|  |  |
| --- | --- |
| **Perkins V Transition Year**  **2019-20 Noncompetitive Grant Application** | |
| **Seal with the outer ring that reads: The University of the State of New York**Purpose of Grant Funds | The purpose of funding under the Strengthening Career and Technical Education for the 21st Century (Perkins V) 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 by:   * Including preparation in high-skill, high-wage, or in-demand occupations * Integrating rigorous and challenging academic and CTE instruction that link secondary and postsecondary * Providing technical assistance that improves the quality of CTE faculty, teachers, counselors, and administrators * Supporting partnerships between secondary, postsecondary, local workforce boards, business, and industry * Providing individuals with opportunities and skills to keep the US competitive |
| Eligible applicants and allocations | *NEW FOR 2019-20:*  Public school districts and BOCES acting as fiscal agents are eligible to apply for secondary Perkins funds if they   1. Offer at least three active SED-approved programs (with approval expiration dates of 6/30/20 or later) in [3 different career clusters](#CareerCluster); 2. Generate an allocation of $15,000 or more, or enter a consortium whose combined allocations are over $15,000   Perkins funds are allocated by a statutory formula that is based upon the number of individuals ages five to seventeen in a school district, with greater weighting to those individuals who are below the poverty line (source, U.S Census, Small Area Income and Poverty Estimates) Current allocations are found at [Perkins home page](http://www.p12.nysed.gov/cte/perkins4/title1.html)). |
| Questions | Questions must be submitted in writing to: [emsccte@nysed.gov](mailto:emsccte@nysed.gov). SED will post answers on the [Perkins home page](http://www.p12.nysed.gov/cte/perkins4/title1.html). |
| **Application deadline: July 15, 2019** | **E-mail one electronic copy (in application in Word format and FS-10 budget in Excel)** to [EMSCCTE@nysed.gov](mailto:EMSCCTE@nysed.gov)  and  **Mail original** (fillable forms only-signatures in blue ink) to:  New York State Education Department  89 Washington Avenue  Career and Technical Education Office 315EB—Attn: Perkins Grants  Albany, NY 12234 |

## Perkins V Table of Contents

[Perkins V Table of Contents 2](#_Toc10721412)

[Overview of Perkins V 5](#_Toc10721413)

[Transition Activities for Local Agencies during the 2019-20 Program Year 5](#_Toc10721414)

[New for 2019-20: Focused Perkins Application 5](#_Toc10721415)

[Application Mechanics 7](#_Toc10721416)

[Application Checklist 7](#_Toc10721417)

[2.1 Perkins V Cover Page Fiscal Agent Signature Required 9](#_Toc10721418)

[2.2: Consortium Participation: Consortium Fiscal Agent’s Signature Required 10](#_Toc10721419)

[2.3 Consortium Fund Use Agreement: Chief School Officer’s Signature Required 11](#_Toc10721420)

[Section 3.0: Local Compliance with Perkins V Provisions 12](#_Toc10721421)

[3.1 Local Compliance with Perkins V: Offering programs of study and linking programs to postsecondary CTE 134(b)(7) 12](#_Toc10721422)

[Advisory council contribution to the Perkins V transition application 13](#_Toc10721423)

[3.2 Local Compliance with Perkins V: stakeholder input 13](#_Toc10721424)

[Advisory Council Activities 14](#_Toc10721425)

[3.3 Local Compliance with Perkins V: Section 134 (b)(3): Collaboration 17](#_Toc10721426)

[3.4 Local Compliance with Perkins V: Section 134 (b)(4): Academic and Technical Skill Improvement 19](#_Toc10721427)

[3.5 Local Compliance with Perkins V: Section134(b)(3) and (7) Linking career education activities 21](#_Toc10721428)

[3.6 Local Compliance with Perkins V: Section134(b)(9) Equity Provisions 24](#_Toc10721429)

[3.7 Local Compliance with Perkins V: Section134(b)(5) Special Populations 27](#_Toc10721430)

[3.8 Local Compliance with Perkins V: Section134(b)(6) Special Populations 30](#_Toc10721431)

[3.9 Local Compliance with Perkins V: Section134(b)(8) CTE teacher professional development 32](#_Toc10721432)

[4.0 New for 2019-20: Two Projects Required to Address State Priorities 34](#_Toc10721433)

[Overview of Local Projects and Perkins V Required Use of Funds 34](#_Toc10721434)

[Local Compliance with Perkins V Required Use of Funds 34](#_Toc10721435)

[State Priority 1: Program Evaluation 35](#_Toc10721436)

[4.1.a Required Local Project: State Priority 1, Program Evaluation 35](#_Toc10721437)

[4.1.b Required Local Project: Description, Benchmarks, Action Steps, and Budget 37](#_Toc10721438)

[Local Compliance with Perkins V Requirements for Local Use of Funds 38](#_Toc10721439)

[*… Auto-Calculated Budget summary* 42](#_Toc10721440)

[Local Project Options: State Priorities 2-4 42](#_Toc10721441)

[Project Option: State Priority 2 43](#_Toc10721442)

[Developing and improving work-based learning programs 43](#_Toc10721443)

[State Priority 2 Local Project: Description, Benchmarks, Action Steps, and Budget 43](#_Toc10721444)

[State Priority 2 Cost Items 45](#_Toc10721445)

[State Priority 2 Employee Benefits Worksheet, Code 80 47](#_Toc10721446)

[State Priority 2 Indirect Cost, Code 90 Worksheet 48](#_Toc10721447)

[Project Option: State Priority 3 49](#_Toc10721448)

[Supporting students with disabilities (SWD) and English Language Learners (ELLs) 49](#_Toc10721449)

[State Priority 3 Local Project: Description, Benchmarks, Action Steps, and Cost items 49](#_Toc10721450)

[State Priority 3 Cost items 51](#_Toc10721451)

[State Priority 3 Employee Benefits Worksheet, Code 80 52](#_Toc10721452)

[State Priority 3 Indirect Cost, Code 90 Worksheet 53](#_Toc10721453)

[Administrative Costs including Indirect Costs 53](#_Toc10721454)

[Project Option: State Priority 4 (select A or B) 55](#_Toc10721455)

[A. First-Time New York State CTE Program Approval 55](#_Toc10721456)

[B. CTE Teacher Training 55](#_Toc10721457)

[**Program Standards** 55](#_Toc10721458)

[State Priority 4: Local Project: Description, Benchmarks, Action Steps, and Cost items 55](#_Toc10721459)

[Local Compliance with Perkins V Requirements for Local Use of Funds 56](#_Toc10721460)

[**State Priority 4 Cost items** 57](#_Toc10721461)

[State Priority 4 Employee Benefits Worksheet, Code 80 58](#_Toc10721462)

[State Priority 4 Indirect Cost, Code 90 Worksheet 60](#_Toc10721463)

[5.0 Required Budget, Assurances, and Certifications 61](#_Toc10721464)

[5.1 FS-10 Proposed Budget for Federal or State Grant Form Submission 61](#_Toc10721465)

[61](#_Toc10721466)

[5.3 Statement of Assurances for Secondary Perkins Basic Grant Recipients 2019-20: Chief School Officer’s Signature Required 62](#_Toc10721467)

[5.4 Certifications Regarding Lobbying; Debarment, Suspension, Other Responsibilities & Drug-Free Workplace Requirements 63](#_Toc10721468)

[64](#_Toc10721469)

[5.5 Certifications: Chief School Officer’s Signature Required 65](#_Toc10721470)

[6.0 Appendix 66](#_Toc10721471)

[6.1 Final Year of Perkins IV Data Reporting 66](#_Toc10721472)

[6.2 Definitions 67](#_Toc10721473)

[Special Populations 67](#_Toc10721474)

[69](#_Toc10721475)

[72](#_Toc10721476)

[73](#_Toc10721477)

[75](#_Toc10721478)

[76](#_Toc10721479)

[79](#_Toc10721480)

[80](#_Toc10721481)

[6.3 Grant Administration: Allowable Costs and Budgets 81](#_Toc10721482)

[General Principles for Allowable Costs 81](#_Toc10721483)

[Encumbrances 81](#_Toc10721484)

[Funding Dates 81](#_Toc10721485)

[Interest Earned 82](#_Toc10721486)

[Supplement-Not-Supplant 82](#_Toc10721487)

[6.3.a Sample of Specific Costs 83](#_Toc10721488)

[Salaries (Codes 15 and 16) - Documentation of Personnel Costs 83](#_Toc10721489)

[Purchased Services (Code 40) 83](#_Toc10721490)

[Supplies and Materials (Code 45) 83](#_Toc10721491)

[Travel Expenses (Code 46) 84](#_Toc10721492)

[Fringe Benefits (Code 80) 84](#_Toc10721493)

[Indirect Costs (Code 90) 84](#_Toc10721494)

[Equipment (Code 20) 85](#_Toc10721495)

[Utilities 86](#_Toc10721496)

[Interest and Finance Charges 86](#_Toc10721497)

[Audit Costs for Federally Funded Grants 86](#_Toc10721498)

[New York State Sales Tax Allowance 86](#_Toc10721499)

The State Education Department does not discriminate on the basis of age, color, religion, creed, disability, marital status, veteran status, national origin, race, gender, or genetic predisposition or carrier status, or sexual orientation in its educational programs, services and activities. Inquiries regarding this policy of nondiscrimination should be directed to the Office of Human Resources Management, Room 528 EB, Education Building, Albany, New York 12234.

## Overview of Perkins V

The Carl D. Perkins Career and Technical Education Act of 2006 was reauthorized in July 2018 when the Strengthening Career and Technical Education for the 21st Century Act (Perkins V) was signed into law. The New York State Education Department has elected to use 2019-2020 as a transition year, with full implementation of Perkins V to begin in the 2020-2021 program year. This will provide the necessary time to engage and consult with key stakeholders to develop a four-year state plan that communicates the state’s vision for the future of CTE that is focused on expanding access to and success in high-quality CTE programs for every learner. It will also provide time for eligible recipients to conduct a needs assessment that will determine funded activities for the 2020-2021 local application (the first full implementation year of Perkins V).

# Transition Activities for Local Agencies during the 2019-20 Program Year

Although Perkins V builds on Perkins IV, there are a number of notable changes in the new act. Several of these are particularly important for local agencies during the 2019-20 transition year, including:

* Increased focus on serving special populations and on closing gaps in performance and enrollment between these and other student groups, which is why the assessment of the current situation of subpopulations is required in the CLNA. Some new groups have been identified for targeting in Perkins V. See the Definitions section in the list of targeted [special populations](#SpecialPop) outlined
* Focus on data-driven local planning and spending of Perkins funds by requiring a [Comprehensive Local Needs Assessment](#CLNA)(CLNA). The initial CLNA must be conducted by local agencies in 2019-20 and then updated every two years.
* Perkins V replaces the “local plan” with “local application” to support the idea that grant funds allocations might be determined by formula, but they are not guaranteed. Approval of a local application is needed to access Perkins funds directly.

# New for 2019-20: Focused Perkins Application

**State Priorities:** In preparation for the full transition to Perkins V, changes have been made to better focus funded activities on those that will develop foundational elements for the comprehensive needs assessment to be completed during the 2019-20 school year. Applicants are expected to use the transition year to identify needs that will be funded in the future.

The secondary application will no longer be centered around the concept of “major efforts.” To prepare for the first full implementation year of Perkins V (starting July 1, 2020) grantees will be asked to develop transition year projects focused on

1. program evaluation, and

up to 2 of the following State Priorities

1. Developing and improving work-based learning programs and activities
2. Supporting students with disabilities (SWD) and English Language Learners (ELLs)
3. CTE program approval: first time approvals that can be completed by June 2020

**Dedicating Perkins funds only to SED-approved programs:** Perkins V provides New York with the chance to improve student outcomes by concentrating on programs that developed to meet the requirements of the Regents CTE policy on program approval (

Local grantees will be required to use Perkins funds only on [programs that have approved status](http://www.p12.nysed.gov/cte/ctepolicy/approved.html) for the program year starting July 1, 2019.

[**Administrative costs:**](#adminCost)Administrative costs are the sum of both direct and indirect costs.

**NYSED will no longer allow direct administrative costs to be charged to Perkins.**

SEC. 135. LOCAL USES OF FUNDS.   ADMINISTRATIVE COSTS.--Each eligible recipient receiving funds under this part shall not use more than 5 percent of such funds for costs associated with the administration of activities under this section.

Administration of federally funded projects: The Omni Circular

The federal Office of Management and Budget issued final guidance on Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in the Federal Register on Thursday, December 26, 2013.  2 CFR Chapter I, Chapter II, Part 200, et al. [(78 FR 78590)](https://www.federalregister.gov/articles/2013/12/26/2013-30465/uniform-administrative-requirements-cost-principles-and-audit-requirements-for-federal-awards).

This final guidance supersedes and streamlines requirements from OMB Circulars A-21, A-50, A-87, A-89, A-102, A-110, A-122, and A-133.  The final guidance consolidates the guidance previously contained in the aforementioned citations into a streamlined format that aims to improve both the clarity and accessibility.

