

LEA: \_\_\_\_\_ 1st Day of FPM: \_\_\_\_\_ Upload Deadline 1, 2, 3: \_\_\_\_\_

It's easy to get lost in the online Compliance Management Tool (CMT) while preparing for a Federal Programs Monitoring (FPM) visit. This document is meant to help local administrators keep sight of the big picture when deciding what to upload as evidence of compliance with requirements.

- The individual most directly responsible for day-to-day operation of your CTE program as a whole should be the one given upload privileges in CMT.
- Focus on the most recently completed school year (e.g., if it is 2016-17 the focus of the FPM is 2015-16), unless indicated otherwise in the description or instructions, or by your Consultant.
- Please be sure all pages of all uploads are oriented properly for efficient, non-headache inducing reading by your reviewer.

### CTE 01: Advisory Committee (3)

Instrument	Request	Description // Instructions to LEA	Notes From Your Reviewer	Your Notes / Ideas for Uploads
Each LEA receiving Perkins IV funds must involve parents, students, academic and career technical education teachers, faculty, administrators, career guidance and academic counselors, representatives of tech prep consortia (if applicable), business and industry, labor organizations, special populations, and other interested individuals in the development, implementation, and evaluation of CTE programs. (20USC§2354(b)(5).)	<b>Advisory Committee Roster</b>	CTE Advisory committee roster including name, position, business, and CTE industry sector represented w/ student names redacted.	A simple spreadsheet with this information works well. Usually used as an attachment to the LEA's board adoption of membership in "LEA Board Minutes" below.	
<p>1.1. The governing board of each school district participating in a career technical education program shall appoint a career technical education advisory committee to develop recommendations on the program and to provide liaison between the district and potential employers. The committee shall consist of one or more representatives of the general public knowledgeable about the disadvantaged, students, teachers, business, industry, school administration, and the field office of the Employment Development Department (EDD). (EC§8070.)</p> <p>1.2 Each CTE program assisted with Section 131 or 132 funds must have extensive business and industry involvement, as evidenced by not less than one annual business and industry advisory committee meeting and planned business and</p>	<b>Advisory Committee Minutes (CTE 08:1')</b>	CTE advisory committee agendas, sign-in sheets, & minutes for the last two years including any handouts shared, e.g.: publicly disseminated results of annual program evaluation, promotional materials.	<p>- Scans of the last two years of actual CTE advisory committee meeting: 1) agendas, 2) sign-in sheets, 3) minutes, 4) any handouts shared, e.g.: publicly disseminated results of annual program evaluation (E1/E2 raw data, E1/E2 reports, <a href="#">11 Elements of a High Quality CTE Program</a>, any other charts/tables created to show program strengths or needs), promotional materials. Sample <a href="#">alternative format, publicly digestible annual evaluation</a>.</p> <p>- <a href="#">CTE Advisory Committee Manual</a></p>	

industry involvement in program activities as described in the Guidelines for the 2008-2012 Local Plan for Career Technical Education and instructions for the annual application for funds. (2008-2012 CA CTE State Plan, Ch. 5 (2).)	<b>LEA Board Minutes</b>	LEA board minutes indicating approval of CTE District Advisory Committee members, annually.	The minutes that show the board adopted CTE Advisory Committee membership (not just a proposal) during the school year being audited.	
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## CTE 02: Funding Applications (1)

Instrument	Request	Description // Instructions to LEA	Notes From Your Reviewer	Your Notes / Ideas for Uploads
The LEA must maintain and retain for five years in district files copies of approved applications and claims for reimbursement for allocated federal vocational education funds. (2CFR §200.333; 34CFR§76.730-731.)	<b>On-site verification of district CTE files</b>	On-site verification of district CTE files retained for a min of 3 years.	<p>You agreed to “assurances” as a condition of receiving Federal Funds, and should have (signed, when appropriate) copies of them on file. From part 1 of your Perkins application:</p> <ul style="list-style-type: none"> <li>• <a href="#">California Department of Education General Assurances</a></li> <li>• <a href="#">Drug Free Workplace Certification</a></li> <li>• <a href="#">U.S. Department of Education Debarment and Suspension</a></li> <li>• <a href="#">U.S. Department of Education Lobbying</a></li> <li>• <a href="#">Perkins IV Assurances and Certifications</a></li> <li>• <a href="#">2016–17 Grant Conditions</a></li> </ul>	

