



COMMUNITY COLLEGES
BUREAU OF CAREER AND TECHNICAL EDUCATION

**PERKINS IV POLICIES AND
PROCEDURES**

December, 2015



State of Iowa
Department of Education
Grimes State Office Building
400 E 14th St
Des Moines, IA 50019-0146
www.educateiowa.gov

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Purpose of the Guide

The Iowa Department of Education's Division of Community Colleges offers this guide as a resource for secondary and postsecondary eligible recipients submitting applications for funding under the Carl D. Perkins Career and Technical Education Act of 2006 (Perkins IV). The purpose of the guide is to provide an understanding of federal and state requirements and guidance developed for career and technical education (CTE) programs benefiting from Perkins IV. This guide highlights specific sections of Perkins IV that are critical for understanding the requirements of the Act.

Perkins IV began on July 1, 2007 and replaced the 1998 Carl D. Perkins Vocational and Technical Education Act (Perkins III). Iowa submitted a one-year Transition Plan for 2007-2008 and a five-year State Plan covering 2008-2013 in March, 2008. The United States Department of Education, Office of Vocational and Adult Education (OVAE)¹, approved Iowa's initial Perkins IV State Plan in July, 2008. Revisions to the initial plan have occurred annually since fiscal year 2011. Although the Perkins law was scheduled to expire at the completion of the 2012-2013 program year, it will remain enacted under continuing resolution until otherwise addressed by Congress.

The provisions of Perkins IV were accepted by the State of Iowa per Iowa Code § 258.

258.1 Federal Act accepted.

The provisions of the Act of Congress known as the Carl D. Perkins Vocational and Technical Education Act of 1998, codified at 20 U.S.C. § 2301 et seq., originally known as the Vocational Education Act of 1963, and enacted December 18, 1963, as part A of Pub. L. No. 88-210, 77 Stat. 403, and all amendments thereto and the benefit of all funds appropriated under said Act and all other Acts pertaining to vocational education, are accepted.

Each school district, consortium, community college, and eligible state correctional agency with career and technical education programs improved with Perkins IV Title I funds has an assigned Iowa Department of Education (DE) liaison. The list of liaisons and contact information is included in [Appendix D](#).

The State Board of Education is the sole state agency responsible for the grant monies received from this Act. The Iowa Department of Education, specifically the Division of Community Colleges, has been assigned the administrative function. This function involves allocation and oversight of the funds awarded to eligible recipients to assure the intent of the law is being met. The DE has authority to place additional requirements as necessary to align with Iowa Code and Iowa Administrative Code.

¹ The Office of Vocational and Adult Education (OVAE) is now called the Office of Career, Technical, and Adult Education (OCTAE)

Purpose of the Perkins IV Act²

The purpose of this Act is to develop more fully the academic and career and technical skills of secondary education students and postsecondary education students who elect to enroll in career and technical education programs, 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 high-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, including tech prep education;
- 4) conducting and disseminating national research and disseminating information on best practices that improve career and technical education programs, services, and activities;
- 5) providing technical assistance that—
 - a. promotes leadership, initial preparation, and professional development at the State and local levels; and
 - b. improves the quality of career and technical education teachers, faculty, administrators, and counselors;
- 6) supporting partnerships among secondary schools, postsecondary institutions, baccalaureate degree granting institutions, area career and technical education schools, local workforce investment boards, business and industry, and intermediaries; and
- 7) providing individuals with opportunities throughout their lifetimes to develop, in conjunction with other education and training programs, the knowledge and skills needed to keep the United States competitive.

² Carl D. Perkins Career and Technical Education Improvement Act of 2006, Sec. 2

Related State Statutes and Rules

There are numerous state statutes regarding career and technical education in Iowa that are found in Iowa Code and further clarified by Iowa Administrative Code (a.k.a., rule). The statutes and rules cited within this document are provided below. The most recently published versions of these references can be accessed via the Iowa Legislature website, <https://www.legis.iowa.gov/law/statutory>.

Iowa Code

<u>Section</u>	<u>Title</u>	<u>Citation</u>
256	Department of Education	Iowa Code § 256
258	Vocational Education	Iowa Code § 258
260C	Community Colleges	Iowa Code § 260C
261E	Senior Year Plus	Iowa Code § 261E

Iowa Administrative Code

<u>Agency Number</u>	<u>Chapter</u>	<u>Title</u>	<u>Citation</u>
281	12	General Accreditation Standards	281 IAC 12
281	21	Community Colleges	281 IAC 21
281	22	Senior Year Plus	281 IAC 22
281	24	Community College Accreditation	281 IAC 24
281	46	Vocational Education Programs	281 IAC 46
282	17	Career and Technical Endorsements and Licenses	282 IAC 17

State Plan

As allowed by the Act, the Iowa Department of Education submitted a Perkins IV One-Year Transition State Plan³ to the United States Department of Education in March, 2007 for fiscal year 2008. This was followed by the Perkins IV Five-Year State Plan, submitted in March, 2008, for fiscal years 2009-2013. In accordance with Office of Career, Technical, and Adult Education (OCTAE) guidelines, this plan was extended to include fiscal year 2015. The state will adhere to the existing plan, including any annual modifications, for the term during which the Perkins IV Act is under continuing resolution.

The State Plan addresses the requirements specified in Sec. 122 of the Perkins Act⁴, and forms the basis for many of the policies and procedures outlined within this document. The initial Five-Year State Plan, as well as revisions that have occurred in subsequent years, is posted under the Perkins tab with the Career and Technical Education section of Iowa Department of Education website, <https://www.educateiowa.gov/adult-career-community-college/career-and-technical-education>.

Consolidated Annual Report (CAR)

The DE must provide an annual report to the Office of Career, Technical, and Adult Education describing its progress toward addressing the items included in its state plan. This report, which is submitted in December for the immediate past program year, consists of three main components: 1) a narrative, 2) performance data, and 3) fiscal data. Copies of submitted reports are posted on the above mentioned website, under the Data tab.

Narrative

The CAR narrative includes details regarding the following items.

- Student definitions
- Implementation of state leadership activities
- Progress in developing and implementing technical skill assessments
- Implementation of state program improvement plans (if applicable)
- Implementation of local program improvement plans

³ Carl D. Perkins Career and Technical Education Improvement Act of 2006, Sec. 4

⁴ Refer to 281 IAC 46.1 – 46.5 for state rules associated with development of the State Plan

Performance Data

The CAR performance data report includes state-level, aggregate data, as well as disaggregated data for students by race/ethnicity and each of the special populations categories identified in the Perkins IV Act, for each of the following.

- Student enrollment (secondary and postsecondary)
- Secondary core indicators of performance
- Postsecondary core indicators of performance

Fiscal Data

Federal funds under Perkins IV are available for obligation in the state for a 15 month period from July in the fiscal year for which the funds were appropriated through September 30 of the following fiscal year (referred to as the "funding period"). Any unobligated Perkins IV funds (i.e., carryover) are then covered by the Tydings Amendment, which grants an additional 12 months to obligate those funds. As a result, the state has up to 27 months to obligate funds awarded in any fiscal year.

The CAR fiscal data includes two separate forms to meet the requirement for the submission of annual Financial Status Reports (FSRs) to the U.S. Department of Education: an interim FSR and a final FSR. The interim report covers the first 15 month period for which the grant was awarded, while the final report covers the entire 27 month period for which the grant was awarded.

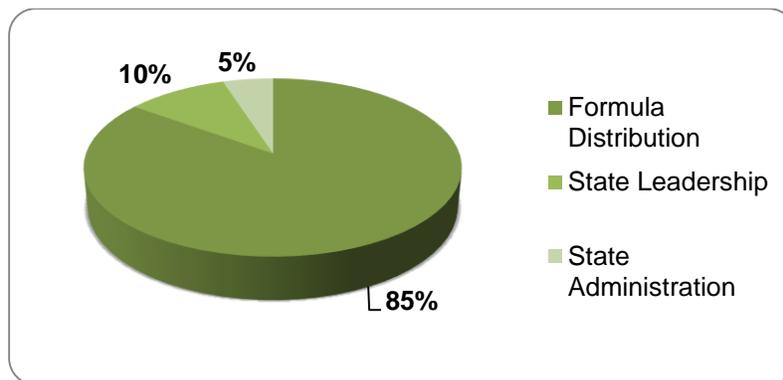
Perkins Basic Continuation Grant - Anticipated Timeline

