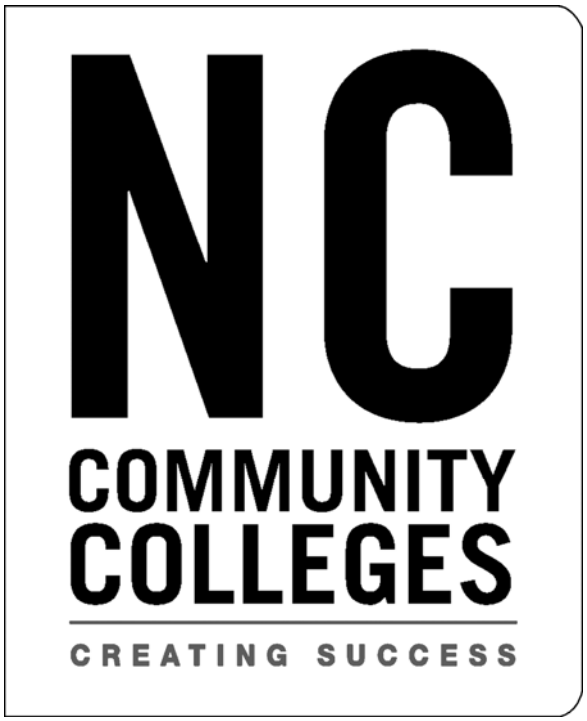

2020-2021

Perkins Handbook

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March 2020

North Carolina Community College System

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The NC Community College System is committed to equality of opportunity and does not discriminate against students or employees based on race, gender, age, or disability.

Learning that works for North Carolina

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2020 – 2021 Perkins V Handbook

Introduction

This manual explains the policies, guidance, and procedures for the implementation of Carl D. Perkins Career and Technical Education Act of 2006 as amended by the Strengthening CTE for the 21st century Act in 2018 (Perkins V or the Act). This manual is written for colleges within the North Carolina Community College System (NCCCS) who receive Perkins funding.

Additional resources for compiling this guide came from the Education Department General Administrative Regulations (EDGAR) 4th Edition, Code of Federal Regulations Unified Grant Guidance 2 CFR §200, and the 2020 – 2023 North Carolina State Career and Technical Education Plan.

State Postsecondary CTE Perkins Team

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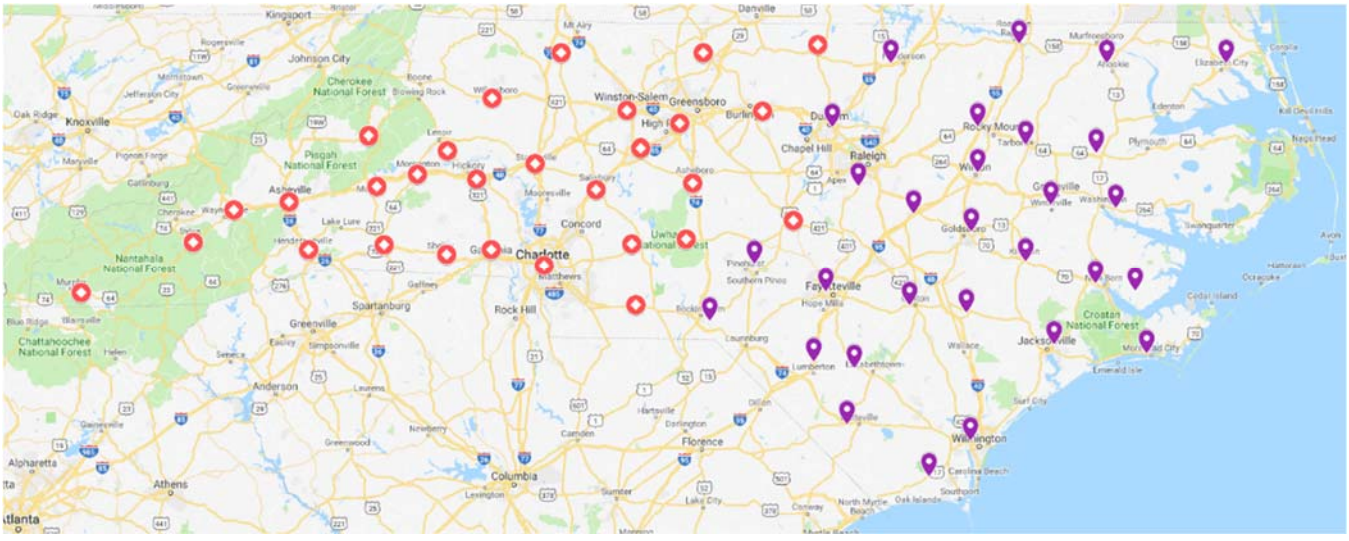
Two CTE Program Coordinators are assigned to the East and West colleges and are that institution's point of contact for questions and assistance with their Perkins Basic Grant.

East Region – Patti Coultas, CTE Program Coordinator

Beaufort County Community College
Bladen Community College
Brunswick Community College
Cape Fear Community College
Carteret Community College
Coastal Carolina Community College
College of The Albemarle
Craven Community College
Durham Technical Community College
Edgecombe Community College
Fayetteville Technical Community College
Halifax Community College
James Sprunt Community College
Johnston Community College
Lenoir Community College
Martin Community College
Nash Community College
Pamlico Community College
Pitt Community College
Richmond Community College
Roanoke-Chowan Community College
Robeson Community College
Sampson Community College
Sandhills Community College
Southeastern Community College
Vance-Granville Community College
Wake Technical Community College
Wayne Community College
Wilson Community College

West Region – Dr. Tony Reggi, CTE Program Coordinator

Alamance Community College
Asheville-Buncombe Technical Community College
Blue Ridge Community College
Caldwell Community College and Tech. Institute
Catawba Valley Community College
Central Carolina Community College
Central Piedmont Community College
Cleveland Community College
Davidson County Community College
Forsyth Technical Community College
Gaston College
Guilford Technical Community College
Haywood Community College
Isothermal Community College
Mayland Community College
McDowell Technical Community College
Mitchell Community College
Montgomery Community College
Piedmont Community College
Randolph Community College
Rockingham Community College
Rowan-Cabarrus Community College
South Piedmont Community College
Southwestern Community College
Stanly Community College
Surry Community College
Tri-County Community College
Western Piedmont Community College
Wilkes Community College



2020-2021 Timeline

Monthly Perkins Update Webinars (required) are held the second Tuesday of each month (August – June). Register on NCPerkins.org to get connected.

- August 11, 2020
- September 8, 2020
- October 6, 2020 (1st Tuesday)
- November 10, 2020
- January 12, 2021
- February 9, 2021
- March 9, 2021
- April 13, 2021
- May 11, 2021
- June 8, 2021

Meetings, Events and Important Dates

Third Thursday of each month, 9 am, Career Pathways Webinars

July 13-17, 2020 – NC Dept of Public Instruction CTE Summer Conference – Winston-Salem

September - May – Technical assistance visits to the colleges

October 11-13, 2020 – NCCC System Conference - Raleigh

January 2021 –

- Upload 2nd Quarter local plan update and XDBR, and in-person, mid-year sharing. Mid-year dates and locations will be determined in the fall.
- Notify community colleges of performance indicator improvement plans
- Colleges verify Pell and BIA student numbers

February 2021 – Phone meeting with State CTE Director to negotiate levels of performance for each indicator

March 2021 – Monitoring- Both on-site and desk monitoring on selected community colleges

April 2021 – Annual Meeting

May 24 - June 11, 2021 – Each college will have an electronic meeting with the NCCCS CTE Team to present their promising-practice video and go over their one-page end-of-year report.

Local Plan NCPerkins.org Submissions

- May 1, 2020 – Application Due
- May 29, 2020 – Local Plan and Budget Due
- May 15, 2020
  - Last day to submit a budget modification
  - Enter your college's contact information for 2020-21 Perkins Grant.
- June 12, 2020
  - Allotment Options signed and uploaded for 2020-21 academic year
  - Statement of Assurances signed and uploaded for 2020-21 academic year
- January 15, 2021 – 2nd Quarter local plan status update and December XDBR uploaded
- March 20, 2021 – Negotiated Levels of Performance
- May 15, 2021 – Last day to upload a budget modification
- July 16, 2021 – 4th quarter local plan status update and June XDBR uploaded

Perkins V

Purpose (Perkins V, Section 2(1-8))

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

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

Allocation of the Grant

North Carolina's allocation of Perkins funds is split between secondary and postsecondary. Secondary (middle and high schools) receives two-thirds and Postsecondary (community colleges) receives one-third of the total state Perkins allocation.

Of the funds received at the postsecondary level, 85 percent is distributed to the community colleges, and 15 percent is for state-level expenditures.

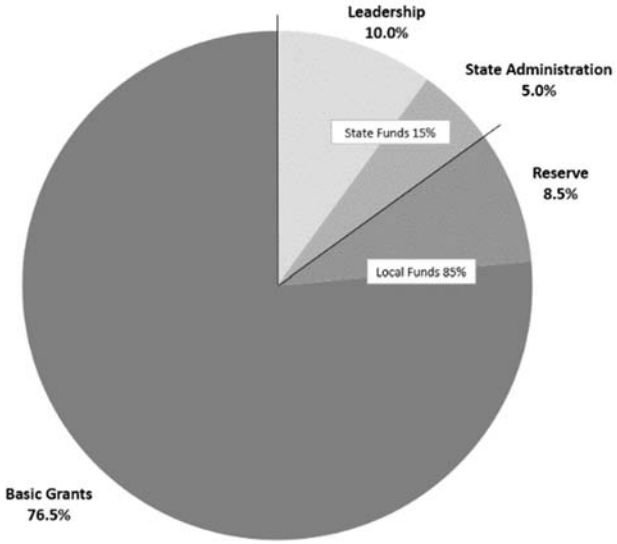
The community colleges and consortia of community colleges offering CTE programs are eligible for Perkins funds provided that the funding to be allocated through the formula-funding process is not less than $50,000. Allocations to individual colleges are based on the percentage of postsecondary CTE students receiving Pell Grants and Bureau of Indian Affairs (BIA) assistance.

Each spring, a ***Pell Grant Information and Bureau of Indian Affairs Verification Form*** is sent to the Perkins contact at each college (local Financial Aid staff usually assists in collecting this information). This form contains the number of CTE students at that college receiving Pell Grants. Colleges are responsible for reporting the number of CTE students receiving Bureau of Indian Affairs (BIA) assistance. This information is then used to determine funding levels for the individual colleges/consortia.

