

NEW MEXICO PUBLIC EDUCATION DEPARTMENT

**Carl D. Perkins
Career and Technical Education Act 2006**

Policies and Procedures



**New Mexico Public Education Department
College and Career Readiness Bureau
January, 2019**

300 Don Gaspar
Santa Fe, New Mexico 87501
505-827-6475

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**PUBLIC EDUCATION DEPARTMENT
COLLEGE AND CAREER READINESS BUREAU
POLICY AND PROCEDURES**

CARL D. PERKINS

AGENCY OBJECTIONS TO ONE OR MORE PORTIONS OF THE STATE PLAN

POLICY

The Public Education Department (PED) College and Career Readiness Bureau (CCRB) is the agency responsible for career and technical education in New Mexico. As such, the CCRB is the agency responsible for monitoring the administration of funds and implementation of the activities as outlined in the Carl D. Perkins Career and Technical Education Act of 2006 and the State Plan.

PROCEDURES

Should any subgrantee find a portion of the final state plan objectionable, the ensuing procedures must be followed:

1. The subgrantee must file its written objections with the CCRB Director, 300 Don Gaspar Avenue, Santa Fe NM 87501.
2. Any objections must include a statement of the disagreement, proposed solution, and rationale for the change.
3. The CCRB will respond to any objections related to the plan.
4. The Secretary of Education for the Public Education Department will make the final decision.

**PUBLIC EDUCATION DEPARTMENT
COLLEGE AND CAREER READINESS
POLICY AND PROCEDURES**

**CARL D. PERKINS
ANNUAL PERFORMANCE REPORTS**

POLICY

Pursuant to the Carl D. Perkins Career and Technical Education Act of 2006, 20 U.S.C. §§ 2301 et seq. as amended by P.L. 109 - 270 (Perkins IV or the Act) the New Mexico Public Education Department (NMPED) College and Career Readiness Bureau (CCRB) requires each eligible agency that receives an allocation under the Perkins basic grant to annually prepare and submit to the CCRB an Annual Performance Report (APR) regarding the progress in program effectiveness, accomplishments, data performance and financial responsibility. The window for submission of the APRs is **August 1 and due date is September 30.**

PROCEDURES

1. Each subgrantee project director, on file with the CCRB, will receive a password to access the CCRB web portal for the APR submission. If a project director does not receive such password, he/she must contact CCRB.
2. Contents of the APR document to be completed by the project director include:
 - a. General Information - this section captures the institution's general information (e.g., contact name, title, phone, address).
 - b. Overall Program Effectiveness – This section is intended to be an executive summary composed of:
 - i. The Story Behind the Data - district level factors that contribute to the data history or root causes that underlie the education status of the targeted community
 - ii. What Worked - evidence-based strategies or low-cost ideas that the institution used during the funding cycle
 - iii. Results - the progress the institution made toward improving student outcomes
 - iv. Partners - existing partners who had a role in improving the program
 - v. Fiscal Year Progress Summary. Successes and challenges encountered during the funding cycle, plan to overcome the challenges and sustain the programAll sub-sections must be answered.
 - c. Program of Study Accomplishments – This section captures content regarding program of study implementation and success. This section is composed of the following sub-sections, but is not limited to:
 - i. National Cluster
 - ii. Career Pathway
 - iii. Program of Study

- iv. Economic Relevance – what’s happening in the workforce region, work-based learning opportunities, use of CTSO, number of years of Perkins funding, progress made in funding area
- v. Innovation – best practice areas of the Program of Study
- vi. Functional Partnerships – alignment with education and workforce partners
- vii. Brief Overview of Accomplishments – comparison of what was proposed on the Perkins Basic Application versus the actual (e.g., unexpected changes).

All sub-sections must be answered.

- d. Data Analysis– This module allows the institution to provide information and analysis about its performance. For detailed data information, see Policy #2016—0950 Performance Data.
 - i. Secondary data are provided through CCRB and NMPED Information Technology (IT) collaboration.
 - ii. Postsecondary data are calculated through the institution’s Institutional Researcher. Please see the Data Reporting Methodology Guidelines developed by CCRB in collaboration with the New Mexico Association for Institutional Research and Planning for detailed calculation instructions.
 - iii. Reported data are incorporated by NMPED’s IT staff into the Annual Performance Report.
 - iv. For any performance that is below the established target, the project director will develop an improvement strategy in the Annual Performance Report. The improvement strategy from the Annual Performance Report will then populate into the Performance Improvement Plan (see Policy 2015-0600 for more details).
 - e. CTE Industry Certifications Earned – This module captures information about the industry certifications identified in STARS, attempted and successfully completed by students in each program of study.
 - f. Financial Summary - This module captures information regarding expenditure(s) by program of study.
 - g. Advisory Committees
 - h. Career Technical Student Organizations
 - i. Supply Assets (if over \$5,000.00)
 - j. Equipment (\$5,000.00 and over)
 - k. APR Certification Form
3. Upon timely submission of the APR, CCRB coaches review and provide feedback within 30 days of the receipt of the APR.
 4. Institutions failing to submit the APR by the required deadline will receive a follow-up phone call and / or email. A notation will also be placed on the institution’s risk-based monitoring list.
 5. CCRB will withhold Perkins funding claims for institutions failing to submit APRs until such APR is submitted and approved by the CCRB.

**PUBLIC EDUCATION DEPARTMENT
COLLEGE AND CAREER READINESS BUREAU
POLICY AND PROCEDURES**

**CARL D. PERKINS
AUDIT OF PERKINS FUNDS**

POLICY

A recipient of federal funds must have a financial management system in place to track the expenditure and accounting of federal grant funds. Certain fiscal controls and procedures must be in place to ensure that all financial management system requirements are met. Failure to meet a requirement may result in having to return federal funds to the awarding agency or termination of the award.

According to Omni Circular requirements, the Public Education Department (PED) College and Career Readiness Bureau (CCRB) must expend and account for federal funds, including Perkins funds, in accordance with state laws and procedures for expending and accounting for state funds. In addition, CCRB and the local recipient's financial management systems, including records documenting compliance with federal statutes, regulations, and the terms and conditions of the federal award, must be sufficient to allow required reports to be prepared and for the tracing of funds that have been used according to federal statutes, regulations and terms and conditions of the federal award.

Grantees and subgrantees must maintain source documentation for at least five years. Accounting records must be supported by such source documentation as cancelled checks, paid bills, payrolls, time and attendance records, contract and subgrant award documents, etc.

PROCEDURES

Federal Cash Management

CCRB and all local recipients will comply with applicable methods and procedures for payment that minimize the time elapsing between the transfer of funds and disbursement, in accordance with the Cash Management Improvement Act at 31 CFR Part 205.

Generally, the local recipients will receive payment from PED on a reimbursement basis. However, in the rare occurrence that a recipient receives an advance in federal grant funds from the PED, the recipient will remit interest earned on the advanced payments deposited into interest-bearing accounts annually to the PED. In turn, the PED will reimburse the federal award. The recipient may retain interest amounts up to \$500 per year for administrative expenses.

According to the United States Department of Education (USDE) guidance, when calculating the interest earned on USDE grant funds, in any situation where the state (i.e., CCRB) draws from the G5 system in advance of the recipient using nonfederal funds to pay vendors and/or employees, the only events and dates that are relevant are: 1) the date on which the federal grant funds are drawn down by the state; and 2) the date on which those funds are disbursed by the recipient. Any interest earned on those funds while on-deposit in the recipient's bank account after drawdown and before disbursement must be included in the interest earned calculation, as required by Uniform Grant Guidance.

Financial Management/Accounting System Overview

CCRB and its subgrantees use the Operating Budget Management System (OBMS), an online system that provides financial management services, such as a budget management system, Budget Adjustment Request (BAR) tracking system, actuals reporting system, reimbursement request system, grants management system, and data warehouse system. CCRB uses this system to submit budgets, track and trace budget items, and enhance reporting. OBMS notifies users of opened budgets, BAR/grant application releases, submission due dates and approval status. All recipients must ensure the proper disbursement of and accounting for Perkins funds.

Reimbursements

At the beginning of a grant year, CCRB loads its budget into this electronic system and each grant and funding source is coded so that it can be easily tracked. The CCRB program office sends its Request for Reimbursement (RfR) to the Fiscal Grants Management office for approval. Once approved, Fiscal Grants Management produces vouchers for expenditures that are to be reimbursed, and sends it to the Department of Finance and Administration (DFA) which produces checks for reimbursement using state funds from CCRB's subaccount within New Mexico's own state account. Thus, when DFA disburses funds, it is coming from CCRB's subaccount of general funds. The Audit and Accounting Bureau checks the system on a timely routine basis and draws the approved reimbursement voucher amount(s) from the federal G5 system's appropriate funding stream and uses the federal funds to reimburse the initial the state-funds expended for Perkins purposes. For example, the Audit and Accounting Bureau draws Perkins funds from the G5 system to reimburse state funds deposited into local recipient's bank accounts for allowable Perkins expenditures.

