



PERKINS MONITORING

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PERKINS MONITORING AND RISK ASSESSMENT



GUIDANCE—CODE OF FEDERAL REGULATIONS

- [2 CFR 200.300](#) Statutory and National Policy Requirements
- [2 CFR 200.301](#) Performance Measurement
- [2 CFR 200.302](#) Financial Management
- [2 CFR 200.329](#) Monitoring and Reporting Program Performance
- [2 CFR 200.332](#) Requirements of Pass-through Entities
- [2 CFR 200.339](#) Remedies for Noncompliance

SUBRECIPIENT MONITORING

Monitoring is the thorough assessment of the subrecipient's compliance with financial and programmatic requirements.

PERKINS SUBRECIPIENT MONITORING-SBCTC

1. Civil Rights Desk Review

- Method of Administration Coordinator (SBCTC Systems Internal Auditor)

2. Financial Review

- Fiscal staff

3. Program Review—Monitoring & Risk Assessment

- Perkins Program Staff

PERKINS RISK ASSESSMENT

Risk-based monitoring process is used to identify colleges that are or will most likely have challenges in meeting:

1. Program requirements
2. Performance goals (indicators)

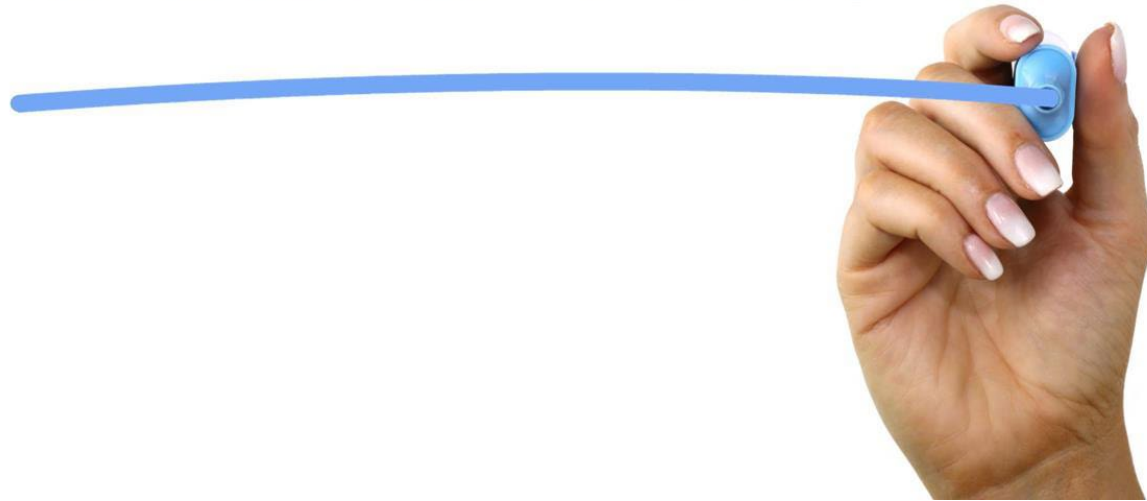


PROGRAM REQUIREMENTS AND PERFORMANCE GOALS

- Develop, Coordinate, Implement, or Improve CTE Programs
- Perkins Plan Application
- CLNA
- Career Exploration
- Professional Development
- Skills Attainment
- Academic Skills
- Increase Student Achievement
- Size, Scope, and Quality
- Programs of Study/CTE Dual Credit
- Faculty Certification
- Advisory Committees
- Performance Indicators/State Target

QUESTIONS

QUESTIONS



RISK ASSESSMENT INDICATORS

Last
Monitoring
Date

Leadership
Change

Missed
State
Targets

Missed
Deadlines/
Incomplete

Underspending
of Grant Funds

LAST MONITORING

0-4 points

Points are determined by the year of last monitoring:

- 2017, 2018, 2019 = 4
- 2020 = 3
- 2021 = 2
- 2022 = 1
- 2023 = 0

CHANGES IN LEADERSHIP

0-5 points

- 1 point for every dean/Perkins staff turnover within a fiscal year

STATE TARGETS NOT MET

0-3 points

- 1 point for every performance indicator that did not meet state target
- State-Determined Performance Levels (SDPLs) for 1P1, 2P1, 3P1
 - State Targets

SDPLs	1P1	2P1	3P1
2021-2022 (RY)	39.5%	53.5%	19%

RY= Reporting Year

MISSED DEADLINES/INCOMPLETE

0-11 points

- 1 point for every deadline that was missed or document/application that was submitted incomplete
 - ✓ Application
 - ✓ Application revisions
 - ✓ Budget revision
 - ✓ CLNA submission/revision
 - ✓ Invoice deadlines
 - ✓ Monitoring documents
 - ✓ Year-end Reports (5)

UNDERSPENDING OF GRANT FUNDS

0-8 points

- 0 points for every grant with 0-4% balance
- 1 point for every grant with 5-9% balance
- 2 points for every grant with 10% or more balance
- Perkins Plan, Non-Trad, Leadership Block Grant, Perkins Corrections