The formula, as dictated by the Perkins Act, is as follows:

$$\frac{\text{Number of Pell and BIA students at the college}}{\text{Number of Pell and BIA students statewide}} = \text{Percentage of Pell and BIA students at the college} \times \text{Total funds available for distribution}$$

Community colleges not meeting a minimum of $50,000 using this formula are not eligible to receive a direct allotment. They may, however, form a **consortium** with one or more community colleges. In a consortium, one college is designated as the fiscal agent, and the consortium receives the total amount each college would have received individually. Colleges must plan their budget together based on the needs of the consortium. (Perkins section 132).



State Level Use of Funds

Administration

Up to 5 percent of the postsecondary allocation is set aside for the administration of the state plan. Administrative funds are used pursuant to Perkins section 112(a)(3).

Leadership

Ten percent of the state funds must be used for state leadership projects. There are specific **mandatory and permissive leadership activities** that are allowed per section 112(a)(2) and section 124 of the Perkins Act.

Local Use of Funds

Comprehensive Local Needs Assessment

Perkins V requires that each college complete a comprehensive local needs assessment (CLNA) which promotes data-driven decision making on local spending. The CLNA must include a review of student performance; program size, scope, and quality; labor market needs; educator professional development; and special populations' access to programs. A diverse body of stakeholders is required to conduct the CLNA, develop the application, plan and budget, and to complete ongoing modifications. Ongoing consultation with the stakeholders is required. More information on completing a CLNA can be found in a separate NC Perkins guide at NCPerkins.org and in Perkins V section 134(c).

Application

The **local application** to be eligible for funding will include at a minimum the following list. See the NCCCS application at NCPerkins.org.

1) a description of the comprehensive local needs assessment,
2) Information on state approved CTE programs of study at the college,
3) How the college with the local workforce board and workforce agencies, one stop delivery systems, and other partners will provide a series of career exploration and career guidance activities,
4) How the college will improve the academic and technical skills of students in CTE programs by strengthening the academic and CTE components of such programs through integration,
5) How colleges will provide activities to prepare special populations for high-skill, high-wage, or in-demand occupations that will lead to self-sufficiency, prepare student for nontraditional fields, provide equal access for special populations to CTE courses, programs and programs of study, to ensure that members of special populations are not discriminated against on the base of their status as members of special populations,
6) A description of the work–based learning opportunities that the college will provide to students participating in CTE program and how the recipient will work with representatives from employers to develop or expand work-based learning opportunities for CTE students,
7) A description of how the college will provide students participating in CTE the opportunity to gain postsecondary credit while still attending high school,

8) A description of how the college will work to support the recruitment, preparation, retention, and training including professional development of teachers, faculty, administrators and specialized instructional support personnel and

9) A plan for continuous improvement that addresses disparities or gaps in student performance between plan years.

Plan and Budget

Planning Checklist

Each college should consider the following questions to determine if an activity is eligible for Perkins funding:

1. **Does the activity address a gap or need identified by the comprehensive local needs assessment (CLNA)?**

   Perkins V specifically states in section 135(a) that each college "shall use such funds to develop, coordinate, implement, or improve career and technical education programs to meet the needs identified in the comprehensive needs assessment." Each activity funded with Perkins funds in the local plan must directly link to one of the gaps on the CLNA Summary form. The CTE Coordinator will ensure this linkage before approving the plan and budget.

2. **Does the activity address a core indictor area that is deficient?**

   Colleges not meeting at least 90 percent of the target for a core indicator must provide an improvement plan with their annual Perkins report and allocate funding in their annual Perkins budget to address any core indicator deficiencies. Colleges may use college funding sources in lieu of Perkins funds or combine Perkins funding with other college funding to address deficiencies, so long as the combination of funds do not violate federal, state, or NCCCS funding rules.

3. **Is the activity new or does it improve or expand an existing program?**

   In general, the college must use federal funds to improve career and technical education programs. This means that eligible colleges must target the limited federal dollars for new or improved activities. *NOTE: Colleges must use funds for program improvement and expansion, and not to maintain existing activities.*

4. **Does this activity support the development of a new, or expand an existing program of study/pathway?**

5. **Does this activity address "Required Uses" of Perkins funds (Perkins Act, Section 135)?**

   The college must address all required uses of funds with either Perkins or non-Perkins dollars. Each Voc Code must have at least one activity identified on the local plan.

6. **Was the activity funded during the previous year by non-Perkins funds?**

   Perkins funds may not be used to continue an activity funded by any non-Perkins funds the previous year. That would be supplanting, which is expressly prohibited by law.

7. **Is the activity required by federal, state, or local law?**

   If so, this would be supplanting and should be funded with non-Perkins funds.

8. **Are there data to support the identified need for the proposed activity, and can the impact of Perkins funding be measured?**

How Perkins funds are used must be supported by data at the program level, and the college must have the capacity to measure improvement attained because of the use of Perkins funds. If an activity cannot be measured, it cannot be funded with Perkins funds.

Basic Grants

In accordance with the Perkins V, Section 135, funds made available to eligible colleges under this part shall be used to support **career and technical education programs**. The USDOE Office of Career, Technical, and Adult Education (OCTAE) policy is that while a recipient must demonstrate that they are complying with all mandatory uses, the recipient does not have to use federal Perkins funds to satisfy all required uses.

As required by the Perkins Act section 135(d), a college may use not more than 5 percent of its allotment for **administrative expenses**. Administrative activities are those activities necessary for the effective and efficient performance of the eligible college's duties under Perkins, including the supervision of such activities. Any cost that supports the management of the Perkins program is administrative in nature. Examples of allowable administrative costs include, but are not limited to, salary costs associated with the development of the local plan. *See an explanation of Voc Code 10* on page 11.

> NOTE: Administrative expenses may be used only in proportion to the grant expenditures. For example, if after the first quarter 25 percent of the grant has been spent, then 25 percent of the administrative funds may be billed to the grant.

Required Uses of Funds

Perkins V Sec. 135. LOCAL USES OF FUNDS states:

(a) GENERAL AUTHORITY. --Each eligible recipient that receives funds under this part shall use such funds to develop, coordinate, implement, or improve career and technical education programs to meet the needs identified in the comprehensive needs assessment described in section 134(c).

(b) REQUIRED 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.

(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. For information on specific activities, see pages 202-205 of Perkins V- The Official Guide (Hyslop)

(2) provide professional development for teachers, faculty, school leaders, administrators, specialized instructional support personnel, career guidance and academic counselors, or paraprofessionals. For specific details on allowable professional development, see page 203 of Perkins V- The Official Guide.

(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:

* CTE participants at the secondary school level in meeting the challenging academic standard adopted under ESEA by the state

* CTE participants at the postsecondary level in achieving academic skills

(5) 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. For specific elements, see pages 204-205 in the Perkins V- The Official Guide.

(6) 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).

Reserve Funds

NCCCS takes advantage of section 112(c)(1) of the Perkins Act to reserve not more than 15 percent of the 85 percent of the Perkins pass-through funds to make grant awards to eligible colleges to carry out the activities enumerated in section 135 (local use of funds). These funds will be distributed based on a formula established by the State CTE Director and approved by the NCCC State Board. If Reserve Funds are distributed, Budget Voc Code 28 "Reserve Fund and Other Special Funding" will be used to account for these funds.

Additional NCCCS Spending Guidance

In addition to the statutory requirements, the NCCCS has the following additional recommendations:

1. Generally, a college should not use Perkins funds to support the same faculty position for more than two years, as the program becomes self-supporting at this time through FTE.

2. In general, funds should be spread across programs and activities, such as salaries, equipment, work-based learning and professional development within the guidance of the CLNA.

3. Career and Technical Student Organizations (CTSOs)

   Perkins V §135(b)(5)(O) says that Perkins funds may be used to support "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"

   NCCCS has accepted the National Coordinating Council (NCC) criteria for CTSOs to be recognized and has added additional criteria for those CTSOs that may be funded using Perkins V grants by NC Community Colleges. According to the NCC website, there are currently 8 CTSOs that meet their criteria. Of those, the following five may be funded using Perkins V funds at an NC Community College:

   1) **DECA** – for marketing students
   2) Future Business Leaders of America-**Phi Beta Lambda** (FBLA-PBL)
   3) **HOSA** – Future Health Professionals
   4) National **FFA** Organization for agriculture students
   5) SkillsUSA

   *See Appendix B for more on the criteria for selecting CTSOs.

Fiscal Grant Management

Overview

Each recipient of Perkins funds must follow cost guidelines outlined in the Office of Management and Budget (OMB) publication of the final Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (known as the Uniform Grants Guidance), the Perkins Act, and EDGAR. These publications discuss how to determine if an expense is reasonable and allocable and includes specific unallowable expense categories. Note that the state of North Carolina may set more stringent standards. These documents provide an explanation of the required documentation when salaries and personnel costs are paid with federal funds. **See Basic Cost Guidance/Principles** for details of allowable and unallowable costs. *(Ref: 2 CFR, Subpart E – "General Provisions for Selected Items of Cost")*

Supplementing Versus Supplanting

In accordance with Perkins V, Section 211 (a), funds made available under the Act must supplement and not supplant non-federal funds expended to carry out CTE activities. In other words, federal Perkins funds are to be used to enhance career and technical education programs and activities and cannot be used when non-Perkins funds are available or have previously supported these CTE programs or activities.

1. It will be presumed that supplanting has occurred where:
    a. Colleges use Perkins funds to provide services that the college is required to make available under another federal, state, or local law; or
    b. Colleges use Perkins funds to provide services that the college provided with non-Perkins funds in the prior year
    c. College provides services for non-CTE programs with non-federal funds and provides the same services to CTE programs using Perkins funds.
2. NCCCS provides technical assistance and training on supplanting as needed. Colleges with questions or concerns regarding supplanting or any other Perkins matters, should contact their program coordinator.

Mandatory Disclosures

The college or applicant for a Federal award must disclose, in a timely manner, in writing to the Federal awarding agency or pass-through entity, all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award. Failure to make required disclosures can result in any of the remedies described in section §200.338 Remedies for noncompliance, including suspension or debarment. *(See also 2 CFR part 180 and 31 U.S.C. 3321).*

Debarred and Suspended Parties

Grantees and sub-grantees must not make any award or permit any award (sub-grant or contract) at any tier to any party that is debarred or suspended or is otherwise excluded from or ineligible for participation in Federal assistance programs under Executive Order 12549, Debarment and Suspension.

