



**U. S. Department of Education  
Office of Career, Technical, and Adult Education**

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***The Carl D. Perkins Career and Technical  
Education Act of 2006,  
as amended by the  
Strengthening Career and Technical Education  
for the 21st Century Act  
(Perkins V)***

**GUIDE FOR THE SUBMISSION  
OF STATE PLANS**

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## **INTRODUCTION AND SUBMISSION REQUIREMENTS**

On July 31, 2018, The *Strengthening Career and Technical Education for the 21st Century Act* (Public Law 115-224) (Perkins V, the Act, or statute), was signed into law and thus reauthorized and amended the *Carl D. Perkins Career and Technical Education Act of 2006*. The U. S. Department of Education's (Department) Office of Career, Technical, and Adult Education (OCTAE) developed and first issued this guide on April 26, 2019, to assist each eligible agency in preparing and submitting a new State Plan under Perkins V and applicable Federal regulations. This guide has now been updated to assist each eligible agency in preparing and submitting any subsequent revisions to existing State plans or new State Plans under Perkins V and applicable Federal regulations.

### **Options for the Submission of State Plans in FY 2019**

Section 122(a)(1) of Perkins V requires each eligible agency desiring assistance for any fiscal year under the Act to prepare and submit a State plan to the Secretary. Each eligible agency must develop its State plan in consultation with key stakeholders, the Governor, and other State agencies with authority for career and technical education (CTE), consistent with section 122(c) of the Act.

To fulfill the obligation for a State plan, each eligible agency had the following options for how and when it would submit its Perkins V State Plan. It could submit—

- Option 1 – a 1-Year Transition Plan for FY 2019, which was the first fiscal year following the enactment of the law. Under this option, the eligible agency would submit its Perkins V State Plan in FY 2020 covering FY 2020-23.
- Option 2 – a Perkins V State Plan that covered 5 years, which included a transition year in FY 2019 and then a 4-year period covering FY 2020-23.

Under either option, the eligible agency could choose to submit its State Plan as part of its Workforce Innovation and Opportunity Act (WIOA) Combined State Plan pursuant to section 122(b)(1) of the Act.

### **Contents of Perkins V State Plans**

State Plans under Perkins V must include the following items—

- A cover page, including a letter providing joint signature authority from the Governor;
- Narrative descriptions required by statute;
- Assurances, certifications, and other forms required by statute and/or applicable Federal regulations, including the Education Department General Administrative Regulations (EDGAR) at 34 CFR Part 76;
- A budget for the upcoming year;
- State determined levels of performance (SDPLs).

## State Plans and Revisions in Subsequent Years

In subsequent years, each eligible agency must submit State plan revisions, if any, and a budget for the upcoming fiscal year. Consistent with the requirements in section 113(b)(3)(A)(ii) and (iii) of Perkins V, an eligible agency may revise its SDPLs for the subsequent years covered by its Perkins V State Plan.

## Timeline for the Issuance of Perkins V Grant Awards

Table 1 below provides the annual timeline for the Department to issue Perkins V grant awards. Congress appropriates funding for Perkins V State grants in two installments, one of which becomes available on July 1 and a second which becomes available on October 1. In each fiscal year, the Secretary will issue program memoranda with a reminder about the State plan submission requirements and due dates, and estimated State allocations, respectively, for the upcoming fiscal year.

**Table 1: Timeline for the Issuance of Perkins V Grant Awards**

Timeline	Actions
January	Department issues <i>Carl D. Perkins Career and Technical Education Act of 2006</i> , as amended by the <i>Strengthening Career and Technical Education for the 21<sup>st</sup> Century (Perkins V): Guide for the Submission of State Plans in 2019</i> and then program memoranda in subsequent years
No later than March <sup>1</sup>	Department issues estimated allocations for State’s Perkins V grant awards
Spring Date To Be Determined <sup>2</sup>	Eligible agencies submit their Perkins V State Plans, revisions, if any, and budgets for the upcoming year to the Department
June 30	Department approves State plans and/or revisions that meet the requirements of the statute for the upcoming year
July 1	Department issues 1st installment of State’s Perkins V grant awards for the upcoming year
October 1	Department issues supplemental (and final) installment of State’s Perkins V grant awards for the upcoming year

<sup>1</sup> The Department will publish estimated State allocations no later than March provided that an appropriation for the next fiscal year has been enacted into law by this time.

<sup>2</sup> Where practicable, the Department may determine that it does not need the full 120 day period allowable under section 122(f) of Perkins V to review State plans and/or revisions and issue Perkins grant awards on schedule on July 1.

## **Submission Instructions**

Each eligible agency must submit its Perkins V State Plan and any annual revisions, including budgets and SDPLs, no later than close of business (5:00 pm EST) of each submission year on the date established by the Secretary in accordance with EDGAR 76.703(b)(3)(ii). Submissions must be entered into the Perkins V State Plan Portal at <https://perkins.ed.gov>.<sup>3</sup> As in years past, the Department will provide eligible agencies with online training and technical assistance before and throughout the Perkins V State Plan submission process.

## **Approval of State Plans**

Section 122(f)(1) of Perkins V requires the Secretary, not less than 120 days after the eligible agency submits its State Plan to approve such State Plan, or a revision of the plan under section 122(a)(2), including a revision of State determined performance levels in accordance with section 113(b)(3)(A)(ii) and (iii), if the Secretary determines that the State has submitted State determined performance levels that meet the criteria established in section 113(b)(3), including the minimum requirements described in section 113(b)(3)(A)(i)(III). The Secretary shall not disapprove such plan unless the Secretary determines it does not meet the requirements of the Act pursuant to section 122(f)(1) and takes the disapproval actions described in section 122(f)(2) of the Act.

## **Publication Information**

The Department plans to publish Perkins V State Plans, including State determined performance levels (SDPLs) on its website or through other means available.

## **For Further Information**

For questions regarding the Perkins V State Plan submission requirements or process, an eligible agency should contact its Perkins Regional Coordinator (PRC) under the “Contact Us” tab on the Perkins Collaborative Resource Network (PCRN) at <https://cte.ed.gov>.

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<sup>3</sup> Hard copy submissions will not be accepted as the Department met the requirement of 2 CFR 76.720(b)(3) for the transition from hard copy to electronic submission of State plans and revisions during implementation of the *Carl D. Perkins Career and Technical Education Act of 2006* (Perkins IV).