COMPREHENSIVE LOCAL NEEDS ASSESSMENT

0-9 points

- 1 point for each of the following
 - ✓ Each Missing Stakeholder Group (8)
 - ✓ Lack of Evidence/Data

RISK SELF-ASSESSMENT FOR COLLEGES

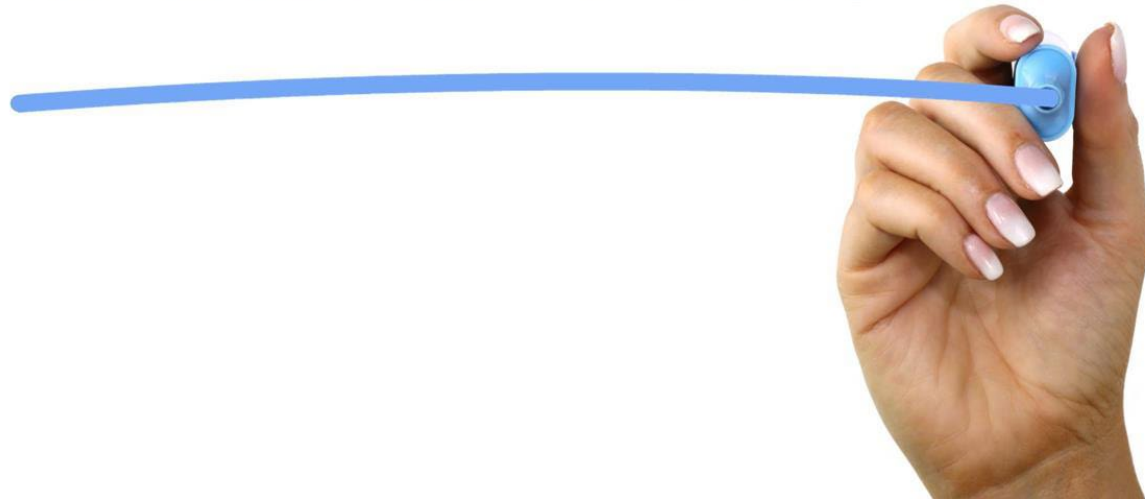
Perkins Risk Self-Assessment

Risk Element	Key	Maximum Points	Points
Last Monitoring Visit	2017, 2018, or 2019 = 4 2020 = 3 2021 = 2 2022 = 1 2023 = 0	4	
Leadership Change	1 point for every staff turnover in dean/perkins position in a fiscal year	5	
Missed State Targets	1 point for each performance indicator not met (1P1, 2P1, 3P1)	3	
Missed Deadlines/Incomplete	1 point for every missed deadline or incomplete document, form, or application Ex. Perkins Plan application, revision, invoice, ROA/annual report (5 reports), CLNA, final budget revision, monitoring documents	11	
Underspending of Grant Funds	0 point for every grant with 0-4% balance 1 point for every unspent grant with 5-9% balance 2 points for every unspent grant with 10% or more balance (Perkins Plan, Non-Trad, Leadership Block Grant, Perkins Corrections)	8	
CLNA	1 point for each missing stakeholder group (8 groups) 1 point for lack of data/evidence	9	

Total Points* 0

QUESTIONS

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SBCTC PERKINS MONITORING



SNAPSHOT



DESK AUDIT



**MONITORING
PROGRAM REVIEW**

MONITORING: SNAPSHOT



SNAPSHOT

- All Colleges
 - ✓ Perkins Grant Snapshot
 - ✓ Perkins Billing Status Report
 - ✓ Perkins Tableau Dashboard

MONITORING: DESK AUDIT



DESK AUDIT

- Colleges that are at Lower-Risk
- Submit documents to SBCTC
 - Advisory Committee Assessment*
 - Faculty Certification Assessment*
 - Professional Development

*Will be found on [website](#) under Perkins Monitoring

ADVISORY COMMITTEE ASSESSMENT

- Pre-selection of programs provided to college
- **College's policy or procedures:** relating to advisory committees and ethics training for advisory board committees
- **Meetings:** attesting to minutes available and quorum present, and committee met 2x (for the last 3 years)
- **Committee representation:** # employees, employers, labor, JATC; diverse and inclusive representation
- **Training:** Ethics training for all members?

FACULTY CERTIFICATION ASSESSMENT

- All CTE Faculty
- **College's policy or procedures:** relating to professional development plans and faculty certification
- **Type of Faculty:** half-time, part-time, full-time
- **Date of Orientation**
- **Vocational Certification Type:** 3-year initial, 5-year initial, 5-year renewal and expiration date
- **First Aid Card/CPR:** Yes, No, Exempt; and expiration date
- **Professional Development Plan:** available to view and tracked?

