MINNESOTA STATE
Career and Technical Education

DEPARTMENT OF EDUCATION

FY24 Perkins V Monitoring Criteria for Local Consortia

Monitor Review Period: July 1, 2022 – June 30, 2023

Requirement for monitoring:

Minnesota State and MDE are required to monitor local Perkins consortia to assure compliance with fiscal and management requirements of the Strengthening Career and Technical Education for the 21st Century Act, the Minnesota 4-Year State Plan, and federal and state legislation and policy.

Sec.121(a)(1)

Objectives for monitoring:

- Verify that program objectives are being met
- Foster continuous improvement
- Identify technical assistance needs
- Develop an understanding of local performance, operations, and issues facing CTE programs, schools, and colleges
- Determine present and predict future CTE program opportunities, challenges, and threats
- Identify factors that may enhance or detract from the availability of and access to high-quality CTE programs
- Better define how high-quality CTE programs operate
- Test the reliability of internal controls
- Identify successful (best) practices

Priorities under Perkins V

- A collaborative leadership team and decision-making process
- State-recognized programs of study
- Data-driven planning and decision-making in conjunction with the comprehensive local needs assessment (CLNA)
- Narrowing performance gaps for special populations students
- Progress made on state-determined performance measures
- Recruiting, retaining, and training educational professionals
- Local uses of funds
- Fiscal/financial responsibilities and cash management
- Innovation
- Equitable opportunities for access and participation in CTE

Criterion 1 Consortium Governance

Criterion 1 Requirement

The consortium engages in structured and collaborative planning that benefits the consortium as a whole and is focused on local/regional resources and needs.

References:

- Sec. 131
- Sec. 132
- Sec. 134

Compliance 1.1

Secondary and postsecondary consortium leaders work together to establish and implement a plan and budget that benefits the consortium as a whole.

- A combined secondary/postsecondary application is completed every two years, with the most recent submitted to the Minnesota State grant management system in May 2023. Additionally, an application and budget update is required on the year between the two-year submission if changes are needed.
- A Comprehensive Local Needs Assessment (CLNA) is updated every two years and a summary (CLNA Framework) is provided with the local application. CLNA results drive budgeting and programmatic decisions. The current CLNA, including all supporting documentation, is on file.
- A budget for secondary and postsecondary expenditures is submitted annually. A process for joint planning and decision-making has been established within the consortium governance structure.
- A process for funding decisions has been established within the consortium governance structure.

Evidence to submit for monitoring:

1. A written summary of the consortium's process for joint planning and decision-making.
2. Documentation showing the consortium's process for joint planning and decision-making through one or more of the following pieces of evidence: memorandum of understanding or agreement(s), planning documents, charts or descriptions included in a local governance handbook or policy manual, funding application forms, or other consortium governance documents.

Compliance 1.2

Partners review and provide input on the consortium's annual operational plan (Perkins V Local Application).

- Partners met within the reporting year.
- Minutes and agenda(s) documenting members attending, including their names, titles, and the constituencies they represent and reflecting a discussion of workforce needs and Perkins performance measures as part of planning and decision-making are on file.

Evidence to submit for monitoring:

1. Meeting minutes and agenda with a list of attending partners, including job titles and constituencies they represent participating in consortium planning.

Criterion 2 Fiscal Requirements

Criterion 2 Requirement

Secondary:

- Financial records are maintained according to the Uniform Fiscal Accounting Recording System (UFARS)
- All expenditures must be used in approved programs taught by appropriately licensed teachers or for professional development associated with the operation of CTE programs, career guidance, or pre-career and technical education within an approved program of study
- All equipment and curriculum material purchases ($1,000 or more) must be pre-approved by the state

Postsecondary:

- Financial records are maintained according to cost centers
- All expenditures must be used in eligible CTE programs taught by college faculty who have met the minimum qualifications
- All equipment purchases ($5,000 or more) must be pre-approved by the state

Costs associated with administrative activities are not to exceed 5% of the grant. Equipment purchases are identified as fixed assets and required inventory and depreciation procedures must be in place. Funds may not be used when acquisition would result in direct financial benefit to any organization representing the interests of the purchasing entity, its employees, or affiliates.

