

CARL D. PERKINS MONITORING GUIDELINES





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Carl D. Perkins Monitoring Guidelines

Introduction

The Ohio Department of Education and the Department of Higher Education are required to monitor local sub-recipients to assure compliance with fiscal and management requirements of the Strengthening Career and Technical Education for the 21st Century Act (Perkins V), federal and state legislation, rules, regulation and policy. The Carl D. Perkins grant monitoring process provides an opportunity to assess local performance, operations and challenges facing local recipients and whether goals and objectives were met. This informs targeted technical assistance and other activities to foster continuous improvement.

Purpose of the Carl D. Perkins 21st Century Act

The federal reauthorization of the Carl D. Perkins Career and Technical Education Act named Strengthening Career and Technical Education for the 21st Century Act, also known as Perkins V, was signed into law by the President on July 31, 2018. The purpose of funding under Perkins V is to develop more fully the academic knowledge and employability skills of secondary and postsecondary education students who elect to enroll in career-technical education programs. Perkins funds must be used to support Ohio Department of Education approved career-technical education programs.

Perkins V Local Use of Funds

Perkins V funds shall supplement and shall not supplant non-federal funds expended to carry out career-technical education activities. If an activity was funded with state or local funds it cannot be funded with Perkins V funds in the subsequent years.

Funds made available to eligible recipients under this part shall be used to support career-technical education programs that are of sufficient size, scope and quality to be effective.

Each eligible recipient that receives funds shall use such funds to develop, coordinate, implement or improve career-technical education programs to meet the needs identified in the Comprehensive Local Needs Assessment.

1. Provide career exploration and career development activities through an organized, systematic framework designed to aid students, including in the middle grades, before enrolling and while participating in a career-technical education program, in making informed plans and decisions about future education and career opportunities and programs of study;
2. Provide professional development for teachers, faculty, school leaders, administrators, specialized instructional support personnel, career guidance and academic counselors or paraprofessionals;
3. Provide within career-technical education the skills necessary to pursue high-skill, high-wage or in-demand sectors or occupations;
4. Support integration of academic skills into career-technical education programs and programs of study;
5. Plan to carry out elements that support implementation of career-technical education program and programs of study that result in increased student achievement; and
6. Develop and implement an evaluation of the activities funded by Perkins including evaluations necessary to complete the comprehensive needs assessment.



Getting Help

GENERAL ASSISTANCE

For general assistance, please contact your assigned **Education Program Specialist**.

Ohio Department of Education

Jonathan C. Beard Assistant Director, Local Needs Assessment Cell: (614) 980-7539 jonathan.beard@education.ohio.gov	Joshua R. Coleman, Ed. D. Education Program Specialist (P) 614-644-9340 joshua.coleman@education.ohio.gov	Tawanna Fields-Mphande Education Program Specialist (P) 614-387-2243 tawanna.fields-mphande@education.ohio.gov
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Ohio Department of Higher Education

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CAREER-TECHNICAL EDUCATION COMPLIANCE TRACKING SYSTEM

For technical assistance with the compliance system, please contact Tawanna Fields-Mphande at tawanna.fields-mphande@education.ohio.gov.

ACCESSING THE CAREER-TECHNICAL EDUCATION COMPLIANCE SYSTEM

The Secondary and Postsecondary Self-Assessment is a web-based application process. Users can access the online compliance system through the departments secure Web Portal. Click on the [Secure Application for Enterprise \(SAFE\) link](#) located at the top of the department home page.

Perkins Monitoring Process Guidelines

The Perkins monitoring process is a three-step process consisting of the following steps: 1) submission of a self-assessment based on the survey in the electronic compliance tracking system, 2) a telephone interview and in some instances 3) an on-site review.

Perkins eligible recipients will be selected for the monitoring process annually. The selected recipient will be notified by email and will then be required to complete the Self-Assessment using the Compliance Tracking System.

