

**U.S. Department of Education  
Office of Vocational and Adult Education**

**CONSOLIDATED ANNUAL REPORT (CAR)  
FOR THE CARL D. PERKINS  
CAREER AND TECHNICAL EDUCATION ACT OF 2006  
(Perkins IV) (as reauthorized by P. L. 109-270)**

**State Basic Grant (Title I) – CFDA 084.048A  
Tech Prep Grant (Title II) – CFDA 084.243A**

**Program Years (PY) – 2010-2011**

OMB NO: 1830-0569

EXPIRES: 5/31/201X

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According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 194 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (PL 109-270 Sec 113(b)(4)). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, U.S. Department of Education, Office of Vocational and Technical Education, Division of Academic and Technical Education, 550 12<sup>th</sup> Street, SW, Potomac Center Plaza, Room 11023, Washington, DC 20202-7241 or [john.haigh@ed.gov](mailto:john.haigh@ed.gov) or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1830-0569. Note: Please do not return the completed CAR application to this address.

**TABLE OF CONTENTS**

INTRODUCTION.....4

I. GENERAL INSTRUCTIONS AND REPORTING REQUIREMENTS.....6

    A. Submission Deadline.....6

    B. Submission Information.....6

    C. Requests for Extensions.....6

    D. Amended Final Financial Status Report Submissions.....7

    E. Amended Performance Data Submissions.....7

    F. Performance Data Reporting Requirements for Program Year One for States  
        that Submitted a One-Year Transition Plan.....8

    G. Further Information and Questions.....9

II. CHECKLIST OF REQUIRED REPORT FORMS.....10

III. CONSOLIDATED ANNUAL REPORT (CAR) INSTRUMENT AND  
INSTRUCTIONS.....13

    A. Cover Page.....14

    B. Narrative Performance Information.....16

        1. Implementation of State Leadership Activities .....16

        2. Progress in Developing and Implementing Technical Skill  
            Assessments.....17

        3. Implementation of State Program Improvement Plans.....18

        4. Implementation of Local Program Improvement Plans.....18

        5. Tech Prep Grant Award Information.....19

    C. Financial Status Reports (FSRs).....20

1.	Basic Reporting Requirements .....	20
2.	Instructions for Completing the FSR.....	20
3.	Required FSR Forms.....	26
	• Interim Financial Status Report Form	
	• Final Status Report Form	
D.	Performance Report .....	27
1.	Basic Reporting Instructions.....	27
2.	Definition of Terms.....	29
3.	Required Performance Report Forms.....	33
	• Student Enrollment Forms	
	• Student Accountability Form for the Core Indicators of Performance under Section 113 of Title I of the Act	
	• Student Accountability Forms for the Indicators of Performance under Section 203 of Title II of the Act	

## INTRODUCTION

This document contains the U.S. Department of Education (Department), Office of Vocational and Adult Education's (OVAE's) Consolidated Annual Report (CAR) for 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). Section 113(c) of Perkins IV requires each eligible agency that receives an allotment under section 111 of Title I of the Act (State basic grant) to annually prepare and submit to the Secretary a report regarding the progress of the State in achieving the State adjusted levels of performance on the core indicators of performance and additional indicators of performance, including the levels of performance for special population categories described in section 3(29) of Perkins IV and other student categories described in section 1111(h)(1)C(i) of the Elementary and Secondary Education Act of 1965, as amended by the No Child Left Behind Act (NCLB) of 2001. Finally, section 205 of Perkins IV requires each eligible agency that receives a tech prep allotment under section 201 of Title II of the Act (tech prep grant) to annually prepare and submit to the Secretary a report on the effectiveness of these programs, including a description of how tech prep grants were awarded within the State. The enclosed CAR is a single reporting instrument that combines the requirements referenced above with the required annual interim and final financial status reports pursuant to the Education Department General Education Regulations (EDGAR) in 34 CFR §80.41.

Perkins IV, signed into law on August 12, 2006, represents nearly three years of work on the part of Congress and the Department, in cooperation with other Federal agencies and the State and local agencies affected by its policies, to provide continuing Federal support for rigorous career and technical education (CTE) programs that provide students with knowledge and skills to keep the United States competitive. The Department distributes approximately one billion dollars annually in Perkins funding to the 50 States, the District of Columbia, Puerto Rico, and the outlying areas, such as Guam, Palau, and the Virgin Islands, collectively referred to as the "States". Each State distributes funds to eligible recipients, such as local educational agencies (LEAs) and postsecondary institutions, to develop more fully the academic and career and technical education knowledge and skills of secondary and postsecondary education students who elect to enroll in career and technical education programs. Perkins IV indicates that one of its purposes is to build on the work of States to assist CTE students to achieve challenging academic and technical standards, and be prepared for high skill, high wage, or high demand occupations in current or emerging professions. Perkins IV provides increased focus on: the academic achievement of CTE students, improvement in State and local accountability, and strengthened connections between secondary and postsecondary education delivery systems. These themes serve as the general framework for the enclosed CAR instrument.

This document is organized into three sections. Section I contains general instructions and reporting requirements for each State's CAR submission, which is divided into seven parts addressing the following topics: (1) submission deadlines; (2) submission information; (3) requests for extensions; (4) amended final financial status report submissions; (5) amended performance data submissions; (6) performance data reporting requirements for program year-one for States that submitted a one-year transition plan; and (7) further information and questions. Section II provides a checklist of required report forms that must be included in each State's CAR submission. Section III contains the CAR instrument and instructions, which is divided into four

parts addressing the following topics: (1) the cover page format that must be signed and certified as complete and accurate by the State's CTE director in order for a State to submit its CAR to the Department; (2) the information that must be provided in narrative form; (3) the requirements related to the interim and final Financial Status Report (FSR) forms; and (4) the requirements related to the performance report forms, consisting of student enrollment forms, student accountability forms for the core indicators of performance under section 113 of Title I of the Act and student accountability forms for the indicators of performance under section 203 of Title II of the Act. Each part contains detailed instructions necessary to assist each eligible agency prepare and submit a complete, accurate, and timely report on its Perkins IV grants to the Department each year.