Only local recipients who establish budget authority prior to expending funds may be reimbursed for allowable expenditures. Twice a month, local recipients submit (RfR) using OBMS to CCRB. All RfRs must be accompanied by supporting documentation. CCRB staff conducts a review that includes, but is not limited to, ensuring compliance with federal laws, regulations and cost

principles including Perkins and Omni Circular requirements. The CCRB will approve or deny the RfR within 10 business days. If approved, CCRB sends the RfR to the Fiscal Grants Management office electronically.

At Fiscal Grants Management, the RfR is reviewed to ensure the expenditure(s) complies with state law and aligns with the approved budget. However, it is within Fiscal Grants Management's discretion to conduct a more detailed review if necessary. Fiscal Grants Management determines whether to conduct a detailed review based on the RfR's history, including dialogue and comments between CCRB staff and the local recipient in the Information Request section of OBMS. Fiscal Grants Management usually reviews and approves RfRs within five business days and prepares a payment voucher that is sent to DFA to reimburse the local recipients directly using state funds. DFA ensures there is an original signature on the RfR from Fiscal Grants Management and that the recipient established budget authority. DFA releases state funds electronically to the recipient's bank depository after it is approved by DFA (typically within five business days), These funds are released from PED's subaccount of general funds within New Mexico's state account. All local recipients must have bank depository information on file with the DFA, including signed forms approving the release of funds to the bank depository, signed by the Chief Financial Officer, and the bank name and account number.

On a monthly basis, the Audits and Accounting Bureau performs a reconciliation between CCRB's general ledger and the federal G5 system to determine the amount of any reimbursements. The Audits and Accounting Bureau then draws the approved reimbursement voucher amount(s) processed by the DFA from the appropriate funding stream in the G5 system (identified by the Project ID code), and uses the federal funds to reimburse the initial state-funds used for local reimbursement. For example, the Audit and Accounting Bureau draws Perkins funds from the G5 system to reimburse state funds deposited into local recipient's bank accounts for allowable Perkins expenditures. Thus, within New Mexico's accounting system, allowable Perkins expenditures are charged, collected, and reported against federal funds.

**PUBLIC EDUCATION DEPARTMENT
COLLEGE AND CAREER READINESS
POLICY AND PROCEDURES**

**CARL D. PERKINS
CALCUATION OF FUNDING ALLOCATIONS**

POLICY

Pursuant to the Carl D. Perkins Career and Technical Education Act of 2006, 20 U.S.C. §§ 2301 *et seq.* as amended by P.L. 109 - 270 (Perkins IV or the Act) the Public Education Department (PED) College and Career Readiness Bureau (CCRB) calculates funding allocations for the Perkins basic grant pursuant to sections 131 (secondary) and 132 (postsecondary) of the Act.

Per Section 131 of the Act, the secondary funding allocation formula is allocates thirty percent in proportion to the number of individuals age 5 through 17 who reside in the district, and seventy percent in proportion to the number of individuals age 5 through 17 who reside in the district and are from families below the poverty level. The minimum allocation is \$15,000. Districts may enter into a consortium with others to meet the minimum allocation.

Per Section 13 of the Act, the postsecondary funding allocation formula is, “based upon the sum of Federal Pell Grant recipients and recipients of assistance from the Bureau of Indian Education enrolled in programs meeting the requirements of Title I, Section 135 offered by such institution or consortium in the preceding fiscal year compared to the sum of the number of such recipients enrolled in such programs in the state for such year.” The minimum allocation is \$50,000. Agencies may enter into a consortium with others to meet the minimum allocation.

Funds that are awarded but not expended in the fiscal year of the award will be redistributed based upon the same proportions as the initial award.

PROCEDURES

1. Secondary allocations are determined by CCBR, using available U.S. Census data.
2. Postsecondary allocations are determined by CCRB using economically disadvantaged student reports (see policy 01100).
3. Recipients are notified of budget allocations through an award letter issued after the application reaches substantial approval, typically in mid to late summer.
4. Final award letters are distributed when CCRB receives the final award letter from the U.S. Department of Education, typically in November.
5. Redistribution award letters are issued after PED reconciles all fiscal year books, typically in January.

**PUBLIC EDUCATION DEPARTMENT
COLLEGE AND CAREER READINESS BUREAU
POLICY AND PROCEDURES**

**CARL D. PERKINS
CRITERIA FOR SUFFICIENT SIZE, SCOPE AND QUALITY**

POLICY

Pursuant to Section 134(b)(6), the Public Education Department (PED) College and Career Readiness Bureau (CCRB) provides assurances that the eligible recipients will provide a career and technical education program that is of such size, scope and quality to bring about improvement in the quality of career and technical education programs.

CRITERIA FOR SECONDARY:

Criteria for Size:

A secondary teacher's class load cannot exceed 160 pupils per day as noted in Public School Code, Section 22-10A-20.D, NMSA, 1978. However, a program of sufficient size would enroll a minimum of 50% of the school's student population in at least a single program of study.

Criteria for Scope:

Programs of study shall demonstrate sufficient scope to allow students to earn a minimum of three credits in a sequential program of study. Local school boards review and approve curriculum that meet local, state and industry standards. Articulation agreements are in place with alignment of curriculum that provides a seamless transition from high school to postsecondary CTE programs. Pursuant to 22-13-1.1 NMSA 1978, 100% of secondary students (9-12) will have a Next Step Plan in place targeting postsecondary interests as well as career interest goals and to set for the studies necessary for completion during high school in order to be on track for graduation.

Criteria for Quality:

Providing professional development for teachers to prepare or enhance their certification in career technical education with emphasis on techniques for improving students' reading and mathematics skills.

- The percentage of CTE concentrators who completed and who reported placement in postsecondary education, advanced training, employment, and/or the military in the second quarter following the program year in which they left secondary education shall be at 75% or higher.

- Teacher training with school priorities (EPSS) will link and reform initiatives that include best practices.
- Research-based best practices (i.e., Project Lead-the-Way, High Schools That Work, etc.) will be utilized to implement on-going high school reform.
- Licensing and credentialing of teachers according to the provisions of the New Mexico Accountability Workbook will define “highly qualified” professionals.
- Industry-related credentials (company certificates, industry/trade certificates/credentials, state regulations, licenses or certificates) will be issued to qualifying students upon completion of the program of study requirements.

CRITERIA FOR POSTSECONDARY:

Criteria for Size:

- Appropriate student/teacher ratios in laboratory settings based upon the number of available workstations in compliance with the Occupational Safety and Health Administration (OSHA) and Office for Civil Rights (OCR) guidelines will be adhered to.
- Subgrantees will provide an opportunity for students to become CTE concentrators. A CTE concentrator is defined as a student who:
 - Completes at least 12 academic or CTE credits, of which 9 credits are CTE, within a single program area that is comprised of 12 or more academic and CTE credits and terminates in the award of a degree, a certificate, or an industry-recognized credential **OR**
 - Completes a short-term CTE program of less than 12 credit units that terminate in a degree, a certificate, or an industry-recognized credential **OR**
 - Completes a short-term CTE program of less than 12 credit units that terminates in a degree, a certificate, or an industry-recognized credential.
- A threshold of at least of 75% of the student population must have a declared major.

Criteria for Scope:

Students will be provided with the opportunity to earn industry certification and/or state approved licensure that is portable. Students that have declared a major should have a clearly articulated program of study detailing courses and other qualifications that yield degree or certificate completion and position such student for transfer to 4 year institutions in accordance with articulation processes and policies.

Criteria for Quality:

- The percentage of CTE concentrators who earned a postsecondary credential, certificate, or degree who reported placement in advanced education, employment, and /or military in the second quarter following the program year in which they left secondary education shall be a minimum of 75% or higher.

- Students will be provided with an opportunity to participate in a CTE programs that are classified as High Skill, High Wage, and/or High Demand.
- Academics will be an integral component of all Perkins-funded CTE programs.

**PUBLIC EDUCATION DEPARTMENT
COLLEGE AND CAREER READINESS BUREAU
POLICY AND PROCEDURES**

CARL D. PERKINS

DEVELOPMENT, SUBMISSION AND IMPLEMENTATION OF THE STATE PLAN

POLICY

The purpose of this policy is to describe the procedures for the Perkins State Plan development, submission, and implementation for programs administered by the Public Education Department (PED) College and Career Readiness Bureau (CCRB). For the purposes of Perkins implementation, CCRB is the agency responsible for the supervision of community colleges, technical institutes, or other 2 year postsecondary institutions, primarily engaged in providing postsecondary career and technical education. Additionally, CCRB is the agency responsible for secondary level career technical education.