## CTE 03: Inventory (3)

Instrument	Request	Description // Instructions to LEA	Notes From Your Reviewer	Your Notes / Ideas for Uploads
<p>The governing board of each school district shall establish and maintain a historical inventory, or an audit trace inventory system, or any other inventory system authorized by the State Board of Education. (EC§35168; 2CFR§200.313.)</p> <p><b>3.1</b> Historical inventory records must include a description of the property, a serial number or other identification number, the source of property, who holds title, the acquisition date, and cost of the property, percentage of Federal participation in the cost of the property, the location, use and condition of the property, and any ultimate disposition data including the date of disposal and sale price of the property. (2CFR§200.313(d)(1).)</p> <p><b>3.2</b> A physical inventory of the property must be taken and the results reconciled with the property records at least once every two years. (2CFR§200.313(d)(2).)</p>	<b>Capital Expenditures (CTE 05:3')</b>	Capital outlay expenditure request forms, & their corresponding invoices & approval letters for the past two years.		
	<b>LEA Inventory Policies and Procedures</b>	LEAs inventory management policies and procedures for tracking, maintenance & disposition of assets.	<a href="#">Equipment Management Handbook</a>	

<p><b>3.3</b> Adequate safeguards and maintenance procedures to keep property in good condition and prevent loss, damage, or theft of the property. Any loss, damage, or theft shall be investigated. (2CFR\$200.313(d)(3)-(4).)</p> <p><b>3.4</b> If the LEA is authorized or required to sell the property, proper sales procedures must be established to ensure the highest possible return. (2CFR\$200.313(d)(5).)</p>	<b>Equipment Inventory</b>	Historical inventory of all equipment $\geq$ \$500 in unit price. // Include items < \$500 that are easily pilferable.	A spreadsheet with this information is common. Strong evidence of compliance would include uploading any notes taken during the most recent "reconciliation."	
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#### CTE 04: Perkins Funds Support CTE Programs (8)