**Table 2: Timeline for Submitting State Plans and Subsequent Revisions**

<b>Action</b>	<b>FY 2022 (July 1, 2022 – June 30, 2023)</b>	<b>FY 2023 (July 1, 2023 – June 30, 2024)</b>	<b>FY 2024 (July 1, 2024 – June 30, 2025)</b>
Submission of State Plan	Spring 2022 – Agency submits revisions, if any	Spring 2023 – Agency submits revisions, if any	Spring 2024 – Agency submits new 4-Year Plan covering FY 2024-27 or revisions to 4-Year Plan submitted in FY 2020
Submission/Revision of Performance Levels (as part of State Plan Submission)	Agency revises, as appropriate, SDPLs for FY 2022-23	N/A	Agency submits SDPLs for FY 2024-27 (if new plan) or FY 2024 (if only revisions)
Receipt of Grant Award	July 1, 2022 – Agency receives first installment of FY 2022 grant award	July 1, 2023 – Agency receives first installment of FY 2023 grant award	July 1, 2024 – Agency receives first installment of FY 2024 grant award
	October 1, 2022 – Agency receives final installment of FY 2022 grant award	October 1, 2023 – Agency receives final installment of FY 2023 grant award	October 1, 2024 – Agency receives final installment of FY 2024 grant award

**U. S. Department of Education  
Office of Career, Technical, and Adult Education**

**Strengthening Career and Technical Education for the 21st Century Act  
(Perkins V) State Plan**

**I. COVER PAGE**

- A. State Name: \_\_\_\_\_
- B. Eligible Agency (State Board)<sup>4</sup> submitting plan on behalf of the State:  
\_\_\_\_\_
- C. State Agency delegated responsibilities by Eligible Agency under section 131(b) for the administration, operation, or supervision of activities of the State plan (*if applicable*):  
\_\_\_\_\_
- D. Individual serving as the State Director for Career and Technical Education:
1. Name: \_\_\_\_\_
  2. Official Position Title: \_\_\_\_\_
  3. Agency: \_\_\_\_\_
  4. Telephone: (\_\_\_\_\_) \_\_\_\_\_
  5. Email: \_\_\_\_\_
- E. Type of Perkins V State Plan Submission - *Subsequent Years (Check one)*:
- New State Plan (FY 2024-27) - *if an eligible agency selects this option, it will then complete Items F, G, and H.*
- State Plan Revisions (Please indicate year of submission: \_\_\_\_\_) - *if an eligible agency selects this option, it will then complete Item F.*
- F. Submitting Perkins V State Plan as Part of a Workforce Innovation and Opportunities Act (WIOA) Combined State Plan – *Subsequent Years (Check one)*:

<sup>4</sup> Under section 3(18) the term eligible agency means a State board designated or created consistent with State law as the sole State agency responsible for the administration of career and technical education in the State or for the supervision of the administration of career and technical education in the State.



- Yes (If yes, please indicate year of submission: \_\_\_\_\_)
- No

G. Governor’s Joint Signatory Authority of the Perkins V State Plan (Fill in text box and then check one box below):

H. Date that the State Plan was sent to the Governor for signature:

- The Governor has provided a letter that he or she is jointly signing the State plan for submission to the Department.
- The Governor has not provided a letter that he or she is jointly signing the State plan for submission to the Department.

I. By signing this document, the eligible entity, through its authorized representative, agrees:

1. To the assurances, certifications, and other forms enclosed in its State plan submission; and
2. That, to the best of my knowledge and belief, all information and data included in this State plan submission are true and correct.

<b>Authorized Representative Identified in Item C Above (Printed Name)</b>	Telephone:
<b>Signature of Authorized Representative</b>	Date:

## II. NARRATIVE DESCRIPTIONS

### A. Plan Development and Consultation

1. Describe how the State plan was developed in consultation with the stakeholders and in accordance with the procedures in section 122(c)(2) of Perkins V. See Text Box 1 for the statutory requirements for State plan consultation under section 122(c)(1) of Perkins V.
2. Consistent with section 122(e)(1) of Perkins V, each eligible agency must develop the portion of the State plan relating to the amount and uses of any funds proposed to be reserved for adult career and technical education, postsecondary career and technical education, and secondary career and technical education after consultation with the State agencies identified in section 122(e)(1)(A)-(C) of the Act. If a State agency, other than the eligible agency, finds a portion of the final State plan objectionable, the eligible agency must provide a copy of such objections and a description of its response in the final plan submitted to the Secretary. (Section 122(e)(2) of Perkins V)
3. Describe opportunities for the public to comment in person and in writing on the State plan. (Section 122(d)(14) of Perkins V)

### B. Program Administration and Implementation

#### 1. **State's Vision for Education and Workforce Development**

- a. Provide a summary of State-supported workforce development activities (including education and training) in the State, including the degree to which the State's career and technical education programs and programs of study are aligned with and address the education and skill needs of the employers in the State identified by the State workforce development board. (Section 122(d)(1) of Perkins V)
- b. Describe the State's strategic vision and set of goals for preparing an educated and skilled workforce (including special populations) and for meeting the skilled workforce needs of employers, including in existing and emerging in-demand industry sectors and occupations as identified by the State, and how the State's career and technical education programs will help to meet these goals. (Section 122(d)(2) of Perkins V)

**Text Box 1: Statutory Requirements for State Plan Consultation**

(c) PLAN DEVELOPMENT.—

(1) IN GENERAL.—The eligible agency shall—

(A) develop the State plan in consultation with—

- (i) representatives of secondary and postsecondary career and technical education programs, including eligible recipients and representatives of 2-year minority serving institutions and historically Black colleges and universities and tribally controlled colleges or universities in States where such institutions are in existence, adult career and technical education providers, and charter school representatives in States where such schools are in existence, which shall include teachers, faculty, school leaders, specialized instructional support personnel, career and academic guidance counselors, and paraprofessionals;
- (ii) interested community representatives, including parents, students, and community organizations.