PROCEDURES

1. Public hearings will be held in the State, after appropriate and sufficient notice, for the purpose of affording the public and interested parties an opportunity to present their views and to make recommendations with regards to the development of the State Plan.
2. A summary with public hearing recommendations and the agency's response will be included in the State Plan.
3. The State Plan is developed in consultation with academic and career and technical education teachers, faculty, administrators, career guidance and academic counselors, eligible recipients, charter school authorizers and organizers and other stakeholders.
4. Activities to ensure access of information and participation in state and local input and decisions related to the development of the State Plan will be organized. Activities may include, but are not limited to:
 - a. Electronic communication
 - b. Telephone communication
 - c. Written correspondence
 - d. Public service communication (newspaper, radio, website)
 - e. Notices of meetings (committees, task forces, commissions, workforces)
 - f. Perkins grant directors' meetings
 - g. Statewide public hearings
 - h. Technical Assistance visits
5. Career and technical education activities that are designed to meet or exceed State levels of performance will be clearly defined within the State plan.
6. The finalized 6-year period State Plan is submitted to the United States Secretary of Education Office of Vocational and Adult Education (OVAE) by designated deadlines.

**PUBLIC EDUCATION DEPARTMENT
COLLEGE AND CAREER READINESS BUREAU
POLICY AND PROCEDURES**

**CARL D. PERKINS
EVALUATION OF PERFORMANCE IMPROVEMENT PLAN**

POLICY

Pursuant to Perkins¹, if the Public Education Department (PED) College and Career Readiness Bureau (CCRB) determines that an eligible recipient failed to meet the safe harbor requirement of an agreed upon local adjusted level of performance for any of the core indicators of performance², the eligible recipient shall develop and implement a program improvement plan. The program improvement plan will take into special consideration the performance gaps identified under Perkins³ and will be created in consultation with the eligible agency appropriate agencies, individuals, and organizations during the first program year succeeding the program year for which the eligible recipient failed to meet any of the local adjusted levels of performance for any of the core indicators.

PROCEDURES

Each year, CCRB posts levels of performance in the series of performance indicators on the CCRB website: <https://webnew.ped.state.nm.us/bureaus/college-career-readiness/perkins/> and on the Redistribution of Funds application portal. As such, the Redistribution of Funds application serves two purposes: as an application for funding, and as an action plan to address deficient performance indicators.

1. CCRB will send subgrantees a notification of release of the Redistribution of Funds application which will provide the due date for submission of the application.
2. Subgrantees will submit to the CCRB a completed Redistribution of Funds application to include an improvement plan, with a reference and justification, for addressing missed indicators.
3. The Perkins coaches verify the receipt of the Redistribution Certification Form.

¹ Section 123(b)(2)

² Section 113(b)(4)

³ Section 113(b)(4)(C)(ii)(II)

4. Using an evaluation rubric, Perkins coaches evaluate applications for accuracy, completeness, and strategies identified for improving performance as outlined in the Perkins core indicators.
5. Should additional information be needed, CCRB Coaches will contact their assigned institutions for clarification.
6. Perkins Coaches complete their evaluation of the Redistribution application and will notify the subgrantee of the status of their application within 30 days from the due date.
7. Perkins Coaches will monitor their assigned institution on a quarterly basis for follow up reports and improvement of its performance measures. Technical assistance will be provided as needed.

Performance Improvement Plan (PIP) Evaluation Rubric

Performance Period (Date)
 Program Implementation (Date)

Part I. General Information					
Accuracy and Completeness	Complete	Not Complete	Comments:		
Part II. Data Analysis					
Core Indicator Results	Complete	Not Complete	Comments:		
Part III. Strategy for Performance Improvement Plan					
Core Indicators	Results: Met Or Not Met	Strategy: *(SMART Goals) (-) 1 2 3 4 5 (+)	Target / Completion Dates (Reasonable) (-) 1 2 3 4 5 (+)	Reporting & Verification of Activity (-) 1 2 3 4 5 (+)	Comments:
1P1 Technical Skill Attainment					
2P1 Credential, Certificate or Degree					
3P1 Student Retention or Transfer					
4P1 Student Placement					
5P1 Nontraditional Participation					
5P2 Nontraditional Completion					

SMART Goals: Specific, Measurable, Attainable, Relevant, Time-bound

Signature – 1st Reviewer

Date

Signature – 2nd Reviewer

Date

Performance Improvement Plan (PIP) Evaluation Rubric Performance Period (<u>Date</u>) Program Implementation (<u>Date</u>)					
Part I. General Information					
Accuracy and Completeness	Complete	Not Complete	Comments:		
Part II. Data Analysis					
Core Indicator Results	Complete	Not Complete	Comments:		
Part III. Strategy for Performance Improvement Plan					
Core Indicators	Results: Met Or Not Met	Strategy: *(SMART Goals) (-) 1 2 3 4 5 (+)	Target / Completion Dates (Reasonable) (-) 1 2 3 4 5 (+)	Reporting & Verification of Activity (-) 1 2 3 4 5 (+)	Comments:
1S1 Academic Attainment – Reading/Language Arts					
1S2 Academic Attainment – Mathematics					
2S1 Technical Skill Attainment					
3S1 Secondary School Completion					
4S1 Student Graduation Rates					
5S1 Secondary Placement					
6S1 Non-Traditional Participation					
6S2 Non-Traditional Completion					

SMART Goals: Specific, Measurable, Attainable, Relevant, Time-bound

Signature – 1st Reviewer

Date

Signature – 2nd Reviewer

Date

**PUBLIC EDUCATION DEPARTMENT
COLLEGE AND CAREER READINESS BUREAU
POLICY AND PROCEDURES**

**CARL D. PERKINS
EVALUATION OF THE PROGRAM, SERVICES AND ACTIVITIES WITHIN THE
STATE PLAN**

POLICY

The Public Education Department (PED) College and Career Readiness Bureau (CCRB) appropriately evaluates and monitors the programs, activities, and services utilizing the Carl D. Perkins Career and Technical Education Act of 2006 Monitoring Document. The evaluation process is designed to meet state and federal requirements for a monitoring system, as well as to provide technical assistance to institutions, administrators, instructors and other Perkins grant related staff for continual improvement of the state approved Career and Technical Education programs. Through the use of the Monitoring Document, CCRB assists subgrantees with challenges as they pertain to:

- Accomplishing the Local Plan Requirements for Perkins Basic Grant Funding
- Implementation of the Requirements for Required Uses of Funds
- Implementation of Applicable Permissive Uses of Funds
- Accountability for Fiscal Requirements and Operations
- Data Requirements for Collection and Reporting

Monitoring will occur on-site and will be conducted by CCRB Education Administrators. Program compliance reviews, either on-site visits or desk reviews, will be scheduled based on risk. Using established selection criteria and reports, Education Administrators will conduct program review monitoring visits.

PROCEDURES

1. The CCRB Risk-based rubric is used for the identification of sites for monitoring visits.
2. Written notification of the on-site visits will be sent to the selected institution / school. The letter will include suggested dates for the visit and related materials.
3. The Perkins compliance monitoring review is the combination of review and preparation activities to provide information supporting the purpose stated in the written notification. Each review process will require the availability of documents prior to the arrival of the monitoring team. These documents are outlined in the Monitoring Document submitted with the written notification to the selected institution / school.

4. At least 3 weeks prior to the visit, the Perkins Monitoring Team Lead will provide an agenda for the on-site visit which will include:
 - a. On-site visit date
 - b. Targeted areas of review
 - c. Requests for interviews with specific instructors and/or institution personnel
5. Compliance monitoring visits include:
 - a. An introductory meeting and overview
 - b. Review of the requested materials and documentation
 - c. A review of the activities on campus
 - d. An exit review
6. Within 30 days of the on-site monitoring visit, a letter detailing the results of the review will be sent to the institution / school.
7. If items requiring corrective actions are listed within the letter, the institution / school is required to respond to the required actions within 45 days.
8. The response will include:
 - a. Corrective actions the institutions will take to address deficiencies
 - b. Identify person(s) responsible for the completion of each action
 - c. Identify when the action is / will be completed
 - d. Verification of the completion of action (photos, evidence/documentation, etc.)

**PUBLIC EDUCATION DEPARTMENT
COLLEGE AND CAREER READINESS BUREAU
POLICY AND PROCEDURES**

**CARL D. PERKINS
INITIAL ALLOCATION AND GRANT MANAGEMENT**

POLICY

As required by Section 131 and 132 of the Perkins Act, the Public Education Department PED, College and Career Readiness Bureau (CCRB) allocates funds to eligible secondary and postsecondary institutions within the state. In order to ensure timely and efficient grant management, it is the resolve for CCRB to provide an internal process for Perkins monitors to assess recipient's progress in establishing budget authority, spend-down activity, and expenditure claims submitted through the Operating Budget Management System (OBMS) system. For the purpose of internal auditing, all Perkins monitor's communications with subgrantees will be properly documented.