For reference, the Uniform Guidance is broken down into its following subparts:

Preamble—[Major Policy Reforms](https://www.federalregister.gov/articles/2013/12/26/2013-30465/uniform-administrative-requirements-cost-principles-and-audit-requirements-for-federal-awards#h-10)  
Subpart A (200.0–200.99)  [Acronyms and Definitions](http://www.ecfr.gov/cgi-bin/text-idx?SID=f2a2667ffbf7735807746b945397146f&node=2:1.1.2.2.1.1&rgn=div6)  
Subpart B (200.100–200.113) [General Provisions](http://www.ecfr.gov/cgi-bin/text-idx?SID=60623b20e6213558b4aa6ab7eb76b619&node=2:1.1.2.2.1.2&rgn=div6)  
Subpart C (200.200–200.211)  [Pre Award Requirements](http://www.ecfr.gov/cgi-bin/text-idx?SID=60623b20e6213558b4aa6ab7eb76b619&node=2:1.1.2.2.1.3&rgn=div6)  
Subpart D (200.300–200.345) [Post Award Requirements](http://www.ecfr.gov/cgi-bin/text-idx?SID=60623b20e6213558b4aa6ab7eb76b619&node=2:1.1.2.2.1.4&rgn=div6)  
Subpart E (200.400–200.475)  [Cost Principles](http://www.ecfr.gov/cgi-bin/text-idx?SID=60623b20e6213558b4aa6ab7eb76b619&node=2:1.1.2.2.1.5&rgn=div6)  
Subpart F (200.500–200.521) [Audit Requirements](http://www.ecfr.gov/cgi-bin/text-idx?SID=60623b20e6213558b4aa6ab7eb76b619&node=2:1.1.2.2.1.6&rgn=div6)(includes Appendices I-XI)

Application Components

**Plan Components:**  The application is comprised of six parts

1. Introduction to Perkins V and Application Mechanics
2. **Supporting Documentation**
3. **Compliance with the Provisions of Perkins V: Fillable forms**
4. **Local Projects Descriptions and Budgets Fillable forms, and Completed** [**FS-10 form (Excel file)**](http://www.oms.nysed.gov/cafe/forms/)
5. **Certifications and Assurances**
6. Reference Documents: Perkins Definitions, and Fiscal Guidelines

Completion of all sections in Parts 2-5 and a budget form FS-10 is required to ensure compliance with all the provisions of Perkins V for the transition year.

The Perkins application requires completion of two grant budget forms:

1. **Budget detail**—contained in this application are the budget tables program reviewers use to evaluate program design only. Grant funds will not be released without Grants Office Form FS-10.
2. **FS-10 form (Excel format)**—found on the [Grants Office page](http://www.oms.nysed.gov/cafe/forms/) .

### Application Mechanics

#### NEW FOR 2019-20

**6/5/19 SLIGHT CHANGE TO WORD VERSION: REQUESTS FOR DESCRIPTIONS AND QUESTIONS REQUIRING APPLICANT RESPONSES ARE IN THE SHADED BOX. SPACE FOR RESPONSES ARE BELOW. CHANGES ARE SHOWN IN UPPERCASE.**

* Form fields will be limited in length to pre-set character maximums. Responses can be provided in bulleted lists.
* *Required electronic submission:* Fields in some of the forms will update our database. Only submissions of the Word version of this application can be accepted (we are unable to use the PDF format**). Please submit an Excel version of the FS-10.**
* *Hard copy mailed to SED:* **send Sections 2-5 only**
* Application instructions and guidance is found bracketed in gray borders

**No changes made to navigation or calculation fields**

* *Auto-calculation fields:* Some fields in budget forms will calculate totals. Fields appearing with a “0” as the default will not accept data entry.
* *Application navigation*
  + Once opened from the webpage, save the application to your computer to complete the form fields.
  + The “navigation panel” is the easiest way to move through the application sections.
  + Access the navigation panel by clicking on “View,” then clicking the “Navigation Panel” check box found in the “Show” segment of the ribbon.
  + To move from section to section, click on the section titles listed in the panel.
* To follow links, remember to use “ctrl” + click. To move from one cell to the next in the tables, use the “tab” or arrow keys. Other reminders are found in brackets [like this].

# Application Checklist

|  |  |  |
| --- | --- | --- |
| The application aligns with federal requirements found in [Section 134](#LocalApp) of the Perkins Legislation. Complete applications consist of elements found in the checklist below. **Checklist items in bold require signature of agency’s chief officer** | | |
| **Original signatures required** | ***Transmittal Letter:*** The transmittal letter must be included with the application; it is the formal request to apply for Perkins V CTE funding for the upcoming academic year. Letters must be on the agency’s letterhead and signed (in blue ink), by the chief school officer and request Perkins V funding for CTE programs for the upcoming school year.  **2.1 Perkins Cover Page**  **2.2 Consortium Participation**  **2.3 Fund Use Agreement** |  |
|  | *Local Application: Insuring Compliance with the Provisions of Perkins V* |  |
|  | *Required Project State Priority 1:* Program Evaluation |  |
|  | *At least 1 of the following State Priorities:*   1. Developing and sustaining work-based learning programs and activities 2. Supporting students with disabilities and English Language Learners 3. CTE program approval: first time approvals that can be completed and submitted by June 2020. |  |
| **Original signatures required** | **FS-10, Proposed Budget for Federal or State Grant form—for processing** payment  Excel FS-10 form found on the [Grants Office Page](http://www.oms.nysed.gov/cafe/forms/) |  |
| **Original signatures required** | **Statement of Assurances**  **Certification Regarding Lobbying, Debarment, Suspension** |  |

E-mail one electronic copy (in Word) to [EMSCCTE@nysed.gov](mailto:EMSCCTE@nysed.gov)

Mail one hard copy of **Sections 2-5 Only**

with original signatures to:

New York State Education Department

Career & Technical Education Office 315EB

89 Washington Avenue

Albany, NY 12234

## 2.1 Perkins V Cover Page Fiscal Agent Signature Required

**BEDS or Agency Code**

**Project Number**

**Program Year**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Applicant** | | | **Secondary Program of an LEA**  **Consortium (see, required forms for members)** | | | |
| **Address** | | | | | | |
| **City** | | **County** | | | | **Zip Code** |
| **Contact Person** | | | | **Telephone** | | |
| **E-Mail** | | | | **FAX** | | |
| I hereby certify that I am the applicant’s chief school/administrative officer and that the information contained in this application is, to the best of my knowledge, complete and accurate. I further certify, to the best of my knowledge, that any ensuing program and activity will be conducted in accordance with all applicable federal and state laws and regulations, application guidelines and instructions, Assurances and Certifications, and that the requested budget amounts are necessary for the implementation of this project.  It is understood by the applicant that this application constitutes an offer and, if accepted by the NYS Education Department or renegotiated to acceptance, will form a binding agreement. It is also understood by the applicant that immediate written notice will be provided to the grant program office if at any time the applicant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances. | | | | | | |
| Superintendent/District Superintendent’s signature (**in blue ink**) | | | | | | |
| Printed name: | | | | Date: | | |

## 2.2: Consortium Participation: Consortium Fiscal Agent’s Signature Required

Name of agency acting as fiscal agent:

The Superintendent of the consortium’s fiscal agent should complete this form.

List the names of the agencies that have agreed to participate in the consortium.  
*[Please fill first column, then second column, if applicable]*

|  |  |
| --- | --- |
| Participating Agencies | |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |

The fiscal agent and agencies that enter into this consortium will conduct programming in accordance with the provisions of Perkins Section 131(f)(2) which states: *FUNDS TO CONSORTIUM. —Funds allocated to a consortium formed to meet the requirements of this subsection shall be used only for purposes and programs that are mutually beneficial to all members of the consortium and can be used only for programs authorized under this title. Such funds may not be reallocated to individual members of the consortium for purposes or programs benefitting only 1 member of the consortium.*

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

Signature of consortium fiscal agent (Superintendent) Date

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

Fiscal agent’s name (print)

## 2.3 Consortium Fund Use Agreement: Chief School Officer’s Signature Required

*[Duplicate hard copies as needed to collect original signatures. Only hard-copies with signatures need to be submitted. PDFs showing signatures are not needed.]*

All agencies that have generated a Perkins formula allocation and opt to participate in a consortium must complete this form. The completed form (bearing original signature) should be given to the consortium’s fiscal agent for transmittal to the State Education Department.

School District/BOCES:

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| SED/BEDS Code: |  |  |  |  |  |  |  |  |  |  |  |  |

Sections 134 and 135 of the Perkins Act require consortia members to collect data that allow them to carry out the provisions of the local application requirements. All school districts in Perkins consortia must report CTE data. For data to be complete and reliable, districts must collect and report data on students who enroll in CTE in the local high school, as well as students who are enrolled in CTE in a BOCES.

Itis understood that this agency has elected to participate in the consortium and that the signing of this form constitutes an agreement with the designation of the fiscal agent for the use of funds under the provisions of Perkins *Section 131(f)(2*) which states*:*

*Funds allocated to a consortium formed to meet the requirements of this subsection shall be used only for purposes and programs that are mutually beneficial to all members of the consortium and can be used only for programs authorized under this title. Such funds may not be reallocated to individual members of the consortium for purposes or programs benefitting only one member of the consortium.*

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

Signature of chief school officer (in blue ink on hard copy submitted) Date

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

Chief school officer’s name (print)

Applicant:

# Section 3.0: Local Compliance with Perkins V Provisions

## 3.1 Local Compliance with Perkins V: Offering programs of study and linking programs to postsecondary CTE 134(b)(7)

|  |  |  |
| --- | --- | --- |
| Confirmation that applicant provides programs of study approved by the State 134(b)(2) 124(b)(2), and that CTE and postsecondary CTE are linked. [134(b)(7) and Section 135(b)(5)]. | | |
| [New York State Approved Programs](http://www.p12.nysed.gov/cte/ctepolicy/approved.html): 3 programs currently approved at the time of this application are required to apply directly for Perkins grant funds. | | Program site | Expiration Date |
|  | |  |  |
|  | |  |  |
|  | |  |  |
| As mentioned in the Overview, the CLNA will require examination of all approved programs. This application will begin that process with a subset of all approved programs when applicants offer more than 8 approved programs.  For the 2019-20 application, agencies with more than 8 active approved programs should select the 8 programs with the earliest expiration dates when responding to questions in Section 3 and when developing the required State Priority 1: Program Evaluation Project. | |  |  |
|  | |  |  |
|  | |  |  |
|  | |  |  |
|  | |  |  |
|  | |  |  |

|  |  |
| --- | --- |
|  | From the programs above, indicate any programs offering dual enrollment opportunities |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |

Applicant:

## Advisory council contribution to the Perkins V transition application

**Local Advisory Council for CTE:** The local advisory council is responsible for the overall program direction for the local application and must convene annually to formulate recommendations.

**Local Advisory Committee for CTE:** The Local Advisory Committee for Career andTechnical Educationis composed of business, industry, labor (if applicable), public agencies, education, and community representatives providing counsel, direction, and assistance to career and technical education program developers.

### 3.2 Local Compliance with Perkins V: stakeholder input

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| The local application shall be for the same period of time as the State Plan submitted under Section 122 [i.e. the transition year of 2019-2020]. Please check the types of involvement each of the groups below have had in the development of your local application [Section 134(a)]. | | | | | | |
| Check (**√**) more than one letter, if appropriate. | **I** for supplied information,  **C** for provided substantive consultation,  **R** for reviewed and critiqued the plan or sections of the plan or  **N** for no involvement | | | | |
| **Required Local Advisory Council Membership** | | I | C | R | N | | |
| Individuals familiar with CTE and major industries in the service area | |  |  |  |  | | |
| Individuals familiar with CTE programs at the secondary and postsecondary | |  |  |  |  | | |
| Individuals familiar with the workforce needs and requirements of the service area (For the purpose of this grant, on-going collaboration with partners consisting of local workforce development boards, other local workforce agencies and one-stop delivery systems as described in section 121(e)(2) of the Workforce Innovation and Opportunity Act (29 U.S.C 3151(e)(2) | |  |  |  |  | | |
| Individuals familiar with the special educational needs of the students with physical and mental disabilities | |  |  |  |  | | |
| Individuals representative of community interests, including individuals familiar with the special needs of the population to be served | |  |  |  |  | | |
| Individuals enrolled as CTE students at the agency served by the advisory council | |  |  |  |  | | |
| **Optional Advisory Council Membership** | | | | | | | | |
|  | |  |  |  |  | | |
|  | |  |  |  |  | | |

Applicant:

|  |
| --- |
| Advisory Council Activities |
| *NEW FOR 2019-20:*  Provide a description of the program needs that were identified by the required Advisory Council and Committee members  List types of data reports provided to the Advisory Council.  Attach a PDF of the data reports reviewed to evaluate the program performance  List recommendations made based on the analysis of the data provided:  Advisory Council meeting dates: |

Applicant:

|  |
| --- |
| Describe how parents, students, academic and CTE teachers, faculty, administrators, career guidance and academic counselors, representatives of business (including small business) and industry, labor organizations, representatives of special populations, and other interested individuals that are involved in the development, implementation, and evaluation of career and technical education programs assisted under this Act, and how such individuals and entities are effectively informed about, and assisted in understanding the requirements of this Act, including career and technical programs of study (in New York State, programs meeting the requirements of the [Regents Policy on Career and Technical Education)](http://www.p12.nysed.gov/cte/ctepolicy/ctepolicy.html)[Section 134(b)(2)(C)]. |

List below individuals on the local advisory committee for CTE who have been appointed to serve in the development, implementation, and evaluation of career and technical education programs (if additional pages are needed, contact the [CTE Office](mailto:emsccte@nysed.gov)).

|  |  |  |
| --- | --- | --- |
| **Group ID Codes** | **P** parents  **S** students  **T** teachers  **L** labor organizations  **BI** for representatives of business and industry | **CC/4C** representatives of community / 4-year colleges  **SE** representatives of special education  **SP** representatives of special populations  **O** other interested individuals |

| Name, title or position | Company, business or organization | Group ID code |
| --- | --- | --- |
| 1. |  |  |
| 2. |  |  |
| 3. |  |  |
| 4. |  |  |
| 5. |  |  |
| 6. |  |  |
| 7. |  |  |
| 8. |  |  |
| 9. |  |  |
| 10. |  |  |
| 11. |  |  |
| 12. |  |  |
| 13. |  |  |
| 14. |  |  |
| 15. |  |  |
| 16. |  |  |
| 17. |  |  |
| 18. |  |  |
| 19. |  |  |
| 20. |  |  |
| 21. |  |  |
| 22. |  |  |
| 23. |  |  |
| 24. |  |  |
| 25. |  |  |
| 26. |  |  |
| 27. |  |  |
| 28. |  |  |
| 29. |  |  |
| 30. |  |  |

The signature of the Chief School Officer (CSO) indicates that the Planning Group has been involved in development of recommendations to inform the development of the transition year proposed activities.

