technical programs of study that the institution will target under this requirement during the 2009-2010 program year.
  - b. The Five-Year Plan that was submitted and approved by SED during the 2008-2009 application approval process should only be modified as necessary. Any changes, modifications or updates to the Plan should have some compelling justification. Major and frequent changes are not encouraged as this inhibits strategic planning. Addition of a new Major Effort does not necessarily constitute the need for a re-written Five-Year Plan. Do NOT resubmit the current Plan. If there are no changes to the Plan, it should be so noted in your application.

4. **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 provide 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.** Briefly describe the status of negotiations with the Local Workforce Investment Board including a description of barriers that are preventing the development of an MOU. (Contact persons for each Local Workforce Investment Area are listed at: <http://www.labor.state.ny.us/workforcenypartners/osview.asp>).
  - b. **A formal MOU has been negotiated with the Local Workforce Investment Board.**
    - Indicate that an MOU has been formalized and that a copy is enclosed with the 2009-10 Perkins application. This may be newly negotiated or may be the most recent MOU to which partners have agreed.
    - Indicate that the MOU discussed the use of Perkins grant funds to support the local One-Stop delivery system (This use of Perkins grant funds must follow the options described in Section 6.c. of these Guidelines.)
5. **Local Advisory Council** annual report, including the following information:
  - a. A Local Advisory Council Membership List (Form CTEA-PS-4, page 39). Be certain to include the complete mailing addresses of each member as requested on the form. **Note the recommendation to include a Title II site coordinator.**
  - b. Copies of the minutes of ALL Local Advisory Council meetings that have been held during the year prior to development of the proposal, including the Local Improvement Plan. These minutes must document the Council's involvement in the development of the Local Improvement Plan (if required), and proposed major effort activities.
  - c. It is recommended that the Local Advisory Council meet 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.
6. **Local Improvement Plan (LIP).** The need for the LIP is based on a comparison of each institution's most recent performance measures reports (CTEA-1 and CTEA-2) to the statewide accountability standards, and a LIP is required whenever an institution fails to meet those standards. The Local Improvement Plan must include specific actions or strategies to improve performance of career and technical education students, including those who are members of special populations; a timeline for implementation of those actions/strategies; and evidence of the Local Advisory Council's input in its development. The application must clearly demonstrate the relationship between Major Effort activities and the Plan's specific actions or strategies to improve performance. The Local Improvement Plan should focus on the most recent performance reports that the institution has received from the State Education

Department. If a Local Improvement Plan is not required, please state that this item is "**Not Applicable.**"

**7. Major Effort Description for FY '10 [Grant Information Form, Part B, Major Effort Data (Part B of Form CTEA-PS-1, pages 31-33)].** It must include information on how the institution will address all nine required activities across all its Major Efforts.

a. **Nine Mandated Activities.** Under Section 135 (b) of Perkins IV, during 2009-10, 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*

- “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, including by offering*

- “the relevant elements of not less than 1 career and technical program of study”;

(3) *Provide Students with Strong Experience In and Understanding Of All Aspects of an Industry, which may include*

- “work-based learning experiences”;

(4) *Develop, Improve, or Expand the Use of Technology in Career and Technical Education, 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, including:*

- "inservice and preservice 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 in public schools and other public school personnel 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*

"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;*
- (8) *Provide Services and Activities that are of Sufficient Size, Scope, and Quality to Be Effective;*  
and
- (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.*

- b. **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. **Support of Local One-Stop Delivery System.** The Carl D. Perkins Act and the Workforce Investment Act require all Perkins postsecondary grantees to negotiate a Memorandum of Understanding (MOU) with the Local Workforce Investment Board regarding the use of Perkins funds to support their local One-Stop delivery system. This MOU must indicate how core services costs **and** administrative costs will be supported for the local One-Stop delivery system. If finalized, one copy of the most recently negotiated MOU must be submitted with the Perkins 2009-10 application.