- | | |
|-----------|---|
| July | <ul style="list-style-type: none"> • Fourth quarter/remaining claims for the immediate past fiscal year are submitted via IowaGrants (hard deadline: July 31). • DE distributes Perkins Basic Continuation Grant application approval notifications for the current fiscal year. • Claims for the current fiscal year can begin (upon application approval). |
| August | <ul style="list-style-type: none"> • DE distributes Perkins Basic Continuation Grant award letters for the current fiscal year. • Final claims for the immediate past fiscal year are processed and paid. • Postsecondary (community college) data for the immediate past academic year are submitted to the DE via the Management Information System (MIS). • Secondary (district) data regarding POS progress for the past fiscal year are submitted to the DE via the Secondary CTE Reporting Application. • Anticipated secondary program offerings for the current academic year are submitted via the Secondary CTE Reporting Application. |
| September | <ul style="list-style-type: none"> • Accountability data for the previous fiscal year are verified. |
| October | <ul style="list-style-type: none"> • State-level Perkins accountability reports for the previous fiscal year are generated by the DE. • First quarter claims are submitted. |
| December | <ul style="list-style-type: none"> • Districts submit Winter Student Reporting in Iowa (SRI) files for the current academic year to the DE. • CTE data from the SRI files are tied to the CTE reporting system (the Secondary CTE Reporting Application). • Districts verify the secondary CTE programs and courses in operation for the current academic year via the Secondary CTE Reporting Application. • DE submits the State Consolidated Annual Report (CAR) narrative and accountability data for the immediate past fiscal year to OCTAE via the federal reporting site and EDEN (secondary data). |
| January | <ul style="list-style-type: none"> • DE CTE discipline consultants review district program and course information in the Secondary CTE Reporting Application. • Second quarter claims are submitted. |
| March | <ul style="list-style-type: none"> • OCTAE provides feedback regarding the CAR to the DE. |
| April | <ul style="list-style-type: none"> • DE submits State Plan revisions, if any, to OCTAE. • DE distributes local accountability (data) reports for previous fiscal year to eligible recipients. • Third quarter claims are submitted. |
| May | <ul style="list-style-type: none"> • OCTAE provides estimated fiscal year state allocations. • Districts ensure they have completed student reporting in the secondary CTE Reporting Application. Consultants verify information is correct. • DE posts Perkins IV Continuation Grant Applications via IowaGrants. |
| June | <ul style="list-style-type: none"> • Eligible recipients submit Perkins Basic Continuation Grant applications, including improvement plans (if applicable), via IowaGrants. • DE regional CTE consultants review submitted grant applications • Local eligible recipients reach agreement on local performance levels. • DE regional consultants review and approve applications via IowaGrants. |

Financial Requirements

As specified in the Act, Perkins IV Title I funds allocated to the state are distributed among three categories: 1) those provided to eligible recipients through formula-based distribution; 2) those used for state leadership activities; and 3) those used for state-level administration of the grant. The percentage of the state's allocation dedicated to each of these categories is shown in Figure 1.

Figure 1. Distribution of Title I Funds



Basic Grants⁵

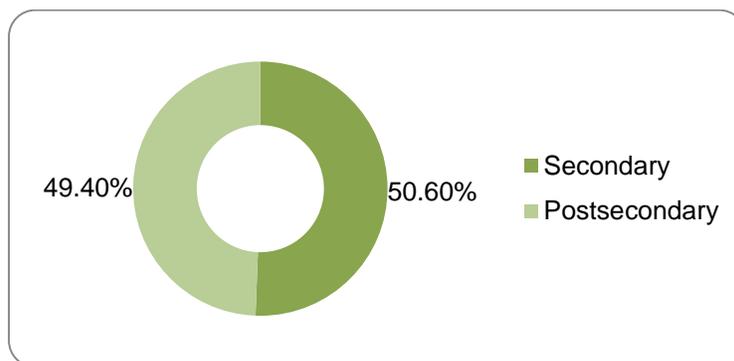
85 percent of the funds allocated to the state must be distributed to secondary and postsecondary recipients. Of this portion of the allocation, the state may reserve an amount not to exceed 10 percent (i.e., “reserve fund”) for distribution outside of the funding formula. Details regarding use of these funds are provided in the “Perkins Reserve Funds” section of this document.

The funds allocated to the formula-based distribution category are split between secondary and postsecondary eligible recipients. As described in the State Plan and illustrated in Figure 2, 50.6 percent of the funds received in Section 112(1)(a) will be distributed to the secondary sector and 49.4 percent of the funds will be distributed to the postsecondary sector.⁶ Additionally, each community college must expend a minimum of 5.4 percent of its annual Basic Grant allocation to improve program linkages between secondary and postsecondary career and technical education.

⁵ Refer to Sec. 112(a)(1)

⁶ Refer to VI.A.1

Figure 2. Secondary – Postsecondary Distribution Split



Determination of funds available for each eligible recipient via the Basic Grant is done through a formula basis, as specified in Sec. 131 (secondary) and Sec. 132 (postsecondary). **All funds that are not used in the fiscal year awarded are carried forward to the next fiscal year and redistributed through the formula.**

Secondary Allocations (Sec. 131)

- 1) Thirty percent shall be allocated to such local educational agencies (LEAs) in proportion to the number of individuals aged 5 through 17, inclusive, who reside in the school district served by such local educational agency for the preceding fiscal year compared to the total number of such individuals who reside in the school districts served by all local educational agencies in the State for such preceding fiscal year, as determined on the basis of the most recent satisfactory—
 - a. data provided to the Secretary by the Bureau of the Census for the purpose of determining eligibility under title I of the Elementary and Secondary Education Act of 1965; or
 - b. student membership data collected by the National Center for Education Statistics through the Common Core of Data survey system.

- 2) Seventy percent shall be allocated to such local educational agencies in proportion to the number of individuals aged 5 through 17, inclusive, who reside in the school district served by such local educational agency and are from families below the poverty level for the preceding fiscal year, as determined on the basis of the most recent satisfactory data used under section 1124(c)(1)(A) of the Elementary and Secondary Education Act of 1965, compared to the total number of such individuals who reside in the school districts served by all the local educational agencies in the State for such preceding fiscal year.

- 3) Each eligible agency, in making the allocations under paragraphs (1) and (2), shall adjust the data used to make the allocations to—
 - a. reflect any change in school district boundaries that may have occurred since the data were collected; and
 - b. include local educational agencies without geographical boundaries, such as charter schools and secondary schools funded by the Bureau of Indian Affairs.

Postsecondary Allocations (Sec. 132)

Each eligible institution or consortium of eligible institutions shall be allocated an amount that bears the same relationship to the portion of funds made available under section 112(a)(1) to carry out this section for any fiscal year as the sum of the number of individuals who are Federal Pell Grant recipients and recipients of assistance from the Bureau of Indian Affairs enrolled in programs meeting the requirements of Sec. 135 offered by such institution or consortium in the preceding fiscal year bears to the sum of the number of such recipients enrolled in such programs within the State for such year.

Consortia

To receive a standalone allocation, a secondary recipient (LEA) must qualify for a grant of at least \$15,000 under the formula and a postsecondary recipient (community college) must qualify for a grant of at least \$50,000. Recipients not qualifying as standalone recipients must enter into a consortium that meets the respective minimum allocation requirement. Sec. 132(A)(3) specifies that funds allocated to consortia must be used only for purposes and programs that are mutually beneficial to all members of the consortium. The funds cannot be reallocated to individual members of the consortium or for purposes or programs benefitting only one member of the consortium.

State Leadership⁷

No more than ten percent of the state's allocation can be set aside to carry out state leadership activities. Of this portion of the allocation, an amount of not more than one percent must be dedicated to serve individuals in state correctional facilities. Additionally, an amount not less than \$60,000, and not more than \$150,000 must be used for services that prepare individuals for nontraditional training and employment. The DE annually determines the amounts to be held for these specified uses.

⁷ Refer to Sec. 112(a)(2)

State Administration⁸

The Perkins Act allows the DE to set aside no more than five percent of the state's allocation or \$250,000, whichever is greater, for administration of the state plan. These dollars are limited to the following uses

- developing the state plan
- reviewing a local plan
- monitoring and evaluating program effectiveness
- assuring compliance with all applicable federal laws
- providing technical assistance
- supporting and developing state data systems relevant to the provisions of the Perkins IV Act

Dollars set aside for state administration must be matched on a dollar-for-dollar basis from non-federal sources.

⁸ Refer to Sec. 112(a)(3)

Local Application for Funds

Eligible secondary and postsecondary recipients of Perkins IV Basic Grant funds in Iowa include public school districts (or consortia) and community colleges that provide career and technical education programs.

Each eligible recipient developed and submitted plan addressing the requirements identified in Sec. 134 of the Perkins Act IV for FY2009-FY2013. In addition, recipients are required to submit annual applications for funds to establish an anticipated budget, provide updated action plans (if applicable), and establish performance targets for the fiscal year. As of FY2011, all Perkins-related grant applications must be submitted online through the IowaGrants system (<https://www.iowagrants.gov/index.do>). Notification regarding application availability and information regarding the grant application process will be provided annually by the DE.

Budget Adjustments

If an increase in a line item of the budget exceeds 10 percent, eligible recipients must submit a Contract Amendment for approval by the DE. The Contract Amendment form is accessed and submitted via the IowaGrants system (refer to the Grant Components list). The amendment request must identify the line items impacted and include a brief rationale for the change.

Reimbursement of Approved Expenditures

Grant funds are provided to eligible recipients on a reimbursement basis. **All expenses claimed for reimbursement must be incurred within the funding period (July 1 – June 30) identified within the grant.**

Once approval is granted by the Iowa Department of Education, eligible recipients may expend funds, up to the amount allocated for the local application, for the required and permissive uses identified within the Perkins IV Act. Expenditures will be reimbursed from the federal grant funds provided to the state upon receipt and approval of claims submitted by the eligible recipient to the DE, via forms provided through the IowaGrants system.

Once received, each claim is processed through a multi-level claim approval process to verify

- 1) expenses are in alignment with the budget (including approved budget adjustments);
- 2) expenses reflect allowable use of funds (via documentation provided by the eligible recipient); and
- 3) total claims do not exceed the eligible recipient's formula-based allocation.

In addition to the electronic submission, a signed claim summary must be provided for internal operations purposes.