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

Signature of CSO Date

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

Name and title of CSO (print)

Applicant:

3.3 Local Compliance with Perkins V: Section 134 (b)(3): Collaboration

|  |
| --- |
| IN THE SPACE BELOW PROVIDE   1. a description of how the eligible recipient, in collaboration with local workforce development boards and other local workforce agencies, one-stop delivery systems described in section 121(e)(2) of the Workforce Innovation and Opportunity Act (29 U.S.C. 3151(e)(2)), and other partners, will provide—    * + - 1. career exploration and career development coursework, activities, or services;          2. career information on employment opportunities that incorporate the most up-to-date information on high-skill, high-wage, or in-demand industry sectors or occupations, as determined by the comprehensive needs assessment described in subsection (c); and          3. an organized system of career guidance and academic counseling to students before enrolling and while participating in a career and technical education program; 2. Industry specific data /information 3. Which members of your content specific (i.e., craft) advisory committees provide workforce information to assist the development and revision of CTE programs? 4. What other sources of information do you gather on industry sectors or career areas in your region? 5. How will this information be shared with your CTE students and their parents, school counselors, and district administrators? |

For this grant, your organization must maintain an on-going partnership consisting of local workforce development boards, other local workforce agencies and one-stop delivery systems as described in section 121(e)(2) of the Workforce Innovation and Opportunity Act (29 U.S.C 3151(e)(2 ).

|  |
| --- |
| Generally, the local Advisory Council required by New York State Education Law includes members from workforce agencies. *Responses to these questions should provide information about all active approved programs offered by the applicant listed in* [Section 3.1](#Section31) .   * If response provides information that is the same for all programs, use the “All programs” reply box. * If response provides information that differs by program, use the “*Program Specific” box.*   **RESPONSE FOR I A-C**  **All programs**  **Program Specific**                  **ADDED INFORMATION (IF NEEDED)**    **RESPONSE FOR II A-C**  **All programs**  **Program Specific**                  **ADDED INFORMATION (IF NEEDED)** |

3.4 Local Compliance with Perkins V: Section 134 (b)(4): Academic and Technical Skill Improvement

|  |
| --- |
| IN THE SPACE BELOW PROVIDE   1. a description of how the eligible recipient will improve the academic and technical skills of students participating in career and technical education programs by strengthening the academic and career and technical education components of such programs through the integration of coherent and rigorous content aligned with challenging academic standards and relevant career and technical education programs to ensure learning in the subjects that constitute a well-rounded education(as defined in section 8101 of the Elementary and Secondary Education Act of 1965); 2. PROGRAM RIGOR    1. What tools will you make available to instructors to improve the academic skills of students?    2. What measures are taken to sequence program content so that students must build on concepts learned in the beginning of the program to master increasingly complex material toward the end of the program?    3. How do instructors and advisory panels evaluate the rigor of CTE content aligned with challenging academic standards? |

|  |
| --- |
| *Responses should provide information about all active approved programs offered by the applicant listed in* [Section 3.1](#Section31) .   * If response provides information that is the same for all programs, use the “All programs” reply box. * If response provides information that differs by program, use the “*Program Specific” box.*   **RESPONSE FOR I**  **All programs**  **Program Specific**                  **ADDED INFORMATION (IF NEEDED)**    **RESPONSE FOR II A-C**  **All programs**  **Program Specific**                  **ADDED INFORMATION (IF NEEDED)** |

Applicant:

## 3.5 Local Compliance with Perkins V: Section134(b)(3) and (7) Linking career education activities

|  |
| --- |
| IN THE SPACE BELOW PROVIDE DESCRIPTIONS (FOR I-IV) OF HOW APPLICANT   1. Provides planned activities to improve methods used to link secondary and postsecondary career and technical education programs [Section 134(b) (3) and Section 135(b)(1)(C)]. 2. Will, in collaboration with local workforce development boards and other local workforce agencies, one-stop delivery systems described in section 121I(2) of the Workforce Innovation and Opportunity Act (29 U.S.C. 3151I(2)) and other partners will provide- 3. Career exploration and career development coursework, activities, or services; 4. Career information on employment opportunities that incorporate the most up-to-date information on high-skill, high-wage, or in-demand industry sectors or occupations, as determined by the comprehensive needs assessment described in subsection I; and 5. An organized system of career guidance and academic counseling to students before enrolling and while participating in the career and technical education program.[Section 134(b) (3) and Section 135(b) (1)(C)].    1. What kinds of career exploration experiences are available to your students?    2. Sources of labor market information? 6. provide students participating in career and technical education programs with the opportunity to gain postsecondary credit while still attending high school, such as through dual or concurrent enrollment programs or early college high school, as practicable [Section134(b)(7)] |
| *Responses to these questions should provide information about all active approved programs offered by the applicant listed in* [Section 3.1](#Section31) .   * If response provides information that is the same for all programs, use the “All programs” reply box. * If response provides information that differs by program, use the “*Program Specific” box.*   **RESPONSE FOR I**  **All programs**  **Program Specific**                  **ADDED INFORMATION (IF NEEDED)**    **RESPONSE FOR II A-C**  **All programs**  **Program Specific**                  **ADDED INFORMATION (IF NEEDED)**    **RESPONSE FOR III**  **All programs**  **Program Specific**                  **ADDED INFORMATION (IF NEEDED)**     1. How many articulation agreements are in effect for your approved programs?   List those that offer college credit to students through dual or concurrent enrollment?  **Program Specific** | | |
|  | | |

Applicant:

## 3.6 Local Compliance with Perkins V: Section134(b)(9) Equity Provisions

|  |
| --- |
| IN THE SPACE BELOW PROVIDE DESCRIPTIONS (I-IV) OF HOW APPLICANT   1. Will address disparities or gaps in performance as described in section 113(b)(3)(C)(ii)(II) [Section 134 (b) (9)] 2. WHAT SYSTEMS AND SUPPORTS ARE IN PLACE TO IDENTIFY AND ADDRESS PERFORMANCE GAPS OF ONE OR MORE SPECIAL POPULATION?[moved from III) 3. Will ensure that members of special populations will not be discriminated against on the basis of their status as members of special populations [134(b)(5)(D)] 4. BARRIER REMOVAL    1. HOW DOES THE APPLICANT Currently identify and address any barriers that may lower special population access to, or success in, your CTE program?    2. What training do you provide your staff to address special populations and their education?    3. Provides adaptations and accommodations made in your CTE programs that enable special population students to successfully meet the requirements for a high-skill, high-wage, in-demand job? (give specific examples by program) |

|  |
| --- |
| *Responses should provide information about all active approved programs offered by the applicant listed in* [Section 3.1](#Section31) .   * If response provides information that is the same for all programs, use the “All programs” reply box. * If response provides information that differs by program, use the “*Program Specific” box.*   **RESPONSE FOR I**  **All Programs**  **Program Specific**                  **RESPONSE FOR II**  **All programs**  **Program Specific**                  **ADDED INFORMATION (IF NEEDED)**    **RESPONSE FOR III**  **All programs**  **Program Specific**                  **ADDED INFORMATION (IF NEEDED)** |

## 3.7 Local Compliance with Perkins V: Section134(b)(5) Special Populations

|  |
| --- |
| IN THE SPACE BELOW PROVIDE DESCRIPTIONS (I-II) OF HOW APPLICANT WILL   1. provide activities to prepare special populations for high-skill, high-wage, or in-demand industry sectors or occupations that will lead to self-sufficiency; 2. prepare CTE participants for non-traditional fields;    1. What kinds of data is provided to prospective non-traditional students (including job market analysis and the projected pay rate? 3. incorporate differentiated instruction within CTE programs that prepare the members of special populations for success in careers? 4. provide equal access for special populations to career and technical education courses, programs, and programs of study; 5. How is program effectiveness in the above areas evaluated?    1. what data is used in updating program content    2. What resources are dedicated to improving the transition process of special population students to postsecondary education and employment? 6. *OPTIONAL: what additional state-generated data reports would be useful in evaluating how well special populations are being served?*   Section 134 (b) (5) |

|  |
| --- |
| *Responses should provide information about all active approved programs offered by the applicant listed in* [Section 3.1](#Section31) .   * If response provides information that is the same for all programs, use the “All programs” reply box. * If response provides information that differs by program, use the “*Program Specific” box.*   **RESPONSES FOR I -III**  **All programs**  **Program Specific**                  **ADDED INFORMATION (IF NEEDED)**    **RESPONSES TO IV-V**  **All programs**  **Program Specific**                  **ADDED INFORMATION (IF NEEDED)**    **OPTIONAL RESPONSE TO VI**  **All programs**  **Program Specific**                  **ADDED INFORMATION (IF NEEDED)** |

## 3.8 Local Compliance with Perkins V: Section134(b)(6) Special Populations

|  |
| --- |
| IN THE SPACE BELOW PROVIDE DESCRIPTIONS (I-II) OF   1. the work-based learning opportunities that the eligible recipient will provide to students participating in career and technical education programs    1. What percentage of students participate in at least 54 hours of work-based learning?    2. How do programs ensure that students are exposed to many aspects of an industry and not a single job title within a career field? 2. how the recipient will work with representatives from employers to develop or expand work-based learning opportunities for career and technical education students, as applicable;    1. What opportunities exist to use simulations (e.g., project to solve real business problem led by area employer) to provide work-based learning?    2. How could the local Chamber of Commerce, Rotary, or other community organization participate in identifying potential business partners? |

|  |
| --- |
| *Responses should provide information about all active approved programs offered by the applicant listed in* [Section 3.1](#Section31) .   * If response provides information that is the same for all programs, use the “All programs” reply box. * If response provides information that differs by program, use the “*Program Specific” box.*   **RESPONSE FOR I A-B**  **All programs**  **Program Specific**                  **RESPONSES FOR II A-B**  **All programs**  **Program Specific** |

## 3.9 Local Compliance with Perkins V: Section134(b)(8) CTE teacher professional development

|  |  |
| --- | --- |
| IN THE SPACE BELOW PROVIDE DESCRIPTIONS (I-II) OF   1. how the eligible recipient will coordinate with the eligible agency and institutions of higher education to support the recruitment, preparation, retention, and training, including professional development, of teachers, faculty, administrators, and specialized instructional support personnel and paraprofessionals who meet applicable State certification and licensure requirements (including any requirements met through alternative routes to certification), including individuals from groups underrepresented in the teaching profession. 2. What opportunities might you use to communicate [Transitional A Certification](http://eservices.nysed.gov/teach/certhelp/CertRequirementHelp.do) options to industry professionals considering a teaching career? 3. Which strategies do you currently employ to support new teachers, and which would you consider funding to benefit CTE teachers in your region? (e.g., new teacher summer boot camp; teacher coaching programs) 4. Provide examples of how you work with SED’s Office of Teaching Initiatives or Business and industry groups to recruit and mentor groups that are underrepresented in the teaching profession. | |
| *Responses to these questions should provide information about all active approved programs offered by the applicant listed in* [Section 3.1](#Section31) .   * If response provides information that is the same for all programs, use the “All programs” reply box. * If response provides information that differs by program, use the “*Program Specific” box.*   **RESPONSE FOR I A-C**  **All programs**  **Program Specific**                  **ADDITIONAL INFORMATION** | |

# 4.0 New for 2019-20: Two Projects Required to Address State Priorities

## Overview of Local Projects and Perkins V Required Use of Funds

Applicants will develop at least 2 projects related to State Priorities:

1. State Priority 1: one project must be developed to begin evaluating approved programs offered by the applicant
2. State Priorities 2-4: At least one other project must be funded to address another State Priority.

**Funding for Approved Programs Only:** Activities that improve or evaluate current SED-approved programs can be funded. Funds cannot be applied to programs that are not SED-approved

SED has identified three local State Priorities, at least one of which must be the focus of a funded project for the 2019-20 year. As in Priority 1, these projects will support only SED-approved programs.

State Priorities 2-4

1. Developing and improving work-based learning programs and activities
2. Supporting students with disabilities (SWD) and English Language Learners (ELLs)
3. CTE program approval: first time approvals that can be completed by June 2020 (applicants must have 3 active SED-approved programs to apply, this project will complete the development of a fourth program to be submitted for approval).

Grantees must fund projects addressing State Priorities 2-4 as follows:

* grantees with allocations under $100,000 can fund one additional State Priority
* grantees with allocations over $100,000 can fund up to two additional State Priorities

### Local Compliance with Perkins V Required Use of Funds

Projects developed to improve or evaluate a State Priority area, also need to document that the planned activities address the six required uses of funds specified in Perkins V. The six required uses of funds are:

1. Offering students career exploration and career development activities
2. Providing instructors professional development
3. Building the skills students need to pursue careers in high skill, high wage or in-demand industry sectors
4. Supporting integration of academic skills into CTE programs and programs of study
5. Planning and carrying out elements that support the implementation of CTE programs and programs of study that result in increasing student achievement
6. Developing and implementing evaluations of the activities carried out with Perkins funds

It is not necessary for a single project to cover all required uses, ideally the combination of all funded projects should account for all most of the six uses. For example, one project in the program evaluation State Priority Area could involve the use of funds 5-6 above and a second funded project in work-based learning State Priority would cover the Perkins required use of funds 1-5.

# State Priority 1: Program Evaluation

##### Preparing for the [Comprehensive Local Needs Assessment](#CLNA)

The comprehensive needs assessment due in April 2020, will evaluate all approved programs, and programs with pending or lapsed approval offered by recipients.

Completion of the comprehensive local needs assessment (CLNA) is not required for the submission of the 2019-20 grant application. This year, a more limited program evaluation activity that will begin the needs assessment process is a required Local Project. All applicants must develop an evaluation project of the approved programs listed [Section 3.1](#Section31) This program evaluation project is meant to build a foundation for the CLNA.