Compliance with EDGAR

EDGAR (Education Department General Administrative Regulations) establishes rules that apply to all education programs. Secondary to the Perkins Act itself, EDGAR is a key reference for this handbook. EDGAR regulations include but are not limited to such issues as application procedures, financial administration, property management, records retention, lobbying, and oversight. Colleges are subject to all applicable areas of the EDGAR. This guidebook includes excerpts from these publications; however, users should become familiar with both of the complete basic documents that apply to them. (Ref: 2 CFR Part 200, Subpart D- Post Federal Award Requirements)

Perkins Budgets

Colleges must have clearly defined and documented processes as part of their respective policy guidelines for budgeting. The college's Perkins budget has ten primary categories each with its own *Voc Code*. Colleges must align funds for each category with Perkins core indicators. Colleges must establish accounts consistent with these categories so that Perkins funds can be properly identified and required reports submitted. Expenses should be accounted for by category according to federal program guidelines and the NCCCS Chart of Accounts. Copies of all budget forms are available within the Perkins Online Data System. Budgeted items must comply with the U.S. Department of Education's *Education Department General Administrative Regulations*, or "EDGAR".

Budget Voc Code Categories:

Budget codes will change for the academic year 2020-21, Vocational Codes 10-19 will be used to account for Perkins V basic grant funds, as approved by the NCCCS Career and Technical Education Director, as well as the associated non-federal matching costs.

The term *CTE Program of Study* is defined as a coordinated, nonduplicative sequence of academic and technical content at the secondary and postsecondary level. This includes all curriculum programs that do not begin with A10 (college transfer) C10, D10, T90, or P10.

Perkins V stipulates required uses of funds as outlined in section 135(b). Expenditures must be documented in the college's approved local plan and budget or in an approved modification to the local plan and budget. Expenditures that are not documented in the college's approved local plan and budget could result in disallowed costs.

Voc Code Definitions

10 Administration – As stipulated by the Perkins V section 135(d), a college shall use not more than 5 percent of its allotment for **administrative expenses**. Administrative activities are those activities necessary for the effective and efficient performance of the eligible college's duties under Perkins V, including the supervision of such activities. Any cost that supports the management of the Perkins V program is administrative in nature. Examples of allowable administrative costs include, but are not limited to, salary costs associated with the development of the local plan.

The college's 5 percent maximum administrative expenses is reduced by the Workforce Innovation and Opportunity Act (WIOA) sec. 121(h), which requires all required partner programs of the one-stop delivery system to contribute to the infrastructure costs of the one-stop delivery system based on proportionate use and relative benefit received. These are non-personnel costs necessary for the general operation of the one-stop center, including: rental of facilities; utilities and maintenance; equipment; and technology to facilitate access.

Therefore, the total allotment approved by the State Board will be reduced by this amount. It is important that colleges pay attention to the total amount they can budget for administration (Voc Code 10) as listed on the State Board item.

For example: Alamance CC calculated allotment is $250,627 (75,188+175,439). The WIOA infrastructure cost has been calculated to be $126. The available administrative cost listed in the furthest right column is the total 5 percent admin minus the amount for the One-Stop.

Community College	Pell Grant Awards	Percent of Pell Grants	CTE Allotment July, Aug., Sept. 2019	CTE Allotment Oct. 2018- June 2020	Infrastructure Costs^	Total Allotment 2019-20	Admin - 5%	Admin Costs Availalble
			Approx. 30%	Approx. 70%				
Alamance CC	800	1.87%	$75,188	$175,439	($126)	$250,501	$12,531	$12,405

It is important to note that administrative expenses may be used only in proportion to the grant expenditures. For example, if after the first quarter 25 percent of the grant has been spent, then 25 percent of the administrative funds may be billed to the grant.

11 Career exploration and career development (**section 135 (b)(1)) -** Provide career exploration and career development activities through an organized, systematic framework designed to aid students 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.

Funds **may** be used for activities that: focus on career exploration and awareness, provide labor market information, development of plans for graduation and career plans, guidance /career counselors that provide information on postsecondary education and career options, any other activity that advances knowledge of career opportunities and assists students in making informed decisions about future education and employment goals, including nontraditional fields, provides students with a strong understanding of all aspects of industry.

12 Professional Development (section 135(b)(2) - provide professional development for teachers, faculty, school leaders, administrators, specialized instructional support personnel, career guidance and academic counselors, or paraprofessionals.

Funds **may** be used for activities that: support training on the implementation of strategies to improve student achievement and close gaps in student participation and performance; that provide opportunities to advance knowledge, skills, and understanding in pedagogical practices; training on how to provide appropriate accommodations for individuals with disabilities, and English language learners; provide advanced education and training leading to further credentials for faculty and staff that improve teaching and learning, provide opportunities to advance knowledge, skills, and understanding of all aspects of an industry.

13 Skill Attainment (section 135(b)(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.

Funds **may** be used for work-based learning opportunities; integration of employability skills; and other activities that increase student engagement and success including simulated work environments.

Any equipment purchased for this purpose must be listed under Voc Code 17.

14 Academic Integration (section 135(b)(4)) - support integration of academic skills into career and technical education programs and programs of study.

Funds may be used for instructional technology equipment that expands the use of technology to enhance teaching such as distance learning. Funds may also be used to support tutors.

15 Increase Student Achievement (section 135(b)(5)) - 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.

Funds **may** be used for activities on: curriculum alignment; collaborative relationships; accelerated learning programs; activities that increase access; support for career and technical student organizations; support to reduce or eliminate out-of-pocket expenses for special populations participating in career and technical education; other activities to improve career and technical education programs.

16 Evaluation of CTE Programs (section 135(b)(6)) -develop and implement evaluations of the activities carried out with funds under this part, including evaluations necessary to complete the comprehensive local needs assessment.

17 Equipment (section 135(b)(5)(D)) – appropriate equipment, technology and instructional materials (including support for library resources).

Funds **may** be used for equipment that is aligned with business and industry needs, including machinery, testing equipment, tools, implements, hardware and software, and other new and emerging instructional materials.

18 Wages: Salary for faculty, staff and other supportive personnel (not Administrative) (section 135(b)(5)(G)) Funds **may** be used for efforts to support salaries, recruit and retain career and technical education faculty, and staff, administrators, specialized instructional support personnel, career guidance and academic counselors and paraprofessionals. Indicate which Voc Code activities each position is responsible for in the description.

19 Career and Technical Student Organizations (section 135(b)(5)(O)) support career and technical student organizations. (It is recommended not more than 10 percent of allotment be used for this Voc Code)

Funds **may** be used for student preparation for, and participation in technical skills competitions aligned with career and technical education or upgrade technical skills. Funds **may** be used to support individual members of special populations as defined by Perkins V section 3(48) in all aspects of participation in Career and Technical Student Organizations including membership dues, uniforms and other activities directly related to the CTSO that may present a financial barrier for participation. It is expected all other avenues of funding assistance will be exhausted before using Perkins funds for special populations assistance in CTSOs.

28 Reserve Fund and other Special Funding

Funds may be allocated to this Voc Code based upon a formula established by the State CTE Director and approved by the NCCC State Board. This includes Reserve Funds and special projects, except for leadership projects.

Annual Budget Review and Approval Process

The following general actions are taken for annual Perkins budgets:

1. Colleges will submit their annual Perkins budget in the Perkins Online Data System (Moodle).
2. All items in the annual budget must clearly align with the Perkins activities outlined in the local plan
3. CTE program coordinators review the Perkins budgets for compliance with these guidelines.
4. Colleges will receive the approved budgets from their program coordinators and may begin making purchases once the funds are made available.

Local Plan and Budget Modifications

A modification is required if the college desires to modify the approved local plan and/or budget by more than 10 percent. There must be a clear linkage between the modification request and the CLNA. Colleges should not expend funds according to the modified budget until their request has been authorized. Early submission of a modification to the plan and budget is necessary to ensure that funds are spent early enough in the academic year to impact student learning and associated indicator results. The deadline to submit a budget modification is mid-May of each year.

Budget modifications must adhere to the following:

1. **Relation to cost principles**. The cost principle requirements of EDGAR 2 CFR PART 200 apply.
2. **Local Plan**. When a budget modification is made, the college's local plan must be updated to reflect the changes.
3. **Budget changes**. Colleges shall obtain the prior approval from their program coordinator whenever any of the following changes is anticipated under Perkins grant award:
    a. any revision which would result in the need for additional funding
    b. unless waived by the awarding agency, cumulative transfers among direct cost categories, or, if applicable, among separately budgeted programs, projects, functions, or activities that exceed or are expected to exceed 10 percent of the current total approved budget, or funding in a subcategory is insufficient, and **shall be accompanied by a narrative justification for the proposed revision.**
4. **Programmatic changes**. Revision of the scope or objectives of the program requires prior approval.
5. **Final budget amendments** for the current fiscal year must be submitted no later than May 15. ***Any amendments past this date may not be approved.***

Other Considerations

Construction projects.

Construction projects using Perkins funding is typically unauthorized. Renovation to an existing structure for the installation of CTE training equipment may be permitted and requires written prior approval.

Program Income

In accordance with the Uniform Administrative Requirements 2 CFR Part 200, §200.307. All program income consideration must meet the following requirements:

1. Colleges are encouraged to earn income to defray program costs where appropriate. Income realized from Perkins programs must be rolled back into the program from which it was earned, and not the college's general fund.
2. Program income includes income from fees for services performed, from the use or rental of real or personal property acquired with grant funds, from the sale of commodities or items fabricated in the CTE program.

3. Program income does not include interest on grant funds, rebates, credits, discounts, refunds, etc. and interest earned on any of them. Taxes, special assessments, levies, fines, and other such revenues raised by a college are not program income.
4. There are no Federal requirements governing the disposition of program income earned after the end of the award period (i.e., until the ending date of the final financial report), unless the terms of the agreement or the Federal agency regulations provide otherwise.
5. Live work procedures must be adhered to in support of program income.
6. Accurate accounting of revenue, supplies, material, etc. must be maintained.

Basic Cost Guidance/Principles

Factors Affecting Allowability of Costs (Ref: 2 CFR Part 200, § 200.403)

All costs must be:

1. Necessary and reasonable and allocable
2. Conform with federal law and grant terms
3. Consistent with state and local policies
4. Consistently treated
5. In accordance with Generally Accepted Accounting Principles (GAAP)
6. Not included as a match
7. Adequately documented

Direct Costs (Ref 2 CFR Part 200, § 200.413)

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.

Direct costs generally include:

- Salaries and wages (including vacations, holidays, sick leave, and other excused absences of employees working specifically on objectives of a grant or contract – i.e, direct labor costs).
- Other employee fringe benefits allocable on direct-labor employees.
- Consultant services contracted to accomplish specific grant/contract objectives.
- Travel of employees.
- Materials, supplies, and equipment purchased directly for use on a specific grant or contract.

