



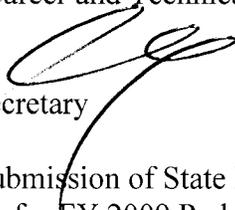
UNITED STATES DEPARTMENT OF EDUCATION

OFFICE OF VOCATIONAL AND ADULT EDUCATION

FEB - 6 2009

PROGRAM MEMORANDUM

TO: State Directors of Career and Technical Education

FROM: Dennis Berry  
Acting Assistant Secretary 

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

I am pleased to provide our office's requirements for each eligible agency to receive its program year three (Fiscal Year (FY) 2009) grant awards pursuant to the Carl D. Perkins Career and Technical Education Act of 2006 (Perkins IV, 20 U.S.C. 2301 et seq., as amended by Public Law 109-270). Funds for FY 2009 grant awards will become available to States on an advance-funded basis, beginning July 1, 2009.

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

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

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

## Items for Submission

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

- Cover Letter. Each eligible agency must submit a brief cover letter that transmits the items listed below. This letter must be signed by someone who is authorized to act on behalf of the eligible agency.
- Revisions to the State Plan. Each eligible agency must review its activities under Title I of Perkins IV and submit any revisions to its State plan that the State determines necessary. Although not required by statute, each State should review its activities under Title II of Perkins IV and submit revisions as necessary.

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

<http://www.ed.gov/policy/sectech/guid/cte/perkinsiv/studentdef.pdf>.

Consistent with the Department's current policy for revising performance levels, a State may request a revision to one or more of its State-adjusted levels of performance for program year two, covering the period from July 1, 2008 – June 30, 2009, if the State can show that an unanticipated circumstance arose in the State that resulted in a significant change in the factors that were considered at the time it negotiated its year two performance levels with the Department. See section 113(b)(3)(A)(vi) of Perkins IV. Unanticipated circumstances may include: significant shifts in population, economic changes such as spiraling unemployment rates, or natural disasters that closed programs for significant periods of time.

The Secretary, in order to ensure an orderly transition to the new accountability system required under Perkins IV, will allow a State to propose changes to one or more of its year two performance levels if the State did not have baseline data or used estimated baseline data at the time it negotiated those performance levels with the Department, but now has actual baseline data upon which to negotiate more realistic and achievable performance levels. Please note that this is an exception to the Department's policy and, in future years, barring unanticipated

circumstances as described above, the Department does not foresee any circumstances under which it would allow a State to revise its performance levels for a program year that has already begun. The Department is considering whether it would be useful to issue non-regulatory guidance on this issue.

- Updated Budget. Each eligible agency will need to update its budget to reflect the new allotments from funds that will be available for program year three, beginning on July 1, 2009, for Title I and Title II of Perkins IV. Our office will issue estimated allocation tables to you as soon as they become available. Your State's budget must be submitted on the attached format (see Attachment A).
- Proposed Performance Levels. Each eligible agency will need to submit proposed performance levels for each of the core indicators of performance described in section 113(b) of Perkins IV for program years three (July 1, 2009 – June 30, 2010) and four (July 1, 2010 – June 30, 2011). Proposed performance levels must take into account the following factors described in section 113(b)(3)(A)(vi) of Perkins IV:
  - (I) how the levels of performance involved compare with the State-adjusted levels of performance established for other States, taking into account factors including the characteristics of participants when the participants entered the program and the services or instruction to be provided; and
  - (II) the extent to which such levels of performance promote continuous improvement on the indicators of performance by such State.

Your State's proposed performance levels must be submitted on the attached Proposed State Levels of Performance forms (see Attachment B). To assist you in developing your proposed levels, your Perkins Regional Accountability Specialist (RAS) will pre-populate and send to you the forms with the most current information and data on file in our office. The RAS will then schedule one or more preliminary conversations with you to discuss your proposed levels. After your State reaches agreement with the Secretary on your State's final agreed-upon adjusted performance levels for the second two program years, you will be asked to confirm these levels via e-mail submission of your State's final agreed-upon performance level (FAUPL) form. Please note that your performance levels are not final until this office has approved your levels and incorporated them into your Perkins IV Five-Year State Plan, which we will do when we issue your July 1, 2009, Perkins IV Grant Award Notifications (GAN).

#### Submission Deadline, Signature, and Address

Each eligible agency must submit its State plan revisions, budget, and proposed performance levels to this office by close of business on Monday, April 20, 2009. Your submission may be made in one of three formats:

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

Edward R. Smith, Chief  
Program Administration 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 11060  
Washington, DC 20202-7241

Please note that if you submit your information via the Web Site or e-mail, you are responsible for confirming that our office receives a complete and legible copy of the submission and that a hard copy with an original signature is sent within five working days of the State's submission.

Please feel free to contact your Perkins Program Administration Liaison (PAL) or Regional Accountability Specialist (RAS) if you have questions regarding your submission. A State-by-State listing of these staff members is provided in Attachment C.