**In order to prepare for the comprehensive local needs assessment required by Perkins V, applicants will develop a project that addresses one of the CLNA [components required in Sec. 134(2)(A-E) (SED will provide a template for the comprehensive local needs assessment (CLNA) that will be made available late fall 2019.)](#CLNA)**

## 4.1.a Required Local Project: State Priority 1, Program Evaluation

|  |
| --- |
| Applicants must develop an evaluation project that will begin work on one or more elements of the comprehensive local needs assessment (CLNA). The project will focus on the approved programs listed Section 3.1    Select **one or more** of the element(s) of the CLNA described below [from [134(c)(2)(A-E)](#CLNA)] to be framework for the evaluation project.  Examples of activities within evaluation projects could include:   * Purchase of service to add specialized reports on student management system to generate data for each program being offered (by section and instructor) * Third-party curriculum review of approved programs * Consultant for assessment and content expertise to identify areas of improvement, create action plans and improve student performance * Special stipend assignment for CTE teachers to improve student outcomes * Consultants for content area expertise, evaluation of program and assessment connection to industry standards, action plan for implementation to improve student performance   Resource from ACTE [Maximizing Perkins V’s Comprehensive Local Needs Assessment & Local](https://cte.careertech.org/sites/default/files/Local_Tool_Needs_Assessment_FINAL_3.18.2019.pdf)  [Application to Drive CTE Program Quality and Equity](https://cte.careertech.org/sites/default/files/Local_Tool_Needs_Assessment_FINAL_3.18.2019.pdf) . This article provides a link to the American Evaluation Association’s [directory.](https://www.eval.org/p/cm/ld/fid=108) |
| **Data sources to identify focus of evaluation project**  [Current report cards](http://www.p12.nysed.gov/cte/perkins4/title1.html) showing outcomes on the Perkins indicators for the 2017-18 program year should be compared with [prior year report cards](http://www.p12.nysed.gov/cte/perkins4/PastPerkinsDocs.html)  New York State Department of Labor Industry and Occupation Projections by NYS Region NYS Department of Labor Regional Long-term [Projections by Industry 2014-24](http://www.p12.nysed.gov/cte/PerkinsV/Docs/Regional-Long-Term-Industry-Projections%20.xlsx) link to Excel FileNYS Department of Labor Long-Term [Occupational Employment Projections: 2014-24[link to Excel File](http://www.p12.nysed.gov/cte/PerkinsV/Docs/NYSDOLongTermOccupProjections14-24.xlsx)](http://www.p12.nysed.gov/cte/PerkinsV/Docs/NYSDOLongTermOccupProjections14-24.xlsx)NYS DOL [technical notes and cautions about the data](https://www.labor.ny.gov/stats/lstechproj.shtm)external  link to NY DOL |
| **CLNA elements A-E descriptions**  *Responses to questions should provide information about all approved programs offered by the applicant.*  (A) **Program composition and performance:** An evaluation of student performance in approved programs for the past 3 years reported at the program (CIP and SED assigned program number: to identify specific location and section of program)  **Guiding questions to be addressed by funded project activities**   1. Local data quality:    1. How are SCED course codes used to report CTE and academic credits, are academic credits awarded appropriately?    2. Are enrollment reports disaggregated by gender and special populations?    3. How are program attrition rates tracked on the program level? are there patterns by gender and special populations?    4. Percent of completers achieving CDOS credential, industry certification (including state certifications in cosmetology, certified nurse assisting, etc.) or CTE technical endorsement?    5. Do enrollments reflect the population characteristics of the region or are certain groups under or over-represented?    6. Which programs show the greatest differences in performance among the special population groups?    7. What are the possible causes in disparities in student enrollment and performance patterns?   (B) **Benefits of approved programs for all learners:** A description of how career and technical education programs offered by the eligible recipient offer programs of sufficient size, scope, and quality to meet the needs of all students served by the eligible recipient  **Guiding questions to be addressed by funded project activities**   1. How do programs infuse “all aspects of the industry” in technical program content? 2. How do programs provide students with a range of experiences in the career area of the program? 3. How do recipients review their programs’ alignment to relevant, in-demand regional or state industry sectors including specific connections to advanced career training and educational options? 4. What are the current methods of forming articulation agreements and which partnerships could be used to identify ways to create regional agreements available to multiple approved programs?   (C) **SED program approval process**: local implementation of CTE programs and programs of study  **Guiding Questions**   * What is needed for recipients to raise the quality of each program’s implementation of every component of the [state program approval process?](file:///C:\Users\jchapma2\AppData\Local\Microsoft\Windows\Temporary%20Internet%20Files\Content.Outlook\T4HTX4Y7\2019-20SecPerkinsApp051919.docx#programApp) * How might the region consolidate advisory activities in the region to reduce the time commitment needed from partners, business and industry?   (D) **Teacher recruitment and training**  **Guiding questions**   * What are the current methods of recruitment and which are the most effective? * Which program areas attract the fewest teacher applicants? Suspected cause? * Which potential new partners could be included to improve recruitment, retention, and training of career and technical education teachers, faculty, specialized instructional support and guidance personnel?   (E) **Equity:** An assessment of access to approved CTE programs for all students  **Guiding questions**  Which programs (local, state, or national models) have success in   * Enrolling special populations at rates similar to the region as a whole? * Closing performance gaps in, the courses and programs for special populations? * Improving completion rates of special populations in programs aligned with high-skill, high-wage, or in-demand industry sectors? |

## 4.1.b Required Local Project: Description, Benchmarks, Action Steps, and Budget

|  |  |  |
| --- | --- | --- |
| **Objective: Complete Program Evaluation Project**  **Focus:[SELECT AT LEAST ONE]**  A) **Program composition and performance**  B) **Benefits of approved programs for all learners**  (C) **SED program approval process**  (D) **Teacher recruitment and training**  (E) **Equity** | **Specifics**  **Grant Timeframe:** by the end of the funding year, 6/30/20  **Grant Constraints:** Perkins funds must be spent during the program year covered by this application, 7/1/19-6/30/20 | **Evaluation Measure**  What quantifiable measures will show that the objective  was achieved? |
| The objective should provide detail on  **What** will be accomplished? | If disparity in student performance exists among the 8 programs, list the priority programs to examine in the evaluation project | The baseline for measuring an objective, and how it will be calculated will be determined next year 2020-2021 |
| **Why** it is needed (include source of data used to determine need)? | **Who** will be involved |  |

##### State Priority 1 main action steps

(maximum of five) to achieve the objectives listed above.

|  |  |  |
| --- | --- | --- |
|  | Specific action steps | Costs on the FS-10 budget form used to carry out this step |
| 1 |  |  |
| 2 |  |  |
| 3 |  |  |
| 4 |  |  |
| 5 |  |  |

### Local Compliance with Perkins V Requirements for Local Use of Funds

Which required use of Perkins funds are addressed by your evaluation project. Some or all of required uses may be met by this project. The required uses of funds can be divided between two (or more) funded projects, if all have been addressed by the combination of funded activities.

|  |  |
| --- | --- |
| **Perkins Required Use of Funds** | **Which Perkins V required use of funds are addressed by this project?** |
| 1. Offering students career exploration and career development activities |  |
| 1. Providing instructors professional development |  |
| 1. Building the skills students need to pursue careers in high skill, high wage or in-demand industry sectors |  |
| 1. Supporting integration of academic skills into CTE programs and programs of study |  |
| 1. Planning and carrying out elements that support the implementation of CTE programs and programs of study that result in increasing student achievement |  |
| 1. Developing and implementing evaluations of the activities carried out with Perkins funds |  |
|  |  |

# State Priority 1 Budget

[Budget code definitions](#sampleOfSpecificCosts) are found below. Complete worksheets to itemize employee benefits (Code 80) and to determine indirect costs, (Code 90).

|  |  |  |
| --- | --- | --- |
| Budget Category | Budget Code | Proposed Expenditure |
| Professional Salaries | 15 |  |
| Support Staff Salaries | 16 |  |
| Purchased Services | 40 |  |
| Supplies and Materials | 45 |  |
| Travel Expenses | 46 |  |
| Employee Benefits  ([see worksheet](#sp1employeeBenefitsWorksheet)) | 80 | 0 |
| Indirect Cost  ([see worksheet below](#sp1indirectCostWorksheet)) | 90 | 0 |
| BOCES Services | 49 |  |
| Minor Remodeling | 30 |  |
| Equipment | 20 |  |
| TOTAL for this State Priority  *[auto calculated]* | | 0 |

In the space below, please describe how the expenditures identified above will make the action steps of this required use of funds possible.

##### State Priority1 Employee Benefits Worksheet, Code 80

Agencies may choose to calculate the proposed employee benefits by using their agency’s fringe benefits rate or itemizing the specific benefits. The fringe benefit rate for project personnel must be the same as those used for other agency personnel. Only the employee benefits, which are attributable to the professional and support staff identified in Codes 15 and 16 may be included in this section*.*

Complete either Section I or Section II

Section I—Calculation of fringe benefits using the Agency’s fringe benefit rate.

*[ Results will populate State Priority 1 Budget form fields.]*

|  |  |  |
| --- | --- | --- |
| Agency Fringe Benefit Rate | Project Salaries | Proposed Expenditure |
| % |  | 0 |

Section II—Itemize Specific Categories of Benefits

|  |  |
| --- | --- |
| Benefit | Proposed Expenditure |
| Social Security |  |
| Retirement (NYS Teachers, NYS Employees, Other) |  |
| Health Insurance |  |
| Worker's Compensation  Unemployment Insurance |  |
| Other (Identify) |  |
| TOTAL, for State Priority 1 *[auto calculated]* | 0 |

Applicant:

##### **State Priority 1 Indirect Cost, Code 90 Worksheet**

Refer to the [Fiscal Guidelines](http://www.oms.nysed.gov/cafe/guidance/) for further instructions regarding Modified Direct Cost Base and the Approved Restricted Indirect Cost Rate.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Sum of all preceding totals (codes 15, 16, 40, 45, 46 and 80)  *[auto calculated]* | $ | 0 | |  |
| (If applicable) Portion of each subcontract exceeding $25,000 and any flow through funds | $ |  | |  |
| A. Modified Direct Cost Base *[auto calculated]* | $ | 0 | | (A) |
| B. Approved Restricted Indirect Cost Rate |  | | % | (B) |
| C. (A) x (B) = Total Indirect Cost (for Priority 1: Program Evaluation)  *[auto calculated]* | $ | 0.00 | | I |

Applicant:

# … Auto-Calculated Budget summary

[A hard copy FS-10 form](http://www.oms.nysed.gov/cafe/forms/) with original signature is also needed (to be mailed).

*[no data entry, costs are auto calculated]*

|  |  |  |
| --- | --- | --- |
| CATEGORIES | **CODE** | **PROJECT COSTS** |
| Professional Salaries | 15 | 0 |
| Support Staff Salaries | 16 | 0 |
| Purchased Services | 40 | 0 |
| Supplies and Materials | 45 | 0 |
| Travel Expenses | 46 | 0 |
| Employee Benefits | 80 | 0 |
| Indirect Cost (IC)\*  (Amount from “C” below) | 90 | 0 |
| BOCES Services | 49 | 0 |
| Minor Remodeling | 30 | 0 |
| Equipment | 20 | 0 |
| Total | | 0 |

# Local Project Options: State Priorities 2-4

In addition to the required evaluation project of State Priority 1, SED has identified three other State Priorities, at least one of which must be the focus of a funded project for the 2019-20 year. As in Priority 1, these projects will support SED-approved programs, and programs with pending (i.e., application has been submitted) or lapsed approval status

State Priorities 2-4

1. Developing and improving work-based learning programs and activities
2. Supporting students with disabilities (SWD) and English Language Learners (ELLs)
3. CTE program approval: first time approvals that can be completed by June 2020

Grantees must fund projects addressing State Priorities 2-4 as follows:

* grantees with allocations under $100,000 can fund one additional of State Priority
* grantees with allocations over $100,000 can fund up to two additional State Priorities

# Project Option: State Priority 2

## Developing and improving work-based learning programs

Local Perkins funded projects can support work-based learning (WBL) programs and activities in several ways.

Project components to consider funding include:

1. Shared regional “master trainer” to
2. provide on-site and virtual mentor training for worksite supervisors
3. work with local Chamber of Commerce, Rotary or other organization to develop shared work-based learning business partners for student placement opportunities and virtual/simulated business activities
4. develop guidance documents for host businesses
5. purchasing software, simulators, or other products allowing school-based WBL
6. Developing and supporting CTSO activities that are considered to be WBL activities and are allowable Perkins expenses active student participation in
   1. competitions,
   2. leadership training skills, or
   3. community service/volunteering,
7. Improving business and industry connections
   1. Externship opportunities for CTE teachers to spend time at industry worksites gain understanding of current industry standards and technical skills
   2. development of advisory committee toolkits, targeted surveys, and other methods to crosswalk curricular content with current industry standards
8. Support curriculum development that integrates WBL activities with classroom content.