The salaries of administrative and clerical staff should normally be treated as indirect costs. Direct charging of these costs may be appropriate only if all of the following conditions are met:

- Administrative or clerical services are integral to a project or activity
- Individuals involved can be specifically identified with the project or activity
- Such costs are explicitly included in the budget or have the prior written approval of your Program Coordinator
- The costs are not also recovered as indirect costs

Reasonable Costs (Ref 2 CFR Part 200, § 200.404)

Consideration must be given to:

- Whether cost is a type generally recognized as ordinary and necessary for the operation of the college or the proper and efficient performance of the Federal award
- The restraints or requirements imposed by such factors as Federal, state, local, tribal and other laws and regulations and terms and conditions
- Market prices for comparable goods and services in the geographic area
- Whether the individuals acted with prudence under the circumstances considering their responsibility
- No significant deviation from established prices

Practical questions

- Does it help fill a gap identified by the CLNA?
- Do I really need this?
- Is the expense targeted to a valid programmatic/administrative need?
- Is this the minimum amount I need to spend to meet my need?
- Do I have the capacity to use what I am purchasing?
- Did I pay a fair rate?
- If I were asked to defend this purchase, would I be able to?

Allocable Costs (Ref 2 CFR Part 200, § 200.405)

A cost is allocable to a Federal award or cost objective if the goods or services involved are chargeable or assignable in accordance with relative benefits received.

Can only charge in proportion to the value received by the program.

For example – A college purchases a subscription to a course review process to evaluate all courses at the institution. The courses at the college are 80 percent CTE-related and 20 percent college transfer. The college may fund only 80 percent of the subscription with Perkins funds.

Any questions about potential conflicts should be addressed to the college's CTE Program Coordinator.

Non-Allowable Expenditures

Funds typically cannot be used to purchase the following. Contact your Program Coordinator for additional clarification.

• Advertising • Alcohol • Audits except single audit • Awards and memorabilia • Contingencies • Contributions and donations • Entertainment • Expenses that supplant • Facilities • Fines and penalties • Firearms	• Food or beverages • Fundraising • Furniture • Giveaways • General administration apart from program administration • Individual memberships • Memberships or anything related to lobbying • Student expenses or direct assistance to students (except for specific special populations) • Perkins cannot be used as matching funds for other grants

Specific Cost Guidance by Category

The Code of Federal Regulations (CFR) contains specific cost guidance by category in ***Ref: 2 CFR Part 200, §200.420 – §200.475.*** These principles apply whether a cost is treated as direct or indirect. Failure to mention a particular item of cost in these sections of the CFR is not intended to imply that it is either allowable or non-unallowable; rather, determination of allowability in each case will be based on the treatment or standards provided for similar or related items of cost.

Ref: 2 CFR Part 200, §200.420, "In case of a discrepancy between the provisions of a specific Federal award and the provisions below, the Federal award governs. Criteria outlined in *§200.403 Factors Affecting Allowability of Costs* must be applied in determining allowability."

Timely Obligation of Funds

Colleges must make a concerted effort to obligate Perkins funds in a timely manner throughout the fiscal year. Priority must be made to obligate funding in a programmatic response towards improving the college's performance for core indicators, especially in the performance areas that are reported below the targeted levels.

1. Colleges may begin to obligate funds in accordance with their substantially approved form once notified by their program coordinator.
2. Every effort should be made to expend grant funds specifically for capital and non-capital purchases in the **first two quarters of the fiscal year**. This is critical to the efficient and effective use of the grant and to maximize the impact of the funds on student performance throughout reporting year.
3. Modifications to the basic budget may be submitted throughout the fiscal year but no later than May 15, 2021. Attention must be paid to timing of budget amendments to ensure enough time for the planning and approval process. Colleges must provide adequate time to process the request, gain

approval from their program coordinator, implement the change, obligate and expend the funds, and prepare to close out the grant for the year. **All equipment purchased using Perkins funding must be in place and in use, no later than June 30th of the fiscal year**. ***NOTE: Any amendments submitted past May 15 may not be approved.***

Required Certifications

To assure that expenditures are proper and in accordance with the terms and conditions of the Federal award and approved project budgets, the annual and final fiscal reports or vouchers requesting payment under the agreements must include a certification, signed by an official who is authorized to legally bind the College, which reads as follows***: "By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812)."*** When budget documents are submitted to www.ncperkins.org, the individual submitting the documentation will be required to acknowledge this statement. ***Ref: 2 CFR Part 200, §200.415.***

Carryover Procedures

Every effort should be made to completely expend all awarded grant funds each year in an efficient and effective manner. Unused portions of college grant funds will not be allowed for reimbursements. Carryover funds will be returned to the NCCCS. These carryover funds will be included in the overall Perkins allocations to all colleges for the following year.

Procurement Standards & Property Management

General Procurement Standards (Ref: 2 CFR Part 200, §200.318)

All colleges will follow §200.318 General procurement standards through §200.326 - Contract provisions.

Equipment (REF: 2CFR Part 200 §200.313)

<u>Use</u>

1. Equipment must be used by the college in the program or project for which it was acquired as long as needed, whether or not the project or program continues to be supported by the Federal award, and the college must not encumber the property without prior approval of NCCCS. When no longer needed for the original program or project, the equipment may be used in other activities supported by the Federal awarding agency, in the following order of priority:

    a. Activities under a Federal award from the Federal awarding agency which funded the original program or Perkins project, then

    b. Activities under Federal awards from other Federal awarding agencies. This includes consolidated equipment for information technology systems.

2. During the time that equipment is used on the project or program for which it was acquired, the college must also make equipment available for use on other projects or programs currently or previously supported by the Federal Government, provided that such use will not interfere with the work on the projects or program for which it was originally acquired. First preference for other use must be given to other programs or projects supported by Federal awarding agency that financed the equipment and second preference must be given to programs or projects under Federal awards from other Federal

awarding agencies. Use for non-federally funded programs or projects is also permissible. User fees should be considered if appropriate.

3. When acquiring replacement equipment, the college may use the equipment to be replaced as a trade-in or sell the property and use the proceeds to offset the cost of the replacement property.

Management

Procedures for managing equipment (including replacement equipment), whether acquired in whole or in part under a Federal award, until disposition takes place will, as a minimum, meet the following requirements:

Property records must be maintained that include a description of the property, a serial number or other identification number, the source of funding for the property, who holds title, the acquisition date, and cost of the property, percentage of Federal participation in the project costs for the Federal award under which the property was acquired, the location, use and condition of the property, and any ultimate disposition data including the date of disposal and sale price of the property.

   a. All items susceptible to pilferage purchased with Perkins funds must be inventoried and visibly tagged (or alternate method of identification) before being placed into service.

   b. At a minimum, tags will identify the item as purchased with Perkins funds and include an inventory number that corresponds with property records.

   c. Property records must include a description of the property, a serial number or other identification number, the source of property, who holds title, the acquisition date, and cost of the property, percentage of federal participation in the cost of the property, the location, use and condition of the property and any ultimate disposition data including the date of disposal or sale price of the property.

2. A physical inventory of the property must be taken, and the results reconciled with the property records at least annually.

3. A control system must be developed to ensure adequate safeguards to prevent loss, damage, or theft of the property. Any loss, damage, or theft must be investigated.

4. Adequate maintenance procedures must be developed to keep the property in good condition.

5. If the college is authorized or required to sell the property, proper sales procedures must be established to ensure the highest possible return. Consult the Director of CTE at NCCCS prior to selling.

6. Lost, Damaged, or Stolen Items - Colleges must take reasonable precautions to ensure that items purchased with Perkins funding are properly maintained, accounted for, and protected from damage, loss, unreasonable deterioration and theft. Colleges are advised to implement the following controls, and any additional controls felt to be necessary to safeguard the property:

   a. Maintain adequate and current property records that allow the items to be located, and maintain records of the person or persons who have property in their possession or are responsible for their security during non-duty hours. Accountability and responsibility must always be maintained, whether the property is located on-site or off-site.

   b. Provide a secure building and coordinate between the security function and the Property Control Officer, especially regarding security violations or changes affecting official property.

c. Have a written policy and always follow it when checking out property that requires employees to sign for property in their possession.

When property acquired with Perkins funds is lost, damaged or stolen the college must conduct and fully document an investigation. When appropriate, law enforcement authorities should be notified, a police report should be filed and maintained for records, and if the item meets the state's capitalization threshold, insurance provider should be notified.

Disposition

When original or replacement equipment acquired under a Federal award is no longer needed for the original project or program or for other activities currently or previously supported by a Federal awarding agency, except as otherwise provided in Federal statutes, regulations, or Federal awarding agency disposition instructions, the college must request disposition instructions from NCCCS. Disposition of the equipment will be made as follows, in accordance with Federal awarding agency disposition instructions:

1. Items of equipment with a current-per-unit-fair-market value of $5,000 or less may be retained, sold or otherwise disposed of with no further obligation to the Federal awarding agency.

2. Except as provided in §200.312 Federally-owned and exempt property, paragraph (b), or if the Federal awarding agency fails to provide requested disposition instructions within 120 days, items of equipment with a current per-unit-fair-market value in excess of $5,000 may be retained by the college or sold. The Federal awarding agency is entitled to an amount calculated by multiplying the current market value or proceeds from sale by the Federal awarding agency's percentage of participation in the cost of the original purchase. If the equipment is sold, the Federal awarding agency may permit the college to deduct and retain from the Federal share $500 or 10 percent of the proceeds, whichever is less, for its selling and handling expenses.

3. The college may transfer title of the property to the Federal Government or to an eligible third party provided that, in such cases, the college must be entitled to compensation for its attributable percentage of the current fair market value of the property.

4. In cases where a college fails to take appropriate disposition actions, the Federal awarding agency may direct the college to take disposition actions.

Employee Time and Effort

Time and effort reporting guidelines are specified in **2 CFR Part 200 §200.430**. All employees, including instructors, administrators, and other staff who are paid with federal funds are required to document the time and effort they spend within that program. The portion of the federally paid salary should be reflective of the time and effort the individual has put forth for that federal program. See Appendix C for sample forms.

1. Charges to Federal awards for salaries and wages must be based on records that accurately reflect the work performed. These records must:

    a. Be supported by a system of internal control that provides reasonable assurance that the charges are accurate, allowable, and properly allocated;

    b. Be incorporated into the official records of the organization.

