

CARL D. PERKINS MONITORING GUIDELINES



OFFICE OF CAREER-TECHNICAL EDUCATION
Revised August 2022

Introduction

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

Purpose of the Carl D. Perkins 21st Century Act

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

Perkins V Local Use of Funds

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

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

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

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

Getting Help

General Assistance

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

Ohio Department of Education		
Jonathan C. Beard Assistant Director, Local Needs Assessment Cell: (614) 980-7539 jonathan.beard@education.ohio.gov	Sean Kesler Administrative Professional (P) 614-387-0432 sean.kesler@education.ohio.gov	Rheshia Young-Willingham Education Program Specialist (P) 614-387-6001 rheshia.young-willingham@education.ohio.gov
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Career-Technical Education Compliance Tracking System

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

Accessing the Career-Technical Education Compliance System

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

Perkins Monitoring Process Guidelines

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

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

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

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

Submission of Self-Assessment

Step 1: Submission of the survey response in the Compliance Tracking System

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

1. Access the electronic monitoring system, located through [OHID](#) portal.
2. Respond to the requirements under the sections entitled: (A) Stakeholder Engagement, (B) Program Improvement Opportunities and Equity, (C) Recruitment and Retention, (D) Financial Components, (E) Require Use of Funds and (F) Elementary and Secondary School Emergency Relief Coronavirus Aid, Relief, and Economic Security (CARES) Act.
3. All Recipients are required to submit evidence with the survey questions. Submit the completed self-assessment and documentation to the department by **December 19, 2022**. Submitting a self-assessment after the deadline will result in a full or scheduled on-site review.

Selection Criteria for Full Review

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

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

STEP 2: Telephone Review

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

STEP 3: On-Site Review

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

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

FINAL STEPS

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

Self-Assessment Requirements

A. Stakeholder Engagement- Access the [COVID-19 Virtual Meeting Guidance](#) document for more information.

Requirement 1

The eligible recipients yearly operational plan (Perkins V Local Application) was reviewed by stakeholders to address the [Comprehensive Local Needs Assessment](#).

- A stakeholders meeting was held between July 1, 2021 - June 30, 2022.
- A sign-in sheet for stakeholder members, including their names, titles and the constituencies they represent is on file, or documentation in line with the COVID-19 Virtual Meeting Guidelines is in place. Access the [COVID-19 Virtual Meeting Guidance](#) document for more information.
- Minutes reflecting a discussion of workforce need and Perkins performance measures are on file.
- The Career-Technical Planning District did not conduct a stakeholders meeting.

Required evidence:

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

Requirement 2 (Perkins Secondary)

An advisory committee meeting was held for each program in the Career-Technical Planning District for discussing performance, program quality, and workforce need either in person or virtually. Access the [COVID-19 Virtual Meeting Guidance](#) document for more information.

- A meeting was held for each program in this school July 1, 2021-June 30, 2022.
- Sign-in sheets for each program with advisory committee members, their names, titles, and the constituencies they represent is on file. Access the [Stakeholder and Advisory Council Meeting Minutes Checklist](#) for more information.
- Discussion of technical skill attainment and placement, as well as workforce need, are reflected in the minutes for each program.
- The Career-Technical Planning District did not conduct an advisory council meeting for all CTE programs.

Required evidence:

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

B. Program Improvement Opportunities and Equity**Requirement 1**

Provide students with a strong experience and understanding of all aspects of an industry, which may include work-based learning experiences:

- Work-based learning experiences (such as paid employment, paid or unpaid internships, entrepreneurship, pre-apprenticeships and apprenticeships, school-based enterprises and simulated work experiences) are aligned to the career-technical education program(s) of study.
- Work-based learning experiences include a learning agreement signed by all participants (students, parents and caregivers, educators and employers/business mentors) and evidence of positive evaluation from both an instructor/educational representative and an employer/business mentor.
- Work-based learning opportunities have not been implemented.

Required evidence:

Learning agreements (Submit one-two pathways).

Requirement 2

Initiate, develop, improve, modernize or expand career-technical education programs, including the relevant use of technology which may include:

- Training of career and technical education teachers, faculty and administrators to use technology, which may include distance learning technology.
- Updating programs to meet industry standards and updating or adapting equipment to support students with disabilities.
- N/A

Required evidence:

Documentation in the form of purchase order(s) that evidences professional development activities or an agenda(s).

Provide a brief explanation of how federal Perkins funds were utilized to accomplish this section.

Requirement 3

Career-technical education programs addressed equity issues and provided equal opportunities to individuals without discrimination on the basis of race, color, national origin, sex, marital status, disability, creed or age. [Ohio Administrative Code 3301-61-03\(D\)\(8\)](#)

- What is your admission process for students entering into a career-technical education program?

Required evidence:

Upload admission policy.

Provide a brief explanation of how federal Perkins funds were utilized to accomplish this section.

C. Recruitment and Retention

Requirement 1

- Provide ongoing in-service and pre-service professional development.
- Provide mentoring and onboarding for new CTE instructors.
- Professional development was not provided.

Required evidence:

1. A sample of approved professional development purchase orders.
2. A list of approved professional development activities conducted outside of the district.
3. Agendas of professional development activities provided on-site.
4. Other supporting evidence.

D. Financial Components

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

Requirement 1

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

Required evidence:

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

Requirement 2

- A budget ledger report detailing Perkins expenditures is on file for the program period beginning July 1, 2021 – June 30, 2022.

Required evidence:

A copy of the Budget Ledger (BUDLED) Report that includes all Perkins expenditures.

Requirement 3

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

Required evidence:

A tracking documentation sample is attached.

E. Required Use of Funds

Note: Select only the **Perkins V Required Use of Funds** checked as strategies on the Local Application.

SECTION 135 (b) REQUIRED USES: Funds made available to eligible recipients under this part shall be used to support career and technical education programs that are of sufficient size, scope and quality to be effective.

Level 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.

Level 2: Provide professional development for teachers, faculty, school leaders, administrators, specialized instructional support personnel, career guidance and academic counselors or paraprofessionals.

Level 3: Provide within career-technical education the skills necessary to pursue high-skill, high-wage or in-demand sectors or occupations.

Level 4: Support integration of academic skills into career-technical education programs and Program of Study.

Level 5: Plan to carry out elements that support implementation of career-technical education program and programs of study that result in increased student achievement.

Level 6: Develop and implement an evaluation of the activities funded by Perkins including evaluations necessary to complete the comprehensive needs assessment.

Required Evidence:

Provide supporting documentation for the checked Perkins activities.

E. Elementary and Secondary School Emergency Relief (ESSER) Coronavirus Aid, Relief, and Economic Security (CARES) Act**Requirement 1 (Perkins Secondary)**

Career-Technical Planning District used Elementary and Secondary School Emergency Relief (ESSER) funds to supplement and address emergency relief for COVID-19 Perkins-related activities.

No Elementary and Secondary School Emergency Relief (ESSER) funds were used to provide COVID-19 Perkins-related activities.

Required evidence:

Provide a brief explanation of how federal Elementary and Secondary School Emergency Relief (ESSER) funds were utilized to accomplish this section.

Comment box