If an MOU has been negotiated, the Perkins 2009-10 application must describe specific use of Perkins grant funds for supporting the local One-Stop delivery system. Options for describing this support via Major Efforts include:

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

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

Additional information regarding Perkins postsecondary grantee responsibilities for supporting One-Stop delivery system applicable core services and administrative costs can be found in Section J, (page 31).

d. **Grant Information Form (CTEA-PS-1), Part B, pages 31-33.** A completed copy of Grant Information Form, Part B must be submitted for **each** Major Effort for which funding is sought. Number each Part B consecutively. Provide a **data-based** narrative description of the major effort that includes:

(1) An adequate description of the major effort's need and scope; the objectives of the major effort; the activities that will take place in order to achieve the objectives; the anticipated accomplishments, stated in quantified terms; coordination with agencies, organizations, and programs external to the institution, as appropriate; timelines; staffing; and quantitative measures to be used to evaluate achievement. **ALL MAJOR EFFORTS MUST INCLUDE ACTIVITIES DIRECTLY INVOLVING STUDENTS WITHIN THE GRANT YEAR SO THAT THEIR EFFECTIVENESS CAN BE EVALUATED.**

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

- (2) Evidence, including current curricula vitae and resumes, that proposed staff and/or consultants funded under Perkins IV will be qualified to undertake the activities proposed. This should be included with the appropriate Major Effort description.
- (3) For those institutions that have been required to develop a Local Improvement Plan, Major Effort description(s) that clearly demonstrate a relationship between Major Effort activities and the "specific actions to improve performance" included in that Plan.
- (4) **All degree and credit-bearing certificate programs supported by Perkins IV funds must be registered by the State Education Department as meeting the quality standards in the Regulations of the Commissioner of Education.** Evidence of registration is a copy of the Department's registration letter for the program or its inclusion in the current Inventory of Registered Programs at the institution. The Institutional Profile, which is to be submitted electronically and separate from this application, provides information about size and scope of Major Efforts.
- (5) **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 State Education Department.

- e. **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 labs where CTE students can practice the skills necessary for employment;
- Accommodation and support services for career and technical education students with disabilities;
- Assessment, advisement, guidance, job development, and placement services for members of special populations in CTE programs;
- Contextualized learning, supplemental instruction, and collaborative learning and study groups to augment classroom instruction and increase the probability of continued success for at-risk CTE students;
- Counseling and intervention strategies and support services to provide greater assistance to economically disadvantaged CTE students;
- Educational resource centers for the remediation and development of the basic skills needed for success, **when incorporated into a matriculated student's career and technical education program;**
- Emphasis on those curricula preparing CTE students for high-skill, high-wage occupations;
- Expanded cooperative education programs, internships, and other work-experience arrangements;
- Institutional collaboration with organized labor and business and industrial organizations;
- Instruction in English for speakers of other languages and bilingual instruction for limited-English-proficient youth and adults, **when incorporated into a matriculated student's career and technical education program;**
- Intensified curriculum and staff development activities to upgrade career and technical education programs and enhance instructional techniques in such programs;
- **Opportunities for participation in Title II consortia;**
- Training in nontraditional, high-wage, high-skill occupations for single parents, displaced homemakers, and others;
- Training programs integrating career and technical and academic instruction for unemployed and underemployed adults; and
- Updating/upgrading equipment to support high-tech programs in such areas as computer graphics, allied health, computer information systems, engineering technologies, telecommunications, and word processing and office skills.

- (2) Allowable **expenditures.** The general guide is that the expenditure contributes to student achievement in career and technical education programs. Major Effort descriptions must

delineate how the activities and expenditures will improve career and technical student achievement. 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:

- i. Indirect cost is considered part of administrative cost and is included in the five-percent maximum. Agencies having an approved indirect cost rate greater than five percent are limited to five percent for this program, including any direct charges that are determined to be administrative costs.
- ii. All staff positions and activities not directly related to a specific major effort will be considered as an administrative cost.
- iii. Any leadership activities, including general curriculum development and implementation, and general staff inservice training or staff development must be designated as administrative cost.
- iv. Certain direct costs, including staff salaries and activities related to the successful operation of a project, are not considered as administrative cost. For example, the cost of modifying curricula to serve students in a particular project is not considered an administrative cost.