General Fiscal Requirements

Supplement, Not Supplant⁹

Perkins IV funds shall supplement, not supplant (replace), non-federal funds expended for career and technical education.¹⁰ If the eligible recipient would normally pay for an item, service, or activity, then Perkins IV dollars should not be used. Regarding determination of supplanting, an Office of Vocational and Adult Education (OVAE)¹¹ non-regulatory guidance document dated May, 2009 states, "A presumption would arise if an eligible recipient used Perkins funds to provide services that the state or an eligible recipient (1) was required to make available under other federal, state or local laws, except as permitted by section 324(c) of Perkins IV; (2) provided with non-federal funds in the prior year; or (3) provided with non-federal funds for non-career and technical education students but charged to Perkins IV funds for career and technical education services."

If an activity is, or has been, supported by non-federal funds, Perkins funds may not be used to support that activity unless there is substantial evidence that the activity would be terminated if not supported by Perkins funds. **Eligible recipients should seek state advice before applying this exception.** Always ask "What would happen if federal funds are not available?"

⁹ Refer to Sec. 311(a)

¹⁰ All eligible recipients must assure that funds awarded through the Perkins Basic Continuation Grant meet the "supplement, not supplant" provision.

¹¹ The Office of Vocational and Adult Education (OVAE) is now called the Office of Career, Technical, and Adult Education (OCTAE)

Limitation for Certain Students¹²

No Perkins IV funds may be used to provide career and technical education programs to students prior to the seventh grade; however, equipment and facilities purchased with funds under the Act may be used by such students.

Audits

All recipients of federal grant funds, including the State of Iowa, school districts, Area Education Agencies (AEAs), and community colleges, must be in compliance with federal audit requirements. The institution's fiscal agent must be familiar with these requirements.

An A-133 Compliance Audit is required as part of the annual audit of all Iowa school districts, AEAs, and community colleges that expend at least \$500,000 from federal awards. The audit must be conducted by an independent auditor and be done in compliance with the Single Audit Act Amendments of 1996 and OMB Circular A-133. At a minimum, the audit must include an examination of the systems of internal control, systems established to ensure compliance with laws and regulations affecting the expenditure of federal funds, financial transactions and accounts, and financial statements and reports.

Information regarding Single Audit Act Amendments of 1996 requirements is available from the Federal Office of Management and Budget (OMB) website, http://www.whitehouse.gov/omb/financial_fin_single_audit. This site also includes links to applicable OMB circulars.

Copies (.pdf format) of completed audit reports for the State of Iowa (Department of Education), public school districts (schools), AEAs, and community colleges can be obtained from the Iowa Office of the Auditor of State's website, <http://auditor.iowa.gov/>.

¹² Refer to Sec. 315

Use of Perkins Funds

The Perkins IV Act identifies two categories of activities for which awarded funds can be used: required and permissive. Each of the required uses must be addressed; however, it is not required that they be paid for with Perkins funds. After the nine (9) required uses are addressed, Perkins grant funds may be used for the permissive activities. The Act also limits the amount each eligible recipient can use for the administrative costs associated with the administration of activities assisted under the grant to no more than five percent of its awarded funds.¹³

Eligible recipients were required to identify how each of the required uses would be addressed within their five-year (FY2009-FY2013) local application. Opportunity to amend the original plan is provided as part of the annual Perkins Basic Continuation Grant application process. The required and permissive activities also form the basis of the budget section of the application.

Required Uses of Perkins Funds

Perkins IV funds shall be used to support CTE programs that—

- 1) strengthen the academic and career and technical skills of students participating in career and technical education programs by strengthening the academic and career and technical education components of such programs through the integration of academics with career and technical education programs through a coherent sequence of courses, such as career and technical programs of study described in section 122(c)(1)(A), to ensure learning in—
 - a. the core academic subjects (as defined in section 9101 of the *Elementary and Secondary Education Act of 1965*); and
 - b. career and technical education subjects;
- 2) link career and technical education at the secondary level and career and technical education at the postsecondary level, including offering the relevant elements of not less than one career and technical program of study described in section 122(c)(1)(A);
- 3) provide students with strong experience in and understanding of all aspects of an industry, which may include work-based learning experiences;

¹³ Refer to Sec. 135(d)

- 4) develop, improve, or expand the use of technology in career and technical education, which may include—
 - a. training of career and technical education teachers, faculty, and administrators to use technology, which may include distance learning;
 - b. providing career and technical education students with the academic and career and technical skills (including the mathematics and science knowledge that provides a strong basis for such skills) that lead to entry into the technology fields; or
 - c. encouraging schools to collaborate with technology industries to offer voluntary internships and mentoring programs, including programs that improve the mathematics and science knowledge of students;

- 5) provide professional development programs that are consistent with section 122 to secondary and postsecondary teachers, faculty, administrators, and career guidance and academic counselors who are involved in integrated career and technical education programs, including—
 - a. in-service and preservice training on-
 - i. effective integration and use of challenging academic and career and technical education provided jointly with academic teachers to the extent practicable;
 - ii. effective teaching skills based on research that includes promising practices;
 - iii. effective practices to improve parental and community involvement; and
 - iv. effective use of scientifically based research and data to improve instruction;
 - b. support of education programs for teachers of career and technical education in public schools and other public school personnel who are involved in the direct delivery of educational services to career and technical education students, to ensure that such teachers and personnel stay current with all aspects of an industry;
 - c. internship programs that provide relevant business experience; and
 - d. programs designed to train teachers specifically in the effective use and application of technology to improve instruction;

- 6) develop and implement evaluations of the career and technical education programs carried out with funds under this title, including an assessment of how the needs of special populations are being met;

- 7) initiate, improve, expand, and modernize quality career and technical education programs, including relevant technology;
- 8) provide services and activities that are of sufficient size, scope, and quality to be effective; and
- 9) provide activities to prepare special populations, including single parents and displaced homemakers who are enrolled in career and technical education programs, for high-skill, high-wage, or high-demand occupations that will lead to self-sufficiency.

Permissive Uses of Perkins Funds

Perkins IV funds made available to an eligible recipient under this title may be used—

- 1) to involve parents, businesses, and labor organizations as appropriate, in the design, implementation, and evaluation of career and technical education programs authorized under this title, including establishing effective programs and procedures to enable informed and effective participation in such programs;
- 2) to provide career guidance and academic counseling, which may include information described in section 118 of the Act, for students participating in career and technical education programs, that—
 - A. improves graduation rates and provides information on postsecondary and career options, including baccalaureate degree programs, for secondary students, which activities may include the use of graduation and career plans; and
 - B. provides assistance for postsecondary students, including for adult students who are changing careers or updating skills;
- 3) for local education and business (including small business) partnerships, including:
 - A. work-related experiences for students, such as internships, cooperative education, school-based enterprises, entrepreneurship, and job shadowing that are related to career and technical education programs;
 - B. adjunct faculty arrangements for qualified industry professionals; and
 - C. industry experience for teachers and faculty;
- 4) to provide programs for special populations;
- 5) to assist career and technical student organizations;

- 6) for mentoring and support services;
- 7) for leasing, purchasing, upgrading or adapting equipment, including instructional aids and publications (including support for library resources) designed to strengthen and support academic and technical skill achievement;
- 8) for teacher preparation programs that address the integration of academic and career and technical education and that assist individuals who are interested in becoming career and technical education teachers and faculty, including individuals with experience in business and industry;
- 9) to develop and expand postsecondary program offerings at times and in formats that are accessible for students, including working students, including through the use of distance education;
- 10) to develop initiatives that facilitate the transition of sub-baccalaureate career and technical education students into baccalaureate degree programs, including--
 - A. articulation agreements between sub-baccalaureate degree granting career and technical education postsecondary educational institutions and baccalaureate degree granting postsecondary educational institutions;
 - B. postsecondary dual and concurrent enrollment programs;
 - C. academic and financial aid counseling for sub-baccalaureate career and technical education students that informs the students of the opportunities for pursuing a baccalaureate degree and advises the students on how to meet any transfer requirements; and
 - D. other initiatives—
 - i. to encourage the pursuit of a baccalaureate degree; and
 - ii. to overcome barriers to enrollment in and completion of baccalaureate degree programs, including geographic and other barriers affecting rural students and special populations;
- 11) to provide activities to support entrepreneurship education and training;

- 12)for improving or developing new career and technical education courses, including the development of new proposed career and technical programs of study for consideration by the eligible agency and courses that prepare individuals academically and technically for high-skill, high-wage, or high-demand occupations and dual or concurrent enrollment opportunities by which career and technical education students at the secondary level could obtain postsecondary credit to count towards an associate or baccalaureate degree;
- 13)to develop and support small, personalized career-themed learning communities;
- 14)to provide support for family and consumer sciences programs;
- 15)to provide career and technical education programs for adults and school dropouts to complete the secondary school education, or upgrade the technical skills, of the adults and school dropouts;
- 16)to provide assistance to individuals who have participated in services and activities under this Act in continuing their education or training or finding an appropriate job, such as through referral to the system established under section 121 of Public Law 105-220 (29 U.S.C. 2801 et seq.);
- 17)to support training and activities (such as mentoring and outreach) in non-traditional fields;
- 18)to provide support for training programs in automotive technologies;
- 19)to pool a portion of such funds with a portion of funds available to not less than 1 other eligible recipient for innovative initiatives, which may include—
 - A. improving the initial preparation and professional development of career and technical education teachers, faculty, administrators, and counselors;
 - B. establishing, enhancing, or supporting systems for—
 - i. accountability data collection under this act; or
 - ii. reporting data under this act;
 - iii. implementing career and technical programs of study described in section 122(c)(1)(A);or
 - iv. implementing technical assessments; and
- 20)to support other career and technical education activities that are consistent with the purpose of this Act.