Instrument	Request	Description // Instructions to LEA	Notes From Your Reviewer	Your Notes / Ideas for Uploads
<p>Funds made available under Carl D. Perkins Act, Title 1, Part C, must be used to support and improve career technical education programs that – (20USC § 2355(a)-(b).)</p> <p><b>4.1</b> Strengthen the academic, career and technical skills of students participating in career and technical education programs, by strengthening the academic and career and technical education components of such programs through the integration of academics with career and technical education programs in a coherent sequence of courses, such as career and technical programs of study described in 20 USC § 2342 (c)(1)(A-B) and the State Plan (20USC\$2355(b)(1).)</p> <p><b>4.2</b> Link career and technical education at the secondary level and the postsecondary level, including offering the relevant elements of no less than one program of study described in 20 USC §2342(c)(1)(A) and the State Plan (20USC\$2355(b)(2).)</p> <p><b>4.3</b> Provide students with strong experience in and understanding of all aspects of an industry, which may include work-based learning experiences. (20USC\$2355 (b)(3).)</p> <p><b>4.4</b> Develop, improve, or expand the use of technology in career and technical education, which may include distance learning, strong academic and career technical education skills (including the mathematics and science knowledge); and collaboration with technology industries to offer voluntary internships and mentoring programs (20USC\$2355(b)(4)(A-C))</p> <p><b>4.5</b> Provide professional development programs to secondary and postsecondary teachers, faculty, administrators, and career guidance and academic counselors who are involved in integrated career and technical education programs (20USC\$2355(b)(5).)</p> <p><b>4.6</b> Evaluate the career technical education programs including an assessment of how the needs of special populations are being met; (20USC\$2355(b)(6).)</p> <p><b>4.7</b> Initiate, improve, expand, and modernize quality career technical education programs, including relevant technology; providing services of sufficient size, scope, and quality to be</p>	<b>Articulation Agreements</b>	Evidence of $\geq 1$ CTE pathway w/ a signed CTE articulation or dual enrollment agreement(s) w/ a post-secondary institution.		
	<b>Program Evaluations</b>	Completed CTE program evaluations, eg 11 Elements of a High Quality CTE program or 3rd party assessment including date completed.	<ul style="list-style-type: none"> <li>- <a href="#">11 Elements of a High Quality CTE Program</a></li> <li>- Why &amp; what is (the heart of ) CTE? <a href="#">Watch this video</a>. Twice.</li> </ul>	
	<b>Course Outlines (CTE 09:1')</b>	Link docs from current & prior yr. // Reviewer will ask for a sampling of CTE Model Curriculum Standards aligned course outlines based on the course sequence worksheets.	<ul style="list-style-type: none"> <li>- One consultant's <a href="#">guidance on course outlines</a>.</li> <li>- Sacramento County Office of Education's <a href="#">online course outline builder</a>.</li> </ul>	
	<b>Course Sequence (CTE 09:2')</b>	A coherent sequence $\geq 2$ full-year CTE courses w/ a combined duration of $\geq 300$ hrs. // Perkins Course sequence worksheets or similar document.	DEFINITELY do a <a href="#">Sequence of Courses Worksheet</a> (one per pathway) or in Excel Format or similar. <a href="#">CBEDs codes</a>	
	<b>Professional Development</b>	Evidence of CTE-specific professional development, for example: agendas, minutes, sign-in sheets, conference badges, PPTs, invoices.	One consultant's <a href="#">guidance on professional development</a> .	
	<b>Master Schedule</b>	Master schedule of all courses offered at sites for the current school yr.	The high school's entire master schedule, not just the CTE department. Highlighting CTE teachers & their CTE classes would be a helpful touch.	

<p>effective (20USC§2355(b)(7-8).)</p> <p><b>4.8</b> Provide activities to prepare special populations, including single parents and displaced homemakers for high skill, high wage, or high demand occupations that will lead to self-sufficiency. (20USC§2355(b)(9).)</p> <p><b>4.9</b> Ensure the LEA charges costs to the program that are reasonable, necessary, and allowable in accordance with applicable statutes, regulations, and program plans. (2CFR§200.403)</p>	<p><b>Work-Based Learning (CTE 09:6')</b></p>	<p>Evidence of activities that fall along the continuum of real or simulated work-based learning. // Eg (low to high): industry field trips, virtual businesses, job shadowing, internships, on-site student-run businesses, off-site volunteer or paid work in the industry of the pathway.</p>	<p>- A CTE teacher's lesson on resume writing is an example so low on the continuum as to not be worth mentioning.</p> <p>- A culinary program's on-site student-run cafe is a higher-end example of a <i>simulated</i> work-based learning activity.</p> <p>- A culinary program student who gets a job at a restaurant using the skills learned in class, with frequent communication &amp; feedback between the teacher and restaurant manager, is a high-end example of a <i>real</i> work-based learning activity.</p> <p>- Sample graphic of the <a href="#">Work-Based Learning Continuum</a></p>	
	<p><b>Programs of Study</b></p>	<p>6-8 yr edu plan showing how students move thru a CTE pathway including academic classes into post-secondary or employment.</p>	<p>- <a href="#">Program of Study Worksheet</a> (one per pathway)</p> <p>- Sample <a href="#">promotional brochures</a>.</p>	