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

- Acquisition of equipment for administrative or personal use.
- Acquisition of furniture (e.g., bookcases, chairs, desks, file cabinets, tables) unless an integral part of an equipment workstation or to provide reasonable accommodations to career and technical education students with disabilities.
- Food services/refreshments/banquets/meals.
- Remodeling not directly connected to accessibility to career and technical education instruction, or services, or to the use or installation of project-purchased equipment.

- Payment for memberships in professional organizations.
  - 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.
8. A **Management Plan** describing how the institution will monitor the progress of projects, including the names and titles of persons responsible for each major effort, the person responsible for overall coordination of funded activities, and the names of the persons responsible for monitoring program activities, services for special populations, fiscal activities, program outcomes, and participation in the local One-Stop delivery system.
9. **Institutional Profile.** The Institutional Profile is to be sent by the applicant to the State Education Department electronically and is to be completed as an EXCEL file. The form, Institutional Profile, Attachment 1 is new this year and is to be completed as a WORD file. Instructions for completing both the EXCEL and WORD files will be sent to the applicant electronically under separate cover. If the applicant does not receive it, please contact **Mary Groat** at [mgroat@mail.nysed.gov](mailto:mgroat@mail.nysed.gov) (518) 474-5313.
10. **Statement of Assurances and Federal Compliance Certification forms** [CTEA-PS-2 and CTEA-PS-3], pages 34-37. The application must include executed copies of both forms, with at least one --- designated **in red ink**, “Original Signature Copy” -- bearing the original signature, **in blue ink**, of the institution’s chief executive officer or authorized designee.
11. 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 41)
  - 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 (01/05) Long Form" is allowable for submission.** A current copy of the FS-10 can be found at <http://www.oms.nysed.gov/cafefs10.doc>. This form is so identified on the upper right hand corner of its cover page. This must be a single form that includes all proposed expenditures for all major efforts to be funded. One copy must be marked, **in red ink**, “Original Signature Copy” and bear the original signature, **in blue ink**, of the applicant’s chief executive officer or designee. All columns and lines on the form must be completed so that calculations for salaries, fringe benefits, and indirect costs may be verified. Lists of proposed acquisition of supplies and equipment **must** include unit prices. The proposed budgets for each major effort must be itemized under the applicable budget categories and cross-referenced to that major effort's number.

In the Budget, round proposed expenditures to the nearest dollar. **Do not round upwards from that amount.** Sufficient detail is required for each budget category to allow reviewers to understand how the requested figure was calculated. When there is insufficient room on the

budget form, you may provide additional information in Budget Notes, which you should append to the FS-10.

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

- (1) **Code 15 - Salaries for Professional Staff.** Be sure that the only personnel included here are professional and are employees of the fiscal agent. **It is essential** to identify the portion of a full-time equivalent (FTE) represented by each person and the rate of pay. The pay rate should be consistent with the institution's contractual pay rate for a given position. If additional information is required to explain the category, it should be included in the Budget Notes. When release time is given to full-time faculty for grant activities, the grant may be charged for the cost of part-time replacements. Do not include here persons who are not employees of the fiscal agent. Fee paid for services by employees of members of a consortium **other than the fiscal agent** must be listed under Code 40, Purchased Services.
- (2) **Code 16 - Salaries for Support Staff.** Only non-instructional employees of the fiscal agent should be listed. These may include secretarial staff, tutors, laboratory assistants, technicians, and other non-instructional staff. Do not include persons who are not employees of the fiscal agent here, including employees of members of a consortium other than the fiscal agent. Fees for services purchased from such persons must be listed under Code 40, Purchased Services.
- (3) **Code 40 - Purchased Services.** This category will normally include all services to be purchased **outside** the institution serving as fiscal agent, including rentals, equipment repairs, and consultant and vendor services. Neither the fiscal agent nor an employee of the fiscal agent should be identified as a provider of purchased services. Such employees always should be listed under Code 15 or Code 16, as appropriate. Fees for services provided by employees of the members of a consortium other than the fiscal agent must be included under this code. Please do not use the word, "tuition," for fees for staff development contracted with external agencies. 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." Do not include conference registration fees and similar costs of conference attendance here; include them under Travel Expenses (Code 46). Contact your liaison for specific information.
- (4) **Code 45 - Supplies and Materials.** This category covers both expendable supplies like paper and printer cartridges and instructional materials like books and manuals that cost less than **\$5,000** per unit. Since the "Equipment" category includes only items with a unit cost in excess of **\$5,000**, some computer equipment and software will be included as supplies. Lump sum requests for supplies will not be honored. Unit costs and quantities must be provided. Provide sufficient detail to permit the reviewer to judge the appropriateness of the quantity and unit cost of supplies requested.
- (5) **Code 46 - Travel Expenses.** All allowable travel must be included under this code. Only those travel expenses directly related to the operation of the program are allowed. Dates of travel and estimated costs for meals, lodging and the mode of transportation must be included. For all travel, show how the figures were calculated: mileage, lodging, registration fees for conferences, meals, number of trips, and so forth.