2. Employees compensated using Perkins funds are required to maintain auditable time-and-effort documentation that shows how each employee spent his or her compensated time. Such documentation is written, after-the-fact documenting how the time was actually spent (not estimated or budgeted). There are sample forms in Appendix C and on NCPerkins.org. There are three types of time and effort certification reports:

   a. **Semi-annual certifications are required for personnel whose compensation is funded solely from the Perkins grant.** These certifications document that the person has been working solely in activities supported by the Perkins grant. Some colleges may require monthly reports for these personnel. Every six months is only the minimum. The certification must (1) cover a semi-annual period of time, (2) identify Perkins as the program, and (3) be signed and dated by an employee and supervisor having first-hand knowledge of the work performed by the employee.

   b. **Semi-annual certifications are required for personnel whose time is spent solely on Perkins Act allowable activities but is paid in part from Perkins and in part from other sources.** Some colleges (grant colleges) may require monthly reports for these personnel. Every six months is only the minimum. The certification must (1) cover a semi-annual period of time, (2) identify activities that are allowable under the Perkins Act, (3) identify all funding sources, and (4) be signed and dated by an employee and supervisor having first-hand knowledge of the work performed by the employee.

   c. **Monthly certifications are required for personnel whose time is split between Perkins allowable activities and non-allowable activities and is charged in part to Perkins and in part to other sources (split-funded staff).** These reports document the portions of time and effort dedicated to Perkins and to other revenue sources. Such records must (1) be completed after-the-fact, (2) account for the total time for which the employee is compensated, (3) be prepared at least monthly and coincide with one pay period, and (4) be signed by the employee and by an administrator or supervisor.

      If there are differences in the amount of time that an individual is reporting and what is actually being paid, adjustments must be made in the payroll to accurately reflect the time and effort spent on Perkins activities.

   d. ***Time and Effort Guidance for split-time employees with direct services to students***

      If the employees work with both AA/AS and AAS students, the position is considered split. Employees who fall into this category must complete the split time and effort form and record both AAS and AA/AS hours on a weekly basis. The form must be submitted monthly and signed by the employee and their supervisor.

      Documentation of effort should include:

      - Student's program of study
      - Subject area
      - Time spent for each session

      Documentation should be collected monthly and be included with the time and effort form.

Supervisors should reconcile the hours worked with the documentation provided to ensure the hours reported match.

*** Do not include student personal identifying information (PII) in any reports sent to the System Office.

Local Plan Requirements

About the Funds

Perkins CTE grants are designed to enhance Career and Technical Education programs of study in curriculum programs, not continuing education. Colleges should think strategically when budgeting funds. Planning should include all the college curriculum CTE programs of study.

If each program of study at the college receives a supply budget, these local funds for supplies cannot be replaced with federal funds (supplanting). Funds to a particular program can be enhanced (supplement).

The Basic Perkins Grant is federal funding to improve and boost CTE programs of study.

In accordance with the Perkins legislation, Section 134(b)(1) through (12), colleges must conduct certain activities. The following activities and requirements are methods The NCCCS CTE Team uses to manage and monitor the Perkins funds.

Managing the Perkins Basic Grant at your College

Set up a Perkins team at your college to assist in oversight, planning, and implementation of the grant that includes at a minimum a Chief Academic Officer and CTE Deans.

Review current CLNA summaries and determine if they need to be updated or new needs assessments conducted on additional programs.

Using the needs identified in the CLNAs, collaboratively develop, write, and submit for approval, your college postsecondary Perkins application (local plan) and budget with your college team and finance officer.

Ensure the Perkins Basic Grant Acceptance of Allotment and Assurances are signed and followed with appropriate EDGAR guidance.

Coordinate the implementation of grant-funded activities throughout the year.

Coordinate spending with all CTE Programs of Study.

Prepare and submit modifications on the local plan and budget as needed.

Note: Modifications are required when a Voc. Code / line item expenditure exceeds 10 percent or there is a significant change in the local plan.

Equipment purchases must be approved in advance by submitting equipment lists.

Work to enhance the 9-14 CTE Framework -- HS to CC to Work -- CTE Pathways within CCP. Review Memorandum of Understanding with high schools around CTE Programs of Study, this is an extension of the Career and College Promise Memorandum of Understanding.

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Local Plan

Colleges that choose to accept Perkins funds must complete a process that includes the following elements:

- **Local Plan** that describes activities in the six required activity areas outlined in Perkins V – your local plan should tell us how your college is addressing these required activities and how the college plans to spend its allocation.
- **Budget** that corresponds to the local plan
- Signed Statement of **Assurances**
- Signed **Allotment Acceptance** form
- **Job Descriptions** of any positions funded in full or in part by Perkins
- Perkins **contact information**

The Local Plan and budget must be approved prior to spending Perkins funds. Distribution of any Reserve Funds will be in a separate plan and budget.

Mid-Year Update

Each January colleges must complete the status of each activity in their plan. The two furthest right columns of the plan template are for this purpose. Please enter a status then explain more in the second column. Update the equipment list and salaries and note what was changed on those tabs. This update is to show activities planned and accomplished. These updates must be uploaded into NCPerkins.org.

Additionally, there will be four regional meetings in January (see the timeline on page 3 for location and dates). The mid-year regional meetings will be a time to share practices, allowing colleges to learn from each other. Each college is expected to present promising practices they have implemented.

End-of-Year Update

Each June colleges must complete the final status of each activity in their plan. Enter a status then explain more in the second column. Update the equipment list and salaries and note what was changed on those tabs. These updates must be uploaded into NCPerkins.org.

Additionally, each college will submit a one-page narrative (bullets are fine) highlighting the activities in the nine areas this year. A five-minute-or-less promising practices video must be submitted. In June, each college will be given an allotted time to meet online with the NCCCS CTE Team to discuss their video and year's activities.

Accountability

Perkins Core Indicators of Performance

The performance indicators changed from Perkins IV to Perkins V. There are now three accountability measures that are used at both the state and local level. The Perkins V Core Indicators of Performance are:

> **1P1 – Postsecondary Retention and Placement**: Section 113(b)(2)(B)(i) states "The percentage of CTE concentrators who, during their second quarter after program completion, remain enrolled in postsecondary education, are in advanced training, military services, or a service program that receives assistance under title I of the National and Community Service Act of 1990, are volunteers as described in section 5(a) of the Peach Corps Act, or are placed or retained in employment."
>
> **2P1 – Credential, Certificate or Diploma**: Section 113(b)(2)(B)(ii) states "The percentage of CTE concentrators who receive a recognized postsecondary credential during participation or within 1 year of program completion."
>
> **3P1 – Non-traditional Program Enrollment**: Section 113(b)(2)(B)(iii) states "The percentage of CTE concentrators in career and technical programs and programs of study that lead to non-traditional fields."

Each year, the community colleges negotiate with the State a level of performance, or goal, for each indicator. The NCCCS CTE Team publishes the *Perkins Core Indicators of Performance Report* each year, as well as updates a data portal online at https://www.ncperkins.org/data that show the college's progress toward the state and local goals.

Colleges not meeting at least 90 percent of their negotiated performance level for each core indicator must write an **improvement plan** that includes action steps to improve their performance. NCCCS will review the college's proposed plans for sufficiency and relevancy and offer recommendations as appropriate. Progress in meeting the improvements will be monitored throughout the year. Colleges failing to meet or show significant improvement for two consecutive years may be directed to address the core indicator with an agreed upon portion of their Perkins allocation.

Monitoring

General Information

NCCCS conducts ongoing monitoring to ensure the Perkins program is administered correctly and in compliance with federal and state requirements. Technical assistance will be provided where requested or required. NCCCS performs "desktop" and on-site monitoring visits of colleges receiving Perkins grant funds based on risk or noncompliance with Federal statues, regulations, and the terms and conditions of the subaward of the Perkins Act.

NOTE: Additional monitoring requirements may be indicated due to updates or changes to federal monitoring and reporting requirements. Colleges will be notified of these updates in a timely manner to facilitate accurate monitoring.

On-Site Monitoring

Annually, colleges are ranked by risk by a rubric developed by NCCCS CTE staff.

Any findings will be documented and forwarded to the president of the college for the initiation of a corrective action plan. Areas that are found to be commendable or identified as "best practices" will also be included in the documentation forwarded to the president. This will be an opportunity for open dialogue between the college and the state monitoring team, to ask questions and obtain some specific training and professional development needed by the college for Perkins performance improvement.

A letter of findings from the NCCCS will be forwarded to the president of the college within 30 days of the monitoring visit. This report will document the specific findings and will inform the president if any corrective actions are required, and the date due, if applicable.

Perkins Monitoring Overview

Perkins V places emphasis conducting needs assessments and writing local plans to address gaps in program performance while enhancing pathways, aligning programs of study, and providing faculty professional development with accountability measures. As colleges continue the implementation of Perkins V, the NCCCS Perkins team will monitor in the spirit of the new legislation with emphasis on "discovery with technical assistance."

Our 2020-21 monitoring will begin with a general survey of the college's stakeholders, the chief Academic Officers, local Perkins Contacts and CTE deans, faculty and staff. Following the completion of the survey, our monitoring teams will visit the colleges for a review of survey information and monitoring.

This monitoring/technical assistance will seek to assess how colleges are progressing in addressing the elements of Perkins V as they work to strengthen the workforce through their CTE Programs of Study. The monitoring will address:

Faculty Professional Development

We will monitor the professional development activities and strategies the college has implemented with the use of Perkins and local college funds to assist faculty in developing new skills and credentials to enhance Career and Technical Education at the college.

1. How is the college improving faculty knowledge and skills of local industry practices?
2. How are faculty making students aware of all aspects of industry in their teaching,
3. How are faculty improving their teaching through the use of technology?
4. How are faculty discovering opportunities for students to engage in work based learning, including 1) exploring careers, 2) experiencing work, and 3) enhancing instruction through work experience related to classroom learning.

Career Pathways

Over the past years, colleges have been working with high schools to outline and implement career pathways that are documented on a variety of matrices. The team will review the colleges new and or enhanced career pathways, programs of study, and their elements, and ask the following questions:

1. How is the college building relationships between secondary and postsecondary faculty?
2. How is the college building relationships between high school and college counselors?
3. How are employers engaged in the process of initiating and carrying our programs of study?

4. How is career advising informing students of these pathways?
5. How does the college coordinate the secondary to postsecondary pathway for students in pathways?
6. What are different strategies the college is using to infuse work-based learning into programs of study.

Performance

The federal Perkins Act calls for postsecondary institutions receiving federal funds to have a plan for continuous improvement. This is reflected in their annual negotiated levels of performance around (1P1) Students placed in employment; (2P1) Students earning a postsecondary credential and (3P1) Students enrolled in and participating in non-traditional programs of study. A review will include the indicators for continuous improvement. How is your implementation of these new measures progressing, including

1. Presentation of CTE performance indicators to senior college leadership and to the college board of directors
2. Presentation of CTE performance indicators to faculty and developing strategies for continuous improvement
3. Providing for faculty and staff professional development around performance indicators below negotiated levels of performance

Desk Monitoring

Desk monitoring is for those colleges whose risk level does not rise to the level of an on-site monitoring visit. Each college identified will be sent a letter requesting a budget report (XDBR) and documentation on employee time and effort certification and/or equipment purchases. A phone conversation will take place with the state Perkins Team to review Perkins activities and the documentation that was submitted.