## CTE 05: Supplement Not Supplant (6)

Instrument	Request	Description // Instructions to LEA	Notes From Your Reviewer	Your Notes / Ideas for Uploads
<p>Funds made available under the Carl D. Perkins Act, Title 1, Part C, shall be used to supplement, and not supplant, non-Federal funds expended to carry out career technical education activities. (20USC§2391(a)).</p> <p>5.1 Each employee paid through Perkins funding, either in part or whole, must complete a Personnel Activity Report (PAR) each pay period, or use an approved sampling method. (2CFR§200.430(i).)</p> <p>5.2 Capital expenditures for special purpose equipment (unit costs of \$5000 or more) are allowable as direct costs and must have prior approval of the awarding agency. (2CFR§200.439(b)(2).)</p>	<p><b>General Ledger</b></p>	<p>Detailed general ledger (GL) for resource codes reviewed. GL should include date, description, vendor &amp; total amount for each expenditure. // Current &amp; previous fiscal yr Goal Code 3800 sorted by gen fund &amp; Perkins resource codes (3550, 3555).</p>	<p>* The detailed general ledger must include <b>ALL CTE spending</b>.</p> <p>* All CTE spending <b>MUST be goal coded 3800</b>.</p> <p>* Then, it must be sort by resource code (Perkins resource codes are 3550 for secondary and 3555 for adult).</p>	
	<p><b>Invoices</b></p>	<p>Vendor invoices, detailed receipts or documentation to substantiate how costs benefited programs. // The reviewer will indicate which invoices are required based on review of General Ledger.</p>		
	<p><b>Department Budgets</b></p>	<p>Evidence showing the amount of non-Perkins funded discretionary budget allocated to each department of each school receiving Perkins Funds.</p>		

	<b>Personnel Activity Reports (CTE 06:1')</b>	PARs for sites w/ positions funded w/ Cat Prog funds. // Duty statements & PARs for individuals funded w/ Perkins incl substitute timesheets w/ name of regular teacher.		
	<b>Capital Expenditures (CTE 03:1')</b>	Capital outlay expenditure request forms, & their corresponding invoices & approval letters for the past two years.	Recall that a capital expenditure is an item that is \$5,000 or more before any taxes or shipping.	
	<b>Job Descriptions</b>	A written description of duties associated with a specific position. // Non-teacher positions supported with Perkins funding.		

## CTE 06: Administrative Costs (2)

Instrument	Request	Description // Instructions to LEA	Notes From Your Reviewer	Your Notes / Ideas for Uploads
<p>Each LEA receiving Carl D. Perkins Act, Title 1, Part C, funds shall not use more than five percent of the funds for administrative costs associated with the administration of the activities assisted. (20USC\$2355(d).)</p> <p>6.1 The LEA must properly assess administrative charges for direct or indirect costs for administrative costs assisted under this section (California School Accounting Manual [CSAM]; 2CFR\$200.412-200.414.)</p>	<b>Personnel Activity Reports (CTE 05:2')</b>	PARs for sites w/ positions funded w/ categorical program funds. // Duty statements & PARs for individuals funded w/ Perkins incl substitute timesheets w/ name of regular teacher.		
	<b>Job Descriptions (CTE 05:5')</b>	A written description of duties associated with a specific position. // Non-teacher positions supported with Perkins funding.		

### CTE 07: Consortium Funds (2)

Instrument	Request	Description // Instructions to LEA	Notes From Your Reviewer	Your Notes / Ideas for Uploads
Funds allocated to a consortium to meet the requirements of this subsection (Consortium requirements) shall be used only for purposes and programs that are mutually beneficial to all members of the consortium and can be used only for programs authorized under this subchapter (Distribution of funds to secondary education). Such funds may not be reallocated to individual members of the consortium for purposes or programs benefiting only one member of the consortium. (20USC§2351(f)(2).)	<b>Consortium Meeting Minutes</b>	Previous 2 yrs of minutes w/ sign in sheets from consortium meetings describing how funding is mutually beneficial to all members & allocation process.	Spending decisions--as evidenced in the minutes--must be "mutually beneficial to all members" and are subject to any other requirements specified in the consortium's Memorandum of Understanding, below.	
	<b>Memorandum of Understanding</b>	On-site verification of a signed agreement between two or more LEAs.		