- (6) **Code 80 - Employee Benefits.** It is not necessary to identify each amount or percentage for the individual components of fringe benefits but it **is** necessary to indicate the **composite fringe rate** for full and part-time employees.
- (7) **Code 90 - Indirect Cost (Optional).** Indirect cost represents money generated by a fixed percentage (currently five percent) of all expenditures in the budget **except equipment (Code 20), minor remodeling (Code 30), stipends, honoraria, tuition, and the amount of individual contracts exceeding \$25,000.** These funds can be used to defray costs not otherwise allowed in specific budget categories like heat, electricity, or janitorial services.
- (8) **Code 30 - Minor Remodeling.** This category is restricted to renovations designed to improve physical access to 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 proposal review and simplify processing of the final fiscal claim, these general rules should be followed:
- i. Number all requested items of equipment sequentially.
  - ii. Identify the number of units requested **and the unit cost.** Even if a package price has been negotiated, provide a breakdown of component prices on the FS-10.
  - iii. Bid each equipment item "installed and operational." ("Operational" means at the workstation and connected to electrical and/or other needed services.) **Funds for equipment not installed and operational on February 16, 2010, will lapse on that date.**
  - iv. Use the phrase, "or the equivalent," when specifying models or manufacturers to allow you to purchase an alternative item from a vendor without prior approval.
  - v. List **all** items with a unit price of **\$5,000** or more in this category, including software.

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

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

**Included in these Guidelines is the review sheet (pages 18-23) that is used by SED liaisons to approve your application. Please refer to this review sheet to assure that your application contains the appropriate content, prior to submission to SED.**

## F. PACKAGING THE APPLICATION

1. Each project application package must include **ONLY one complete original set of required materials** and containing 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. MAIL THE APPLICATION TO:

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

**All applications must be postmarked by May 15, 2009.**

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

2. Each **institution** must make its complete application available for review by the appropriate **Local Workforce Investment Board** (see section J, page 31) and to the **local office of the State Education Department's Office of Vocational and Educational Services for Individuals with Disabilities (VESID)** by sending copies directly to them at the same time that it submits the application to the Department. This will assist in coordination of career and technical education with job training and the provision of 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 VESID website <http://www.vesid.nysed.gov/do/locations.htm>

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

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

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

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

5. All **Educational Opportunity Centers (EOCs)** must send one copy directly to:

University Center for Academic and Workforce Development  
State University of New York  
22 Corporate Woods, 3<sup>rd</sup> Floor  
Albany, NY 12211

**G. PERKINS IV APPLICATION REVIEW SHEET FOR POSTSECONDARY INSTITUTIONS**

**FY2009-2010**

**Institution/Consortium Name:** \_\_\_\_\_

**Application Number:**        **8000-10-**\_\_\_\_\_                      **Supervisor Review:** \_\_\_\_\_  
**Initials**