## State Priority 2 Local Project: Description, Benchmarks, Action Steps, and Budget

|  |  |  |
| --- | --- | --- |
| **Objective: Support work-based learning** | **Specifics** | **Evaluation Measure** |
| The objective should state  **what** will be accomplished | **Timeframe:** by the end of the funding year, 6/30/20 | What quantifiable measures will show that the objective  was achieved? |
| **why** it is needed (include source of data used to determine need) | **Constraints:** Perkins funds must be spent during the program year covered by this application, 7/1/19-6/30/20 | If this is the first year for measuring this objective, then state how baseline is calculated? |
| what will change if the objective is achieved | Who will be involved? | Data source(s) |
| Additional information |  |  |

**Priority 2 main action steps (maximum of five) to achieve the objective listed above.**

|  |  |  |
| --- | --- | --- |
|  | Specific action steps | Costs on the FS-10 budget form used to carry out this step |
| 1 |  |  |
| 2 |  |  |
| 3 |  |  |
| 4 |  |  |
| 5 |  |  |

##### Priority 2 Local Compliance with Perkins V Requirements for Local Use of Funds

Which required use of Perkins funds are addressed by your evaluation project. Some or all of required uses may be met by this project.

|  |  |
| --- | --- |
| **Perkins Required Use of Funds** | **Which Perkins required use of funds are addressed by this project?** |
| 1. Offering students career exploration and career development activities |  |
| 1. Providing instructors professional development |  |
| 1. Building the skills students need to pursue careers in high skill, high wage or in-demand industry sectors |  |
| 1. Supporting integration of academic skills into CTE programs and programs of study |  |
| 1. Planning and carrying out elements that support the implementation of CTE programs and programs of study that result in increasing student achievement |  |
| 1. Developing and implementing evaluations of the activities carried out with Perkins funds |  |
|  |  |

### State Priority 2 Cost Items

[Budget code definitions](#sampleOfSpecificCosts) are found below. Complete worksheets to itemize employee benefits (Code 80) and to determine indirect costs, (Code 90*). [Results from the worksheets will populate Codes 80 and 90 on this table]*

|  |  |  |  |
| --- | --- | --- | --- |
| Budget Category | Budget Code | Proposed Expenditure |  |
| Professional Salaries | 15 |  |  |
| Support Staff Salaries | 16 |  |  |
| Purchased Services | 40 |  |  |
| Supplies and Materials | 45 |  |  |
| Travel Expenses | 46 |  |  |
| Employee Benefits  ([see worksheet](#sp2EmployeeBenefitsWorksheet)) | 80 | 0.0 | 0 |
| Indirect Cost  ([see worksheet below](#sp2indirectCostWorksheet)) | 90 | 0 |  |
| BOCES Services | 49 |  |  |
| Minor Remodeling | 30 |  |  |
| Equipment | 20 |  |  |
| TOTAL for State Priority 2  *[auto calculated]* | | 0 |  |

In the space below, please describe how the expenditures identified above will make the action steps of State Priority 2 possible

|  |
| --- |
|  |

Applicant:

### State Priority 2 Employee Benefits Worksheet, Code 80

Agencies may choose to calculate the proposed Employee Benefits by using their agency’s fringe benefits rate or itemizing the specific benefits. The fringe benefit rate for project personnel must be the same as those used for other agency personnel. Only the employee benefits, which are attributable to the professional and support staff identified in Codes 15 and 16 may be included in this section.

Complete either Section I or Section II.

Section I—Calculation of fringe benefits using the Agency’s fringe benefit rate.

*[ Results will populate State Priority 2 Cost items form fields.]*

|  |  |  |
| --- | --- | --- |
| Agency Fringe Benefit Rate | Project Salaries | Proposed Expenditure |
| % |  | 0 |
| TOTAL, for State Priority 2 *[auto calculated]* | | 0 |

Section II—Itemize Specific Categories of Benefits

|  |  |
| --- | --- |
| Benefit | Proposed Expenditure |
| Social Security |  |
| Retirement (NYS Teachers, NYS Employees, Other) |  |
| Health Insurance |  |
| Worker's Compensation  Unemployment Insurance |  |
| Other (Identify) |  |
| TOTAL, for State Priority 2 *[auto calculated]* | 0 |

[Back to State Priority 2 Cost items](#statePriorityTwoBudget)

Applicant:

### State Priority 2 Indirect Cost, Code 90 Worksheet

Refer to the [Fiscal Guidelines](http://www.oms.nysed.gov/cafe/guidance/) for further instructions regarding Modified Direct Cost Base and the Approved Restricted Indirect Cost Rate.

*[ Results will populate State Priority Cost items form fields.]*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Sum of all preceding totals (codes 15, 16, 40, 45, 46 and 80) *[auto calculated]* | $ | 0 | |  |
| (If applicable) Portion of each subcontract exceeding $25,000 and any flow through funds | $ |  | |  |
| A. Modified Direct Cost Base *[auto calculated]* | $ | 0 | | (A) |
| B. Approved Restricted Indirect Cost Rate |  | | % | (B) |
| C. (A) x (B) = Total Indirect Cost (for this State Priority)  *[auto calculated]* | $ | 0.00 | | (C) |

*[use mouse click, not tab to return to* [*State Priority 2*](#sp2budget) *cost item]*

Applicant:

# Project Option: State Priority 3

## Supporting students with disabilities (SWD) and English Language Learners (ELLs)

The required evaluation project (State Priority 1) may provide information on enrollment and performance patterns of individual programs within a school or BOCES that can inform the development of projects to support SWD or ELL student success in CTE.

Funded projects may include

1. Barrier identification and removal
   1. Professional development for instructors and counselors
   2. Purchase of bilingual resources related to technical content
   3. Curriculum development; integration of technical vocabulary and concepts into English language lessons
   4. Specialized consulting services to evaluate ecosystem of IEP supports for CTE students
   5. Sharing regional talent: modification of curriculum delivery strategies, equipment and classroom modification built by special education, bilingual and CTE teacher teams.
2. Support for CTE instructors
   1. new teacher academies, teacher coaching
   2. professional development on differentiated instruction
   3. collaboration with sending school districts to continue student IEP supports across student placements
   4. planning and participation time for CTE teachers to attend CSE annual meetings

## State Priority 3 Local Project: Description, Benchmarks, Action Steps, and Cost items

|  |  |  |
| --- | --- | --- |
| **Objective focus: SWDs or ELLs** | **Specifics** | **Evaluation Measure** |
| The objective should state  **What** will be accomplished? | **Timeframe:** by the end of the funding year, 6/30/20 | What quantifiable measures will show that the objective  was achieved? |
| **Why** it is needed (include source of data used to determine need)? | **Constraints:** Perkins funds must be spent during the program year covered by this application, 7/1/19-6/30/20 | The baseline for measuring this objective and how it is calculated will be determined next year 2020-2021 |
| What will change if the objective is achieved | Who will be involved? | Data source(s) |
| Additional information |  |  |

**Priority 3 main action steps (maximum of five) to achieve the objective listed above.**

|  |  |  |
| --- | --- | --- |
|  | Specific action steps | Costs on the FS-10 budget form used to carry out this step |
| 1 |  |  |
| 2 |  |  |
| 3 |  |  |
| 4 |  |  |
| 5 |  |  |

##### Priority 3 Local Compliance with Perkins V Requirements for Local Use of Funds

Which required use of Perkins funds are addressed by your evaluation project. Some or all the required uses may be met by this project.

|  |  |
| --- | --- |
| **Perkins Required Use of Funds** | **Which Perkins required use of funds are addressed by this project?** |
| 1. Offering students career exploration and career development activities |  |
| 1. Providing instructors professional development |  |
| 1. Building the skills students need to pursue careers in high skill, high wage or in-demand industry sectors |  |
| 1. Supporting integration of academic skills into CTE programs and programs of study |  |
| 1. Planning and carrying out elements that support the implementation of CTE programs and programs of study that result in increasing student achievement |  |
| 1. Developing and implementing evaluations of the activities carried out with Perkins funds |  |
|  |  |

### State Priority 3 Cost items

[Budget code definitions](#sampleOfSpecificCosts) are found below. Complete worksheets to itemize employee benefits (Code 80) and to determine indirect costs, (Code 90).

*[Results from the worksheets will populate Codes 80 and 90 on this table]*

|  |  |  |
| --- | --- | --- |
| Budget Category | Budget Code | Proposed Expenditure |
| Professional Salaries | 15 |  |
| Support Staff Salaries | 16 |  |
| Purchased Services | 40 |  |
| Supplies and Materials | 45 |  |
| Travel Expenses | 46 |  |
| Employee Benefits  ([see worksheet](#sp3EmployeeBenefitsWorksheet)) | 80 | 0.0 |
| Indirect Cost  ([see worksheet below](#sp3indirectCostWorksheet)) | 90 | 0 |
| BOCES Services | 49 |  |
| Minor Remodeling | 30 |  |
| Equipment | 20 |  |
| TOTAL for this State Priority  *[auto calculated]* | | 0 |

In the space below, please describe how the expenditures identified above will make the action steps of State Priority 3 possible.

|  |
| --- |
| Action Step One $FS10 costs  Action Step Two $FS10 costs  Action Step Three $FS10 costs  Action Step Four $FS10 costs  Action Step Five $FS10 costs |

### State Priority 3 Employee Benefits Worksheet, Code 80

Agencies may choose to calculate the proposed Employee Benefits by using their agency’s fringe benefits rate or itemizing the specific benefits. The fringe benefit rate for project personnel must be the same as those used for other agency personnel. Only the employee benefits, which are attributable to the professional and support staff identified in Codes 15 and 16 may be included in this section.

Complete either Section I or Section II.

Section I—Calculation of fringe benefits using the Agency’s fringe benefit rate.

*[ Results will populate State Priority 3 Cost items form fields.]*

|  |  |  |
| --- | --- | --- |
| Agency Fringe Benefit Rate | Project Salaries | Proposed Expenditure |
| % |  | 0 |
| TOTAL, for this State Priority 3 *[auto calculated]* | | 0 |

Section II—Itemize Specific Categories of Benefits

|  |  |
| --- | --- |
| Benefit | Proposed Expenditure |
| Social Security |  |
| Retirement (NYS Teachers, NYS Employees, Other) |  |
| Health Insurance |  |
| Worker's Compensation  Unemployment Insurance |  |
| Other (Identify) |  |
| TOTAL, for this State Priority *[auto calculated]* | 0 |

Applicant:

### State Priority 3 Indirect Cost, Code 90 Worksheet

Refer to the [Fiscal Guidelines](http://www.oms.nysed.gov/cafe/guidance/) for further instructions regarding Modified Direct Cost Base and the Approved Restricted Indirect Cost Rate.

*[ Results will populate form fields.]*

|  |  |  |  |
| --- | --- | --- | --- |
| Sum of all preceding totals (codes 15, 16, 40, 45, 46 and 80)  *[auto calculated]* | $ | 0 | |
| (If applicable) Portion of each subcontract exceeding $25,000 and any flow through funds | $ |  | |
| A. Modified Direct Cost Base *[auto calculated]* | $ | 0 | |
| B. Approved Restricted Indirect Cost Rate |  | | % |
| C. (A) x (B) = Total Indirect Cost (for this State Goal)  *[auto calculated]* | $ | 0.0 | |

[Back to State Priority 3 Cost Items](#sp3budgettable)

### Administrative Costs including Indirect Costs

SEC. 135. LOCAL USES OF FUNDS.   ADMINISTRATIVE COSTS. --Each eligible recipient receiving funds under this part shall not use more than 5 percent of such funds for costs associated with the administration of activities under this section.

[**Administrative costs:**](#adminCost)Administrative costs are the sum of both direct and indirect costs.

**Direct administrative costs:** **NYSED will no longer allow direct administrative costs to be charged to Perkins.** Examples of direct administrative costs include ositions such as project coordinator, accountant, clerical staff, or other positions not directly serving students.

Direct costs, including staff salaries and other cost categories related to project content are not considered as administrative costs. For example, the cost of modifying curricula to serve students in a project is not considered an administrative cost.

**Indirect administrative costs**: Code 90 on the FS-10, indirect costs are allowable administrative costs. Indirect costs are subject to the following definitions and restrictions:

1. Agencies having an approved indirect cost rate greater than five percent are limited to five percent for this program.

# Project Option: State Priority 4 (select A or B)

## A. First-Time New York State CTE Program Approval

## B. CTE Teacher Training

**Program Standards**

Perkins funds may be applied to programs in the process of completing an initial application for SED CTE program approval. Funds can be applied to complete required components of the process (see the [**New York State Implementation Guide for CTE Program Approval**](http://www.p12.nysed.gov/cte/ctepolicy/guide.html).

Frequently, new program development involves teacher training. For this project teacher training can be incorporated into the program approval activities (Option A), but it can also be funded as a stand-alone project for teachers delivering approved programs Option B).

Many of the project components suggested for State Priorities 2 and 3 are appropriate for Priority 4., Other components that might be included in a local project

1. purchase of equipment and professional development for CTE instructors in delivery of new content involved
2. site licenses for third-party educator resources
3. industry certification or credentialing technical assessments
4. third-party teacher induction or other instructional coaching programs

## State Priority 4: Local Project: Description, Benchmarks, Action Steps, and Cost items

|  |  |  |
| --- | --- | --- |
| **Objective focus:** | **Specifics** | **Evaluation Measure** |
| The objective should state  What will be accomplished | **Timeframe:** by the end of the funding year, 6/30/20 | What quantifiable measures will show that the objective  was achieved? |
| Why it is needed (include source of data used to determine need) | **Constraints:** Perkins funds must be spent during the program year covered by this application, 7/1/19-6/30/20 | If this is the first year for measuring this objective, then state how baseline is calculated? |
| What will change if the objective is achieved | Who will be involved? | Data source(s) |
| Additional information |  |  |

### Local Compliance with Perkins V Requirements for Local Use of Funds

Which required use of Perkins funds are addressed by your evaluation project. Some, or all, of required uses may be met by this project.

|  |  |
| --- | --- |
| **Perkins Required Use of Funds** | **Which Perkins required use of funds are addressed by this project?** |
| 1. Offering students career exploration and career development activities |  |
| 1. Providing instructors professional development |  |
| 1. Building the skills students need to pursue careers in high skill, high wage or in-demand industry sectors |  |
| 1. Supporting integration of academic skills into CTE programs and programs of study |  |
| 1. Planning and carrying out elements that support the implementation of CTE programs and programs of study that result in increasing student achievement |  |
| 1. Developing and implementing evaluations of the activities carried out with Perkins funds |  |
|  |  |

Applicant:

**State Priority 4 Cost items**

[Budget code definitions](#sampleOfSpecificCosts) are found below. Complete worksheets to itemize employee benefits (Code 80) and to determine indirect costs, (Code 90).

