The Strengthening Career and Technical Education for the 21st Century Act (Perkins V)

Fiscal Year 2024

Guidelines

New York State Education Department

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Introduction

The *Strengthening Career and Technical Education for the 21st Century Act,* informally known as *Perkins V,* supersedes the *Carl D. Perkins Career and Technical Education Improvement Act of 2006.* The information within this *Guidelines* document applies to the July 1, 2023 – June 30, 2024 Grant Year. This document is an informational companion to the 2024 *Application*.

Purpose

The purpose of this *Act* is to develop more fully the academic knowledge and technical and employability skills of secondary education students and postsecondary education students who elect to enroll in career and technical education programs and programs of study, by –

1. building on the efforts of States and localities to develop challenging academic and technical standards and to assist students in meeting such standards, including preparation for high skill, high wage, or in-demand occupations in current or emerging professions;
2. promoting the development of services and activities that integrate rigorous and challenging academic career and technical instruction, and that link secondary education and postsecondary education for participating career and technical education students;
3. increasing state and local flexibility in providing services and activities designed to develop, implement, and improve career and technical education;
4. conducting and disseminating national research and disseminating information on best practices that improve career and technical education programs and programs of study, services, and activities;
5. providing technical assistance that –
    a. promotes leadership, initial preparation, and professional development at the State and local levels; and
    b. improves the quality of career and technical education teachers, faculty, administrators and counselors;
6. supporting partnerships among secondary schools, postsecondary institutions, baccalaureate degree granting institutions, area career and technical education schools, local workforce investment boards, business and industry, and intermediaries; and
7. providing individuals with opportunities throughout their lifetimes to develop, in conjunction with other education and training programs, the knowledge and skills needed to keep the United States competitive.
8. increasing the employment opportunities for populations who are chronically unemployed or underemployed, including individuals with disabilities; individuals from economically disadvantaged families; out-of-workforce individuals; youth who are in, or have aged out of, the foster care system, and homeless individuals.

Definitions

For the purposes of Perkins V postsecondary non-competitive *Applications*, the following definitions apply:

ACTIVITY. — a specific course of action to achieve one or more of the objectives of a project in the time period specified.

ADMINISTRATION. — activities necessary for the proper and efficient performance of the eligible agency or eligible recipient's duties under this Act, including the supervision of such activities. Such term does not include curriculum development activities, personnel development, or research activities. (Sec. 3 (1)).

ARTICULATION AGREEMENT. — a written commitment—

(A) that is agreed upon at the State level or approved annually by the lead administrators of—

(i) a secondary institution and a postsecondary educational institution; or

(ii) a sub baccalaureate degree granting postsecondary educational institution and baccalaureate degree granting postsecondary educational institution; and

(B) to a program that is--

(i) designed to provide students with a nonduplicative sequence of progressive achievement leading to technical skill proficiency, a credential, a certificate, or a degree; and

(ii) linked through credit transfer agreements between the 2 institutions described in clause (i) or (ii) of subparagraph (A) (as the case may be). (Sec. 3 (4)).

CAREER AND TECHNICAL EDUCATION (CTE). — organized educational activities that—

(A) offer a sequence of courses that—

(i) provides individuals with rigorous academic content and relevant technical knowledge and skills needed to prepare for further education and careers in current or emerging professions, which may include high-skill, high-wage, or in-demand industry sectors or occupations.

(ii) provides technical skill proficiency or a recognized postsecondary credential which may include an industry-recognized credential, a certificate, or an associate degree; and

(iii) may include prerequisite courses (other than a remedial course) that meet the requirements of this subparagraph;

(B) include competency-based, work-based, or other applied learning that supports the development of academic knowledge, higher-order reasoning and problem-solving skills, work attitudes, employability skills, technical skills, and occupation-specific skills, and knowledge of all aspects of an industry, including entrepreneurship, of an individual;

(C) to the extent practicable, coordinate between secondary and postsecondary education programs through programs of study, which may include coordination through articulation agreements, early college high school programs, dual or concurrent enrollment program opportunities, or other credit transfer agreements that provide postsecondary credit or advanced standing. (Sec. 3 (5)).

CAREER AND TECHNICAL EDUCATION AREAS (CREDIT BEARING). — are the sub baccalaureate programs that fall within 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).

CONSORTIUM. — two eligible postsecondary institutions collaboratively offering career and technical education and services. Consortia shall demonstrate how the programs offered through the partnership are **mutually beneficial to all members** within the partnership and agree that funds are used only for programs authorized under Perkins V. Each member institution in a consortium shall meet the NYSED standard of Size, Scope, and Quality on its own. Funds may not be reallocated to individual members of the consortium for purposes or programs benefitting only one member of the consortium.

CORE INDICATORS OF PERFORMANCE. — Perkins V defines the new Core Indicators of Performance as:

Postsecondary Retention and Placement (1P1)
The percentage of CTE concentrators who, during the second quarter after program completion, remain enrolled in postsecondary education, are in advanced training, military service, or a service program that receives assistance under title I of the National and Community Service Act of 1990 (42 U.S.C. 12511 et seq.), are volunteers as described in section 5(a) of the Peace Corps Act (22 U.S.C. 2504(a)), or are placed or retained in employment.

Earned Recognized Postsecondary Credential (2P1)*
The percentage of CTE concentrators who receive a recognized postsecondary credential during participation in or within 1 year of program completion.**

*A recognized postsecondary credential is defined in the *Workforce Innovation and Opportunities Act* (WIOA) as "A credential consisting of an industry-recognized certificate or certification, a certificate of completion of an apprenticeship, a license recognized by the State or Federal Government, or an associate or baccalaureate degree."

**Note: A student gets counted under this indicator whether the student obtains the credential during participation or within 1 year of completion, meaning that the student would be counted if the student obtains the credential in the 1 year following that student's completion of the program.

Non-traditional Program Enrollment (3P1)
The percentage of CTE concentrators in career and technical education programs and programs of study that lead to non-traditional fields. (Sec. 113 (2B)).

COST OF ATTENDANCE. —

(A) 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**

(B) 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 V 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.

CTE CONCENTRATOR. — The term "CTE concentrator" means, at the postsecondary level, a student enrolled in an eligible recipient who has—

(A) earned at least 12 credits within a career and technical education program or program of study; **or**

(B) completed such a program if the program encompasses fewer than 12 credits or the equivalent in total. (Sec. 3 (12)).

CTE PARTICIPANT. — The term "CTE participant" means an individual who completes not less than one course in a career and technical education program or program of study of an eligible recipient, as determined by HEGIS codes.

ECONOMICALLY DISADVANTAGED. — 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.) Social Security Insurance
(i.) Women, Infants, and Children (WIC)
(j.) Other public assistance programs serving the economically disadvantaged, such as: Food Stamps, Home Energy Assistance Payments (HEAP), Supplemental Security Income, Trade Readjustment Act, and Refugee and Immigration Affairs Assistance
(k.) New York State's Low-Income Guidelines define an economically disadvantaged student as one who is a member of a household that meets the following income eligibility standards: The total annual income of such household is equal to or less than 185 percent of the amount under the annual United States Department of Health and Human Services poverty guidelines for the applicant's family size for the applicable year.