PROCEDURES

1. Subgrantees are advised of their initial planning awards via web posting on the Administrative Services Division (ASD) page in April for each ensuing basic grant year. Posting lists information by fund by entity. The information for board approval is written into the context of the email, so that this item is placed on board agendas immediately.
2. The monitors will follow up within a week to ensure that the program managers have included it as an agenda item for their upcoming board meeting for approval in order to establish budget authority by May. Perkins monitors will continue to follow up via phone calls and emails requiring budget authority be established by subgrantees.
3. Once budget authority has been established, Perkins monitors approve Budget Adjustment Requests (BARs) through the Operating Budget Management System (OBMS) for spend-down / expenditures only if the Perkins application is substantially or fully approved.
4. Subgrantees will spend-down allocated funds from July 1 thru June 30 of the subsequent year.
5. On an on-going basis, Perkins monitors will monitor the subgrantee's spending plan.
6. Perkins monitors will notify subgrantees via email correspondence on a quarterly basis of their expenditure status.
7. Beginning January, Perkins monitors will send monthly email notifications to subgrantees not meeting the expenditure target.
8. In June, Perkins monitors will begin conducting close out activities for the basic grant.

**PUBLIC EDUCATION DEPARTMENT
COLLEGE AND CAREER READINESS BUREAU
POLICY AND PROCEDURES**

**CARL D. PERKINS
NEGOTIATING LOCAL LEVELS OF PERFORMANCE**

POLICY

Pursuant to section 113(a)(4) of Perkins IV, a subgrantee that does not meet the threshold for one or more of the State's target of the Final Agreed Upon Performance Levels (FAUPLs) for three consecutive years, may request a Local Adjusted Level of Performance (LALP) for the upcoming year.

Each subgrantee will compare their prior year actual level of performance to the FAULP and either accepts the State's level of performance for the next year, or requests a LALP. Requesting a LALP requires the recipient to continually make progress toward improving performance.

PROCEDURES

- A. Per Appendix H of the local application, the subgrantee must submit a written request to the CCRB Director to negotiate LALP.
- B. Upon receipt of the subgrantee's written request, CCRB will review and if approved to negotiate, the subgrantee will complete the form "Request to Negotiate Final Agreed Upon Performance Levels" for the appropriate performance measure (Secondary: 1S1, 1S2, 2S1, 3S1, 4S1, 5S1, 6S1 and 6S2) OR (Postsecondary: 1P1, 2P1, 3P1, 4P1, 5P1 and 5P2).
- C. If such request to negotiate LALP should occur, CCRB will appoint a performance review committee each April to review FAUPL requests for negotiation. The performance review committee will review and make a recommendation to the CCRB Director for approval /denial of each request.
- D. Upon the CCRB's performance review committee's approval, the request for negotiated FAUPL is then forwarded to the CCRB Director for second level of review and signed determination.
- E. If the LALPs are not accepted by the CCRB, then the subgrantee and CCRB Director or his designee will negotiate levels of performance until agreement is reached.
- F. The subgrantee is advised in writing of the approved /denied request for negotiated FAUPL.
- G. The subgrantee and CCRB monitor negotiated levels of performance and document progress.

H. In the event the “Request to Negotiate FAUPL(s)” is denied, the subgrantee will have the opportunity to appeal the decision by requesting a second review by the CCRB performance review committee and CCRB Director.

Request to Negotiate Final Agreed Upon Performance Levels (FAUPLs) (Date)

District / Institution Information	
District Name	
Superintendent	
CTE Administrator	
CTE Administrator Phone Number	
CTE Administrator Email Address	

Request Information / Background	
Please check which final agreed upon performance level(s) you are requesting to negotiate.	<input type="checkbox"/> 1S1 Academic achievement in reading <input type="checkbox"/> 1S2 Academic achievement in math <input type="checkbox"/> 2S1 Technical skill attainment <input type="checkbox"/> 3S1 Attainment of a high school diploma <input type="checkbox"/> 4S1 Graduation rates <input type="checkbox"/> 5S1 Placement in postsecondary, military or employment <input type="checkbox"/> 6S1 Participation in non-traditional programs <input type="checkbox"/> 6S2 Completion of non-traditional programs
What was your (Date) District level of performance for this measure(s)?	1S1 ___% 4S1 ___% 1S2 ___% 5S1 ___% 2S1 ___% 6S1 ___% 3S1 ___% 6S2 ___%
What was your (Date) District level of performance for this measure(s)?	1S1 ___% 4S1 ___% 1S2 ___% 5S1 ___% 2S1 ___% 6S1 ___% 3S1 ___% 6S2 ___%
What was your (Date) District level of performance for this measure(s)?	1S1 ___% 4S1 ___% 1S2 ___% 5S1 ___% 2S1 ___% 6S1 ___% 3S1 ___% 6S2 ___%
Please give a description of circumstances leading to performance below the statewide target.	
What level(s) of performance are you proposing for (Date) ?	1S1 ___% 4S1 ___% 1S2 ___% 5S1 ___% 2S1 ___% 6S1 ___% 3S1 ___% 6S2 ___%

<p>Using valid and reliable data, please justify your proposed targets. <i>(I.E. # of students needed in the numerator to move performance and how those numbers will be met.)</i></p>	
<p>Explain and justify why this request should be granted.</p>	

Planned Activities to Meet Proposed Performance Measures	
<p>Please explain what strategies will be implemented to address proposed performance measures. Consider the activities proposed in the Perkins Request for Application of the Basic Grant (RFABG) and how these activities connect to performance measures and outcomes.</p>	
1S1-	1S2-
2S1-	3S1-
4S1-	5S1-
6S1-	6S2-

Proposed Timelines	
<p>Please provide a timeline for returning to the statewide adjusted level of performance.</p>	<p>TIMELINE:</p>

Subgrantee Signatures	
<p>Signature of person responsible for oversight of proposed negotiations:</p>	<p>Signature: _____ Date: _____</p>
<p>Signature of Superintendent:</p>	<p>Signature: _____ Date: _____</p>

CCRB Review Committee's Comments / Justifications for Actions:

Recommendation of the Review Committee:

Request Approved: _____

Request Not Approved: _____

Reviewer's Signature: _____

Reviewer's Signature: _____

Reviewer's Signature: _____

Action by the CCRB Director:

Request Approved: _____

Request Not Approved: _____

CCRB Director's Signature: _____

Request to Negotiate Final Agreed Upon Performance Levels (FAUPLs) (Date)

District / Institution Information	
Institution Name	
Superintendent/President	
CTE Administrator	
CTE Administrator Phone Number	
CTE Administrator Email Address	

Request Information / Background													
Please check which final agreed upon performance level(s) you are requesting to negotiate.	<input type="checkbox"/> 1P1 Technical Skill Attainment <input type="checkbox"/> 2P1 Credential, Certificate, or Degree <input type="checkbox"/> 3P1 Student Retention or Transfer <input type="checkbox"/> 4P1 Student Placement <input type="checkbox"/> 5P1 Nontraditional Participation <input type="checkbox"/> 5P2 Nontraditional Completion												
What was your (Date) District level of performance for this measure(s)?	<table style="margin-left: auto; margin-right: auto;"> <tr> <td>1P1</td><td>___%</td> <td>4P1</td><td>___%</td> </tr> <tr> <td>2P1</td><td>___%</td> <td>5P1</td><td>___%</td> </tr> <tr> <td>3P1</td><td>___%</td> <td>5P2</td><td>___%</td> </tr> </table>	1P1	___%	4P1	___%	2P1	___%	5P1	___%	3P1	___%	5P2	___%
1P1	___%	4P1	___%										
2P1	___%	5P1	___%										
3P1	___%	5P2	___%										
What was your (Date) District level of performance for this measure(s)?	<table style="margin-left: auto; margin-right: auto;"> <tr> <td>1P1</td><td>___%</td> <td>4P1</td><td>___%</td> </tr> <tr> <td>2P1</td><td>___%</td> <td>5P1</td><td>___%</td> </tr> <tr> <td>3P1</td><td>___%</td> <td>5P2</td><td>___%</td> </tr> </table>	1P1	___%	4P1	___%	2P1	___%	5P1	___%	3P1	___%	5P2	___%
1P1	___%	4P1	___%										
2P1	___%	5P1	___%										
3P1	___%	5P2	___%										
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1P1	___%	4P1	___%										
2P1	___%	5P1	___%										
3P1	___%	5P2	___%										
Please give a description of circumstances leading to performance below the statewide target.													
What level(s) of performance are you proposing for (Date) ?	<table style="margin-left: auto; margin-right: auto;"> <tr> <td>1P1</td><td>___%</td> <td>4P1</td><td>___%</td> </tr> <tr> <td>2P1</td><td>___%</td> <td>5P1</td><td>___%</td> </tr> <tr> <td>3P1</td><td>___%</td> <td>5P2</td><td>___%</td> </tr> </table>	1P1	___%	4P1	___%	2P1	___%	5P1	___%	3P1	___%	5P2	___%
1P1	___%	4P1	___%										
2P1	___%	5P1	___%										
3P1	___%	5P2	___%										