### CTE 08: Indicators of Performance (3)

Instrument	Request	Description // Instructions to LEA	Notes From Your Reviewer	Your Notes / Ideas for Uploads
All local education agencies (LEA) shall annually prepare and submit data directly to CDE regarding the progress in achieving the local adjusted levels of performance on the core indicators of performance including disaggregated data for each of the core indicators for the student categories described in section 1111(h)(1)(C)(i) of the Elementary and Secondary Education Act of 1965 and section 3(20) that are served under the Perkins Act. (20USC§2323.)	<b>Advisory Committee Minutes (CTE 01:2')</b>	CTE advisory committee agendas, sign-in sheets, & minutes for the last two years including any handouts shared, e.g.: publicly disseminated results of annual program evaluation, promotional materials.	<p>- Scans of the last two years of actual CTE advisory committee meeting: 1) agendas, 2) sign-in sheets, 3) minutes, 4) any handouts shared, e.g.: publicly disseminated results of annual program evaluation (E1/E2 raw data, E1/E2 reports, <a href="#">11 Elements of a High Quality CTE Program</a>, any other charts/tables created to show program strengths or needs), promotional materials. Sample <a href="#">alternative format, publicly digestible annual evaluation</a>.</p> <p>- <a href="#">CTE Advisory Committee Manual</a></p>	

<p>8.1 The LEA must identify and quantify any disparities or gaps in performance by any category of students and must ensure no duplicative data is reported. (20USC§2323(b)(4)(C)(ii-iii).)</p> <p>8.2 The LEA makes the annual report available to the public through a variety of formats, including electronically through the Internet. (20USC§2323(b)(4)(C)(v).)</p> <p>8.3 The LEA must use annual evaluation results, including achieved core indicators performance levels, to determine needed program improvements, modifications, and professional development activities for staff. (2008-12 CA CTE State Plan, Ch. 5(2).)</p>	<b>Perkins E-1 Report of Enrollment</b>	CTE student level raw data compiled from district SIS for completing Perkins E-1 & include proof of public dissemination, eg weblink.	<p>This is asking for whatever reports you asked your SIS to spit out in order to be able to compete the E1 report.</p> <p>And that you've uploaded the E1 report to your school or district website. Give us the link.</p>	
	<b>Perkins E-2 Report of Placement</b>	Follow-up placement data on senior completors for completing Perkins E-2 & inc proof of public dissemination, eg weblink.	<p>This is asking for whatever reports you asked your SIS to spit out in order to be able to compete the E2 report.</p> <p>And that you've uploaded the E2 report to your school or district website. Give us the link.</p>	

### CTE 09: High Quality CTE Program (7)

Instrument	Request	Description // Instructions to LEA	Notes From Your Reviewer	Your Notes / Ideas for Uploads
<p>The State Board-approved CTE plan requires that each LEA receiving funds under Perkins include a sequence of courses in all CTE programs; provide students with coherent and rigorous content aligned with challenging academic standards and relevant technical knowledge and skills; and include the following planning, organizational, and instructional elements determined by the state to be critical to high quality CTE programs: (2008-12 CA CTE State Plan, Ch. 5(2), (3), (4)).</p> <p><b>9.1</b> Be staffed by qualified CTE teachers, meaning teachers who 1) possess a standard secondary, single subject, or designated subject credential which authorizes the teaching of the CTE course(s) to which assigned, and 2) can document employment experience, outside of education, in the career pathway addressed by the program or other</p>	<b>Course Outlines (CTE 04:3')</b>	Link docs from current & prior yr. // Reviewer will ask for a sampling of CTE Model Curriculum Standards aligned course outlines based on the course sequence worksheets.	One consultant's <a href="#">guidance on course outlines</a> .	
	<b>Course Sequence (CTE 04:4')</b>	A coherent sequence $\geq 2$ full-year CTE courses w/ a combined duration of $\geq 300$ hrs. // Perkins Course sequence worksheets or similar document.	<p>- DEFINITELY do a <a href="#">Sequence of Courses Worksheet</a> (one per pathway) or in Excel Format or similar.</p> <p>- <a href="#">CBEDs codes</a></p> <p>- <a href="#">Which credentials match up with which Industry Sectors?</a></p>	