ELIGIBLE AGENCY. — The term "eligible agency" means a State board designated or created consistent with State law as the sole State agency responsible for the administration of career and technical education in the State or for the supervision of the administration of career and technical education in the State. (Sec. 3 (18)).

ELIGIBLE INSTITUTION. — The term "eligible institution" means—

(A) a consortium of two of the entities described in subparagraphs (B) through (H);

(B) a public institution of higher education that offers and will use funds provided under this title in support of career and technical education courses that lead to technical skill proficiency or a recognized postsecondary credential, including an industry-recognized credential, a certificate, or an associate degree. All educational institutions must be able to generate $50,000 and meet criteria for size, scope, and quality;

(C) a local educational agency providing education at the postsecondary level;

(D) an area career and technical education school providing education at the postsecondary level;

(E) an Indian Tribe, Tribal organization, or Tribal education agency that operates a school or may be present in the State;

(F) a postsecondary educational institution controlled by the Bureau of Indian Education or operated by or on behalf of any Indian Tribe that is eligible to contract with the Secretary of the Interior for the administration of programs under the Indian Self-Determination and Education Assistance Act (25 U.S.C. 5301 et seq.) or the Act of April 16, 1934 (25 U.S.C. 5342 et seq.);

(G) a tribally controlled college or university; or

(H) an educational service agency. (Sec. 3 (20)).

ELIGIBLE RECIPIENT. — The term "eligible recipient" means—

(A) a local educational agency, an area career and technical education school, an educational service agency, an Indian Tribe, Tribal organization, or Tribal educational agency or a consortium, eligible to receive assistance under section 131; or

(B) an eligible institution or consortium of eligible institutions eligible to receive assistance under section 132. (Sec. 3 (21)).

ENGLISH LEARNER. — The term "English learner" means—

(A) a secondary school student who is an English learner, as defined in section 8101 of the Elementary and Secondary Education Act of 1965; or

(B) an adult or an out-of-school youth who has limited ability in speaking, reading, writing, or understanding the English language and—

(i) whose native language is a language other than English; or

(ii) who lives in a family environment in which a language other than English is the dominant language. (Sec. 3 (22)).

FORMULA FUNDS. — are funds available to all eligible postsecondary educational institutions on a non-competitive basis, pursuant to section 132 of the *Strengthening Career and Technical Education for 21st Century Act*, 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.

HEGIS CODES. — **H**igher **E**ducation **G**eneral **I**nformation **S**ervices **C**odes. Only Career and Technical Education programs registered by NYSED within the HEGIS Code range of 5000-5599 are eligible for Perkins V funding. (See definition for Career and Technical Education Areas.)

INDIVIDUAL WITH A DISABILITY. —

(A) IN GENERAL. -- The term "individual with a disability" means an individual with any disability (as defined in section 3 of the Americans with Disabilities Act of 1990 (42 U.S.C. 12102)).

(B) INDIVIDUALS WITH DISABILITIES. -- The term "individuals with disabilities" means more than 1 individual with a disability. (Sec. 3 (28)).

LOCAL ADVISORY COUNCIL (LAC). — required group of at least ten members including representatives of the local workforce in CTE fields that correspond with programs offered by the institution, as well as administrators of those programs at the institution.

NONTRADITIONAL STUDENTS. — 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. — occupations or fields of work, such as careers in computer science, technology, and other current and emerging high skill occupations, for which individuals from one gender comprise less than 25 percent of the individuals employed in each such occupation or field of work. (Sec. 3 (33)).

OBJECTIVE. — a statement of a specific end that will support one or more program goals. It must:

(A) be stated in quantifiable terms;
(B) specify a date or time period for its achievement; and
(C) identify the resources needed to achieve it in that time period.

OUT-OF-WORKFORCE INDIVIDUAL. — The term "out-of-workforce individual" means—

(A) an individual who is a displaced homemaker, as defined in section 3 of the Workforce Innovation and Opportunity Act (29 U.S.C. 3102); or

(B) an individual who—

(i)(I) has worked primarily without remuneration to care for a home and family, and for that reason has diminished marketable skills; or

(II) 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 2 years after the date on which the parent applies for assistance under such title; and 9

(ii) is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment. (Sec. 3 (36)).

PROGRAM OF STUDY. — The term "program of study" means a coordinated, nonduplicative sequence of academic and technical content at the secondary and postsecondary level that—

(A) incorporates challenging State academic standards, including those adopted by a State under section 1111(b)(1) of the Elementary and Secondary Education Act of 1965;

(B) addresses both academic and technical knowledge and skills, including employability skills;

(C) is aligned with the needs of industries in the economy of the State, region, Tribal community, or local area;

(D) progresses in specificity (beginning with all aspects of an industry or career cluster and leading to more occupation-specific instruction);

(E) has multiple entry and exit points that incorporate credentialing; and

(F) culminates in the attainment of a recognized postsecondary credential. (Sec. 3 (41)).

REGISTERED PROGRAM. — is a degree program or a credit or noncredit diploma or certificate program, included in the NYSED Inventory of Registered Programs (IRP) as meeting the necessary standards of quality.

SINGLE PARENT. — 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, QUALITY. —

(A) Size. -- eligible institutions must be public (i.e. SUNY or CUNY), have a minimum of five approved CTE programs and the ability to generate a minimum of $50,000 in formula funding on their own or by partnering with another institution in the form of a consortium.

(B) Scope. -- programs must prepare concentrators for employment in high-skill, high-wage, or in-demand careers. Programs must lead to technical skill proficiency or a recognized postsecondary credential. Scope must ensure all students are provided with equitable access to CTE programs of study.

(C) Quality. -- is measured by evaluation of the program's progress on the Core Indicators of Performance as compared to federal and state targets.

The definition of size, scope and quality may be amended in subsequent years to ensure that it is aligned to the goals, programmatic expectations, and learner outcomes in the State's Four Year Plan.

SPECIAL POPULATIONS. — The term "special populations" means--

(A) individuals with disabilities;

(B) individuals from economically disadvantaged families, including low-income youth and adults;

(C) individuals preparing for non-traditional fields;

(D) single parents, including single pregnant women;

(E) out-of-workforce individuals;

(F) English learners;

(G) homeless individuals described in section 725 of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a);

(H) youth who are in, or have aged out of, the foster care system; and
(I) youth with a parent who—
(i) is a member of the armed forces (as such term is defined in section 101(a)(4) of title 10, United States Code); and
(ii) is on active duty (as such term is defined in section 101(d)(1) of such title. (Sec. 3 (48)).

SUPPORT SERVICES. — The term "support services" means services related to curriculum modification, equipment modification, classroom modification, supportive personnel (including paraprofessionals and specialized instructional support personnel), and instructional aids and devices. (Sec. 3 (50)).