Appendix A

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

The Strengthening Career and Technical Education for the 21st Century Act (Perkins V) reauthorized the Carl D. Perkins Career and Technical Education Act of 2006 (Perkins IV). Perkins is a federal education program that invests in secondary and postsecondary Career and Technical Education (CTE) programs.

Perkins is dedicated to increasing learner access to high quality CTE programs of study. This law seeks to ensure programs meet the changing needs of learners and employers with a focus on systems alignment and program improvement. Thus communities, employers, and learners benefit from Perkins.

Perkins places emphasis on real-world skills and practical knowledge within selected career clusters. CTE is an educational option that provides learners at the secondary and postsecondary levels with knowledge and skills needed for college and work.

Perkins CTE sits at the intersection of education, workforce development, and economic development. Perkins has strong ties with the Every Student Succeeds Act (ESSA), the Workforce Innovation and Opportunity Act (WIOA) and The Higher Education Act (HEA). These connections occur though coordinated planning and implementation requirements, cross-statute stakeholder input, and aligned definitions and accountability indicators.

Perkins V has many changes in its implementation such as: Increased **Reserve Fund** to address high numbers and percentages of students in CTE programs in rural areas; stressing rigorous academic standards at the postsecondary level while referencing the WOIA term *recognized postsecondary credential,* which includes industry-recognized credentials and certificates or associate degrees at the subbaccalaureate level. Transcripted (articulated) postsecondary credit, work-based learning, career exploration, and secondary/postsecondary connections are also referenced in the new Perkins act.

Programs of study are emphasized throughout the Perkins legislation, which defines *Programs of Study* as a coordinated, non-duplicative sequence of academic and technical content at the secondary and postsecondary level that incorporate challenging, state-identified academic standards and addresses academic and technical knowledge as well as employability skills aligned to the needs of industries, the region, and state.

Perkins V calls for coordinated **supportive services** for students identified in CTE programs of study as a special populations which now include: (1) Individuals with disabilities; (2) Individuals from economically disadvantaged families, including low-income youth and adults; (3) Individuals preparing for nontraditional fields; (4) Single parents, including single pregnant women; (5) Out-of-workforce individuals; (6) English learners; (7) Homeless individuals; (8) Students who are in or have aged out of, the foster care system; and (9) Students with parents on active duty in the armed forces. Many of these services can be obtained by networking and blending existing programs in the community who serve these populations.

There is an increased emphasis on **work-based learning,** which is clearly defined as sustained interactions with industry or community professionals in real workplace settings (simulated environments as well) that foster in-depth, first-hand engagement with the tasks required of a given career field and must be aligned to curriculum and instruction.

Accountability under Perkins V at the postsecondary level will include:

- The percentage of CTE concentrators who during the second quarter after program completion, remain enrolled in postsecondary education, are in advanced training, military service, a service program, the peace corps or are placed or retained in employment.
- The percentage of CTE concentrators who receive a recognized postsecondary credential during participation in or within one year of program completion.
- The percentage of CTE concentrators in CTE programs that lead to non-traditional fields.

The largest addition to the new law is the **comprehensive local needs assessment** that is conducted every two years, informs the local plan and includes reviews of these five elements:

1) Student performance on the performance indicators including the performance of special populations and subgroups;
2) Whether CTE program are of sufficient size, scope, and quality to meet the needs of all students served by the college and are meeting labor market needs;
3) Progress toward implementation of CTE programs and programs of study;
4) How the college will improve recruitment, retention, and training of CTE professionals including underrepresented groups; and
5) Progress toward implementation of equal access to high-quality CTE courses and programs of study for all students.

Each local college will consult local groups during the needs assessment process and development of the local application including but not limited to: 1) secondary and postsecondary educators, 2) administrators and other support staff, 3) state and local workforce development boards, 4) business and industry representatives, 5) parents and students, 6) representatives of special populations, 7) representatives of agencies serving out of school youth, homeless children, and at-risk youth, 8) representatives of Indian Tribes (where applicable), and other stakeholders.

The **local application** to be eligible for funding will include at a minimum:

1) a description of the comprehensive local needs assessment,
2) Information on state-approved CTE programs of study at the college,
3) How the college with the local workforce board and workforce agencies, one stop delivery systems, and other partners will provide a series of career exploration and career guidance activities,
4) How the college will improve academic and technical skills of students in CTE programs by strengthening the academic and CTE components of such programs through integration,
5) How colleges will provide activities to prepare special populations for high-skill, high-wage, or in-demand occupations that will lead to self-sufficiency, prepare students for nontraditional fields, provide equal access for special populations to CTE courses, programs and programs of study, to ensure that members of special populations are not discriminated against on the base of their status as members of special populations,
6) A description of the work-based learning opportunities that the college will provide to students participating in CTE programs and how the college will work with representatives from employers to develop or expand work-based learning opportunities for CTE students,
7) A description of how the college will provide students participating in CTE the opportunity to gain postsecondary credit while still attending high school,

8) A description of how the college will work to support the recruitment, preparation, retention, and training including professional development of teachers, faculty, administrators and specialized instructional support personnel and

9) A plan for continuous improvement that addresses disparities or gaps in student performance between plan years.

Local use of funds are to be spent to develop, coordinate, implement, and improve career and technical education programs to meet the needs identified in the comprehensive local needs assessment. That is, the local basic grant to colleges is linked to their local needs assessment and the resources aligned with the results of the comprehensive local needs assessment.

Six key required activities of every CTE program include:

1) Career exploration and career development activities through an organized systematic framework,

2) Professional development for CTE professionals,

3) Provide within CTE Programs of Study skills necessary to pursue high-skill, high-wage, or in-demand sectors or occupations,

4) Support integration of academic skills into CTE programs;

5) Plan to carry out elements that support implementation of CTE program and programs of study that result in increased student achievement, and

6) Develop and implement an evaluation of the activities funded by Perkins.

Source: Adapted from: *Strengthening Career and Technical Education for the 21st Century Public Law 115-224 and Advance CTE – State Leaders Connecting Learning to Work Publications*

Appendix B

Career and Technical Student Organizations

Perkins V §135(b)(5)(O) says that Perkins funds may be used to support "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"

The National Coordinating Council (NCC) has established criteria for CTSOs to be recognized, and NCCCS has accepted this criterion and added additional criteria for those CTSOs that may be funded using Perkins V grants by NC Community Colleges. The following criteria must be met:

1. Is a CTSO whose mission and statement of purpose include:
    a. Offer programs that are integral to the industry or occupational focus that may be associated with a career pathways program, program of study, or course.
    b. Serve CTE students and teachers in one or more of the 16 Career Clusters identified in The National Career Clusters Framework. (In NC, this would be in one of the program areas that has a code that begins with 15, 20, 25, 30, 35, 40, 45, 50, 55, and 60.)
    c. Offer programs that include employability skill and leadership activities and training.
2. Is a CTSO whose governance reflects their commitment to CTE by:
    a. Incorporation as a 501(c)(3) not-for-profit corporation in the United States.
    b. Organizing themselves into state geographic units.
    c. Having substantial representation on their board of directors from CTE educators and/or administrators.
3. Has sufficient engagement by CTE students, educators, employers and state departments of education to be considered national in scope:
    a. 20,000 or more student member organized into chapters in middle, secondary, and/or postsecondary institutions (*with a formalized process for election/selection of student leaders/officers at the local, state and national levels and a structured program of work*)
    b. 1,000 or more middle, secondary and/or postsecondary chapters.
    c. Fifteen (15) or more state associations recognized by their state/territorial education agency as integral to their state's CTE instructional program/curriculum. The state/territorial level advisor/leader must be recognized and approved by the state/territorial education agency as an employee and/or contracted for services.
    d. Have an identified, participating, and employed National Executive Director or equivalent.
    e. Have a minimum of 10 career and/or leadership development activities or competitions.

See http://www.ctsos.org/wp-content/uploads/2019/03/2016-Final-Definition-NCC-CTS-JULY-16.pdf

According to the NCC website, there are currently 8 CTSOs that meet their criteria. Of those, the following five may be funded using Perkins V funds at an NC Community College:

1) DECA – for marketing students.
2) Future Business Leaders of America-Phi Beta Lambda (FBLA-PBL)
3) HOSA – Future Health Professionals
4) National FFA Organization (FFA) for agriculture students
5) SkillsUSA

The ACTE website has links to each of these CTSOs and more, see this link for the NCC members https://www.acteonline.org/career-and-technical-student-organizations-make-cte-work/

Appendix C

Time and Effort Forms

There are three types of employees, with three different time-and-effort forms:

1. 100 percent CTE/Perkins approved activities paid 100 percent through the college's Perkins Basic Grant.
2. 100 percent CTE/Perkins approved activities, paid partially through the college's Perkins Basic Grant and partially through another source.
3. Activities are split between CTE/Perkins approved activities that are paid for by the college's Perkins Basic Grant and other activities paid for by other sources. This requires a detailed documentation of time.

Semi-Annual Certification Statement Form

for Employees Working in a Single Federal Award

COLLEGE NAME Time Certification Form

Date: _____

This is to certify that I, _____, have worked **100%** of my time from DATE through DATE on Perkins Act of 2006 allowable Career and Technical Education program activities. Funding for my position is 100% from the Perkins Local Basic Grant.

_____

Signature Position/Title

I have full knowledge of 100% of these activities.

_____

Name Position/Title

Semi-Annual Certification Statement Form

for employees working 100 percent of their time on Perkins Act allowable activities

COLLEGE NAME Time Certification Form

Date: _____

This is to certify that I, _____, have worked **100%** of my time from DATE through DATE on Perkins Act of 2006 allowable Career and Technical Education program activities. Funding for my position is

_____% Perkins Grant

_____% Local/Other Funds

_____

Signature Position/Title

I, _____, have full knowledge of 100% of these activities.

_____

Signature Position/Title

Personnel Activity Report
Split Time & Effort

College:
Employee Name:
Employee Title:
Month/Year:

ANTICIPATED EFFORT	
Perkins	0.00%
Other	0.00%
Other	0.00%
Other	0.00%
TOTAL	0.00%

ACTUAL EFFORT FOR THE MONTH

Dates	Time Spent on Perkins Related Activities	Time Spent on Non-Perkins Related Activities	Sick, Holiday, or Annual Leave *	Actual Effort Hours Total	Perkins Activity Code*
				0	
				0	
				0	
				0	
				0	
Totals	**0**	**0**	**0**	**0**	
		Total All Hours	0		

*Perkins Activity Code Description

11
12
13
14
15
16
17
18
19

Employee Signature Date

Supervisor signature Date

I hereby certify that the information contained in this Personnel Activity Report accurately reflects 100% of my actual time and effort distribution for the month reported.