## I. GENERAL INSTRUCTIONS AND REPORTING REQUIREMENTS

### A. Submission Deadline

The due date for each State's CAR submission is December 31 of each year. This date corresponds with Department regulations that require the submission of annual financial status reports by the 90<sup>th</sup> day following the grant period or expiration of the grant. See 34 CFR §80.40(b) (1) and §80.41(b)(4) of EDGAR. Perkins funds, similar to funds under most state-administered programs, are generally available for obligation (at the Federal and State levels) from July 1 in the fiscal year through September 30 of the following fiscal year (15 months). The Perkins IV funds are then covered by the so-called "Tydings Amendment," under section 421(b) of the General Education Provisions Act (GEPA), 20. U.S.C. 1225(b), which allows States to carryover for one additional year funds that were not obligated in the 15-month period for which they were appropriated. Therefore, States have up to 27 months to obligate appropriated funds beginning July 1 of the Federal fiscal year in which they were allocated. Unless an extension is approved, grantees must liquidate obligations within 90 days of the end of the funding period.

### B. Submission Information

Each State has several options in submitting its CAR report. A State may submit its report electronically via the Department's CAR Web site at <http://www.Perkinscar.com>. This Web site allows a State to complete its CAR report using Web-based or Excel forms and to certify to the accuracy and completeness of its submission using electronic Personal Identification Numbers (PINs) supplied to the State by the Department. The State CTE director must use one PIN to certify and sign the entire CAR submission. The authorized State official responsible to certify and sign Financial Status Reports (FSR) must use another PIN. It is important to note that the use of the PINs to certify and sign the CAR and FSRs is the same as certifying the documents with a hand-written signature by the responsible State official. State officials are responsible for protecting the confidentiality of their PIN and for any use of their PIN by another individual.

Alternatively, a State may submit its report via an e-mail attachment to a Perkins CAR mailbox at [PerkinsCAR2010@ed.gov](mailto:PerkinsCAR2010@ed.gov). A State that chooses this option must e-mail a signed pdf version of the report to the mailbox and send paper copies of any pages requiring a certification and signature to the address below.

Finally, a State may opt to make a paper copy submission. A State that chooses this option must send a certified and signed original and one copy of the report to the following address:

Chief  
Performance and Accountability Branch  
Division of Academic and Technical Education  
Office of Vocational and Adult Education  
U.S. Department of Education  
Potomac Center Plaza  
550 12<sup>th</sup> Street, SW, Room 11023  
Washington, DC 20202-7241

### **C. Requests for Extensions**

The Department may grant to a State a brief extension to the submission deadline for one or more sections of the CAR upon receipt of a justified request. The request must indicate the specific factors necessitating the State's extension and the reasons the State did not become aware of these factors to ensure that its submission was timely. An extension must be requested in writing to the Performance and Accountability Branch Chief at the address provided in section B or via e-mail to the State's Perkins Regional Accountability Specialist as indicated on page nine.

### **D. Amended Final Financial Status Report Submissions**

The Department may permit a State to file an amended final Financial Status Report (FSR) upon receipt of a justified request, indicating the specific factors necessitating the State's revision of its FSR and the reasons the State did not become aware of these factors in time to ensure its original submission was complete, accurate, and timely. An extension must be requested in writing to the Performance and Accountability Branch Chief at the address provided on page six or via e-mail to the State's Perkins Regional Accountability Specialist as indicated on page nine.

Once a State has received OVAE approval, a State has two options in submitting an amended final FSR. A State may submit its amended FSR electronically via the Department's CAR Web site at [www.PerkinsCAR.com](http://www.PerkinsCAR.com). The State must place a check in Block XI of the final FSR form and enter the date of filing the amended FSR. The authorized State official must use their PIN to certify and sign the amended FSR.

Alternatively, a State may make a paper copy submission. A State that chooses this option should send a certified and signed original and one copy of the amended FSR to the Performance and Accountability Branch Chief at the address provided in section B. The State must place a check in Block XI of the final FSR form and enter the date of filing the amended FSR.

The Perkins CAR mailbox will not be available to States to submit amended final FSRs.

### **E. Amended Performance Data Submissions**

The Department may permit a State to submit amended performance data upon receipt of a justified request, indicating the specific factors necessitating the State's revision of its performance data and the reason the State did not become aware of these factors in time to ensure its original data submission was complete, accurate, and timely. An extension must be requested in writing to the Performance and Accountability Branch Chief at the address provided in section B or via e-mail to the State's Perkins Regional Accountability Specialist as indicated on page nine.

It is important to note that, although a State may be permitted to submit amended performance data, the Department must use **only** the performance data that it receives by the December 31 submission deadline each year to determine whether a State has met at least 90 percent of its agreed upon State adjusted performance levels for each of the core indicators of performance

under section 113 of Title I of the Act or whether the State must submit a program improvement plan as required in section 123(a)(1) of Perkins IV.

Once a State has received OVAE approval, a State has two options in submitting amended performance data. A State may submit its amended performance data electronically via the Department's CAR Web site at [www.PerkinsCAR.com](http://www.PerkinsCAR.com) or make a paper copy submission. The State must place a check in the box next to "Amended Performance Data" on the applicable performance data forms and enter the date of filing the amended performance data.

Alternatively, a State may make a paper copy submission. A State that chooses this option must send the amended performance data to the Performance and Accountability Branch Chief at the address provided on page six. The State must place a check in the box next to "Amended Performance Data" on the applicable performance data forms and enter the date of filing the amended performance data.

The Perkins CAR mailbox will not be available to States to submit amended final FSRs.

#### **F. Performance Data Reporting Requirements for Program Year One for States that Submitted a One-Year Transition Plan**

The Secretary used the authority in section 4 of Perkins IV to allow a State to submit a one-year transition plan for the first program year (July 1, 2007 through June 30, 2008) to ease State's transition to the provision of this new legislation. A State that submitted a one-year transition plan was not required to: (1) negotiate performance levels with the Department for the first program year for the core indicators of performance under section 113 of Title I of the Act, except for the three core indicators tied to the Elementary and Secondary Education Act (ESEA) of 1965 as amended by the No Child Left Behind Act (NCLB) of 2001-- academic attainment in reading/language arts; academic attainment in mathematics; and student graduation rates (see section 113(b)(3)(iii) of Perkins IV); or (2) negotiate performance levels with its local consortia for the first program year for the indicators of performance under section 203 of Title II (see section 204(e)(1) of the Act). A State that submitted a one-year transition plan, therefore, is required to complete and submit only the following performance data forms in its CAR submission for the first program year (July 1, 2007 through June 30, 2008), which was due to the Department on December 31, 2008:

- Student Enrollment Forms
  - Enrollment of CTE Participants
  - Enrollment of CTE Concentrators
  
- Student Accountability Forms for the Section 113 Core Indicators of Performance (Title I) – Secondary Level
  - 1S1 – Academic Attainment in Reading/Language Arts
  - 1S2 – Academic Attainment in Mathematics
  - 4S1 – Student Graduation Rates



Each of these forms requires a State to provide data for all students (aggregate data), as well as disaggregated data for students by special population categories described in section 3(29) of Perkins IV and other student categories as described in section 1111(h)(1)(C)(i) of NCLB.