Invitation to Apply for Formula Funding

The New York State Education Department's (NYSED's) *Office of Postsecondary Access, Support and Success* invites eligible institutions to apply for formula-funding under the *Strengthening Career and Technical Education for the 21st Century Act (Perkins V).*

Perkins V provides funds for postsecondary programs to improve the quality of career and technical education for students at sub-baccalaureate degree granting institutions. Successful applicants will describe a maximum of five (5) Goals with measurable objectives designed to improve CTE programs and to establish success in the three (3) required Core Indicators of Performance for CTEA 1 (credit bearing) programs and/or for CTEA 2 (non-credit bearing) programs.

Applications will be reviewed for adherence to the federal Perkins legislation and compliance with the New York State Perkins *Guidelines*. *Applications* that meet the requirements and standards of the legislation and *Guidelines* will be approved. Eligible applicants that do not meet the requirements will be notified and given the opportunity to submit missing or modified information. NYSED reserves the right to withhold *Application* approval and funding until institutions submit *Applications* that are complete and in keeping with both the Perkins V legislation and the New York State Perkins *Guidelines*.

Supplementing and Not Supplanting

Perkins Grant recipients **may supplement but shall not supplant** activities and expenditures funded by the institution and/or other sources. NYSED reserves the right to reduce or refuse funding for any specific activity it deems to be supplanting institutional responsibilities.

Nonduplication of Services

Perkins Grant recipients shall not use Perkins funds to duplicate activities and expenditures funded by other sources. NYSED reserves the right to reduce or refuse funding for any specific activity it deems duplicative.

Memorandums of Understanding / Articulation Agreements

Memorandums of Understanding (MOUs) and/or Articulation Agreements with secondary schools, Local Education Agencies, institutions of higher education, and/or BOCES programs shall be appended to the *Application*.

Making Applications Available for Review

Perkins Grant recipients shall make their applications available for review upon request by the Local Workforce Development Board and/or local NYSED Office of Vocational Rehabilitation in order to facilitate the coordination of Career and Technical Education with job training and the provision of Career and Technical Educational services to persons with disabilities.

Programs of Study

All degree and credit-bearing certificate programs supported by Perkins V funds must be registered by SED as meeting the quality standards in the Regulations of the Commissioner of Education. Evidence of registration is a copy of the SED registration letter for the program or its inclusion in the current Inventory of Registered Programs at the institution. SED will not approve use of Perkins funds to support the development of new programs or the development of major changes to a registered program unless registration evidence is present.

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

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

Essential Program Operation Dates

All dates are subject to change.

Perkins Application due to NYSED	**6/16/2023**
CTEA-1 & CTEA-2 CERTIFIED 2022-2023 data due	**9/29/2023**
Equipment Installation by	**12/29/2023**
Equipment Verification Form due	**1/12/2024**
Interim Report due	**2/9/2024**
CTEA-1 and CTEA-2 CERTIFIED 2022-2023 Placement Data due	**2/16/2024**
Last Date to submit Budget Amendments	**3/29/2024**
Last Date to Encumber Funds	**6/28/2024**
Final Report due	**9/13/2024**
Final Expenditure Report (FS-10-F Long Form) due	**9/13/2024**
CTEA-1 & CTEA-2 CERTIFIED 2023-2024 data due	**9/27/2024**

Core Indicators of Performance

All Goals and their activities and expenditures must focus on improving program quality and performance based on needs identified in the *Comprehensive Local Needs Assessment*.

Additionally, activities and expenditures must address each of the three Core Indicators of Performance. **All *Applications* shall address all three Core Indicators.**

Postsecondary Perkins Grant Core Indicators of Performance

1P1: Postsecondary Retention and Placement

The percentage of CTE concentrators who, during the second quarter after program completion, remain enrolled in postsecondary education, are in advanced training, military service, or a service program that receives assistance under title I of the National and Community Service Act of 1990 (42 U.S.C. 12511 et seq.), are volunteers as described in section 5(a) of the Peace Corps Act (22 U.S.C. 2504(a)), or are placed or retained in employment.

2P1: Earned Recognized Postsecondary Credential*

The percentage of CTE concentrators who receive a recognized postsecondary credential during participation in or within 1 year of program completion. **

*A recognized postsecondary credential is defined in the *Workforce Innovation and Opportunities Act* (WIOA) as "A credential consisting of an industry-recognized certificate or certification, a certificate of completion of an apprenticeship, a license recognized by the State or Federal Government, or an associate or baccalaureate degree."

**Note: A student gets counted under this indicator whether the student obtains the credential during participation or within 1 year of completion, meaning that the student would be counted if the student obtains the credential in the 1 year following that student's completion of the program.

3P1: Non-traditional Program Enrollment

The percentage of CTE concentrators in career and technical education programs and programs of study that lead to non-traditional fields.

Goals

Goals will serve as the organizational framework for activities and expenditures. The following guidance applies to the establishment of up to five Goals.

1.) **Uses of funds, and consequently the Goals, shall be driven by the needs identified in the *Comprehensive Local Needs Assessment* (CLNA) [*Act* Section 134(c)].**
    - **Goals shall consist of plans designed to promote improvement in the areas identified as most in need by the CLNA.**
2.) Goal 1 must address how the institution/consortium will devote at least 5% of its total allocation to serving students with disabilities.
    - All services for CTE students with disabilities must be planned in consultation with campus offices responsible for assisting these students.
3.) Applicant institutions/consortiums may propose up to four additional Goals, for a maximum total of up to five Goals.
4.) Goals shall work toward improving program quality and student performance.
5.) Goals shall increase access and opportunities for Special Populations.
6.) **Each Goal must have a central organizational drive** toward which all activities and expenditures within that Goal work.
7.) Each Goal shall be comprehensive and cohesive. All activities in a Goal must work together toward the same clear and specifically stated objectives.
8.) Goal activities may supplement but shall not supplant responsibilities that should fall to the institution and/or other sources of funding.
9.) Goal activities shall not duplicate services provided by the institution or other funding sources.
10.) Goals shall not include unassociated activities/expenditures or add-ons not central to the primary objectives of the Goals.
11.) Goals shall be measurable in quantifiable terms.
12.) Applicant institutions shall complete a *Goal Format* for *each* Goal they propose. Incomplete *Goal Formats* will be returned to the institutions for revisions.
13.) All expenditures described in the Goals must match those in the FS-10.
14.) All Goal activities and expenditures must end by the conclusion of the Grant Year, June 30.
15.) All activities and expenditures planned for the Grant Year must be **evaluated within that Grant Year**. The institution must therefore plan for sufficient time for evaluative measures to occur and to be documented.
16.) Applicant institutions in consortia shall clearly indicate in the *Goal Formats* at which institution(s) each Goal will take place.
17.) The **title** of a Goal should concisely indicate the primary objective and/or activity of that Goal. For example: “Improving Tutoring Services for the Veterinary Technician Program.”

Perkins Grant Management

Management Plan
The Management Plan must describe how the institution will monitor the progress of Goals, including the person responsible for overall coordination of funded activities, and the names of the persons responsible for monitoring program activities, services for special populations, fiscal activities, program outcomes, and participation in the local One-Stop delivery system.