Policies Regarding Purchase of Equipment (permissive use #7)¹⁴

Equipment is defined by Education Department General Regulations (EDGAR), 200.33, as tangible, personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the Non-Federal entity for financial statement purposes, or \$5,000. A grantee may use its own definition of equipment provided that definition would include, at a minimum, all equipment as defined above. EDGAR can be accessed via the U.S. Department of Education web site at <http://www2.ed.gov/policy/fund/reg/edgarReg/edgar.html>.

The DE uses a per unit cost threshold of \$500 or more for K-12 Certified Annual Report (CAR) purposes, and also includes items with a per unit cost under \$500 which are considered attractive or easily pilfered. “Easily pilfered” items include items such as digital cameras, laptop and tablet computers, DVD or Blu-Ray™ players, and tools. Computer equipment such as a CPU, monitor, disk drive, keyboard, and cables purchased as a unit are to be listed and priced as a system. Such purchases may not be listed by individual components to achieve costs of less than \$500. The DE does not have explicit guidance for community college accounting and reporting; however, the community colleges do have an obligation to account for any capitalized or non-capitalized equipment purchased with Perkins funds.

Eligible recipients (i.e., district, secondary consortium, or community college) may set more restrictive limits, but must include, at a minimum, the equipment defined by DE and federal guidelines.

Each eligible recipient must maintain an inventory record for all Perkins-funded equipment that includes the following items.¹⁵

- 1) A description of the equipment.
- 2) A serial number, model number, and/or other identification number.
- 3) The funding source(s) and percentage of the item’s acquisition cost covered by the source.
- 4) The acquisition date and unit cost.
- 5) The present location, use condition of the equipment, and date the information was reported.
- 6) All pertinent information on the transfer, replacement, or disposition of the equipment (including the date of disposal and sale price).

¹⁴ A variety of equipment-related resources are available on the DE website at <https://www.educateiowa.gov/perkins-0>. Refer to the Grant Contact Resources section.

¹⁵ Refer to EDGAR 200.33

Additionally, the following guidelines apply.

- 1) The inventory must be updated as equipment items are purged or new purchases are made.
- 2) Equipment items purchased with Perkins funds are to be identified and physically marked as such.
- 3) Adequate safeguards must be in place related to the loss, damage, or theft of the equipment. Any loss, damage, or theft should be investigated and fully documented.
- 4) Adequate maintenance procedures should be implemented to keep the equipment in good condition.
- 5) A physical inventory of equipment items must be taken and the results reconciled with the inventory records at least once every two years. This process should be fully documented, including the person(s) responsible and date of completion.

Disposing of Perkins-funded Equipment

EDGAR 200.313 states items of equipment with a current per-unit fair market value of less than \$5,000 may be retained, sold, or otherwise disposed of with no further obligation to the awarding agency.

The Iowa Department of Education requires eligible recipients to adhere to the following guidelines when disposing of Perkins-funded equipment:

- **At no time may the item(s) be given to instructors, other school personnel, students, or parents.**
- Complete the Disposition Form ([Appendix A](#)). Keep one copy on file locally and provide one copy to the Department CTE consultant assigned to the region. A copy of this form is also available for download from the DE website.
- If part of a Perkins consortium, a member must first receive approval of the consortium to dispose/sell the item(s). When appropriate, the item(s) should be transferred to another member. If transferred to another member within the consortium, inventory records must reflect the transfer.
- Records regarding item(s) sold (e.g., date of sale and amount received) must be retained for three (3) years after final disposition.¹⁶
- Disposition of items must be reflected in the eligible recipient's inventory.

- At least ten (10) working days prior to sale/auction, a public posting of the item(s)

¹⁶ Refer to EDGAR 200.313

offered for sale must be made.

- The full amount of proceeds received from items sold must be reinvested in career and technical education programs.
- Items which are discarded must be properly disposed.

Policies Regarding Pooling of Funds (permissive use #19)

Perkins IV allows eligible recipients to pool Perkins IV funds for innovative initiatives. If a decision is made to do so, each eligible recipient is responsible for any funds it pools and is subject to the same requirements with respect the pooled funds as apply to other awarded funds. OVAE¹⁷ non-regulatory guidance issued in May, 2009, “strongly encourages each recipient that decides to pool funds to develop a written agreement that determines the amount of funds, the use of all pooled funds, and the accounting system that will be used to permit the identification of the costs paid for with the pooled funds.”

Consideration of Program Size, Scope, and Quality

The local application requires eligible recipients provide an assurance that programs are of such size, scope and quality to bring about improvement in the quality of career and technical education.¹⁸ For purposes of this section, the following criteria have been established.

Criteria for Size

Secondary Level

- Iowa Code § 256.11(h) and 281 12.5(i) require all public school districts to offer and teach a minimum of one CTE program in four of six service areas (i.e., agricultural education, business education, health occupations, family and consumer sciences, industrial technology, and marketing education), with each program consisting of a minimum of three (3) units¹⁹ of instruction. District programs meeting these criteria are considered to be of sufficient size.

Postsecondary Level

- Iowa Code § 260C and 281 IAC 21.2(5) require community colleges to meet minimum enrollment requirements to offer instruction. CTE programs that meet the enrollment requirements established by the community college are considered to be of sufficient size.

¹⁷ The Office of Vocational and Adult Education (OVAE) is now called the Office of Career, Technical, and Adult Education (OCTAE)

¹⁸ Refer to Sec. 134(b)(6)

¹⁹ Unit is defined in 281 IAC 12.5 (14)

Criteria for Scope

Secondary Level

- CTE programs must provide students with opportunities for acceleration, either through an articulation agreement or joint enrollment opportunity.

Postsecondary Level

- CTE programs must lead to an associate degree (AS, AAS), diploma, or certificate, as approved by the state.

Criteria for Quality

Secondary Level

- CTE programs must include a local or regional CTE advisory committee and/or a program-specific advisory committee/council, as required by Iowa Code § 258.9 and 281 IAC 12.5(5)(i).
- Districts must assure that academics are an integral component of the CTE programs.
- Districts must employ CTE faculty that meet the minimum licensure requirements as established by the Iowa Board of Educational Examiners (BOEE)²⁰, and hold an appropriate, valid license.
- Districts must annually submit program data, including all data elements necessary for calculating progress toward meeting Perkins IV secondary performance targets.

Postsecondary Level

- Community colleges must employ faculty that meet the minimum credential requirements as established in Iowa Code § 260C.48 and/or 281 IAC 24.5(1)(a).
- Community college CTE programs must meet the program approval criteria as established in Iowa Code § 260C and 281 IAC 21.2(13).
- Community colleges must annually submit program data, including all data elements necessary for calculating progress toward meeting Perkins IV postsecondary performance targets.

²⁰ Refer to 282 IAC 17 Career and Technical Endorsements and Licenses

Accountability

Perkins IV requires states to establish a performance accountability system designed to assess the effectiveness of the state in achieving statewide progress in career and technical education. Iowa adopted the secondary and postsecondary core indicators identified within the Act and opted to not determine additional indicators. Baselines and state-adjusted levels of performance for each of the core indicators were established as part of the initial State Plan. New performance levels are negotiated with OCTAE on an annual basis and are used by the state when negotiating local performance targets for eligible recipients. Measurement definitions and approaches are detailed in [Appendix B](#).

Local performance level targets are negotiated by the eligible recipient at the recipient level rather than individual program level. Thus, performance data is collected from each career and technical education program offered by the recipient or all members of a consortium, then aggregated to determine the performance level of the recipient or consortium for each of performance indicators.

Secondary Level Core Indicators

The secondary level core indicators identified in Sec. 113(b)(2)(A) are as follows:

- Student attainment of challenging academic content standards and student academic achievement standards, as adopted by a State in accordance with section 1111(b) (1) of the Elementary and Secondary Education Act of 1965 and measured by the State-determined proficient levels on the academic assessments described in section 1111(b) (3) of such Act **(1S1 and 1S2)**
- Student attainment of career and technical skill proficiencies, including student achievement on technical assessments that are aligned with industry recognized standards, if available and appropriate **(2S1)**
- Student rates of attainment of each of the following: A secondary school diploma; A General Education Development (GED) credential, or other State-recognized equivalent (including recognized alternative standards for individuals with disabilities); a proficiency credential, certificate, or degree, in conjunction with a secondary school diploma (if such credential, certificate, or degree is offered by the State in conjunction with a secondary school diploma) **(3S1)**
- Student graduation rates (as described in section 1111(b)(2)(C)(vi) of the Elementary and Secondary Education Act of 1965) **(4S1)**
- Student placement in postsecondary education or advanced training, in military service, or in employment **(5S1)**
- Student participation in career and technical education programs that lead to nontraditional careers **(6S1)**

- Student completion of career and technical education programs that lead to nontraditional careers **(6S2)**

Postsecondary Level Core Indicators

The postsecondary level core indicators identified in Sec. 113(b)(2)(B) are as follows:

- Student attainment of challenging career and technical skill proficiencies, including student achievement on technical assessments that are aligned with industry-recognized standards, if available and appropriate **(1P1)**
- Student attainment of an industry-recognized credential, a certificate, or a degree **(2P2)**
- Student retention in postsecondary education or transfer to a baccalaureate degree program **(3P1)**
- Student placement in military service or apprenticeship programs or placement or retention in employment, including placement in high-skill, high-wage, or high-demand occupations or professions **(4P1)**
- Student participation in career and technical education programs that lead to nontraditional careers **(5P1)**
- Student completion of career and technical education programs that lead to nontraditional careers **(5P2)**

CTE Student Definitions

The following definitions are used when calculating participation and concentrator classifications of CTE students for reporting purposes.