*[Results from the worksheets will populate Codes 80 and 90 on this table]*

|  |  |  |
| --- | --- | --- |
| Budget Category | Budget Code | Proposed Expenditure |
| Professional Salaries | 15 |  |
| Support Staff Salaries | 16 |  |
| Purchased Services | 40 |  |
| Supplies and Materials | 45 |  |
| Travel Expenses | 46 |  |
| Employee Benefits  ([see worksheet](#sp4employeebenworksheet)) | 80 | 0 |
| Indirect Cost  ([see worksheet below](#sp4indirectCostWorksheet)) | 90 | 0 |
| BOCES Services | 49 |  |
| Minor Remodeling | 30 |  |
| Equipment | 20 |  |
| TOTAL for this State Priority  *[auto calculated]* | | 0 |

In the space below, please describe how the expenditures identified above will make the action steps of State Priority 4 possible.

|  |
| --- |
|  |

### State Priority 4 Employee Benefits Worksheet, Code 80

Agencies may choose to calculate the proposed employee benefits by using their agency’s fringe benefits rate or itemizing the specific benefits. The fringe benefit rate for project personnel must be the same as those used for other agency personnel. Only the employee benefits, which are attributable to the professional and support staff identified in Codes 15 and 16 may be included in this section*.*

Complete either Section I or Section II

Section I—Calculation of fringe benefits using the agency’s fringe benefit rate.

*[Results will populate Required Use of Funds # 1 Cost items form fields.]*

|  |  |  |
| --- | --- | --- |
| Agency Fringe Benefit Rate | Project Salaries | Proposed Expenditure |
| % |  | 0 |
| TOTAL, State Priority 4 *[auto calculated]* | | 0 |

Section II—Itemize specific categories of benefits

|  |  |
| --- | --- |
| Benefit | Proposed Expenditure |
| Social Security |  |
| Retirement (NYS Teachers, NYS Employees, Other) |  |
| Health Insurance |  |
| Worker’s Compensation  Unemployment Insurance |  |
| Other (Identify) |  |
| TOTAL, for State Priority4 *[auto calculated]* | 0 |

*[use mouse click, not tab to return to* [*State Priority 4*](#sp4budgettable) *cost items]*

Applicant:

### State Priority 4 Indirect Cost, Code 90 Worksheet

Refer to the [Fiscal Guidelines](http://www.oms.nysed.gov/cafe/guidance/) for further instructions regarding Modified Direct Cost Base and the Approved Restricted Indirect Cost Rate.

*[ Results will populate form fields.]*

|  |  |  |  |
| --- | --- | --- | --- |
| Sum of all preceding totals (codes 15, 16, 40, 45, 46 and 80)  *[auto calculated]* | $ | 0 | |
| (If applicable) Portion of each subcontract exceeding $25,000 and any flow through funds | $ |  | |
| A. Modified Direct Cost Base *[auto calculated]* | $ | 0 | |
| B. Approved Restricted Indirect Cost Rate |  | | % |
| C. (A) x (B) = Total Indirect Cost (for this State Goal)  *[auto calculated]* | $ | 0.00 | |

Applicant:

# 5.0 Required Budget, Assurances, and Certifications

*The cost items in this application are used by grant reviewers to evaluate the proposal. If the grant application is approved, the state budget form, FS-10, is sent to SED’s Grants Finance Office for payment processing. Missing information or detail in the FS-10 delays the release of funds.*

## 5.1 FS-10 Proposed Budget for Federal or State Grant Form Submission

**HARD COPY FORM AND SIGNATURE REQUIRED**: Complete FS-10 Proposed Budget for Federal or State Project, Excel versionavailable at the [Grants Finance forms page](http://www.oms.nysed.gov/cafe/forms/). When completing the FS-10 budget forms, use the most recent form on the Grants Finance webpage, do not use a local copy stored on your computer.

##### FS-10 Reminders

* *All budget items requested require specific detail to identify the item, its purpose, quantity, unit cost, etc. An itemized list in an additional Word or Excel file is allowed if number of items exceed space on the FS-10****.***
* *Items required for normal operations of a school, or to comply with state or federal law cannot be purchased with Perkins funds—this would constitute supplanting. Examples include*
  + *consumable supplies needed for normal operations of the technical program*
  + *costs (e.g., field trip transportation) that are generally covered by local funds, cannot be charged to Perkins*
  + *cost items that are not necessary to complete the project proposed in this application*

*For more information, see the federal Uniform Guidance* Subpart E (200.400–200.475),  [Cost Principles](http://www.ecfr.gov/cgi-bin/text-idx?SID=60623b20e6213558b4aa6ab7eb76b619&node=2:1.1.2.2.1.5&rgn=div6)

### 

##### 5.2 New for 2019-20: Administrative Cost Policy

Each eligible agency or institution receiving funds shall use no more than five-percent of such funds for administrative costs. Administrative costs are subject to the following definitions and restrictions:

1. Indirect cost is considered part of administrative cost and is included in the five-percent maximum. Agencies having an approved indirect cost rate greater than five percent are limited to five percent for this program including any direct charges that are determined to be administrative costs.
2. All staff positions and activities not directly related to a specific State Priority project will be considered as administrative costs.
3. Certain direct costs, including staff salaries and activities related to the successful operation of a project, are not considered as administrative costs. For example, the cost of modifying curricula to serve students in a project is not considered an administrative cost.

**Allocations:** 2019-20 allocations are posted on [Perkins home page](http://www.p12.nysed.gov/cte/perkins4/title1.html).

Applicant:

## 5.3 Statement of Assurances for Secondary Perkins Basic Grant Recipients 2019-20: Chief School Officer’s Signature Required

All applicants assure that: Perkins funds will supplement and not supplant local expenditures and will not duplicate objects of expenditure from other sources. This assurance does not apply to funds made available under Title I used to pay for the costs of career education services required in an Individualized Education Plan developed under the Individuals with Disabilities Education Act.

**Perkins fund use:** All costs must be: necessary, reasonable, and allocable. Grantees will be monitored for allowable fund use and be required to take corrective action if grant funds have not been applied appropriately. Failure to take corrective actions could result in the suspension of Perkins funding.

None of the funds expended under Perkins are being or will be used to acquire equipment (including computer software) in any instance in which such acquisition results in a direct financial benefit to any organization representing the interests of the purchasing entity or its employees or any affiliate of such an organization.

Methods of administration and fiscal control are in place for proper and efficient administration and accounting of projects funded under Perkins. **These methods must comply with** [2 CFR 200, Uniform Guidance](http://www.ecfr.gov/cgi-bin/text-idx?SID=ed90f54836feb6a994f657188eb05e33&node=2:1.1.2.2.1&rgn=div5).

The special populations under Perkins have the same opportunity to enroll in career education programs as other populations served; are provided with programs designed to enable them to meet the State levels of performance; and are not discriminated against on the basis of their status as members of the special populations.

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

Agency complies 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, and (6) the U.S. Office for Civil Rights’ Guidelines for Eliminating Discrimination and Denial of Services in Vocational Education on the Basis of Race, Color, National Origin, Sex and Handicap.

Perkins funds will only be used to provide career programs that are of a size, scope, and quality as to bring about improvement in the quality of education offered by the recipient.

Provisions are made for members of special populations in private secondary schools to participate in career education programs assisted under Section 131 of Perkins. The career education being received by students with disabilities is consistent with their Individual Education Plan.

Provisions have been made in accordance with New York State Education Law (Section 4601) for the appointment of and consultation with a Local Advisory Council. The agency maintains a local advisory council that meets all appropriate Commissioner’s Regulations or uses a BOCES advisory council.

A written policy is in effect which provides for the suspension from school for a period of not less than one year of any student who is determined to have brought a weapon to school and the referral of such student to a criminal or juvenile justice system. Such a policy can allow the Chief Administrative Officer of the agency to modify such expulsion requirement for a student on a case-by-case basis. Students aged 16 and under must receive alternative education while suspended from regular school. The term “weapon” means a firearm as such term is defined in Section 921 of title 18, United States Code

Chief School Officer’s Certification I hereby certify that the agency is in compliance with the assurances listed above

|  |  |
| --- | --- |
| Signature | Date |
| Name and Title |  |

## 5.4 Certifications Regarding Lobbying; Debarment, Suspension, Other Responsibilities & Drug-Free Workplace Requirements

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

1. Lobbying: As required by Section 135 2, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over $100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

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

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

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

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

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

A. The applicant certifies that it and its principals:

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

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

I Are not presently indicted or otherwise criminally or civilly charged by a Government entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph, (1) (b) of this certification; and

### 

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

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

3. Drug-Free Workplace: Grantees other than Individuals

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

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

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

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

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

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

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

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

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

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

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

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

I Notifying the agency, in writing, within 10 calendar days after having received notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants and Contracts Service, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 312A, GSA Regional Office Building No. 3), Washington DC 20202-4571. Notice shall include the identification number(s) of each affected grant. (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted –

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

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

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

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant. Place of performance (street address, city, county, state, zip code)

**Certifications Regarding Lobbying; Debarment, Suspension and other Responsibilities Including Drug-free Workplace Requirements, continued**

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

Drug-Free Workplace: Grantees Who Are Individuals

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

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants and Contracts Service, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3124, GSA Regional Office Building No. 3), Washington DC 20202-4571. Notice shall include the identification number(s) of each affected grant.

## 

## 5.5 Certifications: Chief School Officer’s Signature Required

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

|  |
| --- |
| Name of applicant and project number or project name |
| Printed name and title of authorized representative |

Signature Date

ED80-0013, 6/90 (Replaces ED 800-0008, 12/89; ED Form GCS-008, (Rev. 2/88); ED 80-0010, 5/90; and ED 80-0011, 5/90, which are obsolete

# 6.0 Appendix

## 6.1 Final Year of Perkins IV Data Reporting

**Data Collection and Reporting**: This is the final year to report student performance on the Perkins IV indicators. All school districts in the Perkins consortia must report CTE data. In order for data to be complete and reliable, districts must collect and report data on students who enroll in CTE in the local high school, as well as students who are enrolled in CTE in a BOCES. (See the [CTE data FAQ page](http://www.p12.nysed.gov/cte/Data/FAQpart1-2.html))

**Reporting CTE data through SIRS:** New York’s Student Identification Repository System (SIRS) is used to report all CTE data except the [post-high school placement measure](http://www.p12.nysed.gov/cte/Data/PostHSplacement.html)  . All performance indicators track a universe of “concentrators.” The [program intensity field](http://www.p12.nysed.gov/cte/Data/FAQpart1-2.html#Q32) captures concentrator status, so the accuracy of the program intensity field impacts the accuracy of the data overall. All performance data must be disaggregated by demographic and special population definitions[[1]](#footnote-2).

The most recent grantee performance data appears in report cards that track the Perkins indicators (see the [Perkins grant page](http://www.emsc.nysed.gov/cte/perkins4/title1.html) ). For the 2019-20 program year application, applicants should use the report card results in the Program Evaluation project development. A comparison with performance outcomes can be made by referencing [prior year report cards](http://www.p12.nysed.gov/cte/perkins4/PastPerkinsDocs.html).

**Looking ahead to Perkins V Indicators**

Perkins V requires that states collect data on what it calls “core indicators of performance.” (i.e., the [Perkins performance indicators](#PerfInd)). The required core indicators are:

1. student attainment of challenging academic and technical skills;
2. secondary school completions and diploma/credential attainment;
3. placement in advanced training, postsecondary education, apprenticeships or the military; and
4. student participation and completion of programs that are non-traditional for their gender.

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

If any special population fails to meet 90 percent of the targets, Plans for Program Improvement must be developed to focus on improving the performance of this subgroup