The Plan must also include the title of the individual at the institution who will assume management responsibility of the Perkins Grant in the event of the departure of the current Grant Officer. The person in this title will assume temporary responsibility for the Perkins Grant until a new Grant Officer is hired. This Plan must include a description of the process the institution will use to search for and hire the new Grant Officer, as well as a timeline, in accordance with any local, institutional, and workforce rules and regulations.

The Chief Executive Officer of the institution ensures that the Perkins Grant Officer will communicate with and submit any appropriate documentation to the Perkins Grant staff at NYSED **in a timely manner, meeting all deadlines and responding to any requests appropriately.**

If the Perkins Grant Officer is unresponsive or fails to submit timely reports, NYSED Perkins staff reserves the right to contact other individuals at the institution, including the President, and if necessary, to initiate a hold on all funds flowing from NYSED to the institution.

Organizational Chart
Grant applicants must submit, at the end of the *Application*, an **Organizational chart** designating reporting lines that reflect the Perkins Grants Officer reporting to at least one top level academic officer.

Consortium Members
All institutions in consortia must have working Memorandums of Understanding between each other and must include these MOU with the *Application.*

Institutions in consortia must also include, at the end of the *Application*, an organizational chart showing reporting lines from consortium partners to the primary recipient institution. This is in addition to the Organizational Chart designating internal or institutional reporting lines.

Perkins Grant Officer Responsibilities

Each institution receiving Perkins funds must designate one individual to serve as the **Perkins Grant Officer.** The Grant Officer must report to a high-level academic administrator at the institution, such as the President, Provost, or an academic Vice President. The Perkins Grant Officer has comprehensive responsibility for the coordination of the Grant, including compiling and submitting all reports to NYSED on time. For institutions in consortia: each consortium must have one designated Grant Officer representing all member institutions.

NYSED considers the Perkins Grant Officer responsible for the successful implementation, management and evaluation of the Perkins Grant, and as such expects that the **Perkins Grant Officer** will:

1.) Provide leadership in Perkins Grant management, including programmatic and budgetary oversight.
2.) Collaborate with key campus and off-campus stakeholders to ensure institution-wide awareness, commitment, and support for the goals of the Perkins Grant.
3.) Serve as the primary point of contact between NYSED Perkins staff and the funded institution, including institutional data representatives, Goal directors, and institutional research staff.
    a. Keep up-to-date on NYSED communications sent to the Perkins Listserv.
    b. Update NYSED immediately regarding any changes in contact information to ensure that the institution is kept current on all Perkins matters.
    c. Report to NYSED immediately on budgetary changes or delays in Goal progress and adjust timelines to maximize the effectiveness and efficiency of Goals and use of Perkins funds.
    d. Notify NYSED immediately of any staffing changes, including delays in hiring, departures of staff, and new hires.
4.) Ensure submission of all required programmatic and fiscal reports to NYSED by established due dates.
5.) Monitor all Goals at the institution for adherence to the Perkins *Guidelines* and to ensure all Goals and activities run efficiently and effectively.
6.) Track Perkins spending on a regular basis and submit Budget Amendments as needed to ensure the total Perkins allocation is spent according to the NYSED approved budgets/amendments.
7.) Utilize resources provided by NYSED to make improvements resulting in increased participation of students in CTE Careers that are Nontraditional for their genders.
8.) Work with institutional research staff to improve data collection and ensure timely report submission.
9.) Coordinate the planning, meeting, and documentation of the Perkins Local Advisory Council activities.
10.) Coordinate with Goal directors to ensure all equipment, supplies, and materials are ordered promptly and efficiently, and that all equipment is installed and operational for student use by the December 31 deadline.
11.) Coordinate submission of nominations of CTE students pursuing careers that are Nontraditional for their genders for consideration of the Vanguard Award.

Reporting

Institutions must submit the following reports during the Grant Year. NYSED reserves the right to add reporting requirements if NYSED and/or USDOE require further information.

Application **Due 6/16/2023**

The *Application* is a companion document to these *Guidelines*. It contains the materials Grant Officers must complete and return to NYSED for their institutions to be considered for Perkins V funding.

Budget Amendments **Deadline 3/29/2024**

Institutions must propose to NYSED any potential changes to their budgets during the Grant Year. NYSED must approve these proposed changes before institutions may institute the changes. A Budget Amendment consists of two parts: the FS-10-A and the Budget Narrative. Grant Officers should submit as many Budget Amendments as are necessary in order to spend their full allocations.

Equipment Verification Form **Due 1/12/2024**

This form confirms for NYSED that the institution has installed all equipment funded by the Grant and that said equipment is ready for student use prior to the Spring semester.

Interim Report **Due 2/9/2024**

The Interim Report provides NYSED with an update on the progress of, and any delays or issues with, the implementation of the activities and expenditures during the Grant Year. Generalized statements about progress or difficulties will not suffice; this report must contain sufficient **detail** and **quantifiable data** to show what the Goals have accomplished to date and explain any difficulties or delays encountered.

Final Report **Due 9/13/2024**

This report summarizes the activities and expenditures applicable to the Grant. Generalized statements about progress or difficulties will not suffice; this report must contain sufficient **detail** and **quantifiable data** to show what the Goals have accomplished to date. The narrative portion and a copy of the FS-10-F must go to the OPASS office; the original FS-10-F goes to the Grants/Finance Office.

Data Reporting **Due 9/29/2023 and 2/16/2024**

The State Education Department uses an online system for collecting and reporting data regarding enrollment and the performance of students relative to the Core Indicators of Performance. Timely data submission by the institutions is essential in order for NYSED to complete certain tasks. Consequently, late data submissions will put the institutions at risk of losing funding in the subsequent grant year. All institutions should review their data systems and capacity to disaggregate data by programs and special populations. This is central to the Perkins V legislation.

Directions for Developing a Perkins Local Advisory Council – 2024

As a condition of accepting Perkins funding, Grant recipients are required to establish and maintain a Perkins Local Advisory Council (LAC). The primary goal of the Council is to review data and information to ensure that programs offered at the institution address current and anticipated workforce needs, and to provide recommendations for how the institution(s) may better align programs to meet these needs. The Chair of this Council should be a person with administrative oversight responsibilities of one or more of the academic programs on which the Council will focus its attention, such as a dean or vice president at the institution.

The Council must meet at least twice per year: once in the fall and once in the spring. The spring meeting should be held prior to the *Application* due date in order to accommodate input and recommendations from the Council; if timing makes this impossible, members may offer their input on the *Application* via e-mail. The minutes of each meeting must document the Council's involvement in the development of the proposed Goal activities and expenditures.

The LAC **must** consist of a minimum of **10 members who are from:**

1.) Local businesses or workforce representatives in CTE fields in which the institution offers programs (programs being funded by Perkins this year), and
2.) Department Chairs, faculty, or other appropriate representatives of the institution who administer those CTE programs.