Each State is required to complete and submit all performance data forms in subsequent CAR submissions, beginning for the third program year (July 1, 2008 through June 30, 2009), which was due to the Department on December 31, 2009.

### **G. Further Information and Questions**

Requests for further information and questions regarding the CAR instrument and reporting requirements should be directed to your State’s Perkins Regional Accountability Specialist (RAS) as indicated below.

<b>States</b>	<b>Regional Accountability Specialist (RAS)/ Contact Information</b>
Alabama, Arkansas, California, Colorado, Guam, Idaho, Montana, Nebraska, New Mexico, Ohio, Texas, Wisconsin and Wyoming	Marie Buker (202) 245-6720 <a href="mailto:marie.buker@ed.gov">marie.buker@ed.gov</a>
Arizona, Alaska, Hawaii, Indiana, Nevada, New Hampshire, New York, Oregon, Puerto Rico, Utah, Vermont, Virgin Islands and Washington	Jose Figueroa (202) 245-6054 <a href="mailto:jose.figueroa@ed.gov">jose.figueroa@ed.gov</a>
Kentucky, Maryland, Mississippi, Missouri, North Dakota, Oklahoma, South Dakota and Tennessee	Denise Garland (202) 245-7730 <a href="mailto:denise.garland@ed.gov">denise.garland@ed.gov</a>
Connecticut, Illinois, Maine, Massachusetts, Michigan, Minnesota and Rhode Island	Sharon Head (202) 245-6131 <a href="mailto:sharon.head@ed.gov">sharon.head@ed.gov</a>
Delaware, District of Columbia, Florida, Georgia, Iowa, Kansas, Louisiana, New Jersey, North Carolina, Pennsylvania, South Carolina, Virginia and West Virginia	Jay Savage (202) 245-6612 <a href="mailto:jay.savage@ed.gov">jay.savage@ed.gov</a>

## II. CHECKLIST OF REQUIRED REPORT FORMS

Form Name or Items Required	(For State Use) Check When Completed
<b>PART A: COVER PAGE</b>	
<ul style="list-style-type: none"> <li>• Cover Page</li> </ul>	
<b>PART B: NARRATIVE PERFORMANCE INFORMATION</b>	
<ul style="list-style-type: none"> <li>• Implementation of State Leadership Activities</li> <li>• Progress in Developing and Implementing Technical Skills Assessments</li> <li>• Implementation of State Program Improvement Plans</li> <li>• Implementation of Local Program Improvement Plans</li> </ul>	
<b>PART C: FINANCIAL STATUS REPORTS (FSRs)</b>	
<ul style="list-style-type: none"> <li>• Interim Financial Status Report Form</li> </ul>	
<ul style="list-style-type: none"> <li>• Final Financial Status Report Form</li> </ul>	
<b>PART D: PERFORMANCE REPORTS</b>	
<b>a. Student Enrollment Forms</b>	
<ul style="list-style-type: none"> <li>• Enrollment of CTE Participants</li> </ul>	
<ul style="list-style-type: none"> <li>• Enrollment of CTE Concentrators</li> </ul>	
<b>1. Postsecondary Level</b>	
<ul style="list-style-type: none"> <li>• Core Indicator 1P1: Technical Skill Attainment</li> </ul>	
<ul style="list-style-type: none"> <li>• Core Indicator 2P1: Credential, Certificate, or Degree</li> </ul>	
<ul style="list-style-type: none"> <li>• Core Indicator 3P1: Student Retention of Transfer</li> </ul>	
<ul style="list-style-type: none"> <li>• Core Indicator 4P1: Student Placement</li> </ul>	
<ul style="list-style-type: none"> <li>• Core Indicator 5P1: Nontraditional Participation</li> </ul>	
<ul style="list-style-type: none"> <li>• Core Indicator 5P2: Nontraditional Completion</li> </ul>	
<b>Form Name or Items Required</b>	<b>(For State Use)</b>

	<b>Check When Completed</b>
<b>2. Adult Level</b>	
<i>*Note: These forms are applicable only to States that chose to negotiate with the Department on separate student definitions and performance levels for their adult CTE programs.</i>	
• Core Indicator 1A1: Technical Skill Attainment	
• Core Indicator 2A1: Credential, Certificate, or Degree	
• Core Indicator 3A1: Student Retention of Transfer	
• Core Indicator 4A1: Student Placement	
• Core Indicator 5A1: Nontraditional Participation	
• Core Indicator 5A2: Nontraditional Completion	
<b>3. Additional Indicators of Performance</b>	
• Additional Indicator: [Insert Title of Indicator]	
• Additional Indicator: [Insert Title of Indicator]	
<b>d. Student Accountability Forms for the Indicators of Performance under Section 203 of Title II of the Act</b>	
<i>*Note: These forms are applicable only to States that used all, or a portion of, their tech prep grant award (Title II) to carry out the purposes described in Title II of Perkins IV.</i>	
• Secondary Level	
• Postsecondary Level	

### **III.**

## **CONSOLIDATED ANNUAL REPORT (CAR) INSTRUMENT AND INSTRUCTIONS**

**PART A: COVER PAGE FOR THE CONSOLIDATED ANNUAL REPORT  
UNDER THE CARL D. PERKINS CAREER AND  
TECHNICAL EDUCATION ACT OF 2006 (PERKINS IV)**

**State Name:** \_\_\_\_\_

**Program Year Covered by this Report:** \_\_\_\_\_  
From (MM/DD/YY) To (MM/DD/YY)

**PR/Award Numbers:**

Title I (State Basic Grant): \_\_\_\_\_

Title II (Tech Prep Grant): \_\_\_\_\_

**Title II Consolidation (check one):**

- The State has not consolidated any of its Title II grant with its Title I grant during the program year covered by this report.
- The State has consolidated all, or a portion, its Title II grant with its Title I grant during the program year covered by this report.

