

Monitoring and Risk Assessment



Office of Career-Technical Education & Ohio Department of Higher Education
December 9, 2022

Agenda

Perkins Monitoring Process

Documentation

Risk Assessment Process

Q/A

Monitoring Process

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 (desk review), and in some instances; and

3) An on-site review

Selection Criteria

Selection Criteria for Full Review

1. Thirty percent (30%) of all Career Technical Planning Districts and 30% 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 may require the submission of additional supporting documentation.
3. Eligible recipients are randomly selected. However, the selection criteria will automatically include recipients identified as high-risk by way of 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.

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

Monitoring Sections

- (A) Stakeholder Engagement
- (B) Program Improvement Opportunities and Equity
- (C) Recruitment and Retention
- (D) Fiscal Management (Treasurers)
- (E) Require Use of Funds
- (F) Elementary and Secondary School Emergency Relief Coronavirus Aid, Relief, and Economic Security (CARES) Act (Secondary)

Fiscal Management

- Overview
- Questions**
- Issue / AP
- Technical Assistance
- Meeting

Sections Hide Sections

* Required ® Recommended LEA ODE CPL

- * Stakeholder Engagement LEA ODE CPL
- * Program Improvement Opportunities and Equity LEA ODE CPL
- * Recruitment and Retention LEA ODE CPL
- * Fiscal Management** LEA ODE CPL
- * Required Use of Funds LEA ODE CPL
- * Elementary and Secondary School Emergency Relief (ESSR) CARES Act LEA ODE CPL

Questions i

FY 2022 CTE Perkins Self-Assessment/Desk Review

Prev Section **Fiscal Management** **Create Issue(s)/TA(s)** LEA ODE CPL **Next Section**

Questions * Required ® Recommended

- * 1 |
- * 3 |**
- * 4 |

Group Name **Fiscal Management**

* Question 1

Time and Effort documentation is on file for every employee paid partially or completely with federal Perkins Funds.

Fiscal Management (continued)

- A system is in place for tracking the purchase, location and disposal of equipment purchased using federal Perkins Funds.
- Required Use of Funds (Section 135)
- Budget Ledger (BUDLED) Report for Perkins expenditures (reviewing for allowable costs)

Documentation

Stakeholder

Perkins Program

Fiscal

Records Retention

Required and Supporting Documents

Personnel Expenses

Supplies

Supplement

Stakeholder Documentation

- Required Evidence
- Yearly Stakeholder Meeting
- Advisory Committee Meeting(secondary)

Meeting Minutes Checklist

Advisory Council Meeting Minutes Checklist		
Program Name: (Advisory Council only list program name)		
Date:	<input type="checkbox"/> Virtual <input type="checkbox"/> Face-to-Face	
Participants:	List participants or provide and attachment.	
Meeting Minute Requirements		
✓	A meeting was held for each program.	
✓	For face-to-face meetings, a sign-in sheet for members and the constituencies they represent. For virtual meetings, document participants within the meeting minutes.	
✓	A discussion of Technical Skill Attainment, Work-based Learning (learning agreements), Post- Program Placement, and workforce needs topics reflects in each program's meeting minutes. (Career-Technical Education Report Card)	
Meeting Notes Example		
I. A discussion of technical skill attainment and post-program placement as well as workforce need are reflected in the minutes for each program. <ul style="list-style-type: none"> A. Work-based Learning <ul style="list-style-type: none"> i. Learning agreements B. Technical Skill Attainment C. Industry partnerships II. Other Topics <ul style="list-style-type: none"> A. Equity 		
Face-to-Face Sign-in Sheet Example		
Name	Title	Signature
Tawanna Fields-Mphande	Education Program Specialist, Ohio Department of Education	Tawanna Fields-Mphande

Program Documentation

Supportive Evidence

Program Improvements

Fiscal Documentation

- Required Evidence
- Personnel Documentation
- Budget Ledger (BUDLED)

IRN: 123456

Name of educational entity: ODE School District County: Franklin

Employee: Jane Smith

Position: Federal Grant Coordinator

Certification Period: 07/01/14 through 06/30/15

Type of Schedule: Daily Weekly Biweekly Other: _____

Program or Cost Objective	Distribution of Time
Title I	45%
Special Education	10%
Non-federally funded activity	45%
TOTAL	100%

I certify that I performed work consistent with the attached schedule and as distributed in the above percentages during the Certification Period.

Jane Smith 06/02/15

 Employee Signature Date

I certify that I have first-hand knowledge that the above employee performed work consistent with the attached schedule and as distributed in the above percentages during the certification period.