**Reviewer's Signature:** \_\_\_\_\_

**Status:** \_\_\_\_\_ **Approve without further information**    **Date:** \_\_\_\_\_

\_\_\_\_\_ **Approve with additional information**    **Date:** \_\_\_\_\_

**1. APPLICATION PACKAGE CHECKLIST**

<b>Contents</b>	<b>Yes</b>	<b>No</b>	<b>If No...When Received</b>
Grant Information Form – Part A			
Abstract			
Five-Year Plan Update			
One-stop support			
Local Advisory Council Minutes			
Local Advisory Council Membership List			
Local Improvement Plan, as necessary			
Grant Information Form – Part B (one for each major effort)			
Management Plan			
Institutional Profile			
Statement of Assurances			
Federal Compliance Certifications			
Budget Form (FS-10)			
Appendix 1			

**2. APPLICATION REVIEW**

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

A completed Postsecondary Grant Information Form Y\_\_ N\_\_

Acceptable additional information received:

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

The application contains a summary paragraph not exceeding 10 lines for each Major Effort proposed. Y\_\_ N\_\_

Acceptable additional information received:

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- c. FIVE-YEAR PLAN UPDATE (page 7, item E.3 of these *Guidelines*.)

Modification, as necessary Y\_\_ N\_\_ NA\_\_

Acceptable additional information received:

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- d. ONE-STOP SUPPORT (page 8, item E.4 of these *Guidelines*.)

A copy of the MOU is enclosed with the proposal. Y\_\_ N\_\_ NA\_\_

Acceptable additional information received:

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- e. LOCAL ADVISORY COUNCIL (page 8, item E.5 of these *Guidelines*.)

(1) The proposal provides evidence of involvement, input, and approval of the Local Improvement Plan (if required), and proposed activities. Y\_\_ N\_\_

(2) The Council's membership is representative of all groups prescribed under Perkins IV Legislation Y\_\_ N\_\_

Acceptable additional information received:

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- f. LOCAL IMPROVEMENT PLAN (page 8, item E.6 of these *Guidelines.*),  
**if required.**

(If Not Required, check here \_\_\_\_\_.)

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

Y\_\_N\_\_

	<u>Comp</u>	<u>Place</u>	<u>Employ Ret</u>
_____	( )	( )	( )
_____	( )	( )	( )
_____	( )	( )	( )
_____	( )	( )	( )
_____	( )	( )	( )
_____	( )	( )	( )
_____	( )	( )	( )
_____	( )	( )	( )
_____	( )	( )	( )

- (2) Specific strategies and timelines are presented.

Y\_\_N\_\_

- (3) Addresses how the Institution will provide programs and/or services to help special populations meet the State levels of performance.

Y\_\_N\_\_

- (4) Identifies any Major Efforts that are being proposed to meet the identified needs.

Y\_\_N\_\_

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

Acceptable additional information received:

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g. MAJOR EFFORT DESCRIPTION FOR FY '10 (pages 9-14, item E.7 of these *Guidelines*.)

(1) The program description includes:

(a) A completed Grant Information Form (Part B) (pages 32-34 of these *Guidelines*) for each major effort. Information includes adequate descriptions of:

- ◆ The need for this major effort Y\_\_\_ N\_\_
- ◆ If a Local Improvement Plan is required, the Major Effort's relationship to that Plan Y\_\_\_ N\_\_ NA
- ◆ The Major Effort's objectives (quantified where appropriate) Y\_\_\_ N\_\_
- ◆ The core services and administrative support for the local One-Stop delivery system Y\_\_\_ N\_\_ NA
- ◆ Activities to achieve the objectives Y\_\_\_ N\_\_
- ◆ Size, scope, and quality of the Major Effort's activities and their relationships to the objectives Y\_\_\_ N\_\_
- ◆ Coordination with external agencies (especially workforce preparation providers) Y\_\_\_ N\_\_
- ◆ Timelines for the Major Effort, noting significant activities, month-by-month Y\_\_\_ N\_\_
- ◆ Reasonable and appropriate evaluation methods that will be used to track 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) Each of the institution's Major Efforts addresses some or all of the 9 required uses of funds. Y\_\_\_ N\_\_