Secondary Level

For the secondary level, a career and technical education (CTE) participant is defined as a student who has completed one half (0.5) or more units in any career and technical education program area. A CTE concentrator is defined as a student who has earned one and a half (1.5) or more units in a single career and technical education program area.

Postsecondary Level

For the postsecondary level, a CTE participant is a student who has earned one or more credits in a CTE program area. A CTE concentrator is defined as a student who:

- 1) completes at least 12 academic or technical credits within a single CTE program sequence that is comprised of 12 or more academic or technical credits that

- terminates in the award of an industry-recognized credential, a certificate, diploma, or a degree; or
- 2) completes a short-term CTE program sequence of less than 12 credits that terminates with an award of an industry-recognized credential, or a certificate.

Enrollment of Nontraditional Students

Two performance indicators at the secondary and postsecondary levels reference nontraditional careers. The DE utilizes the most recent Nontraditional Occupations Crosswalk, completed by the National Alliance for Partnerships in Equity (NAPE), to determine the program areas considered nontraditional for either males or females. The resulting information is integrated into the state's program master, which houses the Classification of Instructional Program (CIP) numbers used to identify each career and technical education program area. The crosswalk document can be accessed from the NAPE website, <http://www.napequity.org/nontraditional-occupations-crosswalk/>.

Data Reporting Procedures

Each local recipient must submit data to the state each year regarding the progress the recipient has made in achieving its negotiated performance levels, including the performance of special populations. The term 'special populations' means—

- A. individuals with disabilities;
- B. individuals from economically disadvantaged families, including foster children;
- C. individuals preparing for non-traditional fields;
- D. single parents, including single pregnant women;
- E. displaced homemakers; and
- F. individuals with limited English proficiency.

Secondary level recipients will report the necessary data elements through the Student Reporting in Iowa (SRI) winter file and the Secondary CTE Reporting Application. The SRI Data Dictionary, posted on the DE website at <https://www.educateiowa.gov/data-reporting/student-reporting-iowa-formerly-easier>, contains the reporting dates and specific details regarding the included data elements. Guidance documents regarding the various items reported through the Secondary CTE Reporting Application are posted within the Perkins Data Reporting section at <https://www.educateiowa.gov/perkins-0>.

Postsecondary level recipients will report the necessary data elements through the community college Management Information System (MIS). The MIS Data Dictionary and MIS Reporting Manual are posted on the DE website at <https://www.educateiowa.gov/adult-career-community-college/community-colleges/community-college-data-reporting>.

Improvement Plans

The state will annually evaluate local recipients based on their performance on accountability indicators. If the local recipient fails to meet at least 90 percent of an agreed-upon performance level for any of the indicators of performance, and the level of performance did not meet or exceed the state target, it will be required to develop and implement an improvement plan. The plan should give special consideration to performance gaps among the disaggregated student populations and must be developed in consultation with the state. The improvement plans are incorporated into the annual Perkins Basic Continuation Grant application, submitted via the IowaGrants system.

Programs of Study

Sec. 134(3)(A) requires each eligible recipient to “offer the appropriate courses of not less than 1 of the career and technical programs of study described in section 122(c)(1)(a).

The career and technical programs of study, which may be adopted by local educational agencies and postsecondary institutions to be offered as an option to students (and their parents as appropriate) when planning for and completing future coursework, for career and technical content areas that—

- (i) incorporate secondary education and postsecondary education elements;
- (ii) include coherent and rigorous content aligned with challenging academic standards and relevant career and technical content in a coordinated, nonduplicative progression of courses that align secondary education with postsecondary education to adequately prepare students to succeed in postsecondary education;
- (iii) may include the opportunity for secondary education students to participate in dual or concurrent enrollment programs or other ways to acquire postsecondary education credits; and
- (iv) lead to an industry-recognized credential or certificate at the postsecondary level, or an associate or baccalaureate degree.

Programs of study in Iowa must be consistent with requirements contained in Iowa Code and Iowa Administrative Code. The applicable sections of Code include

- Iowa Code § 256.11 (Educational Standards);
- Iowa Code § 258 (Vocational Education);
- Iowa Code § 260C (Community Colleges); and
- Iowa Code § 261E (Senior Year Plus Program).

The administrative rules associated with the above listed section include

- 281 IAC 12 (General Education Standards);
- 281 IAC 21 (Community Colleges);
- 281 IAC 22 (Senior Year Plus);
- 281 IAC 24 (Community College Accreditation);
- 281 IAC 46 (Vocational Education Programs);and
- 281 IAC 47 (Career Academies).

The most recent published versions of these references can be accessed via the [Iowa Legislature website](#).

In addition to meeting all state legislated requirements for CTE programs, those designed as a CTE program of study under the Perkins Act must provide evidence of the criteria listed below. Although Perkins IV requires each eligible recipient to have one program of study, Iowa's State Plan²¹ established a goal of having a minimum of 75 percent of CTE programs in each public school district aligned with the state's program of study criteria.

Iowa Program of Study Criteria

- 1) Content standards and benchmarks
- 2) List of critical competencies identified by the advisory committee/council that will be included within the technical skill attainment assessment(s), including:
 - a. Evidence the critical competencies have been approved by the advisory committee/council
 - i. Committee meeting minutes indicating approval, with date

²¹ Refer to II.A.2.c.

- b. Evidence the critical competencies have been approved by a postsecondary institution
 - i. Name, title, and signature of the postsecondary representative
 - ii. Date of approval
- 3) Program of study course sequence (i.e., “drawing board”), including:
 - a. Academic and technical content
 - i. Incorporating the Iowa Core (including 21st Century Skills)
 - b. State of Iowa and local high school graduation requirements
 - c. Non-duplicative progression of courses consisting of a minimum of three units of CTE coursework
 - d. Linkage to at least one postsecondary program
- 4) Description of how the program of study course sequence is, or will be, shared with stakeholders, including:
 - a. Sharing with students in grade eight prior to completion of the core curriculum plan (a.k.a., “8th Grade Plan”)
- 5) Approved technical skill attainment assessment(s), including:
 - a. A copy of the assessment(s), if available
 - b. Identification of the proficiency level to be attained for each assessment
 - c. Evidence the assessment(s) has been approved by the Advisory Committee/Council
 - i. Committee meeting minutes indicating approval, with date
 - d. Evidence the assessment(s) has been approved by a postsecondary institution
 - i. Name, title, and signature of the postsecondary representative
 - ii. Date of approval
- 6) A plan for annual review and continuous improvement of the program of study, including:
 - a. Annual review of secondary career and technical education performance indicator data

All eligible recipients were required to describe plans to meet the “75 percent” goal within the initial application for funding. To assist in monitoring progress, eligible recipients must annually report information regarding development of their programs of study through the state career and technical education data collection system (PlusCTE, Section 1)²². Progress will also be reviewed/verified as part of the Perkins monitoring process, described on page 39.

Evidence of one completed program of study must be provided in the annual Perkins application.²³

Career and Technical Student Organizations

As allowed by Sec. 124(c)(4), the Iowa Department of Education allocates a portion of state leadership funds for support of career and technical student organizations (CTSOs). The organizations eligible for assistance are those listed below.

- Business Professionals of America (BPA) (secondary and postsecondary)
- DECA
- Family, Career and Community Leaders of America (FCCLA)
- National FFA Organization (FFA)
- Future Business Leaders of America (FBLA)
- HOSA-Future Health Professionals
- Phi Beta Lambda (PBL)
- SkillsUSA® (secondary and postsecondary)
- Technology Student Association (TSA)

In addition to support provided by DE staff²⁴, funds for eligible CTOS are distributed through a discretionary grant, which is based on a three-part funding formula: 1) base allocation, 2) membership, and 3) dollar-for-dollar match.²⁵

²² A guidance document regarding the reporting criteria is posted on the DE website at <https://www.educateiowa.gov/perkins-0>.

²³ The requirement to submit evidence of one completed program of study as part of the annual application was implemented beginning with the FY14 application, based on guidance received from OCTAE.

²⁴ CTSO state charters are held by the DE; therefore, designated CTE consultants serve as state advisors.

²⁵ For match purposes, the CTSO may only claim the percentage of the allocation which can be documented as being received from CTSO members and state-level CTSO sponsors.

Consistent with the [Code of Federal Regulations \(CFR\), Title 34, part 400, section 403.71 \(c\) \(1\)](#), funds provided for support of CTSOs may not be used for

- Lodging, feeding, conveying, or furnishing transportation to conventions or other forms of social assemblage;
- Purchase of supplies, jackets, and other effects for students' personal ownership;
- Cost of non-instructional activities such as athletic, social, or recreational events;
- Printing and disseminating non-instructional newsletters;
- Purchase of awards for recognition of students, advisors, and other individuals; or
- Payment of membership dues.

Perkins Reserve Funds

Per Sec. 112(a)(1), the reserve fund may not exceed 8.5% of the state's annual allotment (i.e., not more than 10% of the 85% required for formula distribution). In accordance with the State Plan²⁶, the amount held in reserve will be determined by the administrator of the Division of Community Colleges on an annual basis.