- c. Describe the State’s strategy for any joint planning, alignment, coordination, and leveraging of funds between the State's career and technical education programs and programs of study with the State's workforce development system, to achieve the strategic vision and goals described in section 122(d)(2) of Perkins V, including the core programs defined in section 3 of the Workforce Innovation and Opportunity Act (29 U.S.C. 3102) and the elements related to system alignment under section 102(b)(2)(B) of such Act (29 U.S.C. 3112(b)(2)(B)); and for programs carried out under this title with other Federal programs, which may include programs funded under the Elementary and Secondary Education Act of 1965 and the Higher Education Act of 1965. (Section 122(d)(3) of Perkins V)
- d. Describe how the eligible agency will use State leadership funds made available under section 112(a)(2) of Perkins V for each of the purposes under section 124(a) of the Act. See Text Box 2 for the required uses of State leadership funds under section 124(a) of Perkins V. (Section 122(d)(7) of Perkins V)

**Text Box 2: Required Uses of State Leadership Funds**

(a) GENERAL AUTHORITY.—

From amounts reserved under section 112(a)(2), each eligible agency shall—

- (1) conduct State leadership activities to improve career and technical education, which shall include support for—
  - (A) preparation for non-traditional fields in current and emerging professions, programs for special populations, and other activities that expose students, including special populations, to high-skill, high-wage, and in-demand occupations;
  - (B) individuals in State institutions, such as State correctional institutions, including juvenile justice facilities, and educational institutions that serve individuals with disabilities;
  - (C) recruiting, preparing, or retaining career and technical education teachers, faculty, specialized instructional support personnel, or paraprofessionals, such as preservice, professional development, or leadership development programs; and
  - (D) technical assistance for eligible recipients; and
- (2) report on the effectiveness of such use of funds in achieving the goals described in section 122(d)(2) and the State determined levels of performance described in section 113(b)(3)(A), and reducing disparities or performance gaps as described in section 113(b)(3)(C)(ii)(II).

## **2. Implementing Career and Technical Education Programs and Programs of Study**

- a.** Describe the career and technical education programs or programs of study that will be supported, developed, or improved at the State level, including descriptions of the programs of study to be developed at the State level and made available for adoption by eligible recipients. (Section 122(d)(4)(A) of Perkins V)
- b.** Describe the process and criteria to be used for approving locally developed programs of study or career pathways (see Text Box 3 for the statutory definition of career pathways under section 3(8) of Perkins V), including how such programs address State workforce development and education needs and the criteria to assess the extent to which the local application under section 132<sup>5</sup> will—
  - i.** promote continuous improvement in academic achievement and technical skill attainment;
  - ii.** expand access to career and technical education for special populations; and
  - iii.** support the inclusion of employability skills in programs of study and career pathways. (Section 122(d)(4)(B) of Perkins V)
- c.** Describe how the eligible agency will—
  - i.** make information on approved programs of study and career pathways (including career exploration, work-based learning opportunities, early college high schools, and dual or concurrent enrollment program opportunities) and guidance and advisement resources, available to students (and parents, as appropriate), representatives of secondary and postsecondary education, and special populations, and to the extent practicable, provide that information and those resources in a language students, parents, and educators can understand;
  - ii.** facilitate collaboration among eligible recipients in the development and coordination of career and technical education programs and programs of study and career pathways that include multiple entry and exit points;
  - iii.** use State, regional, or local labor market data to determine alignment of eligible recipients' programs of study to the needs of the State, regional, or local economy, including in-demand industry sectors and occupations identified by the State board, and to align career and technical education with such needs, as appropriate;
  - iv.** ensure equal access to approved career and technical education programs of study and activities assisted under this Act for special populations;
  - v.** coordinate with the State board to support the local development of career pathways and articulate processes by which career pathways will be developed by local workforce development boards, as appropriate;

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<sup>5</sup> Based on the context of this requirement, the reference to the local application process under “section 132” appears to be a typographical error in the Perkins V statute. The correct section for local applications in Perkins V is section 134. Therefore, eligible agencies should respond to this item using the provisions in section 134 of Perkins V.

- vi. support effective and meaningful collaboration between secondary schools, postsecondary institutions, and employers to provide students with experience in, and understanding of, all aspects of an industry, which may include work-based learning such as internships, mentorships, simulated work environments, and other hands-on or inquiry-based learning activities; and
- vii. improve outcomes and reduce performance gaps for CTE concentrators, including those who are members of special populations. (Section 122(d)(4)(C) of Perkins V)

**Text Box 3: Statutory Definition of Career Pathways**

The term ‘career pathways’ has the meaning given the term in section 3 of the Workforce Innovation and Opportunity Act (29 U.S.C. 3102)

- (7) Career pathway.--The term “career pathway” means a combination of rigorous and high-quality education, training, and other services that—
- (A) aligns with the skill needs of industries in the economy of the State or regional economy involved;
  - (B) prepares an individual to be successful in any of a full range of secondary or postsecondary education options, including apprenticeships registered under the Act of August 16, 1937 (commonly known as the “National Apprenticeship Act”; 50 Stat. 664, chapter 663; 29 U.S.C. 50 et seq.) (referred to individually in this Act as an “apprenticeship”, except in section 171);
  - (C) includes counseling to support an individual in achieving the individual’s education and career goals;
  - (D) includes, as appropriate, education offered concurrently with and in the same context as workforce preparation activities and training for a specific occupation or occupational cluster;
  - (E) organizes education, training, and other services to meet the particular needs of an individual in a manner that accelerates the educational and career advancement of the individual to the extent practicable;
  - (F) enables an individual to attain a secondary school diploma or its recognized equivalent, and at least 1 recognized postsecondary credential; and
  - (G) helps an individual enter or advance within a specific occupation or occupational cluster. (Section 3(7) of the Workforce Innovation and Opportunity Act [Public Law 113- 128])

(Section 3(8) of Perkins V)

- d.** Describe how the eligible agency, if it opts to do so, will include the opportunity for secondary school students to participate in dual or concurrent enrollment programs, early college high school, or competency-based education. (Section 122(d)(4)(D) of Perkins V)
- e.** Describe how the eligible agency will involve parents, academic and career and technical education teachers, administrators, faculty, career guidance and academic counselors, local business (including small businesses), labor organizations, and representatives of Indian Tribes and Tribal organizations, as appropriate, in the planning, development, implementation, and evaluation of its career and technical education programs. (Section 122(d)(12) of Perkins V)
- f.** Include a copy of the local application template that the eligible agency will require eligible recipients to submit pursuant to section 134(b) of Perkins V. See Text Box 4 for the statutory requirements for local applications under section 134(b) of Perkins V.
- g.** Include a copy of the comprehensive local needs assessment template and/or guidelines that the eligible agency will require of eligible recipients to meet the requirements of section 134(c) of Perkins V. See Text Box 5 for the requirements for the comprehensive local needs assessment under section 134(c) of Perkins V.
- h.** Provide the eligible agency’s definition for “size, scope, and quality” that will be used to make funds available to eligible recipients pursuant to section 135(b) of Perkins V.