(c) The Major Efforts address the student persistence (retention), completion, and placement needs, as necessary, based on the institution's Performance Measures Report. Y\_\_\_ N\_\_ NA

(d) The Major Efforts reflect how the institution plans to provide special programs and/or services to help special populations meet State adjusted levels of performance. Y\_\_\_ N\_\_

(e) The Major Efforts reflect the institution's plans to adopt strategies to help special populations overcome barriers to access and success in career and technical programs. Y\_\_\_ N\_\_

(f) There is evidence the proposed project staff and/or consultants are qualified to undertake proposed activities. Y\_\_\_ N\_\_

(2) Major Efforts addressing adult noncredit programs prepare students for employment in specific occupations. Y\_\_\_ N\_\_ NA

- (3) Major Efforts meet Perkins IV statutory requirements and New York State goals and priorities. Y\_\_ N\_\_
- (a) Proposed activities or expenditures do not supplant institutional responsibilities. Y\_\_ N\_\_
- (b) There is evidence of institutionalization of successful long-term projects. Y\_\_ N\_\_ NA\_\_
- (c) Use of Perkins 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:

Acceptable additional information received:

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h. MANAGEMENT PLAN (reference page 14, item E.8 of these *Guidelines*.)

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

Y\_\_ N\_\_

Acceptable additional information received:

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

The Institutional Profile data supports the proposed Major Efforts.

Y\_\_ N\_\_

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

Acceptable additional information received:

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j. STATEMENT OF ASSURANCES and FEDERAL COMPLIANCE CERTIFICATIONS, 2009-2010 (reference page 14, item E.10 of these *Guidelines*.)

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

Y\_\_\_ N\_\_

Signed Certifications Received:

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k. BUDGET INFORMATION (reference pages 14-16, item E.11 of these *Guidelines*.)

(1) The following budget information is provided:

(a) Budget notes as needed.

Y\_\_\_ N\_\_

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

Y\_\_\_ N\_\_

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

Y\_\_\_ N\_\_

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

Y\_\_\_ N\_\_

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

Y\_\_\_ N\_\_

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

Y\_\_\_ N\_\_

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

Acceptable additional information received:

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## H. 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 subbaccalaureate 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** 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** 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).

**Competitive Funds** mean funds available to eligible agencies on a competitive basis, pursuant to provision in the Carl D. Perkins Career and Technical Education Act of 2006. Such contracts are awarded for programs from Perkins Title II funds.

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

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

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

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

Note that the portion of any student financial assistance received under Perkins 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. Supplemental Social Security Income
- i. Women, Infants, and Children (WIC)
- j. 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:

- k. Other: An adult with a total family income below \$15,590 for single persons, \$21,000 per couple, or \$26,420 for a family of three, with an additional \$5,410 per dependent child.

**Eligible Institution**, regarding this request for non-competitive proposals, means a public or independent [not-for-profit] degree-granting institution or Educational Opportunity Center (EOC) that offers career and technical education below the baccalaureate level and generates \$50,000 or more in postsecondary/adult formula funds or a consortium of such institutions which meets that \$50,000 minimum grant requirement and that offers collaborative career and technical education programs that will be of sufficient size, scope, and quality to be effective.

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

**Formula Funds** are funds available to all eligible 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.

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

**Institutional Profile, Attachment 1** reports data necessary to assist SED in fulfilling its civil rights obligations. It is submitted electronically as a WORD 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).

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

**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.

**Planning Process** refers to the development of the local plan required of all Perkins IV-eligible postsecondary institutions seeking formula allocation funding and covering 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 State Education Department's Inventory of Registered Programs as meeting the standards of quality for registration in subchapter A of the **Regulations of the Commissioner of Education**.

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

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

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

- (1) Individuals with disabilities;
- (2) Economically Disadvantaged Individuals;
- (3) Individuals preparing for nontraditional training and employment;
- (4) Single Parents;
- (5) Displaced Homemakers;
- (6) Individuals with 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).

