

PROGRAM MEMORANDUM

DATE: [To be inserted]

TO: State Directors of Career and Technical Education

FROM: Troy R. Justesen

SUBJECT: Guidance for the Submission of State Plan Revisions, Budgets, and Performance Levels for FY 2009 Perkins IV Grant Awards—OMB Approval Number: 1830-0029

I am pleased to provide our office's requirements for each eligible agency to receive its program year three (Fiscal Year (FY) 2009) grant awards pursuant to the Carl D. Perkins Career and Technical Education Act of 2006 (Perkins IV, Public Law 109-270). Funds for FY 2009 grant awards will become available to States on an advance-funded basis, beginning July 1, 2009.

Each State has an approved Perkins IV State plan through program year six (July 1, 2012-June 30, 2013). Section 122(a)(2) of Perkins IV requires each agency, after the second year of the six-year period, to conduct a review of activities assisted under Title I (State basic grant) and submit to the Secretary any revisions that the eligible agency determines necessary.

Please note that each State had an approved budget for the first two program years of Perkins IV, ending June 30, 2009. Among other budgetary decisions, each State needs to determine whether, and to what extent, it will consolidate all, or a portion, or its Title II tech prep education funds with its Title I State basic grant funds to carry out activities under Title I in accordance with section 202 of Perkins IV.

Each State had approved State-adjusted levels of performance for each of the core indicators of performance described in section 113(b) of Perkins IV for the first two program years of Perkins IV, ending June 30, 2009. Section 113(b)(3)(A)(v) of Perkins IV requires each eligible agency, prior to the third (and fifth) program year, to reach agreement on the State adjusted levels of performance for each of the core indicators of performance for the corresponding subsequent years covered by the State plan.

Based on these requirements, our office has determined that each eligible agency must submit the following items to our office for approval before receiving its program year three (FY 2009) Perkins IV grant awards:

- Revisions to the State Plan. Each eligible agency must review its activities under Title I of Perkins IV and submit revisions, if any, to update its State plan accordingly. Although not required by statute, each State also should review its activities under Title II of Perkins IV and submit revisions as necessary.

State plan revisions may include changes to a State's approved measurement approaches and definitions for one or more of the core indicators of performance described in section 113(b) of Perkins IV. However, if the eligible agency's proposed measures or definitions are other than those described in the Department's March 13, 2007, non-regulatory guidance document entitled "Student Definitions and Measurement Approaches for the Core Indicators of Performance Under the Carl D. Perkins Career and Technical Education Act of 2006 (i.e. Perkins IV)," the eligible agency must describe how its new measures and definitions are valid and reliable. See the OVAE guidance document at <http://www.ed.gov/policy/sectech/guid/cte/perkinsiv/studentdef.pdf>.

Consistent with the Department's current policy for revising performing levels, a State may revise one or more of its State-adjusted levels of performance for program year two, covering the period from July 1, 2008 – June 30, 2009, if an unanticipated circumstance arose in the State that resulted in a significant change in the factors that were considered at the time it negotiated its year two performance levels with the Department. Unanticipated circumstances may include: significant shifts in population; economic changes such as spiraling unemployment rates; or natural disasters that closed programs for significant periods of time. See OVAE Program Memorandum FY 2002-01 at: <http://www.ed.gov/policy/sectech/guid/cte/progmemo200201.html>

The Secretary also will use the transition authority in section 4 of Perkins IV to allow a State to propose changes to one or more of its year two performance levels if the State did not have baseline data or used estimated baseline data at the time it negotiated those performance levels with the Department, but now has actual baseline data upon which to negotiate more realistic and achievable performance levels. Please note that this is a one-time change to Department policy and, in future years, barring unanticipated circumstances as described above, a State will not be able to revise its performance levels for a program year that has already begun. See OVAE Program Memorandum FY 2002-01 above.

- Updated Budget. Each eligible agency will need to update its budget to reflect the new allotments from funds that will be available for program year three, beginning on July 1, 2009, for Title I and Title II of Perkins IV. Our office will issue estimated allocation tables to you as soon as they become available. Your State's budget must be submitted in the attached format.

- Proposed Performance Levels. Each eligible agency will need to submit proposed performance levels for each of the core indicators of performance described in section 113(b) of Perkins IV for program years three (July 1, 2009 – June 30, 2010) and four (July 1, 2010 – June 30, 2011). Proposed performance levels must take into account the factors described in section 113(a)(3)(A)(vi) of Perkins IV:
 - (I) how the levels of performance involved compare with the State adjusted levels of performance established for other States, taking into account factors including the characteristics of participants when the participants entered the program and the services or instruction to be provided; and
 - (II) the extent to which such levels of performance promote continuous improvement on the indicators of performance by such State.