References:

- State Requirements
- Sec 135

Compliance 2.1

Consortium Perkins V expenditures must comply with all the legislative rules attached to those funds. For Perkins V, this includes the local uses of funds outlined in the Act and the general requirements for grant management of federal funds. Districts and colleges must adhere to the required uses of funds (Section 135 Local Uses of Funds) and the Operational Handbook when making a budget request. A fiscal desk audit is part of every monitoring review. Minnesota State and MDE grant accountants will review secondary and postsecondary transactions to determine compliance with statutes and policies regarding fiscal requirements.

- The consortium demonstrates good cash management by drawing funds from Basic and Reserve Allocations and Basic and Reserve Reallocations periodically throughout the year, not all at once.
- Encumbrances and payments are processed within the timeframe required.
- Equipment purchased with Perkins funds is inventoried and reconciled.
- Perkins funds are used to develop, coordinate, implement, or improve CTE programs to meet the needs identified in the CLNA.
- Perkins funds are used to supplement, not supplant local funding sources.
- The consortium's use of funds is aligned with the local plan and strategic goals.

Evidence submitted by Minnesota State and MDE grant accountants:

1. Secondary fiscal desk audit results
2. Postsecondary fiscal desk audit results

Evidence to submit for monitoring:

1. A summary of the process used to determine if expenditures:
    a. Are expended only for allowable activities;
    b. Spent according to the approved budget;
    c. Are used to supplement and not supplant;
    d. Ensure no goods or services are made with a debarred or suspended party;
    e. Ensure no funds are used for incentives, inducements or relocation; and
    f. Ensure no funds are used for lobbying.

Compliance 2.2

The consortium maintains a combined inventory of equipment purchased with federal Perkins funds, which is validated/reconciled at least every two years. All equipment purchased with federal dollars must have specially marked asset tags.

- A single consolidated inventory is on file.
    - Records for each item may include:
        - Date of purchase
        - School/teacher/program for which purchase was made
        - Item description
        - Cost
        - Current location
- A process is in place to inventory and label equipment as property of Perkins CTE.
- A process is in place to update inventory if equipment is reassigned or disposed of.
- Equipment purchases have been pre-approved per MDE and Minnesota State requirements.

Evidence to submit for monitoring:

1. *Consortium Consolidated Equipment Inventory* spreadsheet file.
2. Pictures of two secondary and two postsecondary pieces of equipment (a total of 4 different equipment pieces) showing how equipment is labeled to reflect it is the property of Perkins CTE. Multiple pictures of each piece of equipment may be needed to show the entirety of the equipment and the tag's text.
3. A summary of the process used to update inventory when equipment is reassigned or disposed of.

Compliance 2.3

Personnel who are compensated in whole or in part with federal grant dollars are required to report on their duties/activities funded under the grant. Time and effort reports must be a single, certified document that reflects 100 percent of an employee's time worked in a given period. Position descriptions should align with the percentage of time reported and charged to the federal grant.

- Time and effort reports, or Personnel Activity Reports (PAR), are on file for every employee salaried partially or entirely with federal Perkins funds.
- Position descriptions defining Perkins-related duties and responsibilities for every employee salaried partially or entirely with federal Perkins funds were submitted with the most recent local application.

Evidence to submit for monitoring:

1. Time and effort reports (PAR) for every employee salaried partially or entirely with Perkins funds.
2. Provide an update if there have been any changes to position descriptions since the local application.

Criterion 3 Reserve Funds

Criterion 3 Requirement

New in Perkins V, funds must be used to foster innovation or promote the development, implementation, and adoption of programs of study or career pathways aligned with state-identified high-skill, high-wage, or in-demand occupations or industries. Perkins V criteria continue to make funds available to CTE programming in:

- Rural areas
- Areas with high percentages of CTE concentrators
- Areas with disparities or gaps in performance identified during data reporting

References:

- Sec 112(c)

Compliance 3.1

Reserve funds are used to foster innovation or promote the development, implementation, and adoption of programs of study.