<p>Using valid and reliable data, please justify your proposed targets. <i>(I.E. # of students needed in the numerator to move performance and how those numbers will be met.)</i></p>	
<p>Explain and justify why this request should be granted.</p>	

Planned Activities to Meet Proposed Performance Measures	
<p>Please explain what strategies will be implemented to address proposed performance measures. Consider the activities proposed in the Perkins Request for Application of the Basic Grant (RFABG) and how these activities connect to performance measures and outcomes.</p>	
<p>1P1-</p>	<p>2P1-</p>
<p>3P1-</p>	<p>4P1-</p>
<p>5P1-</p>	<p>5P2-</p>

Proposed Timelines	
<p>Please provide a timeline for returning to the statewide adjusted level of performance.</p>	<p>TIMELINE:</p>

Subgrantee Signatures	
<p>Signature of person responsible for oversight of proposed negotiations:</p>	<p>Signature: _____ Date: _____</p>
<p>Signature of Superintendent/ President:</p>	<p>Signature: _____ Date: _____</p>

CCRB Review Committee's Comments / Justifications for Actions:

Recommendation of the Review Committee:

Request Approved: _____

Request Not Approved: _____

Reviewer's Signature: _____

Reviewer's Signature: _____

Reviewer's Signature: _____

Action by the CCRB Director:

Request Approved: _____

Request Not Approved: _____

CCRB Director's Signature: _____

**PUBLIC EDUCATION DEPARTMENT
COLLEGE AND CAREER READINESS
POLICY AND PROCEDURES**

**CARL D. PERKINS
PERFORMANCE DATA**

POLICY

Pursuant to the Carl D. Perkins Career and Technical Education Act of 2006, 20 U.S.C. §§ 2301 *et seq.* as amended by P.L. 109 - 270 (Perkins IV or the Act) the Public Education Department (PED) College and Career Readiness Bureau (CCRB) requires each eligible agency that receives an allocation under the Perkins basic grant to annually prepare and submit to the CCRB complete, accurate and reliable student data relating to performance.

Finalized approval by CCRB of all indicators by June 15 ensures that LEAs have complete, accurate and reliable data in hand when they begin to prepare their Annual Performance Reports and Performance Improvement Plans.

Student placement performance (indicators 5S1 and 4P1) requires collaboration with the Higher Education Department (HED) and the Department of Workforce Solutions (DWS). Preliminary submission of student lists to HED is due May 15. HED will process and provide a placed list by May 30. Disaggregation of all performance data is due to PED by June 15.

Due Dates for Secondary Data

Submission to PED	Snapshots (STARS 40-, 80-, 120-Day, EOY)
Initial calculations from IT to CCR	April 1
List of 5S1 completers to HED	April 15
HED 5S1 placement list returned	May 31
CCRB finalize review and approve data	June 15
Data included in APR release	July 1

Due Dates for Postsecondary Data

Submission window opens	May 1
IR submit indicators other than 4P1 to PED	April 30
IR submit 4P1 to HED	April 30
HED 4P1 placement list returned to IR	May 31
IR submit 4P1 w/ disaggregation to PED	June 7
PED finalize review and approve data	June 15
Data included in APR release	July 1

Secondary data is collected by PED through the Student Teacher Accountability Reporting System (STARS). Data is imported from each district's Student Information System (SIS). Data transfer occurs at 40-, 80-, 120-day, and End of Year.

Postsecondary data is calculated by institutional researcher (IR) at the recipient institution. Data transfer occurs to CCRB by April 30, with 4P1 submitted no later than June 7.

Data calculated and reported to CCRB are used to populate the Annual Performance Report (policy 2015-0200) and Performance Improvement Plan (Policy 2015-0600), which are released on July 1 for sub-recipient completion.

PROCEDURES - SECONDARY

1. Data is submitted by districts through their STARS portal. Data is reviewed by CCRB staff at each snapshot period to ensure that district level data is complete, accurate and reliable.
2. Detailed technical instructions for data calculations are published annually in the Business Rules Guide ("business rules"). This is an internal document that is developed in collaboration with PED Information Technology (IT) staff and saved in a shared folder location. IT staff uses these business rules to calculate data aggregations by school, district, consortia, and state.
3. Data to be calculated by the IT staff include:
 - a. Participant counts– count of CTE participants, disaggregated by subgroups specified in the Act.
 - b. Concentrator counts– count of CTE concentrators, as defined in the business rules, disaggregated by subgroups specified in the Act.
 - c. Performance Indicator counts –numerator and denominator counts for each performance indicator. Performance indicators are specified in the New Mexico State Plan and negotiated annually by CCRB with input from attendees of the Perkins Application Workshop. Each count will be disaggregated by subgroups specified in the Act.
 - d. Data changes– Increases or reductions in excess of 15 percent are highlighted.
4. Upon timely submission of the data, CCRB will test the submitted data to ensure data are complete, accurate and reliable. CCRB will provide feedback to IT staff if tests suggest problems in the dataset. Validation checks will include:
 - a. comparison of CTE participants to total headcount
 - b. comparison of CTE participants to CTE concentrators
 - c. year over year change for CTE participants, concentrators, and all indicators
 - d. comparison of gender and race disaggregation subtotals for participants, concentrators, and all indicators.
5. Data for 5S1, which must be submitted by PED to HED for further analysis, is due to HED no later than April 30. HED will determine those concentrators with placement in postsecondary education, advanced training, and/or employment, in the second quarter following the program year in which they left education. HED will provide back to PED, no later than May 31, a list of those students with placement. Disaggregation by subgroups will be calculated by IT staff and submitted to CCRB along with other disaggregated performance data.

6. Initial calculations are due by April 1 and delivered to CCRB for review. Final disaggregation of all performance indicators by school and district will be calculated by IT staff and submitted to CCRB no later than June 15.
7. For data reported through STARS, if CCRB finds problems with reported data, the secondary LEA will receive a follow up phone call and/or email. A notation will also be placed on the institution's risk-based monitoring list.
8. CCRB will withhold Perkins funding claims for institutions failing to submit data until such data are submitted and approved by the CCRB.

PROCEDURES - POSTSECONDARY

1. Each postsecondary LEA institutional researcher (IR), on file with the CCRB, will receive a password to access the CCRB web portal for data submission. If the IR has not received such password, they must contact CCRB.
2. Detailed technical instructions for data calculations are published annually in Data Reporting Methodology Guidelines ("business rules") and distributed by the CCRB directly to IRs no later than May 1. These guidelines are developed in collaboration with members of the New Mexico Association for Institutional Research and Planning.
3. Data submission includes a signed assurances page. IR and Perkins director both sign to assure that the submitted data are complete, accurate and reliable.
4. Contents of the data submission to be completed by the institutional researcher include:
 - a. General Information - this captures the institution's general information; e.g., contact name, title, phone, address, etc.
 - b. CTE courses– a list of all course codes and titles used to determine CTE participation.
 - c. Participant counts– count of CTE participants, disaggregated by subgroups specified in the Act.
 - d. Economically disadvantaged career-technical students – unduplicated count of CTE participants who receive Pell and/or BIE grants.
 - e. Concentrator counts– count of CTE concentrators, as defined in the business rules, disaggregated by subgroups specified in the Act.
 - f. Performance Indicator counts –numerator and denominator counts for each performance indicator. Performance indicators are specified in the New Mexico State Plan and negotiated annually by CCRB with input from attendees of the Perkins Application Workshop. Each count will be disaggregated by all subgroups specified in the Act.
 - g. Data changes explanation – Increases or reductions in excess of 15 percent require a written explanation.
5. Upon timely submission of the data, CCRB will test the submitted data, to ensure data are complete, accurate and reliable. CCRB will provide feedback to IRs if tests suggest problems in the dataset. Validation checks will include:
 - a. comparison of CTE participants to total headcount
 - b. comparison of CTE participants to CTE concentrators
 - c. year over year change for CTE participants, concentrators, and all indicators

- d. comparison of gender and race disaggregation subtotals for participants, concentrators, and all indicators.
6. Data for 4P1, which must be submitted to HED for further analysis, is due to HED no later than April 30. HED will determine those concentrators with placement in postsecondary education, advanced training, and/or employment, in the second quarter following the program year in which they left education. HED will provide, no later than May 31, a list of those students with placement. Disaggregation by subgroups for 4P1 will be calculated by the IR and submitted to PED no later than June 7.
7. Institutions failing to submit data by the required deadlines listed above will receive a follow up phone call and/or email. A notation will also be placed on the institution's risk-based monitoring list.
8. CCRB will withhold Perkins funding claims for institutions failing to submit data until such data are submitted and approved by the CCRB.