Other, additional members of the Council **may** include:

3.) Special populations
    a. individuals with disabilities;
    b. individuals from economically disadvantaged families, including low-income youth and adults;
    c. individuals preparing for nontraditional fields;
    d. single parents, including single pregnant women;
    e. out-of-workforce individuals;
    f. English learners;
    g. homeless individuals described in section 725 of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a);
    h. youth who are in, or have aged out of, the foster care system; and
    i. youth with a parent who—
        i. Is a member of the armed forces (as such term is defined in section 101(a)(4) of title 10, United States Code); and
        ii. Is on active duty (as such term is defined in section 1010(d)(1) of such title).
4.) Representatives of the Local Workforce Development Board
5.) Faculty members from other institutions (in CTE fields)
6.) Students
7.) Labor organizations

The Membership Form for the Perkins Local Advisory Council – 2024 (located in the *Application*) must be complete and must include:

1.) A minimum of 10 members and their pertinent information
2.) Dates, members present, and meeting minutes of the last two Local Advisory Council meetings
3.) Local Advisory Council meeting dates for the coming year (minimum of 2 dates)
4.) Tentative agendas for the next two meetings

As Perkins V requires increased collaboration with workforce representatives, institutions are encouraged to **develop advisory councils for each program supported with Perkins funding.**

Support for One-Stop Career Center System / WIOA Information

All Perkins postsecondary grantees shall use a portion of their allocated funds to support their local One-Stop Career Center System ("Career Center System"). Perkins grantees must also maintain information concerning the status of partnership with the Local Workforce Development Board (LWDB) to support the local Career Center System, according to the following conditions:

1. **No formal Memorandum of Understanding (MOU) has been negotiated by the LWDB.**

   The grantee must retain a description of the status of negotiations with the LWDB, including a description of barriers preventing the development of an MOU.

2. **A formal MOU has been negotiated by the LWDB.**

   The grantee must retain a copy of the MOU, which must detail the career services supported by Perkins grant funds in the local Career Center System and negotiated infrastructure costs.

Office of Civil Rights Compliance

Sub-recipients will comply with, and conduct Perkins funded activities 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 Age Discrimination act of 1975, (5) the Americans with Disabilities Act of 1992 updated in 2010 and as amended, and (6) 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.*

Subrecipients will be evaluated by the SED Office of Civil Rights Compliance as part of a ranking process to select the institutions that will undergo a Civil Rights Compliance Review based on multiple criteria. These criteria may change periodically.

If selected for a Civil Rights Compliance Review, grant recipients agree to the following conditions:

(a) Cooperate with SED staff by providing access to institutional staff, buildings, and grounds, particularly where CTE activities are conducted.

(b) Provide access to institutional records and other sources of information, including interviews with select staff, faculty, and students, that may be necessary to determine the recipient's compliance with Civil Rights legislation.

(c) If SED issues a final letter of findings (LOF) indicating the grant recipient has failed to comply with the civil rights legislation, the grant recipient shall, within the deadlines required by the LOF, submit to the State Education Department an approvable compliance plan (CP) describing the steps it will take to overcome the violation and the effects of the violation. The CP shall describe in detail the steps the grant recipient will take to remedy the violation, the personnel responsible **by name and job function** and the proposed timetable for its remediation **(MM/YY)**. **The grant recipient is expected to make the necessary corrections within two years (any corrections that would take more than a year must have interim remedies in place).**

If a grant recipient of Perkins V funds is determined to be noncompliant with any of the Federal Civil Rights statutes and is not 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. If this should occur, the State Education Department may withhold all Federal funding from the Perkins V Grant recipient.

Uses of Funds

Perkins V Goals shall improve programs and address the needs of students based on the results of the *Comprehensive Local Needs Assessment*. Local Advisory Council advice must be sought in planning programs and services.

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. Uses of Funds in Perkins V are as follows. *Applicants are not required to address all six Uses of Funds. However, funds can only be expended for the uses outlined below*.

1. Provide career exploration and career development activities through an organized, systematic framework designed to aid students before enrolling and while participating in a CTE program, in making informed plans and decisions about future education and career opportunities and programs of study, which may include:

- readily available career and labor market information, including information on:
    - occupational supply and demand;
    - educational requirements;
    - other information on careers aligned to State, local, or tribal (as applicable) economic priorities;
    - employment sectors;
- programs and activities related to the development of student graduation and career plans;
- career guidance and academic counselors that provide information on postsecondary education and career options;
- activities that advance knowledge of career opportunities and assists students in making informed decisions about future education and employment goals, including in non-traditional fields; or
- provide students with strong experience in, and comprehensive understanding of, all aspects of industry;
- introductory courses or activities focused on career exploration and career awareness, including non-traditional fields;

2. Provide professional development for faculty, administrators, specialized instructional support personnel, career guidance and academic counselors, or paraprofessionals, which may include:

- professional development on supporting individualized academic and CTE instructional approaches, including the integration of academic and CTE standards and curricula;
- professional development on ensuring labor market information is used to inform the programs, guidance, and advisement offered to students, including information provided under Wagner-Peyser
- providing faculty, administrators, specialized instructional support personnel, career guidance and academic counselors, or paraprofessionals, as appropriate, with opportunities to advance knowledge, skills, and understanding of all aspects of an

industry, including the latest workplace equipment, technologies, standards, and credentials;

- supporting the implementation of strategies to improve student achievement and close gaps in student participation and performance in CTE programs;
- providing faculty, specialized instructional support personnel, career guidance and academic counselors, or paraprofessionals, as appropriate with opportunities to advance knowledge, skills, and understanding in pedagogical practices, including evidence-based pedagogical practices (as reasonably available);
- training faculty, administrators, specialized instructional support personnel, career guidance and academic counselors, or paraprofessionals, as appropriate to provide appropriate accommodations for individuals with disabilities;
- training faculty specialized instructional support personnel, career guidance and academic counselors, and paraprofessionals in frameworks to effectively teach students, including a particular focus on students with disabilities and English learners, which may include universal design for learning, multi-tier systems of supports and positive behavioral interventions and support;
- training for the effective use of community spaces that provide access to tools, technology, and knowledge for learners and entrepreneurs, such as makerspaces or libraries;

3. Provide within CTE the skills necessary to pursue high-skill, high-wage or in-demand industry sectors or occupations;

4. Support integration of academic skills into CTE programs and programs of study to support CTE participants at the postsecondary level in achieving academic skills;

5. Plan and carry out elements that support the implementation of CTE programs and programs of study and that result in increasing student achievement on performance indicators, which may include:

- curriculum aligned with the requirements for a program of study;
- sustainable relationships among education, business and industry, and other community stakeholders, including industry or sector partnerships in the local area, where applicable, that are designed to facilitate the process of continuously updating and aligning programs of study with skills in demand in the state, regional, or local economy, and in collaboration with business outreach staff in the One-Stop Career Center System, and other appropriate organizations, including community-based and youth-serving organizations;
- where appropriate, expanding opportunities for CTE concentrators to participate in accelerated learning programs (as described in ESEA), including dual or concurrent enrollment programs, early college high schools, and the development or implementation of articulation agreements as part of a CTE program of study;
- appropriate equipment, technology, and instructional materials (including support for library resources) aligned with business and industry needs, including machinery, testing equipment, tools, implements, hardware and software, and other new and emerging instructional materials;