PROFESSIONAL DEVELOPMENT

- Starting with FY24 Perkins Plan and Leadership grants
- Identify a sample of one-day, short-term, stand-alone professional development that was funded with Perkins
 - Employee's Professional Development Plan
 - Evaluation of training for its impact on increased educator effectiveness and improved student academic and technical achievement
 - Evaluation and assessment of the training

MONITORING: PERKINS PROGRAM REVIEW (1/2)



PERKINS PROGRAM REVIEW

- Colleges that are at High-Risk (Risk Assessment)
- Submit Documents to SBCTC
 - Advisory Committee Assessment
 - Faculty Certification Assessment
 - Professional Development

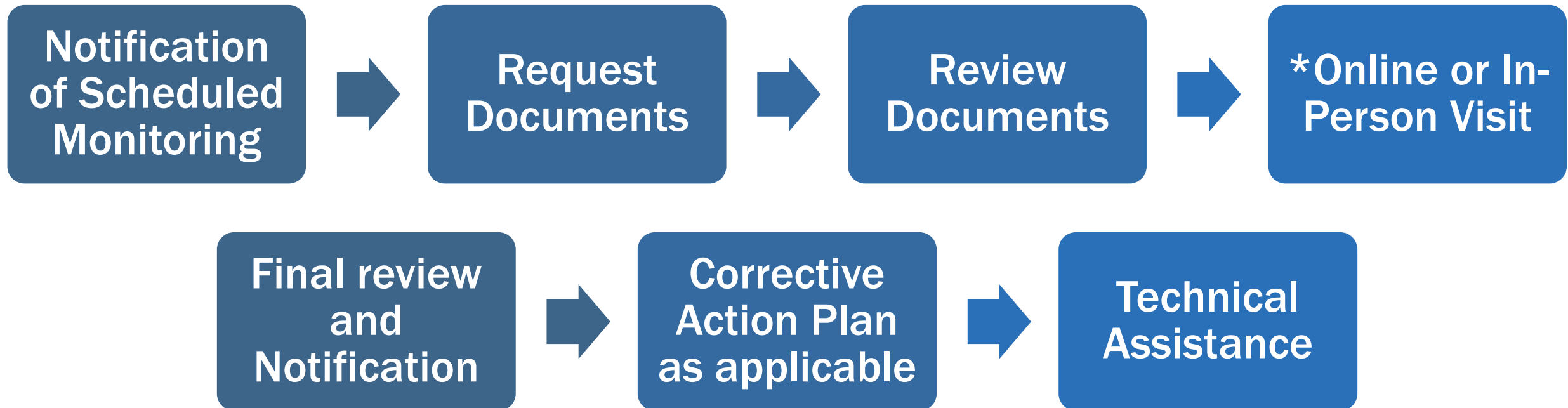
MONITORING: PERKINS PROGRAM REVIEW (2/2)



PERKINS PROGRAM REVIEW

- Online or In-Person Visit
 - ✓ Documents
 - ✓ Award Spending
 - ✓ Program Requirements
 - ✓ Performance Indicators
 - ✓ Risk Factors
 - ✓ Compliance (History)
 - ✓ Technical Assistance

DESK AUDIT OR PROGRAM REVIEW PROCESS



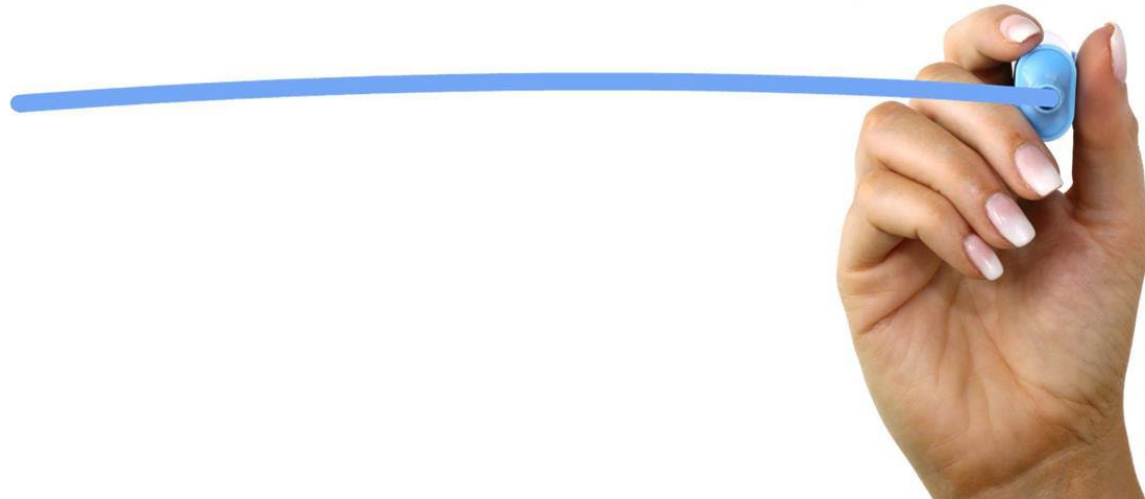
*Only for Monitoring Program Review

NEXT STEPS

- All colleges that were not visited in 2023 will have a Desk Audit* in 2024.
- *Any college that has a risk score of 10 or higher will have a full Monitoring Program Review.
- Notifications will be sent out this summer.

QUESTIONS

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QUESTIONS & CONTACT INFORMATION

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