#### **Text Box 4: Statutory Requirements for Local Applications**

- (b) CONTENTS.—The eligible agency shall determine the requirements for local applications, except that each local application shall contain—
- (1) a description of the results of the comprehensive needs assessment conducted under subsection (c);
  - (2) information on the career and technical education course offerings and activities that the eligible recipient will provide with funds under this part, which shall include not less than 1 program of study approved by a State under section 124(b)(2), including—
    - (A) how the results of the comprehensive needs assessment described in subsection (c) informed the selection of the specific career and technical education programs and activities selected to be funded;
    - (B) a description of any new programs of study the eligible recipient will develop and submit to the State for approval; and
    - (C) how students, including students who are members of special populations, will learn about their school’s career and technical education course offerings and whether each course is part of a career and technical education program of study;
  - (3) a description of how the eligible recipient, in collaboration with local workforce development boards and other local workforce agencies, one-stop delivery systems described in section 121(e)(2) of the Workforce Innovation and Opportunity Act (29 U.S.C. 3151(e)(2)), and other partners, will provide—
    - (A) career exploration and career development coursework, activities, or services;
    - (B) career information on employment opportunities that incorporate the most up-to-date information on high-skill, high-wage, or in-demand industry sectors or occupations, as determined by the comprehensive needs assessment described in subsection (c); and
    - (C) an organized system of career guidance and academic counseling to students before enrolling and while participating in a career and technical education program;
  - (4) a description of how the eligible recipient will improve the academic and technical skills



**Text Box 4: Statutory Requirements of Local Applications (continued)**

- (5) a description of how the eligible recipient will—
  - (A) provide activities to prepare special populations for high-skill, high-wage, or in-demand industry sectors or occupations that will lead to self-sufficiency;
  - (B) prepare CTE participants for non-traditional fields;
  - (C) provide equal access for special populations to career and technical education courses, programs, and programs of study; and
  - D) ensure that members of special populations will not be discriminated against on the basis of their status as members of special populations;
- (6) a description of the work-based learning opportunities that the eligible recipient will provide to students participating in career and technical education programs and how the recipient will work with representatives from employers to develop or expand work-based learning opportunities for career and technical education students, as applicable;
- (7) a description of how the eligible recipient will provide students participating in career and technical education programs with the opportunity to gain postsecondary credit while still attending high school, such as through dual or concurrent enrollment programs or early college high school, as practicable;
- (8) a description of how the eligible recipient will coordinate with the eligible agency and institutions of higher education to support the recruitment, preparation, retention, and training, including professional development, of teachers, faculty, administrators, and specialized instructional support personnel and paraprofessionals who meet applicable State certification and licensure requirements (including any requirements met through alternative routes to certification), including individuals from groups underrepresented in the teaching profession; and
- (9) a description of how the eligible recipient will address disparities or gaps in performance as described in section 113(b)(3)(C)(ii)(II) in each of the plan years, and if no meaningful progress has been achieved prior to the third program year, a description of the additional actions such recipient will take to eliminate those disparities or gaps.

(Section 134(b) of Perkins V)

**Text Box 5: Statutory Requirements for Comprehensive Local Needs Assessment**

(c) COMPREHENSIVE NEEDS ASSESSMENT.—

(1) IN GENERAL.—To be eligible to receive financial assistance under this part, an eligible recipient shall—

- (A) conduct a comprehensive local needs assessment related to career and technical education and include the results of the needs assessment in the local application submitted under subsection (a); and
- (B) not less than once every 2 years, update such comprehensive local needs assessment.

(2) REQUIREMENTS.—The comprehensive local needs assessment described in paragraph (1) shall include each of the following:

- (A) An evaluation of the performance of the students served by the eligible recipient with respect to State determined and local levels of performance established pursuant to section 113, including an evaluation of performance for special populations and each subgroup described in section 1111(h)(1)(C)(ii) of the Elementary and Secondary Education Act of 1965.
- (B) A description of how career and technical education programs offered by the eligible recipient are—(i) sufficient in size, scope, and quality to meet the needs of all students served by the eligible recipient; and (ii)(I) aligned to State, regional, Tribal, or local in-demand industry sectors or occupations identified by the State workforce development board described in section 101 of the Workforce Innovation and Opportunity Act (29 U.S.C. 3111) (referred to in this section as the “State board”) or local workforce development board, including career pathways, where appropriate; or (II) designed to meet local education or economic needs not identified by State boards or local workforce development boards.
- (C) An evaluation of progress toward the implementation of career and technical education programs and programs of study.
- (D) A description of how the eligible recipient will improve recruitment, retention, and training of career and technical education teachers, faculty, specialized instructional support personnel, paraprofessionals, and career guidance and academic counselors, including individuals in groups underrepresented in such professions.
- (E) A description of progress toward implementation of equal access to high-quality career and technical education courses and programs of study for all students, including— (i) strategies to overcome barriers that result in lower rates of access to, or performance gaps in, the courses and programs for special populations; (ii) providing programs that are designed to enable special populations to meet the local levels of performance; and (iii) providing activities to prepare special populations for high-skill, high-wage, or in-demand industry sectors or occupations in competitive, integrated settings that will lead to self-sufficiency.