The reserve fund is used to implement activities tied to the state's CTE-related priorities and initiatives, as determined by the DE. The primary focus is to support activities impacting both the secondary and postsecondary levels. The DE seeks opportunities to use the reserve fund as leverage to secure additional support of these activities.

The state's 15 community colleges are eligible to serve as fiscal agents for the reserve fund allocations. Each year, the reserve funds are initially made available on a formula basis, distributed through discretionary grants. Providing one of the three established criteria is met, each merged area of the state is eligible to receive 1/15th of the total available funds. Any uncommitted funds from the initial allocations will be distributed, based upon state-identified needs, by one of the following methods:

- 1) equal distribution among the institutions awarded the initial discretionary grants;
- 2) through carry forward provisions; and/or
- 3) through a competitive grant process.

If a competitive grant is established, specific criteria will be delineated within an RFP and a scoring rubric will be provided.

Eligible recipients must meet one of the following three criteria²⁷ to be awarded reserve funds: (i) in a rural area; (ii) in an area with a high percentage of CTE students or; (iii) in an area with a high number of CTE students.

²⁶ Refer to responses to VI.B.4 - VI.B.6

²⁷ See Sec. 112(c)

Criteria I: Rural Area

For an eligible recipient to be considered “a rural area,” the area’s urban population must be lower than 50% of its total population. The definition of urban versus rural is taken directly from the [US Census Bureau web page](#).

The Census Bureau’s urban-rural classification is fundamentally a delineation of geographical areas, identifying both individual urban areas and the rural areas of the nation. The Census Bureau’s urban areas represent densely developed territory, and encompass residential, commercial, and other non-residential urban land uses. For the 2010 Census, an urban area will comprise a densely settled core of census tracts and/or census blocks that meet minimum population density requirements, along with adjacent territory containing non-residential urban land uses as well as territory with low population density included to link outlying densely settled territory with the densely settled core. To qualify as an urban area, the territory identified according to criteria must encompass at least 2,500 people, at least 1,500 of which reside outside institutional group quarters.

The Census Bureau identifies two types of urban areas:

- Urbanized Areas (UAs) of 50,000 or more people;
- Urban Clusters (UCs) of at least 2,500 and less than 50,000 people.

“Rural” encompasses all population, housing, and territory not included within an urban area.

The method to calculate rural/urban by community college area is as follows:

1. The US Census Bureau publishes by zip code distribution of urban/rural population, which is the smallest zonal distribution the Bureau publishes for this purpose.
2. GIS software allows placing each zip code inside an Iowa community college area by utilizing mean center function. If the mean geographic center is located within a community college area, the zip code area is attached to the particular college area. With close to 1,000 zip codes in Iowa and only 15 community college areas, not many zip codes are shared by two or more areas, allowing for high level of precision.
3. Aggregate numbers of rural/urban population are then listed with each community college area.

Criteria II: High Percentage of CTE Students

For an eligible recipient to be considered as having a “high percentage of CTE students”, its percentage of CTE students as compared to the total enrollment must be higher than the state average.

The method to calculate high percentage of CTE students is as follows:

1. Refer to fall credit enrollment by college and program type as reported in The Annual Condition of Education Report for the most recent year.
2. Combine the number reported for each program type (i.e., College Parallel, Career Option, CTE, and Combination) to determine total student enrollment.
3. Divide the total students by the CTE students to derive the percentage for each community college and the state average for comparison.

Criteria III: High Number of CTE Students

For an eligible recipient to be considered as having a “high number of CTE students,” the recipient must have CTE enrollment above the state average.

The method to calculate rural/urban by community college area is as follows:

1. Refer to fall credit enrollment by college and program type as reported in The Annual Condition of Education Report for the most recent year.
2. Divide the total CTE students by the number of community colleges (15); this provides the state average number of students for the comparison.

Monitoring

Iowa's Perkins monitoring process has four purposes:

1. To determine compliance with federal requirements under which Perkins IV dollars are disbursed.
2. To assist DE staff in developing deeper understanding of how Perkins IV funds are utilized in each district/consortium or community college.
3. To ensure the administration, faculty, and clerical staff involved in Perkins IV grant planning, implementation, data collection, and reporting at the district/consortium or community college understand the grant requirements, and
4. To fulfill federal data collection and reporting requirements.

State regional CTE consultants are responsible for monitoring eligible recipients of Perkins IV grants and must conduct an on-site visit with each recipient a minimum of once every three years. The monitoring visit schedule, which is subject to annual revision based on Department staffing and changes to grant eligibility, is provided in [Appendix C](#). The intent of the on-site visit is to directly observe evidence that grant management components and background information are used appropriately and to provide technical assistance based on identified needs.

In addition to the Perkins-specific on-site visits, CTE programs are also reviewed during comprehensive school improvement visits, which each district receives once every five years, and during community college accreditation visits. These visits provide opportunity to review district CTE practices and provide input for program improvement and meet the minimum requirements for statewide vocational (career and technical education) evaluation as stated in Iowa Code § 258.7 and 281 IAC 46.7(4).

The state is reviewing a plan to incorporate Risk-Based Monitoring. This could be in effect starting FY2017.

Onsite Monitoring Guide

The state's Perkins Monitoring Guide, which follows the Perkins IV guidelines, is provided to recipients prior to conducting the onsite monitoring visit. The guide is utilized by the consultants during the visitation and forms the basis for information contained within the monitoring report.²⁸ A copy of the guide is posted within the Perkins Basic Grant section of the DE website, <https://www.educateiowa.gov/perkins-0>.

²⁸ The Department has begun initial design of online forms, within the "Site Visit" option of the IowaGrants system, which will allow recipients to address and submit many of the required monitoring questions and documents electronically. This will allow a more thorough desk review to be completed, allowing onsite visits to be more focused and expanding the time available for consultants to provide technical assistance.

Resources

Career Clusters™ Website (<http://www.careerclusters.org/index.php>)

Plans of Study

<http://careertech.org/programs-study>

Knowledge and Skills Charts

<http://careertech.org/knowledge-skills-statements>

Iowa Department of Education Website (<http://www.educateiowa.gov/>)

Audits (LEA)

<https://www.educateiowa.gov/pk-12/school-business-finance/financial-management/audits-school-finance>

Career and Technical Education

<https://www.educateiowa.gov/adult-career-community-college/career-and-technical-education>

Community College Accreditation

<https://www.educateiowa.gov/adult-career-community-college/accreditation>

Community College Data Reporting (MIS)

<https://www.educateiowa.gov/adult-career-community-college/community-colleges/community-college-data-reporting>

Core Curriculum Plan (a.k.a., “8th Grade Plan)

<https://www.educateiowa.gov/student-curriculum-8th-grade-plan>

Equity Education (Equity Visits)

<https://www.educateiowa.gov/pk-12/accreditation-program-approval/equity-education>

Secondary Career and Technical Education Program Approval Guidelines (eligibility for Secondary State Financial Assistance)

<https://www.educateiowa.gov/adult-career-community-college/career-and-technical-education/secondary-career-technical-program>

Secondary School Improvement (Site Visits)

<https://www.educateiowa.gov/pk-12/accreditation-program-approval/school-improvement>

Senior Year Plus

<https://www.educateiowa.gov/adult-career-community-college/senior-year-plus-syp>

Student Reporting in Iowa

<https://www.educateiowa.gov/data-reporting/student-reporting-iowa-formerly-easier>

Iowa Department of Education CurricUNET (http://www.curricunet.com/iowa_doe/index.cfm)

Iowa Education Portal (secure login required)

<https://portal.ed.iowa.gov/iowalandingpage/Landing.aspx>

Iowa Legislature Website (<https://www.legis.iowa.gov/>)

Statutory Law (Iowa Code)

<https://www.legis.iowa.gov/law/statutory>

Iowa Administrative Rules (Iowa Administrative Code)

<https://www.legis.iowa.gov/law/administrativeRules>

IowaGrants Website (secure login required) (<https://www.iowagrants.gov/index.do>)

National Alliance for Partnership in Equity (NAPE) Website (<http://www.napequity.org/>)

Nontraditional Occupations Crosswalk

<http://www.napequity.org/nontraditional-occupations-crosswalk/>

Perkins Collaborative Resource Network (PCRN) Website (<http://cte.ed.gov/>)

Programs of Study Design Framework (graphic, components & subcomponents)

<http://cte.ed.gov/nationalinitiatives/rposdesignframework.cfm>

Programs of Study: Local Implementation Readiness and Capacity Self-Assessment

<http://cte.ed.gov/docs/POSLocalImplementationTool-9-14-10.pdf>

US Department of Education Website (<http://www.ed.gov/>)

Carl D. Perkins Career and Technical Education Act of 2006

<http://www2.ed.gov/policy/sectech/leg/perkins/index.html>

Appendices

Appendix A - Perkins-funded Equipment Disposition Form

Program for which the equipment was purchased: _____

Reason for disposition: _____

Board or Consortium policy/reference regarding disposition of equipment: _____

Date of disposition: _____

Method of disposition:

Transferred to other federal program Program: _____

Transferred to consortium member district District: _____

Traded in Value received: \$_____

Sold at fair market value* Amount received: \$_____

*Explain how fair market value was determined: _____

Discarded (broken/no market value)