Eligible recipients will be deemed in compliance if there is a satisfactory review. All required evidence must be uploaded into the Compliance Tracking System. A noncompliant rating requires a recipient to develop a Corrective Action Plan and comply with the Comprehensive Local Needs Assessment and Local Application and Section 135 of the Carl D. Perkins Act.

Failure to complete a self-assessment or submit the self-assessment by the established deadline will automatically result in an out of compliance finding for the recipient. The Administrative Field Service team or the Department of Higher Education staff, as applicable, will conduct an on-site review.



Submission of Self-Assessment

STEP 1: SUBMISSION OF THE SURVEY RESPONSE IN THE COMPLIANCE TRACKING SYSTEM

All Perkins eligible recipients being monitored must complete the following steps:

1. Access the electronic monitoring system, located through [OHID](#) portal.
2. Respond to the requirements under the sections entitled: (A) Stakeholder Engagement, (B) Financial Components and (C) Required Use of Funds.
3. Collect evidence for all survey questions answered, placing it in an electronic file for future reference. Important: The district/institution is **not** required to submit evidence currently.
4. Submit the completed self-assessment and documentation to the department by **November 20, 2023**. Submitting a self-assessment after the deadline will result in a full or scheduled on-site review.
5. The Administrative Field Service team and Ohio Department of Higher Education consultant will select 20% of the Perkins recipients to participate in a full review. A notification is sent to the chosen Perkins recipient to upload available evidence into the electronic compliance tracking system. The deadline for submission is **December 21, 2023**.
6. Any questions concerning the process should be directed to your assigned Educational Program Specialist or Higher Education Consultant.

Selection Criteria for Full Review

1. **One-third** of all Career Technical Planning Districts and **one-third** of postsecondary Perkins sub-recipient fiscal agents are selected each year for submission of the self-assessment.
2. The department's staff will select **20%** of the **one-third** to participate in a **full review**. Recipients selected for a full review will require the submission of supporting documentation.
3. Eligible recipients are randomly selected. However, the selection criteria will automatically include recipients identified as **high-risk** through the risk-assessment process.
4. If there is no substantive evidence to support a compliant rating, this represents a noncompliant finding, and a **Corrective Action Plan** is required. Corrective action plans are **due 30 days** from notification.
5. Direct any questions concerning the process to your assigned Educational Program Specialist or the Department of Higher Education staff, as applicable.

Note: During the Carl D. Perkins grant monitoring process, the departments staff will review the completed secondary and postsecondary self-assessments, previous site visit reports, previous Corrective Action Plans, performance data, Comprehensive Local Needs Assessment and Local Application content in the Comprehensive Continuous Improvement Plan (CCIP), Education Management Information System (EMIS) reports and any other relevant information.

STEP 2: TELEPHONE REVIEW

The telephone review is the second step of the monitoring process and will be conducted to seek additional information, supporting documentation or clarification of questions generated by the Departments staff, as applicable. At this point, the recipient may be required to submit additional supporting documentation.

STEP 3: ON-SITE REVIEW

Any eligible recipient, whether deemed in compliance or not, may receive an on-site review. The on-site review selection criteria are as follows: (a) an on-site review is requested by a recipient, (b) the recipient submitted a self-assessment after the submission deadline or (c) the reviewer deems it necessary to verify or clarify any information provided in the self-assessment, desk review or telephone interview.



If selected for an on-site visit, the recipient may be asked to provide additional evidence. The reviewer will consult with the recipient and provide a list of items required during the on-site visit. During an on-site review, the superintendent or designee, treasurer and recipient contact should attend and be ready to participate in the process. Comparable postsecondary recipient representatives of Ohio Technical Centers and community colleges should be ready to participate in this process.

FINAL STEPS

After completion of the monitoring process, the district superintendent and contact, or equivalent postsecondary representatives, will receive an issues/conditions email notification via the electronic compliance tracking system. If no issues/conditions were identified, the process is complete. If there are findings of noncompliance, the recipient must prepare a Corrective Action Plan to address each category identified. The timelines and directions for completing the action plans will be included in the email notification.