(Section 134(c) of Perkins V)

### **3. Meeting the Needs of Special Populations**

- a.** Describe the eligible agency’s program strategies for special populations, including a description of how individuals who are members of special populations—
  - i.** will be provided with equal access to activities assisted under this Act;
  - ii.** will not be discriminated against on the basis of status as a member of a special population;
  - iii.** will be provided with programs designed to enable individuals who are members of special populations to meet or exceed State determined levels of performance described in section 113, and prepare special populations for further learning and for high-skill, high-wage, or in-demand industry sectors or occupations;
  - iv.** will be provided with appropriate accommodations; and
  - v.** will be provided instruction and work-based learning opportunities in integrated settings that support competitive, integrated employment. (Section 122(d)(9) of Perkins V)

### **4. Preparing Teachers and Faculty**

- a.** Describe how the eligible agency will support the recruitment and preparation of teachers, including special education teachers, faculty, school principals, administrators, specialized instructional support personnel, and paraprofessionals to provide career and technical education instruction, leadership, and support, including professional development that provides the knowledge and skills needed to work with and improve instruction for special populations. (Section 122(d)(6) of Perkins V)

## **C. Fiscal Responsibility**

- 1.** Describe the criteria and process for how the eligible agency will approve eligible recipients for funds under this Act, including how—
  - a.** each eligible recipient will promote academic achievement;
  - b.** each eligible recipient will promote skill attainment, including skill attainment that leads to a recognized postsecondary credential; and
  - c.** each eligible recipient will ensure the local needs assessment under section 134 takes into consideration local economic and education needs, including, where appropriate, in-demand industry sectors and occupations. (Section 122(d)(5) of Perkins V)
- 2.** Describe how funds received by the eligible agency through the allotment made under section 111 of the Act will be distributed—
  - a.** among career and technical education at the secondary level, or career and technical education at the postsecondary and adult level, or both, including how such distribution will most effectively provide students with the skills needed to succeed in the workplace; and

- b. among any consortia that may be formed among secondary schools and eligible institutions, and how funds will be distributed among the members of the consortia, including the rationale for such distribution and how it will most effectively provide students with the skills needed to succeed in the workplace. (Section 122(d)(8) of Perkins V)
- 3. Describe how the eligible agency will adjust the data used to make the allocations to reflect any changes in school district boundaries that may have occurred since the population and/or enrollment data was collected, and include local education agencies without geographical boundaries, such as charter schools and secondary schools funded by the Bureau of Indian Education. (Section 131(a)(3) of Perkins V)
- 4. If the eligible agency will submit an application for a waiver to the secondary allocation formula described in section 131(a)—
  - a. include a proposal for such an alternative formula; and
  - b. describe how the waiver demonstrates that a proposed alternative formula more effectively targets funds on the basis of poverty (as defined by the Office of Management and Budget and revised annually in accordance with section 673(2) of the Community Services Block Grant Act (42 U.S.C. 9902(2)) to local educational agencies with the State. (Section 131(b) of Perkins V)

Also indicate if this is a waiver request for which you received approval under the prior Carl D. Perkins Career and Technical Education Act of 2006 (Perkins IV).

- 5. If the eligible agency will submit an application for a waiver to the postsecondary allocation formula described in section 132(a)—
  - a. include a proposal for such an alternative formula; and
  - b. describe how the formula does not result in a distribution of funds to the eligible institutions or consortia with the State that have the highest numbers of economically disadvantaged individuals and that an alternative formula will result in such a distribution. (Section 132(b) of Perkins V)

Also indicate if this is a waiver request for which you received approval under the prior Carl D. Perkins Career and Technical Education Act of 2006 (Perkins IV).

- 6. If the eligible agency will award reserve funds to eligible recipients under section 112(c) of Perkins V, describe the process and criteria for awarding those funds.
- 7. Provide the State’s fiscal effort per student, or aggregate expenditures for the State, that will establish the baseline for the Secretary’s annual determination on whether the State has maintained its fiscal effort, and indicate whether the baseline is a continuing level or new level. If the baseline is new, please provide the fiscal effort per student, or aggregate expenditures for the State, for the preceding fiscal year. (Section 211(b)(1)(D) of Perkins V)

**D. Accountability for Results**

1. Identify and include at least one (1) of the following indicators of career and technical education program quality—
  - a. the percentage of CTE concentrators (see Text Box 6 for the statutory definition of a CTE concentrator under section 3(12) of Perkins V) graduating from high school having attained a recognized postsecondary credential;
  - b. the percentage of CTE concentrators graduating high school having attained postsecondary credits in relevant career and technical education programs and programs of study earned through a dual or concurrent enrollment program or another credit transfer agreement; and/or
  - c. the percentage of CTE concentrators graduating from high school having participated in work-based learning. (Section 113(b)(2)(A)(iv)(I) of Perkins V)

Include any other measure(s) of student success in career and technical education that are statewide, valid, and reliable, and comparable across the State. (Section 113(b)(2)(A)(iv)(II) of Perkins V) Please note that inclusion of “other” program quality measure(s) is optional for States.

Provide the eligible agency’s measurement definition with a numerator and denominator for each of the quality indicator(s) the eligible agency selects to use.

2. Provide on the form in Section V.B, for each year covered by the State plan beginning in program year (PY) 2020-21, State determined performance levels or each of the secondary and postsecondary core indicators, with the levels of performance being the same for all CTE concentrators in the State. (Section 113(b)(3)(A)(i)(I) of Perkins V)

**Text Box 6: Statutory Definition of CTE Concentrator**

The term ‘CTE concentrator’ means—

- (A) at the secondary school level, a student served by an eligible recipient who has completed at least 2 courses\* in a single career and technical education program or program of study; and
- (B) at the postsecondary level, a student enrolled in an eligible recipient who has—
  - (i) earned at least 12 credits within a career and technical education program or program of study; or
  - (ii) completed such a program if the program encompasses fewer than 12 credits or the equivalent in total. (Section 3(12) of Perkins V)

\* This means that once a student completes 2 courses in a single CTE program or program of study, they are counted as a CTE concentrator.

(Section 3(12) of Perkins V)

3. Describe the procedure the eligible agency adopted for determining State determined levels of performance described in section 113 of Perkins V, which at a minimum shall include—
  - a. a description of the process for public comment under section 113(b)(3)(B) of Perkins V as part of the development of the State determined levels of performance (see Text Box 7 for the statutory requirements for consultation on State determined performance levels under section 113(b)(3)(B) of Perkins V);
  - b. an explanation for the State determined levels of performance that meet each of the statutory requirements in Text Box 8; and
  - c. a description of how the State determined levels of performance set by the eligible agency align with the levels, goals and objectives other Federal and State laws, (Section 122(d)(10) of Perkins V).

As part of the procedures for determining State determined levels of performance, describe the process that will be used to establish a baseline for those levels.

4. Provide a written response to the comments regarding State determined performance levels received during the public comment period pursuant to section 113(b)(3)(B) of Perkins V. (Section 113(b)(3)(B)(iii) of Perkins V).