Appendix D

Perkins Online Data System (NCPerkins.org) Instructions

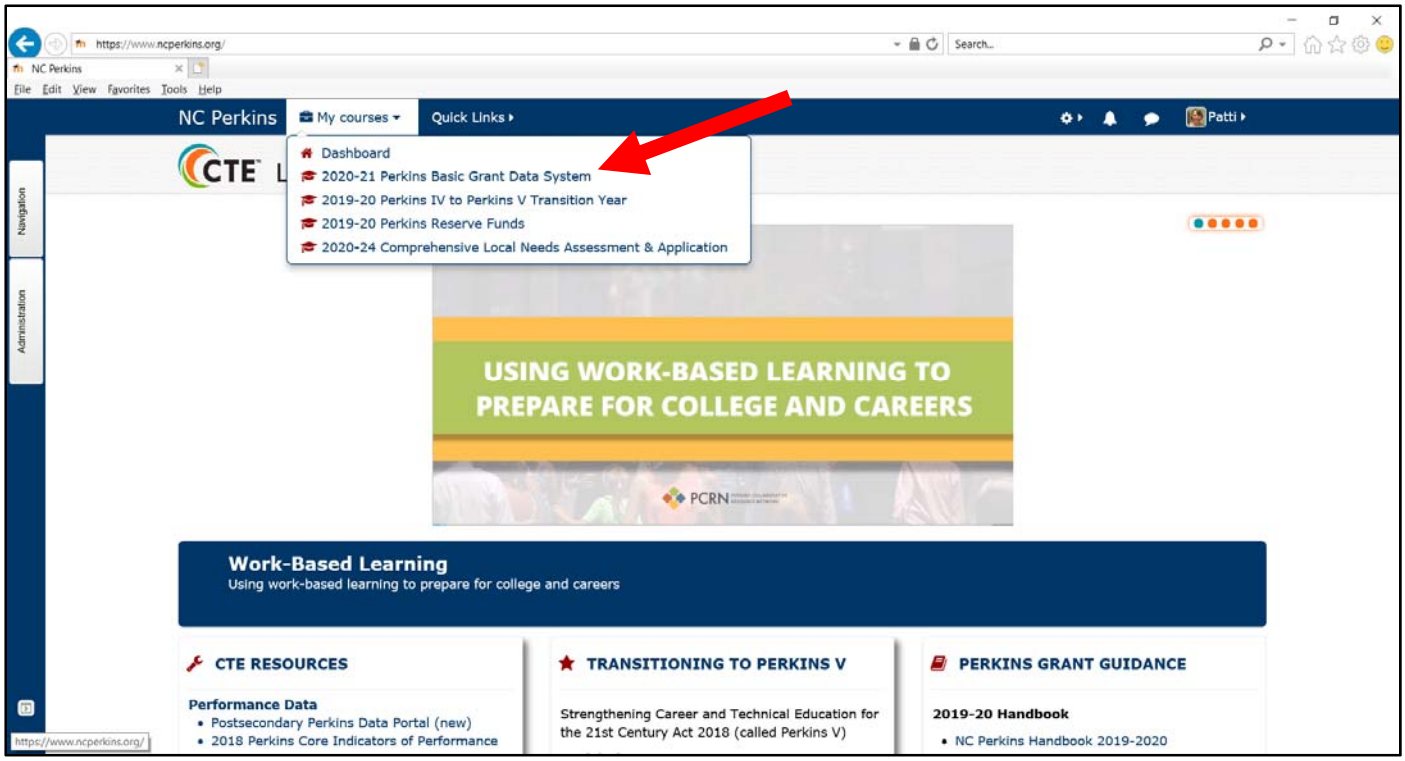
Accessing the Perkins Online Data System

To access the Perkins Online Data System, visit https://www.ncperkins.org/.

To login to the system, click the "Log in" link in the top, right corner of the page. It might say "Guest."

Enter the username and password for your college. You may have a separate personal account, but be sure to use the college account.

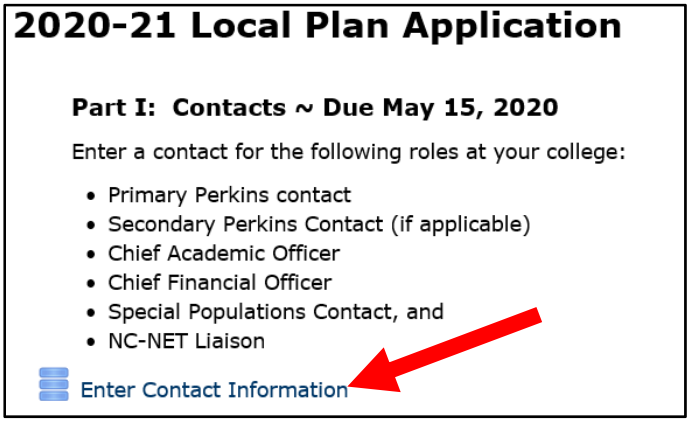
To access the Perkins Online Data System main page, click "My courses" and then "2020-21 Perkins Basic Grant Data System."



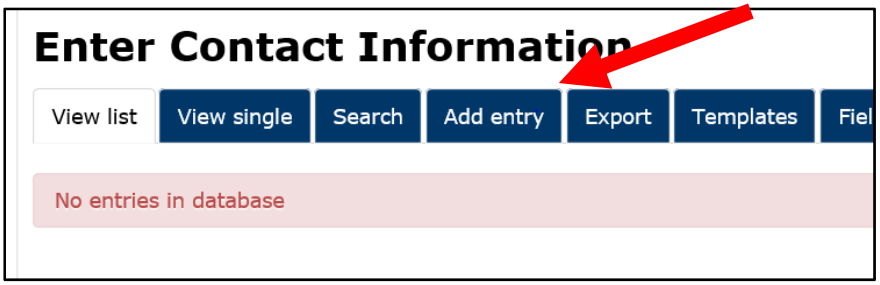
Part I – Contacts

Each college needs to provide contact information for their local Perkins coordinator, chief academic officer, chief financial officer, special populations contact, NC-NET liaison and an optional secondary contact.

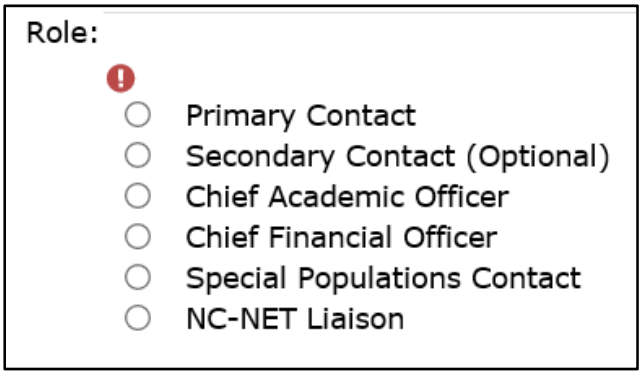
1. Click on Enter Contact Information



2. Click on **Add entry**



3. Enter the contact information as required. There should be an entry for each role except secondary contact, as that is optional. You may enter more than one for a category.



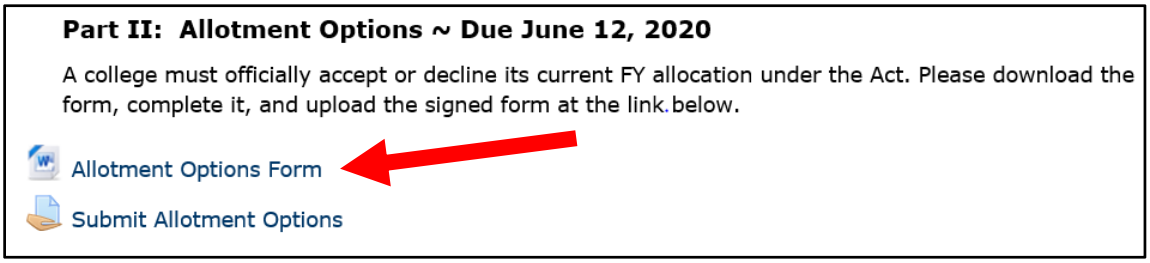
4. Click Save and view. Repeat steps to enter a contact for each role except secondary contact, as that is optional. You may enter more than one person for each category.

Part II – Allotment Options

College must officially accept or decline its current fiscal year allocation under Perkins V by submitting an Allotment Acceptance Form. This form must be signed by the college's president and board chair.

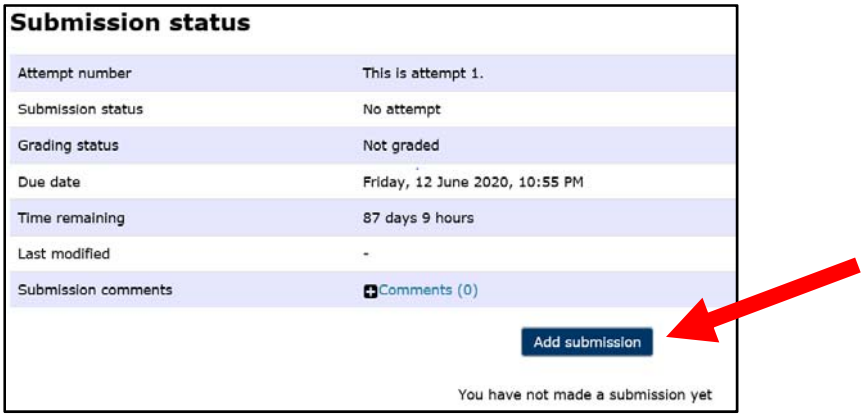
1. Sign in to NCPerkins.org, then click "My Courses" and then "2020-21 Perkins Basic Grant Data System."

2. Click on Allotment Options Form to open the form.

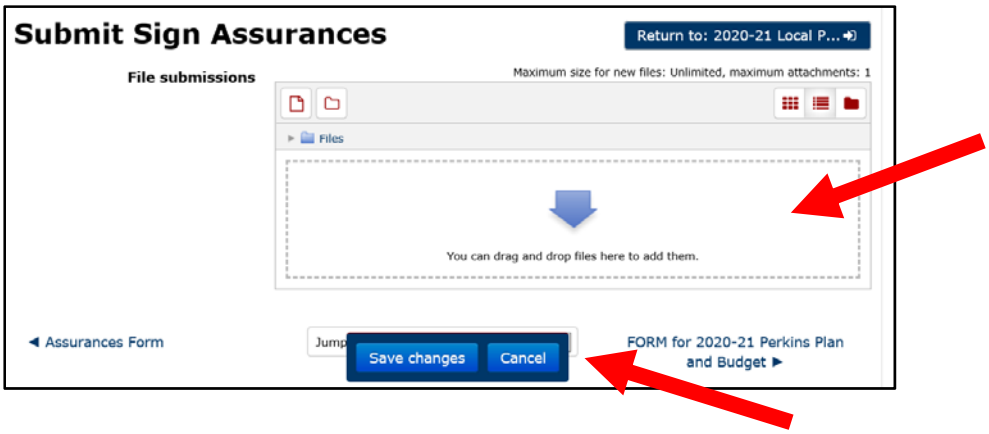


3. Complete the form and obtain the appropriate signatures, then scan the signed form as a PDF File.

4. Click "Submit Allotment Options" (see photo above) and then click on "Add Submission"



5. Drag and drop the PDF file into the File submission area.



6. Once the file appears in the file submission area, click the **Save Changes** button shown in the photo above.

Part III – Assurances

The Assurances document is signed by the president and college board chair assuring that the funds will be spent properly and that and rules will be followed. The process for downloading the form, completing it and uploading it is the same for the Allotment.