**State Career and Technical Education (CTE) Director Information:**

Name: \_\_\_\_\_

Title/Agency: \_\_\_\_\_

Telephone: (\_\_\_\_) \_\_\_\_\_ E-mail: \_\_\_\_\_

**CERTIFICATION:** I certify to the best of my knowledge and belief that this report, consisting of narrative performance information, financial status reports (FSRs)\*, and performance data, is accurate and complete. I understand that the U.S. Department of Education will use only the performance data that it receives by the December 31 submission deadline each year to determine whether my State has met at least 90 percent of its agreed upon State adjusted performance levels for each of the core indicators of performance under section 113 of Title I of the Act or whether the State must submit a program improvement plan as required in section 123(a)(1) of Perkins IV. I further understand that the use of the Personal Identification Number (PIN) supplied to me by the Department to certify and submit the CAR is the same as certifying and signing the document with a hand-written signature.

\_\_\_\_\_  
State CTE Director Signature or PIN

\_\_\_\_\_  
Date

\***Note:** The FSRs contained in this report must be separately certified and signed by the State official authorized by State law to perform these functions on behalf of the State. This official may use a separate PIN supplied to the State by the Department to certify and submit the FSRs.

### Lead Individuals Completing This Report

Sections of the Report		
Narrative Performance Information	Financial Status Reports	Performance Report
Place a check (✓) in the box for any section where the lead individual is the same as the State CTE director listed on the previous page.		
●	●	●
Provide the following information for any section where the lead individual is different than the State CTE director listed on the previous page.		
<b>Name</b>	<b>Name</b>	<b>Name</b>
<b>Title</b>	<b>Title</b>	<b>Title</b>
<b>Agency</b>	<b>Agency</b>	<b>Agency</b>

### Lead Individual Who May Be Contacted to Answer Questions about this Report

- Check (✓) this box if the lead contact for this report is the same as the State CTE director listed on the previous page.

Provide the following information if the lead contact for this report is different than the State CTE director listed on the previous page.

**Name:** \_\_\_\_\_

**Title/Agency:** \_\_\_\_\_

**Telephone:** (    ) \_\_\_\_\_

**E-mail:** \_\_\_\_\_

## **PART B: NARRATIVE PERFORMANCE INFORMATION**

Each State must address all the items below and, to the extent possible, use bullets, tables, and charts to summarize key points of its performance in the past program year. The entire narrative report must not exceed 20 pages.

### **1. Implementation of State Leadership Activities**

Section 124(b) and (c) of Perkins IV describe the required and permissible uses of State leadership funds, respectively. Provide a summary of your State's major initiatives and activities in each of the required areas, as well as any of the permissible areas that your State has chosen to undertake during the program year.

#### **a. Required Uses of Funds**

- Conducting an assessment of the vocational and technical education programs funded under Perkins IV.
- Developing, improving, or expanding the use of technology in career and technical education.
- Offering professional development programs, including providing comprehensive professional development (including initial teacher preparation) for career and technical education teachers, faculty, administrators, and career guidance and academic counselors at the secondary and postsecondary levels.
- Providing support for career and technical education programs that improve the academic and career and technical skills of students through the integration of academics with career and technical education.
- Providing preparation for non-traditional fields in current and emerging professions, and other activities that expose students, including special populations, to high skill, high wage occupations, except that one-day or short-term workshops or conferences are not allowable.
- Supporting partnerships among local educational agencies, institutions of higher education, adult education providers, and, as appropriate, other entities, such as employers, labor organizations, intermediaries, parents, and local partnerships, to enable students to achieve State academic standards, and career and technical skills, or complete career and technical programs of study.
- Serving individuals in State institutions.
- Providing support for programs for special populations that lead to high skill, high wage and high demand occupations.
- Offering technical assistance for eligible recipients.

#### **b. Permissible Activities**

- Improving career guidance and academic counseling programs.
- Establishing agreements, including articulation agreements, between secondary school and postsecondary career and technical education programs to provide postsecondary education and training opportunities for students.

- Supporting initiatives to facilitate the transition of subbaccalaureate career and technical education students into baccalaureate programs.
- Supporting career and technical student organizations.
- Supporting public charter schools operating career and technical education programs.
- Supporting career and technical education programs that offer experience in, and understanding of, all aspects of an industry for which students are preparing to enter.
- Supporting family and consumer sciences programs.
- Supporting partnerships between education and business or business intermediaries, including cooperative education and adjunct faculty arrangements at the secondary and postsecondary levels.
- Supporting the improvement or development of new career and technical education courses and initiatives, including career clusters, career academies, and distance education.
- Awarding incentive grants to eligible recipients for exemplary performance or for use for innovative initiatives under section 135(c)(19) of Perkins IV.
- Providing activities to support entrepreneurship education and training.
- Providing career and technical education programs for adults and school dropouts to complete their secondary school education.
- Providing assistance to individuals who have participated in Perkins-assisted services and activities in continuing their education or training or finding appropriate jobs.
- Developing valid and reliable assessments of technical skills.
- Developing or enhancing data systems to collect and analyze data on secondary and postsecondary academic and employment outcomes.
- Improving the recruitment and retention of career and technical education teachers, faculty, administrators, or career guidance and academic counselors, and the transition to teaching from business and industry, including small business.
- Supporting occupational and employment information resources.

## **2. Progress in Developing and Implementing Technical Skill Assessments**

Section 113(b) of Perkins IV describes the core indicators of performance for career and technical education students for which each State is required to gather data and report annually to the Department. Among the core indicators is student attainment of career and technical skill proficiencies, including student achievement on technical assessments aligned with industry-recognized standards, if available and appropriate. [See section 113(b)(2)(A) (ii) of Perkins IV.] While the Department recognizes that a State may not have technical skill assessments aligned with industry-recognized standards in every career and technical education program area and for every career and technical education student, the Department asked each State to identify, in Part A, Section VI (Accountability and Evaluation) of its new Perkins IV State Plan: (1) the program areas for which the State had technical skill assessments; (2) the estimated percentage of students who would be reported in the State's calculation of career and technical education concentrators who took assessments; and (3) the State's plan and timeframe for increasing the coverage of programs and students reported in



this indicator in the future. Please provide an update, using the chart below, <http://www.ed.gov/policy/sectech/guid/cte/perkinsiv/studentdef.doc> on your State's progress and plan for implementing technical skill assessments with respect to items one through three above.