Your State's proposed performance levels must be submitted on the attached Proposed State-Adjusted Levels of Performance forms. To assist you in developing your proposed levels, your Perkins Regional Accountability Specialist (RAS) will pre-populate and to you the forms with the most current information and data on file in our office. The RAS will then schedule one or more preliminary conversations with you to discuss your proposed levels. Please note that your performance levels are not official until this office has approved your levels and incorporated them into your Perkins IV Five-Year State Plan and issued your July 1, 2009, Perkins IV Grant Award Notifications (GAN).

Submission Deadline and Address. Each eligible agency must submit its State plan revisions, budget, and proposed performance levels to this office by **[insert date]**. Your submission may be made in one of three formats:

- Perkins State Plan Website. It is strongly encouraged that States upload its information to the Perkins State Plan Website. Our office will host training on this Website in February. Information on training dates and times will be transmitted under separate cover.
- E-mail. Your State may make a PDF submission to Perkins2009@ed.gov.
- Hard copy. Your State may send the information in hard copy to:

Edward R. Smith
 Program Administration Branch
 Division of Academic and Technical Education
 Office of Vocational and Adult Education
 U. S. Department of Education
 Potomac Center Plaza
 550 12th Street, SW, Room 11060
 Washington, DC 20202-7241

Please note that if you submit your information via the Perkins State Plan Website or e-mail, you are responsible for confirming that a complete and legible copy of the

submission is received in our office and that a hard copy with an original signature is sent within five working dates of the State's submission.

Please feel free to contact your Perkins Program Liaison or Regional Accountability Specialist if you have questions regarding your submission.

We look forward to continuing to work with you to improve career and technical education for young people and adults throughout our nation.

FY 2009 PERKINS IV BUDGET FORMAT
(For Federal Funds to Become Available Beginning on July 1, 2009)

STATE NAME: _____

Item	Amount
<i>(Note: Insert dollar amounts or values where requested with lines below)</i>	
Title I—Assistance to States	
Title I Allocation	\$
Title II Funds Consolidated with Title I Funds	\$
Total Title I Funds (Title I Allocation + Consolidated Title II Funds)	\$
Local Formula Distribution (not less than 85% of total Title I funds)	\$
<i>Reserve (not more than 10% of the 85% of funds for local distribution)</i>	\$
Secondary Programs (_____ % of funds)	\$
Postsecondary Programs (_____ % of funds)	\$
<i>Remainder for Local Distribution (85% of the funds for local distribution less any funds reserved)</i>	\$
Secondary Programs (_____ % of funds)	\$
Postsecondary Programs (_____ % of funds)	\$
State Leadership (not more than 10% of the total Title I Funds)	\$
Nontraditional Training and Employment (between \$60,000 and \$150,000)	\$
Corrections or Institutions (not more than 10% of state leadership funds)	\$
State Administration (not more than 5% of the total Title I Funds)	\$
State Administrative Match (from non-federal funds)¹	\$

¹ The eligible agency must provide non-federal funds for State administration of the Perkins IV, Title I grant in an amount not less than the amount it provided in the preceding year pursuant to section 323 of Perkins IV.

Item	Amount
<i>(Note: Insert dollar amounts or values where requested with lines below)</i>	
Title II—Tech Prep Education	
Title II Allocation	\$
Title II Funds Consolidated with Title I Funds Check here if you did not	\$
Total Title II Funds (Title II Allocation -Consolidated Title II Funds)	\$
Administration (amount as “reasonable and necessary”)	\$
Percent of Funds for Administration _____%	
Remainder for Consortia (Title II funds less any funds for administration)	\$
Number of Consortia _____	
Method of Distribution (check one): _____ Formula _____ Competitive	

**PROPOSED STATE-ADJUSTED LEVELS OF PERFORMANCE FOR THE PERKINS IV CORE INDICATORS:
SECONDARY LEVEL**

INSTRUCTIONS: Propose performance levels for program years three and four by completing Columns 7 and 8. See note below pertaining to the information in Columns 2 through 6 and the key for the letters B, A, L, and P.

STATE NAME: _____

Column 1	Column 2	Column 3	Column 4	Column 5	Column 6	Column 7	Column 8	Column 9	Column 10
Core Indicator	Measurement Definition	Measurement Approach	Final Agreed Upon Baseline	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6
				7/1/07-6/30/08	7/1/08-6/30/09	7/1/09-6/30/10	7/1/10-6/30/11	7/1/11-6/30/12	7/1/12-6/30/13
1S1 Academic Attainment in Reading/ Language Arts	Numerator: Denominator:		B:	L: A:	L: A:	P:	P:	P:	P:
1S2 Academic Attainment in Mathematics	Numerator: Denominator:		B:	L: A:	L: A:	P:	P:	P:	P:
2S1 Technical Skill Attainment	Numerator: Denominator:		B:	L: A:	L: A:	P:	P:	P:	P:
3S1 School Completion	Numerator: Denominator:		B:	L: A:	L: A:	P:	P:	P:	P:
4S1 Student Graduation Rates	Numerator: Denominator:		B:	L: A:	L: A:	P:	P:	P:	P:
5S1 Placement	Numerator: Denominator:		B:	L: A:	L: A:	P:	P:	P:	P:
6S1 Nontraditional Participation	Numerator: Denominator:		B:	L: A:	L: A:	P:	P:	P:	P:
6S2 Nontraditional Completion	Numerator: Denominator:		B:	L: A:	L: A:	P:	P:	P:	P:

Note: Columns 2 through 6 will be pre-populated and sent to you by your Perkins Regional Accountability Specialist (RAS) before preliminary conversations on proposed performance levels, based on the most current information and data on file in this office. Please immediately notify your RAS of any inaccuracies.

Key: B = initial baseline; L = State-adjusted performance level; A = actual performance P = proposed performance level

**PROPOSED STATE-ADJUSTED LEVELS OF PERFORMANCE FOR THE PERKINS IV CORE INDICATORS:
POSTSECONDARY LEVEL**

INSTRUCTIONS: Propose performance levels for program years three and four by completing Columns 7 and 8. See note below pertaining to the information in Columns 2 through 6 and the key for the letters B, A, L, and P.

STATE NAME: _____

Column 1	Column 2	Column 3	Column 4	Column 5	Column 6	Column 7	Column 8	Column 9	Column 10
Core Indicator	Measurement Definition	Measurement Approach	Final Agreed Upon Baseline	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6
				7/1/07-6/30/08	7/1/08-6/30/09	7/1/09-6/30/10	7/1/10-6/30/11	7/1/11-6/30/12	7/1/12-6/30/13
1P1 Technical Skill Attainment	Numerator: Denominator:		B:	L: A:	L: A:	P:	P:	P:	P:
2P1 Credential, Certificate, or Degree	Numerator: Denominator:		B:	L: A:	L: A:	P:	P:	P:	P:
3P1 Student Retention or Transfer	Numerator: Denominator:		B:	L: A:	L: A:	P:	P:	P:	P:
4P1 Student Placement	Numerator: Denominator:		B:	L: A:	L: A:	P:	P:	P:	P:
5P1 Nontraditional Participation	Numerator: Denominator:		B:	L: A:	L: A:	P:	P:	P:	P:
5P2 Nontraditional Completion	Numerator: Denominator:		B:	L: A:	L: A:	P:	P:	P:	P:

Note: Columns 2 through 6 will be pre-populated and sent to you by your Perkins Regional Accountability Specialist (RAS) before preliminary conversations on proposed performance levels, based on the most current information and data on file in this office. Please immediately notify your RAS of any inaccuracies.

Key: B = initial baseline; L = State-adjusted performance level; A = actual performance P = proposed performance level

**PROPOSED STATE-ADJUSTED LEVELS OF PERFORMANCE FOR THE PERKINS IV CORE INDICATORS:
ADULT LEVEL**

INSTRUCTIONS: Propose performance levels for program years three and four by completing Columns 7 and 8. See note below pertaining to the information in Columns 2 through 6 and the key for the letters B, A, L, and P.

STATE NAME: _____

Column 1	Column 2	Column 3	Column 4	Column 5	Column 6	Column 7	Column 8	Column 9	Column 10
Core Indicator	Measurement Definition	Measurement Approach	Final Agreed Upon Baseline	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6
				7/1/07-6/30/08	7/1/08-6/30/09	7/1/09-6/30/10	7/1/10-6/30/11	7/1/11-6/30/12	7/1/12-6/30/13
1A1 Technical Skill Attainment	Numerator: Denominator:		B:	L: A:	L: A:	P:	P:	P:	P:
2A1 Credential, Certificate, or Degree	Numerator: Denominator:		B:	L: A:	L: A:	P:	P:	P:	P:
3A1 Student Retention or Transfer	Numerator: Denominator:		B:	L: A:	L: A:	P:	P:	P:	P:
4A1 Student Placement	Numerator: Denominator:		B:	L: A:	L: A:	P:	P:	P:	P:
5A1 Nontraditional Participation	Numerator: Denominator:		B:	L: A:	L: A:	P:	P:	P:	P:
5A2 Nontraditional Completion	Numerator: Denominator:		B:	L: A:	L: A:	P:	P:	P:	P:

Note: Columns 2 through 6 will be pre-populated and sent to you by your Perkins Regional Accountability Specialist (RAS) before preliminary conversations on proposed performance levels, based on the most current information and data on file in this office. Please immediately notify your RAS of any inaccuracies.

Key: B = initial baseline; L = State-adjusted performance level; A = actual performance P = proposed performance