- a continuum of work-based learning opportunities, including simulated work environments;
- industry-recognized certification exams or other assessments leading toward a recognized postsecondary credential;
- efforts to recruit and retain CTE program faculty, administrators, specialized instructional support personnel, career guidance and academic counselors, and paraprofessionals;
- where applicable, coordination with other education and workforce development programs and initiatives, including career pathways and sector partnerships developed under the WIOA and other Federal laws and initiatives that provide students with transition-related services, including the Individuals with Disabilities Education Act (IDEA);
- expanding opportunities for students to participate in distance CTE and blended-learning programs;
- expanding opportunities for students to participate in competency-based education programs;
- improving career guidance and academic counseling programs that assist students in making informed academic and CTE decisions, including academic and financial aid counseling;
- supporting the integration of employability skills into CTE programs and programs of study;
- supporting programs and activities that increase access, student engagement, and success in science, technology, engineering, and mathematics fields (including computer science and architecture) for students who are members of groups underrepresented in such subject fields;
- providing CTE, in a school or other educational setting, for adults or out-of-school youth to upgrade technical skills;
- supporting career and technical student organizations, including student preparation for and participation in technical skills competitions aligned with CTE program standards and curriculum;
- making all forms of instructional content widely available, which may include use of open educational resources;
- supporting the integration of arts and design skills, when appropriate, into CTE programs and programs of study;
- partnering with a qualified intermediary to improve training, the development of public-private partnerships, systems development, capacity-building, and scalability of the delivery of high-quality CTE;
- support to reduce or eliminate out-of-pocket expenses for special populations participating in CTE, including those participating in dual or concurrent enrollment programs or early college high school programs, and supporting the costs associated with fees, transportation, child care, or mobility challenges for those special populations; or
- other activities to improve CTE programs; and

6. Develop and implement evaluations of the activities carried out with funds under this part, including evaluations necessary to complete the Comprehensive Local Needs Assessment and the local report.

In addition, local recipients can pool resources with other local recipients to support the implementation of programs of study through the professional development activities described above.

Prohibited Uses of Funds

- Expenditures that directly benefit individual students
    - Under item 5 in the Uses of Funds section, exceptions may be made for expenditures that reduce or eliminate out-of-pocket expenses for special populations students participating in CTE programs. The institution must justify any such expenditures and NYSED reserves the right to deny any such activities or expenditures that constitute supplanting.
- Payment of tuition for students currently enrolled in high schools.
- Payment for tuition, internships or apprenticeships for students.
- Equipment for administrative, faculty or staff use.
    - For example: computers for student use in a lab are often allowable; computers for administrative, faculty, or staff use are not.
- Furniture, e.g.: chairs, desks, tables, file cabinets, bookcases.
    - Reasonable accommodations for Career and Technical Education students with disabilities are generally the responsibility of the institution.
- Food services, refreshments, banquets, or meals.
- Promotional items such as bumper stickers, pencils, pens, or T-shirts.
- Remodeling not directly connected to accessibility to Career and Technical Education instruction, or services, or to the use or installation of project-purchased equipment.
    - NYSED cannot approve any remodeling for aesthetic purposes, or any remodeling that would normally constitute an institutional responsibility.
- Travel outside of the United States.
- Payment for memberships in professional organizations.
- Subscriptions to journals or magazines.

Budgets

A proposed Budget must include two parts:

1.) The **Form FS-10**: Proposed Budget for a Federal or State Project
   a. The FS-10 is located at: www.oms.nysed.gov/cafe/forms
   b. Under the **Budgets** heading, select and complete the **FS-10 in Excel**.
      i. This form was last updated 3/15; this update is identified in the upper right hand corner of the form. **We can accept only this version.** Older versions will not pass through the Grants/Finance Office.
   c. **In the FS-10**:
      i. Round proposed expenditures to the nearest dollar. **Do not round upwards from that amount**. Sufficient detail is required for each budget category to demonstrate how the requested figure was calculated.
      ii. All columns and lines on the form must be completed so that calculations for salaries, fringe benefits, and indirect costs may be verified.
      iii. *The Grants/Finance Office no longer accepts TBA, TBD, or any similar notations within this document.
      iv. Code each item by Goal number.
      v. Lists of proposed acquisition of supplies and equipment **must include unit prices.**
      vi. Lists of proposed acquisition of supplies and equipment **must be itemized.**
      vii. The final page is the Budget Summary. On this page, make sure to check all subtotals against those in the budget.
      viii. One copy must be marked "Original Signature Copy" and bear the original signature, **in blue ink,** of the applicant's chief executive officer or designee.
      ix. Send three photocopies in addition to the Original.

2.) The **Budget Narrative**
   a. The Budget Narrative should correspond with the FS-10.
   b. Code each item by Goal number.
   c. Installation of equipment purchased with Perkins Grant funds must be complete by December 31 of the applicable Grant Year.
   d. All activities funded by the Perkins Grant must be complete by the end of the Grant Year, which is June 30.
   e. Evaluation of all activities funded by the Perkins Grant must be possible and completed by the end of the Grant Year, which is June 30.
   f. NYSED cannot accept generalized lists of items. For example, NYSED cannot approve items such as "Office Supplies" at $700.00. Submit itemized lists indicating exactly which supplies the institution intends to purchase with Perkins funds.
   g. NYSED cannot accept generalized travel plans. For example, NYSED cannot approve items such as "Student Travel" at $1,200. Submit itemized lists indicating exactly how Perkins funds would facilitate travel, including a breakdown of costs for transportation, lodging, meals, etc.
   h. For each item, the Budget Narrative must clearly:

i. Describe the activity or expenditure.
ii. Describe the applicable CTE program's need for it.
iii. Describe how this activity or expenditure will improve the program and access and opportunities for students.

Budget Amendments

An approved *Application* constitutes a commitment by the institution to carry out the activities and expenditures described therein. Should the institution wish to explore making programmatic changes to the planned activities and expenditures, it must seek and receive NYSED approval.

Grant Officers may contact their Perkins Grant Liaisons at any time to discuss the feasibility of potential changes and whether the changes would require e-mail approval and/or Budget Amendments.

For programmatic modifications to the institution's approved *Application*, the institution should submit the proposed changes to NYSED via e-mail for consideration. The institution may only move forward with the proposed changes if NYSED provides express written approval for those changes.

If the proposed programmatic changes also meet any of the threshold criteria listed below, the institution must also submit a proposed Budget Amendment to NYSED:

A. Changes in personnel positions, number and type
B. Equipment items having a unit value of $5,000 or more, number and type
C. Minor remodeling (which is rarely approvable under the Perkins Grant)
D. Any increase in budget subtotal by more than 10% or $1,000, whichever is greater

NYSED will consider proposed Budget Amendments; it reserves the right to approve or reject them. Institutions should not initiate the changes proposed in Budget Amendments prior to or in the absence of approval from NYSED.