Name of person submitting the form: _____

Name of district/consortium/community college: _____

Appendix B – Performance Indicator Measurement Definitions and Approaches

Secondary Indicators

Indicator & Citation	Measurement Definition	Measurement Approach
<p style="text-align: center;">1S1 Academic Attainment – Reading/Language Arts 113(b)(2)(A)(i)</p>	<p>Numerator: The number of career and technical education concentrators who have met the proficient or advanced level on the Statewide high school reading/language arts assessment administered by the State under Section 1111(b)(3) of the Elementary and Secondary Education Act (ESEA) as amended by the No Child Left Behind Act based on the scores that were included in the State’s computation of adequate yearly progress (AYP) and who, in the reporting year, left secondary education.</p> <p>Denominator: The number of career and technical education concentrators who took the ESEA assessment in reading/language arts whose scores were included in the State’s computation of AYP and who, in the reporting year, left secondary education.</p>	<p>Iowa uses multiple assessment tests for Reading/Language Arts. This includes the Iowa Assessments (as of 2012), English Language Development Assessment (ELDA) and Iowa Alternate Assessment (IAA).</p> <p>Iowa school districts must report Iowa Assessments results in reading for all students in grade 11. Students identified as English language learners (ELL) are additionally assessed using the English Language Development Assessment (ELDA).</p> <p>A small percentage of identified students with disabilities are assessed using the Iowa Alternate Assessment.</p>

Indicator & Citation	Measurement Definition	Measurement Approach
<p align="center">1S2 Academic Attainment - Mathematics 113(b)(2)(A)(i)</p>	<p>Numerator: The number of career and technical education concentrators who have met the proficient or advanced level on the Statewide high school mathematics assessment administered by the State under Section 1111(b)(3) of the (ESEA) as amended by the No Child Left Behind Act based on the scores that were included in the State’s computation of adequate yearly progress (AYP) and who, in the reporting year, left secondary education.</p> <p>Denominator: The number of career and technical education concentrators who took the ESEA assessment in mathematics whose scores were included in the State’s computation of AYP and who, in the reporting year, have left secondary education.</p>	<p>Iowa uses multiple assessment tests for mathematics, including the Iowa Assessments (as of 2012) and Iowa Alternate Assessment (IAA).</p> <p>Iowa school districts must report Iowa Assessments results in mathematics for all students in grade 11. (see explanation in 1S1).</p>
<p align="center">2S1 Technical Skill Attainment 113(b)(2)(A)(ii)</p>	<p>Numerator: The number of career and technical education concentrators who passed a technical skill assessment that is reliable and valid and was approved by a third party and the post-secondary institution that the program is linked with through a “program of study”, during the reporting year.</p> <p>Denominator: The number of career and technical education concentrators who took a technical skill assessment that is reliable and valid and was approved by a third party and the post-secondary institution that the program is linked with through a “program of study” during the reporting year.</p>	<p>The technical skills assessed, the instrument utilized to assess those skills, and proficiency level to be attained to pass the assessment must be approved by a third party and the post-secondary institution that the program is linked with through a “program of study”. The third party may be a nationally or state-recognized industry organization, a provider of reliable and valid third party assessment instruments, or a regional or local advisory committee for the CTE program being assessed.</p>

Indicator & Citation	Measurement Definition	Measurement Approach
<p align="center">3S1 Secondary School Completion 113(b)(2)(A)(iii)(I-III)</p>	<p>Numerator: The number of career and technical education concentrators who earned a regular secondary school diploma, (including recognized alternative standards for individuals with disabilities) or earned a General Education Development (GED) credential as a State-recognized equivalent to a regular high school diploma during the reporting year.</p> <p>Denominator: The number of career and technical education concentrators who left secondary education during the reporting year.</p>	<p>The state will utilize data collected via Student Reporting in Iowa (SRI) and PlusCTE to determine the rate at which career and technical education concentrators are completing high school.</p>
<p align="center">4S1 Student Graduation Rates 113(b)(2)(A)(iv)</p>	<p>Numerator: The number of career and technical education concentrators who received a high school diploma in the reporting year. (They were included as graduated in the State’s computation of its graduation rate as described in Section 1111(b)(2)(C)(vi) of the ESEA for the reporting year.)</p> <p>Denominator: The number of career and technical education concentrators who left school in the reporting year. (They were included in the State’s computation of its graduation rate as defined in the State’s Consolidated Accountability Plan pursuant to Section 1111(b)(2)(C)(vi) of the ESEA for the reporting year.)</p>	<p>The state will utilize data collected via Student Reporting in Iowa (SRI) and PlusCTE to determine the rate at which career and technical education concentrators are graduating from high school.</p>

Indicator & Citation	Measurement Definition	Measurement Approach
<p>5S1 Secondary Placement 113(b)(2)(A)(v)</p>	<p>Numerator: The number of career and technical education concentrators who left high school and reported that they intended to enroll in post-secondary education or advanced training, in the military service, or employment.</p> <p>Denominator: The number of career and technical education concentrators who left secondary education during the reporting year.</p>	<p>The state will utilize data collected via the graduate intent survey and reported via Student Reporting in Iowa (SRI) and PlusCTE to determine the number of career and technical education concentrators that left secondary education during the reporting year that intend to enroll in post-secondary education, enter military service, or seek full time employment upon graduation from high school.</p>
<p>6S1 Nontraditional Participation 113(b)(2)(A)(vi)</p>	<p>Numerator: The number of CTE participants from the under-represented gender group who participated in career and technical education programs that lead to employment in non-traditional fields for their gender during the reporting year.</p> <p>Denominator: The number of CTE participants who participated in career and technical education programs that lead to employment in non-traditional fields for a gender during the reporting year.</p>	<p>The state will utilize data collected via Student Reporting in Iowa (SRI) and PlusCTE to determine the rate at which the under-represented gender is participating in career and technical education program that lead to employment in a non-traditional field for their gender.</p>
<p>6S2 Nontraditional Completion 113(b)(2)(A)(vi)</p>	<p>Numerator: The number of CTE concentrators from the under-represented gender group who completed a career and technical education program that leads to employment in non-traditional fields for their gender and left school during the reporting year.</p> <p>Denominator: The number of CTE concentrators from the under-represented gender group who concentrated in career and technical education programs that leads to employment in non-traditional fields for their gender and left school during the reporting year.</p>	<p>The state will utilize data collected via Student Reporting in Iowa (SRI) and PlusCTE to determine the rate at which the under-represented gender is completing career and technical education program that lead to employment in a non-traditional field for their gender.</p>

Postsecondary Indicators

Indicator & Citation	Measurement Definition	Measurement Approach
<p>1P1 Technical Skill Attainment 113(b)(2)(B)(i)</p>	<p>Numerator: The number of career and technical education concentrators who passed a technical skill assessment that is reliable and valid and was approved by a third party during the reporting year.</p> <p>Denominator: The number of career and technical education concentrators who took a technical skill assessment that is reliable and valid and was approved by a third party during the reporting year.</p>	<p>The state will utilize data collected via the community college Management Information System (MIS) to determine technical skill attainment.</p> <p>The technical skills assessed, the instrument utilized to assess those skills, and proficiency level to be attained to pass the assessment must be approved by a third party. The third party may be a nationally or state-recognized industry organization, a provider of reliable and valid third party assessment instruments, or a regional or local advisory committee for the career and technical education program being assessed.</p>
<p>2P1 Credential, Certificate, Diploma or Degree 113(b)(2)(B)(ii)</p>	<p>Numerator: The number of career and technical education concentrators left postsecondary education and who received an industry-recognized credential, a certificate, diploma, or a degree during the reporting year.</p> <p>Denominator: The number of career and technical education concentrators who left post-secondary education during the reporting year.</p>	<p>The state will utilize data collected via the community college Management Information System (MIS) to determine the rate at which career and technical education concentrators are awarded an industry-recognized credential, a certificate, diploma, or a degree.</p>

Indicator & Citation	Measurement Definition	Measurement Approach
<p>3P1 Student Retention or Transfer 113(b)(2)(B)(iii)</p>	<p>Numerator: The number of career and technical education concentrators who remained enrolled in their original post-secondary institution or transferred to another two or four year post-secondary institution during the reporting year and who were enrolled in post-secondary education the previous reporting year.</p> <p>Denominator: The number of career and technical education concentrators who were enrolled in post-secondary education in the previous reporting year and who did not earn an industry-recognized credential, a certificate, or a degree in the previous reporting year; or did earn an award in the previous reporting year and remained enrolled in their original post-secondary institution or transferred to another two or four-year institution in the current reporting year.</p>	<p>The State will utilize data collected via the community college Management Information System and the National Student Clearing House to determine the rate at which career and technical education concentrators continue to participate in post-secondary education.</p>

Indicator & Citation	Measurement Definition	Measurement Approach
<p>4P1 Student Placement 113(b)(2)(B)(iv)</p>	<p>Numerator: The number of career and technical education concentrators who were placed or retained in employment, or placed in military service or apprenticeship programs, in the second quarter following the program year in which they left post-secondary education.</p> <p>Denominator: The number of career and technical education concentrators who left post-secondary education during the reporting year.</p>	<p>The state will utilize data available via the community college Management Information System (MIS) and the Iowa Department of Workforce Development's Unemployment Insurance files to determine the percentage of career and technical education concentrators that are employed within the State of Iowa and its bordering states.</p> <p>The Iowa Department of Workforce Development is entering into reciprocal agreements with Iowa's bordering states for the exchange of employment-related data. However, agreements are not currently in place with all states nor is the Department of Education able to obtain the data on a student record level. This currently limits the availability of placement data for the majority of the postsecondary grant recipients.</p>
<p>5P1 Nontraditional Participation 113(b)(2)(B)(v)</p>	<p>Numerator: The number of CTE participants from the under-represented gender group who participated in career and technical education programs that lead to employment in a non-traditional field for their gender during the reporting year.</p> <p>Denominator: The number of CTE participants who participated in career and technical education programs that lead to employment in a non-traditional field for a gender during the reporting year.</p>	<p>The state will utilize data collected via community college Management Information System (MIS) to determine the rate at which the under-represented gender is participating in career and technical education program that lead to employment in a non-traditional field for their gender.</p>