- The most recent Annual Performance Report (APR) included a progress update on Reserve Funds initiative(s).

Evidence to submit for monitoring:

1. Provide a summary and documentation (e.g., meeting minutes, emails, governance procedure, etc.) of the consortium's decision-making process used to invest their reserve funds to support innovative consortium initiatives vs. separate and unrelated secondary and postsecondary initiatives.
2. From the updates given in the most recent APR, submit documentation under one of the Reserve categories for both secondary and postsecondary showing how the funds were utilized (e.g., professional development workshop agenda, program flyer promotion, equipment purchases, outcome report summary, etc.).
3. If applicable, provide information on anything not previously submitted with the most recent APR.

Criterion 4 Partnerships

Criterion 4 Requirement

Collaboration among secondary and postsecondary partners, community-based organizations, non-profits, business and industry, etc., promotes CTE program efforts.

References:
- State Requirements
- Sec 134

Compliance 4.1

CTE local program advisory committees provide collaborative input from relevant partners, including industry professionals, employers, teachers, faculty, and students. The work of advisory committees informs consortium priorities.

- CTE local program advisory committees met within the reporting year to discuss performance, program quality, and local workforce needs.
- Agendas and meeting minutes with a list of attending partners, including job titles and constituencies they represent, are on file.

Evidence to submit for monitoring:

1. A summary of one example in which program advisory committee work contributed to the consortium's efforts (e.g., strategic planning, student outreach activities, career pathways development, shared curriculum, etc.).
2. Meeting minutes and supporting documentation from secondary and postsecondary advisory committee meetings.

Compliance 4.2

Students are provided experiential learning and work-based learning opportunities, including apprenticeships linked to the career technical education program(s) of study. Consortium partnerships prioritize support for special populations and equity in accessing experiential learning and work-based learning.

- Agreements with local or regional businesses or industries are on file.
- Vocational rehabilitation services contracts are on file.
- Approved programs have been established.
- Laddered experiences are provided, such as career fairs, job shadowing, etc., that lead to experiential learning and work-based learning.
- Secondary enrollment in course code 97 (Work Experience) has been reviewed.
- Licensing of work-based learning coordinators.
- Processes are in place for recruiting students and addressing barriers to participation in experiential learning opportunities (e.g., inclusive promotional materials, transportation, scheduling, etc.).
- Note that participation in CTSOs is not evidence of experiential learning.

Evidence to submit for monitoring:

1. If funded, provide a summary of licensing activities including the number of work-based learning coordinators employed/licensed within the consortium.

2. Description of initiative(s) and accomplishments/outcomes resulting from collaborations with partners such as vocational rehabilitation services, Adult Basic Education, CareerForce Center, and/or in support of WIOA.
3. Description and documentation (e.g., meeting minutes, flyers, webpages, etc.) of efforts to recruit and/or address barriers to participation in experiential learning and work-based learning activities at secondary and postsecondary levels.

Compliance 4.3

The consortium collaborates to support the recruitment, training, and retention of teachers and paraprofessionals for CTE programs.

Required evidence to submit for monitoring:

1. Summary and documentation (e.g., meeting minutes, emails, webpages, etc.) of consortium efforts and outcomes to support new teachers.
2. Summary and documentation (e.g., meeting minutes, emails, webpages, etc.) of consortium efforts to support continuous professional development for teachers and faculty.

Compliance 4.4

Students are provided with an opportunity to earn postsecondary credits through dual enrollment (e.g., Articulation, PSEO, AP, IB, Concurrent Enrollment).

- CTE Articulation agreements are on file.
- CTE Concurrent Enrollment course offerings are on file.
- Other CTE dual enrollment opportunities are documented.