### **3. Implementation of State Program Improvement Plans**

Section 123(a)(1) of Perkins IV requires each State, that fails to meet at least 90 percent of an agreed upon State adjusted level of performance for any of the core indicators of performance described in section 113(b)(3) of Perkins IV, to develop and implement a program improvement plan, with special consideration given to performance gaps identified under section 113(c)(2) of Perkins IV. The plan must be developed and implemented in consultation with appropriate agencies, individuals, and organizations. It must be implemented during the first program year succeeding the program year for which the State failed to meet its State adjusted levels of performance for any of the core indicators of performance.

Please review your State's accountability data in Part D of this report. If your State failed to meet at least 90 percent of a State-adjusted level of performance for any of the core indicators of performance under section 113 of Title I of the Act, please provide a State program improvement plan that addresses, at a minimum, the following items:

- The core indicator(s) that your State failed to meet at the 90 percent threshold.
- The disaggregated categories of students for which there were quantifiable disparities or gaps in performance compared to all students or any other category of students.
- The action steps which will be implemented, beginning in the current program year, to improve the State's performance on the core indicator(s) and for the categories of students for which disparities or gaps in performance were identified.
- The staff member(s) in the State who are responsible for each action step.
- The timeline for completing each action step.

### **4. Implementation of Local Program Improvement Plans**

Section 123(b)(1) of Perkins IV requires each State to evaluate annually, using the local adjusted levels of performance described in section 113(b)(4) of Perkins IV, the career and technical education activities of each eligible recipient receiving funds under the basic grant program (Title I of the Act). Section 123(b)(2) of Perkins IV further requires that if the State, after completing its evaluation, determines that an eligible recipient failed to meet at least 90 percent of an agreed upon local adjusted level of performance for any of the core indicators of performance described in section 113(b)(4) of Perkins IV, the eligible recipient shall develop and implement a program improvement plan with special consideration given to performance gaps identified under section 113(b)(4)(C)(ii)(II) of Perkins IV. The local improvement plan must be developed and implemented in consultation with appropriate agencies, individuals, and organizations. It must be implemented during the first program year succeeding the program year for which the eligible recipient failed to meet its local adjusted levels of performance for any of the core indicators of performance.

Review the accountability data submitted by your State’s eligible recipients. Indicate the total number of eligible recipients that failed to meet at least 90 percent of an agreed upon local adjusted level of performance and that will be required to implement a local program improvement plan for the succeeding program year. Note trends, if any, in the performance of these eligible recipients (i.e., core indicators that were most commonly missed, including those for which less than 90 percent was commonly achieved; disaggregated categories of students for whom there were disparities or gaps in performance compared to all students).

## **5. Tech Prep Grant Award Information**

Section 205 of Perkins IV requires each eligible agency that receives a tech prep allotment to annually prepare and submit to the Secretary a report on the effectiveness of the tech prep programs that were assisted, including a description of how grants were awarded in the State. Please provide a description of how grants were awarded during the program year, including a listing of the consortia that were funded and their funding amounts.

Review the accountability data submitted by your State’s consortia as described in section 203(e) of Perkins IV. Indicate the total number of consortia that failed to meet an agreed upon minimum level of performance for any of the indicators of performance. Note trends, if any, in the performance of these consortia (i.e., the indicators that were most commonly missed, number of years the consortia missed the indicators).

## PART C: FINANCIAL STATUS REPORTS (FSR)

### 1. Basic Reporting Requirements

Federal funds under Perkins IV, similar to most state-administered programs, are available for obligation in the State for a 15-month period from July in the fiscal year for which the funds were appropriated through September 30 of the following fiscal year (referred to as the “funding period”). Any unobligated Perkins IV funds (referred to as “carryover funds”) are then covered by the so-called “Tydings Amendment,” which gives States an additional 12 months to obligate those funds. As a result, a State has up to 27 months to obligate funds awarded in any fiscal year. A State cannot make additional obligations against the grant award after the end of the Tydings period. A State has three months following the 27-month period in which to liquidate its obligations.

A State must complete two separate forms to meet the requirement for the submission of annual financial status reports (FSRs) to the Department: an interim FSR and a final FSR. The interim report covers the first 15-month period for which the grant was awarded, while the final report covers the entire 27-month period for which the grant was awarded. A State must liquidate all existing obligations at the time it files its final FSR.

States report on their Perkins IV Title I (State basic) and Title II (tech prep) grants for the same fiscal year on the same form. States that use the Perkins CAR Website will be able to take advantage of the automatic calculations built into the system to add and subtract the rows and columns as denoted below.

### 2. Instructions for Completing the FSR Forms

#### a. Grant Information – Blocks I through XII

Above the FSR matrix are the following items, which must be completed:

- **Block I – State Name** – the name of the State submitting the FSR.
- **Block II – Federal Funding Period** – the 15-month funding period for the Title I and Title II grant awards (i.e., July 1, 2007 through September 30, 2008).
- **Block III – FSR Report Period** – the dates covered by the FSR. The dates for the interim FSR report may span up to a 15-month period (i.e., July 1, 2007 through September 30, 2008) and the final report may span up to a 27-month period (i.e., July 1, 2007 through September 30, 2009).
- **Block IV – Accounting Basis** – the accounting method used by the State to track program expenditures (e.g., cash or accrual).
- **Block V – Grant Award Numbers** – the grant award numbers for the Title I and Title II grants.