A proposed Budget Amendment must include two parts:

1.) **FS-10-A**: Proposed Amendment for a Federal or State Project
   a. The FS-10-A is located at: www.oms.nysed.gov/cafe/forms
   b. Under the Budgets heading, select and complete the **FS-10-A in Excel**.
      1.) This form was last updated in 3/15; this update is identified in the upper right hand corner of the form. **We can accept only this version.** Older versions will not pass through the Grants/Finance Office.
   c. **In the FS-10-A**:
      1.) 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.
      2.) All columns and lines on the form must be completed so that calculations for salaries, fringe benefits, and indirect costs may be verified.
      3.) The Grants/Finance Office no longer accepts TBA, TBD, or any similar notations within this document.
      4.) Code each item by Goal number.
      5.) Lists of proposed acquisition of supplies and equipment **must include unit prices.**
      6.) Lists of proposed acquisition of supplies and equipment **must be itemized.**

7.) The final page is the Budget Summary. On this page, make sure to check all sub-totals against those in the budget.
8.) 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.
9.) Send three photocopies in addition to the Original.

2.) The Budget Narrative

This document should provide a written justification and description of the institution's proposed expenditures.

a. Installation of equipment purchased with Perkins Grant funds must be complete by December 31 of the applicable Grant Year.
b. All activities funded by the Perkins Grant must be complete by the end of the Grant Year, which is June 30.
c. Evaluation of all activities funded by the Perkins Grant must be possible and completed by the end of the Grant Year, which is June 30.
d. Any changes to the FS-10-A and within the Budget Narrative must be coded to indicate with which Goal(s) they correspond.
e. NYSED cannot accept any generalized lists of items. For example, NYSED cannot approve items such as "Office Supplies" at $700.00. Institutions must provide itemized lists which indicate exactly which supplies the institution intends to purchase with Perkins funds.
f. NYSED cannot accept any generalized travel plans. For example, NYSED cannot approve items such as "Student Travel" at $1,200. Institutions must provide itemized lists indicating exactly how Perkins funds would facilitate travel, including transportation, lodging, meals, etc. Institutions must also provide a written narrative explanation justifying the travel.

For EACH proposed change, provide answers to the following questions as applicable.

1.) What was the original plan for the funding in question?
2.) Explain **why** you are proposing a deviation from the original budget plan. Describe any difficulties encountered, and any attempts to remedy them if applicable.
3.) Describe the new proposed plan(s).
4.) How will this change (or these changes) impact the students who would formerly have been served by the grant? Are there any plans in place to make sure these students receive the assistance they would have had under the original budget plan? [For example, if the institution proposes moving funding originally intended to pay for tutoring to funding for travel, are there plans in place to ensure that the students who would formerly have received the tutoring still get the academic assistance they need?]
5.) How will Perkins students benefit from this new plan?
6.) What evaluation criteria will the institution use to measure the success of the proposed changes?
7.) If applicable, please provide any additional information related to these proposed changes.

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

Code 15 - Salaries for Professional Staff. Include only staff that are professional and 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 Narrative. When release time is given to full-time faculty for Grant activities, the Grant may be charged for the cost of part-time replacements. Fees for services by persons not employed by the fiscal agent must be listed under Code 40, Purchased Services.

Code 16 - Salaries for Support Staff. Only non-instructional employees of the fiscal agent should be listed. Include salaries for teacher aides, secretarial and clerical assistance, tutors, laboratory assistants, technicians, and other non-instructional staff of the fiscal agent. Fees for services by persons not employed by the fiscal agent must be listed under Code 40, Purchased Services.

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, as well as 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 should always be listed under Code 15 or Code 16, as appropriate. Fees for services provided by employees of any consortium partner other than the fiscal agent must be included under this code. Please do not use the word, "tuition," for fees for staff development contracted with external agencies. If the institution uses funds for “tuition” or “stipends” in Code 40, it cannot claim Indirect Cost for these items. However, Indirect Cost can be claimed if the use of funds is labeled “fee for service.” Individual contracts exceeding $25,000 must be excluded from Indirect. Do not include conference registration or attendance costs here; include them under Travel Expenses (Code 46).

Code 45 - Supplies and Materials. This category covers both expendable supplies like paper and printer cartridges and instructional materials like books that cost less than **$5,000** per unit. Computer equipment and software under $5,000 must 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. Institutions should order Supplies and Materials as early as possible in the Grant Year in order to maximize their benefits to students.

Code 46 - Travel Expenses. All allowable travel must be included under this code. Travel is only permitted within the United States and must be directly related to the operation of the program. Travel should occur as early in the Grant Year as possible in order to maximize the benefits of any knowledge gained at conferences, seminars, etc. 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.

Code 80 - Employee Benefits. Indicate the **composite fringe rate** for full and part-time employees. This rate cannot exceed the current federal rate issued by the Office of the State Comptroller.

Code 90 - Indirect Cost. **Indirect Cost is an optional expense.** It 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, rental costs and individual contracts exceeding $25,000.** Any expenditure that directly supports individual students such as book vouchers, registration fees for exams, childcare etc. cannot be claimed for Indirect. Indirect funds can be used to defray costs not otherwise allowed in specific budget categories like heat, electricity, or janitorial services.

Staff positions and activities not directly related to a specific Goal, including the supervision of such activities, will be considered as Administrative Cost. However, activities directly connected to a Goal, such as curriculum development, personnel development, or research are not considered Administrative Cost.

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. NYSED will not approve any remodeling for aesthetic purposes, or any remodeling that would normally constitute an institutional responsibility.

Code 20 - Equipment. List **all** items with a unit price of **$5,000** or more in this category, including software. Code all Equipment items to the applicable Goal. 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. Use the phrase, "or the equivalent," when specifying models or manufacturers to allow the institution to purchase an alternative item from a vendor without prior approval.

All equipment must be installed and operational by December 31. Funding for any equipment not ready for student use by that day will lapse on that date. The institution will then be required to propose new uses, in keeping with the findings of the CLNA, for that funding, and have those uses approved by NYSED before proceeding.

Conditions and Requirements of Accepting the Perkins V Formula Funded Grant Award for the Fiscal Year 2024

By accepting Perkins V funding, recipients agree to adhere to all content and regulations in the *Strengthening Career and Technical Education for the 21st Century Act (Perkins V) 2024 Guidelines*, and to comply with the following:

1.) All instruction, conditions, requirements, and guidance in this Guidelines document
2.) Conditions and Requirements of Accepting Perkins Funding document
3.) Statement of Assurances document
4.) Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters: and Drug-Free Workplace Requirements document

Furthermore, recipients commit to the following:

1.) Grant recipients **acknowledge** that Perkins is a formula funded, non-competitive grant which factors into funding allocations the economically disadvantaged CTE student enrollment data provided in the **certified CTEA-1 and CTEA-2 reports.** Grant recipients further acknowledge and understand that **to be considered for funding during the subsequent year, their certified CTEA-1 and/or CTEA-2 data must be submitted on time or they will not be included in the funding process.** NYSED will not delay the funding process to accommodate CTEA-1 and/or CTEA-2 data submission beyond the due dates. Federal Uniform Grants Guidance requires recipients to submit annual reports within 90 calendar days after the end of the grant year.