## 6.2 Definitions

|  |  |
| --- | --- |
| 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. |
| Local application | Sec. 134   * 1. CONTENTS.--The eligible agency shall determine the requirements for local applications, except that each local application shall contain—      1. a description of the results of the comprehensive needs assessment conducted under subsection(c);      2. information on the career and technical education course offerings and activities that the eligible recipient will provide with funds under this part, which shall include not less than 1 program of study approved by a State under section 124(b)(2), including--         + 1. how the results of the comprehensive needs assessment described in subsection(c) informed the selection of the specific career and technical education programs and activities selected to be funded;           2. a description of any new programs of study the eligible recipient will develop and submit to the State for approval; and           3. how students, including students who are members of special populations, will learn about their school's career and technical education course offerings and whether each course is part of a career and technical education program of study;      3. a description of how the eligible recipient, in collaboration with local workforce development boards and other local workforce agencies, one-stop delivery systems described in section 121(e)(2) of the Workforce Innovation and Opportunity Act (29 U.S.C. 3151(e)(2)), and other partners, will provide—         + 1. career exploration and career development coursework, activities, or services;           2. career information on employment opportunities that incorporate the most upto-date information on high-skill, high-wage, or in-demand industry sectors or occupations, as determined by the comprehensive needs assessment described in subsection (c); and           3. an organized system of career guidance and academic counseling to students before enrolling and while participating in a career and technical education program;      4. a description of how the eligible recipient will improve the academic and technical skills of students participating in career and technical education programs by strengthening the academic and career and technical education components of such programs through the integration of coherent and rigorous content aligned with challenging academic standards and relevant career and technical education programs to ensure learning in the subjects that constitute a well-rounded education(as defined in section 8101 of the Elementary and Secondary Education Act of 1965);      5. a description of how the eligible recipient will—         + 1. provide activities to prepare special populations for high-skill, high-wage, or in-demand industry sectors or occupations that will lead to self-sufficiency;           2. prepare CTE participants for non-traditional fields;           3. provide equal access for special populations to career and technical education courses, programs, and programs of study; and           4. ensure that members of special populations will not be discriminated against on the basis of their status as members of special populations;      6. a description of the work-based learning opportunities that the eligible recipient will provide to students participating in career and technical education programs and how the recipient will work with representatives from employers to develop or expand work-based learning opportunities for career and technical education students, as applicable;      7. a description of how the eligible recipient will provide students participating in career and technical education programs with the opportunity to gain postsecondary credit while still attending high school, such as through dual or concurrent enrollment programs or early college high school, as practicable;      8. a description of how the eligible recipient will coordinate with the eligible agency and institutions of higher education to support the recruitment, preparation, retention, and training, including professional development, of teachers, faculty, administrators, and specialized instructional support personnel and paraprofessionals who meet applicable State certification and licensure requirements (including any requirements met through alternative routes to   certification), including individuals from groups underrepresented in the teaching profession; and   * + 1. a description of how the eligible recipient will address disparities or gaps in performance as described in section 113(b)(3)(C)(ii)(II) in each of the plan years, and if no meaningful progress has been achieved prior to the third program year, a description of the additional actions such recipient will take to eliminate those disparities or gaps. |
| Comprehensive needs assessment  [Back to Projects Section](#_Preparing_for_the) | 134(c)(2)(A-E)COMPREHENSIVE NEEDS ASSESSMENT.—   * 1. IN GENERAL.--To be eligible to receive financial assistance under this part, an eligible recipient shall--      1. conduct a comprehensive local needs assessment related to career and technical education and include the results of the needs assessment in the local application submitted under subsection(a); and      2. not less than once every 2 years, update such comprehensive local needs assessment.   2. REQUIREMENTS.--The comprehensive local needs assessment described in paragraph (1) shall include each of the following:   3. An evaluation of the performance of the students served by the eligible recipient with respect to State determined and local levels of performance established pursuant to section 113, including an evaluation of performance for special populations and each subgroup described in section 1111(h)(1)(C)(ii) of the Elementary and Secondary Education Act of 1965.   4. A description of how career and technical education programs offered by the eligible recipient are—   (i) sufficient in size, scope, and quality to meet the needs of all students served by the eligible recipient; and  (ii)(I) aligned to State, regional, Tribal, or local in-demand industry sectors or occupations identified by the State workforce development board described in section 101 of the Workforce Innovation and Opportunity Act (29 U.S.C. 3111)(referred to in this section as the `State board') or local workforce development board, including career pathways, where appropriate; or  (II) designed to meet local education or economic needs not identified by State boards or local workforce development boards.   * 1. An evaluation of progress toward the implementation of career and technical education programs and programs of study.   2. A description of how the eligible recipient will improve recruitment, retention, and training of career and technical education teachers, faculty, specialized instructional support personnel, paraprofessionals, and career guidance and academic counselors, including individuals in groups underrepresented in such professions.   3. A description of progress toward implementation of equal access to high-quality career and technical education courses and programs of study for all students, including—      1. strategies to overcome barriers that result in lower rates of access to, or performance gaps in, the courses and programs for special populations;      2. providing programs that are designed to enable special populations to meet the local levels of performance; and      3. providing activities to prepare special populations for high-skill, high-wage, or in-demand industry sectors or occupations in competitive, integrated settings that will lead to self-sufficiency.  1. CONSULTATION.—In conducting the comprehensive needs assessment under subsection (c), and developing the local application described in subsection(b), an eligible recipient shall involve a diverse body of stakeholders, including, at a minimum—    1. representatives of career and technical education programs in a local educational agency or educational service agency, including teachers, career guidance and academic counselors, principals and other school leaders, administrators, and specialized instructional support personnel and paraprofessionals;    2. representatives of career and technical education programs at postsecondary educational institutions, including faculty and administrators;    3. representatives of the State board or local workforce development boards and a range of local or regional businesses or industries;    4. parents and students;    5. representatives of special populations;    6. representatives of regional or local agencies serving out-of-school youth, homeless children and youth, and at-risk youth (as defined in section 1432 of the Elementary and   Secondary Education Act of 1965);   * 1. representatives of Indian Tribes and Tribal organizations in the State, where applicable; and   2. any other stakeholders that the eligible agency may require the eligible recipient to consult. |
| Advisory Council | *New York Consolidated Laws, Education Law*: *EDN § 4601. Advisory councils*     1. *The board of education of each school district and of each board of cooperative educational services maintaining an approved career education program shall appoint an advisory council for career education consisting of at least ten members. The membership shall include, but not be limited to, persons:*     1. *Familiar with the vocational needs and problems of management and labor in the region.*    2. *Familiar with programs of career education at the postsecondary and adult levels.*    3. *Familiar with the manpower needs and requirements of the region to be served.*    4. *Familiar with the special educational needs of the physically and mentally handicapped.*    5. *Representative of community interests, including persons familiar with the special needs of the population to be served.*    6. *A student who is participating in a career education program at the school district or board of cooperative educational services district being served by the advisory council.* 2. *It shall be the duty of such advisory council for career education to advise the board of education or board of cooperative education on the development of and policy matters arising in the administration of career education, including the preparation of long-range and annual program plans submitted to the commissioner of education, and assist with an annual evaluation of career education programs, services and activities provided by the school district or board of cooperative education.* 3. *Advisory councils may appoint consultant committees, representative of specific occupational fields to assist in the work of the council and the board of education or board of cooperative education with respect to the planning, development and requirements for establishment of new programs or evaluation and revision of existing programs.* |
| Administrative Costs | Administrative Costs including Indirect Costs  Federal: Strengthening Career and Technical Education for the 21st Century Act: Local Administrative Cost  Section 3 (1) of the Act states that the term ‘administration’, when used with respect to an eligible agency or eligible recipient, means 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.  Section 135(d), of the Act states that each eligible recipient receiving funds under this part shall not use more than five percent of the funds for administrative costs associated with the administration of activities under the section.  Positions such as project coordinator, accountant, clerical staff, or other positions not directly serving students are considered administrative. Indirect costs are considered administrative costs. |
| Direct costs | [PART 200—UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS](https://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&SID=04c92d359b6f5b8c1e4f15840e772859&mc=true&n=pt2.1.200&r=PART&ty=HTML)  §200.413 Direct costs.  (a) General. Direct costs are those costs that can be identified specifically with a particular final cost objective, such as a Federal award, or other internally or externally funded activity, or that can be directly assigned to such activities relatively easily with a high degree of accuracy. Costs incurred for the same purpose in like circumstances must be treated consistently as either direct or indirect (F&A) costs. See also §200.405 Allocable costs.  (c) The salaries of administrative and clerical staff should normally be treated as indirect (F&A) costs. Direct charging of these costs may be appropriate only if all of the following conditions are met:  (1) Administrative or clerical services are integral to a project or activity;  (2) Individuals involved can be specifically identified with the project or activity;  (3) Such costs are explicitly included in the budget or have the prior written approval of the Federal awarding agency…. |
| Indirect costs | [PART 200—UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS](https://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&SID=04c92d359b6f5b8c1e4f15840e772859&mc=true&n=pt2.1.200&r=PART&ty=HTML)  §200.414 Indirect (F&A) costs.  (a) Facilities and Administration Classification. For major IHEs and major nonprofit organizations, indirect (F&A) costs must be classified within two broad categories: “Facilities” and “Administration.” “Facilities” is defined as depreciation on buildings, equipment and capital improvement, interest on debt associated with certain buildings, equipment and capital improvements, and operations and maintenance expenses. “Administration” is defined as general administration and general expenses such as the director's office, accounting, personnel and all other types of expenditures not listed specifically under one of the subcategories of “Facilities” |
| Special Populations | **Perkins Definition of Special Populations**  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). |
| Program Approval Process Components | A CTE program is eligible for state approval provided the school district/BOCES has met all program approval guidelines including but not limited to:   * conducting the CTE self-study * conducting the external review * processing all modifications necessary as the result of the external review * obtaining the Chief Administrator’s and Board of Education President’s certification on the application * completing the application for program approval and submitted it to the SED * Technical Assessment * Post-secondary articulation agreement * Work based learning   [Back to Priority 1 component page](#Priority1components) |
| Required Use of fund for local recipients | SEC. 135. LOCAL USES OF FUNDS.   1. REQUIREMENTS FOR USES OF FUNDS.--Funds made available to eligible   recipients under this part shall be used to support career and technical education programs that are of sufficient size, scope, and quality to be effective and that—  (1) provide career exploration and career development activities through an organized, systematic framework designed to aid students, including in the middle grades, before enrolling and while participating in a career and technical education program, in making informed plans and decisions about future education and career opportunities and programs of study, which may include—   1. introductory courses or activities focused on career exploration and career awareness, including non-traditional fields; 2. readily available career and labor market information, including information on-- (i) occupational supply and demand; 3. educational requirements; 4. other information on careers aligned to State, local, or Tribal (as applicable) economic priorities; and 5. employment sectors; 6. programs and activities related to the development of student graduation and career plans; 7. career guidance and academic counselors that provide information on postsecondary education and career options; 8. any other activity that advances knowledge of career opportunities and assists students in making informed decisions about future education and employment goals, including non-traditional fields; or 9. providing students with strong experience in, and comprehensive understanding of, all aspects of an industry;   (2) provide professional development for teachers, faculty, school leaders, administrators, specialized instructional support personnel, career guidance and academic counselors, or paraprofessionals, which may include—   1. professional development on supporting individualized academic and career and technical education instructional approaches, including the integration of academic and career and technical education standards and curricula; 2. professional development on ensuring labor market information is used to inform the programs, guidance, and advisement offered to students, including information provided under section 15(e)(2)(C) of the Wagner-Peyser Act (29 U.S.C. 49l-2(e)(2)(C)); 3. providing teachers, faculty, school leaders, 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; 4. supporting school leaders and administrators in managing career and technical education programs in the schools, institutions, or local educational agencies of such school leaders or administrators; 5. supporting the implementation of strategies to improve student achievement and close gaps in student participation and performance in career and technical education programs; 6. providing teachers, faculty, specialized instructional support personnel, career guidance and academic counselors, principals, school leaders, or paraprofessionals, as appropriate, with opportunities to advance knowledge, skills, and understanding in pedagogical practices, including, to the extent the eligible recipient determines that such evidence is reasonably available, evidence-based pedagogical practices; 7. training teachers, faculty, school leaders, administrators, specialized instructional support personnel, career guidance and academic counselors, or paraprofessionals, as appropriate, to provide appropriate accommodations for individuals with disabilities, and students with disabilities who are provided accommodations under the Rehabilitation Act of   1973 (29 U.S.C. 701 et seq.) or the Individuals with Disabilities Education Act;   1. training teachers, 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; or 2. 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 career and technical education the skills necessary to pursue careers in high-skill, high-wage, or in-demand industry sectors or occupations; 4. support integration of academic skills into career and technical education programs and programs of study to support— 5. CTE participants at the secondary school level in meeting the challenging State academic standards adopted under section 1111(b)(1) of the Elementary and Secondary   Education Act of 1965 by the State in which the eligible recipient is located; and   1. CTE participants at the postsecondary level in achieving academic skills; 2. plan and carry out elements that support the implementation of career and technical education programs and programs of study and that result in increasing student achievement of the local levels of performance established under section 113, which may include— 3. a curriculum aligned with the requirements for a program of study; 4. 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 that are in demand in the State, regional, or local economy, and in collaboration with business outreach staff in one-stop centers, as defined in section 3 of the Workforce Innovation and Opportunity Act  (29 U.S.C. 3102), and other appropriate organizations, including community-based and youth-serving organizations; 5. where appropriate, expanding opportunities for CTE concentrators to participate in accelerated learning programs (as described in section 4104(b)(3)(A)(i)(IV) of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 7114(b)(3)(A)(i)(IV)), including dual or concurrent enrollment programs, early college high schools, and the development or implementation of articulation agreements as part of a career and technical education program of study; 6. 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; 7. a continuum of work-based learning opportunities, including simulated work environments; 8. industry-recognized certification examinations or other assessments leading toward a recognized postsecondary credential; 9. efforts to recruit and retain career and technical education program teachers, faculty, school leaders, administrators, specialized instructional support personnel, career guidance and academic counselors, and paraprofessionals; 10. where applicable, coordination with other education and workforce development programs and initiatives, including career pathways and sector partnerships developed under the Workforce Innovation and Opportunity Act (29 U.S.C. 3101 et seq.) and other Federal laws and initiatives that provide students with transition-related services, including the Individuals with   Disabilities Education Act;   1. expanding opportunities for students to participate in distance career and technical education and blended-learning programs; 2. expanding opportunities for students to participate in competency-based education programs; 3. improving career guidance and academic counseling programs that assist students in making informed academic and career and technical education decisions, including academic and financial aid counseling; 4. supporting the integration of employability skills into career and technical education programs and programs of study, including through family and consumer science programs; 5. 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; 6. providing career and technical education, in a school or other educational setting, for adults or out-of-school youth to complete secondary school education or upgrade technical skills; 7. supporting career and technical student organizations, including student preparation for and participation in technical skills competitions aligned with career and technical education program standards and curricula; 8. making all forms of instructional content widely available, which may include use of open educational resources; 9. supporting the integration of arts and design skills, when appropriate, into career and technical education programs and programs of study; 10. 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 career and technical education; 11. support to reduce or eliminate out-of-pocket expenses for special populations participating in career and technical education, 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 12. other activities to improve career and technical education programs; and 13. develop and implement evaluations of the activities carried out with funds under this part, including evaluations necessary to complete the comprehensive needs assessment required under section 134(c) and the local report required under section 113(b)(4)(B). |
| CTSO | Perkins V and CTSO Expenditures   * **Allowable** Expenditures: * State Leadership Activities: “The State leadership activities described...may include...support for career and technical student organizations, especially with respect to efforts to increase the participation of students in nontraditional fields and students who are members of special populations” 124(b)(17) * Local Uses of Funds: “Plan and carry out elements that support the implementation of CTE programs and programs of study and that result in increasing student achievement of the local levels of performance established...which **may** include...supporting career and technical student organizations, including student preparation for and participation in technical skills competitions aligned with CTE program standards and curricula” 135(b)(5)(N)-broader definition than Perkins IV * With Local Uses of Funds, all students must have access.  A fiscal consortium cannot give a specific school money that will only benefit that school’s students (prohibited by federal law). * Non-Allowable Expenditures: * Travel costs and expenses for students to attend student leadership conferences (prohibited by federal grant regulations) |
| Career Clusters | [See Advance CTE for Career Cluster resources](https://careertech.org/career-clusters)  The National Career Clusters® Framework provides a vital structure for organizing and delivering quality CTE programs through learning and comprehensive programs of study. In total, there are 16 Career Clusters in the National Career Clusters Framework, representing more than 79 Career Pathways to help students navigate their way to greater success in college and career.  Agriculture, Food & Natural Resources  Architecture & Construction  Arts, A/V Technology & Communications  Business Management & Administration  Education & Training  Finance  Government & Public Administration  Health Science  Hospitality & Tourism  Human Services  Information Technology  Law, Public Safety, Corrections & Security  Manufacturing  Marketing  Science, Technology, Engineering & Mathematics  Transportation, Distribution & Logistics |

### 

**Fiscal Guidelines for Federal and State Funded Grants**

*Version 18-01*

Introduction

Funding Cycles for Federal and State Grants

Application and Budgeting Processes for Grants/Grant-contracts

Fiscal Forms – Use and Instructions

General Guidelines

Sample of Specific Costs

## 6.3 Grant Administration: Allowable Costs and Budgets

### General Principles for Allowable Costs

Grant funds, whether from federal or State sources, must be expended on allowable activities in accordance with the approved budget and the applicable cost principles outlined in 2 CFR 200 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards).