- **Block VI – Title I Grant Award Amount** – the amount of the Title I grant award as indicated on the grant award notification (GAN).
- **Block VII – Title II Grant Award Amount** – the amount of the Title II grant award as indicated on the grant award notification (GAN).
- **Block VIII – Title II Funds Consolidated with Title I Funds** – the amount of Title II funds that the State consolidated with its Title I funds during the funding period.
- **Block IX – Total Title I Funds** – the sum of the Title I grant award and Title II consolidated funds. **(Block VI plus Block VIII)**
- **Block X – Total Title II Funds** – the amount of Title II funds remaining after the consolidation of any Title II funds with Title I funds. **(Block VII minus Block VIII)**
- **Block XI – Amended Final FSR** – a check (✓) in the box indicates that the State is filing an amended final FSR as of the date indicated on the accompanying line. See Section I, Item D for further instructions on submitting an amended final FSR.

Below the FSR matrix is the following item, which must be completed:

- **Block XII** – the report must be certified and signed by the State official authorized by State law to perform these functions on behalf of the State. This authorized individual may use the PIN supplied to the State by the Department per the instructions listed in Section I, item B. The use of the PIN to certify and submit the CAR is the same as certifying and signing the document.

**b. Line Items – Rows A through W**

Below are row headings that appear on the FSR matrix. Headings are listed in the order in which they appear (top to bottom) on the FSR. Unless otherwise specified, a State must provide information pertaining to each of these rows on the columns of the FSR as indicated below.

- **Row A – Total Title I Funds** – the total amount of the grant award made to the eligible agency under section 111 of Title I of the Act for the funding period covered by the FSR. This amount includes any Title II funds that the eligible agency has chosen to consolidate with its Title I funds to meet the purposes of Title I of Perkins IV as indicated in Block IX. ***No information needs to be entered for this row on the FSR.***

- **Row B – Local Uses of Funds** – the total amount of funds under Title I of Perkins IV that the eligible agency distributes to eligible recipients. This amount shall not be less than 85 percent of the total Title I allocation. *No information needs to be entered for this row on the FSR.*
- **Row C – Reserve** – the total amount of funds under Title I of Perkins IV that the eligible agency makes available as a reserve for eligible recipients under section 112(c) of Perkins IV. This amount shall not be more than 10 percent of the funds made available for distribution to eligible recipients. *No information needs to be entered for this row on the FSR.*
  - **Row D – Funds for Secondary Recipients** – enter information pertaining to the amount of reserve funds made available to secondary recipients.
  - **Row E – Funds for Postsecondary Recipients** – enter information pertaining to the amount of reserve funds made available to postsecondary recipients.
  - **Row F – Total** – enter information pertaining to the total amount of reserve funds made available to eligible recipients. **(Row D plus Row E)**
- **Row G – Formula Distribution** – the total amount of funds under Title I of Perkins IV that the eligible agency distributes by formula under sections 131 and 132 of Perkins IV to eligible secondary and postsecondary recipients, respectively, after subtracting any funds to be distributed under a reserve. *No information needs to be entered for this row on the FSR.*
  - **Row H – Funds for Secondary Recipients** – enter information pertaining to the amount of funds distributed by formula to secondary recipients.
  - **Row I – Funds for Postsecondary Recipients** – enter information pertaining to the amount of funds distributed by formula to postsecondary recipients.
  - **Row J – Total** – enter information pertaining to the total amount of funds distributed by formula to eligible recipients. **(Row H plus Row I)**
- **Row K – Total Local Uses of Funds** – enter information pertaining to the total amount of Title I funds that the eligible agency distributes under the reserve and by formula to eligible recipients. **(Row F plus Row J)**
- **Row L – State Leadership** – the total amount of funds under Title I of Perkins IV that the eligible agency uses to carry out the State leadership activities described in section 124 of Perkins IV. This amount shall not be more than 10 percent of the eligible agency’s total Title I funds. *No information needs to be entered for this row on the FSR.*

- **Row M – Nontraditional Training and Employment** – enter information pertaining to the total amount of State leadership funds made available for services that prepare individuals for non-traditional fields. This amount shall not be less than \$60,000 and not be more than \$150,000.
- **Row N – State Institutions** – enter information pertaining to the total amount of State leadership funds made available to serve individuals in State institutions, such as State correctional institutions and institutions that serve individuals with disabilities. This amount shall not be more than one percent of the eligible agency’s total Title I funds.
- **Row O – Other Leadership Activities** – enter information pertaining to the amount of other State leadership funds made available.
- **Row P – Total State Leadership** – enter information pertaining to the total amount of Title I funds for State leadership activities. **(Row M plus Row N plus Row O)**
- **Row Q – State Administration** – the total amount of Title I funds that the eligible agency uses to carry out the State administration activities described in section 121 of Perkins IV. This amount shall not be more than 5 percent, or \$250,000, whichever is greater, of the eligible agency’s total Title I funds. ***No information needs to be entered for this row on the FSR.***
- **Row R – Total State Administration** – enter information pertaining to the total amount of Title I funds for State administration activities.
- **Row S – Total Title I Funds** – enter information pertaining to the total amount of funds that the eligible agency uses to carry out activities under Title I of Perkins IV. This amount includes funds for local uses, State leadership, and State administration. **(Row K plus Row P plus Row R)**

***Note: Rows T through W of the FSR must be completed if the State uses all, or a portion, of its tech prep grant (Title II) for purposes authorized under Title II of Perkins IV.***

- **Row T – Total Title II Funds** – the total amount of the grant award funds made to the eligible agency under Title II, section 201 of Perkins IV from the grant covered by the FSR less any Title II funds that the eligible agency chooses to consolidate with its Title I funds during the program year as indicated in Block IX. ***No information needs to be entered for this row on the FSR.***

- **Row U – Funds for State Administration** – enter information pertaining to the total amount of Title II funds used by the eligible agency for the administration of tech prep programs in the State.
- **Row V – Funds for Local Consortia** – enter information pertaining to the total amount of Title II funds awarded to local consortia that meet the requirements of section 203(a) of Perkins IV.
- **Row W – Total Title II Funds** – enter information pertaining to the total amount of funds that the eligible agency uses to carry out activities under Title II of Perkins IV. **(Row U plus Row V)**

c. **Line items - Columns 1 through 11**

The column headings on the FSR matrix are used to track expenditures for each of the rows noted above and are generally self-explanatory. Notes are provided below to further assist you in completing the FSR.