**PUBLIC EDUCATION DEPARTMENT
COLLEGE AND CAREER READINESS BUREAU
POLICY AND PROCEDURES**

**CARL D. PERKINS
REDISTRIBUTION OF UNOBLIGATED FUNDS**

POLICY

It is the policy of the Public Education Department (PED) College and Career Readiness Bureau (CCRB) to align to the Carl D. Perkins Act that in any grant year where an eligible recipient is allocated funds under Section 131 or 132, such eligible recipient shall revert unexpended amounts (budget) to the CCRB to be reallocated as appropriate. In any grant year in which amounts are reverted to the CCRB and funds are unable to be reallocated in time to be expended in the basic grant year, then CCRB shall retain such amounts for redistribution in combination with amounts provided under Section 112(a)(1) for the following grant year.

CCRB shall distribute the portion of funds made available under section 112(a)(1). Unexpended funds remain at the state level for redistribution and are allocated according to the formula described in section 131 or 132 of the Perkins Act of 2006. The PED issues Redistribution in two phases.

PHASE I ALLOCATION

The amount to be distributed to schools is determined by the following:

1. September 30 –all unused funds remaining from the prior year redistribution, and
2. Prior year award – From July 1 thru June 30, any balance remaining from the prior year award not budgeted in unliquidated obligations (total amount less total request for reimbursement), and
3. From July 1-August 30, any balance from the unliquidated obligations (total budget for unliquidated obligations less total claims).
4. Phase I allocation will be distributed with the current final award letter.

PHASE II ALLOCATION

During December and January, the PED will perform a final reconciliation of the two preceding years to determine if any money has not yet been allocated pursuant to the phase I procedures. If an amount becomes available, a phase II allocation will occur in accordance with Section 112(a)(1), sections 131 and 132 of the Perkins Act of 2006.

Any remaining funds available for redistribution will be awarded to entities that applied for funds during the year in which the funds originated. The following is provided as a sample calculation:

First year allocation

Institution A	\$100,000
Institution B	\$ 30,000
Institution C	\$ 55,000

Unexpended funds first year

Institution A	\$ 8,700
Institution B	\$ 11,000
Institution C	\$5,900
Total	\$25,600

The unexpended amount for the first year, as of August 31, totals \$ 25,600. This shall be the amount to be redistributed (based on formula) for the following year between the **institutions that apply** and are approved for the redistribution funds.

Only institutions that receive an award in the first 12 months of a program year are eligible for redistribution in the subsequent 12-month period of the 27-month performance period of the award.

Every year each entity will be assigned a Universal Chart of Accounts (UCOA) fund number for current funds and one for redistribution funds. Accounts are separate and the proper UCOA fund number must be used to identify current funds from redistribution funds. The UCOA fund number for current funds for secondary is 24174 and for postsecondary is 24177. The UCOA fund number for redistribution funds for secondary is 24176 and for postsecondary is 24179.

PROCEDURES

- A. PED will calculate prior year redistribution amount and allocation.
- B. PED will subtract total amount claimed by subgrantees and arrive at total amount available.
- C. PED will calculate total amount budgeted in unliquidated funds and arrive at total amount available.
- D. PED will balance allocable amounts of funding and apply the funding formula to arrive at the total amount for redistribution allocations.
- E. Redistribution allocations may be included in the final award letter announcing Perkins Basic total award for the current year.
- F. PED will implement a carryover process during the months of December and January to reconcile redistribution amounts for Phase II.
- G. Redistribution funds will be allocated through an application process. The Request for Application (RfA) will outline grant guidelines and requirements as specified by the CCRB. In order to strengthen the academic and career and technical skills of students participating in CTE programs, CCRB will approve the areas in which the expenditures should occur and be monitored. The state, based upon performance measures and anticipated workforce needs, might indicate where the funds will be expended in order to improve CTE programs.

- H. Any unused funds remaining in the state's administrative or leadership budget (non-state match) will remain at the state level for the expenditure in the subsequent year within the 27 month period of availability.

**PUBLIC EDUCATION DEPARTMENT
COLLEGE AND CAREER READINESS
POLICY AND PROCEDURES**

**CARL D. PERKINS
REPORTING ECONOMICALLY DISADVANTAGED STUDENTS**

POLICY

Pursuant to the Carl D. Perkins Career and Technical Education Act of 2006, 20 U.S.C. §§ 2301 *et seq.* as amended by P.L. 109 - 270 (Perkins IV or the Act) the Public Education Department (PED) College and Career Readiness Bureau (CCRB) requires each postsecondary agency that receives an allocation under the Perkins basic grant to annually prepare and submit to the CCRB a report of economically disadvantaged Career and Technical Education (CTE) students. The submission due date is April 30.

If a postsecondary agency has not been a recipient of Perkins funds and wishes to apply for funding, the institution must pre-qualify by submitting their counts for the reporting year preceding the application year. CCRB will use their economically disadvantaged CTE student counts to determine if the application would be likely to be funded.

PROCEDURES

1. Each subgrantee project director, on file with the CCRB, will receive a password to access the CCRB web portal for the data submission.
2. Contents of the submission include:
 - a. Total unique students – is reported for reporting period summer, fall, and spring.
 - b. CTE participants – All students participating in CTE (as defined in section 3(5) of the Act), disaggregated by gender, race, ethnicity, and special populations as defined in the Act.
 - c. Economically disadvantaged students – Such students are identified as being CTE participants and also recipients of the Federal Pell Grant and/or recipients of assistance from the Bureau of Indian Education (BIE).
 - d. Course list –A list of all CTE courses offered at the institution, with enrollment.

**PUBLIC EDUCATION DEPARTMENT
COLLEGE AND CAREER READINESS BUREAU
POLICY AND PROCEDURES**

**CARL D. PERKINS
REQUESTING NEW PROGRAM OF STUDY CREDENTIALS/CERTIFICATIONS**

POLICY

Pursuant to Section (b)(2)(B)(iii) of the Perkins Act, the Public Education Department (PED) College and Career Readiness Bureau (CCRB) ensures that each eligible recipient identifies core indicators of performance for Career and Technical Education (CTE) students at the secondary and postsecondary level that are valid and reliable, and that include student attainment of an industry-recognized credential, a certificate, or a degree. A listing of available CTE student industry certification codes can be found in the Student Teacher Accountability Reporting System (STARS) Volume #2.

Should a subgrantee request the offering of additional certifications within a program of study not listed in STARS, using the following procedures:

PROCEDURES

1. The subgrantee must submit a formal letter and completed New Credential/Certification for Inclusion in STARS Request Form to the CCRB Director requesting NMPED recognition of the new certification/credential.
2. The subgrantee must provide CCRB with the following supporting documentation regarding the new certification/credential:
 - A. One or more letter(s) of support from a New Mexico employer(s) on business letterhead that recognize the proposed certification/credential as valid AND meeting minutes from the industry advisory board reflecting the discussion and recommendation of the certification

OR

Three or more letters of support from New Mexico employers on business letterhead that recognize the proposed certification/credential as valid

- B. Workforce labor market data
- C. Verification that the requested certification /credential is portable
- D. Verification or assurances that the CTE instructor(s) / programs meet all certification / credentialing conditions prior to offering the credential.
- E. A justification and validation statement verifying which industries recognize the new certification/credential.

3. Upon receipt of the formal request form and supporting documentation, the CCRB staff will review and provide a recommendation for approval or denial to the CCRB Director.
4. Upon receipt of the recommendation for approval or denial, the CCRB Director will make a final determination.
5. The subgrantee will be advised in writing of the approved/denied request for the new certification/credential.
6. If approved, the certification / credential codes will be added to STARS Volume #2 during the next update period.

**PUBLIC EDUCATION DEPARTMENT
COLLEGE AND CAREER READINESS BUREAU
POLICY AND PROCEDURES**

**CARL D. PERKINS
RESERVE FUNDING**

POLICY

Pursuant to Section 112 (a)(1) of the Perkins Act, a state may reserve not more than 10 percent of the 85 percent of Perkins pass through funds to make grant awards to eligible recipients to carry out the activities enumerated in Section 135 (local uses of funds). New Mexico takes advantage of this optional set-aside through the administration of the reserve funds. It is the policy of the Public Education Department (PED) College and Career Readiness Bureau (CCRB) to allocate the 10 percent reserve on a competitive basis by releasing applications for eligible Local Education Agencies (LEAs).

PROCEDURE

At the time of release of the application, interested LEAs must be eligible recipients for CTE activities described in Section 135 in:

- A. **Rural Areas** – LEA must meet the Rural and Low Income School Program (RLISP) eligibility criteria as defined by ESEA Title VI (<http://www2.ed.gov/programs/reaprlisp/eligible13/index.html>);
- B. **Areas with high percentages of career and technical education students** – 50% or more of the LEA’s student population must be enrolled in CTE; and
- C. **Areas with high number of career and technical education students** – LEA must have more than the State’s mean number of CTE participants enrolled in the preceding year.

NOTE: New Mexico only allocates Reserve funds to eligible secondary entities (LEAs).