2.) Grant recipients **acknowledge** and understand that their failure to adhere to the Perkins *Guidelines* and required Program Operation Dates and Conditions and Requirements would compromise NYSED's ability to efficiently administer the statewide Perkins Grant; therefore, **NYSED reserves the right to impose financial sanctions during the Grant Year, and/or to exclude noncompliant institutions from eligibility for the Grant in the subsequent year.**

3.) **Grant recipients will evaluate the effectiveness of their ENTIRE Career and Technical Education programs,** using a system of Core Indicators of Performance standards, **regardless of whether or not the program is supplemented by Perkins funds**. This means **grant recipients must evaluate all CTE programs offered by their institution, whether or not Perkins funds are used to support them.**

4.) Awards for all Perkins grants are made on the basis of terms in the approved budget as delineated on fiscal form FS-10. All current fiscal forms are available on the NYSED website at: http://www.oms.nysed.gov/cafe/forms/ Funds are authorized only for the specific activities and categories in the approved budget. **Budget revisions may be made only if prior approval is obtained in writing from the Office of Postsecondary Access, Support and Success.**

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

An advance project payment of 20 percent will be sent to grant recipients by the Grants/Finance Unit. As additional funds are needed, subsequent payments may be requested by submitting the FS-25 Form to the Grants/Finance Office. Final claims are processed upon submission of the Final Evaluation Report and the Final Expenditure Report [FS-10-F Long Form].

6.) All equipment purchased with Perkins funds must be operational and ready for student use by December 31 and attested to in the Equipment Verification Form. Failure to comply with this regulation will result in the directive that Perkins equipment funds must be reallocated toward academic support unless an alternate plan is established between the recipient institution and NYSED.

7.) Recipients are **required** to set aside a minimum of 5% of their allocations to providing/improving services for CTE students with disabilities. This amount is **in addition to whatever amount** of funds may have already been intended for services for students with disabilities.

8.) Failure to abide by Perkins Grant regulations and/or failure to submit timely data, Interim, Final, or other reports, may result in institutions being placed in a risk pool and a **freeze** being placed on **all** funds (including Perkins and other funding) which flow to the grant recipient through the NYSED Grants/Finance Office. It is therefore important that all reports be submitted on time. **Programs in the risk pool jeopardize future funding due to noncompliance and may not be eligible to apply the following year**.

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

10.) Materials developed in whole or in part with the support of Perkins funds must highlight in a prominent place this statement: **"Support for the development/production of this material was provided by a grant under the Strengthening Career and Technical Education for the 21st Century Act administered by the New York State Education Department."**

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

All rights to reproduce and disseminate materials produced with Perkins funds are retained by the State, which has the sole right to copyright said materials. Prior to distribution of materials, the grant recipient must submit them to the Office of Postsecondary Access, Support and Success, and the State Education Department will determine whether or not a copyright will be sought.

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

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

Statement of Assurances

Strengthening Career and Technical Education for the 21st Century Act (Perkins V)

All Perkins grant recipients assure that:

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

2. Perkins funds shall only be used to provide career and technical education programs that are of sufficient size, scope, and quality to result in improvement in the quality of education offered by the grant recipient.

3. Perkins funds shall not be spent 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, its employees or affiliates.

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

5. All consultants shall meet competency requirements and are legally eligible to receive Perkins funds.

6. This *Application* shall be made available for review and comment by interested parties including the appropriate administrative entity under the Workforce Investment Act and the District Office of the Office of Vocational Rehabilitation.

7. The special populations students under Perkins shall have the same opportunity to enroll in career and technical education programs as other populations served, and shall be provided with programs designed to enable them to meet the State performance level targets, and shall not be discriminated against on the basis of their status as members of these special populations.

8. Funded projects shall 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.

9. The institution shall retain a copy of the approved Perkins *Application*, *Guidelines*, and most recently formalized Memorandum of Understanding (MOU) established with the Local Workforce Investment Board(s).

10. The institution shall comply with the requirement of establishing and maintaining a functioning Perkins Local Advisory Council consisting of a minimum of ten (10) active members that meets at least twice a year.

11. The institution shall comply with and conduct Perkins-funded activities in accordance with the following legislation or any subsequent versions as they may be released: (1) Title VI of the Civil Rights Act of 1964, (2) Title IX of the Education Amendments of 1972, (3) Section 504 of the Rehabilitation Act of 1973, (4) the Americans with Disabilities Act of 1990, and as amended, 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.*

Assurances and Certifications for Federal Program Funds

New York State Education Department

The following assurances and certifications are a component of the application. By signing the Attestation of Compliance in the *Application* the signatory is ensuring accountability and compliance with applicable State and federal laws, regulations, and grants management requirements.

Federal Assurances and Certifications, General:

- Assurances – Non-Construction Programs
- Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters
- Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions

Federal Assurances and Certifications, ESEA:

The following are required as a condition for receiving any federal funds under the Elementary and Secondary Education Act. (ESEA)

- ESEA Assurances
- School Prayer Certification

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Education Department Program Contact listed in the Application. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, and by signing the Application Cover Page, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328), which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.), which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and 2 CFR Part 200, Audits of States, Local Governments, and Non-Profit Organizations.

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

Standard Form 424B (Rev. 7-97), Prescribed by 2 CFR Part 200, Authorized for Local Reproduction, as amended by New York State Education Department

CERTIFICATIONS REGARDING LOBBYING, DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

These certifications 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 2 CFR Part 200, for persons entering into a grant or cooperative agreement over $100,000, as defined at 34 CFR 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; and
(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

This certification is required by OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement), 2 CFR Part 180

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 any offenses listed in 2 CFR §180.800(a) or had a civil judgment rendered against them for one of those offenses within that time period; and ;
(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses listed in 2 CFR §180.800(a); and
(d) Have not within a three-year period preceding this application had one or more public transaction (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. DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION – LOWER TIERED COVERED TRANSACTIONS

The terms "debarment," "suspension," "excluded," "disqualified," "ineligible," "participant," "person," "principal," "proposal," and "voluntarily excluded" as used in this certification have the meanings set forth in 2 CFR Part 180, Subpart I, "Definition." A transaction shall be considered a "covered transaction" if it meets the definition in 2 CFR Part 180 Subpart B, "What is a covered transaction?"

A. The applicant certifies that it and its principals:

(a) Upon approval of their application, in accordance with 2 CFR Part 180 Subpart C, they shall not enter into any lower tier nonprocurement covered transaction with a person without verifying that the person is not excluded or disqualified unless authorized by USDOE.
(b) Will obtain an assurance from prospective participants in all lower tier covered nonprocurement transactions and in all solicitations for lower tier covered nonprocurement transactions that the participants will comply with the provisions of 2 CFR Part 180 subparts A, B, C and I.
(c) Will provide immediate written notice to the New York State Education Department if at any time the applicant and its principals ;earn that a certification or assurance was erroneous when submitted or has become erroneous because of changed circumstances.