Self-Assessment Requirements

A. STAKEHOLDER ENGAGEMENT

Requirement 1

The eligible recipients Perkins V Local Application, Comprehensive Local Needs Assessment and Performance Improvement Plan as reviewed by stakeholders to address workforce development needs, performance indicators and fiscal expenditures.

- A stakeholders meeting was held between July 1, 2022 - June 30, 2023.
- A sign-in sheet for stakeholder members, including their names, titles and the constituencies they represent is on file, or documentation in line with the Virtual Meeting Guidelines is in place.
- Minutes reflecting a discussion of workforce needs and Perkins performance measures are on file.
- The Career-Technical Planning District/Postsecondary institution did not conduct a stakeholders meeting.

Required evidence:

1. List of stakeholder invitees including job titles and what constituencies they represent.
2. Stakeholder's meeting attendance sheet.
3. Stakeholder's agenda and meeting minutes.

Requirement 2 (Perkins Secondary)

An advisory committee meeting was held for each program in the Career-Technical Planning District to discuss performance, program quality and workforce need either in person or virtually.

- A meeting was held for each program in this school July 1, 2022-June 30, 2023.
- Sign-in sheets for each program with advisory committee members, their names, titles and the constituencies they represent are on file.
- Discussion of technical skill attainment and placement, as well as workforce need, are reflected in the minutes for each program.
- The Career-Technical Planning District did not conduct an advisory council meeting for all CTE programs.

Required evidence:

1. Lists of advisory committee members and the constituencies they represent.
2. Advisory committee sign-in sheets for each program.
3. Advisory committee agendas for each program.



4. Advisory committee minutes for each program.

B. FINANCIAL COMPONENTS

Perkins funds are used to supplement, not supplant, programs/activities. Support from any other funding must not duplicate funding received from the Perkins Act.

Requirement 1

- Time and Effort documentation is on file for every employee paid partially or completely with federal Perkins Funds.
- The use of Perkins funds did not support salary and fringe benefits.

Required evidence:

1. If applicable, a position description for each employee partially or fully paid using Perkins funds is on file.
2. If applicable, a work log for each employee paid partially from more than one Federal source is on file.
3. If applicable, a semi-annual verification document for each employee paid fully out of Perkins.
4. If applicable, a stipend agreement for each employee partially paid using Perkins funds.

Requirement 2

- A system is in place for tracking the purchase, location and disposal of equipment purchased using federal Perkins Funds.

Required evidence:

1. A tracking documentation sample is attached.

C. SECTION 135 (B) REQUIRED USES

Funds made available to eligible recipients under this part shall be used to support career and technical education programs that are of sufficient size, scope and quality to be effective. **Note:** Select only the **Perkins Use of Funds** selected as strategies on the Local Application.

Requirement 1

Provide career exploration and career development activities through an organized, systematic framework designed to aid students, including in the middle grades, before enrolling and while participating in a career and technical education program, in making informed plans and decisions about future education and career opportunities and programs of study.

Required Evidence:

Provide supporting documentation for the checked Perkins activities.

Requirement 2

Provide professional development for teachers, faculty, school leaders, administrators, specialized instructional support personnel, career guidance and academic counselors or paraprofessionals.

Required Evidence:

Provide supporting documentation for the checked Perkins activities.

Requirement 3

Provide within career-technical education the skills necessary to pursue high-skill, high-wage or in-demand sectors or occupations.

Required Evidence:

Provide supporting documentation for the checked Perkins activities.



Requirement 4

Support integration of academic skills into career-technical education programs and Program of Study.

Required Evidence:

Provide supporting documentation for the checked Perkins activities.

Requirement 5

Plan to carry out elements that support implementation of career-technical education program and programs of study that result in increased student achievement.

Required Evidence:

Provide supporting documentation for the checked Perkins activities.

Requirement 6

Develop and implement an evaluation of the activities funded by Perkins including evaluations necessary to complete the comprehensive local needs assessment.

Required Evidence:

Provide supporting documentation for the checked Perkins activities.