As part of the written response, include a description of any the changes made to the State determined performance levels as a result of stakeholder feedback.

5. Describe how the eligible agency will address disparities or gaps in performance as described in section 113(b)(3)(C)(ii)(II) of Perkins V in each of the plan years, and if no meaningful progress has been achieved prior to the third program year, a description of the additional actions the eligible agency will take to eliminate these disparities or gaps. (Section 122(d)(11) of Perkins V)

As part of the written response, and pursuant to the Report of the Senate Committee on Health, Education, Labor, and Pensions (HELP),<sup>6</sup> the eligible agency could indicate that it will analyze data on the core indicators of performance to identify gaps in performance, explain how they will use evidence-based research to develop a plan to provide support and technical assistance to eligible recipients to address and close such gaps, and how they will implement this plan. The eligible agency is not required to submit a new State plan prior to the third program year in order to address this requirement.

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<sup>6</sup> See page 11 of Committee Report at <https://www.congress.gov/115/crpt/srpt434/CRPT-115srpt434.pdf>.

**Text Box 7: Statutory Requirements for Consultation on  
State Determined Performance Levels**

**(B) PUBLIC COMMENT.—**

- (i) **IN GENERAL.**—Each eligible agency shall develop the levels of performance under subparagraph (A) in consultation with the stakeholders identified in section 122(c)(1)(A).
- (ii) **WRITTEN COMMENTS.**—Not less than 60 days prior to submission of the State plan, the eligible agency shall provide such stakeholders with the opportunity to provide written comments to the eligible agency, which shall be included in the State plan, regarding how the levels of performance described under subparagraph (A)—
  - (I) meet the requirements of the law;
  - (II) support the improvement of performance of all CTE concentrators, including subgroups of students, as described in section 1111(h)(1)(C)(ii) of the Elementary and Secondary Education Act of 1965, and special populations, as described in section 3(48); and
  - (III) support the needs of the local education and business community.
- (iii) **ELIGIBLE AGENCY RESPONSE.**—Each eligible agency shall provide, in the State plan, a written response to the comments provided by stakeholders under clause (ii).

(Section 113(b)(3)(B) of Perkins V)

**III. ASSURANCES, CERTIFICATIONS, AND OTHER FORMS**

**A. Statutory Assurances**

□ The eligible agency assures that:

1. It made the State plan publicly available for public comment<sup>7</sup> for a period of not less than 30 days, by electronic means and in an easily accessible format, prior to submission to the Secretary for approval and such public comments were taken into account in the development of this State plan. (Section 122(a)(4) of Perkins V)
2. It will use the funds to promote preparation for high-skill, high-wage, or in-demand industry sectors or occupations and non-traditional fields, as identified by the State. (Section 122(d)(13)(C) of Perkins V)
3. It will provide local educational agencies, area career and technical education schools, and eligible institutions in the State with technical assistance, including technical assistance on how to close gaps in student participation and performance in career and technical education programs. (Section 122(d)(13)(E) of Perkins V)

<sup>7</sup> An eligible agency that submitted a 1-Year Transition Plan in FY 2019 was not required to hold a public comment period on the 1-Year Transition Plan. Such agency had to assure that it met this public comment requirement prior to submitting its Perkins V State Plan in FY 2020.



4. It will comply with the requirements of this Act and the provisions of the State plan, including the provision of a financial audit of funds received under this Act, which may be included as part of an audit of other Federal or State programs. (Section 122(d)(13)(A) of Perkins V)
5. None of the funds expended under this Act will be used to acquire equipment (including computer software) in any instance in which such acquisition results in a direct financial benefit to any organization representing the interests of the acquiring entity or the employees of the acquiring entity, or any affiliate of such an organization. (Section 122(d)(13)(B) of Perkins V)
6. It will use the funds provided under this Act to implement career and technical education programs and programs of study for individuals in State correctional institutions, including juvenile justice facilities. (Section 122 (d)(13)(D) of Perkins V)

## **B. EDGAR Certifications**

- By submitting a Perkins V State Plan, consistent with 34 CFR 76.104, the eligible agency certifies that:
1. It is eligible to submit the Perkins State plan.
  2. It has authority under State law to perform the functions of the State under the Perkins program(s).
  3. It legally may carry out each provision of the plan.
  4. All provisions of the plan are consistent with State law.
  5. A State officer, specified by title in Item C on the Cover Page, has authority under State law to receive, hold, and disburse Federal funds made available under the plan.
  6. The State officer who submits the plan, specified by title in Item C on the Cover Page, has authority to submit the plan.
  7. The entity has adopted or otherwise formally approved the plan.
  8. The plan is the basis for State operation and administration of the Perkins program.

## **C. Other Forms**

- The eligible agency certifies and assures compliance with the following enclosed forms:
1. Assurances for Non-Construction Programs (SF 424B) Form (OMB Control No. 0348-0040) - <https://www2.ed.gov/fund/grant/apply/appforms/sf424b.pdf>
  2. Disclosure of Lobbying Activities (SF LLL) (OMB Control No. 4040-0013): [https://apply07.grants.gov/apply/forms/sample/SFLLL\\_1\\_2-V1.2.pdf](https://apply07.grants.gov/apply/forms/sample/SFLLL_1_2-V1.2.pdf)
  3. Certification Regarding Lobbying (ED 80-0013 Form): <https://www2.ed.gov/fund/grant/apply/appforms/ed80-013.pdf>
  4. General Education Provisions Act (GEPA) 427 Form (OMB Control No. 1894-0005): <https://www2.ed.gov/fund/grant/apply/appforms/gepa427.pdf>

## IV. BUDGET

### A. Instructions

1. On the form in Item IV.B below, provide a budget for the upcoming fiscal year. As you prepare your budget, refer to the statutory descriptions and assurances in Section II.C and Section III.A, respectively, of this guide.