- **Column 1 – Net Outlays Previously Reported** – this column will be blank for the interim report; for the final report, this column should reflect column 4 of the interim report.
- **Column 2 – Total Outlays This Report Period** – this column reports first-year expenditures for the interim report and carry-over year expenditures on the final report. It includes non-Federal outlays made during the reporting period.
- **Column 3 – Program Income Credits** – this column reports program income, which is discussed in detail in EDGAR at 34 CFR 80.25. This column will be blank in most instances.
- **Column 4 – Net Outlays This Report Period** – this column eliminates program income from total outlays. **(Column 2 minus Column 3)**
- **Column 5 – Net Outlays To Date** – this column reports net outlays to date. This column is the same as column 4 on the interim report; for the final report, this column is the sum of column 1 and column 4 **(Column 1 plus Column 4)**
- **Column 6 – Non-Federal Share of Outlays** – this column reports non-Federal outlays, including the State expenditures to meet the matching and hold-harmless requirements of sections 112(b) and 323(a) of Perkins IV.
- **Column 7 – Total Federal Share of Outlays** – this column establishes the total level of Federal outlays by eliminating non-Federal outlays. **(Column 5 minus Column 6)**

- **Column 8 – Federal Share of Unliquidated Obligations** – this column establishes the Federal level of unliquidated obligations.
- **Column 9 – Federal Share of Outlays and Unliquidated Obligations** – this column represents the total outlays made and the level of unliquidated obligations outstanding. **(Column 7 plus Column 8)**
- **Column 10 – Federal Funds Authorized** – this column should reflect the available resources from the total Title I and the total Title II grant funds (Blocks IX and X, respectively) earmarked for the specific row purpose.
- **Column 11 – Balance of Federal Funds** – this column should reflect only unobligated funds available for the carry-over year for the interim report; for the final report, this column must reflect the amount of lapsed funds that the State is returning to the Federal Treasury. **(Column 10 minus Column 9)**



**3. Required Financial Status Report (FSR) Forms**  
**[See attached Excel file]**

## **PART D: PERFORMANCE REPORT**

To meet the requirement for the submission of annual performance data to the Department, a State must complete the following forms: student enrollment forms, accountability data forms for the core indicators of performance under section 113 of Title I of the Act, and accountability data forms for the indicators of performance under section 203 of Title II of the Act, as required in the instructions below. In completing the forms, each State must use the basic reporting instructions and definitions as described below.

### **1. Basic Reporting Instructions**

#### **a. All Forms**

- A State must report performance data for the preceding program year. For example, in its December 31, 2010, CAR submission, a State must report performance data for program year covering July 1, 2009, through June 30, 2010.
- A State must report on all students participating in public career and technical education in the State, meaning that a State must report on both its Perkins-funded and non-Perkins funded public career and technical education programs, including those at public charter schools. Further, a State also must report on all students participating in career and technical education at private agencies or institutions that receive Perkins funds in the State.
- A State must use its definitions for a “CTE participant” and “CTE concentrator” at the secondary, postsecondary, and, if applicable, adult levels as described in its Final Agreed Upon Performance Levels (FAUPL) form incorporated into its approved Perkins IV State Plan.

#### **b. Student Enrollment Form for CTE Participants and Accountability Data Forms for Section 113 of Perkins IV: Disaggregating Data**

- A State must provide disaggregated data on: (1) the Student Enrollment Form on CTE Participants; and (2) the Accountability Data Forms for the Perkins IV Section 113 Core Indicators of Performance (Title I – State Basic Grant). Definitions for the race, ethnicity, special populations, and other student categories are provided in Section 2 below.
- Consistent with the “Final Guidance on Maintaining, Collecting, and Reporting Racial and Ethnic Data,” issued by the Department on October 19, 2007, a State may choose to report the required data disaggregated by race and ethnicity using the categories and definitions based on:
  - “The Standards for the Classification of Federal Data on Race and Ethnicity (Statistical Policy Directive No. 15)” issued by the Office of Management and Budget (OMB) in 1977;

- The “Revisions to the Standards for the Classification of Federal Data on Race and Ethnicity” issued by OMB in 1997: or
  - Any additional or combined categories that a State uses for NCLB as approved in its Consolidated State Accountability Worksheet.
- “Final Guidance on Maintaining, Collecting, and Reporting Racial and Ethnic Data,” is available at 72 FR 59266 (October 19, 2007): <http://www.ed.gov/legislation/FedRegister/other/2007-4/101907c.pdf>. A State should note in particular the discussion of the differences in how a local recipient collects data and how a State reports the aggregate data to the Department. A State will be required to implement this final guidance no later than the fall of 2010 for the 2010-2011 school year and is encouraged to do so before then.
  - A State must provide disaggregated data for each of the special populations, as defined in section 3(29) of Perkins IV. Definitions for the special population categories are provided in Section 2 below.
  - A State also must provide disaggregated data for each of the categories of students described in section 1111(h)(1)(C)(i) of the Elementary and Secondary Education Act of 1965 (ESEA), as reauthorized by the No Child Left Behind Act of 2001 (NCLB), except that the Department must ensure that a State does not report duplicative disaggregated data. Based on this, a State must provide disaggregated data by gender, race, ethnicity, disability status as required by NCLB, and migrant status. Definitions for these categories of students are provided in Section 2 below.
  - Disaggregated data by special populations and other student categories may be duplicative counts; for example, a student may be both “limited English proficient” and “economically disadvantaged.”
  - A State that retains all, or a portion, of its tech prep grant (Title II) for purposes authorized under Title II of Perkins IV must report its tech prep students as a disaggregated population.
  - A State will report all secondary performance data i.e. 1S1, 1S2, 2S1, 3S1, 4S1, 5S1, 6S1, and 6S2 in the EDEN/EDFacts system. States may not report these performance data in the CAR system. States will report all Post-Secondary, Adult Level, Tech Prep and additional performance data forms in the CAR system.

**c. Student Enrollment Forms**

- A State must provide an unduplicated count of its “CTE participants” and must disaggregate data for its “CTE participants” by gender, race, ethnicity, special populations, and other student categories as required by NCLB.