<p>evidence of equivalent proficiency.</p> <p><b>9.2</b> Be aligned with the State’s CTE Model Curriculum Standards and Framework, focusing on current or emerging high skill, high wage, or high demand occupations, and include planned career awareness and exploration experiences.</p> <p><b>9.3</b> Provide for certification of students who achieve industry-recognized skill and knowledge requirements.</p> <p><b>9.4</b> Be aligned with applicable feeder school and advanced level instruction in the same career pathway.</p> <p><b>9.5</b> Integrate the development of CTE and academic skills in order to prepare students for immediate employment upon graduation and for further education or training by providing practical application and experience through actual or simulated work-based learning assignments.</p> <p><b>9.6</b> Provide for equitable access and needed support services of all students, including special populations and those preparing for nontraditional occupations.</p> <p><b>9.7</b> Provide for the development of student leadership skills through an established career technical student organization or an alternate strategy that incorporates this instruction in all of the courses that make up the sequence.</p> <p><b>9.8</b> Have a systemic plan for promoting the program to all concerned groups, including but not limited to students, parents, counselors, site and district administrators, and postsecondary educational agencies. Expand outreach to special populations to ensure their awareness of CTE course offerings, pathways, and learning communities, as well as high skill, high wage, or high demand careers, including nontraditional careers. ((2008-12 CA CTE State Plan, Ch 3 (Personal Learning Environment))</p> <p><b>9.9</b> Be a coherent sequence of CTE courses only, consisting of not less than two full-year CTE courses with a combined duration of not less than 300 hours; or a single, multiple hour course which provides sequential units of instruction and has a duration of not less than 300 hours, with objectives and content with a direct relationship to the occupation(s) or career targeted by the program.</p>	<p><b>Industry Certifications</b></p>	<p>Industry certifications for each CTE pathway, when available.</p>	<p>- Why certifications? See <a href="#">the video</a> linked in CTE 04/Program Evaluation.</p>	
	<p><b>Leadership Development</b></p>	<p>Evidence of CTSO/leadership activities: agendas &amp; activities, units of instruction, membership roster w/ names redacted, or evidence of other strategies.</p>	<p><a href="#">Memo to CTSO Advisors</a></p>	
	<p><b>Teacher Credentials</b></p>	<p>Credential issued by the CA CTC authorizing the teaching of specific subjects and grade levels.</p>	<p>- The CTE Teacher Matrix submitted w/ your most recent Perkins application, updated, works well. - <a href="#">Which credentials match up with which Industry Sectors?</a></p>	
	<p><b>Work-Based Learning (CTE 04:7')</b></p>	<p>Evidence of activities that fall along the continuum of real or simulated work-based learning. // Eg (low to high): industry field trips, virtual businesses, job shadowing, internships, on-site student-run businesses, off-site volunteer or paid work in the industry of the pathway.</p>	<p>- A CTE teacher’s lesson on resume writing is an example so low on the continuum as to not be worth mentioning. - A culinary program’s on-site student-run cafe is a higher-end example of a <i>simulated</i> work-based learning activity. - A culinary program student who gets a job at a restaurant using the skills learned in class, with frequent communication &amp; feedback between the teacher and restaurant manager, is a high-end example of a <i>real</i> work-based learning activity. - Sample graphic of the <a href="#">Work-Based Learning Continuum</a></p>	
	<p><b>Program Promotion</b></p>	<p>Evidence of CTE program promotion. E.g., pathway brochures, handouts from: back to school night, open house, career day, 8th grade recruitment, presentations to the board, advisory committee meetings.</p>	<p>Sample <a href="#">promotional brochures</a>. Sample <a href="#">big picture, publicly digestible annual evaluation</a>.</p>	