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

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

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

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

Each Local Workforce Investment Board has designated at least one Perkins grantee to serve on the Board, representing the interests of other Perkins grantees. The list of Local Workforce Investment Boards including the designated Perkins Board members can be found on the following web site: <http://www.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.

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

**POSTSECONDARY GRANT INFORMATION FORM, FY 2009-2010**  
Perkins IV Formula Allocation, Postsecondary Institutions

**Project Number:** 8000-10- \_\_\_\_\_

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

**PART A - OVERALL GRANT**

1. Institution/Consortium Name: \_\_\_\_\_

2. Dates of Operation: From 7/1/09 to 6/30/10

3. Name of Perkins IV Contact Person: \_\_\_\_\_

Title: \_\_\_\_\_

Street Address: \_\_\_\_\_

City: \_\_\_\_\_ State: NY Zip Code: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

4. Chief Executive Officer: \_\_\_\_\_

Street Address: \_\_\_\_\_

City: \_\_\_\_\_ State: NY Zip Code: \_\_\_\_\_

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

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

Name (print): \_\_\_\_\_ Title: \_\_\_\_\_

**An original signature in blue ink is required.**

**PART B - MAJOR EFFORT DATA - POSTSECONDARY GRANT INFORMATION FORM**  
**Fiscal Year 2009-2010**

**Institution/Consortium Name** \_\_\_\_\_

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

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

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

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

<b>Population</b>	<b># of Students</b>	<b>Proposed Expenditure</b>
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		\$
<b>MAJOR EFFORT TOTAL (UNDUPLICATED COUNT):</b>		

4.
  - a. **Name and Title of the Director of this Major Effort:**  
\_\_\_\_\_
  - b. **Director's Telephone Number:** \_\_\_\_\_
  - c. **Director's E-Mail Address:** \_\_\_\_\_

**Part B – Major Effort Data – Postsecondary Grant Information Form**

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

<b>Perkins IV Mandated Activities</b>	<b>Addressed</b>
1. Strengthen the Academic, Career, and Technical Skills of Students	
2. Link Career and Technical Education at the Secondary Level and Career and Technical Education at the Postsecondary Level	
3. Provide Students with Strong Experience In and Understanding Of All Aspects of an Industry	
4. Develop, Improve, or Expand the Use of Technology in Career and Technical Education	
5. Provide Professional Development Programs to Teachers, Counselors, and Administrators	
6. Develop and Implement Evaluations of Career Education Programs	
7. Initiate, Improve, Expand, and Modernize Quality Career and Technical Education Programs	
8. Provide Services and Activities that are of Sufficient Size, Scope, and Quality to be Effective	
9. Provide Activities to Prepare Special Populations for High Skill, High Wage, or High Demand Occupations that will lead to Self Sufficiency	

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

- a. the need for this Major Effort;
- b. if a Local Improvement Plan (LIP) was required, the Major Effort's relationship to the LIP;
- c. this Major Effort's objectives (**quantified** where appropriate);
- d. the core-services and administrative support for the local One-Stop delivery system (if applicable);
- e. activities to achieve the objectives;
- f. coordination with external agencies (especially workforce preparation providers); and
- g. this Major Effort's timeline, noting significant activities, month-by-month.

6. **Major Effort's Evaluation:** List the **quantitative** evaluation methods that will be used to determine whether the Major Effort's objectives have been achieved. Examples include: retention rates, completion/graduation rates, **quantitative** evaluation instruments that measure the career skills gained by students during the course of the major effort, pre- and post-test results, and assessments of staff development activities. For each method, list the corresponding outcome or achievement to be reached during the funding year. **All outcomes must be identified as quantifiable student outcomes related to skills attainment, retention, completion, and/or placement.** If one of the objectives of the major effort is full participation in training to prepare individuals for nontraditional employment, quantitative evaluation measures must be designed to measure this objective. **RESULTS OF SURVEY INSTRUMENTS DESIGNED TO MEASURE STUDENT/FACULTY SATISFACTION WILL NOT BE ACCEPTED AS EVALUATION MEASURES.**