- A State must provide an unduplicated count of its “CTE concentrators” using the 16 career cluster categories recognized by OVAE and the National Association for State Directors for Career and Technical Education Consortium (NASDCTEc). If a program area or sequence of courses recognized by the State is broader than one of the sixteen career cluster areas or cuts across more than one career cluster area, then the State must select the most appropriate cluster in which to place the student. If the State does not provide one or more of the 16 career clusters, please indicate a PNO (program not offered) in that column. If the State has a different name for a cluster, the State should find the closest applicable of the 16 clusters in which to place the student.
  - Each cell on the student enrollment forms must contain a digit, a “0” (zero), PNO (program not offered), or NP (not provided). A “0” indicates that there are no students in the cell. An NP means that the State attempted, but was unable, to obtain data from its eligible recipients. Please note that an NP will be counted as a “0” in aggregated totals.
- d. Accountability Data Forms for the Core Indicators of Performance under Section 113 of Title I of the Act (Title I – State Basic Grant)**
- Separate forms are provided for any State that has submitted and received approval for student definitions and measurement approaches for adult postsecondary career and technical education programs as part of its Perkins IV State Plan.
  - Separate forms are provided for any State that has identified additional indicators of performance as described in section 113(b)(2)(C) of Perkins IV.
- e. Accountability Data Forms for the Indicators of Performance under Section 203 of Title II of the Act (Title II – Tech Prep Grant)**
- A State that retains all, or a portion, of its tech prep grant (Title II) for purposes authorized under Title II of Perkins IV must report data for each of the section 203 indicators of performance.

## **2. Definition of Terms**

### **a. Race and Ethnicity Categories in the 1977 Standards**

A State may report disaggregated data by race and ethnicity using the following categories and definitions based on the “The Standards for the Classification of Federal Data on Race and Ethnicity (Statistical Policy Directive No. 15)” that was issued by the Office of Management and Budget (OMB) in 1977:

- **American Indian or Alaskan Native** – A person having origins in any of the original peoples of North America and who maintains cultural identification through tribal affiliation or community recognition.
- **Asian or Pacific Islander** – A person having origins in any of the original peoples of the Far East, Southeast Asia, the Pacific Islands, or the Indian subcontinent including, for example, China, India, Japan, Korea, the Philippine Islands, and Samoa.
- **Black (not Hispanic)** – A person having origins in any of the Black racial groups of Africa.
- **Hispanic** – A person of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin regardless of race.
- **White (not Hispanic)** – A person having origins in any of the original peoples of Europe, North Africa, or the Middle East.
- **Race and/or Ethnicity Unknown** – A postsecondary student **only** who does not self-identify a race and/or ethnicity on a local information collection.

**b. Race and Ethnicity Categories in the 1997 Revised Standards**

A State may report disaggregated data by race and ethnicity using the following categories and definitions based on the Revisions to the Standards for the Classification of Federal Data on Race and Ethnicity that was issued by OMB in 1997:

- **American Indian or Alaskan Native** – A person having origins in any of the original peoples of North and South America (including Central America), and who maintains a tribal affiliation or community attachment.
- **Asian** – A person having origins in any of the original peoples of the Far East, East, Southeast Asia, or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.
- **Black or African American** – A person having origins in any of the Black racial groups of Africa.
- **Hispanic or Latino**– A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin.
- **Native Hawaiian or Other Pacific Islander** – A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.

- **White** – A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.
- **Two or More Races** – A person belonging to two or more racial groups.
- **Race and/or Ethnicity Unknown** – A postsecondary student only who does not self-identify a race and/or ethnicity on a local information collection.

**c. Race and Ethnicity Categories Approved under NCLB**

A State may report disaggregated data by race and ethnicity using any additional or combined categories as approved under NCLB as discussed above. In such a case, the State must report these categories in the “additional information” section on each form.

**d. Special Populations and Other Student Categories Described in NCLB**

Unless otherwise noted, the following categories and definitions are described in section 3 of Perkins IV.

- **Disability Status:** The term “disability status” as used in section 1111(h)(1)(C)(i) of the ESEA refers to a “child with a disability,” which under section 9101 of the ESEA has the same meaning as the term in section 602 of the Individuals with Disabilities Education Act. Under section 602(3) of the IDEA, the term “child with a disability” means a child “(i) with mental retardation, hearing impairments (including deafness), speech or language impairments, visual impairments (including blindness), serious emotional disturbance (referred to in this title as ‘emotional disturbance’), orthopedic impairments, autism, traumatic brain injury, other health impairments, or specific learning disabilities; and (ii) who, by reason thereof, needs special education and related services.”
- **Displaced Homemaker:** An individual who—
  - (A) (i) has worked primarily without remuneration to care for a home and family and for that reason has diminished marketable skills; (ii) has been dependent on the income of another family member but is no longer supported by that income; or (iii) is a parent whose youngest dependent child will become ineligible to receive assistance under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.) not later than 2 years after the date on which the parent applies for assistance under this title; and
  - (B) is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment.
- **Economically Disadvantaged:** Individuals from economically disadvantaged families, including foster children.

- **Individual with Limited English Proficiency:** A secondary school student, an adult, or an out-of-school youth, who has limited ability in speaking, reading, writing, or understanding the English language, and—
  - (A) whose native language is a language other than English; or
  - (B) who lives in a family or community environment in which a language other than English is the dominant language.
  
- **Individual with a Disability:** The term "individual with a disability" means an individual with any disability (as defined in section 3 of the Americans with Disabilities Act of 1990 (ADA)). Under section 3(2) of the ADA, the term "disability" means, with respect to an individual, (A) a physical or mental impairment that substantially limits one or more of the major life activities of such individual; (B) a record of such an impairment; or (C) being regarded as having such impairment.
  
- **Migrant Status:** The term “migrant status” as used in section 1111(h)(1)(C)(i) of the ESEA is not defined; however, the Department strongly encourages a State to use the same definition of “migrant status” as a State uses in its annual State report card and as approved in its Consolidated State Accountability Workbook.
  
- **Nontraditional Fields:** Occupations or fields of work, including careers in computer science, technology, and other current and emerging high skill occupations, for which individuals from one gender comprise less than 25 percent of the individuals employed in each such occupation or field of work.
  
- **Single parents:** The term "single parents" includes single pregnant women.
  
- **Special populations:** The term “special populations” means—
  - (A) individuals with disabilities;
  - (B) individuals from economically disadvantaged families, including foster children;
  - (C) individuals preparing for non-traditional fields;
  - (D) single parents, including single pregnant women;
  - (E) displaced homemakers; and
  - (F) individuals with limited English proficiency.

**3. Required Performance Report Forms**

**[See attached Excel file]**