2. In completing the budget form, provide--

Line 1: The total amount of funds allocated to the eligible agency under section 112(a) of Perkins V. *This amount should correspond to the amount of funds noted in the Department's program memorandum with estimated State allocations for the fiscal year.*

Line 2: The amount of funds made available to carry out the administration of the State plan under section 112(a)(3). *The percent should equal not more than 5 percent of the funds allocated to the eligible agency as noted on Line 1, or \$250,000, whichever is greater.*

Line 3: The amount of funds made available to carry out State leadership activities under section 112(a)(2) of Perkins V. *The percent should equal not more than 10 percent of the funds allocated to the eligible agency as noted on Line 1.*

Line 4: The percent and amount of funds made available to serve individuals in State institutions, such as: (a) correctional institutions; (b) juvenile justice facilities; (c) educational institutions that serve individuals with disabilities; or (d) other State institutions pursuant to section 112(a)(2)(A) of Perkins V. *The percent of funds should equal not more than 2 percent of the funds allocated to the eligible agency as noted on Line 1.*

Line 5: The amount of funds to be made available for services that prepare individuals for non-traditional fields pursuant to section 112(a)(2)(B) of Perkins V. *The amount of funds should be not less than \$60,000 and not more than \$150,000.*

Line 6: The amount of funds to be made available for the recruitment of special populations to enroll in career and technical education programs pursuant to section 112 (a)(2)(C) of Perkins V. *The percent of funds shall not be less than the lesser of an amount equal to 0.1 percent of the funds made available by the eligible agency for State leadership activities as noted on Line 3, or \$50,000.*

Line 7: The percent and amount of funds to be made available to eligible recipients [local education agencies (secondary recipients) and institutions of higher education (postsecondary recipients)] pursuant to section 112(a)(1) of Perkins V. *The percent of funds should be not less than 85 percent of the funds allocated to the eligible agency as noted on Line 1.*

- Line 8: The percent and amount, if any, of funds to be reserved and made available to eligible recipients under section 112(c) of Perkins V. *The percent of funds should be not more than 15 percent of the 85 percent of funds noted on Line 7.*
- Line 9: The percent and amount, if any, of funds to be reserved and made available to secondary recipients under section 112(c) of Perkins V.
- Line 10: The percentage and amount, if any, of funds to be reserved and made available to postsecondary recipients under section 112(c) of Perkins V.
- Line 11: The percent and amount of funds to be made available to eligible recipients under section 112(a)(1) of Perkins V. *The percent and amount of funds should represent the funds remaining after subtracting any reserve as noted on Line 8.*
- Line 12: The percent and amount of funds to be distributed to secondary recipients under the allocation formula described in section 131 of Perkins V.
- Line 13: The percent and amount of funds to be distributed to postsecondary recipients under the allocation formula described in section 132 of Perkins V.
- Line 14: The amount of funds to be made available for the State administration match requirement under section 112(b) of Perkins. *The amount of funds shall be provided from non-Federal sources and on a dollar-for-dollar basis.*

**B: Budget Form**

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

**Fiscal Year (FY):** \_\_\_\_\_

<b>Line Number</b>	<b>Budget Item</b>	<b>Percent of Funds</b>	<b>Amount of Funds</b>
1	<b>Total Perkins V Allocation</b>	<b>Not applicable</b>	
2	<b>State Administration</b>	%	
3	<b>State Leadership</b>	%	
4	• Individuals in State Institutions	%	
4a	- Correctional Institutions	<b>Not required</b>	
4b	- Juvenile Justice Facilities	<b>Not required</b>	
4c	- Institutions that Serve Individuals with Disabilities	<b>Not required</b>	
4d	- Other State Institutions	<b>Not required</b>	
5	• Non-traditional Training and Employment	<b>Not applicable</b>	
6	• Special Populations Recruitment	%	
7	<b>Local Formula Distribution</b>	%	
8	• Reserve	%	
9	- Secondary Recipients	%	
10	- Postsecondary Recipients	%	
11	• Allocation to Eligible Recipients	%	
12	- Secondary Recipients	%	
13	- Postsecondary Recipients	%	
14	<b>State Match (<i>from non-federal funds</i>)</b>	<b>Not applicable</b>	

## V. STATE DETERMINED PERFORMANCE LEVELS

### A. Instructions

1. On the form in Item V.B, provide State determined performance levels (SDPLs), covering FY 2020-23, for each of the secondary and postsecondary core indicators of performance for all CTE concentrators in the State described in section 113(b) of Perkins V (see Table 3). In preparing your SDPLs, refer to your narrative descriptions in Section II.D of this guide.

2. In completing the SDPL form, provide—

Column 2: Baseline level

Columns 3-6: State determined levels of performance for each year covered by the State plan, beginning for FY 2020, expressed in percentage or numeric form and that meets the requirements of section 113(b)(3)(A)(III) of Perkins V. See Text Box 8 for the statutory requirements for setting State determined levels of performance under section 113(b)(3)(A)(i)(III) of Perkins V.

3. Revise, as applicable, the State determined levels of performance for any of the core indicators of performance—

- i. Prior to the third program year covered by the State plan for the subsequent program years covered by the State plan pursuant to section 113(b)(3)(A)(ii); and/or
- ii. Should unanticipated circumstances arise in a State or changes occur related to improvement in data or measurement approaches pursuant to section 113(b)(3)(A)(iii).

Please note that, pursuant to section 123(a)(5) of Perkins V, an eligible agency may not adjust performance levels for any core indicators that are subject to, and while executing, an improvement plan pursuant to section 123(a) of Perkins V.

**Text Box 8: Statutory Requirements for State Determined Performance Levels**

- (III) REQUIREMENTS.—Such State determined levels of performance shall, at a minimum—
- (aa) be expressed in a percentage or numerical form, so as to be objective, quantifiable, and measurable;
  - (bb) require the State to continually make meaningful progress toward improving the performance of all career and technical education students, including the subgroups of students described in section 1111(h)(1)(C)(ii) of the Elementary and Secondary Education Act of 1965, and special populations, as described in section 3(48); and
  - (cc) have been subject to the public comment process described in subparagraph (B), and the eligible agency has provided a written response;
  - (dd) when being adjusted pursuant to clause (ii), take into account how the levels of performance involved compare with the State levels of performance established for other States, considering factors including the characteristics of actual (as opposed to anticipated) CTE concentrators when the CTE concentrators entered the program, and the services or instruction to be provided;
  - (ee) when being adjusted pursuant to clause (ii), be higher than the average actual performance of the 2 most recently completed program years, except in the case of unanticipated circumstances that require revisions in accordance with clause (iii); and
  - (ff) take into account the extent to which the State determined levels of performance advance the eligible agency's goals, as set forth in the State plan.