*Example:*

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

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

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

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

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

8. **Major Effort Budget**

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

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

The University of the State of New York  
THE STATE EDUCATION DEPARTMENT  
**STATEMENT OF ASSURANCES**  
Academic Year 2009-10  
Carl D. Perkins Career and Technical Education Act (Perkins IV)  
Postsecondary Agencies: Basic Grant

**All subrecipients assure that:**

- Perkins IV funds will supplement and not supplant local expenditures and will not duplicate objects of expenditure from other sources.
- None of the funds expended under Perkins 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.
- 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.
- This application was made available for review and comment by interested parties including the appropriate administrative entity under the Workforce Investment Act and the District Office of the Office of Vocational and Educational Services for Individuals with Disabilities.
- The subrecipient will submit, with its Perkins IV application, one copy of the most recently formalized Memorandum of Understanding (MOU) established with the appropriate Local Workforce Investment Board(s).
- 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.
- All consultants meet competency requirements and are legally eligible to receive Perkins IV funds.
- 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*.

- With respect to the above, the subrecipient agrees to the following conditions:
  - (a) The subrecipient will, upon request, provide SED with access to its records and other sources of information that may be necessary to determine whether violations of the civil rights authorities have occurred.
  - (b) If SED issues a final letter of findings indicating the subrecipient has failed to comply with the civil rights authorities, the subrecipient, within 90 days of receiving the letter, will submit to SED an approvable compliance plan describing the steps it will take to overcome the violation and the effects of the violation. The compliance plan shall describe in detail:
    - (1) The steps the subrecipient will take to remedy the violation;
    - (2) The proposed timetable for remediation of the violation; and
    - (3) The personnel responsible for implementing the compliance plan.
- Should a subrecipient of Perkins IV funds be determined to be in noncompliance with any of the three Federal civil rights statutes and not be willing to furnish an approvable compliance plan to correct the situation, the matter will be referred to the Office for Civil Rights in the U.S. Department of Education. Should this occur, SED may be required to withhold all Federal funding from the subrecipient in noncompliance.
- Perkins 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.
- All equipment purchased under this grant will be installed and operational no later than February 16, 2010. Funding for equipment not installed and operational by February 16, 2010, will lapse on that date.

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

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

\_\_\_\_\_

**Date**

**Signature\***

\_\_\_\_\_

**Name and Title**

\* Original signature required in blue ink.

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

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

## 1. LOBBYING

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

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

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

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

## 2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110 --

A. The applicant certifies that it and its principals:

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

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

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

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

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

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

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

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

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

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

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

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

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

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

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

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

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

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

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

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

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

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

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

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant.

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

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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

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

NAME OF APPLICANT

PR/AWARD NUMBER and/or PROJECT NAME

PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

SIGNATURE

DATE

ED80-0013

12/98

**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

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

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

1. Students
2. Parents
3. Faculty members \*
4. Representatives of business and industry
5. Labor organizations \*\*
6. Special populations
7. Other interested individuals: SED recommends adding:
  - (a) a Title II consortia site coordinator; and
  - (b) a representative of the local workforce investment board

\* Faculty members cannot be employed by the funded institution

\*\* Labor organizations refers to labor unions

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

**LOCAL ADVISORY COUNCIL FOR CAREER AND TECHNICAL EDUCATION MEMBERSHIP LIST -- FY 2009-10**

Institution or Consortium: \_\_\_\_\_

Council Chairperson: \_\_\_\_\_

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

(make copies, as needed)

Form CTEA-PS-4

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

The FS-10 can be found at <http://www.oms.nysed.gov/cafē/fs10.doc>. Refer to page 14, Item F.10.c. for further instructions regarding this form.

**Spreadsheet of Proposed Type of Expenditure by Major Effort:**

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

Notes: Duplicate this form if this project has more than 5 Major Efforts.  
 The total proposed expenditure for each Major Effort must equal the Major Effort Total on the VTEA-PS-1 Part B for that Major Effort.  
 The total proposed expenditure for all major efforts must equal the Grand Total on the final page of the FS-10.