Evidence to submit for monitoring:

1. List of CTE Articulation agreements.
2. List of CTE Concurrent Enrollment courses and high schools offered within the reporting year.
3. Summary of outcomes from investing funds in articulation agreements and dual credit opportunities.
4. Description and documentation (e.g., meeting minutes, flyers, webpages, etc.) of efforts to increase student awareness and access to dual enrollment opportunities.

Criterion 5 Programs of Study

Criterion 5 Requirement

Programs provide a coherent sequence of courses through defined programs of study (POS) that:

- Incorporate challenging state academic standards;
- Address both academic and technical knowledge and skills;
- Are aligned with the needs of industry in the region;
- Progress in specificity;
- Have multiple entry and exit points that incorporate credentialing; and
- Culminate in the attainment of a recognized postsecondary credential.

Programs of study meet state-recognized POS requirements and reflect continuous improvement.

References:
- State Requirements
- Sec 112(c)
- Sec 122(d)(4)(B)
- Sec 134

Compliance 5.1

A self-evaluation of each consortium program of study is recommended to be completed annually to ensure alignment with the local labor market and between secondary and postsecondary clusters/pathways. Results from the self-evaluation should shape local planning and budgeting for program improvement.

- For each consortium program of study, a self-evaluation and supporting documentation addressing the eleven elements are on file:
  - Standards-Aligned and Integrated Curriculum
  - Integrated Network of Partnerships
  - Course Sequencing and Credentials
  - Career-Connected Learning
  - Facilities, Equipment, Technology, and Materials
  - Work-Based Learning
  - Data for Program Improvement and Advocacy
  - Student Leadership Development
  - Access, Equity, and Inclusion
  - Student-Centered Instruction
  - Professional Development for Knowledgeable Experts

Evidence to submit for monitoring:

1. If a self-evaluation rubric was completed, submit:
   a. Self-evaluation rubric (Part C and D of User Guide) for one state-recognized program of study.
   b. Summary of how the rubric was completed, including when and who was involved (e.g., meeting minutes)
2. If self-evaluation rubrics have not been completed for state-recognized programs of study, submit:

a. Summary of how the consortium ensures alignment with the local labor market and between secondary and postsecondary clusters/pathways to shape local planning and budgeting.
b. Evidence of what was done, such as meeting minutes.

Compliance 5.2

The consortium has established six State-Recognized Programs of Study that represent at least four different career fields with no more than one brokered with institutions outside the consortium. Each program of study must meet the seven minimum requirements specified in the State Recognized Programs of Study User Guide.

- *S-R POS – Funding POS* spreadsheet is on file and updated annually with the local application in May of each year.

Required evidence to submit for monitoring:

1. Summary of the consortium process to determine S-RPOS and Funding POS decisions.
2. Documentation of implementing the process, such as meeting minutes.

Criterion 6 Accountability

Criterion 6 Requirement

The consortium (eligible recipient) continually makes meaningful progress toward improving performance of CTE concentrators.

Secondary Core Indicators of Performance:

- 1S1 – Four-year Cohort Graduation Rate
- 2S1 – Academic Proficiency: Reading/ Language Arts
- 2S2 – Academic Proficiency: Mathematics
- 3S1 – Post-Program Placement
- 4S1 – Nontraditional Program Concentration
- 5S3 – Program Quality: Work-based Learning

Postsecondary Core Indicators of Performance

- 1P1 – Postsecondary Retention and Placement
- 2P1 – Earned Recognized Postsecondary Credential
- 3P1 – Nontraditional Program Enrollment

References:

- Sec 113
- State Requirements

Compliance 6.1

The consortium utilizes performance indicator reports to guide the development and implementation of initiatives to address gaps in the performance of CTE participants, concentrators, and subpopulations.

Evidence to submit for monitoring:

1. A summary of the process used to identify and address performance gaps within a subpopulation or area of focus.
2. Summary description and evidence of one project or initiative the consortium implemented to improve performance for one or more special populations based on identified gaps. Evidence examples may include advisory committee minutes, planning documents, project implementation documents, project charters, flyers, project outcomes, etc.
3. If applicable, provide an update on improvement plans.