Indicator & Citation	Measurement Definition	Measurement Approach
<p>5P2 Nontraditional Completion 113(b)(2)(B)(v)</p>	<p>Numerator: The number of CTE concentrators from the under-represented gender group who completed a career and technical education program that leads to employment in a non-traditional field for their gender and left school during the reporting year.</p> <p>Denominator: The number of CTE concentrators from the under-represented gender group who concentrated in career and technical education programs that lead to employment in a non-traditional field for their gender and left school during the reporting year.</p>	<p>The state will utilize data collected via community college Management Information System (MIS) to determine the rate at which the under-represented gender is completing career and technical education program that lead to employment in a non-traditional field for their gender.</p>

Appendix C – Monitoring Visit Schedule

FY 2016	FY 2017	FY 2018
Keystone AEA 1	Western Dubuque	Dubuque
Raccoon Valley Consortium	North Metro	North Iowa Area Perkins
Clay Dickinson Consortium	Greene County Consortium	East Area III Perkins
Sioux County	Andrew Consortium	Northern Area 4
MOC/Floyd Valley-West Lyon Consortium	Bettendorf	Webster City/NE Hamilton Stratford Consortium
Sheldon Consortium	Camanche	Three Rivers Consortium
Buena Vista County Consortium	Maquoketa	Fort Dodge
Iowa Central Community College	Western Consortium	Central Consortium
Heartland West Central Consortium	Clinton	Northern Consortium
Marion County Consortium	Davenport	Southern Consortium
Raccoon Valley Consortium	Muscatine	Grinnell-Newburg
Des Moines Independent	Grant Wood Consortium	Cedar Falls Regional Consortium
Johnston	Washington County Perkins Consortium	Cedar Falls
Knoxville	Cedar Rapids	Waterloo
Plymouth Woodbury Consortium	Iowa City	North Central Heartland Consortium
Council Bluffs	Linn-Mar	Story County Consortium
South Central Consortium	Jasper County Consortium	Ankeny
Keokuk County Consortium	North Metro Consortium	Carroll
AMM-US Plus Consortium	Dallas/Madison County Consortium	Indianola
Oskaloosa	Warren County Consortium	West Des Moines
Davis County	Perry	Cherokee Consortium

Fairfield	Southeast Polk	Maple Valley Consortium
Ottumwa	Area XIV – Green Valley Consortium	Denison
Central Lee	AEA Consortium Four	Le Mars
Mount Pleasant	Southeastern Consortium	Sioux City
Northeast Iowa Community College	WWW NL Consortium	Area XIII Consortium
Iowa Lakes Community College	Burlington	Nodaway Consortium
Northwest Iowa Community College	Fort Madison	Iowa Valley Community College District
Des Moines Area Community College	Keokuk	Hawkeye Community College
Indian Hills Community College	Iowa Central Community College	
	Eastern Iowa Community Colleges	
	Kirkwood Community College	
	Western Iowa Tech Community College	
	Iowa Western Community College	
	Southwestern Community College	
	Southeastern Community College	

Appendix D – Iowa Department of Education CTE Staff

Jeremy Varner, Administrator Division of Community Colleges 515-281-8260		
Pradeep Kotamraju, Chief Bureau of Career and Technical Education State Director of Career and Technical Education 515-281-3550		
Pat Thieben, Administrative Consultant Bureau of Career and Technical Education 515-281-4707		
Division Support Staff		
Stephanie Weeks, Secretary 3, 515-281-8260 Jennifer McAbee, Secretary 1, 515-281-3503		
Regional Career and Technical Education Consultants and Grant Liaison Assignments		
<u>Region 1</u> Amy Vybiral 515-281-3169 Northeast Iowa Area Community College Dubuque CSD Keystone AEA 1 Consortium Western Dubuque CSD	<u>Region 2</u> Dale Gruis 515-419-4006 North Iowa Area Community College North Iowa Area Consortium	<u>Region 3</u> Andy Wermes 515-281-8353 Iowa Lakes Community College Clay Dickinson Consortium East Area III Perkins II Consortium
<u>Region 4</u> Zoë Thornton 515-281-4700 Northwest Iowa Community College Cherokee Consortium MOC-Floyd Valley/West Lyon Consortium Northern Area 4 Consortium Sheldon Consortium Sioux County Consortium	<u>Region 5</u> Andy Wermes 515-281-8353 Iowa Central Community College Area V #10 Consortium Buena Vista Consortium Fort Dodge CSD Greene County Consortium Three Rivers Consortium Webster City/NE Hamilton/ Stratford Consortium	<u>Region 6</u> Dale Gruis 515-419-4006 Iowa Valley Community College District Central Consortium Grinnell-Newburg CSD Northern Consortium Southern Consortium

Regional Career and Technical Education Consultants and Grant Liaison Assignments		
<p style="text-align: center;"><u>Region 7</u></p> <p>Dale Gruis 515-419-4006</p> <p>Hawkeye Community College</p> <p>Cedar Falls CSD Cedar Falls Regional Consortium Waterloo CSD</p>	<p style="text-align: center;"><u>Region 9</u></p> <p>Fidelis Ubadigbo 515-281-3080</p> <p>Eastern Iowa Community Colleges</p> <p>Andrew Consortium Bettendorf Consortium Camanche Consortium Clinton CSD Davenport CSD Maquoketa Consortium Muscatine CSD Western Consortium</p>	<p style="text-align: center;"><u>Region 10</u></p> <p>Fidelis Ubadigbo 515-281-3080</p> <p>Kirkwood Community College</p> <p>Cedar Rapids CSD Iowa City CSD Grant Wood Consortium Linn-Mar CSD</p>
<p style="text-align: center;"><u>Region 11</u></p> <p>Amy Vybiral 515-281-3169</p> <p>Ankeny CSD Carroll CSD Dallas/Madison County Consortium Heartland West Central Consortium Indianola CSD Jasper County Consortium Knoxville CSD Consortium Marion County Consortium Perry CSD Warren County Consortium</p>	<p style="text-align: center;"><u>Region 11</u></p> <p>Kelli Diemer 515-281-3615</p> <p>Des Moines Area Community College</p> <p>Des Moines Independent CSD Indianola CSD Johnston CSD North Central Heartland North Metro Consortium Raccoon Valley Consortium Southeast Polk CSD Story County Consortium West Des Moines CSD</p>	<p style="text-align: center;"><u>Region 12</u></p> <p>Zoë Thornton 515-281-4700</p> <p>Western Iowa Tech Community College</p> <p>Cherokee Consortium Denison-Schleswig Consortium Le Mars CSD Maple Valley Consortium Plymouth/Woodbury/Monona Consortium Sioux City CSD</p>
<p style="text-align: center;"><u>Region 13</u></p> <p>Lisa Stange 515-242-5032</p> <p>Iowa Western Community College</p> <p>Area 13 Consortium Council Bluffs CSD</p>	<p style="text-align: center;"><u>Region 14</u></p> <p>Lisa Stange 515-242-5032</p> <p>Southwestern Community College</p> <p>Green Valley (AEA 14) Consortium Nodaway Consortium South Central Consortium</p>	<p style="text-align: center;"><u>Region 15</u></p> <p>Jeanette Thomas 515-281-3636</p> <p>Indian Hills Community College</p> <p>AEA Consortium Four AMM US+ Consortium Centerville CSD Davis County CSD Fairfield CSD Keokuk County Consortium Oskaloosa/North Mahaska Consortium Ottumwa CSD Southeastern Consortium</p>

Regional Career and Technical Education Consultants and Grant Liaison Assignments				
<u>Region 16</u> Jeanette Thomas 515-281-3636 Southeastern Community College Burlington CSD Des Moines/Lee County Consortium Fort Madison CSD Keokuk CSD Mount Pleasant CSD WWW NL Consortium State Correctional Agencies				
Data Specialists				
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Office of Internal Administrative Services				
Sue Anne Van Gundy, Accounting Technician 2 515-281-3127	Michael Lammers, Accountant 3 515-281-3589	Janice Evans, Consultant (A-133 Audits) 515-281-4740		

Other Related Staff

Bureau of Information and Analysis Services		
David Krieger, Information Technology Administrator (PlusCTE) 515-281-3370	Rachel Kruse, Consultant (SRI) 515-281-4153	
TBD, Consultant (EDEN/EdFacts Reporting)		
Bureau of School Improvement		
Fred Kinne, Consultant 515-242-6293	Janet Boyd, Consultant 515-281-3198	Pam Spangler, Consultant 515-281-3427
Keystone AEA Mississippi Bend AEA	Green Hills AEA	Prairie Lakes AEA
Barbara Byrd, Consultant 515-250-4724	Elizabeth Calhoun, Consultant 515-281-8170	Cindy Butler, Consultant 515-281-5332
Great Prairie AEA	Northwest AEA	Heartland AEA
Eric Heitz, Consultant 515-281-4726	Buffy Campbell, Consultant 515-281-3552	Holly Barnes 515-242-6173
AEA 267	Grant Wood AEA	Mississippi Bend AEA