(Section 113(b)(3)(A)(i)(III) of Perkins V)

**Table 3: Section 113(b) Core Indicators of Performance**

Indicator Descriptions	Indicator Codes	Indicator Names
<b>Secondary Level</b>		
The percentage of CTE concentrators who graduate high school, as measured by the four-year adjusted cohort graduation rate (defined in section 8101 of the Elementary and Secondary Education Act of 1965).	1S1	Four-Year Graduation Rate
(At the State’s discretion) The percentage of CTE concentrators who graduate high school, as measured by extended-year adjusted cohort graduation rate defined in such section 8101.	1S2	Extended Graduation Rate
CTE concentrator proficiency in the challenging State academic standards adopted by the State under section 1111(b)(1) of the Elementary and Secondary Education Act of 1965, as measured by the academic assessments in reading/language arts as described in section 1111(b)(2) of such Act.	2S1	Academic Proficiency in Reading/Language Arts
CTE concentrator proficiency in the challenging State academic standards adopted by the State under section 1111(b)(1) of the Elementary and Secondary Education Act of 1965, as measured by the academic assessments in mathematics as described in section 1111(b)(2) of such Act.	2S2	Academic Proficiency in Mathematics
CTE concentrator proficiency in the challenging State academic standards adopted by the State under section 1111(b)(1) of the Elementary and Secondary Education Act of 1965, as measured by the academic assessments in science as described in section 1111(b)(2) of such Act.	2S3	Academic Proficiency in Science
The percentage of CTE concentrators who, in the second quarter after exiting from secondary education, are in postsecondary education or advanced training, military service or a service program that receives assistance under title I of the National and Community Service Act of 1990 (42 U.S.C. 12511 et seq.), are volunteers as described in section 5(a) of the Peace Corps Act (22 U.S.C. 2504(a)), or are employed.	3S1	Post-Program Placement



**Table 3: Section 113(b) Core Indicators of Performance (continued)**

Indicator Descriptions	Indicator Codes	Indicator Names
<b>Secondary Level (continued)</b>		
The percentage of CTE concentrators in career and technical education programs and programs of study that lead to non-traditional fields. <sup>8</sup>	4S1	Non-traditional Program Concentration
<i>The eligible agency must include at least one program quality indicator—5S1, 5S2, or 5S3—and may include any other quality measure(s) that are statewide, valid, reliable, and comparable across the State.</i>		
The percentage of CTE concentrators graduating from high school having attained a recognized postsecondary credential.	5S1	Program Quality – Attained Recognized Postsecondary Credential
The percentage of CTE concentrators graduating from high school having attained postsecondary credits in the relevant career and technical education program or program of study earned through a dual or concurrent enrollment or another credit transfer agreement	5S2	Program Quality – Attained Postsecondary Credits
The percentage of CTE concentrators graduating from high school having participated in work-based learning.	5S3	Program Quality – Participated in Work-Based Learning
Other(s) <i>(optional)</i> : The percentage of CTE concentrators achieving on any other measure of student success in career and technical education that is statewide, valid, and reliable, and comparable across the State. Please identify.	5S4, 5S5, 5S6, ...	Program Quality – Other

<sup>8</sup> This means that a student gets counted under this indicator if individuals from their gender comprise less than 25 percent of the individuals employed in the related occupation or field of work.

**Table 3: Section 113(b) Core Indicators of Performance (continued)**

Indicator Descriptions	Indicator Codes	Indicator Names
<b>Postsecondary Level</b>		
The percentage of CTE concentrators who, during the second quarter after program completion, remain enrolled in postsecondary education, are in advanced training, military service, or a service program that receives assistance under title I of the National and Community Service Act of 1990 (42 U.S.C. 12511 et seq.), are volunteers as described in section 5(a) of the Peace Corps Act (22 U.S.C. 2504(a)), or are placed or retained in employment.	1P1	Post-Program Placement
The percentage of CTE concentrators who receive a recognized postsecondary credential during participation in or within 1 year of program completion. <sup>9</sup>	2P1	Earned Recognized Postsecondary Credential
The percentage of CTE concentrators in career and technical education programs and programs of study that lead to non-traditional fields. <sup>10</sup>	3P1	Non-traditional Program Concentration

<sup>9</sup> This means that a student gets counted under this indicator whether the student obtains the credential during participation or within 1 year of completion. The Department interprets “within 1 year of completion” to have the plain meaning of those words: that the student would be counted if the student obtains the credential in the 1 year following that student’s completion of the program.

<sup>10</sup> This means that a student gets counted under this indicator if individuals from their gender comprise less than 25 percent of the individuals employed in the related occupation or field of work.

**B: State Determined Performance Levels (SDPL) Form**

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

Column 1	Column 2	Column 3	Column 4	Column 5	Column 6	Column 7
Indicators	Baseline Level <sup>11</sup>	Performance Levels				
		PY 2020-21	PY 2021-22	PY 2022-23	PY 2023-24	PY 2024-25
<b>Secondary Indicators</b>						
1S1: Four-Year Graduation Rate						
1S2: Extended Graduation Rate						
2S1: Academic Proficiency in Reading Language Arts						
2S2: Academic Proficiency in Mathematics						
2S3: Academic Proficiency in Science						
3S1: Post-Program Placement						
4S1: Non-traditional Program Concentration						
5S1: Program Quality – Attained Recognized Postsecondary Credential						
5S2: Program Quality – Attained Postsecondary Credits						
5S3: Program Quality – Participated in Work-Based Learning						
5S4: Program Quality – Other <sup>12</sup>						

<sup>11</sup> A State may establish a baseline level of performance in the event the State adds a new indicator of performance as part of subsequent revisions to its State Plan.

<sup>12</sup> The Perkins V State Plan Portal will allow an eligible agency to include on this form as many “other” program quality indicators as they choose.

Column 1	Column 2	Column 3	Column 4	Column 5	Column 6	Column 7
Indicators	Baseline Level	Performance Levels				
		PY 2020-21	PY 2021-22	PY 2022-23	PY 2023-24	PY 2024-25
<b>Postsecondary Indicators</b>						
1P1: Post-Program Placement						
2P1: Earned Recognized Postsecondary Credential						
3P1: Non-traditional Program Concentration						

*Provide any additional information regarding SDPLs, as necessary:*