CARL D. PERKINS MONITORING GUIDELINES

OFFICE OF CAREER-TECHNICAL EDUCATION
Revised September 2021

Ohio | Department of Education

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	
Rhedeshia Young-Willingham Education Program Specialist (P) 614-387-6001 Rhedeshia.Young-Willingham@education.ohio.gov	**Tawanna Fields-Mphande** Education Program Specialist (P) 614-387-2243 tawanna.fields-mphande@education.ohio.gov	**Michelle Ward, JD** Methods of Administration/Office of Civil Rights Coordinator Education Program Specialist (P) 614-466-5576 michelle.ward@education.ohio.gov
Ohio Department of Higher Education		
Anthony M. Landis Senior Director, College and Career Access & Success (614) 387-1214 alandis@highered.ohio.gov	**Jeffrey Gove** Director, Perkins Reporting and Compliance (P) 614-752-1642 jgove@highered.ohio.gov	**Verda McCoy** Assistant Director, Postsecondary Career Pathways (P) 614-387-1020 vmccoy@highered.ohio.gov

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 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 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 and Administrative Field Service 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 OH|ID portal.

2. Respond to the requirements under the sections entitled (A) Stakeholder Engagement, (B) Program Improvement Opportunities and Equity, (C)Financial Components and (D) Require Use of Funds (E) Elementary and Secondary School Emergency Relief Coronavirus Aid, Relief, and Economic Security (CARES) Act.

3. Collect evidence placing it in an electronic file for future reference. **Important:** Recipients are not required to submit evidence unless selected for a **full review**. Submit the completed self-assessment to the department by **December 10, 2021**. The submission of a self-assessment after the deadline will result in a full review or a scheduled on-site review.

4. **Note:** Unless selected for a **full review** or additional information is requested by the program specialist, this will conclude the submission of the self-assessment process.

Selection Criteria for Full Review
1. Thirty percent (30%) of all Career Technical Planning Districts and thirty percent (30%) of postsecondary Perkins sub-recipient fiscal agents are selected each year for submission of the self-assessment.
2. The Departments staff will select 20% of the one-third to participate in a full review. Recipients selected for a full review are required to submit 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. A notification will be sent to recipients selected for a **full review** to upload available electronic evidence into the compliance tracking system. The deadline for submission of evidence is **January 31, 2022.**
5. If there is no substantive evidence to support a compliant rating, this represents a noncompliant finding, and a Corrective Action Plan is required.
6. Any questions concerning the process should be directed 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, or (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, 2020-June 30, 2021.

☐ 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.

Required essential evidence:

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

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, 2020-June 30, 2021.

☐ 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.

Required essential 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.
5. Media examples, including mailed flyers concerning the Career-Technical Planning District's programs.
6. Other supporting evidence.

B. Program Improvement Opportunities and Equity

Requirement 1

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

☐ Work-based learning opportunities are linked to the career-technical education program(s) of study, such as paid employment, entrepreneurial experiences, apprenticeships, internships, remote/virtual and simulated work environments.

☐ Work-based learning opportunities include a formal training plan with follow-up and evaluation by a work-based learning coordinator.

☐ Other applicable training opportunities.

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, and which may include distance learning technology.

☐ Updating programs to meet industry standards and updating or adapting equipment to support students with disabilities.

☐ Other

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.

☐ The education community has procedures, including eliminating barriers such as admission requirements, for increasing the enrollment of special populations in career-technical education programs.

☐ Professional development activities on diversity, including gender equity, are planned and implemented regularly for staff.

☐ Other training opportunities.

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C. 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.

☐ N/A

Required evidence:

A position description for each employee partially or fully paid using Perkins funds is on file.

A work log for each employee paid partially from more than one Federal source is on file.

A semi-annual verification document for each employee paid fully out of Perkins is on file.

Requirement 2

☐ A budget ledger report detailing Perkins expenditures is on file for the program period beginning July 1, 2020 – June 30, 2021.

Required evidence:

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

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D. Required Use of Funds

Select only the **Perkins V Required Use of Funds** checked as strategies on the Comprehensive Local Needs Assessment and 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.

☐ 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.

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

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

☐ Support integration of academic skills into career-technical education programs and Program of Study.

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

☐ 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

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