1. Sign in to NCPerkins.org, click on the drop down item “My courses” and then open “2020-21 Perkins Basic Grant Data System.”

2. Click on the **Assurances Submission** link.

3. Download the **Assurances form**, print, and obtain the appropriate signatures and **scan as a PDF file**.

4. Return to the main page and click on the Submit Assurances Form link.

5. Click on the **Add Submission** button.

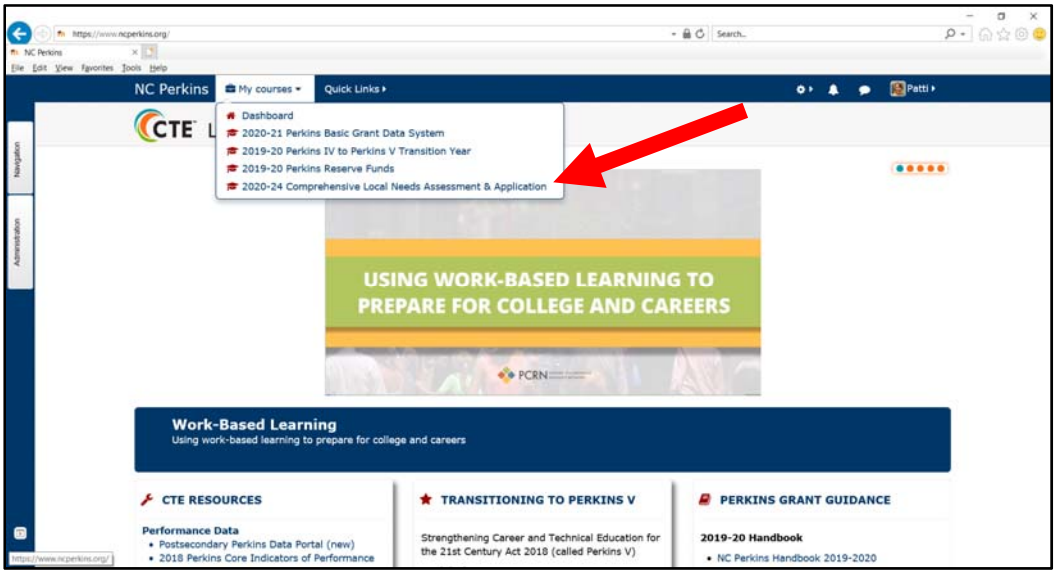
6. Drag and drop the PDF file into the File submission area.

7. Once the file is visible in the file submission area, click the **Save Changes** button

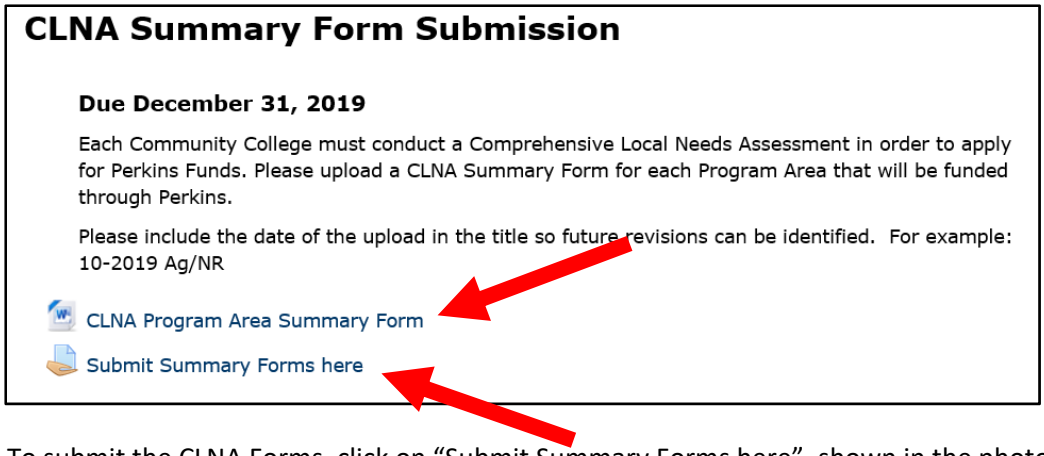
Comprehensive Local Needs Assessment

The Perkins V application is for four years and based on the CLNA. Because it is not an annual application, there is a separate course where it should be submitted.

1. Sign in to NCPerkins.org, click on the drop down item “My courses” and then open “2020-24 Comprehensive Local Needs Assessment & Application”



2. To open the CLNA Summary form click on the WORD Link.



3. To submit the CLNA Forms, click on "Submit Summary Forms here", shown in the photo above.

4. Click on the **Add Submission** button.

5. Drag and drop the PDF file into the File submission area.

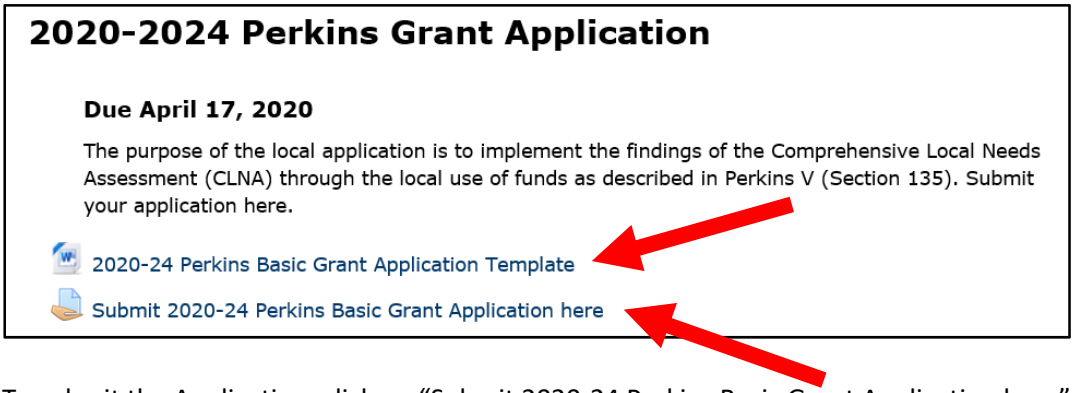
6. Once the file is visible in the file submission area, click the **Save Changes** button

Application

The Perkins V application is for four years and based on the CLNA. Because it is not an annual application, there is a separate course where it should be submitted.

1. Sign in to NCPerkins.org, click on the drop down item "My courses" and then open "2020-24 Comprehensive Local Needs Assessment & Application"

2. To open the Application template, click on the WORD link



7. To submit the Application, click on "Submit 2020-24 Perkins Basic Grant Application here", shown in the photo above.

8. Click on the **Add Submission** button.

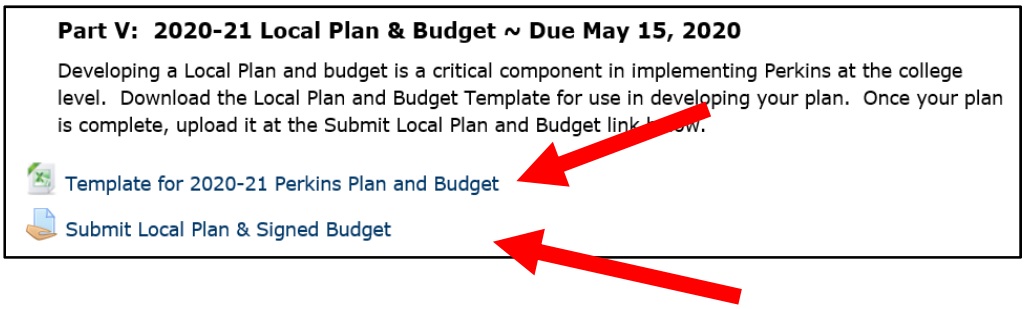
9. Drag and drop the PDF file into the File submission area.

10. Once the file is visible in the file submission area, click the **Save Changes** button

Part IV – Local Plan & Budget

1. Sign in to NCPerkins.org, click on the drop-down item "My courses" and then open "2020-21 Perkins Basic Grant Data System."

2. Click on the "Template for 2020-21 Perkins Plan and Budget" link to open the template. Save in Excel with your college's name.

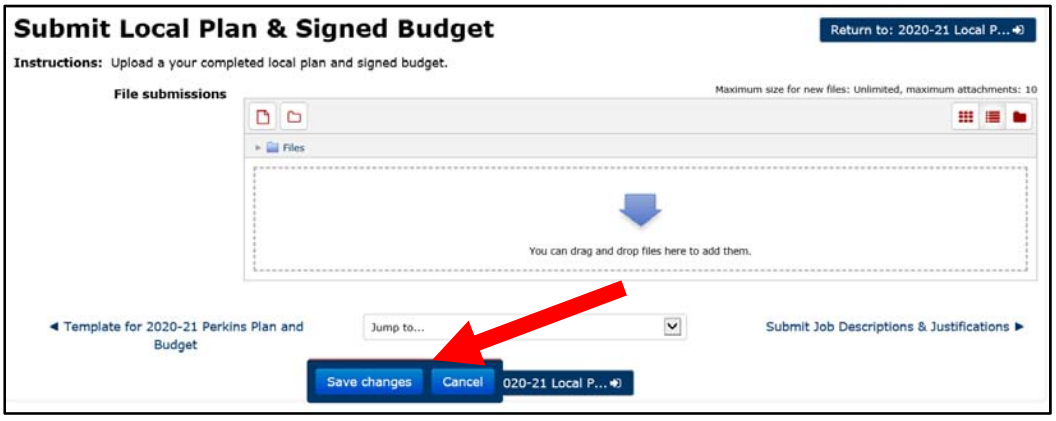


3. Once your local plan is complete, return to the main page and click on the **Submit Local Plan & Signed Budget** link.

4. Click on the **Add Submission** button.

5. You will be able to upload both the Excel file and a separate scanned PDF of the signed budget page. Drag and drop the files into the File submission area.

6. Once the file is visible in the file is visible in the file submission area, click **Save Changes**.



Part V – Job Descriptions

If applicable, upload job descriptions for positions funded through Perkins.