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

Attachments

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

STATE NAME: \_\_\_\_\_

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

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

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

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

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

**STATE NAME:** \_\_\_\_\_

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

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

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

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

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

**STATE NAME:** \_\_\_\_\_

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

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

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

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

**INSTRUCTIONS:** Propose performance levels for program years three and four by completing Columns 7 and 8. See note below pertaining to the information in Columns 2 through 6 and the key for the letters B, L, A, and P in the chart below. *This form is applicable only to those States that have chosen to negotiate separate performance levels for their adult career and technical education students.*

STATE NAME: \_\_\_\_\_

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

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

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

## Perkins Staff Listing By State and Responsibility

<b>States</b>	<b>Program Administration Liaisons</b>	<b>Regional Accountability Specialists</b>
Alabama	Marilyn Fountain	Marie Buker
Alaska	Andrew Johnson	Jose Figueroa
Arizona	Allison Hill	Jose Figueroa
Arkansas	Sterling August III	Marie Buker
California	Andrew Johnson	Marie Buker
Colorado	Marilyn Fountain	Marie Buker
Connecticut	Len Lintner	Sharon Head
Delaware	Allison Hill	Jay Savage
District of Columbia	Len Lintner	Jay Savage
Florida	Allison Hill	Jay Savage
Georgia	Marilyn Fountain	Jay Savage
Guam	Andrew Johnson	Marie Buker
Hawaii	Sterling August III	Sharon Head
Idaho	Allison Hill	Marie Buker
Illinois	Sterling August III	Sharon Head
Indiana	Marilyn Fountain	Clara Lawson-Holmes
Iowa	Andrew Johnson	Clara Lawson-Holmes
Kansas	Andrew Johnson	Clara Lawson-Holmes
Kentucky	Allison Hill	Denise Garland
Louisiana	Allison Hill	Jay Savage
Maine	Len Lintner	Sharon Head
Maryland	Andrew Johnson	Denise Garland
Massachusetts	Len Lintner	Sharon Head
Michigan	Marilyn Fountain	Sharon Head
Minnesota	Marilyn Fountain	Sharon Head
Mississippi	Allison Hill	Denise Garland
Missouri	Marilyn Fountain	Clara Lawson-Holmes
Montana	Andrew Johnson	Marie Buker
Nebraska	Allison Hill	Clara Lawson-Holmes
Nevada	Sterling August III	Jose Figueroa
New Hampshire	Len Lintner	Jose Figueroa
New Jersey	Len Lintner	Jay Savage
New Mexico	Andrew Johnson	Marie Buker
New York	Len Lintner	Jose Figueroa
North Carolina	Sterling August III	Jay Savage
North Dakota	Sterling August III	Denise Garland
Ohio	Allison Hill	Marie Buker
Oklahoma	Sterling August III	Denise Garland

<b>States</b>	<b>Program Administration Liaisons</b>	<b>Regional Accountability Specialists</b>
Oregon	Marilyn Fountain	Jose Figueroa
Palau	Andrew Johnson	Jose Figueroa
Pennsylvania	Len Lintner	Jay Savage
Puerto Rico	Marilyn Fountain	Jose Figueroa
Rhode Island	Len Lintner	Clara Lawson-Holmes
South Carolina	Marilyn Fountain	Jay Savage
South Dakota	Sterling August III	Denise Garland
Tennessee	Sterling August III	Denise Garland
Texas	Andrew Johnson	Marie Buker
Utah	Marilyn Fountain	Jose Figueroa
Vermont	Len Lintner	Jose Figueroa
Virgin Islands	Len Lintner	Clara Lawson-Holmes
Virginia	Marilyn Fountain	Jay Savage
Washington	Sterling August III	Jose Figueroa
West Virginia	Allison Hill	Jay Savage
Wisconsin	Marilyn Fountain	Clara Lawson-Holmes
Wyoming	Allison Hill	Marie Buker

**STAFF PHONE NUMBERS AND E-MAIL ADDRESSES**

<b>Name</b>	<b>Telephone</b>	<b>E-Mail Address</b>
<b>Regional Accountability Specialists</b>		
John Haigh, Chief	(202) 245-7735	<a href="mailto:john.haigh@ed.gov">john.haigh@ed.gov</a>
Marie Buker	(202) 245-6720	<a href="mailto:marie.buker@ed.gov">marie.buker@ed.gov</a>
Jose Figueroa	(202) 245-6054	<a href="mailto:jose.figueroa@ed.gov">jose.figueroa@ed.gov</a>
Denise Garland	(202) 245-7730	<a href="mailto:denise.garland@ed.gov">denise.garland@ed.gov</a>
Sharon Head	(202) 245-6131	<a href="mailto:sharon.head@ed.gov">sharon.head@ed.gov</a>
Clara Lawson-Holmes	(202) 245-7762	<a href="mailto:clara.lawson-holmes@ed.gov">clara.lawson-holmes@ed.gov</a>
Jay Savage	(202) 245-6612	<a href="mailto:jay.savage@ed.gov">jay.savage@ed.gov</a>
<b>Program Administration Liaisons</b>		
Edward R. Smith, Chief	(202) 245-7602	<a href="mailto:edward.smith@ed.gov">edward.smith@ed.gov</a>
Sterling August	(202) 245-6046	<a href="mailto:sterling.august@ed.gov">sterling.august@ed.gov</a>
Marilyn Fountain	(202) 245-7346	<a href="mailto:marilyn.fountain@ed.gov">marilyn.fountain@ed.gov</a>
Allison Hill	(202) 245-7775	<a href="mailto:allison.hill@ed.gov">allison.hill@ed.gov</a>
Andrew Johnson	(202) 245-7786	<a href="mailto:andrew.johnson@ed.gov">andrew.johnson@ed.gov</a>
Len Lintner	(202) 245-7741	<a href="mailto:len.lintner@ed.gov">len.lintner@ed.gov</a>