John Smith 06/12/15

 Supervisor Signature Date

Budget Ledger

Current Year: July 1, 2022 – June 30, 2023

Cost directly tied to Perkins Local Application

Detailed report that includes all Perkins expenditures

Personnel Documentation

Semi-Annual Certification

Time and Effort

Stipends

Stipends

–District employed staff

–Support Perkins performing task outside their normal work hours or duties

–Signed Agreement

Perkins V Allowable Use of Funds

- Instructor 3-year Maximum
- 5% Administrative Cost
- Advertising & Public Relations
- Supplies and Equipment

U.S.A.S. Fund #: 524
 Plus/Minus Sheet ([opens new window](#))

Purpose Code	Object Code	Salaries 100	Retirement Fringe Benefits 200
Instruction		0.00	0.00
Support Services		0.00	0.00
Governance/Admin		0.00	0.00
Prof Development		0.00	0.00
Safety		0.00	0.00
Transportation		0.00	0.00
Nonpublic		0.00	0.00
Total		0.00	0.00

Supplies

Acquisition cost less than \$5000

Instruction

Non-consumable

BUDLED Report

Common examples of unallowable supplies:

- Animal feed
- Arts and crafts supplies
- Card stock
- Chemicals for medical/bioscience labs
- Disposable products - plates, cups, bowls, forks, knives, spoons, serving utensils, gloves, pastry bags, brown bags, aluminum hotel pans, pizza circles
- Fasteners - Nails, Screws, bolts, rivets, thumb tacks, paper clips, staples
- Live plants, animals, and insects
- Glue - wood, construction
- Individual memberships
- Motor Oil
- Notebooks or student workbooks
- Pencils, pens, markers
- Paper-computer, copy, construction, graphing
- Parchment or wax paper, plastic wrap
- Printable paper rolls
- Printer ink/cartridges
- 3-D Pinter Filament
- Refills for any other Testing Kits
- Rewards
- Sewing supplies -tracing paper, hand and machine needles

Perkins V Expenditures

Comprehensive Local Needs Assessment

Enhance CTE

Not Supplant

Budget Modifications

- Identified Need in CLNA
- Narrative
- By June 30

The screenshot displays the Ohio.gov Department of Education website interface. The header includes the Ohio.gov logo and the Department of Education name. A navigation menu on the left lists options such as CCIP Home, Administer, Search, Planning, Funding, Address Book, Contact ODE, Document Library, Help, and SAFE Account Sign Out. The user is identified as RHEDESHIA YOUNG-WILLINGHAM. The main content area shows the path Home > Funding > Sections. The current page is titled 'Sections' and displays details for 'Adams County Ohio Valley Local (061903) - Adams County - 2023 - Career-Technical and Adult Education - Rev 0'. The application status is 'Authorized Representative Approved'. There are options to change the status to 'Consultant Approved' or 'Consultant Returned Not Approved'. A 'Description' section is visible, with a red box highlighting the 'Create Comment' link under the 'History Log' section. The footer contains information about the Governor and Superintendent, along with a statement of equal opportunity.

Tips for Staying in Compliance

Keep agendas, minutes and attendance of advisory committee meetings for each program (*At least one required per year*)

Keep records of travel approvals and equipment purchase

Keep job descriptions of all employees paid with Perkins

Records Retention

Award Year/Period of Performance

Retention Period

Monitoring Period

Risk-Based Assessment

The risk-based assessment process is designed to conduct a more thorough review for Perkins recipients with higher risk factors.

The risk-based assessment review identifies potential problems that could lead to risks in the accountability, fiscal accounting and grant operations.

Factors:

- 12/8 rule for size and scope
- Single audit findings
- Failure to meet stated deadlines

Risk Assessment: Failure to Meet Timelines

- Budget Revision(s)
June 30th
- Submission of Local Application
(FY24: TBD)
- Final Expenditure Report
September 30th



State Funding Guidance

CTE State Funding Expenditures

Ohio Rev. Code 3317.014, [C]

25% unrestricted (personnel expenditures)

75% Career-Technical Education Programming

State Allowable Cost

- Curriculum development purchase
- Student assessment costs including certification
- Instructional resources and supplies including textbooks
- Career-technical student organization operational costs
- Work-based learning experiences
- Extended programming costs
- Marketing costs that are solely attributable to marketing career-technical education programs
- Technology costs directly associated with career-technical instruction
- Costs associated with receiving industry certification of career technical education programs



Career-Technical Education Funding

Aaron Rausch, Chief of Budget and School
Funding

Lunch

EMIS/FUNDING

David Ehle, Director Office of Data Quality and
Governance/EMIS

Parking Lot Question Review

Summarize

Response from
Panel