**PUBLIC EDUCATION DEPARTMENT
COLLEGE AND CAREER READINESS BUREAU
POLICY AND PROCEDURES**

**CARL D. PERKINS
RESOLUTION OF FINDINGS AND CORRECTIVE ACTIONS**

POLICY

The Public Education Department (PED) College and Career Readiness Bureau (CCRB) is responsible for monitoring Perkins grant recipients to ensure compliance with local and federal regulations. Monitoring is the regular and systematic examination of all aspects associated with the administration and implementation of a State approved program in an effort to ensure compliance and promote program quality. Following a monitoring visit, CCRB will notify subgrantees of required corrective actions (if any), due date, and required follow up activities.

PROCEDURES

1. Within thirty (30) days after the conclusion of the monitoring visit, CCRB will send written correspondence to the subgrantee. The correspondence will provide an overview of any findings, recommendations, and corrective actions.
2. If applicable, subgrantees will have 45 days to develop a Corrective Action Plan that delineates strategies and a timeline for correcting any findings.
3. CCRB will be available to provide targeted technical assistance to ensure the plan is sufficient, manageable, and timely.
4. CCRB will consider all findings resolved only after the subgrantee has provided sufficient evidence that the Corrective Action Plan has been fully implemented.
5. A closeout letter will be issued to indicate that all findings have been resolved and to document which conditions or restrictions have been lifted.
6. A subgrantee's failure to sufficiently implement its Corrective Action Plan within the determined timeframe may lead to special conditions or restrictions on the subgrantee's ability to submit claims for reimbursements or to receive grant funds in the future.

Special conditions may include:

- a. Additional reporting
- b. Additional onsite monitoring
- c. Mandatory technical assistance
- d. Withholding or suspension of grant funds, with appropriate written notification

**PUBLIC EDUCATION DEPARTMENT
COLLEGE AND CAREER READINESS BUREAU
POLICY AND PROCEDURES**

**CARL D. PERKINS
REVIEW AND APPROVAL OF ELIGIBLE RECIPIENT'S APPLICATION**

POLICY

The Public Education Department College and Career Readiness Bureau (PED CCRB) provides technical assistance and support for the improvement of existing state-approved career and technical education (CTE) programs and the development of new CTE programs for secondary and postsecondary institutions. Each program of study incorporates secondary / postsecondary elements as required to meet career and technical education areas that will result in industry-recognized credentials, or associate or baccalaureate degrees. The program of study is a non-duplicative sequence of courses that encompasses rigorous content aligned with challenging academic standards and relevant technical knowledge and skills needed to prepare for further education and careers in current or emerging professions.

PROCEDURES

- A. The approval of programs of study is embedded in the approval of the Perkins application.
- B. The CCRB provides the Request for Application of Basic Grants which provides the template to subgrantees that guides the institutions in the development of programs of study of sufficient size, scope, and quality to meet the requirements of the Perkins Act of 2006.
- C. A Basic Grant application is submitted by the recipients through an online portal – SCORE.
- D. Program of study courses are required to meet the PED graduation requirements and must be aligned with state standards/benchmarks.
- E. Program of study career courses are aligned to pathways and career clusters.
- F. The program of study course curriculum must include industry-recognized standards. In certain fields, National Skills Standards will also be used.
- G. The Basic Grant Evaluation Rubric is used by CCRB grant monitors to review and evaluate the programs of study.
- H. Once the rubric has been completed, the CCRB grant monitor sends the rubric to the eligible recipient's project director or point of contact to discuss necessary revisions.
- I. The applicant makes necessary revisions to the programs of study and sends the revisions to CCRB for approval.
- J. Upon CCRB approval, a program of study is authorized for implementation.

**PUBLIC EDUCATION DEPARTMENT
COLLEGE AND CAREER READINESS BUREAU
POLICY AND PROCEDURES**

**CARL D. PERKINS
SPECIAL POPULATIONS**

POLICY

Perkins IV, Section 3. Definitions, defines special populations as meaning:

- 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
- F. Individuals with limited English proficiency

The Public Education Department (PED) College and Career Readiness Bureau (CCRB) will continue its provision of educational services under statutory regulations provided by the Individuals with Disabilities Education Act (IDEA) which ensures services to children with disabilities and governs how states and public agencies provide services to persons with disabilities. Additionally, the CCRB will continue implementation of activities under the direct legal parameters covering non-discrimination, planning and program development purposes.

PROCEDURES

- A. To ensure equal access to activities for members of special populations, the CCRB will:
 - 1. Provide funds to eligible secondary and postsecondary entities that have adopted policies of nondiscrimination.
 - 2. Ensure that curriculum development, programs of study development, professional development, program articulation between secondary and postsecondary and industry partners, collaborative interactions pertaining to programs developed and / or implemented in conjunction with Workforce Investment Programs, and career technical student organizations are:
 - a. Available to any and all special population students who qualify for career technical education programs in the State of New Mexico.
 - b. That each eligible entity receiving Perkins IV funding has incorporated and implements non-discrimination clauses.

- c. Has included descriptors in their local applications of their plan(s) for reaching and serving special populations, especially displaced homemakers and non-traditional students.
- B. To ensure non-discrimination against on the basis of their status as members of special populations, the CCRB will:
 - 1. Continue implementation of activities under the direct legal parameters covering non-discrimination, Office of Civil Rights guarantees.
 - 2. CCRB's technical assistance personnel, during monitoring / compliance visits, professional development activities, or other activities implemented in conjunction with Perkins funding will be diligent in assuring that eligible entities have appropriate assurances in place to prevent discrimination against special populations, especially displaced homemakers.
 - 3. Training for eligible entities with regard to providing special populations equal access to programs and avoiding discrimination against students in special populations will be offered.
 - 4. For compliance with Office of Civil Rights regulations, technical assistance will be provided on site at the time of the compliance reviews.
 - 5. Entities are encouraged to contact the Methods of Administration Coordinator at the CCRB if they should need consultation on any specific issue or question.
- C. To ensure special populations are provided with programs designed to meet or exceed State adjusted levels of performance, and prepare them for further learning and for high skill, high wage, or high demand occupations, CCRB will:
 - 1. Ensure applicants from eligible entities enable special populations and all other participating students the opportunity to engage with programs of study that will be included in the data collection that encompasses the States adjusted levels of performance.
 - 2. Ensure applicants from eligible entities complete plans for offering Programs of Study that prepare special populations and all other participating students the opportunity to gain skills and knowledge that may lead to high-skill, high-wage, or high demand occupations.
 - 3. Ensure eligible entities provide data to the CCRB for the intent and purposes of evaluation, planning and program development that will reflect aligned sequences of courses that may include articulated / dual credit opportunities which can result in graduation, a diploma, industry recognized certification, or degree thus preparing special populations and all other participating students for high-skill, high-wage, high-demand occupations.
 - 4. The CCRB will provide technical assistance to support subgrantees based on Consolidated Annual Report data.

5. The CCRB will support expansion of the Next Step Plans which include special populations and all other participating students with requisite information on the benefits of lifelong learning and for transitioning into self-sufficiency.

**PUBLIC EDUCATION DEPARTMENT
COLLEGE AND CAREER READINESS
POLICY AND PROCEDURES**

**CARL D. PERKINS
SUPPLEMENT - NOT SUPPLANT**

POLICY

It is the policy of the Public Education Department (PED) College and Career Readiness Bureau (CCRB) to ensure that Perkins funded secondary and postsecondary schools/institutions shall supplement, and not supplant, non-federal funds expended for career and technical education activities in accordance with Perkins Section 311(a), Fiscal Requirements.

PROCEDURES

- A. Federal funds cannot be used to pay for services, staff, programs, or materials that would otherwise be paid for with state or local funds.
- B. Always ask: “What would have happened in the absence of federal funds?”
- C. Tip: Supplement, not Supplant Requirement = EXTRA
- D. Supplanting may be presumed if Perkins funds are used to provide services the subgrantee is required to make available under other federal, state or local laws.
- E. Supplanting may be presumed if Perkins funds are used to provide services the subgrantee provided with state or local funds in the prior year.
- F. Supplanting may be presumed if the subgrantee provides services for non CTE students with non-federal funds and provides the same services to CTE students using Perkins funds.
- G. Administrative Services Division provides consultation as requested to the College and Career Readiness Bureau regarding “supplement, not supplant” issues.

**PUBLIC EDUCATION DEPARTMENT
COLLEGE AND CAREER READINESS BUREAU
POLICY AND PROCEDURES**

CARL D. PERKINS

USE OF FUNDS BY ELIGIBLE RECIPIENTS TO IMPROVE CTE PROGRAMS

POLICY

It is the policy of the Public Education Department (PED) College and Career Readiness Bureau (CCRB) to ensure eligible recipients use allocated funds to improve career and technical education programs. By signing application assurances, the local recipients indicate an understanding that they will be held accountable on compliance reviews for meeting the nine required uses as listed in Perkins Section 135. Thus, local recipients of Perkins funds must maintain evidence that funding is being used to meet the nine required uses found in Section 135(b) to be provided during monitoring or technical assistance sessions. All expenditures must be used for current program year benefiting current year students. All aspects of the use of Perkins funds must be supported by data, rationale, a plan, and the school/institution must have the capacity to measure student/program improvement resulting from the use of these funds. Pursuant to the Perkins statute, there are certain mandatory and permissive uses for the grant funds received by recipients.