To be considered allowable for reimbursement, costs must meet the following general criteria:

* Be necessary and reasonable for proper and efficient operation of the program;
* Be allocable to the project and properly documented;
* Be permissible under applicable state and/or federal laws and regulations;
* Conform to policies and procedures as well as any limitations or exclusions set forth in these guidelines, laws or regulations, or other governing limitations as to types or amounts of cost items;
* Be the net amount after applying all applicable credits, such as purchase discounts, project-generated income, and adjustments of overpayments;
* Not be included as a cost in any other project or grant;
* Be consistently treated; and
* Must be accounted for in a basis that is in accordance with generally accepted accounting principles (GAAP).

### Encumbrances

All encumbrances (or obligations) must be made **within the approved funding period (project period) of the grant**. Encumbrances for both federal and state projects are created on the following basis:

* Acquisition of real or personal property
  + The encumbrance is made on the date on which a binding written commitment to acquire the property is made.
* Personal services by an agency employee
  + The encumbrance is made when the services are performed.
* Personal services by a contractor who is not an agency employee
  + The encumbrance is made on the date on which the agency makes a binding written commitment to obtain the work.
* Performance of work other than personal services
  + The encumbrance is made on the date on which the agency makes a binding written commitment to obtain the work.
* Public utility services
  + The encumbrance is made when the agency receives the services.
* Travel
  + The encumbrance is made when the travel is taken.
* Rental of real or personal property
  + The encumbrance is made when the agency uses the property.

### Funding Dates

It is the practice of NYSED to use the earliest possible date for funding purposes. This may be as early as the date the grant application is received in NYSED in substantially approvable form, but may not be earlier than the date when the state or federal funds became available for obligation. Due to delays inherent in the project review process, written notification of approval sometimes may not occur until after the approved funding date. However, in such cases, expenditures occurring within the approved project funding dates are still allowable. The grant funding dates are indicated on the back page of the FS-10/Budget for a Federal or State Project as well as on the Grant Award Notice (GAN).

### Interest Earned

Local agencies must return interest earned on federal funds above $500. For these awards, specific guidance may be found in Title 2 of the Code of Federal Regulations Part 200 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards), Section 305.

This section states that interest earned amounts of $500 per year may be retained by the local agency for administrative purposes. However, interest earned on federal advance payments in excess of $500 cannot be retained to offset any direct or indirect program costs; they must be returned to the Department of Health and Human Services Payment Management System, known as PMS, electronically using either the Automated Clearing House (ACH) network or as a Fedwire Funds Services payment.

### Supplement-Not-Supplant

This is a provision common to many federal education program statutes. In general, this statutory requirement specifies that a State or local educational agency may allocate and use funds received under a particular federal program only to supplement and not supplant (or replace) funds from non-federal sources.

This means, a local educational agency:

* may not divert state and local funds for other uses simply because these particular federal grant funds are available
* may not use these federal grant funds to pay for activities required by State law or local district policy
* mayuse these federal funds to expand existing programs and/or add new programs that would not otherwise be available from state and local funding sources

Grantees should carefully review applicable program statute and regulations to determine if the supplement, not supplant requirement applies in order to ensure full compliance with such requirements.

# 6.3.a Sample of Specific Costs

## Salaries (Codes 15 and 16) - Documentation of Personnel Costs

Documentation for personnel costs must be maintained for all employees whose salaries, whether whole or part, are paid with federal funds or are used to meet match or cost share requirements. In addition to regular payroll records, sufficient documentation that accurately reflects the work performed must be maintained.

These time and effort records must (1) include all activities (federal and non- federal), (2) be supported by a system of internal controls which reflects 100% of the employee’s time, (3) provide reasonable assurance that the charges are accurate, allowable, and properly allocated, and (4) must be incorporated into a local agency’s official records. Personnel Activity Reports (PARs) that are properly completed and certified on a regular basis (semi-annually or monthly) are examples of time and effort records used to record salaries paid with federal funds for employees working 100 percent of the time on a federal grant, or for employees working on more than one federal grant program, on a federal grant and a State grant, or on a federal grant’s direct cost and indirect cost activities.

## Purchased Services (Code 40)

Purchased services include the hiring of personnel from outside the agency as consultants, as well as rentals, admission fees, tuition costs, telephone, repairs to equipment, and contracted services. When budgeting purchased services, include as much information as possible on the purpose of the expenditure and the cost basis. The cost basis may be an amount per day for a certain number of days or an amount per person or item.

Where there exists an employer-employee relationship between the local agency and project personnel, such personnel should not be budgeted as consultants; they must be listed in code 15/Professional Salaries or code 16/Support Staff Salaries as appropriate. The existence of an employer-employee relationship is determined by the degree of control exercised by the employer. An employee is usually trained by the employer, is directed in how work is to be performed, and has a continuing work relationship with the employer. An independent consultant decides when, where, and how the work is to be performed, is paid according to an agreed-upon performance or result of work, and is free to contract with work for others.

Rental costs are allowable only if the local agency is renting from an outside agency or vendor. Rent cannot be charged if the local agency actually owns the space or item involved.

Unless the project necessitates the installation of separate telephone facilities, monthly service charges may not be prorated and charged as an expense; however, toll or local usage charges specifically for grant purposes are allowed.

## Supplies and Materials (Code 45)[[2]](#footnote-3)

Purchase orders may not be issued before the approved begin date of the grant or after the end date of the grant. In addition to the actual cost of each item, costs of shipment are considered part of the purchase price of such items and are eligible for reimbursement.

Internal transactions, such as supplies taken from agency stock (warehouse, supply room, etc.), should be included on the final claim. The date of the transaction or requisition date should be maintained along with any identifying data such as journal entry. Where grant personnel have made cash purchases and are reimbursed, the name of the commercial vendor should be available as well as the name of the individual making the purchase.

## Travel Expenses (Code 46)

Actual expenses claimed against a grant are limited to the maximum amounts authorized by local participant agency policy. For agencies where such written policy does not exist, expenditures are allowed at no more than the state-approved maximum travel rates that were in effect at the time the travel occurred.

When local agencies provide their own school bus transportation for a project, reimbursements shall be limited to the approved rate per mile for operational costs. Only the salaries of individual bus drivers and monitors will be allowed in addition to such costs. These salaries should be budgeted and claimed under Code 16, Salaries for Support Staff.

## Fringe Benefits (Code 80)

Fringe benefit rates for federal and state funded project staff must be the same used for other staff of the local agency. Fringe benefits may only be claimed for the salaries actually expended in the federal or state project.

Unemployment insurance may be claimed by local educational agencies and not- for-profit agencies only if the local agency has elected either the Tax Method or the Direct Reimbursement with Special Revenue Fund options for covering these costs. Payments for direct reimbursement without a reserve fund may not be claimed. All profit-making agencies must be under the Tax Method.

## Indirect Costs (Code 90)

Indirect costs can be broadly defined as central administrative costs and certain other organization-wide costs that are incurred in connection with a grant, but that cannot readily be identified with the grant (*e.g*., payroll preparation, central purchasing). Indirect costs generated for a grant are calculated by applying the local agency's indirect cost rate to the modified direct cost base of the grant (MDCB). These funds are used to support the central administrative costs.

The modified direct cost base (MDCB) is the total direct costs of a grant less equipment, minor remodeling, purchased services with a BOCES, the portion of each subcontract exceeding $25,000, and any flow through funds.

The approved rate is applied against the modified direct cost base and results in an amount available for indirect cost purposes. However, the maximum rate allowable for individual grants may be set by statute, regulations or may be negotiated downward by NYSED.

The amount of actual reimbursement of indirect costs is computed by applying the approved rate to actual modified direct cost base expenditures. If actual modified direct cost base expenditures are less than those budgeted, then the amount of indirect cost funds reimbursed will be reduced accordingly.

Two types of indirect cost rates are used with programs funded through NYSED:

1. Restricted Rate - The restricted rate is applicable to all state programs and those federal programs with regulatory language requiring funds to supplement, not supplant state and local funds (*e.g.*, Title I, IDEA, etc.). Restricted rates generally range from one to eight percent.
2. Non-restricted Rate - The non-restricted rate is applicable to those federal programs that do not have supplement, not supplant provisions (*e.g.*, National School Lunch Program, School Breakfast Program). Nonrestricted rates generally range from 10 percent to 25 percent.

The procedure to compute indirect cost rates varies depending on the type of local educational agency as follows:

* School Districts - Indirect cost rates for school districts are computed annually by NYSED based on data contained in each district's Annual Financial Report (Form ST-3). Districts are then notified of the rates to be used during the subsequent program year.
* BOCES - Indirect cost rates for BOCES are computed annually by NYSED based on data contained in the BOCES Annual Financial Report (Form SA111). BOCES are then notified of the rates to be used during the subsequent program year.
* Other Agencies - Local agencies other than school districts and BOCES may negotiate indirect cost rates through their federal cognizant agency. However, in cases where a restricted rate has not been established, a local agency may use the restricted rate that is established each year by NYSED for other agencies.

## Equipment (Code 20)

For purposes of NYSED grants/grant-contracts and the reporting of equipment costs, equipment is defined as tangible, nonexpendable, personal property having a useful life of more than one year and an acquisition cost of $5,000 or more per unit.These items are reported in code 20.

Local agencies should have a capitalization policy covering grant equipment that establishes the dollar value for capitalized equipment and other capital outlay materials. In addition, it must maintain an inventory of capital assets. The inventory must include, but may not be limited to, all items included in the equipment category for grant programs.

The inventory listing must contain the following:

* A description of the equipment, including manufacturer's model or serial number
* Identification of the grant under which the recipient agency acquired the equipment
* Acquisition date and unit acquisition cost
  + The acquisition cost includes the actual cost of the item (invoice price) as well as the cost to put it in place (*i.e.*, modifications, attachments, accessories or auxiliary apparatus needed to make it useful for the purpose for which is was obtained).
* Information on how the grant share of the cost was determined if the cost was shared by the recipient agency
  + For example, this would be the percentage of federal/state participation in the cost of the property.
* Location, use, and condition of the equipment as well as the date this information was recorded
* All pertinent information on the ultimate transfer, replacement or disposition of the equipment, including the date(s)

Additional requirements on the management of equipment (as well as supplies) purchased in whole/part with federal or State funds include policies and procedures for:

* A physical inventory of grant-acquired property and reconciling of these results with property records
* A control system to ensure adequate safeguards to prevent loss, damage, or theft of the property
* Maintenance of the property to keep it in good working order
* Disposition (as appropriate) of the property when it is no longer needed/used

In general, equipment purchased with federal (and State) funds must be used for the program/project for which it was purchased for as long as it is needed. If/when it is not needed, equipment may be used in another federally (or State) supported program/project (Additional guidance on the use and disposition of equipment and supplies may be found in 2 CFR 200.313 - 314.)

## Utilities

In claiming expenditures for utilities, the cost must be directly identifiable with, and attributable to, the individual grant. Furthermore, the agency must provide the basis for calculating the pro rata charge of the costs to the grant.

## Interest and Finance Charges

Interest or finance charges incurred by the local agency are not allowed for reimbursement in federal or state funded projects.

## Audit Costs for Federally Funded Grants

The cost of a single audit performed by the participant agency's independent auditor should be recovered from indirect costs. However, in cases where an agency lacks an indirect cost rate, the pro rata share of the single audit cost may be claimed as a direct cost. Inasmuch as the performance of the audit often occurs after the grant's end date, reimbursement of the audit cost, even though the independent auditor has not yet been paid, is allowable subject to the following conditions:

* An agency must contract with an independent auditor prior to the grant's end date.
* The contract must specify a cost for the audit. The agency will then budget the pro rata share of the federal portion of the audit cost to the grant.
* Final reimbursement will be based upon substantiation of the pro rata share of the audit cost, as well as any internal transactions identifying audit charges to the grant.

## New York State Sales Tax Allowance

Tax exempt agencies will not be reimbursed for New York State sales tax charges since they are not required to pay tax when purchasing supplies, equipment, etc. for the agency. Likewise, the staff of such agencies, while on official business, are also exempt from New York State sales tax, and reimbursement will not be allowed for those charges. Other persons paid by the project, such as consultants, may be required to pay the New York State sales tax on purchases of food and lodging, and in such cases, are eligible for reimbursement.

1. [↑](#footnote-ref-2)
2. Additional guidance on the disposition of supplies may be found in 2 CFR 200.314. [↑](#footnote-ref-3)