Recipients are required to use Perkins funds to:

1. strengthen the academic and career and technical skills of students participating in CTE programs, by strengthening the academic and CTE components of such programs through the integration of academics with CTE programs through a coherent sequence of courses, such as career and technical programs of study to ensure learning in –
 - a. the core academic subjects; and
 - b. CTE subjects;
2. link CTE at the secondary level and CTE at the postsecondary level, including by offering the relevant elements of not less than 1 career and technical program of study;
3. provide students with strong experience in and understanding of all aspects of an industry, which may include work-based learning experiences;
4. develop, improve, or expand the use of technology in CTE, which may include –
 - a. training of CTE teachers, faculty, and administrators to use technology, which may include distance learning;
 - b. providing CTE 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 the section 122 (State Plan) to secondary and postsecondary teachers, faculty, administrators, and career guidance and academic counselors who are involved in integrated CTE including –
 - a. in-service and pre-service 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 CTE in public schools and other public school personnel who are involved in the direct delivery of educational services to CTE 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 CTE 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 CTE 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 CTE programs, for high-skill, high-wage, or high-demand occupations that will lead to self-sufficiency.

As long as all required uses are being addressed, a recipient may use Perkins funds for the following permissive uses:

1. to involve parents, businesses, and labor organizations as appropriate, in the design, implementation, and evaluation of CTE 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, for students participating in CTE 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 for –
 - a. work-related experiences for students, such as internships, cooperative education, school-based enterprises, entrepreneurship, and job shadowing that are related to CTE 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 CTE 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, through the use of distance education;
- 10. to develop initiatives that facilitate the transition of sub-baccalaureate CTE students into baccalaureate degree programs, including –
 - a. articulation agreements between sub-baccalaureate degree granting CTE 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 CTE 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 CTE 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 CTE 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 CTE 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 the Workforce Investment Act (Establishment of one-stop delivery systems);
- 17. to support training and activities (such as mentoring and outreach) in nontraditional 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 CTE 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;
 - c. implementing career and technical programs of study as described in the State Plan; or
 - d. implementing technical assessments; and
20. to support other CTE activities that are consistent with the purposes of this Act.

PROCEDURES

The CCRB ensures compliance with the required use of funds, EDGAR and Uniform Grant Guidance by:

1. Evaluating Basic Grant applications utilizing the Basic Grant Evaluation Rubric. Monitors will request necessary revisions, amendments, or adjustments be made prior to granting substantial approval.
2. Ensuring that the Program of Study Budgets aligns with approved activities within the application.
3. Confirming that account expenditures align with Uniform Grant Guidance and EDGAR requirements.
4. Pre-approving all items in the Program of Study Budget prior to Requests for Reimbursement (RfRs) are submitted.
5. Ensuring that RfRs are supported by the submission of a detailed ledger and support documentation justifying claim. Claims are evaluated against the Program of Study budget as approved in the Basic Grant application.

In the event of disagreement, differences may be reconciled or may result in non-payment due to expenditure without prior approval. In the event that an institution leaves 15 percent or more in funding unexpended, the institution will be placed a Financial Cash Management Plan.

The institution will produce a corrective action plan for the upcoming school year to ensure that they expend all finances by end of fiscal year using a CCRB template. In the event that the institution leaves 15 percent or more unspent in the following year, the institution will be placed on a month-to-month financial monitoring to ensure that funds are expended.

**PUBLIC EDUCATION DEPARTMENT
COLLEGE AND CAREER READINESS BUREAU
POLICY AND PROCEDURES**

**CARL D. PERKINS
USE OF PERKINS FUNDS TO PURCHASE EQUIPMENT**

POLICY

Subgrantees of the Federal Perkins Award (herein referenced as subgrantees) are required to maintain equipment management policies and procedures. All equipment purchased with Perkins funds shall be used for the specified and approved career and technical education program and upon receipt must be located within that program for use by current year students. The subgrantee is responsible for maintaining local inventory of equipment as well as implementing a control system to ensure adequate safeguards to prevent loss, damage or theft of the equipment. The title to equipment acquired under a subgrant will vest upon acquisition of the subgrantee.

PROCEDURES

A. Actual Equipment Purchase

1. The subgrantee is responsible for purchasing equipment approved by the Public Education Department (PED) College and Career Readiness Bureau (CCRB) for use in career and technical education programs. All local and state laws, regulations, and procedures must be followed in the purchase of equipment. After a subgrantee has been notified that the equipment has been approved for purchase, a signed purchase order must be executed.
2. Equipment purchased by subgrantees with funds provided by CCRB must meet all federal and state occupational safety and health administration rules and regulations. Subgrantees must comply with all equipment installation and maintenance rules and regulations provided by the vendor when purchase is made.
3. The subgrantee is responsible for developing a plan for a systemic method for continual updating of equipment to avoid obsolescence and fluctuating equipment budgets / purchases from year to year.
4. Equipment needs to be received and be operational in sufficient time to make an impact on the current program serving current program students.
5. All equipment purchased with Perkins funds will be identified as Perkins-purchased equipment with a permanent label / tag. Equipment must be tagged upon receipt by the subgrantee. The assigned identification tag must be attached with the inventory number identified.

6. Property records shall be accurately maintained for each item of equipment. The records shall include the following information:
 - a. Description of equipment
 - b. Acquisition date and cost of property
 - c. Serial number or other identification number
 - d. Location, use and condition of equipment
 - e. Any disposal data including the date of disposal and sale price of the property

B. Use of Equipment Purchased with Perkins Funds

1. Equipment purchased for a specific career and technical education program must be located in the specified and approved program. Career and technical education equipment may be used for other instructional programs if the other use of the equipment is after schools hours or on weekends and does not interfere with CCRB approved career and technical education programs.
2. The subgrantee shall be solely responsible for the repair and / or replacement of any item lost, damaged, stolen or destroyed. No reimbursement shall be made by PED CCRB to the subgrantee for any loss, damage, theft, or destruction of the equipment.
3. A control system for all equipment shall be in effect by the subgrantee to ensure adequate safeguards for the prevention of loss, damage, theft, or destruction of the equipment. The subgrantee will be responsible for replacing or repairing (with funds of the subgrantee) equipment that is lost, damaged, destroyed or stolen.
4. Adequate maintenance procedures, such as maintenance contracts, shall be implemented by the subgrantee to keep the equipment in good working condition. The cost of such maintenance is the responsibility of the subgrantee.

C. Equipment Disposition

1. When there is no longer a need for a specific piece of equipment to accomplish the purpose of the career and technical education program, or if the equipment becomes worn out or obsolete, the subgrantee will dispose of the equipment using the following:
 - a. Notify the PED CCRB Education Administrator of equipment to be disposed
 - b. Subgrantee shall adhere to Uniform Grant Guidance 2 C.F.R. §200.313

**PUBLIC EDUCATION DEPARTMENT
COLLEGE AND CAREER READINESS BUREAU
POLICY AND PROCEDURES**

**CARL D. PERKINS
BUDGET AUTHORITY AND GRANT SPEND-DOWN**

POLICY - #2017-01900.1

Pursuant to EDGAR section 76.708, PED CCRB may allow a recipient who has submitted a “substantially approved application” to begin to obligate funds even through the recipient’s local application may not be fully approved.

PROCEDURES

- Subgrantees are advised of their initial planning awards via web posting on the Administrative Services Division (ASD) page in April for each ensuing basic grant year. Posting lists information by fund and entity. The information for board approval is written into the context of an email so that this item is placed on board agendas for approval immediately. Planning awards are based on 90 percent of prior year funded amounts. Planning awards are to be considered a good faith commitment for subgrantees who have applied for Perkins funding.
- **For secondary institutions only:** Perkins monitors will follow up to ensure that program managers have included planning award amount(s) as an agenda item for their upcoming board meeting for approval in order to establish budget authority in May.
- Once budget authority has been established, Perkins monitors approve Budget Adjustment Requests (BARs) for spend-down /expenditures only if the Perkins application is **substantially** or **fully approved**.
- Requests for Reimbursements (RfRs) cannot be submitted until the subgrantee’s application is fully approved.
- The CCRB will send Final Award Letters to subgrantees for the purpose of announcing remaining 10 percent balance allocations.
- Upon receipt of the Final Award Letters, subgrantees must submit a BAR for the 10 percent allocation. Amendments to the current Perkins application must be made to show allocation of the amounts listed in the Final Award Letters.